

## Mid-Term Progress Reporting

**for Country: Kenya**

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### Forest Carbon Partnership Facility (FCPF)

#### Readiness Fund

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**Note:** [FMT Note 2012-7 rev](#) lays out the process for REDD Country Participants to submit, and the Participants Committee (PC) to review, mid-term progress reports and requests for additional funding of up to US\$5 million.

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**Note 2:** The United Nations Development Programme (UNDP) is the FCPF Delivery Partner in Kenya. This internal Mid Term Review (MTR) follows UNDP’s internal control processes. The MTR is not intended to be used to access additional readiness funds.

**Note 3:** This version of the report presents the findings of MTR conducted between April-June 2021 and covers the progress in the implementation of activities between June 2018-June 2021.

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## List of Abbreviations

AD	Activity Data
AGB	Above Ground Biomass
AWP	Annual work plans (AWPs)
BAU	Business-as-Usual
BECCS	Bio Energy with Carbon Capture and Storage
BGB	Below Ground Biomass
C&P	Consultation and Participation
CADEP-SFM	Capacity Development Project for Sustainable Forest Management
CAJ	Commission on Administrative Justice
CFAs	Community Forest Associations
CO <sub>2</sub>	Carbon Dioxide
CO <sub>2</sub> eq	Carbon Dioxide Equivalent
CBO	Community Based Organization
COVID-19	Corona Virus Disease-19
CSOs	Civil Society Organisations
DRSRS	Department of Resource Surveys and Remote Sensing
EAIA	Environmental Impact Assessment
EACC	Ethics and Anti-Corruption Commission
EF	Emission Factors
ERP	Emissions Reductions Programs
ESMF	Environmental and Social Management Framework
FAO	Food and Agriculture Organization
FCPF	Forest Carbon Partnership Facility
FGRM	Forest Grievance and Redress Mechanism
FMT	Facility Management Team
FPIC	Free, Prior and Informed Consent
FREL	Forest Reference Emission Level
FRL	Forest Reference Level
GHG	Greenhouse Gases
GOK	Government of Kenya
GRM	Grievance and Redress Mechanism
HRBA	Human Rights Based Approach
IC-FRA	Improving Capacity in Forest Resources Assessment in Kenya
IPCC	Intergovernmental Panel on Climate Change
IPLC	Indigenous Peoples and Local Communities
IUCN	International Union for Conservation of Nature
JICA	Japan International Cooperation Agency

JKUAT	Jomo Kenyatta University of Agriculture and Technology
KEFRI	Kenya Forestry Research Institute
KFS	Kenya Forest Services
KFWG	Kenya Forests Working Group
KNCHR	Kenya National Commission for Human Rights
KWS	Kenya Wildlife Services
LCLU	Land cover/Land Use
LPAC	Local Project Appraisal Committee
LULUCF	Land use, land-use change, and forestry
MEF	Ministry of Environment and Forestry
MRV	Measurement, Reporting and Verification
Mt CO2	Metric Tonnes of Carbon Dioxide
NACOFA	National Alliance of Community Forest Associations
NBS	Nature-Based Solutions
NCCAP	National Climate Change Action Plan
NCCRS	National Climate Change Response Strategy
NDC	Nationally Determined Contribution
NEMA	National Environmental Management Authority
NET	National Environment Tribunal
NFI	National Forest Inventory
NFMS	National Forest Monitoring System
NFP	National Forest Programme
NLC	National Land Commission
NRCO	National REDD + Coordination Officer
NRS-IP	National REDD+ Strategy and Investment Plan
PC	Participants Committee
PFM	Participatory Forest Management
PLRs	Policy, Laws and Regulations
PM	Project Manager
PMU	Project Management Unit
POPPs	Programme and Operations Policies
REDD+	Reducing Emissions from Deforestation and Forest Degradation, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries
RMG	Results Management Guidelines
R-PIN	REDD+ Readiness Plan Idea Note
RSC	REDD+ Steering Committee
SEP	Stakeholder Engagement Plan

SESA	Strategic Environmental and Social Assessment
SIS	Safeguard Information System
SLEEK	System for Land Based Emission in Kenya
SOI	Summary of Information
SOK	Survey of Kenya
TOT	Training of Trainers
TWG	Technical Working Group
UNDP	United Nations Development Programme
UNEP	United Nations Environmental Programme
UNFCCC	United Nations Framework Convention on Climate Change
WWF	World Wildlife Fund

## Executive Summary

The MTR is based on interviews, project reports, technical documents, media products and material made available to evaluation team. The Ministry of Environment and Forestry would like to acknowledge support received toward REDD+ readiness from the Forest Carbon Partnership Facility (FCPF), the United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in developing countries (UN-REDD Programme), JICA through the Capacity Development Project for Sustainable Forest Management (CADEP) without which REDD+ readiness process would not have been possible. Appreciation goes to the United Nations Development Programme (UNDP), the Delivery Partner of the FCPF grant who has facilitated attainment of key progress by Kenya on the REDD+ readiness.

Since endorsement of the R-PP by the Participant Committee of the FCPF in 2010, its full implementation stalled for a period of seven years. The Government of Kenya during this period invested in progress on the analytical work that would be relevant for advancing REDD+ readiness activities that would have otherwise been funded through FCPF support. Thus, activities that were to be funded by the FCPF grant, were supplemented, and supported by other multilateral and bilateral donors and agencies including Australia, Finland, Japan, the UN-REDD Programme, USAID, and others, who have joined in the interest and commitment towards Kenya's readiness process for REDD+ and the quest for the sustainable management of forests in the country.

In addition to FCPF, Kenya joined the UN-REDD Programme as a partner country in February 2010 and received financial and technical support from UN-REDD through the targeted support modality from 2012. The process of establishing the FRL and NFMS has been facilitated with support from the Government of Japan through the Capacity Development Project for Sustainable Forest Management (CADEP).

The Kenya REDD+ process has been guided by an R-PP approved in 2010. It covers six main components of REDD+ Readiness: 1. Management of National REDD+ Readiness; 2. Consultation, stakeholder engagement and awareness raising; 3. Development and selection of REDD+ strategies; 4. Implementation framework (including benefit sharing and safeguards); 5. Development of the Reference Scenario against which performance will be measured and; 6. Development of the monitoring system for national Measurement, Reporting and Verification (MRV) of emissions reductions.

The progress reported through the annual and quarterly reports suggests that the implementation of R-PP under the FCPF components is progressing very well despite the six years delays. This is correct at the activity level but the overall country still has significant work to do to achieve REDD+ Readiness. The Government of Kenya is showing a strong commitment to mainstreaming climate change and intervention mechanisms such as REDD+ into national climate change agenda, but it is also expressing the need for technical and financial support to ensure that initiated efforts succeed and have a long-term impact, especially if Kenya is to achieve the Nationally Determined Contribution (NDC) targets.



According to the NDC baseline, the LULUCF sector is the second largest contributor to Kenya's GHG emissions after agriculture, largely because of deforestation. Absolute emissions from the LULUCF sector is projected to be 22 MtCO<sub>2</sub>e in 2030 and the contribution of this sector to total national emissions is estimated at 14% in 2030 (MENR, 2017a). In 2020 Kenya submitted an updated NDC in which the country committed to abate GHG emissions by 32% by 2030 relative to the BAU scenario of 143 MtCO<sub>2</sub>e in line with Kenya's sustainable development agenda and national circumstances (MoEF). The timeframe for implementation of the NDC is up to 2030, with milestone targets in 2025. The priority mitigation actions for the LULUCF sector are the restoration of forests on degraded lands (with a total abatement potential of 14 MtCO<sub>2</sub>e by 2030), afforestation and agroforestry (4.8 MtCO<sub>2</sub>e) and reducing deforestation and forest degradation by rehabilitation and protection of natural forests (2 MtCO<sub>2</sub>e) (Government of Kenya, 2018). All mitigation options together have an abatement potential of 20.8 MtCO<sub>2</sub>e.

The challenge to mainstream climate change and implementing REDD+ action plans at national and county level requires substantive capacity building support to the Ministry of Environment and Forestry, sector agencies and county governments. There is a need for further investments in the country to support both the national government and county government in the implementation of the REDD+ strategy actions. The FCPF grant implementation has transitioned the country significantly towards putting in place the key REDD+ components and building capacity of government and that of non-state actors. Of the total FCPF grant of \$3.8 million, the FCPF project has disbursed and committed a total of \$2,896,137.60 (74%).

The institutional arrangements have evolved over time significantly and positively. This is notably triggered by the shaping up of the forestry agenda at the county level with most counties initiating implementation of their devolved functions. Further development of a [National Strategy for the attainment and maintenance of 10% tree cover](#) has proposed a multi stakeholders approach and initiated a presidential-led call towards reforestation and forests restoration. The goal of this strategy is to accelerate actions towards the achievement of Kenya's Constitution and the Vision 2030 which calls for the country to strive to achieve a national forest cover of 10% of the Country.

A review of the National Forest Policy has been initiated. The draft national forest policy 2020 has included vital recommendations from REDD+ process analytical studies. Once approved, the policy may establish a forestry sector regulatory authority that will bring about coordination and set standards for the various forest sector institutions. Key recommendations in the policy evolve from the result of the various analytical studies, including the legal review of the legislations and policy landscape in the country.

Table 1 provides a summary overview of progress. The progress made in each subcomponent is reported following the indicators of the Readiness Package outlines in the "Guide to the FCPF Readiness Assessment Framework, June 2013." This uses the traffic light system as follows: green = significant progress; yellow = progressing well, further development required; orange = further development

required; and red = not yet demonstrating progress. Annexes 1, 2, and 3 provide the FCPF monitoring, and evaluation framework, plan, and assessment undertaken in June 2016 and form the basis for the assessment of progress of FCPF activities.

## 1. Introduction

Kenya is implementing the Forest Carbon Partnership Facility (FCPF) Reducing Emissions from Deforestation and Forest Degradation (REDD+) Readiness Project with support of the United Nations Development Programme (UNDP) serving as the delivery partner and the Ministry of Environment and Forestry (MEF) serving as the Implementing Partner. The project is also being carried out in coordination with other relevant entities such as the independent constitutional commissions, the Kenya Forest Services (KFS), indigenous communities and civil society organizations (CSOs). It aims to support the Government of Kenya (GoK) in the completion of the readiness phase of REDD+, so that the country can implement and access results-based payments (e.g., from the Green Climate Fund (GCF) or other schemes).

Although REDD+ readiness work has been on-going in the country since 2009, funding was only available from 2018-2020 to continue and build on the efforts to advance on a REDD+ National Strategy and other readiness outcomes with FCPF funding<sup>1</sup>. Key project outputs are the development of a REDD+ National Strategy and Investment Plan and a Safeguards Information System. During this timeframe, financing was available from JICA, USAID, UN-REDD to continue some elements of financing. For instance, the Forest Reference Level (FRL) and the NFMS were funded through the JICA funded CADEP programme. Kenya submitted FRL in December 2019 to the UNFCCC. The Project has supported stakeholders' discussions on both these processes including submission of the FRL.

Directly relevant for the REDD+ Readiness Project is the existing National Strategy for the attainment and maintenance of 10% Forest Cover. The goal of this strategy is to accelerate actions towards the achievement of Kenya's Constitution and the Vision 2030 objective to achieve a national forest cover of 10% for the Country. The strategy seeks to achieve environmental integrity and social economic development and to restore 5.1 million hectares of deforested and degraded forests and other landscapes by 2022. [The level of 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 ha of reforestation annually \(0.15% of national area\).](#)

Kenya submitted its first NDC in December 2016 with the ambitious plan to reduce GHG emissions by 30% relative to the business-as-usual (BAU) scenario expectation of 143 MtCO<sub>2</sub>eq by 2030. The FCPF REDD+ Readiness Project has supported the submission of Kenya's revised Nationally Determined Contribution (NDC) to the UNFCCC and ensured that the REDD+ work is aligned with the NDC Implementation Framework. The FCPF readiness project provided information on national targets to increase forest cover and reduce GHG emissions from the forest and land use sector. In December 2020,

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<sup>1</sup> See Annex 1 for a chronology of events during that period which eventually led to the signing of the project document for the FCPF Grant in late 2018.

[Kenya submitted its updated NDC](#) that commits to abate GHG emissions by 32% by 2030 relative to the BAU scenario.

The development of the REDD+ National Strategy is aligned with Kenya's 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 REDD+ National Strategy. Further, the project contributes to the National Forest Programme (NFP) and the National Forest Policy, 2020 by drawing the relevant provisions into the REDD+ work.

A work schedule was defined for the preparation of the FCPF project document (PRODOC), a process that was shared with stakeholders involved in the R-PP preparation process. In July 2018, the PRODOC was signed. This document was based on information from the R-PP process compiled from the different actors consulted during this process.

After a long starting period, the REDD+ Readiness project was finally launched at the Great Rift Valley Lodge on 6th and 7th September 2018. Key decisions included:

- a) Inception of the Project: 16th of September 2018.
- b) Letter of Agreement: Signed between the Ministry of Environment and Forestry (MEF) and UNDP, which allowed UNDP to procure activities in the annual workplan on behalf of the MEF and further engage with Responsible Parties outlined in the Project Document for delivery of the various components in line with their mandate and establishments. These are National Land Commission, National Gender and Equality Commission, Kenya National Commission on Human Right, Council of Governors, Elgeyo Marakwet County and any other county and stakeholder as agreed by the Project Steering Committee (PSC).
- c) Composition of the Project Steering Committee (PSC): The Principal Secretary formally appointed the members in line with decisions made. The first PSC meeting was held in the first week of December 2018.

### [The Midterm Review](#)

This medium-term report (MTR) provides information relating to the FCPF Readiness Assessment, which provides a common framework to measure countries' relative progress on core readiness activities. The

assessment covers the MTR period of **June 2019 and updated in June 2021**. The preparation of the MTR was done with due consultation of government stakeholders and with support from the Technical Working Group (TWG) that represents different constituencies from civil society, NGOs, Indigenous Peoples representatives, community institutions, and academia. Outcomes were drawn from consultations held in February 2021 and included both individual interviews and focus group discussions. A specific group discussion was held with key members of the TWG that included the REDD+ Coordinator and other members, including a representative of Indigenous Peoples and independent Commissions who are also on the project steering committee of the FCPF project. The focus of this MTR is on the progress made in achieving the four main components of the R-PP and their respective subcomponents. The MTR also analyses progress achieved in those activities financed by the FCPF grant.

The objectives of the MTR are to undertake:

- ✓ An overview of progress of REDD+ readiness activities since 2009
- ✓ An analysis of progress achieved in activities from the FCPF grant
- ✓ A review of compliance with the Common Approach

**I. An overview of the progress made in the implementation of the R-PP**

*The Country provides an overview of progress to date in achieving the four main components of the R-PP and their respective sub-components presented below, against the original proposal. The Country presents in each sub-component: (i) what has been achieved to date (outputs and outcomes); (ii) some analysis of these results including major constraints and gaps that need to be addressed; (iii) other significant readiness work in progress; and (iv) if applicable, request for additional funding to the FCPF, to implement outstanding activities relevant to that sub-component. The proposed format mirrors the structure of the Readiness Package (FMT Note 2012-6). Specifically,*

*Progress indicator Key*

	Significant progress		Good progress, further development needed.
	Further development required		Not yet demonstrating progress

Table 1: General Progress Summary Table up to June 2019 MTR findings and updated to June 2021

		<b>R-PP Components, Sub-components, and Progress Indicators</b>	<b>Level of progress</b>										
			<b>June 2019</b>				<b>June 2021</b>						
			Red	Orange	Yellow	Green	Red	Orange	Yellow	Green			
<b>1</b>		<b>Readiness Organization and Consultation</b>											
<b>1a</b>		<b>National REDD+ Management Arrangements</b>		Orange							Yellow		
	1.	Accountability and transparency		Orange									Green
	2.	Operating mandate and budget		Orange							Yellow		
	3.	Multi-sector coordination mechanisms and cross-sector collaboration		Orange									Green
	4.	Technical supervision capacity		Orange							Yellow		
	5.	Funds management capacity		Orange							Yellow		
	6.	Feedback and grievance redress mechanism		Orange							Yellow		
<b>1b</b>		<b>Consultation, Participation, and Outreach</b>			Yellow								Green
	7.	Participation and engagement of key stakeholders			Yellow								Green
	8.	Consultation processes			Yellow								Green
	9.	Information sharing and accessibility of information			Yellow						Yellow		
	10.	Implementation and public disclosure of consultation outcomes			Yellow						Yellow		
<b>2</b>		<b>REDD+ Strategy Preparation</b>											
<b>2a</b>		<b>Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance</b>		Orange									Green
	11.	Assessment and analysis		Orange									Green
	12.	Prioritization of direct and indirect drivers/barriers to forest carbon stock enhancement		Orange									Green
	13.	Links between drivers/barriers and REDD+ activities		Orange									Green

		<b>R-PP Components, Sub-components, and Progress Indicators</b>	<b>Level of progress</b>								
			<b>June 2019</b>				<b>June 2021</b>				
			Red	Orange	Yellow	Green	Red	Orange	Yellow	Green	
	14.	Action plans to address natural resource rights, land tenure, governance		Orange						Yellow	
	15.	Implications for forest law and policy		Orange							Green
<b>2b</b>	<b>REDD+ Strategy Options</b>			Orange							Green
	16.	Selection and prioritization of REDD+ strategy options		Orange							Green
	17.	Feasibility assessment		Orange							Green
	18.	Implications of strategy options on existing sectoral policies		Orange							Green
<b>2c</b>	<b>Implementation Framework</b>			Orange				Orange			
	19.	Adoption and implementation of legislation/regulations		Orange							Green
	20.	Guidelines for implementation		Orange				Orange			
	21.	Benefit sharing mechanism		Orange				Orange			
	22.	National REDD+ registry and system monitoring REDD+ activities		Orange				Orange			
<b>2d</b>	<b>Social and Environmental Impacts</b>		Red					Orange			
	23.	Analysis of social and environmental safeguards issues	Red					Orange			
	24.	REDD+ strategy design with respect to impacts	Red							Yellow	
	25.	Environmental and Social Management framework	Red					Orange			
<b>3</b>	<b>Reference Emissions Level/Reference Level</b>			Orange							Green
<b>3a</b>	<b>Improved subnational capacity for REDD+ implementation</b>			Orange							Green
	26.	Demonstration of methodology		Orange							Green
	27.	Use of historical data, and adjusted for national circumstances		Orange							Green
	28.	Technical feasibility of the methodological approach, and		Orange							Green

		<b>R-PP Components, Sub-components, and Progress Indicators</b>	<b>Level of progress</b>									
			<b>June 2019</b>				<b>June 2021</b>					
			Red	Orange	Yellow	Green	Red	Orange	Yellow	Green		
		consistency with UNFCCC/IPPC guidance and guideline		Orange								Green
<b>4</b>		<b>Monitoring Systems for Forests and Safeguards</b>		Orange							Yellow	
<b>4a</b>		<b>National Forest Monitoring System</b>		Orange							Yellow	
	29.	Documentation of monitoring approach		Orange							Yellow	
	30.	Demonstration of early system implementation		Orange							Yellow	
	31.	Institutional arrangements and capacities		Orange							Yellow	
<b>4b</b>		<b>Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards</b>	Red						Orange			
	32.	Identification of relevant non-carbon aspects, and social and environmental issues	Red						Orange			
	33.	Monitoring, reporting and information sharing	Red						Orange			
	34.	Institutional arrangements and capacities	Red								Yellow	



## 1 - Readiness Organization and Consultation

### 1a. National REDD Management Arrangements

Sub-component	Progress Indicator	Status as at June 2019
<b>R-PP Component 1: Readiness Organisation and Consultation</b>		
<b>Subcomponent 1a: National REDD+ Management Arrangements (Result 1 Product 1 and 4 )</b>	Further development required	The existing National REDD+ Coordination Office set up in 2012 is still in place and is housed at the Ministry of Environment and Forestry. It consists of a Coordinator/Conservation Secretary and two members who were seconded from the Kenya Forest Service. Technical working groups and a project steering committee had also been set up earlier but were not entirely active.

Sub-component	Progress Indicator	Status as at June 2021
<b>R-PP Component 1: Readiness Organisation and Consultation</b>		
<b>Subcomponent 1a: National REDD+ Management Arrangements (Result 1 Product 1 and 4)</b>	Good progress, further development needed.	<p>The Project Management Unit has been supporting the project since 2018 and comprises of a Project Manager, A technical Specialist, Monitoring and Evaluation Officer, Project Officer, Stakeholder Engagement Specialist, Project Analyst, and Communication Specialist. These positions have been hired through project funding. IT equipment and enhanced communication equipment has been set up in the Office.</p> <p>The institutional arrangements for REDD+ that were set up since 2012 were also revived where needed and include the National REDD+ Steering Committee and three Technical Working Groups (TWG)s (Consultation and Participation; Methodology and the Policy and Institutions group). With an ongoing engagement capacity building and awareness raising, there has been growing of interest and increasing of participations at both national and subnational level. These components of the institutional arrangements provide the strong leadership and provide multiple</p>

Sub-component	Progress Indicator	Status as at June 2021
		<p>platforms of engagement to support the transition to REDD+ implementation phase in Kenya. The composition of these groups further allow scrutiny and operate in an open and transparent manner through meetings which are documented, and minutes shared.</p> <p>Like countries, the REDD+ management arrangements in Kenya will require extra support as funding is not currently predictable or adequate in the long term. To ensure operational continuity and smooth transition to REDD+ investment phase, some functions of the PMU will continue to be in place after the project comes to an end on 31 December 2021. The REDD+ National Strategy draft proposes institutional arrangements, defines the mandates, roles and responsibilities of the different institutions responsible for REDD+ implementation at the different implementation scales, as well as the coordination, monitoring and reporting lines between the different institutions at the different levels. However, this has not been finalized yet.</p>

*The following section shows status in June 2021.*

**Indicator 1: Accountability and transparency**

How are national REDD+ institutions and management arrangements demonstrating they are operating in an open, accountable, and transparent manner?

The overall project governance, including management decisions and approval of annual work plans and revisions is exercised by the PSC which meets under the chair of MoEF and UNDP. There were clearly documented and approved 2018, and 2020 annual work plans (AWPs), accompanied by ratified Local Project Appraisal Committee (LPAC) meeting minutes.

The TWGs and the National REDD+ Steering Committee are conduit for open and transparent management arrangements. In addition, the Projects works with six Responsible Parties which has enabled a very high degree of multi-sector coordination mechanisms and cross sectoral engagement.

The overall project governance, including management decisions and approval of annual work plans and revisions is exercised by the Project Steering Committee (PSC), chaired by MEF and UNDP. The Project Steering Committee (PSC) is chaired by the Ethics and Anticorruption Commission and members are drawn from: The Ministry of Environment and Natural Resources, Kenya Forest Services, National Land Commission, Academia, the National Treasury, Climate Change Directorate, Transparency International Kenya, representatives of the marginalized communities, a representative of the private sector and a representative of National Alliance of Community Forest Associations (NACOFA), National Environmental Management Authority (NEMA), National Environment Complaints Committee. There were clearly documented and approved 2018, and 2020 annual work plans (AWPs), accompanied by ratified Local Project Appraisal Committee (LPAC) meeting minutes. The National REDD + Coordination Officer (NRCO) - based at the Ministry of Environment and Forestry (MEF) was recruited in March 2012 and serves as the project focal person in the MEF.

The Project Management Unit (PMU) exercise day-to-day management of the project and works closely with the MEF, the PSC, the responsible parties and stakeholders. The planning and execution of project's activities is consultative and inclusive. The PMU regularly and continuously consult the Implementing Partner and each of the relevant responsible parties in the design phase and the execution level of project activities. As renovations are taking place in the MEF, the PMU personnel currently operate from UNDP offices. In light of the resource mobilization initiatives underway, the PMU will continue to be in place beyond the finalization of the REDD+ Readiness project in December 2021 although the decisions relating to how to nationalize the PSC and the TWGs, and the participation of Partners will need to be taken.

#### Indicator 2: Operating mandate and budget

How is it shown that national REDD+ institutions operate under clear mutually supportive mandates with adequate, predictable and sustainable budgets?

There is a clear mandate falling under the MEF for the operationalization of the REDD+ mechanism in Kenya. The annual workplan went through a rigorous participatory process and provided a sound basis for implementation of the project. The Project Steering Committee is ultimately responsible for approving the annual budget based on the Annual Work Plan.

Kenya has the National REDD+ Coordination Office housed at the Ministry of Environment and Forestry within the Directorate of Forest Conservation. Like in many other countries, the REDD+ management arrangements require extra support as funding is not currently predictable or adequate in the long term. A key output of the project – the REDD+ Investment Plan supporting the implementation of the REDD+ National Strategy will be important to address this challenge. In addition, a clear understanding of staffing through the Ministry budget allocations in the REDD+ NCO will need to be ascertained for the long term.

#### Indicator 3: Multi-sector coordination mechanisms and cross-sector collaboration

How are national REDD+ institutions and management arrangements ensuring REDD+ activities are coordinated, integrated into and influencing the broader national or sector policy frameworks (e.g., agriculture, environment, natural resources management, infrastructure re development and land-use planning)?

With respect to bringing in other sectors, the project is leveraging the PSC, through which it identifies inter-institutional synergies among members, including coordination and decision making for key readiness milestones. The PSC is composed of the Ministry of Environment and Natural Resources, Kenya Forest Services, National Land Commission, Academia, the National Treasury, Climate Change Directorate, Transparency International Kenya, representatives of the marginalized communities, a representative of the private sector and a representative of National Alliance of Community Forest Associations (NACOFA), National Environmental Management Authority (NEMA), National Environment Complaints Committee and the Kenya National Commission for Human Rights (KNCHR). The Responsible Parties are also key in providing the inputs from other sectors as shown in Table 2. However, inputs and engagement will be required from the infrastructure development and land use planning sectors.

*Table 2: Relevant Responsible Parties by Activities*

<b>Activity</b>	<b>Lead Responsible Party</b>
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

These partners are directly engaged in project implementation and have provided a unique and extremely strong basis for collective ownership of the project activities and results. The partnership approach with responsible parties, including the local and indigenous communities cross pollinates different skills and knowledge which creates 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 agenda on multi-sector coordination mechanisms and cross-sector collaboration has further been reinforced by the Ministry of Agriculture through **formulation of [Kenya's ten year national agroforestry strategy \(2021 – 2030\)](#) through a multisector coordination mechanism headed by the Ministry of Agriculture**. The National Agroforestry Strategy aims at creating an enabling environment for scaling up agroforestry in Kenya through policy mainstreaming and coordination, knowledge creation and management, strengthening of markets and incentives systems, and embedding gender and social inclusion. The multi-sectoral coordination approach takes cognizance of the multi-dimensional nature of agroforestry as a dynamic practice and science at the interface and interactions between agriculture and forestry, involving farmers, livestock, trees, and forests at multiple scales. The coordination mechanism involves multiplicity of stakeholders from the Ministry of Agriculture, Ministry of Land, National Environmental Management Authority (NEMA), ICRAF, Ministry of Livestock, private sector, Kenya Industrial Development Institute (KIRDI), commercial farmers, local farmers, indigenous people, the marginalised groups and CSOs.

The agroforestry strategy aims at promoting **good governance to ensure proper enforcement and compliance with laws and policies**. It aims at mainstreaming of agroforestry in policies, legislations, and plans in order to create an enabling environment for investment by various value chain actors across scale. To achieve this the National Agroforestry Strategy promotes public participation and inclusivity of smallholder farmers, pastoralists, indigenous communities and other marginalized groups to encourage ownership and promote transparency and social accountability through **inclusivity, wide stakeholder consultations, participation, capacity development**. **On the other hand, the National Agroforestry Strategy** promotes intersectoral coordination while recognizing the distinctiveness and interdependence of the two levels of government in Kenya and their roles in policy formulation and support to farmers through **partnership and coordination**: The strategy appreciates the role of multisectoral partnerships including public-private partnerships, and inclusion of non-state actors in the development process and will aim at synergy in line with SDG 17 aspirations.

**Underlining the profound role of Agroforestry to the national economy, the strategy considers the** role of incentives in promoting productive land use and management as well as investment at other levels in agroforestry-based value chains through the functional market systems premised on the green growth paradigm, incentives (economic) and proper valuation of ecosystem services (including biodiversity), intellectual property and innovative value chains financing. It highlights **sustainable land management and climate resilience and promotes** land degradation neutrality while encouraging sustainable land management (SLM) and agricultural intensification. It appreciates the role of buffers, trade-offs, and spin-offs in management of agricultural landscapes to ensure sustainable resource flows including water, nutrients and genes while mitigating against climate change. **Through the multisectoral coordination mechanism the National Agroforestry Strategy endeavors to support the attainment of national commitments and international conventions**, protocols and agreements including those related to

climate change, combating desertification, land restoration, biodiversity conservation and sustainable development.

To enhance participation of forest dependent communities in forest conservation and management, major efforts have been made to educate communities that live adjacent to major forests in Kenya. The efforts have been geared towards enhancing their understanding of the requirements of both the new forest policy and act and how both of these new government regulations relate to their involvement in the management of forest resources. These efforts resulted in the formation of about 100 CFAs distributed across the country. To strengthen and streamline the coordination of CFAs, the National Alliance of Community Forests Associations (NACOFA) was established as an umbrella network or alliance of Community Forest Associations (CFAs) in Kenya, with a membership of over 100 CFAs spread across Kenya. The network started, with the key aim to adopt a common approach to Participatory Forest Management (PFM) as stipulated in the new forest Act 2005. The networks links CFAs to each other, and to NGOs and research institutions at the national and international level, thereby promoting improved access to information, sharing of experiences and joint action on issues of common interest. The network seeks to enable CFAs to exploit forest resources and equitably share the benefits of conservation and sustainable natural resource management, through a pro-poor approach, emphasizing the interests and rights of poorer households and other marginalized groups within the community, notably women. However, concerns have been raised on the network's coordination capacity. Recommendations have been made on strengthening NACOFA's capacity to harmonize the activities of the different CFAs and be a centre of dissemination of information for the CFAs and the member communities.

#### Indicator 4: Technical supervision capacity

How effectively and efficiently are national REDD+ institutions and management arrangements leading and supervising multi-sector readiness activities, including the regular supervision of technical preparations?

The [development of the National REDD+ Strategy and Investment Plan \(NRS-IP\)](#) was a highly consultative and engaging process involving key National institutions. A team of consultants were hired to hold a series of consultations with a wide range of stakeholders across the country. These consultants were hired based on their technical know-how and are leading the process of development of the national strategy and investment plan. The key national stakeholders in NFMS include Ministry of Environment and Forestry, Kenya Forest Service, Kenya Forestry Research Institute, National Land Commission, Ethics and Anti-Corruption Commission, Council of Governance, UNDP, Wildlife Works, Transparency International – Kenya, Conservation International, IMPACT, IPLC representatives, GATSBY AFRICA, Youth, a team of

consultants from, South-Eastern Kenya University, Climate and Energy Advisory, Karatina University. A draft NRS is now in place.

Within the framework of the National Environment and Forestry pillar, several workshops have been held to strengthen technical capacities within key institutions, including training on **Mainstreaming of Human Rights Based Approach (HRBA) in forest conservation, protection and management report**. To mainstream the HRBA to forest conservation, protection, and management UNDP supported the Training of Trainers (TOT) (10 women and 22 men). The training targeted the lecturers at the Kenya Forest College, conservancy commanders and the senior management of Kenya Forest Service. The Kenya Forest Service Board has since approved the manual curriculum and the guidelines that have now been institutionalized in Kenya Forest Service and the Kenya Forest College.

Kenya's National Forest Monitoring System (NFMS) document is a product of several multi-institutional and multi-stakeholder efforts. **The [development of NFMS brought together national institutions with a wide range of technical expertise to support its development process](#)**. The key National institutions that have supported the development of the NFMS include Ministry of Environment and Forestry, Kenya Forest Service, Kenya Forestry Research Institute, National Land Commission, Ethics and Anti-Corruption Commission, Council of Governance, Wildlife works, UNDP, Transparency International – Kenya, Conservation International, IMPACT, IPLC representatives, GATSBY AFRICA, Youth, A team of consultants from, South Eastern Kenya University, Climate and Energy Advisory, Jomo Kenyatta University of Agriculture and Technology (JKUAT), Karatina University, and Embassy of Japan.

The development and submission of the Kenya's [Forest Reference Level \(FREL\)](#) in 2019 and its subsequent revision in 2020 involved key National stakeholders from the Ministry of Environment and Forestry, Kenya Forest Services, Department of Resource Surveys and Remote Sensing, JICA and Karatina University.

#### Indicator 5: Funds management capacity

How are institutions and arrangements demonstrating effective, efficient, and transparent fiscal management, including coordination with other development partner-funded activities?

Project funding is managed using UNDP's fiduciary policies. Funding allocation decisions are made by the PSC. There is complementary/harmony/synergy in funding allocation with other development partner-funded activities, such as co-funding from Conservation International for the organization of the workshop on nesting, and JICA for the organization of the workshop on the National Forest Monitoring System.

The REDD+ Readiness project has the National Coordination Officer hosted in the MoEF while the Project Management Unit (PMU) office is hosted by UNDP. The PMU cooperates with key project partners and other projects implemented in the forestry sector. The PMU is responsible for overall coordination and day-to-day management project activities including supervision of activities contracted to consultants. It is also responsible for coordination and mainstreaming of lessons and experiences into government operations and has oversight and supervisory role for all project activities implemented by project. The National Project Manager (PM) heads the PMU and reports to the Principal Secretary in the MoEF and National REDD+ Coordinator and maintains liaison with UNDP. The PM liaises directly with consultants and prepares project progress and financial reports to the Project Advisory Team /project Board, UNDP and FCPF. Reports include : Biannual Update Reports to the FCPF, annual delivery partner report of UNDP to FCPF, Annual Project Reports (APR), Quarterly Technical and Financial Reports and Project Terminal Report. The PMU develops all work plans and reporting modalities follow UNDP and procedures and rules of programming as stipulated in the Results Management Guidelines (RMG). The Project undergoes annual financial audits as per requirements in the UNDP's Programme and Operations Policies (POPPs). The PSC plays an oversight role in the implementation of the Project as a mechanism to integrate the anticorruption agenda in implementation of the project.

The overall project governance, including management decisions and approval of annual work plans and revisions is exercised by the PSC which meets under the chair of MoEF and UNDP. There were clearly documented and approved 2018, 2019, 2020 and 2021 annual work plans (AWPs), accompanied by ratified Local Project Appraisal Committee (LPAC) meeting minutes. The PMU exercised day-to-day management of the project and is hosted at UNDP office. **To ensure value for money**, UNDP procurement procedures and guidelines were adhered to by the project team. Contracts were negotiated and UNDP local terms agreements were used to save time and resources and to consolidate procurement requirements and early planning.

Challenges of delays in procurement process, daily subsistence allowance (DSA) payments are well handled, and the project team demonstrate significant flexibility and responsiveness. The project deployed qualified, experienced field staff, and established close links with all stakeholders at the national, county and community levels. The project also invested in documentation and evidence-based programming and made strategies to allocate resources based on the approved annual work plans. Project funds were utilized according to respective budgetary allocations mostly due to strong collaboration between UNDP and its implementing partners. Details about the financial management of the project are provided in the 2021 annual audit reports.

#### [Indicator 6: Feedback and grievance redress mechanism](#)

The project has an existing FGRM related to the project activities. Kenya also has a formal FGRM that will be used for REDD+ Implementation. This is described below.



What evidence is there to demonstrate the mechanism is operating at the national, sub-national and local levels, is transparent, impartial, has a clearly defined mandate, and adequate expertise and resources?

The [grievance redress mechanisms \(GRM\)](#) is supported by the:

- The Commission on Administrative Justice (CAJ) also refers to as Office of the Ombudsman: Is an independent commission established by the **Commission on Administrative Justice Act, 2011** pursuant to Article 59 (4) of the Constitution of Kenya. The CAJ is mandated to address all forms of maladministration, promote good governance and efficient service delivery in the public sector by enforcing the right to fair administrative action.
- The National Environment Tribunal (NET): NET is created under section 125 of the **Environment Management & Coordination Act (EMCA)** of 1999. It has the following functions: (i) to hear and determine appeals from NEMA’s decisions and other actions related to issuance, revocation or denial of Environmental Impact Assessment (EIA) licenses or amount of money to be paid under the Act and imposition of restoration orders; and (ii) to give direction to NEMA on any matter of complex nature referred to it by the Director General.
- **Courts:** The Courts have power to hear and determine disputes, primarily of criminal and civil nature. Criminal cases are those in which the State prosecutes a person or an organization for committing an act which is not in the interest of the public, and therefore considered to be an offence against the State. Civil cases originate from a person who seeks redress for a private wrong such as breach of contract, trespass or negligence; or to enforce civil remedies such as compensation, damages or to stop some action. The **Environment and Land Court Act (2011)** has established a superior court that hears and determines disputes relating to the environment and land.

More information on the FGRM is found in Annex 2. Grievances are handled as follows:



Figure 1: Forest Grievance redress mechanism (Source: Republic of Kenya, 2013)

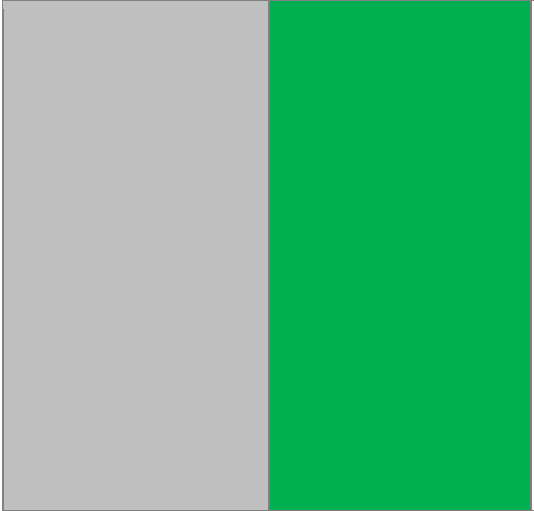
What evidence is there that potentially impacted communities are aware of, have access to, and the mechanism is responsive to feedback and grievances?

### 1b. Consultation, Participation, and Outreach

Sub-component	Progress Indicator	Status as of June 2019
<b>R-PP Component 1: Readiness Organisation and Consultation</b>		
Sub-component 1b: Consultation, Participation and Outreach	Good progress, further development needed.	Extensive consultations involving communities on the ground in seven counties in Kenya were conducted. Sensitization campaigns and REDD+ Academy were held. Consultations were held with academia, communities, government, and NGOs. Two dialogues with communities on land rights and land tenure <sup>2</sup> claims were held. REDD+ academy was held with 63 participants (29 women and 34 men) from the Ministry of Environment and Forestry, KFS, KNCHR, NGECC, NLC, EACC, NACOFA, Council of Governors, NETFUND, Academia, CSO, IPLCs, Private sector and the youth sensitized on REDD+ Readiness Process through a National REDD+ Academy.

Sub-component	Progress Indicator	Status as of June 2021
<b>R-PP Component 1: Readiness Organisation and Consultation</b>		
Sub-component 1b: Consultation, Participation and Outreach	Significant progress	One dialogue with communities on land rights, land tenure claims was held in 2020. Stakeholder engagements were accelerated towards consultations on the National Forest Policy, design of the county model Law, as well as in the drafting of the Nyeri and Elgeyo Marakwet forests and Tree growing polices and Bills. Both virtual and physical meetings

<sup>2</sup> Land rights and tenure claims have been a key challenge in advancing the REDD+ readiness and other conservation in Kenya, hence the investment on the programme.



were held drawing participation of both national and county governments, national government institutions, independent commissions, private sector, academia, civil society organisations, indigenous and local communities.

The media (television, newspapers, and radio) was targeted to especially reach out the information about the project, the policies review process, and the call for action for forest conservation and management. Publications on these platforms as well as social media reached a 17.9K on twitter, and over 25million on radio and television. Articles are also posted on UNDP and Ministry of environment website.

#### Indicator 7: Participation and engagement of key stakeholders

How is the full, effective, and on-going participation of key stakeholders demonstrated through institutional mechanisms (including extra efforts to engage marginalized groups such as forest-dependent women, youth, Indigenous Peoples and local communities)?

The REDD+ stakeholder engagement strategy was developed in 2016 in collaboration between the Ministry of Environment and Forestry, UNDP, FAO, and UNEP. One of the major components of REDD+ Programme support is to increase the engagement of stakeholders based on the recognition that REDD+ will succeed only with the full engagement of civil society organizations (CSO), indigenous peoples (IP) and local communities amongst other key stakeholders in the forest sector.

To ensure participation during the REDD+ implementation and consultation processes, [REDD+ stakeholder engagement](#), and [Free Prior and Informed Consent](#) (FPIC) guidelines were developed and used. Both instruments have ensured the participation of key stakeholders in the consultation and validation processes. Furthermore, the use of Human Rights Based Approach to forest protection, conservation and management guidelines have ensured maximum participation.

The stakeholder engagement guidelines aim at capturing and accounting for the experiences and the views of those affected by the policies, programs, and those involved in their implementation throughout the REDD+ policy and project cycle. As a tool for promotion of transparent and stakeholder-informed policy-making and effective participation in REDD+ initiatives, the guidelines contribute to the establishment of policy frameworks that respect the principles of inclusivity, human-rights, fairness, and citizen participation. The guidelines would therefore ensure that citizen voices and interests are reflected in REDD+ policy and programs, ultimately contributing to safeguarding public interest in REDD+ policy design and development process.

The use of stakeholder engagements guidelines has enhanced the involvement of the indigenous people at the local level in the planning, implementation and decision making has been a key element in the project sustainability. The REDD+ project acknowledges that indigenous populations are sources of local ecological knowledge about environmental dynamics that influence forest sustainability. From a rights-based perspective, greater indigenous self-determination in the management of their traditional lands is a matter of respecting international laws on indigenous rights. This is based on the ability for use, ownership, management, and control of their traditional lands and resources as described by the Free, Prior and Informed Consent (FPIC) principle, recognised as a basic international right of indigenous populations. This approach potentially secured indigenous peoples' rights to their land giving rise to higher levels of biodiversity at lower overall cost. The inclusion and involvement of the indigenous forest dependent communities in the REDD+ planning and implementation enhanced their capacity in forest management, enhanced dialogue with local communities, improved stakeholder equality, identification of community priorities, and place-based decision making.

In 2019 more than 1200 indigenous people (30% women) from Mau Forest and areas inhabited by the Ogiek community 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 contributed to the development of National REDD+ Strategy and will inform the development of 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.

In 2019 1,650 indigenous people (750 women, 900 men) from Nakuru, Narok, Baringo, Bogoria, Mt Elgon, Bomet, Kericho, Maji Mazuri, Sosio and Laikipia were consulted to provide proposals for enhancing community-government partnership in forest conservation and management in forest areas inhabited by the Ogiek of Mau, Maasai, Lembus, Ogiek of Mt Elgon, Sengwer community, and Yaaku community. This resulted in a decision for partnerships to be led by formally constituted Community Forest Associations (CFAs) registered under the Societies Act and include joint tree seedling production, tree planting, conservation of community shrines, protection of endangered tree species and general protection of forested areas.

Gender equality, women and youth empowerment have remained one of the key priority areas for the FCPF REDD+ Readiness project during the design, implementation, and monitoring of the project. There was gender consideration during project design and implementation. The project used UNDP gender mainstreaming approach by addressing gender concerns in developing, planning, implementing, and evaluating all policies and programmes. The involvement of the National Gender Equality Commission has ensured that the women's agenda are taken care of in the planning, implementation, monitoring and

evaluation at all levels. This has ensured that the women's and gender equality related issues are clearly articulated in the forest policies and regulations. Gender equality and women empowerment have been addressed through the inclusion of women representation in the consolidated Technical Working Group (TWG). The inclusion of women in the project implementation and the TWG indicates that women's values and opinions in REDD+ decision making at technical level is upheld. Both female and male youth are represented at the TWG and in the capacity building sessions hence providing opportunities for female youth leadership representation in the project implementation. A recent UNDP midterm evaluation on FCPF REDD+ readiness project on gender vulnerability assessment conducted by the TWG also highlighted the importance of having women in the implementation of REDD+ activities by investigating gender inequalities and vulnerabilities in forest management. The assessment found that there still exist extreme disparities between men and women's representation at grassroots level regarding participation in decision making and governance, forest conservation, access, and management of forest resource. The midterm evaluation on FCPF REDD+ readiness project recommended that 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.

On the other hand, human rights issues have been prioritised during the design, implementation, monitoring and evaluation of the FCPF REDD+ Readiness project. Targeted interventions specific to marginalized groups like the indigenous forest dependent communities who were constantly involved in dialogues on land rights and access to forest resources. The indigenous forest dependent communities have benefited from the REDD+ initiative as it seeks to protect and benefit the marginalized groups, minority populations by enhancing forest conservation. Through engagement of indigenous communities, women and youth in the Technical Working Group, their voices are represented in decision making. The marginalized groups were involved in the development of policies and regulations resulting onto the human rights approach to forest conservation. Further the marginalized people were involved in capacity building e.g., the Kasigau group in Taita Taveta county where more than 70% of the participant were women, youth, and people with disability. To strengthen human rights nexus, the Project established strategic partnerships with human rights defenders like KNCHR and OHCHR. People living with disability were engaged in different forums in the project.

The project has focused on the empowerment of women, youths, and marginalized groups by promoting the human rights-based approach to forest management. For example, the UNDP mid-term evaluation found that out of 1200 community members from Mau Forest and areas inhabited by the Ogiek community, more that 30% were engaged in discussions on human rights-based forest conservation and management through community consultative forums. The consultations informed recommendations made by the National Taskforce for human rights-based conservation and management of forests.

The gender vulnerability assessment on forest conservation, protection and management produced an analysis of perceptions of men and women on the main drivers of deforestation and degradation. It provided evidence of vulnerabilities of forest dependent communities in terms of forest resources access, use, protection, conservation, and management and made appropriate recommendations on gender equality and inclusion to the REDD+ readiness process. The findings and recommendations of the report will be used to inform the national REDD+ National Strategy and Investment Plan and how women's issues should be prioritized in the next phase of project.

The design of the project has clearly outlined the participation and inclusion of women, youth, people with disabilities, and other marginalized demographics. The project design gives attention and reflects on the different needs, roles, and access to and control over resources of women and men. The project establishes concrete priorities to address gender inequalities in its strategy.

The project targets interventions that improve livelihood particularly of local and indigenous communities with a focus to vulnerable groups that include women, youth and people living with disabilities. The Ogiek Taskforce on enhancing participation of indigenous communities in forest conservation, protection, and management was modeled towards sustainable access and user rights of indigenous communities in forests conservation and management. The key informants indicated that this enhanced community livelihoods and benefits sharing".

Capacity building for women and youth on issues related climate change, management and conservation of forest has been a central priority of the project. This is demonstrated by capacity building on land tenure systems and sustainable conservation and management of forests that was conducted with 410 members of communities (39% women, 61% men) from Elgeyo Marakwet County, with additional 4,000 members (28% women, 72% men) from Bungoma, Trans Nzoia, Elgeyo Marakwet, Baringo and Nakuru sensitized on REDD+. The community members were also sensitized on how to lodge claims of historical land injustices through the justice system. This enhanced peaceful coexistence and collaborative efforts between neighboring communities, Kenya Forestry (KFS), National Land Commission (NLC) and other government institutions working on forest conservation and management. It further enhanced representation from the women and youth as important stakeholder constituencies in the REDD+ readiness process.

What are the participatory mechanisms being used to ensure that Indigenous Peoples and forest-dependent communities have the capacity to effectively participate in REDD+ readiness and implementation?

Different participatory mechanisms have been used during the planning and implementation of the REDD+ project. The project adopted face-to-face (physical) meetings, and engaged in social media ([facebook](#), [twitter](#), WhatsApp) and produced materials for electronic and print media.

On the 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. Travel to and from Kenya has been restricted since 6 April 2020 with full lockdowns and curfews imposed between 7 pm to 5 am. This presented an unprecedented challenge to FCPF REDD+ project implementation, slowing down the project delivery and achievement of planned results.

Due to COVID-19 prevalence REDD+ project adopted technological applications for data collections and lessons learning and where possible with local communities. On the other hand, the advent of COVID-19 pandemic has witnessed the FCPF REDD+ embrace new technology to conduct project implementation, monitoring and evaluation through virtual platforms like Zoom and Teams. However, the challenge lies in areas without internet connectivity, marginalized groups without telephone handsets and those without skills to operate android phone or computers. This mode of operation left out a critical mass of key respondents who did not have access to internet connectivity. However, the PMU made efforts to include as many partners as possible to ensure a wide range of stakeholders were involved in the virtual meetings. Whenever the government scaled down COVID-19 measures the PMU organized physical meetings with these stakeholders and ensured all [laid down preventive measures were followed](#).

#### Indicator 8: Consultation processes

◆ What evidence demonstrates that consultation processes at the national and local levels are clear, inclusive, transparent, and facilitate timely access to information in a culturally appropriate form?

Through wide [Stakeholder Engagements](#) the project has supported the formulation of various policies, regulations and guidelines that supports and enhance forest protection and conservation. On 18 November 2020 FCPF REDD+ Readiness project [hosted a national media breakfast meeting](#) in collaboration with the MoEF, CSOs and the implementing partners during which [UNDP Resident Representative and the Permanent Secretary of the MoEF](#) delivered key notes on Strategies to support the National Government on 10% increase in tree cover by 2022.

◆ What evidence is there that the country has used a self-selection process to identify rights holders and stakeholders during consultations?

Free Prior Informed Consent (FPIC), Self-section and participation in any engagement are human rights issues. The REDD+ Readiness project supported the development of the training curriculum and manual on mainstreaming of [Human Rights Based Approach](#) (HRBA) in forest conservation, protection, and management to the Kenya Forest Service Board of Director. The training manual was developed through a highly consultative process led by the Kenya National Commission on Human Rights (KNCHR) in close

collaboration with the Kenya Forest Services. The training manual aims to enhance awareness of the county and national governments officials, the CSO, indigenous people and the private sector on the link between forest conservation and human rights protection. The Human Rights-Based Approach to forest conservation, protection and management manual provides an opportunity to stakeholders to build their capacity on the link between human rights and forest conservation and protection. It provides opportunities to enhance capacity building support for national and local officers, CSOs and local media on linkages between climate change, forest protection and human rights.

The integration and mainstreaming of the HRBA manual in forest conservation, protection, and management was achieved through enhancing capacity building, knowledge development, and skills enhancement of KFS officers. The strategic approach was to sensitize and build capacity of climate change actors in Human Rights-Based Approach (HRBA) in forest conservation, protection, and management. The mainstreaming of the human rights in forest conservation through HRBA places emphasis on the Kenya Constitution and other legal frameworks in forest conservation, protection, and management.

To mainstream the HRBA to forest conservation, protection, and management the Project supported the Training of Trainers (TOT) (10 women and 22 men). The training targeted the lecturers at the Kenya forest college, conservancy commanders and the senior management of Kenya forest service. The Kenya Forest Service Board has since approved the manual curriculum and the guidelines that have now been institutionalized in Kenya forest service and the Kenya Forest College.

The REDD+ project adopted the [national guidelines on FPIC](#) principles which recognizes issues of the indigenous peoples livelihoods, their forest use rights, and policies related to forest use and access and which have been aligned with the international human rights standards through the Free Prior and Informed Consent (FPIC). The new National Forest policy 2020 is aligned to the Free Prior and 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 that all peoples have the right to freely pursue their economic, social, and cultural development.

◆ [What evidence is there that Indigenous Peoples institutions and decision-making processes are utilized to enhance consultations and engagement?](#)

The Cabinet Secretary of the Ministry of Environment and Forestry established a National Taskforce through the [Kenya Gazette Notice Vol. CXX No 134, number 11215](#), dated 2nd November 2018. This was in response to a decision of the African Court on Human and Peoples' Rights issued against the Government of Kenya in respect of the rights of the Ogiek community of Mau Forest and enhancing the participation of indigenous communities in the sustainable management of forests. The Taskforce undertook stakeholder consultations with the indigenous communities living around Mau Forest Complex, Mt Elgon, Cherengany Hills, Mukogondo Forest and neighboring forests blocks. This included field visits and public hearings that reached out to indigenous and local communities, religious and



traditional leaders, local leadership as well as national and county government and independent commissions. The Task force also held targeted stakeholders' consultations that brought different stakeholders separately and jointly to enable triangulation of information and submissions on claims and counterclaims received.

Through the REDD+ readiness process, the following activities were conducted:

- Public hearings and consultative forums, reaching 1200 community members.
- Community meetings in various community stations in Mau Forest in areas inhabited by the Ogiek community, as well as other communities.
- Community meetings in Cherengany forest ecosystem – targeting the Sengwer community and communities living in Elgeyo Marakwet County – (4100 members of community reached). These community members further sensitized more than 4,000 Sengwer from Embobut and Kapolet.
- A public hearing with communities living in Embobut and Kapolet forests complex as well as other neighbouring forests.
- National public forum targeting [national stakeholders, civil society, communities and opinion leaders on indigenous people's participation in forest conservation and management](#) in Nairobi. This enhanced public awareness of REDD+ and forest conservation initiatives; leading to buy-in, active involvement and engagement in the REDD+ readiness process of the Indigenous Peoples and Local Communities.
- Community meetings in [Nakuru, Narok, Baringo, Bogoria, Mt Elgon, Bomet, Kericho, Mazi Mazuri, Sosio and Laikipia](#). These hearings targeted the Ogiek of Mau, Maasai, Lembus, Ogiek of Mt Elgon, Sengwer community, Yaaku community as the indigenous communities living in the areas mentioned. These hearings and meetings provided an opportunity for 1,650 (750 women and 900 men) community members to share their views and proposals for enhancing community-government partnership in forest conservation and management.

◆ **What evidence is there that consultation processes are gender sensitive and inclusive?**

The project employed gender consideration during project design and implementation. The project used [UNDP gender mainstreaming strategy \(2018-2021\)](#) by addressing gender concerns in developing, planning, implementing, and evaluating all policies and programmes. The involvement of [the National Gender Equality Commission](#) has ensured that the women's agenda are taken care of in the planning, implementation, monitoring and evaluation at all levels. This has ensured that the women's and gender equality related issues are clearly articulated in the forest policies and regulations. Gender equality and women empowerment have been addressed through the inclusion of women representation in the consolidated Technical Working Group (TWG). The inclusion of women in the project implementation and the TWG indicates that women's values and opinions in REDD+ decision making at technical level is upheld. Both women and men youth are represented at the TWG and were included in the capacity

building sessions hence providing opportunities for female youth leadership representation in the project implementation.

The project focused on the empowerment of women, youths, and marginalized groups by promoting the human rights-based approach to forest management. For example, of 1200 community members from Mau Forest and areas inhabited by the Ogiek community engaged in discussions on human rights-based forest conservation and management through community consultative forums more than 30% were women. The consultations informed recommendations made by the National Taskforce for human rights-based conservation and management of forests.

Capacity building for women and youth on issues related climate change, management and conservation of forest has been a central priority of the project. This is demonstrated by capacity building on land tenure systems and sustainable conservation and management of forests that was conducted with 410 members of communities (39% women, 61% men) from Elgeyo Marakwet County, with additional 4,000 members (28% women, 72% men) from Bungoma, Trans Nzoia, Elgeyo Marakwet, Baringo and Nakuru sensitized on REDD+. The community members were also sensitized on how to lodge claims of historical land injustices through the justice system. This enhanced peaceful coexistence and collaborative efforts between neighboring communities, Kenya Forestry Service (KFS), National Land Commission (NLC) and other government institutions working on forest conservation and management. It further enhanced representation from the women and youth as important stakeholder constituencies in the REDD+ readiness process.

The REDD+ Readiness project facilitated and provided technical support to the gender inclusion and vulnerability assessment to assess gender inclusion of forest dependent communities in forest conservation, protection, and management processes in Kenya. The assessment provided fundamental information in ensuring gender equality and inclusion of forest dependent communities in the REDD+ readiness processes that will contribute to REDD+ objective of climate change mitigation through sustainable forest conservation and management. Specifically, the assessment purposed to document gender issues; analyses of the perceptions of communities on the drivers of deforestation and forest degradation; examine vulnerability of communities in terms of access and use, protection, conservation and management of forestry related resources; and make appropriate recommendations to inform the key actors and the REDD+ readiness processes. The assessment recommended that 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.

Indicator 9: Information sharing and accessibility of information/ Indicator 10: Implementation and public disclosure of consultation outcomes.

◆ How have national REDD+ institutions and management arrangements demonstrated transparent, consistent, comprehensive, and timely sharing and disclosure of information (related to all readiness activities, including the development of REDD+ strategy, reference levels, and monitoring systems) in a culturally appropriate form?

All the information generated within the FCPF REDD+ Readiness Project is available in the [UNDP Kenya Country office website](#), [FCPF website](#), [REDD+ Kenya Twitter account](#), and [UNDP FCPF Readiness Grant](#). This is socialized to the participants and implementing partners in all the events and meetings related to the Project. Social networks are also used to share the activities carried out within the Project, in coordination with the partners.

◆ What evidence is there that information is accessible to stakeholders (e.g., in a format and language understandable to them) and is being received?

◆ What channels of communications are being used to ensure that stakeholders are well informed, especially those that have limited or no access to relevant information?

REDD+ Readiness project conducted community outreach programmes through CSOs, Community Based Organizations and representatives of the indigenous people to address climate change by [reducing emissions from deforestation & forest degradation](#). Other culturally appropriate outreach initiatives by FCPF REDD+ Readiness include local radio broadcasts which broadcast in vernacular languages like; Kass FM (Kenya): [Promo Kass FM](#) 01 Oct 2020; Maiyan FM (Kenya): [Mayian Ad](#) 01 Oct 2020; Citizen Radio FM (Kenya): [Forest Story](#) 18 Nov 2020. Other evidence is shown in the table below:

*Table 3: Media channels for information dissemination*

<b>Date</b>	<b>Type</b>	<b>Theme</b>	<b>Link</b>	<b>Media</b>
18-Nov-20	Broadcast (TV)	Conserving Forests: UNDP roots for forest conservation	Click <a href="#">here</a>	KTN Prime News(pm)
18-Nov-20	Broadcast (TV)	Enhancing Forest Conservation	Click <a href="#">here</a>	NTV News
18-Nov-20	Broadcast (TV)	Banner highlight: Kenya moves to expediate the expansion of forest cover 43"35	Click <a href="#">here</a>	KBC News
18-Nov-20	Broadcast (TV)	Banner highlight: Kenya moves to expediate the expansion of forest cover 43"35	Click <a href="#">here</a>	KBC News

18-Nov-20	Broadcast (Radio)	Forest Story	Click <a href="#">here</a>	Radio Citizen
19-Nov-20	Digital Newspaper	High demand for timber products threatens forestation efforts	Click <a href="#">here</a>	Star Newspaper
19-Nov-20	Digital Newspaper	Roundup: UNDP to boost reforestation, response to climate change in Kenya	Click <a href="#">here</a>	Xinhua News

## 2 – National REDD+ Strategy Preparation

The project developed a Stakeholder Engagement Plan (SEP) for the development of the National REDD+ Strategy and Investment Plan, defining the roles of the different key actors relevant to the project. These actors included representatives from key public institutions, private sector, financial institutions, indigenous people, local communities, academia and civil society organizations.

The NRS-IP vision requires all stakeholders, including communities, and the private sector, to be involved in strategy formulation and implementation to reduce deforestation and degradation, and promote forest restoration. Building on the work already conducted for REDD+ Readiness, the NRS-IP development process has involved analytical studies to identify the REDD+ Strategy Options. The following analytical studies were undertaken to fill in the knowledge gaps for the development of the strategy: 1) Study on natural resource management and policy: 2) Study on private sector engagement in REDD+ Implementation: 3) Assessment of financing, incentives, and benefit sharing opportunities and options for REDD+ implementation at national and county levels in Kenya: 4) Study on enhancing participation of the marginalized and forest dependent communities in the development and implementation of REDD+ in Kenya.

The development of the NRS-IP will guide phase II of the REDD+ implementation in Kenya beyond 2021. The analytical studies have identified four (4) strategic options that will underpin the development of the National REDD+ Strategy and Investment Plan (NRS-IP): 1) Enhance afforestation, reforestation and landscape restoration programmes for improved livelihoods and environmental conservation: 2) Enhance governance and policy implementation to prevent conversion of forests to other land uses: 3) Support sustainable management of public plantation forests to enhance productivity: 4) Enhancing efficiency, effectiveness and skills throughout forest related value chains.

In June 2021, the consultation and validation process of REDD+ Strategy Options took place during which 36 people representing various groups participated (43 % women, 57% men), from 17 institutions in the public, private and civil society, Indigenous Peoples, farmer communities, academia and finance sectors.

### 2a. Assessment of Land Use, Land-Use Change Drivers, Forest Law, Policy and Governance

**R-PP Component 2: REDD+ Strategy Preparation**

Sub-component 2a	Progress Indicator	Status as at June, 2019
<b>Sub-component 2: REDD+ Strategy Development</b>		
<b>Sub-component 2a</b> Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance	Further development required	Terms of reference had been developed and procurement process for a team of consultants was initiated. The REDD+ strategy would be aligned to the National Strategy for the Attainment and Maintaining 10% Tree Cover. Consultative processes were discussed, including policy and governance issues around forest management.

Sub-component 2a	Progress Indicator	Status as of June, 2021
<b>Sub-component 2: REDD+ Strategy Development</b>		
<b>Sub-component 2a</b> Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance	Significant Progress	A review of drivers of deforestation and forest degradation, land and environmental governance related to REDD+ implementation in Kenya has been finalised. Further an assessment of all REDD+ related laws was conducted in 2015. This process identified opportunities and gaps in legislations under review to align with the Kenya Constitution of 2010. As a result, a review of the National Forest Policy (2016) and Forest conservation and management Act of 2016) was initiated. The studies on drivers of forest degradation identified key national and county levels policies, laws, regulatory frameworks, land tenure, land use change, land use planning, governance, risk management, resource access and use rights, information technology, opportunities for revenues, benefits and livelihood improvements, financial

		<p>instruments including microfinance and cooperatives. The recommendations in these two processes have been included in the National REDD+ Strategy and will further inform the development of the Investment Plan.</p>
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#### Indicator 11: Assessment and analysis

◆ Does the summary of the work conducted during R-PP formulation and preparation present an analysis of recent historical land-use trends (including traditional) and assessment of relevant land tenure and titling, natural resource rights, livelihoods (including traditional/ customary), forest law, policy, and governance issues?

The preparatory studies for the development of the REDD+ National Strategy provided an analysis of recent historical land-use trends (including traditional) and assessment of relevant land tenure and titling, natural resource rights, livelihoods (including traditional/ customary), forest law, policy, and governance issues. It was also conducted in a consultative and participatory process. The studies on drivers of forest degradation identified key national and county levels policies, laws, regulatory frameworks and instruments including benefit sharing in the land use sectors, as well as other relevant sectors that are linked to the successful implementation of REDD+ and assess gaps - these include [Policies, Laws, and Regulations \(PLRs\)](#) - related to agriculture, energy, land tenure, land use change, land use planning, governance, risk management, resource access and use rights, information technology, opportunities for revenues, benefits and livelihood improvements, financial instruments including microfinance and cooperatives.

#### Indicator 12: Prioritization of direct and indirect drivers/barriers to forest carbon stock enhancement

◆ How was the analysis used to prioritize key direct and indirect drivers to be addressed by the programs and policies included in the REDD+ strategy?

◆ Did the analysis consider the major barriers to forest carbon stock enhancement activities (if appropriate) to be addressed by the programs and policies included in the REDD+ strategy?

The REDD+ analytical study focused on key drivers of deforestation, forest degradation, barriers to forest restoration and investments; policy and institutional reform required to improve existing practices for conservation and sustainable management of forests for delivery of REDD+; and national and county institutions and institutional arrangements required for the implementation of REDD+ options.

The analytical study also identified opportunities that exist, which can enhance participation and contribution of indigenous peoples and local communities in implementation of REDD+. It further

outlined collaboration, networking, and partnership opportunities for forest resources governance by communities and government agencies. This includes proposal for Community-Based Monitoring Information Systems (CBMIS) at the community level to be integrated in the National REDD+ Strategy and Investment Plan.

The analytical study highlighted key factors that influence the capacity and ability of Community Forests Associations (CFAs) in forest resources governance, existing challenges, and opportunities for enhancing community participation and collaboration in forest management and conservation. It identified opportunities for enhancing tree cover in open public spaces, community land and private farms. Stakeholder engagement sessions with implementing partners at the national, county, and community levels were convened to discuss the studies, findings and to ultimately inform the development of the National REDD+ strategic options.

The analytical study identifies [barriers to forest restoration, sustainable forest management and enhancement of carbon stocks](#) as: inadequate implementation of policies to promote the use of alternative and sustainable fuels; lack of disincentives for the continued use of unsustainable fuel products; lack of land-use planning at local level; uncertainty over land tenure or short leases leading to limited investment in planting and forests maintenance; insufficient coordination efforts at the institutional level, leading to inefficient communication on forest policies, laws and regulations; lack of data harmonization across agencies (national and county level); limited capacities of Community Forests Associations (CFAs), and other similar bodies to support communities implementing sustainable forestry practices; pressure on highly productive lands for agriculture (i.e. where forested land is being converted to agriculture); limited climate related investment in the forest sector compared to needs; and lack of incentives for sustainable forestry management, afforestation-reforestation and conservation activities.

#### Indicator 13: Links between drivers/barriers and REDD+ activities

◆ What evidence demonstrates that systematic links between key drivers, and/or barriers to forest carbon stock enhancement activities (as appropriate), and REDD+ activities were identified?

Within the framework of the UN-REDD National Programme, **assessment of drivers of deforestation and forest degradation, policies, laws, regulatory and institutional framework to support REDD+ was conducted through a highly consultative and participatory process**, which has served to inform the development of REDD+ strategy options and data on the direct and indirect causes of deforestation in Kenya. These main drivers are highlighted to have a complete picture that allows understanding of the dynamics associated with the process of deforestation, and thus have a common thread when visualizing the measures and actions to address these causes. The **assessment of drivers of deforestation and**

**forest degradation** in Kenya reported that deforestation is a process that responds to multiple causes depending on the productive model used, basically an extractive one, pointing to the expansion of subsistence agriculture, commercial agricultural business sectors, infrastructural development, population increase, wood extraction, wildlife and uncontrolled grazing patterns.

The assessment identified various barriers to restoration, Sustainable Forest Management (SFM) and enhancement of carbon stocks in order to establish sustainable forestry, which is important for REDD+ implementation. The most notable barriers, their significance in relation to REDD+ as well as recommendations which were identified in the assessment are presented in table 4. The prioritization and analysis of the causes of deforestation will form the basis for the formulation and construction of the National REDD+ Strategy and Investment Plan-NRS-IP which will be carried out in a participatory manner with representatives of the key sectors.

- Levels of significance: Low Key: ■ = High, ■ = Low, ■ = Moderate

*Table 4: Barriers to restoration, SFM and enhancement of carbon stocks*

Category	Description	Applies to			Key recommendations
		Restoration	SFM <sup>3</sup>	Enhancement of carbon stocks	
Policy	<ul style="list-style-type: none"> <li>• Inadequate effort and incentives to increase public forest area by afforestation on unstocked lands and improving the quality of standing forests (thinning, pruning, extension of rotation age...).</li> <li>• Insufficient efforts to increase private forest area (commercial</li> </ul>	■	■	■	<ul style="list-style-type: none"> <li>• Provide incentives to increase afforestation and reforestation on private lands.</li> <li>• Develop and enforce SFM codes and standards.</li> <li>• Build capacity of county governments to implement the devolved forestry functions.</li> <li>• Promote sustainable land-use planning policies and initiatives.</li> </ul>

<sup>3</sup> SFM includes all type of forestry management including management of public plantations



	<p>forestry) by incentivising plantation schemes through direct incentives, and provision of extension services, etc.</p> <ul style="list-style-type: none"> <li>• Insufficient policies to protect forests from agricultural and urban expansion.</li> <li>• Lack of adequate consideration for forests in planning policies.</li> <li>• Lack of land-use planning at local level (designation of land for commercial forestry, agriculture/agroforestry, conservation, urban expansion etc.).</li> <li>• Inadequate promotion of climate smart agriculture practices and incentives.</li> <li>• Tax burden on efficient technologies limiting their uptake (e.g., taxation of clean cookstoves and fuels by manufacturer (as per the Finance Act, 2020).</li> <li>• Inadequate implementation of policies to promote the use of alternative and sustainable fuels / lack of disincentives for the continued use of</li> </ul>				<ul style="list-style-type: none"> <li>• Provide incentives for adoption of sustainable fuels.</li> </ul>
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	unsustainable fuel products.				
Governance	<ul style="list-style-type: none"> <li>• Unsustainable management of forests, including planning, silviculture, harvesting practices, in-forest transport, etc.</li> <li>• Inadequate human resources for protection of forests (forest management) in some government agencies.</li> <li>• Insufficient coordination efforts at the institutional scale, leading to inefficient communication on forest policies, laws and regulations.</li> <li>• Limited coordination between the ME&amp;F and the Ministry of Agriculture in order to promote incentives to develop agroforestry practices and integrated livestock and agriculture practices.</li> <li>• Lack of harmonisation of forest related data (national and county level).</li> <li>• Lack of early warning systems for wildfires / resource to be able to respond quickly.</li> </ul>	•	•	•	<ul style="list-style-type: none"> <li>• Develop and enforce SFM codes and standards.</li> <li>• Enhance ministerial agency coordination (e.g., between environment, agriculture and energy ministries and county governments)</li> <li>• Build the human and technical capacity of agencies involved in forestry management.</li> </ul>

	<ul style="list-style-type: none"> <li>• Land tenure – uncertainty over land tenure or short leases lead to lack of investment in planting and maintaining forests.</li> <li>• Limited coordination between forest, agriculture and energy policies.</li> </ul>				
Technical	<ul style="list-style-type: none"> <li>• Inadequate or ineffective planning of sustainable forest management (silviculture, in-forest access, etc.).</li> <li>• Inefficiency in harvesting and wood processing activities.</li> <li>• Limited capacities of Community Forests Associations (CFAs), charcoal producers' associations (CPAs) and other similar bodies to support communities implementing sustainable forestry practices.</li> <li>• Lack of promotion of sustainable forestry product value chains.</li> <li>• Limited skills and knowledge within silviculture, plantation management and harvesting,</li> </ul>	•	•	•	<ul style="list-style-type: none"> <li>• Facilitate through tax incentives adoption of up to date technologies.</li> <li>• Skills enhancement and development of staff across all forest value chains.</li> <li>• Promote cost-effective technologies to achieve high emission reductions at large scale: (i) high yield processing units (improved kilns and retorts) for charcoal production, both at industrial and artisanal level, and (ii) improved cookstoves for urban and rural households</li> <li>• Promote deforestation-free, affordable, alternative sources of energy for households in urban and rural areas</li> <li>• Strengthening of CPAs and CFAs</li> </ul>

	<p>sawmilling/wood processing.</p> <ul style="list-style-type: none"> <li>• Unskilled sawmill operators and/or inadequate supervision.</li> <li>• Inadequate understanding of the impact of deforestation and degradation (local scale, but also at a national scale).</li> <li>• Poor understanding of alternative fuels and technologies to reduce reliance of fuelwood.</li> <li>• Low productivity- poor access to improved germplasm and quality planting material.</li> <li>• Use of inefficient energy conversion technologies such as traditional earth kilns during charcoal production.</li> </ul>				
Demography	<ul style="list-style-type: none"> <li>• Urban expansion that had led to urban forest encroachment</li> <li>• Pressure on highly productive lands for agriculture (i.e., where forested land is being converted to agriculture).</li> <li>• Increased numbers of livestock that encroach on forests and other fragile ecosystems</li> </ul>	•	•	•	<ul style="list-style-type: none"> <li>• Promote sustainable forest management planning, integrated forest-crop-livestock management, and intensification of agriculture practices, and adoption of grazing plans.</li> </ul>

Economic	<ul style="list-style-type: none"> <li>• High cost of forest plantations establishment and maintenance in absence of financial incentives.</li> <li>• Lower return on investment of commercial forestry in comparison with other land-use activities.</li> <li>• High interest rates on loans vs. long term rate of returns in forestry investments.</li> <li>• High equipment purchases costs partly due to high taxation on imported equipment/machinery.</li> <li>• Limited climate-related investment in the forest sector compared to needs.</li> <li>• Lack of incentives for sustainable forestry management, afforestation- reforestation and conservation activities.</li> <li>• Tax burden on efficient technologies limiting their uptake.</li> <li>• Poor infrastructure, including in-forest roads, and low-performing poorly maintained machinery and equipment.</li> </ul>	•	•	•	<ul style="list-style-type: none"> <li>• Provide tax incentives to stimulate investments in the forestry sector.</li> <li>• Increase forest productivity by using high quality plantation germplasm, use of appropriate silvicultural practices such as thinning, pruning.</li> <li>• Provide mechanisms to secure long term forest investments by private individuals.</li> <li>• Provide incentives to renew (or retrofit) equipment that has improved environmental safeguards and performance.</li> <li>• Develop micro-credit and other forms of rural credit incentives for plantation establishment.</li> </ul>
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	<ul style="list-style-type: none"> <li>• Limited public financing for affordable, alternative deforestation-free energies.</li> <li>• High reliance on cheap, easily accessible wood fuel products (fuelwood/charcoal) combined with lack of access to alternative fuels.</li> </ul>				
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Indicator 14: Action plans to address natural resource rights, land tenure, governance

◆ Do action plans to make progress in the short-medium- and long-term towards addressing relevant, land-use, land tenure and titling, natural resource rights, livelihoods, and governance issues in priority regions related to specific REDD+ programs, outline further steps and identify required resources?

Community dialogues on [Land Tenure and Sustainable Forest Governance](#) was conducted in December 2019 through the technical support of the National Land Commission (NLC) during which the indigenous communities were represented by 410 members (39% women, 61% men) from Elgeyo Marakwet County, with additional 4,000 members (28% women, 72% men) from Bungoma, Trans Nzoia, Elgeyo Marakwet, Baringo and Nakuru. They 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 will enhance harmony between communities, Kenya Forest Service (KFS), National Land Commission (NLC) and other government institutions working on forest conservation and management.

The NLC led community dialogues focused on land tenure, historical land injustices and sustainable land forest governance with forest dependent communities from Laikipia County focusing on the indigenous community of Yaaku in Mukogondo forest on December 16-18, 2019. The dialogues sought to

understand their land tenure systems, identify their claims, and recommend ideas for sustainable management of forest and forest resources amongst forest dwelling communities. The consultation forum held in Nanyuki brought together 50 representatives (23 women and 27 men) from the Yaaku Community. During the dialogues, the stakeholders were sensitized on Historical Land Injustices (HLI): the process and admissibility criteria; forest conservation policies and laws; minority and marginalized communities and indigenous people; draft national forest policy; human rights-based approach (HRBA) to sustainable forest management; role of the National Coalition of Community Forest Association (NACOFA); and Ethics in Forest Conservation and Management. The dialogue resulted to a number of key resolutions:

- i) Translate and sensitize local communities on the relevant policies and legislation in the local language.
- ii) Constitute/establish a multi-agency team to lead the investigation into the present and historical land injustices and make appropriate recommendations to the various relevant organizations.
- iii) Analyse/conduct research on the existing reports, proposals and policies regarding the indigenous forests, land rights and sustainable forest management.
- iv) NLC to kick off the review of the HLI claims submitted previously including the establishment of a register for local communities and indigenous peoples.

#### Indicator 15: Implications for forest law and policy

◆ Does the assessment identify implications for forest or other relevant law and policy in the long-term?

Through the support from the MoEF, the REDD+ Readiness project facilitated the commissioning and review of the [National Forest policy 2016](#) which resulted in the development of the draft [National Forest policy 2020](#). This was necessitated by new developments and emerging issues in the forestry sector that require further articulation including, among others, institutional alignment and reforms, forest governance, land and forest tenure, sustainable forest management, climate change, green economy policy requirements, devolution of key aspects of forest management in Kenya, entrenching public participation in forest management, enhancing private sector investment in the forest sector. One fundamental element of the draft National Forest policy is the establishment of the National Forest Regulatory Authority which will be charged with regulating forest sector in Kenya and setting standards for Kenya. This is the first time since 1957 (since independence in 1963) that Kenya has established a National Forest Regulatory Authority. The establishment of the Forest Regulatory Authority came through the recommendation that was made during the development of the new National Forest policy 2020. The new Forest Policy 2020 draft provides a framework for improved forest governance, resource allocation, partnerships and collaboration between the national and county governments, the private sector and non-state actors. It also provides for monitoring and evaluation of the national forest initiatives to enable the sector to contribute to the achievement of the country's growth and poverty alleviation goals within

a sustainable environment. The new forest policy is designed to mainstream forest conservation, protection, and management into national land use systems.

**2b. REDD+ Strategy Options**

**R-PP Component 2: REDD+ Strategy Preparation**

Sub-component	Progress Indicator	Status as of June 2019
<b>Sub-component 2b:</b> REDD+ Strategy Options		
<b>Sub-component 2b:</b> REDD+ Strategy Options	Further development required	Review of the National Forestry Policy and Forest Act 2016 was initiated. Data collection from the public and stakeholders is ongoing. Several consultative forums were held (both organized by the project and by other stakeholders independently to garner comments on this important policy. Consultants to undertake five (5) analytical studies on (i) Natural Resource Management and Policy; (ii) Private Sector Engagement in REDD+ Implementation; (iii) Assessment of financing, incentives, and benefit sharing opportunities and options for REDD+ implementation at national and county levels in Kenya; (iv) Enhancing participation of the marginalized communities and forest dependent communities in the development and implementation of REDD+ in Kenya; and (v) REDD+ Strategy development and Investment Plan have been commissioned. These studies aimed to inform the development of the REDD+ National Strategy and Investment Plan.

Sub-component	Progress Indicator	Status as of June, 2021
<b>Sub-component 2b:</b> REDD+ Strategic Options		
<b>Sub-component 2b:</b> REDD+ Strategic Options	Significant progress	Four (4) analytical studies have been conducted on: 1) Natural resource management and policy; 2) private sector engagement in REDD+ implementation; 3) assessment of financing, incentives, and benefit sharing opportunities, and 4) enhancing participation of the



Sub-component	Progress Indicator	Status as of June, 2021
		<p>marginalized and forest dependent communities in the development and implementation of REDD+ in Kenya. Five (5) strategic options were identified and validated in a multi-stakeholder engagement process. The following strategy options were identified:</p> <ol style="list-style-type: none"> <li>1) Scaling up afforestation, reforestation and landscape restoration programmes for livelihood improvement <ul style="list-style-type: none"> <li>• Incentivize tree growing investments on private land.</li> <li>• Create mechanisms for afforestation in community lands to enhance cultural, environmental and biodiversity benefits</li> <li>• Increase afforestation and reforestation activities through landscape restoration in drylands</li> <li>• Promote PES systems including carbon by the private sector</li> <li>• Improve productivity of agricultural value chains.</li> <li>• Enhance protection of existing forest resources</li> </ul> </li>   <li>2) Enhance governance and policy implementation to prevent conversion of forests to other land uses <ul style="list-style-type: none"> <li>• Support implementation of the national values and principles of good governance</li> <li>• Enhance capacity of County Governments, private sector and Communities to implement the devolved forestry functions</li> <li>• Review and harmonize policies, laws and institutions relating to forest management</li> <li>• Support implementation of management plans for all forests</li> </ul> </li>   <li>3) Increase productivity of public plantation forests <ul style="list-style-type: none"> <li>• Efficient and effective management of public forest plantations.</li> <li>• Support participation of non-state actors in public plantation programmes.</li> <li>• Enhance transparency in management including information sharing</li> </ul> </li> </ol>

Sub-component	Progress Indicator	Status as of June, 2021
		<p>4) Enhance efficiency, effectiveness and skills throughout forest related value chains</p> <ul style="list-style-type: none"> <li>• Promote cost-effective technologies to achieve high emission reductions at large scale.</li> <li>• Improve the forest resource value chain</li> </ul> <p>5) Mobilise Finance for implementation of REDD+ in Kenya.</p> <ul style="list-style-type: none"> <li>• Strengthen national capacity for mobilization of local and international funds</li> <li>• Establish a multi partner trust fund for forestry development.</li> <li>• Build capacity of local experts to certify and monitor REDD+ projects</li> </ul>

Indicator 16: Selection and prioritization of REDD+ strategy options

◆ Were REDD+ strategy options (prioritized based on comprehensive assessment of direct and indirect drivers of deforestation, barriers to forest enhancement activities and/or informed by other factors, as appropriate) selected via a transparent and participatory process?

In May 2021, the [conclusion of the four streams of the analytical studies](#) gave way to the prioritization and analysis of direct and indirect causes of deforestation in Kenya which underpinned the development of the REDD+ strategy options. The process was highly participatory, consultative, and inclusive with national, county, community and indigenous people represented and participating. The finalization of the strategy options was done during a national workshop held between 07-12 June 2021 in Machakos town. A team of 31 participants (9 women, 22 men) that formed the stakeholders' committee were drawn from 18 national institutions, communities, and indigenous people.

In identifying the Strategic options, the assessment specifically addressed the four problems/REDD+ activities as described below:

- Strategic option 1 is about enhancement of carbon stocks. This is prioritized first because of the need to plant and grow trees not only for carbon benefits but also the variety of environmental and social benefits. Tree planting is anchored in nearly all environmental/developmental/climate change/agriculture/land use PLRs. Enhancement of carbon stocks also include conservation of existing forests so that their status can improve (Canopy enhancement).

- Strategic option 2 is about reducing deforestation and forest degradation. It seeks to address/arrest drivers that have historically resulted in deforestation and forest degradation.
- Strategic option 3 is purely addressing the REDD+ activity related to sustainable management of forests in public/government plantation/commercial zones. It has the least mitigation potential, but it supports Kenya's construction industry and other wood-based industries (e.g., paper production) which have collapsed due to poor supply of forest plantation products. It is about supporting KFS and other stakeholders like the private sector and the communities participating effectively in sustainable management and supply of wood products from the forest plantation zones.
- Strategic objective 4 is about creating efficiency. Lack of efficiency has resulted to wastages and over-cutting. Therefore, this is a crosscutting mitigation action and (a) supports reducing deforestation by reducing trees cut for specific purposes; (b) supports tree planting/enhancement of carbon stocks because it adds value to the tree products and; (c) supports Sustainable management of forests because it promotes efficient use of the forest products from the public plantations. Table 5 illustrates the strategy options that were identified and validated.

*Table 5: REDD+ Strategic Options areas of investment and Actions to support investment*

<b>Strategic Options</b>	<b>Strategic Investments /investment areas</b>	<b>Actions for investment</b>
<b>1.</b> Scaling up afforestation, reforestation, and landscape restoration programmes for livelihood improvement	<ul style="list-style-type: none"> <li>• Incentivize tree growing investments on private land.</li> </ul>	<ul style="list-style-type: none"> <li>• Develop and implement a commercial forestry strategy</li> <li>• Implement the tree improvement strategy</li> <li>• Create incentives for afforestation and reforestation programmes in private land</li> <li>• Establish tree growers cooperatives</li> <li>• Provide platforms for corporates to support large scale CSR/CSI tree growing and management programmes.</li> <li>• Create mechanisms for PPP in REDD+</li> <li>• Improve germplasm and develop mass production programmes</li> <li>• Develop a system to distribute improved germplasm to relevant stakeholders</li> </ul>
	<ul style="list-style-type: none"> <li>• Create mechanisms for afforestation in community lands to enhance cultural,</li> </ul>	<ul style="list-style-type: none"> <li>• Map out community lands with potential for REDD+ implementation and create Targeted campaigns for tree growing</li> <li>• Develop integrated livelihood strategies that incorporate trees within community lands</li> </ul>

Strategic Options	Strategic Investments /investment areas	Actions for investment
	<p>environmental and biodiversity benefits</p>	<ul style="list-style-type: none"> <li>• Develop and implement management plans that catalyze tree growing in community forests with clear guidelines on roles, responsibilities and benefits for all actors</li> </ul>
	<ul style="list-style-type: none"> <li>• Increase afforestation and reforestation activities through landscape restoration in drylands</li> </ul>	<ul style="list-style-type: none"> <li>• Develop tree growing programmes using ideal dryland species</li> <li>• Develop and implement an integrated system for fire management in fire prone areas</li> <li>• Provide options for land preparation without burning</li> <li>• Promote alternatives to land clearing and charcoal making including alternative sources of energy</li> <li>• Implement improved livestock grazing management systems.</li> <li>• Support mass production of germplasm/propagation material/seedlings for ideal dryland species</li> <li>• Support technologies that improve survival of dryland species</li> </ul>
	<ul style="list-style-type: none"> <li>• Promote PES systems including carbon by the private sector</li> </ul>	<ul style="list-style-type: none"> <li>• Establish a national registry with a documentation and approval system for REDD+ projects</li> <li>• Establish an accounting system where the contribution of the private sector in meeting national GHG targets can be assessed</li> <li>• Clarify definitions of carbon rights and tenure rights to streamline benefit sharing mechanism for all stakeholders</li> <li>• Strengthen capacity at the County level to develop projects</li> </ul>
	<ul style="list-style-type: none"> <li>• Improve productivity of agricultural value chains.</li> </ul>	<ul style="list-style-type: none"> <li>• Implement the National Agroforestry strategy</li> <li>• Create mechanisms that support sustainable management of livestock grazing</li> <li>• Support growing of tree crops that provide wood resources (besides livelihood benefits)</li> </ul>

Strategic Options	Strategic Investments /investment areas	Actions for investment
		<ul style="list-style-type: none"> <li>• Support commercial Bamboo production</li> <li>• Introduce credit facilities for farmers to plant trees</li> <li>• Promote tree farmer cooperatives</li> <li>• Support domestication of high value trees on farms</li> </ul>
	<ul style="list-style-type: none"> <li>• Enhance protection of existing forest resources</li> </ul>	<ul style="list-style-type: none"> <li>• Strengthen capacity of KFS and KWS in enforcing protection of forests</li> <li>• Enhance institutional coordination for forest protection of existing forests</li> </ul>
<p><b>2.</b> Enhance governance and policy implementation to prevent conversion of forests to other land uses</p>	<ul style="list-style-type: none"> <li>• Support implementation of the national values and principles of good governance</li> <li>• Enhance capacity of County Governments, private sector and Communities to implement the devolved forestry functions</li> </ul>	<ul style="list-style-type: none"> <li>• Develop, adopt and enforce anticorruption policies and guidelines (e.g. REDD+ anti-corruption guidelines )</li> <li>• Support public participation in matters pertaining REDD+</li> <li>• Adopt and domesticate international guidelines on FLEGT</li> <li>• Promote advocacy for national values and principles of good governance</li> <li>• Integrate REDD+ in County planning (CIDP), climate change action plans and in spatial and physical planning processes</li> <li>• Clarify land ownership and benefit sharing arrangements to stimulate participation of communities and private sector in REDD+ activities</li> <li>• Implement registration of forests held in trust by County governments, and on Community lands by KFS, to plan for extension support</li> <li>• Support registration of community forests to ensure their conservation in group ranches undergoing subdivision</li> <li>• Develop incentives for forest conservation including PES programmes in - forests</li> <li>• Establish a framework for Nesting REDD+ activities</li> </ul>

Strategic Options	Strategic Investments /investment areas	Actions for investment
		<ul style="list-style-type: none"> <li>• Develop cross sectoral policies to address deforestation and forest degradation</li> </ul>
	<ul style="list-style-type: none"> <li>• Review and harmonize policies, laws and institutions relating to forest management</li> </ul>	<ul style="list-style-type: none"> <li>• Establish a forest regulatory authority to coordinate forest sector development in the country</li> <li>• Finalise the Draft National Forest policy-</li> <li>• Amend the FCMA 2016 to align to the Forest Policy</li> <li>• Mainstream REDD+ in the FCMA 2016</li> <li>• Develop and implement a code of ethics on standards and implementation of SFM</li> <li>• Develop and implement a benefit sharing mechanism for REDD+</li> <li>• Strengthen research in forestry -</li> <li>• Strengthen IPLC based institutions to support REDD+ implementation</li> <li>• Review the PPP Act to strengthen private sector engagement</li> <li>•</li> <li>• Revise the definition of mangrove areas to allow appropriate demarcation of boundaries of mangrove ecosystems</li> </ul>
	<ul style="list-style-type: none"> <li>• Support implementation of management plans for all forests</li> </ul>	<ul style="list-style-type: none"> <li>• Develop and implement management plans for public, community and private forests with clear guidelines on roles, responsibilities and benefits for all actors</li> <li>• Involve communities in designing and implementation of REDD+ programmes in community forests through FPIC</li> <li>• Develop protocols for total valuation of forests and ecosystems to determine the true value of forest products and services</li> <li>• Incentivize activities that result to reduced deforestation and degradation</li> </ul>

Strategic Options	Strategic Investments /investment areas	Actions for investment
<p><b>3.</b> Increase productivity of public plantation forests</p>	<ul style="list-style-type: none"> <li>• Efficient and effective management of public forest plantations.</li> <li>• Support participation of non-state actors in public plantation programmes</li> <li>• Enhance transparency in management including information sharing</li> </ul>	<ul style="list-style-type: none"> <li>• Increase funding for public plantation management to support sustainable management</li> <li>• Increase forest productivity using high quality germplasm and appropriate silvicultural practices.</li> <li>• Develop protocols to monitor implementation of forest management plans for public forest plantations</li> </ul> <hr/> <ul style="list-style-type: none"> <li>• Map out forest with potential for concessions</li> <li>• Develop guidelines for Concessions and contracts to allow the private sector secure long term investments.</li> <li>• Streamline the participation of communities in the plantation establishment and Livelihood improvement Scheme (PELIS)</li> <li>• Develop a framework for integrating non state actors in the sale of forest products</li> </ul> <hr/> <ul style="list-style-type: none"> <li>• Support Inclusive participation of stakeholders in decision making and implementation</li> <li>• Develop and implement a transparent forest information system</li> </ul>
<p><b>4.</b> Enhance efficiency, effectiveness and skills throughout forest related value chains</p>	<ul style="list-style-type: none"> <li>• Promote cost-effective technologies to achieve high emission reductions at large scale.</li> <li>• Improve the forest resource value chain</li> </ul>	<ul style="list-style-type: none"> <li>• Engage charcoal producers to adopt improved kilns and retorts for charcoal production</li> <li>• Support small scale saw millers to adopt low waste logging and saw milling equipment</li> <li>• Promote use of improved cook stoves for urban and rural households.</li> <li>• Engage other stakeholders involved in the forest/tree value chain</li> </ul> <hr/> <ul style="list-style-type: none"> <li>• Develop the tree value chain for better wood valuation and increased returns on investment</li> <li>• Develop wood certification to improve chain of custody</li> </ul>

Strategic Options	Strategic Investments /investment areas	Actions for investment
		<ul style="list-style-type: none"> <li>• Promote sustainable production and efficient utilization of biomass energy including use of wastes to produce pellets and briquettes.</li> <li>• Revise existing building codes and enhance them to meet current requirements for the construction industry</li> <li>• Create incentives for high efficiency wood conversion technologies</li> <li>• Develop an eco labelling standard for marketing of charcoal</li> <li>• Enhance awareness on the use of improved technologies</li> <li>• Support human capacity for using advancing technology</li> <li>• Support research and innovation along the tree value chain to improve the value of tree growing</li> <li>• Support small growers to consolidate their processing</li> <li>• Support the construction of green buildings</li> <li>• Promote sustainable procurement policies along the tree value chain</li> </ul>
<p><b>5.</b> Mobilise Finance for implementation of REDD+ in Kenya</p>	<ul style="list-style-type: none"> <li>• Strengthen national capacity for mobilization of local and international funds.</li> <li>• Establish a multi partner trust fund for forestry development.</li> <li>• Build capacity of local experts to certify and monitor REDD+ projects</li> </ul>	<ul style="list-style-type: none"> <li>• Undertake a full economic valuation of forestry resources to support increased funding from the exchequer.</li> <li>• Strengthen capacity for project development targeting local and global multilateral financiers.</li> <li>• Establish mechanisms for attracting private finance.</li> <li>• Implement the Green Fiscal incentive policy.</li> <li>• Develop a dedicated policy for Green Financing.</li> <li>• Develop Dedicated forestry bonds.</li> <li>• Support policies that increase finance allocation to the forestry sector at County level.</li> <li>• Establish a domestic carbon pricing policy that includes REDD+ as an eligible offset type to incentivize investments in REDD+ credits.</li> <li>• Establish clear national authorization processes for reviewing and approving and accounting for</li> </ul>



Strategic Options	Strategic Investments /investment areas	Actions for investment
		<p>mitigation outcomes for use towards international compliance obligations.</p> <ul style="list-style-type: none"> <li>• Develop and support a resource mobilisation plan.</li> <li>• Develop a framework for operationalization of the fund.</li> <li>• Align the fund to the public finance management Act, 2020.</li> <li>• Engage various stakeholders on capacity building to monitor REDD+ Projects.</li> <li>• Mainstream REDD+ and carbon accounting in institutions of learning.</li> <li>• Establish community of practice on REDD+</li> </ul>

◆ Were the expected emissions reduction potentials of interventions estimated, where possible, and how did they inform the design of the REDD+ strategy?

Kenya’s FRL is informing the design of the REDD+ Strategy. An estimate of the potential for emission reduction was carried out and an [MRV](#) mechanism was proposed to monitor, report, and verify the mitigation activities raised therein.

Kenya developed and submitted its first [NDCs](#) in December 2016, which includes some of the measures in the proposed strategy as key elements in the process of reducing GHG emissions by 2030. In this regard, the NRS-IP will be a guiding document for the management of policies, actions, and measures that contribute to the implementation of NDCs submitted by the country to the international community, within the scope of the Paris Agreement.

Kenya’s [Forest Refence Level \(FRL\)](#) was finalized and submitted to UNFCCC in January 2020. The FRL was developed with support from JICA. This FRL was informed by extensive interaction with the Technical Assessment Teams, that included FCPF REDD+ Readiness Project, which identified key issues to be included in the FRL. Based on comments and feedback from UNFCCC, and further engagement at the national level, response was provided to UNFCCC in January 2020. The technical assessment was received in August 2020. The various building blocks for establishing the FRL were comprehensively discussed and agreed by a Technical Working Group established to offer technical guidance for FRL development under the CADEP project. The REDD+ Readiness project supported the consultations. The scale is national and the scope of activities includes: Reducing emissions from deforestation, Reducing emissions from forest degradation, Sustainable management of forest and Enhancement of forest carbon stocks; Gases cover

only CO2 and Pools are Above Ground Biomass (AGB) and Below Ground Biomass (BGB). The Reference period is 2002-2018 the proposed reference level is 52,204,059 t CO2/year.

*Table 6: Historical and projections of carbon emissions associated with REDD+ activities*

REDD+ Activity	2002-2006	2006-2010	2010-2014	2014-2018	2018-2022	2022-2026	2026-2030
Deforestation	48,166,940	48,166,940	48,166,940	48,166,940	48,166,940	48,166,940	48,166,940
Degradation	10,885,950	10,885,950	10,885,950	10,885,950	10,885,950	10,885,950	10,885,950
Sustainable management of forest	2,681,433	2,681,433	2,681,433	2,681,433	2,681,433	2,681,433	2,681,433
Enhancement	-9,530,264	-9,530,264	-9,530,264	-9,530,264	-9,530,264	-9,530,264	-9,530,264
<b>Total (Emission estimates)</b>	<b>52,204,059</b>	<b>52,204,059</b>	<b>52,204,059</b>	<b>52,204,059</b>	<b>52,204,059</b>	<b>52,204,059</b>	<b>52,204,059</b>

The FRL identifies historical emissions associated with each of the REDD+ activities and this is projected into the future based on a BAU scenario (See table 6) - Deforestation (48,166,940 Mt CO2), Forest degradation (10,885,950 Mt CO2), Sustainable management of Forests (2,681,433 Mt CO2), Enhancement of Carbon Stocks (-9,530,264 Mt CO2). Besides, the emissions, the FRL has provided statistics of forest cover change by each forest strata which illustrates where each of the problem is manifested (deforestation, forest degradation, sustainable management of forests and enhancement of carbon Stocks).

Indicator 17: Feasibility assessment

◆ Were REDD+ strategy options assessed and prioritized for their social, environmental, and political feasibility, risks and opportunities, and analysis of costs and benefits?

In 2014 a roadmap for [Strategic Environmental and Social Assessment \(SESA\)](#) in support of a REDD+ Strategy for Kenya was developed. A SESA study will be conducted once the NRS-IP is validated. The ToRs for SESA have been developed and the process of hiring SESA consultant initiated. SESA will be conducted based on the REDD+ strategic options identified. On the other hand the project adopted UNDP's [Social and Environmental Screening Procedure \(SESP\)](#). The SESA study is expected to be finalised by December 2021 together with costs and benefits analysis.

Indicator 18: Implications of strategy options on existing sectoral policies

◆ Have major inconsistencies between the priority REDD+ strategy options and policies or programs in other sectors related to the forest sector (e.g., transport, agriculture) been identified?

- ◆ Is an agreed timeline and process in place to resolve inconsistencies and integrate REDD+ strategy options with relevant development policies?
- ◆ Are they supportive of broader development objectives and have broad community support?

There have been inconsistencies relating to agricultural expansion and infrastructural development. Forest conservation and ecosystem restoration in Kenya are under heavy pressure from competing agricultural land uses and from illegal logging. This is mainly due to [high population growth rates and an agriculturally based economy](#) which has put pressure on forestry resources as more land is being cleared for farming activities. The ecological and economic consequences of population pressure which have implications on forest policies, land-use and land tenure policies and regulations. The Kenyan Government has prioritised infrastructural development as a key driver to achieving economic prosperity and vision 2030 agenda. This has created a conflict between forest conservation and protection against highway development and expansion in the country as forests must be cleared to give way for new roads and railway lines.

However, community support has played a key role in conserving landmark forests and trees in Kenya. In November 2020, the President of Kenya had to [intervene to preserve an iconic fig tree](#) (Mugumo) in Westlands, Nairobi. The over 100-year-old giant tree located at the center of the roundabout was initially set to be cut to pave the way for the Nairobi Expressway. The intervention came after an uproar from Kenyans and local communities prevailed upon the Kenya National Highway Authorities to neither transplant nor destroy the tree as it is believed it has spiritual implications among the Kikuyu community.

Each strategic option has specific areas of investment which is further broken down into activities within the framework of its Implementation Plan. Kenya's proposed National REDD+ Strategy and Investment Plan is within the framework of the development processes presented by the National Climate Change Action Plan (NCCAP) 2018-2022 and in coherence with the National Forest Policy 2020, the National Climate Change Framework Policy, and the National Climate Change Response Strategy. All these legal and legislative instruments form the backbone of the National Strategy to increase Tree Cover to 10% by 2022. Once completed, the NRS-IP is a proposal that underpins the processes that the country is developing with a sustainable development approach, based on productive systems, where natural capital and forest resources are a key part of the country's long-term development.

## 2c. Implementation Framework

### R-PP Component 2: REDD+ Strategy Preparation

Sub-component	Progress Indicator	Status as of June, 2019
<b>Sub-component 2 c: Implementation Framework</b>		
<b>Sub-component 2c:</b> Implementation Framework	Further development required	Review of the National Forest Policy and Forest Act 2016 was initiated. The MoEF had established the different sector working groups. One of the proposed institutional arrangements therein is the recommendation for establishment of a forest sector regulatory authority which will in among other duties set standards for application in the forestry sector.

Sub-component	Progress Indicator	Status as of June, 2021
<b>Sub-component 2 c: Implementation Framework</b>		
<b>Sub-component 2c:</b> Implementation Framework	Further development required	<p>Through the forest policy review process, the ministry has initiated an all sector working sessions of the leadership of all institutions within the forestry sector led by the Principal Secretary. One of the key achievements of this forum has been the endorsement of the National Forest Policy currently under review for submission to the committee of Principal secretaries. One of the proposed institutional arrangements therein is the recommendation for establishment of a forest sector regulatory authority which will in among other duties set standards for application in the forestry sector.</p> <p>Given the country's participation in multiple forest carbon schemes at multiple scales and following different standards, a Framework will be crucial to set clear rules that will guide how various actors operate</p>

Sub-component	Progress Indicator	Status as of June, 2021
		<p>and report to the government, thus the Ministry has established a national expert group to guide the design of the nesting approach for REDD+ in Kenya.</p> <p>The Project is being implemented in an environment supported by fundamental legal, legislative, policy instruments and guidelines which guide the REDD+ readiness process. These include REDD+ National Implementation Strategy, <a href="#">Climate Change Act</a>, <a href="#">Climate Action Plan</a>, <a href="#">Forest Conservation and Management Act</a>, <a href="#">National Environment Management Act</a>, National Forest Land Rehabilitation Action Plan and <a href="#">National Forest Policy 2020</a>, Human Rights Based Approaches (HRBA) in Forest Conservation - Curriculum and Training Manual and the <a href="#">Kenya National Adaptation Plan 2015-2030</a>.</p>

Indicator 19: Adoption and implementation of legislation/regulations

- ◆ Have legislation and/or regulations related to REDD+ programs and activities been adopted?
- ◆ What evidence is there that these relevant REDD+ laws and policies are being implemented?

The project has been able to meaningfully interact with the following legislation and regulations, however there is not yet evidence that these are being adopted:

1. The [National Climate Change Action Plan \(NCCAP 2018-2022\)](#): **The NCCAP works towards strengthening key priority actions that move Kenya towards a low carbon climate resilient development pathway through** a range of adaptation and mitigation actions which include restoration of forests on degraded lands, climate smart agriculture and agroforestry and improved water resource management. These adaptations and mitigation actions will make a significant impact on sustainable socio-economic development in Kenya.

The Project focuses on the development and operationalization of the REDD+ National Strategy that prioritizes key drivers of deforestation and degradation. This builds on the Strategic Objective 4 of the NCCAP 2018-2022, reducing deforestation and degradation through enhanced protection of an additional 100,000 million hectares of natural forests by developing REDD+ architecture through multi-

stakeholder engagements, including a national strategy and investment plan, SIS, NFMS and FRL for improved forest monitoring and measurement.

**2. Nationally Determined Contributions (NDC) Implementation Framework:** Kenya submitted its first NDC in December 2016 with the ambitious plan to reduce GHG emissions by 30% relative to the business-as-usual (BAU) scenario expectation of 143 MtCO<sub>2</sub>eq by 2030. In December 2020, Kenya submitted its updated NDC that commits to abate GHG emissions by 32% by 2030 relative to the BAU scenario. The Project has aligned its implementation to the NDC implementation framework by supporting the government in meeting its national targets to increase forest cover and reduce GHG emissions.

**Kenya National Forest Programme 2016-2030:** The National Forest Programme (NFP) is a strategic framework for forest policy, planning and implementation to coordinate the sector's development. The NFP is designed to sustain and restore the resilience of forests in the country by ensuring that forests can withstand and recover from climate-related stresses and disturbances such as droughts, wildfires, and epidemics of insects and diseases, while adhering to the principles of sustainable forest management. Given Kenya's increasing population, the demand for fuelwood, food, water, and other products will exert pressure on forest resources. Therefore, targeting the national goal of increased forest cover and climate change mitigation and adaptation, solutions must be found at the nexus of agriculture and forestry. The Project is therefore aligned with the NFP and the National Forest Policy, 2016 as it focuses on building a national strategy to address priority drivers of deforestation and degradation.

The [National Forest policy 2020](#) was developed through a consultative and engaging process that was facilitated by the MoEF, national institutions, CSOs, Indigenous Peoples and Local Communities. The National Forest policy 2020 is in draft form and yet to be finalised. The development of the National Forest policy 2020 results from the review of National Forest policy 2016. The review was necessitated by new developments and emerging issues in the forest sector that require further articulation including, among others, institutional alignment and reforms, forest governance, land and forest tenure, sustainable forest management, climate change, green economy policy requirements, devolution of key aspects of forest management in Kenya, entrenching public participation in forest management, and enhancing private sector investment in the forest sector.

**National Strategy for the Attainment and Maintenance of 10% Tree Cover:** Kenya has set the goal of increasing and maintaining the national tree cover to at least 10% by 2022. The overall goal of the strategy is to accelerate actions towards the achievement of the Constitution 2010, and Vision 2030 for environmental integrity and social economic development. Among its objectives is the enhancement of the conservation and protection of natural forests on public, community and private lands and the rehabilitation of degraded areas. The Project is therefore aligned with the national strategy as it is built on reducing deforestation and degradation by creating an enabling environment for policy and legislation

that promotes sustainable forest conservation, protection and management. Further, the project promotes tree planting and tree growing as part of meeting the target of 10% tree cover by 2022 as in vision 2030.

National Climate Change Response Strategy: The Kenya government launched its national [National Climate Change Response Strategy](#) during COP 15 at Copenhagen in December 2009, which was developed using a consultative process that included stakeholders consultation through participatory regional workshops. Kenya's resulting national strategy incorporates areas of response such as adapting agriculture, energy and infrastructure to climate change. 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. A national REDD+ coordination unit was later established within the MoEF.

Other fundamental legal, legislative, policy instruments and guidelines include [REDD+ National Implementation Strategy](#), [Climate Change Act](#), [Climate Action Plan](#), [Forest Conservation and Management Act](#), [National Environment Management Act](#), [National Forest Land Rehabilitation Action Plan](#) and [National Forest Policy 2020](#), and the [Kenya National Adaptation Plan 2015-2030](#). At the county level **forest protection regulatory instruments include [Elgeyo Marakwet County Sustainable Forest Management Policy](#), and [Nyeri County Forest Management and Conservation policy](#).**

Indicator 20: Guidelines for implementation

◆ What evidence is there that the implementation framework defines carbon rights, benefit sharing mechanisms, REDD+ financing modalities, procedures for official approvals (e.g., for pilots or REDD+ projects), and grievance mechanisms?

Kenya has not developed legal, legislative and policy regulations and instruments that define carbon rights. It is, for instance, the case with REDD+ projects implemented on private and indigenous community land, where private landowners and indigenous forest dependent communities are supposed to be the "owners" of the carbon rights and identified as such in the Project Document. This is not in line with the [Land Registration Act](#) and the draft [National Forest Policy](#), which both recognize the rights of all types of local stakeholders, including private land owners to take their part in benefit sharing arising from land based natural resources, e.g., carbon.

The National Forest Policy 2020 which has recently been developed calls on the government to 'clearly define the holders of legal rights to forest ecosystems related benefits including those generated by REDD+ activities in public, communal and private forests.

**However, there are already efforts by different groups that engage in carbon credit financing. In 2014, Kenyan farmers earned the first Carbon Credits from Sustainable Farming.** The [Kenya Agricultural Carbon Project \(KACP\)](#) involves 60,000 farmers on climate-friendly agriculture. After years of land degradation, farmers are now using a wide range of methods to increase the organic matter in soils

with the aim of improving the soil water absorption, nutrient supply and biodiversity, and help prevent erosion. This makes agriculture more resilient to climate change. The project issued its first carbon credits under the [Verified Carbon Standard \(VCS\)](#) for sequestering carbon in soil on 16 January 2014. The credits represent a reduction of 24,788 metric tons of carbon dioxide. This is evidence that carbon credits are creating a revenue streams that enhances the extension services provided to farmers. This also improves their food security, which is now more important than ever given the vulnerability to climate change.” The KACP represents a profound part of the [World Bank’s efforts](#) to promote and incentivize better land management practices through climate. The Swedish NGO Vi Agroforestry is responsible for implementation in Kenya, supported by the [World Bank’s BioCarbon Fund](#) and its participants - the French Development Agency and the Syngenta Foundation for Sustainable Agriculture.

#### Indicator 21: Benefit sharing mechanism

◆ What evidence is there to demonstrate benefit sharing mechanisms are transparent?

**Kenya enacted the Benefit Sharing Bill in 2014 and established the Benefit Sharing Authority. However, there are no national benefit sharing policies and mechanisms to guide benefit sharing in the forest sector.** The Benefit Sharing Authority is charged with coordination of the preparation of benefit sharing agreements between local communities and affected organizations.

Lack of clear “Incentives and Benefit Sharing Guidelines” in the forest and natural resource sector in Kenya continues to present challenges to stakeholders in the forest management and conservation. Evidence has shown that communities can receive financial benefits from the sale of their forest carbon credits. However, the absence of formal benefits sharing guidelines has hampered the understanding of what these expected benefits from sustainable forest management and REDD+ projects are, how their value can be assessed and how stakeholders and actors in Participatory Forest Management (PFM) can be useful in formulating equitable benefit sharing mechanisms based on principles of "good governance" that could be adopted in REDD+ project implementation. Without clear incentives and benefit sharing guidelines, the REDD+ project is expected to generate potential social and environmental costs with related risks of conflicts if benefit sharing and governance issues are not well addressed.

#### Indicator 22: National REDD+ registry and system monitoring REDD+ activities

◆ Is a national geo-referenced REDD+ information system or registry operational, comprehensive of all relevant information (e.g., information on the location, ownership, carbon accounting and financial flows for sub-national and national REDD+ programs and projects), and does it ensure public access to REDD+ information?

Kenya has not established a National Registry System for Carbon Emission Reduction. The National Registry of Emission Reductions” will be developed once the National REDD+ Strategy and Investment Plan (NRS-IP) will have been developed and validated by the key stakeholders. Once developed the



National Registry of Emissions Reduction will include the results of emission reductions under REDD+ projects. The "National Registry" will include all related information enabling traceability in a transparent manner as regards to emission reductions and payments to be received, in accordance with the different programmes and/or approaches to be implemented in the country. These will include information on the project name, specific activity, level of operation (national, sub-national, community, indigenous), year of payment, Results (t CO2eq/yr), origin of payment, proponent of payment (government, community, indigenous people), entity receiving payment and identification number, and relevant weblink. Once the National Registry is established, legal instruments necessary for its operationalization will be submitted for further adoption by the country.

**2d. Social and Environmental Impacts**

**R-PP Component 2: REDD+ Strategy Preparation**

Sub-component	Progress Indicator	Status as of June, 2019
<b>Sub-component 2 d:</b> Social and Environmental Impacts		
Sub-component 2d: Social and Environmental Impacts	Not yet demonstrating progress	A Strategic Environmental and Social Assessment (SESA) is yet to be conducted, accompanying the development of the REDD+ National Strategy options and incorporated in the National REDD+ Strategy in the form of social and environmental considerations for the different measures. Terms of reference had not been developed to allow procurement of consultant to be initiated.
Sub-component	Progress Indicator	Status as of June, 2021
<b>Sub-component 2 d:</b> Social and Environmental Impacts		
Sub-component 2d: Social and Environmental Impacts	Further development required	A Social and Environmental Screening was conducted for the Project and updated. This was used to inform strategic options. Social and environmental guidelines for application in both REDD+ activities and other forest conservation efforts have been developed as part of the efforts to institutionalize the safeguards approach.

		<p>A national safeguards approach and design of a safeguards information system (SIS) and Strategic Environmental and Social Assessment (SESA) will be conducted, accompanying the development of the National REDD+ Strategy options and incorporated in the National REDD+ Strategy. Procurement of a firm has been initiated. The ToRs are included in an Appendix to this document. On the other hand the project adopted UNDP's <a href="#">Social and Environmental Screening Procedure (SESP)</a>.</p>
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Indicator 23: Analysis of social and environmental safeguard issues

◆ What evidence is there that applicable social and environmental safeguard issues relevant to the country context have been fully identified/analysed via relevant studies or diagnostics and in consultation processes?

Kenya developed the [SESA roadmap](#) in 2013. The country is in the process of developing National REDD+ Strategy and Investment Plan (NRS-IP). REDD+ strategic options have been identified and validated by key stakeholders and the SESP used for this purpose. The first draft of the NRS-IP has been produced and is undergoing review by key stakeholders in a participatory and inclusive consultative process. The ToRs for SESA have been developed and the process of hiring SESA consultant initiated. SESA will be conducted based on the REDD+ strategic options identified. On the other hand the project adopted UNDP's [Social and Environmental Screening Procedure \(SESP\)](#)

Indicator 24: REDD+ strategy design with respect to impacts

◆ How were SESA results and the identification of social and environmental impacts (both positive and negative) used for prioritizing and designing REDD+ strategy options?

The Social and Environmental Screening Process conducted by UNDP was used for the prioritization and design of REDD+ Strategy options. The UNDP's [Social and Environmental Screening Procedure \(SESP\)](#) was adopted to enhance the SESA requirements.

Indicator 25: Environmental and Social Management Framework

◆ What evidence is there that the ESMF is in place and managing environmental and social risks/potential impacts related to REDD+ activities?

The Environmental and Social Management Framework (ESMF) is not yet in place

### 3. Reference Emissions Level/Reference Level

Sub-component	Progress Indicator	Status as of June, 2019
<b>R-PP Component 3: Reference Emissions Level/Reference Levels</b>		
<b>Component 3:</b> Reference Emissions Level/Reference Levels	Further development required	The draft Forest Reference Level had been produced and comments and review was being provided by stakeholders. The draft FRL was developed with support from JICA. The FRL development was informed by extensive interaction with the Technical Assessment Teams, that included FCPF REDD+ Readiness Project, which identified key issues to be included in the FRL. Based on comments and feedback from stakeholders, the draft FRL was to be shared with UNFCCC in September 2019.

Sub-component	Progress Indicator	Status as of June, 2021
<b>R-PP Component 3: Reference Emissions Level/Reference Levels</b>		
<b>Component 3:</b> Reference Emissions Level/Reference Levels	Significant progress	A <a href="#">Forest Reference Level</a> was finalized and submitted to UNFCCC in January 2020. Through JICA technical support and extensive interaction with the Technical Assessment Teams, that included FCPF REDD+ Readiness Project, (which identified key issues to be included in the FRL) the final FRL was developed. Following comments, feedback from UNFCCC, and further engagement at the national level, response was provided to UNFCCC in January 2020. The technical assessment was received in August 2020. The various building blocks for establishing the FRL

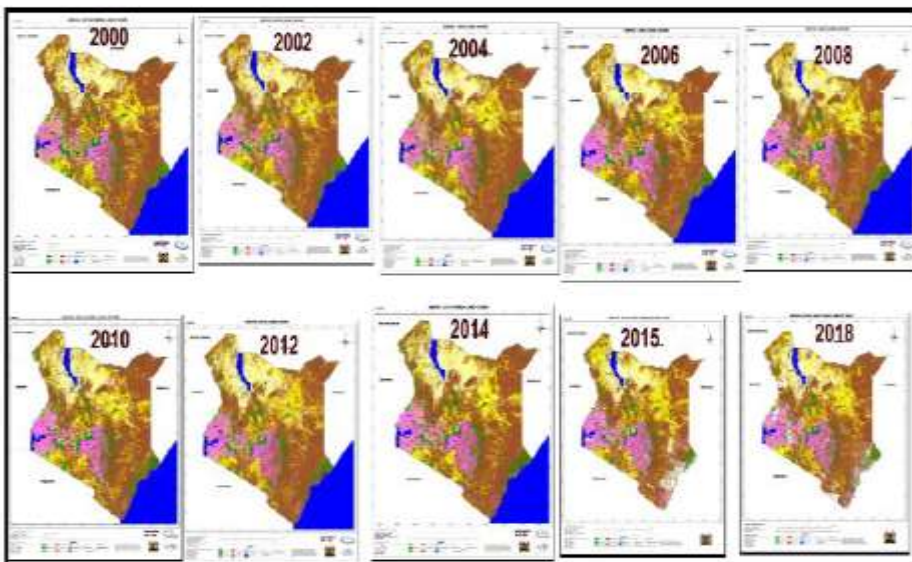
were comprehensively discussed and agreed by a Technical Working Group that was established to offer technical guidance for FRL development under the CADEP project. The REDD+ project supported the consultations. The scale is national and the scope (activities) includes Reducing Emissions from Deforestation; Reducing emissions from forest degradation; Sustainable management of forest and Enhancement of forest carbon stocks; Gases cover only CO<sub>2</sub> and Pools are Above Ground Biomass (AGB) and Below Ground Biomass (BGB). The Reference period is 2002-2018 the proposed reference level is 52,204,059 t CO<sub>2</sub>/year.

#### Indicator 26: Demonstration of methodology

◆ Is the preliminary sub-national or national forest REL or RL presented (as part of the R-Package) using a clearly documented methodology, based on a stepwise approach, as appropriate?

The development of the [FRL](#) was a participatory, transparent and consultative process taking into account different land use activities and forest cover changes. The methodology used in the FRL development are consistent with the UNFCCC guidelines. [LANDSAT imagery](#) was applied to establish activity data for estimating Green House Gases (GHG) emissions from the Land sector which was used in the National

Inventory Report for 2019 and the FRL is based on Wall-to-Wall land cover mapping. The best available Landsat images for each year were selected from the United States Geological Survey (USGS) archive which provided a complete cloud-free (threshold 20% cloud cover) coverage for Kenya. The [System for Land-Based Emission Estimation in Kenya](#) (SLEEK) was applied using a semi-automated method to produce Land Cover / Land Use



Maps based on imagery of LANDSAT4, 5, 7 and 8. The map production methodology applied by SLEEK was pixel based using Random forest algorithm.

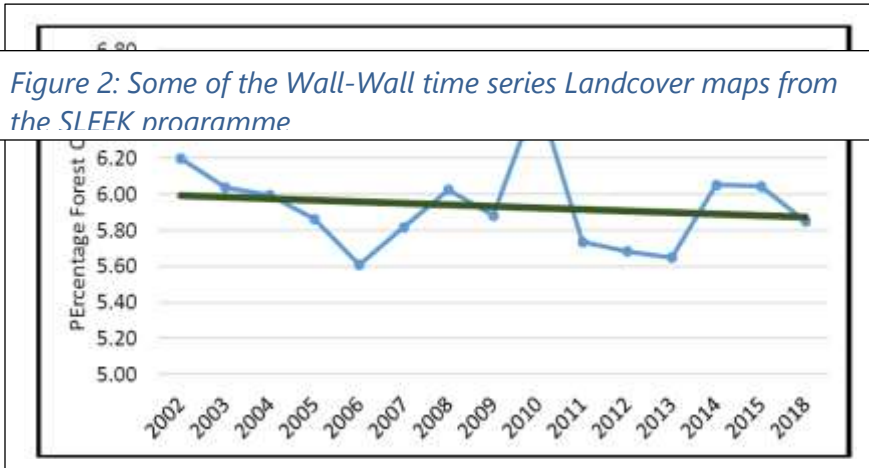


Figure 2: Some of the Wall-Wall time series Landcover maps from the SLEEK programme

Figure 3: The Trend of forest cover change (%) (2002 – 2018) (SLEEK maps)

**Mapping of land use transitions**

was done by comparing change in maps from 2 time periods sequentially (e.g., 2002 vs 2006, 2006 vs 2010, 2010 vs 2014, and 2014 vs 2018). Based on the complete time series mapping, the trend of forest cover for the period 2002-2018 is shown in percentages in Figure 4. The figure shows a decline in forest cover from 6.2% (3,669,768 ha) in 2002 to 5.9% (3,462,536 ha) in 2018. Emission

Factors (EF) for changes in forest carbon stocks were based on 1st level and 2nd level stratification of forests. Stratified sampling was used, and forest stock data collected in a Pilot Forest Inventory by ICFRA (KFS, 2016) and CADEP-SFM (JICA, 2017) was used to assign biomass stock to each stratum and sub strata. The EFs due to afforestation (conversion of a non-forest into a forest) were calculated using a growth rate for each of the forest strata for trees < 20yr, because in the 4-year change period such the forests have not attained 20 years.

The EFs were estimated for Deforestation (conversion of forests into non forests) by computing the values of Above Ground Biomass (AGB) in each using the forest inventory data through the application of locally acceptable allometric equations The values of Below Ground Biomass (BGB) were calculated by applying the R/S ratio per forest strata based on Intergovernmental Panel on Climate Change (IPCC) 2006 guidelines for each stratum. Forest biomass calculated as the sum of AGB and BGB was converted into Carbon using the IPCC carbon fraction of 0.47. Further, the conversion to CO<sub>2</sub> is based on the ratio of molecular weights (44/12) (IPCC 2006). Finally, Emission Factors were estimated as the differences in carbon stocks in an area at two points in time.

Emission Factors due to forest growth were classified into two categories (**Conversion of non-forests into forests and improvement of forest stock due to canopy enhancement**). The EFs due to afforestation (conversion of a non-forest into a forest) were calculated using a growth rate for each of the forest strata for trees < 20yr, because in the 4-year change period such the forests have not attained 20 years. Choice of EF was based on the fact that a forest undergoes a process of growth after planting and does not immediately achieve the carbon stock of the forest it is mapped into but attains a carbon stock value described by its growth rate and the number of years of growth.

The EFs for enhancement (improvement of carbon stocks where a canopy improvement was noted between two years of mapping) were calculated using a growth rate associated to each of the forest strata for trees  $\geq 20$  yr. The  $\geq 20$  yr is selected on the basis that these are already grown forests which had previously been degraded and are undergoing stock enhancement. Choice of EF was based on the fact that a forest undergoes a process of growth after conservation measures are initiated and a canopy improvement (as in the case of an open forest converting to a dense forest) does not result to the carbon stock of the forest it is mapped into but attains a carbon stock value described by its growth rate and the number of years of growth typical to such a forest stratum.

Table 7: Emission Factors from NFI for forest type class

Forest strata	Canopy Cover	ABG	BGB	TOTAL		
		Biomass Tonnes/ha) <sup>8</sup>	Biomass Tonnes/ha) <sup>9</sup>	Biomass (Tonnes/ha) <sup>10</sup>	Carbon (Tonnes/ha) <sup>11</sup>	CO <sub>2</sub> (Tonnes/ha) <sup>12</sup>
Montane & Western Rain	Dense	244.80	90.57	335.37	157.62	577.95
	Moderate	58.43	21.62	80.05	37.62	137.96
	Open	18.31	6.77	25.08	11.79	43.23
Coastal & Mangrove	Dense	94.63	18.93	113.55	53.37	195.69
	Moderate	52.75	10.55	63.30	29.75	109.08
	Open	24.01	4.80	28.81	13.54	49.64
Dryland	Dense	42.43	11.88	54.31	25.53	93.60
	Moderate	34.52	9.67	44.19	20.77	76.15
	Open	14.26	3.99	18.26	8.58	31.47
Plantation		324.79	87.69	412.48	193.87	710.84
Cropland Wetland & Settlements/ Otherlands		0	0	0	0 <sup>13</sup>	0
Grassland				8.7 <sup>14</sup>	4.09	14.99

Projected emissions for the various REDD+ activities were calculated based on the historical average emissions for each REDD+ activity. The projection averages were calculated for the historical period and their projection into the future implies that the same historical numbers have been projected into the future.

Table 8: Projected Annual CO<sub>2</sub> Emissions based on historical averages.

REDD+ Activity	2002-2006	2006-2010	2010-2014	2014-2018	2018-2022	2022-2026	2026-2030
Deforestation	48,166,940	48,166,940	48,166,940	48,166,940	48,166,940	48,166,940	48,166,940
Degradation	10,885,950	10,885,950	10,885,950	10,885,950	10,885,950	10,885,950	10,885,950
Sustainable management of forest	2,681,433	2,681,433	2,681,433	2,681,433	2,681,433	2,681,433	2,681,433
Enhancement	-9,530,264	-9,530,264	-9,530,264	-9,530,264	-9,530,264	-9,530,264	-9,530,264
<b>Total (Emission estimates )</b>	<b>52,204,059</b>	<b>52,204,059</b>	<b>52,204,059</b>	<b>52,204,059</b>	<b>52,204,059</b>	<b>52,204,059</b>	<b>52,204,059</b>

Indicator 27: Use of historical data, and adjusted for national circumstances

◆ How does the establishment of the REL/RL take into account historical data, and if adjusted for national circumstance, what is the rationale and supportive data that demonstrate that proposed adjustments are credible and defensible?

**The historical carbon emissions in the FRL were accounted for from deforestation, forest degradation, afforestation (Enhancement of Carbon), CO2 sinks due to canopy improvement (Enhancement of Carbon), emissions of CO2 due to sustainable management of forests, Net National Emissions.** Deforestation was identified as the biggest contributor to national emissions with an average of 48,166,940 ton of CO2. A key Category Analysis showed that deforestation contributes over 68% of the national CO2 sources and sinks and was therefore the main activity to be addressed in Reducing Emissions for REDD+. Similarly, emissions from forest degradation and enhancement of carbon stocks were found to be significant activities for Kenya’s REDD+ programme. Though a key Category Analysis identified that public plantation forests of Kenya were not a key source of emissions for the REDD+ programme (3.76%), these forests supplied material for wood-based industries and therefore supported livelihoods and economic development and qualified as an important REDD+ activity. The table 9 gives an insight of historical carbon emissions in the FRL.

*Table 9: Historical Annual CO2 Net Emissions classified by REDD+ Activity*

REDD+ Activity	2002-2006	2006-2010	2010-2014	2014-2018	2018-2022	2022-2026	2026-2030
Deforestation	48,166,940	48,166,940	48,166,940	48,166,940	48,166,940	48,166,940	48,166,940
Degradation	10,885,950	10,885,950	10,885,950	10,885,950	10,885,950	10,885,950	10,885,950
Sustainable management of forest	2,681,433	2,681,433	2,681,433	2,681,433	2,681,433	2,681,433	2,681,433
Enhancement	-9,530,264	-9,530,264	-9,530,264	-9,530,264	-9,530,264	-9,530,264	-9,530,264
<b>Total (Emission estimates )</b>	<b>52,204,059</b>	<b>52,204,059</b>	<b>52,204,059</b>	<b>52,204,059</b>	<b>52,204,059</b>	<b>52,204,059</b>	<b>52,204,059</b>

◆ Is sufficient data and documentation provided in a transparent fashion to allow for the reconstruction or independent cross-checking of the REL/RL?

Kenya’s FRL was developed following UNFCCC decision 1/CP.16 paragraph 71 (b) and decision 12/CP.17 paragraph 8 and 10, as commitment for contribution to mitigation actions in the forest sector. As pointed out on page 65 of the FRL, the accuracy assessment of the Activity Data (AD) aids in checking the correctness of the land cover and forest cover change map as it is crucial in estimating area and uncertainty. Robust and transparent approaches were applied to ensure the integrity of statistical land use change information. The steps were followed as recommended by [Global Forest Observation Initiative Methods and Guidance Document](#). Ground referencing was conducted where each pixel in the land cover

map is verified to ascertain accuracy of data. Since field work is normally expensive and time consuming, sampling methods were used to generate representative classes for field verification.

**Individual land cover maps were also verified for accuracy.** The 2018 map was developed during the same year and allowed ground truthing. A total of 1894 field sample points were visited for ground truthing done based on accessibility, and security situation in Kenya. Another 1905 sample were independently interpreted using Google Earth as high-resolution imagery. The classification accuracy was calculated by comparing the classification result with presumably correct information (ground truth) as indicated by either field verification and/or Google Earth imagery. In all the years used for developing the FRL, the accuracy of the maps is within acceptable limits and have over 70% agreement.

Indicator 28: Technical feasibility of the methodological approach, and consistency with UNFCCC/IPCC guidance and guidelines

◆ Is the REL/RL (presented as part of the R-Package) based on transparent, complete and accurate information, consistent with UNFCCC guidance and the most recent IPCC guidance and guidelines, and allowing for technical assessment of the data sets, approaches, methods, models (if applicable) and assumptions used in the construction of the REL/RL?

The REL/RL is based on transparent, complete, and accurate information, consistent with UNFCCC guidance and the most recent IPCC guidance and guidelines. The categorized classes for Land Cover/Land Use Map were considered based on international guidelines, local definitions of land uses, ability to capture variations of carbon stocks among land uses and simplicity of land cover mapping system. The Six broad classes were adopted from IPCC where these classes were further subcategorized: forestland, cropland, grassland, settlement, wetlands, and other lands. The various building blocks for establishing the FRL were comprehensively discussed and agreed by a Technical Working Group that was established purposely to offer technical guidance for FRL development.

The maps allow analysis of land cover and cover change through time based on IPCC land cover categories and their subtypes based on local requirements. In addition to supporting SLEEK, the maps and statistics generated by the program are recognized as official government documents for informing government processes across the land sector – such as land use planning, tracking deforestation, and landscape restoration. These maps have also been used to support the REDD+ process in construction of the Forest Reference Level and the National Forest Monitoring System.

In proposing a FRL of 52,204,059 t CO<sub>2</sub>/year, Kenya used an approach 3 mapping and a combination of local and IPCC defaults. The FRL has been established in consistence with the country's greenhouse gas



inventory process guided by the IPCC reporting principles of Transparency, Accuracy, Consistency and Comparability. In the report, Kenya focuses on four REDD+ activities: reducing emissions from deforestation, reducing emissions from forest degradation, sustainable management of forests and enhancement of forest carbon stocks.

The values of BGB were calculated by applying the R/S ratio per forest strata based on IPCC 2006 guidelines for each stratum. Forest biomass calculated as the sum of AGB and BGB was converted into carbon using the IPCC carbon fraction of 0.47. Further, the conversion to CO2 is based on the ratio of molecular weights (44/12) (IPCC 2006). Finally, Emission Factors were estimated as the differences in carbon stocks in an area at two points in time (e.g., 2002 and 2006). In conversions of forests into non-forests, the carbon stocks were assumed to go through immediate oxidation and IPCC 2006 guidelines used for Tier 1 default factors used in calculating stock changes.

The choice of Emission Factors (EF) was based on the fact that a forest undergoes a process of growth after planting and does not immediately achieve the carbon stock of the forest it is mapped into but attains a carbon stock value described by its growth rate and the number of years of growth. The growth rates were calculated based on IPCC 2006 guidelines. Due to the limitations in the EF data, a Bootstrap simulation according to the 2006 IPCC Guidelines (Volume 1 Chapter 3) was used to calculate the Uncertainty of the EF. The Bootstrap simulation helps to obtain the confidence interval of the mean in cases where of the uncertainty of the mean is not a symmetric distribution. The results of the bootstrap analysis describe the ranges of 95 % Probability of the confidence interval.

This FRL has adopted IPCC default values for growth rates, and these might not be very accurate at the strata specific level. For example, growth rates for the Montane and western rain forests were adopted from the Tropical rain forests of the world. However, Kenya’s Montane Forest have slightly less stocking (Kinyanjui et al., 2014) and growth rates compared to the tropical rain forests, but they can also not be classified as mountain ecosystems under the IPCC classification system because the mountain ecosystems of Kenya have dwarf vegetation that is slow growing. The SLEEK land cover mapping programme generated 18 maps using Approach 3 of the IPCC guidelines. From this time series set of land cover maps, five maps were selected to develop this FRL.

**4. Monitoring Systems for Forests and Safeguards**

<b>R-PP Component 4: Monitoring Systems for Forests and Safeguards</b>		
<b>Sub-component</b>	<b>Progress Indicator</b>	<b>Status as of June, 2019</b>

<b>Component 4a: National Forest Monitoring System</b>		
<b>Sub-component 4a:</b> National Forest Monitoring System	Further development required	The NFMS was being developed with support from JICA. A Forest Information Platform (FIP) was in place. Protocols were needed to populate the FIP with data. The REDD+ Readiness Project collaborated with CADEP as part of the REDD+ implementation framework to determine the protocols the FIP.

<b>R-PP Component 4: Monitoring Systems for Forests and Safeguards</b>		
<b>Sub-component</b>	<b>Progress Indicator</b>	<b>Status as of September, 2021</b>
<b>Component 4a: National Forest Monitoring System</b>		
<b>Sub-component 4a:</b> National Forest Monitoring System	Progressing well, further development is required.	A draft National Forest Monitoring System (NFMS) has been developed with the support of Japan-funded CADEP, under the leadership of Ministry of Environment and Forestry and Kenya Forest Service. The FCPF project has supported stakeholder’s consultation and technical review through the technical working group and UNDP technical team.

#### 4a. National Forest Monitoring System

Indicator 29: Documentation of monitoring approach

◆ Is there clear rationale or analytic evidence supporting the selection of the used or proposed methodology (combination of remote sensing and ground-based forest carbon inventory approaches, systems resolution, coverage, accuracy, inclusions of carbon pools and gases) and improvement over time?

The development of National Forest Monitoring System (NFMS) document used information that had previously been compiled by the System for Land based Emission Estimation for Kenya (SLEEK) at the Ministry of Environment and Forestry which had supported the development of a monitoring methodology to provide land cover and land cover change. The NFMS document describes the details and methodology of each monitoring item and data management to ensure transparency, consistency, and accuracy of NFMS.

The Kenya NFMS was developed in accordance with paragraph 1, decision 4/CP.15, which requires that NFMS should provide information such as forest cover area and its change area for activity data (AD), forest carbon stocks from inventory measurements for each land cover type for emission factor (EF) and anthropogenic forest related greenhouse gas emissions by sources and removals by sinks (calculated from AD and EF).

The Land Cover/Land Use Map was created using Landsat Imagery. The best available Landsat images for each year were selected from the USGS archive which provides a complete cloud-free (threshold 20% cloud cover) coverage of Kenya. Dry season images were preferred for classification purposes as these allow for better discrimination between trees and grasses or crops. This was achieved through: **cloud and shadow cover masking, terrain illumination correction, agro-ecological zoning, random forest classification with training data (ground truth survey and Google Earth); mosaic process and fill up to cloud area by CPN, filtering and forest strata zoning.**

Forest cover change area based on Land cover/Land use change maps was done by comparing two subsequent Land Cover/Land Use maps, to create a land cover/land use change map. Calculations of change area were based on the forest strata (Montane and western rain forests and bamboo areas, Mangroves and coastal forests areas, Dryland forests areas and Plantation Forest land zones) and their specific canopy closure (for Montane and western rain forests and bamboo, Mangroves and coastal forests and Dryland forests).

Forest Carbon Stock for Emission Factor (EF) in the LULUCF were calculated using IPCC Guidelines used for units of carbon (CO<sub>2</sub>eq) to express EF for deforestation, forest degradation, enhancement of forest carbon stocks and sustainable management of forests for REDD+ reporting. This allowed the estimation of the amount of biomass and carbon stock in the forest. This was achieved through [System for Land-Based Emission Estimation in Kenya](#) (SLEEK) methodology which develops AD based on the time series land cover/land use maps.

◆ Has the system been technically reviewed and nationally approved, and is it consistent with national and international existing and emerging guidance?

The NFMS is still in draft form and is currently being reviewed by the relevant technical working group (TWG) through a robust, transparent, and participatory process that ensures the consistency of the NFMS, reliability and accuracy of the data collected as required by UNFCCC and IPCC guidelines.

◆ Are potential sources of uncertainties identified to the extent possible?

**Potential uncertainty was identified in relation to assessment for activity data (AD).** "Activity Data" (AD) refers to the area of land undergoing the transmission in question e.g., the area deforested per hectare. The accuracy assessment of the AD aids in checking the correctness of the land cover and forest cover change maps. The accuracy information is crucial in estimating area and uncertainty. To allow for

calculation of error propagation due to AD and EF, [the "Error-adjusted" estimator of area formula \(Olofsson, et al, 2013\)](#) was used to calculate the uncertainty of the change maps.

#### Indicator 30. Demonstration of early system implementation

◆ What evidence is there that the system has the capacity to monitor the specific REDD+ activities prioritized in the country's REDD+ strategy?

The NFMS has been designed to carry out two main functions (monitoring function and data management function) of the Green House Gas Inventory process. The NFMS design employs appropriate methodology for each monitoring item and data management to ensure transparency, consistency and accuracy of NFMS data. Its capacity to monitor specific REDD+ activities is underpinned by the robust and transparent nature of the NFMS with subnational monitoring and reporting as an interim measure in accordance with national circumstances and with the provisions contained in decision 4/CP15. The NFMS uses a combination of remote sensing and ground-based forest carbon inventory approaches for estimating, anthropogenic forest-related GHG emissions by sources and removals by sinks, forest carbon stocks and forest area changes. It has the capacity to provide estimates through a process that is transparent, consistent, accurate, and that reduces uncertainties, taking into account national capabilities.

**The Monitoring function of the NFMS outlines the capacity of the system to provide data on forest cover area based on System for Land-Based Emission Estimation in Kenya (SLEEK) programme to support the National GHG inventory process. The SLEEK has done an extensive mapping using a semi-automated method based on Random Forest algorithm and produced the Land Cover / Land Use Maps for the years 1990, 1995, 2000, 2002, 2003, 2004, 2005, 2006, 2007, 2008, 2009, 2010, 2011, 2012, 2013, 2014, 2015 and 2018. These maps were developed from LANDSAT 4, 5, 7 and 8 images. The SLEEK programme seeks to provide a nationwide, time series consistent Land Cover / Land Use maps for Kenya.**

◆ How does the system identify and assess displacement of emissions (leakage), and what are the early results (if any)?

◆ How are key stakeholders involved (participating/ consulted) in the development and/or early implementation of the system, including data collection and any potential verification of its results?

The [Roadmap for the establishment of REDD+ Forest Reference Levels and the National Forest Monitoring System](#) was developed in 2017 through a collaborative effort between the Ministry of Environment and Forestry, UNDP, and UNEP. The roadmap outlined the key stakeholders and the steps towards establishing the design of the NFMS and reference levels, through an enumeration and

description of required tasks. **Consultation with all relevant stakeholders** on the development and implementation of the roadmap were done within the government agencies responsible for REDD+ implementation, but also with stakeholders in other areas of government and county governments, lower administrative levels in forestry, universities and research institutions, non-governmental organizations, private sector parties and local communities living in or near forests.

The development of the NFMS was led by the Government of Kenya, through the Ministry of Environment and Forestry with support and collaboration from various partners and stakeholders during the preparation and development of the National Forest Monitoring System (NFMS) document. The Japan International Cooperation Agency (JICA) through the Capacity Development Project for Sustainable Forest Management in the Republic of Kenya CADEP-SFM lead the technical team that provided the technical support.

The public awareness through communication and advocacy has played a key role in advancing the national Project agenda for the NFMS. The UNDP's communication team has ensured strong visibility of the NFMS development process through local media briefings and social media. The project leveraged on its comparative strength in communication and adopted various communication platforms like [Twitter](#), [Facebook](#), electronic and print media to increase project visibility at the international, national, county, and community levels. The project adopted these communication platforms to update on the NFMS milestones, share highlights on various strategic partnerships, invested resources and anchored programmatic activities in strategic partnerships with national and county governments.

They stakeholders included Ministry of Environment and Forestry; Kenya Forest Service, Kenya Forestry Research Institute, National Land Commission, Ethics and Anti-Corruption Commission, Council of Governance, Wildlife Works, Transparency International – Kenya, Conservation International, IMPACT, Indigenous Peoples and Local Communities (IPLC), representatives, GATSBY AFRICA and Youth representatives.

The technical support was provided by the Embassy of Japan, United Nations Development Programme (UNDP), Climate Energy Advisory, Karatina University, Dedan Kimathi University, South Eastern Kenya University, Department of Resource Surveys and Remote Sensing (DRSRS), Survey of Kenya (SoK), Programme for Improving Capacity in Forest Resources Assessment in Kenya (IC-FRA), National Forest Inventory (NFI), Karatina University, Jomo Kenyatta University of Agriculture and Technology, Kenya Wildlife Service, National Museums of Kenya, The Regional Centre for Mapping Resources for Development.

A draft NFMS document has been produced and is currently undergoing review through the relevant technical working groups lead by the Ministry of Environment and Forestry.

◆ What evidence is there that the system allows for comparison of changes in forest area and carbon content (and associated GHG emissions) relative to the baseline estimates used for the REL/RL?

The NFMS has capacity to provide data on forest cover change area based on Land cover/Land use change maps by comparing two subsequent Land Cover/Land Use maps, which allows extracts of land cover change areas to be made and their specific areas calculated. This creates a land cover/land use change map. Calculations of change area are based on the forest and their specific canopy closure. The colors of each cell in table 10 indicates different activities: red for deforestation, yellow for forest degradation, green for enhancement, and blue for sustainable management of forest.

Table 10: Area of Land Cover/Land Use change in each reference periods (ha)

Forest strata		2018														
		Montane and westernrain Forests and bamboo			Mangroves and coastal Forests			Dryland Forests			Plantation Forest land	Crop land	Grass land	Wet land	Settlement & Other land	
		Dense	Moderate	Open	Dense	Moderate	Open	Dense	Moderate	Open						
Montane and western rain forest and bamboo	Dense	834,862	49,209	19,734									88,835	91,840	416	821
	Moderate	40,248	83,235	12,899									11,406	53,825	78	33
	Open	9,843	10,324	26,260									6,435	51,566	10	25
Mangroves and coastal forests	Dense				164,282	87,918	1,363						6,422	160,174	1,632	825
	Moderate				22,023	40,366	2,040						3,565	50,419	458	233
	Open				1,116	989	452						110	2,797	9	12
Dryland Forests	Dense							344,985	97,928	42,170			24,559	455,918	3,874	2,307
	Moderate							57,877	60,223	33,164			4,763	127,932	1,229	1,018
	Open							21,221	20,412	66,984			4,012	185,783	1,445	4,274
Plantation forest land											56,315	17,880	7,263	26	23	
Cropland		78,641	8,156	6,568	1,689	2,567	438	21,204	9,163	10,163	3,886					
Grassland		85,367	48,885	38,956	76,856	82,563	13,417	377,850	207,559	158,441	4,834					
Wetland		267	176	12	343	316	38	1,648	1,083	1,877	14					
Settlement & Other land		866	107	1,702	398	470	15	1,667	2,424	3,279	6					

Indicator 31. Institutional arrangements and capacities

◆ Are mandates to perform tasks related to forest monitoring clearly defined (e.g., satellite data processing, forest inventory, information sharing)?

The NFMS outlines clear institutional arrangements with tasks of each party involved in the monitoring function and data management function of the NFMS. It illustrates the procedures for the management, formalization, and operationalization for the institutional arrangements to ensure long-term sustainability and accountability of the system. The NFMS secretariat is established in Kenya Forest Services (KFS) to oversee implementation and operation of NFMS. Institutional arrangements were designed, and tasks assigned for monitoring function and data management function.

*Table 11: Institutional arrangement for monitoring function*

Item	Activity/Data Type	Institution
Forest cover area based on SLEEK programme;	Creation, authorization and publication of the Land cover/Land use (LCLU) map;	SLEEK, KFS, KEFRI Survey of Kenya, DRSRS, JKUAT, SLLEK
Forest cover change area based on LCLU maps (AD);	Creation of the land cover/ land use change maps based on the LCLU maps;	KFS, SLEEK, JKUAT, DRSRS, KEFRI
National forest inventory (NFI);	Implementation of the NFI;	KFS
Conversion of the inventory data into carbon stock data (EF);	Analysis of inventory data & improvement of allometric equations and other related conversion factors;	KFS, KEFRI Universities, County, Government
JICA-JAXA Forest Early Warning System in the Tropics (JJ-FAST);	Monitoring of deforestation	KFS, KEFRI Universities
The Near Real Time Forest Alert System (NRTFAS);	Receiving and analyzing of forest destruction alerts;	KFS
Field validation for deforestation according to data from JJ-FAST and NRTFAS;	Ground truth survey by use of Survey 123;	KFS
Policies and Measures (PaMs)	Monitor Policies and Measures based on indicators for each;	MoE&F, MoE&F KFS, KWS, KEFRI
Biodiversity	Biodiversity Monitoring;	KFS, NMK, KEFRI, KWS

REDD+ and AR-CDM projects	Monitoring of REDD+ & AR-CDM projects in Kenya;	MoE & F, MoE&F, KFS, REDD+ and A/R CDM
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Table 12: Institutional arrangements for data management function

Item	Activity/Data Type	Lead Institution
Data/Information update	Collection, verification & Uploading of data/Information	KFS, KEFRI, Survey of Kenya ICRAF, DRSRS, Universities
Server Management	Maintenance and renewal of hard and soft ware (Publish data, receive data, store data)	KFS, ME&F, Treasury, DRSRS Survey of Kenya, ME&F

◆ What evidence is there that a transparent means of publicly sharing forest and emissions data are presented and are in at least an early operational stage?

Data sharing and information dissemination on NFMS is underpinned by the management and operation of the Forest Information Platform (FIP), which is a data base for archiving and reporting on forest information including integration of Activity Data from the Land cover mapping and Emission Factors from the National Forest Inventory. The NFMS data will be accessible to policy makers for decision making and members of the public for research and training purposes through [JFAST](#). The figure 2 below shows the FIP data flow structure.

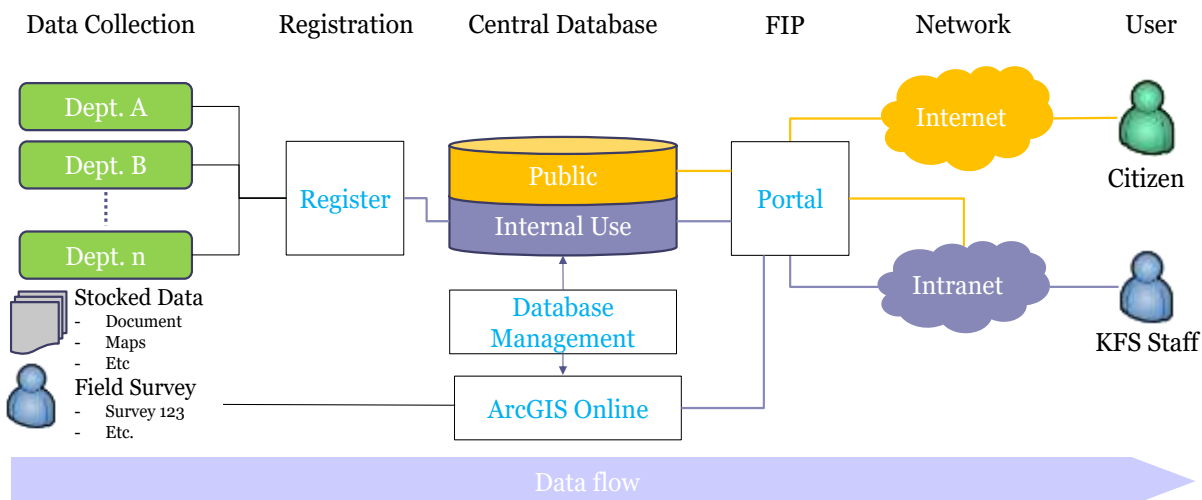


Figure 4: Forest Information Platform



◆ Have associated resource needs been identified and estimated (e.g., required capacities, training, hardware/software, and budget)?

Kenya is a developing country with limitations in technology, finance, and human capacity to implement a full-scale NFMS. The approach to implement the NFMS guided by UNFCCC guidelines involves a stepwise approach. The NFMS document will be continuously reviewed and updated to reflect the latest scientific findings, technology, and data relevant to Kenya’s national circumstances and requirements for international reporting. As new technology evolves, continuous technical capacity will be required in the areas of creation, authorization and publication of the Land cover/Land use (LCLU) maps; creation of the land cover/land use change maps based on the LCLU maps; implementation of the NFI; analysis of inventory data & improvement of allometric equations and other related conversion factors; Monitoring of deforestation; receiving and analyzing of forest destruction alerts; Ground truth survey by use of Survey 123; monitor Policies and Measures (PAMs) based on indicators for each; biodiversity monitoring; monitoring of REDD+ & AR-CDM projects in Kenya.

**4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards**

R-PP Component 4: Monitoring Systems for Forests and Safeguards		
Sub-component	Progress Indicator	Status as of June, 2019
Component 4a: National Forest Monitoring System		
Sub-component 4b: Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards	Not yet demonstrating progress	Benefit Sharing Mechanism study was yet to be conducted to inform the REDD+ Strategy and Investment Plan implementation. The Terms of Reference to inform design of a REDD+ SIS is yet to be developed

R-PP Component 4: Monitoring Systems for Forests and Safeguards		
Sub-component	Progress Indicator	Status as of June, 2021
<b>Component 4a:</b> National Forest Monitoring System		

<p><b>Sub-component 4b:</b></p> <p>Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards</p>	<p>Further development required</p>	<p>Terms of Reference for development of a REDD+ SIS and procurement is ongoing. The development of the SIS is expected to be completed in Q3 of 2021.</p> <p>The REDD+ analytical studies have been concluded and effective benefit sharing arrangements were identified which have potential to create incentives for different stakeholders (national and sub-national governments, communities, and businesses). The analytical study on assessment of financing, incentives, and benefit sharing opportunities elaborates on the carbon rights and benefit sharing and recommends that efforts should be taken to introduce legislative frameworks for carbon rights and benefit sharing arrangements for emission reductions under FCPF’s requirements for REDD+ implementation.</p> <p>One of the key recommendations of the National Forest Policy 2020 is that national and county governments should develop and implement an equitable benefit sharing scheme in the forest sector. It is proposed that this is among the standards to be set by the regulatory Authority.</p>
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Indicator 32: Identification of relevant non-carbon aspects, and social and environmental issues

◆ How have relevant non-carbon aspects, and social and environmental safeguard issues of REDD+ preparations been identified? Are there any capacity building recommendations associated with these? The National REDD+ Strategy and Investment Plan document identifies substantial non-carbon benefits in addition to mitigating climate change such as enhancing biodiversity, conservation of water catchments, climate change adaptation, low-emission development, and strengthening forest peoples’ rights. It identifies potential improved livelihoods through green climate friendly agriculture and increased national and county level revenue from ecotourism.

A wide range of non-carbon benefits can be achieved through the promotion of Nature-Based Solutions (NBS) as strategies to reduce carbon emission, minimize greenhouse gases, with potential to create jobs through improved livelihoods among the youth. There are opportunities for the youth to tap from NBS for climate to enhance their livelihoods. NBS have a wide range of non-carbon benefits for people and the environment, including temperature regulation, elemental and chemical sinks/sequestration, recreation, increased tourism, and general improved wellbeing. NBS have the potentials to give the youth

opportunities to harness the power of nature to reduce greenhouse gas emissions and help actors to adapt to the impacts of climate change. As long-term strategies for reducing carbon emissions and improving livelihoods the youth can explore NBS to reduce pressure and reliance on strategies such as bio energy with carbon capture and storage (BECCS), which is costly and limited by the amount of biomass that can be farmed.

#### Indicator 33: Monitoring, reporting and information sharing

◆ What evidence is there that a transparent system for periodically sharing consistent information on non-carbon aspects and safeguards has been presented and is in at least an early operational stage?

Lack of clear “Incentives and Benefit Sharing Guidelines” in the forest and natural resource sector in Kenya continues to present challenges to stakeholders in the forest management and conservation. The absence of formal benefits sharing guidelines has hampered the understanding of how to report and share information on non-carbon benefits. The lack of communication and information sharing guidelines has been a barrier to understanding what the expected non-carbon benefits from sustainable forest management and REDD+ projects are, how their value can be assessed and how stakeholders and actors in Participatory Forest Management (PFM) can be useful in formulating equitable benefit sharing mechanisms based on principles of "good governance" that could be adopted in REDD+ project implementation. Without clear incentives and benefit sharing guidelines, the REDD+ project is expected to generate potential social and environmental costs with related risks of conflicts if benefit sharing and governance issues are not well addressed.

◆ How is the following information being made available: key quantitative and qualitative variables about impacts on rural livelihoods, conservation of biodiversity, ecosystem services provision, key governance factors directly pertinent to REDD+ preparations, and the implementation of safeguards, paying attention to the specific provisions included in the ESMF?

The draft NFMS proposes a mechanism that facilitates efficient and effective information sharing, which focuses on the forest information platform (FIP) components access rights, operations, and its linkage with other systems. Data will be made available and accessible through [JJFAST](#), a technological **initiative for Improvement of Forest Governance developed by JICA**. JJ-FAST is an operational forest early warning system using PALSAR-2/ScanSAR mode data. Users will be required to create user profiles through which to access the information they seek to obtain.

Information system for multiple benefits, impacts on livelihoods, governance, and safeguards will be reported under existing mechanisms developed to support the implementation of the National REDD+ strategy. These reporting and information sharing will be achieved through the reporting mechanisms under National Forest Monitoring System (NFMS), Forest Reference Level (FRELs), Safeguard Information System (SIS), Strategic Environment and Social Assessment (SESA). SESA will be developed once the

National REDD+ strategy is validated. The procurement to hire the consultant to undertake SIS is underway.

#### Indicator 34: Institutional arrangements and capacities

◆ Are mandates to perform tasks related to non-carbon aspects and safeguards clearly defined?

Due to absence of legal, legislative and policy guidelines for benefit sharing and distribution there is no clear mandate to perform tasks related to non-carbon aspects and safeguards.

◆ Have associated resource needs been identified and estimated (e.g., required capacities, training, hardware/software, and budget)?

Associated resource needs have been identified and include capacity building to the youth. However, the resource needs are yet to be estimated. There is therefore need to provide capacity building to the youth on the technology associated with carbon trading to take advantage of the opportunities around 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. Through existing strategic structures, there is need for capacity enhancement to formulate Incentives and Benefit Sharing policies and regulations in the environment and forest sector.

## **II. An analysis of progress achieved in those activities funded by the FCPF Readiness Preparation Grant**

*The Country outlines progress made as well as identifies any delays in the implementation of the activities financed by the Grant and proposed actions to address the causes of the delays.*

### A) An operational National REDD+ Strategy and Investment Plan (NRS-IP):

The [Draft National REDD+ Strategy and Investment Plan \(NRS-IP\) for guiding REDD+ implementation in the country was produced](#), building on the findings from the various analytical studies and the Readiness Plan. The following analytical studies were undertaken to fill in the knowledge gaps for the development of the strategy:

- Study on natural resource management and policy.
- Study on private sector engagement in REDD+ Implementation.
- Assessment of financing, incentives, and benefit sharing opportunities and options for REDD+ implementation at national and county levels in Kenya.
- Study on enhancing participation of the marginalized and forest dependent communities in the development and implementation of REDD+ in Kenya.

Each of these studies has identified areas of priority and made key recommendations for implementation. They have identified policy reforms, strategy options, investment priorities, and a related REDD+ implementation framework, monitoring and safeguard systems, as required under the United Nations Framework Convention on Climate Change (UNFCCC). These recommendations have informed the draft

strategy currently under stakeholder's review. The draft strategy has proposed four strategic options: 1) Enhance afforestation, reforestation and landscape restoration programmes for improved livelihoods and environmental conservation: 2) Enhance governance and policy implementation to prevent conversion of forests to other land uses: 3) Support sustainable management of public plantation forests to enhance productivity: 4) Enhance efficiency, effectiveness and skills throughout forest related value chains. These are currently under review by different stakeholders and will be refined overtime. Validation and finalisation of the strategy is expected by end of 30<sup>th</sup> July 2021.

#### **Institutional and policy framework for REDD+ implementation:**

National Forest Policy has been drafted and endorsed by the Ministry of Environment and Forestry. The project facilitated a national process to review of the draft National Forestry Policy 2016. The review was necessitated by new developments and emerging issues in the forest sector that require further articulation including, among others, institutional alignment and reforms, forest governance, land and forest tenure, sustainable forest management, climate change, green economy policy requirements, devolution of key aspects of forest management in Kenya, entrenching public participation in forest management, and enhancing private sector investment in the forest sector.

**County model forest policy and model bill on forest conservation and management developed with counties domesticating them:** This comes in the backdrop of devolved functions on environment and forestry. They will guide the devolved forestry functions which are very fundamental in forest conservation in community land, public forests on land managed by county government. It aims among others at facilitating counties' implementation of the national policies on forestry and climate change.

**Nyeri County Forest Management and Conservation Bill and Policy, 2020 developed and assented by the Governor:** REDD+ Readiness project supported the development of Nyeri County Forest Management and Conservation Policy, 2020. The purpose of the policy is to contribute to the implementation of the national and county legislation on forest management, protection, and conservation within Nyeri County. It further aims at promoting and facilitating good governance in the protection, restoration, conservation, development, and management of forest resources; equitable, sustainable forest management. The policy has been assented to by the Nyeri County Governor.

**Elgeyo Marakwet County Forest Management and Conservation Act and Policy finalized assented by the Governor and printed:** The project supported the development of Elgeyo Marakwet County Forest Management and Conservation Act and Policy finalization and its printing. The Elgeyo Marakwet County Forest Management and Management policy seeks to provide legal and institutional framework for the sustainable management of forest resources and trees outside forest land. It aims to ensure respect, protection, and fulfilment of human rights in all forestry and tree growing actions; implement

provisions of the Constitution and national laws on environment, forest conservation and land use planning.

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

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 REDD+ National Strategy and Investment Plan development process and can influence and effectively contribute to REDD+ decision-making processes.

National REDD+ governance system established and strengthened: The National REDD+ governance system was established and operational. This is evident in the harmonious collaborative engagements that currently exists between the different stakeholders involved through the Project Steering Committee and REDD+ Technical Working Group (TWG). The Project coordination unit is established and operationalized at the Ministry of Environment and Forestry. There are effective and meaningful multi-stakeholder representation in decision-making bodies of in country REDD+ governance.

Knowledge management (KM) and communication strategy developed and implemented around selected and strategic initiatives to support strategy implementation: The National REDD+ Communications Strategy was developed to guide engagement with various stakeholders through various platforms. The communication strategy was endorsed by the project TWG and awaiting further validation by key actors and clearance by the Ministry of Environment and Forestry. Engagements with the media and public was conducted with visibility and awareness created on REDD+ readiness process in Kenya. Additionally, a media campaign with media houses was conducted focusing on the 10% national tree cover initiatives being spearheaded by the National Government of Kenya in partnership with development partners. The project has continued to engage through social media platforms like Twitter and Facebook. 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 target achievement through various National media outlets.

Development of county Ethics and Integrity guidelines in forest governance completed: In partnership with the Ministry of Environment and Forestry (MoEF), the Ethics and Anti-Corruption Commission (EACC) and implementing partners, the Project facilitated and provided technical support for the development of REDD+ Ethics and Integrity (anti-corruption) guidelines in forest governance through in-depth consultations with various stakeholders such as Community Based Organization (CBO), private sector, and

indigenous people through consultative meetings. The development of the guidelines was informed by international best practices in line with the United Nations Convention Against Corruption and the United Nations Framework Convention on Climate Change (UNFCCC). The REDD+ anti-corruption guidelines outline principles and strategies for REDD+ implementing partners towards eradication of corruption throughout the REDD+ program cycle. They also provide relevant measures for prevention, detection, eradication of corrupt practices and subsequent mechanisms for reporting, monitoring, and accounting for and fair determination of identified cases.

[Gender Inclusion and Vulnerability Assessment for Forest Dependent Communities in Kenya conducted:](#) the readiness project facilitated and provided technical support to the gender inclusion and vulnerability assessment to assess gender inclusion of forest dependent communities in forest conservation, protection, and management processes in Kenya. The assessment provided fundamental information in ensuring gender equality and inclusion of forest dependent communities in the REDD+ readiness processes that will contribute to REDD+ objective of climate change mitigation through sustainable forest conservation and management. Specifically, the assessment purposed to document gender issues; analyses of the perceptions of communities on the drivers of deforestation and forest degradation; examine vulnerability of communities in terms of access and use, protection, conservation and management of forestry related resources; and make appropriate recommendations to inform the key actors and the REDD+ readiness processes. This has informed the strategy drafting and a Gender Action plan has been drafted in tandem with the proposed options.

[Training curriculum and manual on mainstreaming of Human Rights Based Approach \(HRBA\) in forest conservation, protection, and management developed:](#) During the reporting period, the REDD+ Readiness project supported the development of the training curriculum and manual on mainstreaming of Human Rights Based Approach (HRBA) in forest conservation, protection, and management to the Kenya Forest Service. These were developed through a highly consultative process led by the Kenya National Commission on Human Rights (KNCHR) in close collaboration with the Kenya Forest Service. The training manual aims to institutionalise human rights-based approach and other related safeguards in forest conservation and management. This curriculum and manual have been adopted by the Board of directors and has been included as one of training subjects of all foresters on refresher course, certificate and Diploma programmes offered by the Kenya Forest Collage training package. The course is available for county government and private sector institutions who often approach the Kenya Forest College for training of staffs on forestry and related courses.

[Technical support provided for improvement to the National Forest Monitoring System and Forest Reference Level.](#)

[Development of Forest Reference Level:](#) Kenya submitted the forest reference level to UNFCCC in 2019,

FRL has since been published on UNFCCC website. The project provided technical inputs to the FRL. The FRL identifies historical emissions associated with each of the REDD+ activities and this is projected into the future based on a BAU scenario - Deforestation (48,166,940 Mt CO<sub>2</sub>), Forest degradation (10,885,950 Mt CO<sub>2</sub>), Sustainable management of Forests (2,681,433 Mt CO<sub>2</sub>), Enhancement of Carbon Stocks (-9,530,264 Mt CO<sub>2</sub>). In addition to the emissions, the FRL has provided statistics of forest cover change by each forest strata which illustrates where each of the problem is manifested (Deforestation, Forest degradation, Sustainable management of forests and Enhancement of carbon Stocks).

**Development of the National Forest Monitoring System:** The draft National Forest Monitoring System (NFMS) has been developed with support from the Japan-funded **Capacity Development Project for Sustainable Forest Management (CADEP-SFM)**, under the leadership of Ministry of Environment and Forestry and Kenya Forest Service. The draft underwent first technical review in June 2021. The project is partnering with the CADEP team to provide both technical inputs as well as financial support towards stakeholder's consultations in line with the stakeholder's engagement guidelines for REDD+.

*An operational safeguards information system for REDD+*

The national operational Safeguards Information System (SIS) is yet to be developed. Terms of reference were developed and are at the procurement stage.

### **III. A review of the REDD Country Participant's compliance with the Common Approach**

*The Country reports 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.*

The project developed a social and environmental screening process which will be expanded to a SESA. The SESP (attached as a separate document) is the preliminary version of the ESMF. The ToRs are developed and the process of hiring SESA consultant initiated. SESA will be conducted based on the REDD+ strategic options identified. The project adhered to stakeholder engagement guidelines and had a project Grievance Redress Mechanism in place.

#### *Stakeholder engagement*

On 13 June 2014, a [Widening Informed Stakeholder Engagement for REDD+](#) workshop was held to broaden and strengthen informed stakeholder engagement in National Reducing Emissions from Deforestation and forest Degradation. It also aimed at enhancing the role of conservation, sustainable management of forests, and enhancement of forest carbon stock (REDD+) readiness program, by supporting the government to implement the stakeholder engagement component of the FCPF Readiness Preparation Proposals (R-PPs) and Emissions Reductions Programs (ERP).



In order to improve the participation of Indigenous Peoples and other actors in the consultation processes during the implementation of the REDD+ readiness, [the National guidelines for REDD+ Stakeholder Engagement](#) was developed in December 2016.

In December 2019 a multi-stakeholder forum held to identify the need to build the capacity of CSOs working on land, climate change and water and sensitize them on REDD+ and the readiness process in Kenya and how they can have meaningful engagement in the strategy development; identify the need to review the REDD+ corruption risk assessment, which was undertaken in 2013; review the progress of the project during 2019, and to propose activities for 2020. 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 REDD+ National Strategy and Investment Plan development process and can influence and effectively contribute to REDD+ decision-making processes. The media (television, newspapers, and radio) was targeted to especially reach out the information about the project, the policies review process, and the call for action for forest conservation and management. Publications on these platforms as well as [social media reached a 42.2K Twitter](#), over 25million on radio and television. Articles are also posted on UNDP and Ministry of environment website.

The use of stakeholder engagements guidelines has enhanced the involvement of the indigenous people at the local level in the planning, implementation and decision making has been a key element in the project sustainability. The REDD+ project acknowledges that indigenous populations are sources of local ecological knowledge about environmental dynamics that influence forest sustainability. From a rights-based perspective, greater indigenous self-determination in the management of their traditional lands is a matter of respecting international laws on indigenous rights. This is based on the ability for use, ownership, management, and control of their traditional lands and resources as described by the Free, Prior and Informed Consent (FPIC) principle, is recognised as a basic international right of indigenous populations. This approach potentially secured indigenous peoples' rights to their land giving rise to higher levels of biodiversity at lower overall cost. The [inclusion and involvement of the indigenous forest dependent communities](#) in the REDD+ planning and implementation enhanced their capacity in forest management, enhanced dialogue with local communities, improved stakeholder equality, identification of community priorities, and place-based decision making.

#### Disclosure of information

All the information generated and used within the framework of the project inception, project document development, implementation, and validation spaces have been hosted in the web pages of both [Ministry of Environment and Forestry \(MoEF\)](#), [Kenya Forest Services \(KFS\)](#), [UNFCCC](#) and [UNDP](#). The project

adopted various communication platforms like [Twitter](#), [Facebook](#), electronic and print media to strengthen stakeholder engagement, increase project visibility at the international, national, county, and community levels. The project adopted these communication platforms to update stakeholders on milestones and to share highlights on various strategic partnerships and achievements reached.

#### IV. An updated financing plan for the overall Readiness preparation activities

*The Country provides an updated financial plan for the overall Readiness preparation activities, including reporting on the uses and sources of funds allocated for the R-PP implementation (both by the FCPF and other development partners), by R-PP component, using the table below (the model contains a hypothetical numeric example). This table could also be used if the country is requesting additional funding from the FCPF (see right-most column).*

Table 13: Updated financing plan for the Readiness preparation activities; up to July 2020.

Uses of Funds (in US\$ thousands)							
R-PP Component	Total needed (A) <sup>4</sup>	Funds pledged (B) <sup>5</sup>	Funds used <sup>6</sup>		Funds available (= B - C) <sup>7</sup>	Financing gap (= A - B) <sup>8</sup>	Request to FCPF <sup>9</sup> (if any)
			Funds Committed (C)	Funds Disbursed			
Output 1: National REDD+ Strategy and Investment plan.	1 568 000	1 568 000	1 568 000	1 143 733.68	0	0	0
Output 2: A functional multi-stakeholder engagement and capacity building approach in REDD+	515 663	515 663	515 663	535 663.00	0	0	0
Output 3: An operational safeguards information system for REDD+;	250 000	250 000	250 000	28 849.94	0	0	0
Output 4: Technical support provided for improvement of National Forest Monitoring System and Forest Reference Level.	140 000	140 000	140 000	120 980.04	0	0	0

<sup>4</sup> 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.

<sup>5</sup> 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.

<sup>6</sup> Funds used refer to the amount of funds committed in signed contracts, and the portion of the funds committed that has already been disbursed.

<sup>7</sup> Available funds equal pledges minus commitments.

<sup>8</sup> Financing gap equals total needed minus pledged funds.

<sup>9</sup> Request for additional funding from the FCPF (up to US\$ 5 million, subject to conditions set by Resolution PC/10/2011/1.rev being met).

Project implementation	1 042 838	1 042 838	1 042 838	854 704.03	0	0	0
Monitoring and evaluation	83 500	83 500	83 500	-	0	0	0
GMS (8%)	288 000	288 000	288 000	212 206.91	0	0	0
<b>TOTAL</b>	<b>3 888 000</b>	<b>3 888 000</b>	<b>3 888 000</b>	<b>2 896 137.60</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Sources of Funds (in US\$)</b>							
FCPF [specify activities being supported by the FCPF]	3 888 000	3, 888,000	3,888,000		0		
Government [specify activities being supported by the Government]	0	0	0		0		
UN-REDD Programme (if applicable) [specify activities being supported by the UN-REDD]	0	0	0		0		
Other Development Partner 1 (name) [specify activities being supported by the Development Partner]	0	0	0		0		
Other Development Partner 2 (name) [specify activities being supported by the Development Partner]	0	0	0		0		
<b>TOTAL</b>	<b>3,888,000</b>	<b>3,888,000</b>	<b>3,888,000</b>		<b>0</b>		

## V. Grant Reporting and Monitoring report (GRM)

*The Delivery Partner prepares a mid-term GRM or equivalent grant monitoring report, which provides a qualitative report on the progress and results of FCPF-financed activities from the Delivery Partner's perspective, and the Delivery Partner's assessment of overall Readiness progress, and should be annexed to the mid-term progress report.*

*Submitted as An Appendix to this document*

## VI. Summary statement of request for additional funding to the FCPF

*If the Country is requesting additional funding, it presents a summary statement of total additional funding requested from the FCPF to justify the numbers presented in the table on uses and sources of funds, including an explanation of the proposed activities to be financed by the additional funding.*

Kenya will not request additional funds for the REDD + preparation process.

## VII. Annexes

### Annex 1 – Chronology of Events in 2018

**Phase 1: R-PP Formulation:** The Government of Kenya developed and 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.

The REDD+ Technical Working Group (TWG) was created in November 2009 and draws its membership 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. The period 2009-2010 saw Kenya engage in R-PP Formulation. 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 on May 3, 2010.

In September 2010 FCPF awarded Kenya US \$ 200,000 formulation grant to complete the [Readiness Proposal Preparation \(R-PP\)](#). The broader consultative process constituted a formative platform to the development of all R-PP components. 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 Kenya Forest Services (KFS) and helped to shape the analysis of the components.

In 2010 the FCPF of the World Bank awarded Kenya US \$ 3.8 to implement the REDD+ Readiness project. However, due to tensions and conflicts on land tenure and access rights between Indigenous groups and the Government that had existed in the country for decades some implementing partners (IPs) groups expressed concerns that similar conflicts may manifest during the implementation of the REDD+ Readiness process. Since the issues were critical to the REDD+ Readiness process, it was agreed that the readiness work in Kenya should start with the Strategic Environmental and Social Assessment (SESA).

The National REDD+ Steering Committee was established in 2011 and is the governing body of the REDD+ Readiness process. The Terms of Reference of the REDD+ Steering Committee (RSC) were developed and approved during the first Steering Committee meeting held on 15th December 2011. The RSC membership is composed of Permanent Secretaries from the Ministries of Wildlife and Tourism, Environment and Forestry Energy Devolution and ASALs Development, Planning and Treasury; the Directors of KFS, KEFRI and NEMA, IUCN, WWF, KFWG, and a representative from Universities, UNDP/UNEP and the Donor Coordination Group.

In December 2011, the National REDD+ Steering Committee approved the establishment of six thematic working groups including (SESA) to drive the REDD+ implementation process. These were: 1) Governance, Policy and Institutional Working Group: 2) REDD+ Strategy Development Working Group: 3) Safeguards Information System and SESA Working Group: 4) MRV and Monitoring System Working Group: 5) Financing and Benefits Sharing Working Group: 6) Communications and Stakeholder Engagement Working Group. The National REDD+ Coordination officer (NRCO) - based at the Ministry of Environment and Forestry (MoEF) was recruited in March 2012 and serves as the focal person in the MoEF.

**Phase 2: R-PP Implementation.** The R-PP implementation took place between 2011-2013. The R-PP represented a step in Kenya's ongoing efforts to get 'ready' for a future mechanism for REDD+. Implementation of the R-PP included 3 steps covering design, testing of REDD+ strategies and early REDD+ enactment. These activities were anticipated to continue through the end of 2013 and culminate with the launch of a National REDD+ strategy.

In September 2013, a scoping and readiness mission was conducted by World Bank FCPF to take stock of the implementation progress of REDD+ related activities. The mission found that the Government of Kenya (GOK) made good progress on the analytical work that would be relevant for advancing REDD+ readiness activities through FCPF support. The GOK had advanced preparatory work on SESA. The mission also discussed with GOK the activities that would be supported by the FCPF readiness grant. The World Bank due diligence process in preparation of signing the grant agreement was initiated. In the interim, there were issues with the continued implementation of the R-PP. UNDP was then approached by the World Bank to discuss the possibility of UNDP becoming a Delivery Partner for the implementation of the FCPF Grant in Kenya in 2016. This has become imperative because the FCPF support to Kenya's REDD+ activities have yet to be realized as most of the activities proposed in the RPP have not been initiated. Reports describing the reasons and modality of the transition are available and can be requested.

## **Annex 2: Forest Grievance and Redress Mechanism (FGRM)**

Design of Forest Grievance and Redress Mechanism (FGRM) allows it to address the concerns of the affected people and handles grievances promptly, effectively and in a transparent and culturally appropriate manner. The FGRM is discreet, sensitive, and responsive to the needs and concerns of the project affected parties, allows access to judicial or administrative remedies, allows anonymous complaints to be raised and has a log for registering and tracking grievances and actions taken. The FGRM is based on fundamental **principles** which underpin its operationalization and effectiveness:

- **Accessibility:** The FGRM is accessible to everyone and at any time. It should take into consideration potential barriers such as language, literacy, awareness, cost or fear of reprisal and seek to address them.
- **Predictability/reliability/timeliness:** FGRM time-bound at each stage and have specified time frames for the responses.
- **Fairness/ Impartiality/ Inclusivity:** All the procedures therein should be widely perceived as unbiased in regard to access of information and meaningful public participation.
- **Rights compatibility:** The outcomes of the mechanism should be consistent with the international and national standards. It should also not restrict access to other redress mechanisms.
- **Transparency and accountability:** The entire FGRM process is done out of public interest.
- **Capability:** For an effective GRM, the system needs to be endowed the necessary resources, that is, technical, financial, and human resources.

- **Feedback:** It serves as a means to channel citizen feedback to improve project outcomes for the people.
- **Legitimacy:** Decisions made should have recognized/ established mandate (formal or informal) and/or legislative backing.
- Grievance management and redress mechanism is designed to operate at various levels of governance.

**Community level:** The main targets at this level are the communities and project beneficiaries and project affected persons. People affected by project, those having legal and customary rights on land and forests, users such as Community Forest Associations (CFAs), those whose livelihood and cultural heritage depends on forests (Grazing, hunting and gathering for subsistence, Cultural and ceremonial function of forests, Indigenous medicine, Habitation); Concerns over intergeneration equity and inclusivity (gender concern, youths, PWDs, elders) including overall equity and fairness and to address concerns over sustainable access to non-carbon benefits (livelihood security, water etc.). To enhance community level FGRM, communities, land management communities, customary traditional institutions and project specific complaint mechanism are some of the institutions consulted.

**County level:** In Kenya the forest management and conservation is a devolved function to the counties. Counties have roles in forest management through CIDPs and spatial land use planning. A county level REDD+ multi-stakeholder (relevant county departments, CFAs, communities, KFS, private sector, CSOs, administration officers, NEMA +++) GRM compliance committee operationalize the FGRM at county level.

**National level:** REDD+ coordination office is a domiciled at KFS, Ministry of Environment and Forestry. A REDD+ complaint desk is established. Exists others national complaint mechanism which could be accessed through referral mechanism where applicable. This includes NLC on historical land injustices, land tribunals, environment complaint committee, national human right commission, EACC, CAJ among others.

**International level:** REDD+ is an international mechanism for carbon sequestration in which carbon accounting, monitoring, and reporting, certification and registration for ultimate result-based payment are internationally regulated. Grievances related to this element will be best addressed at international level.

Complaint Processes and Procedures include Receipt and Registration of Feedback/Grievance acknowledgement, assess and assignment: development of a proposed Response.

[Acknowledgement, Assess and Assignment](#)

**Acknowledge:** The REDD+ grievance office acknowledges all complaints received by the office unless the complainant wants to remain anonymous. When the complainant wants to remain overt, they notified that their complaint has been officially registered in the central system.

**Assess:** The complaint is assessed for clarity to ensure that it meets the threshold as outlined under the four key REDD+ priority areas. For avoidance of doubt, all complaints must meet the 5WH Questions. (Who, What, When, Where, Why and How).

**Assign:** All grievances are assigned using the central registry system. The complaint is assigned to a relevant government agency and/or any other mechanism to resolve the dispute.

**Communication;** The FGRM encourages communication to be done in a timely manner (14-21 days); the language used should be easily understood by the complainant; follow-up questions and clarifications should be provided for; there should be clarity on why a particular response has been proposed, including the available choices and the response should highlight government avenues for redress for consideration by the complainant. Further the communication modality should help identify where the risk of harm is high, the GRM's operating procedures should call for a fast-track response; If the complainant agrees with the proposed response, subsequent steps take effect. If there is no agreement, the relevant staff need to make sure the complainant understands what other recourse may be available. For sensitive and challenging cases, the GRM may seek agreement to use independent assessments (mediation, adjudication etc.).

**Develop a proposed Response:** The officers from receiving organization or local authorities determine a direct action to resolve the grievance, this ranges from relatively simple direct actions. For complex cases further assessment and engagement with complainant and stakeholders to develop a consensus solution depending on the organizations structure. If the complaint cannot be addressed by the recipient organization, reference is made to the institution or mechanism that can handle such a grievance.

**Implementation of Redress Mechanism:** Upon agreement between the complaint and the GRM staffs, a proposal is made on the way forward. An action is taken, and the grievance addressed. If no agreement is reached or the grievance not addressed, further options are considered for either new measures or reference to another institution(s) or mechanism(s) is adopted.

**Review:** When it is not possible to reach agreement, no efforts is spared in enabling the informal mechanisms to resolve grievances and settle disputes, faith efforts may not succeed in resolving key issues. In any of these situations, the FGRM staff should review the situation with the complainant and see whether any modification of the response might meet the concerns of the complainant, the organization, and other stakeholders. If not, the FGRM staff should inform the complainant about other alternatives that may be available, including the use of judicial or other administrative mechanisms for recourse.

**Closeout/Referral:** If the response has been successful, the grievance is closed out. The resolutions agreed upon are documented. In cases where there have been major risks, impacts and/or negative publicity, it may be appropriate to include written documentation from the complainant indicating satisfaction with the response. In more complex and unusual grievance situations, lessons learned are documented. In a case where the grievance has not been resolved, steps taken are documented and communication with the complainant and other stakeholders if there has been substantial effort to initiate or complete a multi-stakeholder process. The complainant is informed about referral or recourse to other alternatives, including legal alternatives. Where an agreement has not been reached, the complainant is offered an appeals process. One approach is to refer appeals to the national courts or other suitable process.

#### **Institutional arrangement and implementation responsibilities**

**Coordination and reporting:** Operational and coordination mandate rests in the focal point with the REDD+ national office. A REDD+ multi-stakeholder committee reviews performance of GRM and address complains related to mechanism on annual basis or as the need arises. A county level REDD+ multi-stakeholder (relevant county departments, CFAs, communities, KFS, private sector, CSOs, administration officers, NEMA) GRM compliance committee is proposed.

**Institutional capacity assessment and strengthening:** Establishing and strengthening GRMs requires effective capacity development with an aim to establish or improve the GRM's institutional performance, in order to reduce negative impacts and increase the REDD+ program's positive contributions to people's lives. This can be achieved through a three-step process involving identification of the potential grievances and conflicts, assessment of existing capacity to respond to and resolve conflict and developing an action plan. The GRM is reviewed after three (3) years through a multi-stakeholder process.