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**Project Title:** FCPF REDD+ Readiness Grant

**Project Number:** 00099178

**Implementing Partner:** Ministry of Environment and Forestry

**Start Date:** 1/6/2018 **End Date:** 31/10/2020 **LPAC Meeting date:** 24/5/2018

#### BRIEF DESCRIPTION

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

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

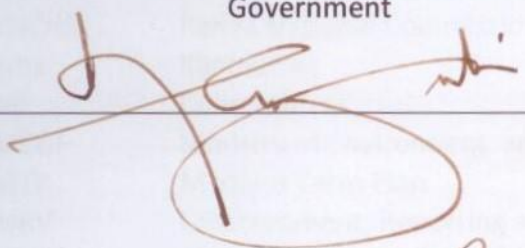
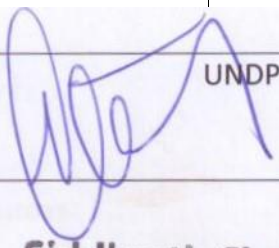
This proposed project aims to put in place mechanisms to enable Kenya to reach its overall REDD+ goal to improve livelihoods and wellbeing, conserve biodiversity, contribute to the national aspiration of attaining a minimum 10% forest cover and mitigate climate change for sustainable development. To achieve this objective the following outcomes are envisaged:

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

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

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

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

Agreed by (signatures) <sup>1</sup> :	
Government	UNDP
	
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**LIST OF ACRONYMS**

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

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

### **Definition of terms and concepts**

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

1. “marginalised community” as provided for in the Constitution of Kenya article 260 - means—
  - (a) a community that, because of its relatively small population or for any other reason, has been unable to fully participate in the integrated social and economic life of Kenya as a whole;
  - (b) a traditional community that, out of a need or desire to preserve its unique culture and identity from assimilation, has remained outside the integrated social and economic life of Kenya as a whole;
  - (c) an indigenous community that has retained and maintained a traditional lifestyle and livelihood based on a hunter or gatherer economy; or
  - (d) pastoral persons and communities, whether they are— (i) nomadic; or (ii) a settled community that, because of its relative geographic isolation, has experienced only marginal participation in the integrated social and economic life of Kenya as a whole;
2. “Forest Dependent communities means”: Communities directly drawing their livelihoods from forest both organised and not organised around community forests associations and marginalised communities.

3. “Forest community” means a group of persons who have a traditional association with a forest for the purposes of livelihood, culture or religion;
4. “minority community” means a group due to being too small in a given locality are not able to adequately participate in decision making process about the forest resources around them and are outnumbered by the dominant community in the area (NGEC report)

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

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## CONTENTS

Brief Description .....	1
List of Acronyms .....	3
Contents .....	5
I. Development Challenge .....	6
II. Strategy .....	11
III. Results and Partnerships .....	14
Expected Results .....	14
Resources Required to Achieve the Expected Results .....	23
Partnerships .....	24
Stakeholder Engagement .....	26
South-South and Triangular Cooperation .....	29
Knowledge .....	29
Sustainability and Scaling Up .....	29
IV. Project Management .....	32
Cost Efficiency and Effectiveness .....	32
Project Management .....	33
V. Results Framework .....	35
VI. Monitoring And Evaluation .....	45
VII. Multi-Year Work Plan ‘ .....	50
VIII. Governance and Management Arrangements .....	59
IX. Legal Context and Risk Management .....	62
X. ANNEXES .....	65
Annex Five: Terms Of Reference Of Project Executive Board (Project Advisory Team) .....	65

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## I. DEVELOPMENT CHALLENGE

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

As a Party to the United Nations Framework Convention on Climate Change (UNFCCC), Kenya has taken bold measures to secure the country's development against the risks and impacts of climate change. Climate change related strategies have been developed, including a *National Climate Change Response Strategy*<sup>1</sup>, the *National Climate Change Action Plan 2013-2017*<sup>2</sup>, and the *Green Economy Strategy and Implementation Plan*<sup>3</sup>. Along with the Climate Change Act (2016) these documents all highlight forestry as one of the priority areas to move Kenya towards a low-carbon, climate-resilient development pathway. To do this, they recommend that the national forest cover must be increased to at least 10% as recommended and proposed in Constitution 2010. The National Forestry Programme<sup>4</sup> (2016-2030) a strategic framework for forest policy, planning and implementation to coordinate the sector's development, notes that REDD+ provides an opportunity to move towards more effective governance of the forest sector.

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

Forests are not evenly distributed in the country (Figure 1). Over 80% of Kenya's land area is either arid or semi-arid with relatively low human population densities, as opposed to the wetter and more arable 20% where 70% of the population lives. According to the latest inventory undertaken in 2010 (KFS, 2013a), forests in Kenya cover 6.99% of the land area – 3.47 million hectares (ha) of forest and an additional 24.5 million ha of bush-land<sup>5</sup>. These forests are categorised as Montane, Western rainforest, Bamboo, Coastal and Dryland forests. The montane forest and the coastal forest regions are the most forested with 18% and 10% of total forest cover, respectively. Natural forests in Kenya are made up of montane forests, which occupy about 2% of the total land area (1.14 million hectares). A considerable area of 2.13

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<sup>1</sup> Change Response Strategy, 2010 - [NCCRS](#)

<sup>2</sup> National Climate Change Action Plan, 2013-2017 - [NCCAP](#)

<sup>3</sup> Green Economy Strategy, 2016-2030 - [GESIP](#)

<sup>4</sup> National Forest Programme [NFP](#)

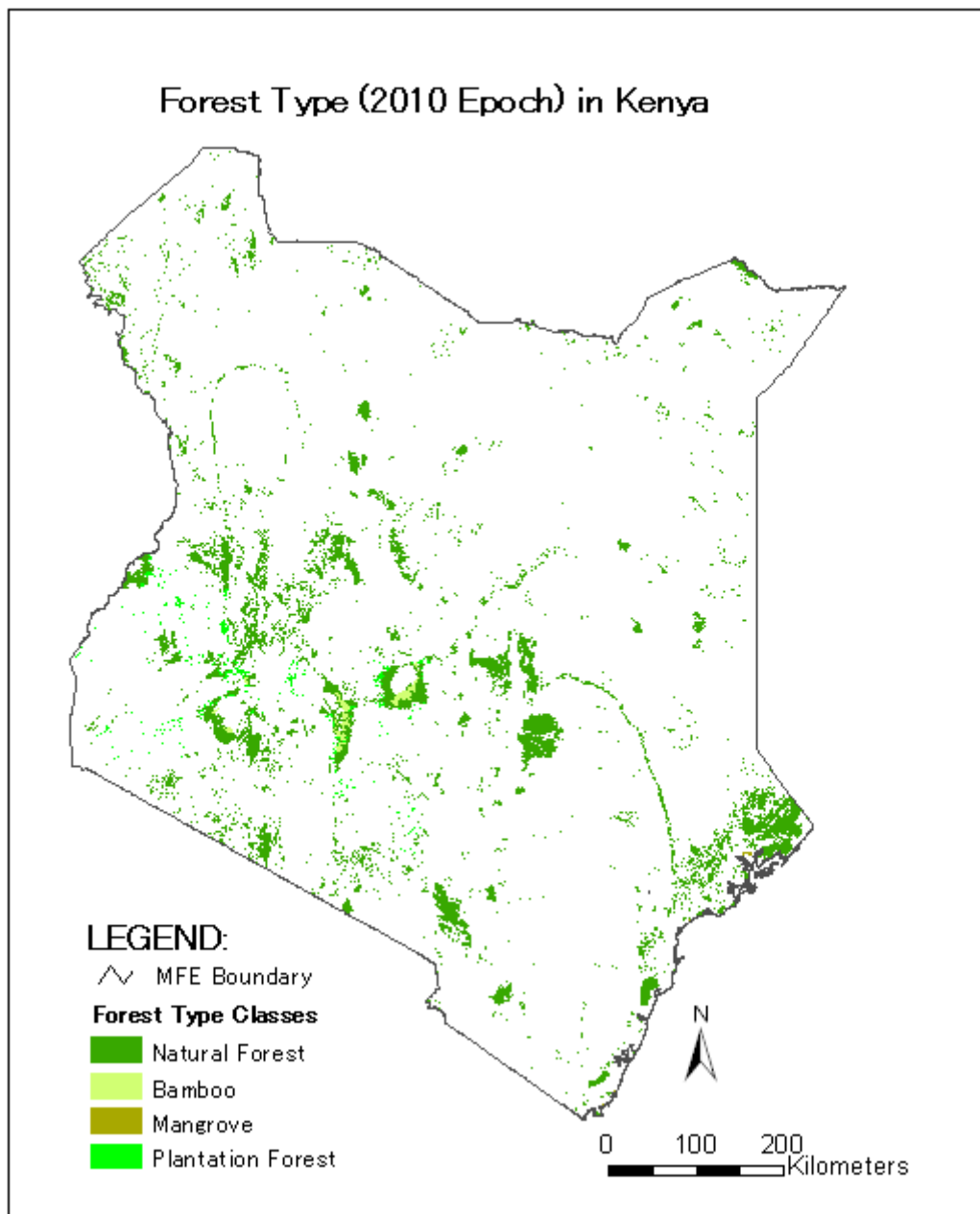
<sup>5</sup> Kenya Country Report, Country Report 180, FAO Global Forest Resources Assessment 2005

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

The population of Kenya is currently estimated at 48 million and with a growth rate of 2.8% (Weismann, 2014) is projected to rise to 66.3 million by 2030 (WPR, 2015). The increased population puts pressure on natural resources, a major challenge for the country. It is also estimated that about 10% of the population are forest-adjacent households and derive direct benefits from closed canopy forests<sup>6</sup>. In 2015, 35 million rural residents produced agricultural outputs for their consumption, for export and to feed 12 million urban residents. It is projected that by 2050 there will be 54 million rural residents expected to produce agricultural outputs for their own consumption, for export and also to feed 43 million urban residents. The implication of rural populations feeding increasing urban populations will be pressure to convert forest land to agricultural land.

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<sup>6</sup> Government of Kenya, Ministry of Forestry and Wildlife. Analysis of drivers and underlying causes of forest cover change in the various forest types of Kenya. Revised Final Report I. Consultancy Services provided by: RURI Consultants, Nairobi, Kenya. July 2013.



**Figure 1. Forest Cover Map, Kenya, 2010.**

Kenya loses about 12,000 ha of forest each year through deforestation<sup>7</sup>. About 12% of the land area which was originally covered by closed canopy forests had been reduced to about 1.7% of its original size, due to population pressure for settlements<sup>8</sup>, infrastructure, demand for wood products and conversion to agriculture<sup>9</sup>. Deforestation and degradation is evident in both the

<sup>7</sup> The annual loss of 12,000 ha of forest results in a loss of approximately 1.6 million tons of carbon per year. (FAO State of the World's Forests, 2010). This data will be updated through the drivers of deforestation study to be undertaken under this project.

<sup>8</sup> For example, many pastoral communities in drylands have changed their lifestyles becoming more sedentary leading to more permanent settlements and permanent grazing areas. These have concentrated demand for forest products, especially in the drylands.

<sup>9</sup> In all the regions of Kenya loss of cover caused by agricultural expansion occurs with variations as to whether such agricultural expansion is motivated by subsistence or the market economy.



high elevation water towers<sup>10</sup>, and in bush land in the arid and semi-arid lands areas. A study on demand and supply of wood products found that Kenya has a wood supply potential of 31.4 million m<sup>3</sup> against a national demand of 41.7 million m<sup>3</sup> hence a current deficit of 10.3 million m<sup>3</sup>.

**Table 1 – Wood products supply and demand**

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

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

Further, forecasts for a 20-year period indicate a 20.0% increase in supply and 21.6% increase in demand by the year 2032 to reflect population increase which signifies a gradually increasing deficit<sup>11</sup>. It is clear from the study by the Ministry (MEWNR, 2013b) that meeting the demand for forest products in the future will be a challenge. Projected deficits have to be addressed through sustainable resource management.

Large areas of forest reserves have been de-gazetted and officially converted to other uses, mainly agriculture. The remaining protected indigenous forests have been degraded by decades of logging, both legal and illegal, of valuable timber trees resulting in reduced carbon stocks and degraded biodiversity values. Forests on community land under the control of county governments continue to be degraded and destroyed through over-exploitation for timber, poles, charcoal<sup>12</sup>, fuel wood, unregulated grazing and clearance for agriculture; depicting a classic example of the “tragedy of the commons”.

The area of publicly owned plantations has progressively reduced from 150,000 ha in the early 1990s to about 135,000 by 2011<sup>13</sup>. Contrary to this, forest cover on farms either as isolated groves and woodlots, which are not subject to state regulation, have increased. The trend is similar for private plantations mainly owned by tea estates and companies where there have been marginal increases in aggregate area.

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

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

<sup>11</sup>Ministry of Environment, Water and Natural Resources. Analysis of demand and supply of wood products in Kenya. 2013

<sup>12</sup> Charcoal making is rampant because majority of Kenyans, especially those living in peri-urban and urban areas, heavily depend on charcoal as a source of energy for cooking and heating.

<sup>13</sup> REDD+ Readiness Project Proposal, 2010.

reports have demonstrated the importance of the need to address contested land rights, illegal logging and corruption in the forestry sector<sup>14</sup>.

Communities living in and around forests should be organised into Community Forest Associations (CFAs) as required by the Forest Management and Conservation Act 2016. While recognising that CFAs present progress towards community based forest management, not all forests have functional Forest Management Plans, further some of these CFAs lack capacity and resources to develop or implement plans and to participate in the conservation agenda. It is also noted that the CFA model has registered successes and has provided an opportunity for communities to participate in co-management of forest resources in certain areas. However, the CFA model has been challenged and criticised by different communities particularly by some marginalised communities<sup>15</sup> a section of whom see the model as violating their rights, and prefer to use traditional governance structures and systems in participating in forest resources management and conservation.

Marginalised communities are not homogeneous and some have adopted new livelihood systems and practises from members of communities living around them. Some of these livelihoods include cultivation of food crops for commercial production. While some marginalised communities have not registered in CFAs operating in their forest blocks, it is however observed that other members of these marginalised communities are members of CFAs working in their forest block/area, others are not. Some marginalised communities lack structures to engage with the government in the management of the forest resources. Some of these marginalised communities may not have documented their traditional knowledge (which include community by-laws/ traditions) and how this would enable or enhance their participation in forest conservation<sup>16</sup>.

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

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

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<sup>14</sup>National Forest Programme, 2016; A corruption risk assessment for REDD+ in Kenya, Ministry of Environment, Water and Natural Resources, UN-REDD, 2013.

<sup>15</sup> Some of these communities identify themselves as indigenous communities. However, the Kenya Constitution Article 260 identify them as part of marginalised communities. These groups are however not registered formally unlike the community forest associations which are established under the Forest Act.

<sup>16</sup>REDD+ Readiness Project Proposal, 2010.

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## II. STRATEGY

The direct drivers of forest loss have been described in the section above, and contribute to increasing greenhouse gas (GHG) emissions and concomitant losses of social benefits, well-being and ecosystem services. Recognizing that the drivers of change emanate from outside the forest sector and the shortage of instruments in place to address these drivers in a coherent and integrated manner, efforts to curb losses have been mainly concentrated in the forest management milieu and the charcoal value chain, but have resulted in piecemeal successes. A coordinated and coherent approach is needed to sustainably manage and conserve forests and to reduce GHG emissions in order to meet the national target of forest cover of at least 10% of the land area of Kenya. This will entail responding to the direct and underlying drivers of forest and land use change that emanate from outside of the forest sector and providing consistent incentives for forest management for government, communities and the private sector. Kenya's Second National Communication to the UNFCCC emphasizes that the country is working to address these challenges, including the development of a National Strategy for Reducing Emissions from Deforestation and Forest Degradation and fostering conservation, sustainable management of forests, and enhancement of forest carbon stocks (REDD+)<sup>17</sup>. Thus, according to this report to the UNFCCC, the REDD+ Strategy will seek to incentivize activities to help meet the minimum 10% forest cover goal of the Constitution and Vision 2030.

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

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

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

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<sup>17</sup> Kenya (2015) Second National Communication to the United Nations Framework Convention on Climate Change. National Environment Management Authority. p, 26.

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

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

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

The project aims at supporting Kenya's efforts to pursue long-term, transformative development and accelerate sustainable climate resilient economic growth, while slowing the soaring rates of GHG emissions emanating from the forest sector. Therefore, REDD+ activities undertaken in context of the National REDD+ Strategy in the period after 2020 (when a National REDD+ Strategy is expected to be complete) could enhance the abatement potential further by 2030 considering the targets set out by Kenya's Nationally Determined Contribution (NDC) submission of 23 July 2015 to the UNFCCC Secretariat. In the INDC, Kenya seeks to abate its GHG emissions by 30% by 2030 relative to the Business as Usual (BAU) scenario of 143 MtCO<sub>2</sub>eq; and in line with its sustainable development agenda.<sup>18</sup> The mitigation priorities relevant to forestry including making progress towards achieving a forest cover of at least 10% of the land area of Kenya, will greatly be supported by REDD+ implementation whose key foundations will be laid by this project.

This theory of change is illustrated below:

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<sup>18</sup> Kenya's Intended Nationally Determined Contribution (INDC), Ministry of Environment & Natural Resources. p, 2. 2015.

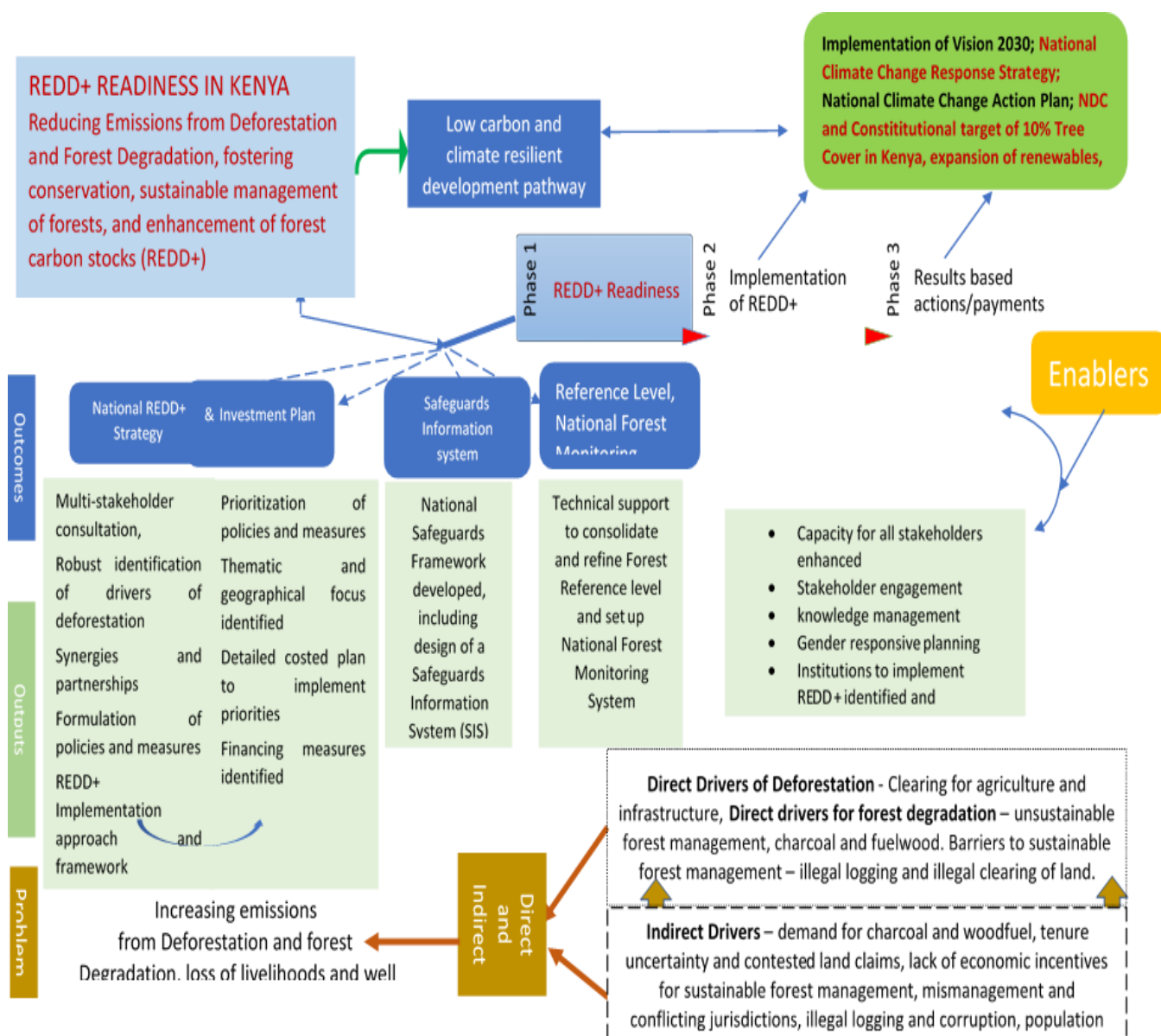


Figure 2: Theory of Change

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### III. RESULTS AND PARTNERSHIPS

#### *Expected Results*

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

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

The REDD+ Strategy will identify various policies, measures and actions to be taken by public, community and private actors for reducing emissions and increasing removals of CO<sub>2</sub> in the land use sector. They can involve modifications or improvements to existing policies, development of new policy measures and programmes, investments by authorities in the capacities and management structures of their respective institutions, and financial incentives and instruments that induce a change in behaviour. Other measures that are important foundations for the successful implementation of REDD+ strategies include awareness raising and support to women and women's groups, communities, private forest owners and forest industries to enable and <sup>19</sup>encourage them to fully participate in the REDD+ strategy development process and its ultimate implementation.

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

##### ***Output 1.1 Analytical work for REDD+ Strategy options conducted***

Building on the work already conducted for REDD+, this activity will involve desk and field studies to identify the REDD+ Strategy options. These will include:

- a. Review and update work on drivers of deforestation and forest degradation identifying primary actors and sectors involved in deforestation and degradation. Identify responses to the drivers through a set of priority policies and measures particularly integrating indigenous traditional knowledge in the management of lands and forests.
- b. Draw upon land-use and spatial planning considerations to inform strategy options.

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<sup>19</sup> See work done in the assessment note.

- c. Analyse potential for REDD+ results based payments for the proposed strategy options.
- d. Conduct a participatory social and environmental assessment of risks and benefits of proposed REDD+ strategy options. This will include
  - a) identifying potential opportunities and challenges to securing respect for rights and full participation of forest dependent communities including marginalised communities and enhance gender equity and inclusion.
  - b) due diligence on the applicable laws and policies relevant to the achievement of conservation, forest management and sustainable development, including all Kenya environmental human rights obligations under national and international law, including core human rights treaties
- e. Conduct a gender assessment of REDD+ options proposed and incorporate recommendations and actions to ensure the integration of gender equity and inclusion in the design of the Strategy.
- f. Produce an issues and options report that will inform the REDD+ strategy.
- g. Conduct an assessment of policy law and regulations update and revision conducted at the national level identifying opportunities and hindrances for implementation of REDD+. This will also include support to selected counties that have made progress and demonstrated leadership in forest conservation and management agenda, and involving communities<sup>20</sup>. The assessment will provide recommendations for update of the policies, laws and regulations to support REDD+ as part of the strategy implementation.
- h. Identify how Community Based Monitoring Information Systems (CBMIS) at the community level can be integrated in the National REDD+ strategy.
- i. REDD+ Strategy drafted, validated and adopted.

These activities will be guided by the need to consider:

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

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<sup>20</sup> UNDP has already received a request from Elgeyo Marakwet County for support in leading a dialogue with communities living in the forests and support to draft a legislation on forests and climate change mitigation and adaptation.

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

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

### ***Output 1.2 Private sector engagement strategy for REDD+***

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

- a. Conduct mapping and assessment of private actors including small scale farmers and forest-dependent communities, their respective rights and interest and the possible entry points to the REDD+ value chain.
- b. Facilitate dialogue with the private sector under the auspices of relevant stakeholder engagement fora on proposed policies and measures
- c. Assessment of incentives mechanism including fiscal incentives, tools and systems to enhance private sector participation in REDD+.
- d. Assessment of impact and benefits analysis of the proposed policies actions and measures to the prevailing private sector business models including the duty of business entities to respect human rights)<sup>21</sup>.
- e. Conduct agriculture value chain analysis of various large and small-scale commodities and products with the potential to achieve REDD+.
- f. Take into account issues around household incomes and small-scale farmers in relation to REDD+ policies and measures
- g. Identify and adopt innovative systems, models, initiatives for private sector engagement
- h. Economic and risks analysis of the effect of REDD+ to the private sector.

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

### ***Output 1.3 Institutional and policy framework for REDD+ implementation***

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

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<sup>21</sup> See generally, [Guidelines on Business and Human Rights](#)



reserves formerly managed by local authorities to Counties<sup>22</sup>. This transfer of management functions to the county level, excludes forests managed by Kenya Forest Service, National Water Towers and private forests. To define the mode of participation of the Counties and the national entities in REDD+, particularly with regards to how policies and measures within the Strategy will be developed and implemented, the following analysis will be conducted:

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

#### **Output 1.4: National REDD+ Investment Plan**

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

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

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<sup>22</sup> The transfer applies provided that the responsibility for the personnel emoluments related to the discharge of the devolved functions shall be managed by the national government for a period not exceeding six months or as shall be agreed upon between the two levels of government, whichever comes first

- c. Supporting the development of appropriate financial instruments for REDD+ (including existing financial incentives and instruments) through technical, economic and financial analyses and in line the national climate change financing framework.
- d. Holding multi-stakeholder and multi-sectoral dialogue with key sectors, partners and stakeholders on proposed/identified investment options and associated financial instruments.
- e. Engaging the private sector to contribute to actions and enable scaling-up of actions including through ongoing and emerging investments.
- f. Align the investment options to the Government priorities and action (The Big four)<sup>23</sup>: Manufacturing, Infrastructure, Health, Food Insecurity for integration in the government programming and future budgeting.
- g. Applying the national environmental and social safeguards framework developed under safeguards (section output 3 below) to the investments (including communities throughout investment plan development process.
- h. Assessing what is needed to implement and monitor these strategic options, in terms of capacity, costs and resources.
- i. Analyses of impact potential of investments, and social and environmental benefits including how long-term benefits and sustainability will be assured.

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

Two activities are proposed as follows:

- a. A mapping of the main existing programmes and sources of finance (public, domestic or ODA and private to the extent possible) that are considered transformative and contribute to the REDD+ Strategy will be undertaken. Potential international financing windows such as the Green Climate Fund and other bilateral funding will be explored. This will be done in line with proposed climate change resources in the country. A coherent resource mobilisation strategy will be developed that reflects a programmatic approach in order to achieve the targets and approaches for Kenya's 2030 vision, the NDC and the REDD+ Strategy.
- b. Assessment of the funding architecture and possibilities for fund management for the implementation of REDD+ strategy – for example, the NCCAP identifies options for structuring and accessing public resources which should be accessible for REDD+ utilization. The Climate Change Fund which is being set up, is administered by the National Climate Change Council and is vested in the National Treasury. The study will also explore opportunities for resources to flow to communities in line with the ongoing work at the National Treasury on enhancing cash flow to communities. There is also the opportunity for the ME&F to mainstream REDD+ funding requests through the Medium-Term Expenditure Framework (MTEF) and through the central budgeting cycle managed by Treasury, which is undertaken every three years. This would allow mainstreaming of REDD+ into the economic planning cycle and the budget process<sup>24</sup> aligning REDD+ finance flows to controls applicable to the government budgetary and expenditure process.

<sup>23</sup> <https://citizentv.co.ke/news/president-kenyatta-my-big-four-plan-for-economic-development-185170/>

<sup>24</sup> Mungai, Obadiah (2016) Kenya REDD+ Financing Systems

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

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

As recommended through the stakeholder consultation process conducted prior to development of this project document, a Stakeholder Engagement Plan will be developed within two months of the commencement of the project, building on work that has been conducted over the past two years. This is also guided by the constitutional requirements for meaningful public participation and engagement. The existing consultation and participation plan developed by the government with support from IUCN and Kenya Forest Working Group will provide a starting point for the Stakeholder Engagement Plan. In line with the common approach, and UNDP guiding policies<sup>25</sup>, stakeholders will be engaged throughout the project implementation.

The following activities will be carried out:

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

Facilitate Kenya National Commission on Human Rights (KNCHR), National Gender and Equity Commission (NGEC) and National Land Commission to work closely with County Governments<sup>26</sup>

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<sup>25</sup> UNDP SES Stakeholder Engagement Guidance Note (including sample outline of a plan). [https://info.undp.org/sites/bpps/SES\\_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final%20UNDP%20SES%20Stakeholder%20Engagement%20GN\\_Oct2017.pdf](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final%20UNDP%20SES%20Stakeholder%20Engagement%20GN_Oct2017.pdf)

<sup>26</sup> The County Government of Elgeyo Marakwet have written to UNDP for support to lead a dialogue with the sengwer and communities living in and around Embobut forest. The sengwer community during a meeting with the Joint committee endorsed the proposal to have the county lead this dialogue process in Elgeyo Marakwet

to conduct dialogue towards addressing the competing conservation, land rights interests and historical injustices<sup>27</sup>. This will also include dialogue on proposed options in the strategy and ensuing land tenure, rights and conservation and management of forests. Facilitate stakeholder's meetings for technical meetings with marginalised communities, forest dependent and civil society to enhance their participation in decision making meetings

### ***Output 2.2 National REDD+ readiness governance system established and strengthened***

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

- a. Establishment of a REDD+ Coordination Office located in the Ministry of Environment and Forestry (ME&F) supported to spearhead REDD+ in the country.
- b. The National Steering Committee established as the apex body for REDD+ management. An important task for the NSC will be to coordinate the REDD+ agenda and link to the Climate Change Council. It is expected to convene every six months, and will enable high level dialogue and support for REDD+ processes in the Country. There shall be Project Advisory team /Project board established to coordinate this project (This is explained in sections on project management below). Stakeholders will be involved in all levels of implementation of this project including in the Board, technical working groups and discussion groups.
- c. Previous recommendations and actions had resulted in the creation of an anti-corruption taskforce with term of reference and modus operandi defined. This will be re-invigorated and operationalised.

The National Coordination Office and the National REDD+ Steering Committee will be supported by the FCPF Project Management Unit (PMU) – which is made up of staff hired to deliver the project outputs and the Project Advisory Team/ Project Executive Board (PEB). The PEB will be made up of key technical staff from government institutions and independent commissions, civil society, private sector and forest dependent communities and marginalised communities<sup>28</sup>. See [Section V](#) on Project Management.

### ***Output 2.3 Knowledge management (KM) and communication strategy***

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

- a. Develop a KM and Communication strategy to contribute to the success of REDD+ process in Kenya by enhancing collaboration between key partners including the media, increasing the visibility of the REDD+ process and supporting the consultation process.
- b. Develop and disseminate knowledge and communication materials tailored to specific stakeholder groups and time responsive in a culturally appropriate manner.
- c. Support documentation and integration of indigenous/traditional knowledge related to forests and natural resource management in REDD+ programming and implementation.

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county.

<sup>27</sup> As in line with the Land laws (Amendment) Act, 2016 section 38 on historical land injustices

<sup>28</sup> This prodoc has been designed through a participatory approach and a taskforce of 24 members drawn from all stakeholders' constituencies, see Task Force TORs for details. It is hereby proposed that the taskforce transitions to be the Project Advisory Team/ Project Board. Stakeholder constituencies will be represented in all the technical working groups to guide and contribute to the technical analytical work and discussions.

- d. Update and provide regular information for the REDD+ Kenya website. Create and manage a REDD+ site linked to the UNDP Country Office in order to share and provide public documentation relating to project management. Share best practices and lessons learned through the REDD+ Kenya website<sup>29</sup>.
- e. Provide information about the project-specific grievance mechanism, including how stakeholders and affected parties may access it, as well as the UNDP Stakeholder Response Mechanisms (SRM) and the UNDP Social and Environmental Compliance Unit (SECU).
- f. Training and capacity building for the Project Executive Board and the Programme Management Unit will be undertaken to enable delivery of the project deliverables<sup>30</sup>. This will also include a south-south knowledge exchange with a country that has progressed on the key Warsaw pillars. Such capacity building will also include a unit on the rights of indigenous peoples/forest dependent communities under applicable law, conducted by one or more experts recruited by UNDP<sup>31</sup>.
- g. Awareness creation on REDD+ readiness across all stakeholders will be undertaken.

### **Output 3: An operational Safeguards Information System for REDD+**

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

1. Promote and support the Cancun safeguards throughout the implementation of REDD+ actions;
2. Develop a system for providing information on how the Cancun safeguards are being addressed and respected (i.e. a “safeguards information system” - SIS); and
3. Provide summaries of information on how all the Cancun safeguards are being addressed and respected throughout the implementation of REDD+ actions.

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

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

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

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<sup>29</sup> <http://www.reddpluskenya.org/>.

<sup>30</sup> Training will include capacity building on the rights of forest dependent communities and marginalised communities under applicable law, conducted by one or more experts recruited by UNDP.

<sup>31</sup> Kenya National Commission on Human Rights (KNCHR) and UNDP will take lead in designing the training.

- b. A national approach to REDD+ safeguards will be developed. The safeguards national approach will use participatory approaches to:
  - Identify social and environmental priorities that should be included in planning and policy processes
  - Conduct a risks/benefits assessment of the policies, measures and investments identified (as part of the social and environmental strategic assessment – (SESA)
  - Conduct an assessment of institutional, policy, laws and legal frameworks and assess gaps and for effective response to safeguards
  - Identify potential adverse social and environmental impacts associated with policy options proposed for the REDD+ strategy and propose measures to avoid these impacts and where unavoidable mitigate and manage these impacts
  - Iteratively throughout the project engage decision makers and stakeholders to ensure a common understanding, coordination and broad support for implementation
- c. Production of a roadmap for Kenya’s approach to address and respect safeguards taking into account goal and scope of the safeguards. This roadmap will include indicators to assess progress, and clarify the steps that will be taken when safeguards are not implemented consistent with the applicable laws, standards and policies.
- d. Design of a SIS which will take into account, functions, scope, objectives and sources of data, including how data will be collected.
- e. Set up a Feedback and Grievance Redress Mechanism for REDD+ in line with the [Joint FCPF/UN-REDD Programme Guidance Note for REDD+ Countries: Establishing and Strengthening Grievance Redress Mechanisms](#). The GRM will act as recourse to facilitate handling of any request for feedback or complaint by stakeholders, wherever they originate, with attention to providing access to geographically, culturally or economically isolated or excluded groups. This is core pillar of REDD+ due to the complexity of issues and diversity of actors involved, and the range of issues and interests. As part of the project activities, a project-level GRM is also in place to enable UNDP and the REDD+ coordination office to respond to feedback, complaints and grievances that may be received as part of the implementation of the FCPF grant. This output is closely linked to Output 3 and the Stakeholder engagement plan.
- f. Analytical and participatory approaches to integrate social and environmental considerations into the policies and measures will be utilised to conduct a SESA as noted in Output 1.1. An environment and social monitoring framework (ESMF) will be developed<sup>32</sup>. The ESMF will set out the principles, rules, guidelines and procedures to ensure the social and environmental risks and impacts identified in the SESA are fully assessed and management measures put in place prior to implementation. It will contain measures and plans to avoid, reduce, mitigate and/or offset adverse risks and impacts, provisions for estimating and budgeting the costs of such measures, and information on responsibilities for addressing project risks and impacts. This work will draw on Kenya’s past and ongoing work related to addressing and respecting the safeguard requirements as outlined by the UNFCCC. A clear format to draw the SESA/ESMF, and to streamline the common activities into the country approach to

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<sup>32</sup> see template in [Guidance on Social and Environmental Assessment and Management](#).

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

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

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

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

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

##### ***Output 4.2 Reference level developed and REDD+ reporting requirements met***

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

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

##### ***Resources Required to Achieve the Expected Results***

Resources required to achieve the expected results are outlined in the budget attached.

- Government officers staff time and technical inputs;
- Project staff:
  - a. Programme manager for overall technical guidance and day to day running of the project;
  - b. Technical specialist to lead the national strategy and investment plan development

- c. Knowledge management and communication officer to facilitate knowledge management
- d. Stakeholder engagement and safeguards specialist to facilitate continued engagement with stakeholders
- e. Global Technical specialists for technical guidance for MRV/FREL, national strategy, safeguards. These will be drawn from UNDP REDD+ team /Forests and Climate team
- f. Project assistant charged with administrative and financial tasks related to the project.
- Staff time of UNDP country, regional and global offices in terms of quality assurance and administration and finance support;
- International and national consultants to provide technical inputs and capacity building;

### *Partnerships*

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

#### **1. Indigenous Peoples and Community Conserved Territories and Areas (ICCA).**

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

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

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

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



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

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

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

4. Several programmes will become important partners for the project with regards to private sector engagement, sustainability, vitality and viability of reforestation and afforestation strategies and economic benefits for communities. These include i) **The German Government/Federal Ministry for Food and Agriculture Promotion of Sustainable Private Forest Management in Kenya** which works with tree grower associations and provide advisory services and quality inputs for sustainable forestry on private smallholdings in order to achieve income generation in rural areas. ii) **The Gatsby Africa - Kenya Commercial Forestry Programme** which focuses on strengthening organizational and technical capacities of forest and farm producer organizations for improved business, livelihoods and effective engagement in policy implementation, and iii) **FAO- Forest and Farm Facility (FFF) Programme**. This programme supports development of a competitive, inclusive and resilient commercial forestry sector in Kenya.

Knowledge and experiences from these programmes will be key in contributing to the goals of income generation and the long term social and economic benefits that will provide an incentive for afforestation and reforestation. Long term and sustainable systems with these private sector groups can then be supported with both small- and large-scale actors in the forestry sector.

### 5. **Forest 2020**

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

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

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

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

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

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

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

### *Stakeholder Engagement*

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

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

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

## 1. Government Institutions and Agencies

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

The national government will be involved through the Climate Change Council<sup>33</sup>, Ministry of Environment and Forests, Kenya Forest Service, Kenya Wildlife Service (KWS), Kenya Water towers Agency, the National Land Commission, Kenya National Commission on Human Rights, National Gender and Equality Commission and Ethics and Anticorruption Commission.

Other key institutions will include National Treasury, Ministries of Agriculture, Devolution and Planning and Energy. National Environment Management Authority and other institutions centrally involved in land management in the country will be part of the consultative process for the REDD+ Strategy and will be identified to take on roles within the REDD+ strategy and investment plan. County government will be engaged through the Council of Governors and respective Governors and county Executives in charge of planning and environment and natural resources.

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

## 2. Civil society and marginalized communities

Kenya has many civil society and marginalized communities<sup>34</sup> (indigenous people's) organizations working on environment, forestry, climate change issues, human rights and indigenous peoples' issue. They will be involved in the project implementation through their networks' representatives. These include the Indigenous Peoples National Steering Committee on Climate Change. In addition, the project will allocate resources to support communities including marginalized communities to conduct a self-selection process to enable them to better represent their constituency at the national level. These representatives will be expected to reach out to a wide range of forest marginalized communities to participate in the REDD+ process, as per their terms of reference.

The social and environmental screening process identifies a detailed process of the engagement of civil society and marginalized communities with regards to resource and land management. A stakeholder engagement plan, gender assessment plan as well as a

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<sup>33</sup> Made up of the Presidency, Ministries of Environment and Natural Resources, Treasury, Agriculture, Energy, Planning; Council of Governors, and representatives from academia (research and teaching), private sector, civil society, and marginalized communities.

<sup>34</sup> The Constitution 2010 Article 260 identifies marginalized communities to include: .... " an indigenous community that has retained and maintained a traditional livelihood based on hunter or gatherer economy and pastoral communities ... Sengwer, Awer, Ogiek, and Yaaku communities identify themselves to be under this criterion and identify themselves as the Forest indigenous peoples and communities.

Marginalised Communities Engagement Plan, are part of project inception activities. A project level stakeholder response mechanism will be put in place for the purposes of addressing grievances or complaints. Awareness and access to UNDP's SRM and SECU processes for stakeholder grievances will also be available and communicated to stakeholders.

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

### **3. Private Sector**

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

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

### **4. Knowledge Institutions**

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

### **5. Development Partners and UN organizations**

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

### *South-South and Triangular Cooperation*

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

The UNDP regional and global offices will play a lead role in disseminating best practices and lessons learned from other countries and providing a catalyst role in connecting Kenya with other countries for sharing lessons and experiences related to REDD+ readiness activities, through regional workshops/meetings.

### *Knowledge*

This project has a strong focus on knowledge generation and dissemination. To be ready for REDD+, the project will through a consultative process and analyses, produce a number of policy related and technical reports, documents, and training manuals pertaining to the REDD+ strategy and investment plan. These include the safeguards approach, gender, governance and funds management, impact potential, cost-benefit analyses, policy, legal and regulatory assessments, monitoring, reporting and verification and others. The design of a national safeguard information system is envisaged for the Project.

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

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

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

### *Sustainability and Scaling Up*

**Institutional sustainability:** will be improved through systematic capacity development measures for Ministry of Environment and Forestry, KFS, NLC, and National REDD+ Taskforce members at the national level. This includes capacity and training on technical matters such as compliance with human rights. County Governments who have a new mandate will be engaged

and opportunities to ensure that their ability to engage in REDD+ planning and implementation will be undertaken through the project as well as written into the investment plan. There are specific skills and tasks that will need to be included into the portfolio of county government employees; these include being conversant with REDD+ and ensuring certain skills and responsibilities such as land use planning and management can be executed.

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

**Social sustainability:** Contribution to social sustainability will be a key area of the project outcomes. Empowering local communities and women to manage and benefit from forest resources and improve social welfare are sought through REDD+ policies and measures. The project also closely coordinates with the UNDP small grants programme working with communities in different regions in Kenya to effectively incorporate concerns and interests of local communities who are dependent on forest resources for their livelihoods. Pilots in the Counties will explore how best to address social sustainability issues through the development of REDD+ policies and measures. Interaction with partners, NSC and PEB members will enable lessons from other community REDD+ initiatives in the African region to be drawn upon to strengthen the rights and ownership for local communities to undertake REDD+ activities.

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

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

**Financial sustainability:** will be achieved by working through existing government agencies and mechanisms as far as possible such that the outcomes are mainstreamed into the regular operations and budgets of these agencies. The REDD+ investment plan will be a key factor in

identifying resources and capacities to ensure financial sustainability, to ensure the continuation of institutional mandates and to support various stakeholders to be empowered and better equipped to exercise their roles in addressing deforestation and forest degradation at both national and county levels.

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#### **IV. PROJECT MANAGEMENT**

##### *Cost Efficiency and Effectiveness*

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

The project will collaborate with the NCCC to ensure a programmatic response to climate change mitigation and adaptation plans. Further, the project will build on the work that has already been conducted for REDD+ in the Country since 2009, this includes identification of the drivers of deforestation and policy options, stakeholder engagement guidelines and FPIC guidelines, as well as the various lessons learnt from projects such as Miti Mingi, Maisha Bora. Several analytical reports can be drawn upon, in particular a synthesis of the policy framework with regards to REDD+, a report on the opportunities of improving efficiency in forestry operations and forest product processing in Kenya<sup>35</sup>. The project has already conducted preparatory consultations and has prepared the ground for output 3. Components for project governance and management arrangements have been set up and now need to be updated and operationalised.

The National Land Commission will hold dialogues between stakeholders on the management of public forests and forest dependent communities land rights. The NLC will work closely with County Governments who are already engaging communities in dialogue processes and initiatives on forest conservation and conflict resolution on land tenure, resource use and access<sup>36</sup>. NLC and county platforms will provide inputs to the REDD+ Strategy and enables dialogue and action between government agencies, conservation groups and other key actors to help render visible the process to secure community rights and develop a national REDD+ strategy that not only respects the rights of these communities, but also seeks to facilitate the sustainable management of forests. This process will closely engage the National Gender and Equity Commission (NGEC) and the Kenya National Commission on Human Rights (KNCHR) to ensure human rights and freedom from indiscriminate of all communities involved.

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

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<sup>35</sup> Improving Efficiency In Forestry Operations And Forest Product Processing In Kenya: A Viable REDD+ Policy And Measure (UN-REDD, MENR, KFS, 2016)

<sup>36</sup> These counties include Elgeyo Marakwet county, Kitui county, Narok county, Kiambu county, Laikipa county among others. Elgeyo Marakwet County has approached UNDP to support this process



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

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

### *Project Management*

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

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

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

Other project officers for this project will include:

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

The Project is will undergo two independent evaluations during its lifespan. These are:

- **Mid-term Evaluation**, which is undertaken to determine the progress being made towards achievement of outcomes and to institute corrective measures.
- **Terminal Evaluation** is undertaken towards the end of the project and focuses on impact and sustainability of project results.

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

## V. RESULTS FRAMEWORK

**This project will contribute to the following Sustainable Development Goal (s):** *Goal 1 No Poverty, Goal 2 Zero Hunger; Goal 3 Good Health and Well-Being, Goal 6 Clean Water and Sanitation, Goal 5 Gender Equality, Goal 8 Decent Work and Economic Growth, Goal 10 Reduced Inequalities, Goal 13 Climate Action, Goal 15 Life on Land, and Goal 16 Peace, Justice and Strong Institutions*

**This project will contribute to the following country outcome included in the UNDAF/Country Programme Document:**

*Draft UNDAF 2018-22 (dated November 2017): Economic Pillar Outcome 3:* By 2022, a progressive and resilient green economy is underpinned by robust evidence based pro-poor policies and strategies contributing to sustainable economic growth.

*Draft indicative Output 3.2.:* Improved institutional (public and private) and communities' capacities to ensure pro-poor, sustainable, effective and efficient natural resource management

**This project will be linked to the following output of the UNDP Strategic Plan:**

**Output 1.3:** Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.

**Indicator 1.3.1:** Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or subnational level.

**Indicator 1.3.2:** Number of additional people benefitting from strengthened livelihoods through solutions for management of natural resources, ecosystems services, chemicals and waste.

**Project title and Atlas Project Number:**

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

Output 1  An operational national REDD+ strategy and investment plan	<b>1.1 Analytical work and studies for REDD+ Strategy Options conducted</b> <i>Measured on a three-point progressive scale:</i> <i>1=Studies begun and /or updated as required</i> <i>2=Components Integrated into a gender responsive issues and options paper</i> 2= Components integrate applicable laws including the Constitution, laws on environment and human rights among others, <i>3=Components discussed and finalized, integrated into REDD+ Strategy</i>	<ul style="list-style-type: none"> <li>• Terms of reference and technical sections/reports on an updated land use change and drivers of deforestation analyses, governance and anticorruption measures, indigenous knowledge and culturally appropriate livelihood options, implications of PLRs updates and institutional arrangements, land tenure issues, identification of policies and measures.</li> <li>• Gender and vulnerable group assessment of REDD+ options</li> <li>• Assessment of the REDD+ strategy on human rights, and applicable laws</li> <li>• REDD+ Strategy finalised</li> </ul>	1	2017	1	2	3	Data Collection: Consultations with government institutions and partners to monitor status of partnerships including agreements Appraisal and review of current documents. Review of information on existing traditional knowledge to support REDD+.  MoV: Official government notifications and agreements for partnerships; Monitoring progress reports. Technical studies conducted
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	<p><b>1.2 Private sector assessment conducted and their engagement in REDD+ strengthened</b></p> <p><i>Measured on a three-point progressive scale:</i></p> <p><i>1=Mapping of private sector conducted</i></p> <p><i>2=Value chain analysis conducted and Incentives mechanisms identified with private sector actors</i></p> <p><i>3=Business case made and components discussed and finalized, integrated into REDD+ Strategy</i></p>	<ul style="list-style-type: none"> <li>• Technical report on Private sector actors mapped and identified</li> <li>• Critical agriculture value chains identified and actions incorporated into issues and options paper In the context of the SESA incorporated into the ToRs of the same; and/or as a separate activity of the project:</li> <li>• (a) report on customary forest dependent community / indigenous peoples' use of natural resources and connection of the same to their cultural and physical integrity and livelihoods.</li> <li>• (b) option papers shall exam the rights implications and due process to be afforded should the rights and interests of private actors (including indigenous peoples and forest dependent communities) be limited by activities, policies and laws identified in the final REDD+ strategy.</li> </ul>	0	2017	1	2	3	<p><i>Mapping of private sector, identification of opportunities, value chain analysis, assessment of incentive mechanisms including fiscal incentives, Meetings with Kenya Private Sector Alliance Mid-term report Final report</i></p>
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	<p><b>1.3 Institutional Framework for REDD+ Implementation identified</b></p> <p><i>Measured on a four-point scale:</i></p> <p><i>1=Assessment of institutional mandates to identify areas of incoherence or complementarity for REDD+</i></p> <p><i>2=Enhancement of sub-national/county capacities for land use planning and REDD+ implementation</i></p> <p><i>3=Key institutions and their staff know technical requirements of REDD+ and able to propose policies and measures.</i></p> <p><i>3= Key institutions and their staff at the national, sub-national and county levels are trained on the content and implementation of the social and environmental safeguards applicable to REDD+ implementation</i></p> <p><i>4=Landscape level approach formulated at the county Level through Country Integrated Development Plans (CIDP)</i></p>	<ul style="list-style-type: none"> <li>• Implementation framework for REDD+ report</li> <li>• Technical reports</li> <li>• Identification of Counties and draft landscape management plans</li> <li>• Reports of county Governments and National Regional Authorities meetings and decisions</li> <li>• Capacity building/training workshops conducted and report on same</li> </ul>	0		1,2	2,3	3, 4	<p><i>Meetings with National Land Commission, Council of Governors, National Gender and Equality Commission, Ministry of Environment and Natural Resources, National treasury and others</i></p> <p><i>Mid-term report</i></p> <p><i>Final report</i></p>
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	<p><b>1.4 Investments to support implementation of REDD+ strategy objectives, focusing on cross-sectoral issues in priority watersheds/ landscapes /Counties identified</b></p> <p><i>Measured on a three-point progressive scale:</i>  1=No initial drafts  2=Prioritization of investments  3=Drafts of investment plan for high level endorsement.</p>	<ul style="list-style-type: none"> <li>• Economic and Financial analyses reports</li> <li>• Human rights report certifying investment strategy as compliant with applicable law</li> <li>• Benefit sharing guidelines</li> <li>• Technical report on prioritization of investments</li> </ul>	0	2017	1	2	3	<i>Investment plan</i> <i>Mid term report</i> <i>Final report</i>
	<p><b>1.5 Resource mobilization strategy for REDD+ implementation developed</b></p> <p><i>Measured on a three-point progressive scale:</i>  1=Resource mobilisation strategy  2.=Opportunities for synergies identified  3=Financing instruments and funds management system discussed</p>	<ul style="list-style-type: none"> <li>• Meetings with the Climate Fund</li> <li>• Investment plan</li> <li>• FCPF, GCF, Synergies identified.</li> <li>• Reports on meetings with funds management</li> <li>• Programmatic funding plan</li> </ul>	0	2017		1,2	2, 3	

<p><b>Output 2</b> A functional multi-stakeholder engagement and capacity building approach in REDD+</p>	<p><b>2.1 Multi-stakeholder consultations including forest dependent and local communities, engagement integrated in all REDD+ processes and outcomes</b></p> <p><i>Measured on a four-point progressive scale:</i></p> <p><i>1=Limited extent; government officials, private sector, non-governmental organisations, communities and vulnerable communities have a basic understanding of REDD+</i></p> <p><i>2=Moderate extent: more than half of the communities and IPs involved in the development of the National Strategy and the Investment plan are able to plan and participate effectively</i></p> <p><i>3=Great extent; county staff, communities and vulnerable populations in identified Counties are well versed with REDD+ and can meaningfully participate in the National Strategy and Investment Plan and can influence and plan REDD+ decisions.</i></p> <p><i>4=Guidelines and tools are in place for REDD+ implementation including Free Prior and Informed Consent and Grievance Mechanisms.</i></p>	<ul style="list-style-type: none"> <li>• Stakeholder mapping report and stakeholder engagement plan</li> <li>• Number of stakeholders (disaggregated by gender, stakeholder, age group and their freely chosen representative designated by them) consulted in REDD+ process</li> <li>• Report indicating women represent at least 30% of workshops/trainings participants and hold seats in REDD+ stakeholder platforms and bodies.</li> <li>• Reports of capacity assessments disaggregated by gender and stakeholder</li> <li>• Number of women-only meetings held</li> <li>• Technical reports on meetings with county governments.</li> <li>• Mid- term report and final review</li> <li>• Report on testing of FPIC guidelines</li> <li>• Final FPIC guidelines are adopted for inclusion in the REDD+ strategy</li> </ul>	1 and 4	2013	1	2	3	<p><i>REDD+ Strategy and investment plans</i></p> <p><i>consultation meetings reports</i></p> <p><i>Stakeholder engagement plan</i></p>
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	<p><b>2.2 National REDD+ governance system established and strengthened</b></p> <p><i>Measured on a four-point progressive scale</i></p> <p><i>1= Effective and meaningful multi-stakeholder representation in decision-making bodies of REDD+ governance</i></p> <p><i>1=Multi-stakeholder taskforce and Secretariat staffed and operational</i></p> <p><i>2=Staff and key institutions know the technical requirements of REDD+ (including applicable social and environmental standards) and can take the lead on the national strategy and investment plan</i></p> <p><i>3=Key institutions and their staff know technical requirements or REDD+ and effectively lead finalisation of the FREL and NFMS</i></p> <p><i>4=Learning and monitoring and evaluation database with qualitative and quantitative assessments tools to measure impact and learning of knowledge</i></p>	<ul style="list-style-type: none"> <li>• Number of IP/CSO representatives in national and subnational REDD+ governing structures</li> <li>• Minutes of NSC meetings</li> <li>• Minutes of PEB meetings</li> <li>• Minutes of anti-corruption task force meetings</li> <li>• REDD+ Coordination office fully functional and adequately staffed</li> <li>• Mid-term evaluation</li> <li>• Final evaluation</li> <li>• Final Audit</li> </ul>	1	2013	1,4	2,3	2,3	
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	<p><b>2.3 Knowledge management (KM) and communication strategy developed and implemented around selected and strategic initiatives to support strategy implementation</b></p> <p><i>Measured on a four-point scale</i></p> <p><i>1=Communication strategy drafted including</i></p> <p><i>2=Knowledge management products planned</i></p> <p><i>3=Knowledge management products developed and disseminated.</i></p> <p><i>4=Strengthen knowledge sharing on REDD+ through south-south knowledge exchange and existing mechanisms</i></p>	<ul style="list-style-type: none"> <li>• Communication strategy</li> <li>• Participation in south-south exchanges</li> <li>• Documents for Land use planning at county levels</li> <li>• REDD+ Strategy</li> <li>• REDD+ Investment plan</li> <li>• REDD+ awareness tools in place</li> </ul>	0 or 1		1,2,3	3	3,4	<p><i>Articles in the media,</i></p>
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Output 3 An operational safeguards information system for REDD+;	<p><b>3.1 National Safeguards Framework developed, including design of a Safeguards Information System (SIS)</b></p> <p><i>Measured on a four-point scale:</i></p> <p><i>1=National Safeguards approach defined led by the national safeguards working group including Terms of Reference for Grievance Redress Mechanism</i></p> <p><i>2=participatory Social and Environmental assessment undertaken of policy and measures and Management Plan produced including ESMF and additional required plans including an Indigenous Peoples Plan (IPP), Cultural Heritage Management Plan, (CHMP) and Livelihoods Action Plan (LAP)</i></p> <p><i>3=list of activities that cannot take place until the assessment is completed and adoption of appropriate management and mitigation measures</i></p> <p><i>3=Safeguards Information System designed and institutional and data collection framework agreed and ready for endorsement</i></p>	<ul style="list-style-type: none"> <li>• Document on National Safeguards approach for REDD+</li> <li>• Social and environmental assessment of policies and measures</li> <li>• Environmental and Social Management Plan along with ESMF, THE IPP, CHMP, AND LAP</li> <li>• Safeguards Information System proposal</li> <li>• Report on Grievance Redress Mechanism taking into account existing, including traditional systems developed for REDD+</li> <li>• Safeguard Technical Working Group in place</li> <li>• Report of FPIC guidelines tested and explored for review and finalisation of the guidelines and their adoption and inclusion in the REDD+ strategy</li> </ul>	0	2017	1	2	3	<p><i>National Safeguard working group and consultations;</i></p> <p><i>Discussion with various institutions on data collection and sourcing Terms of Reference for Grievance Redress Mechanism,</i></p> <p><i>Mid term report</i></p> <p><i>Final report</i></p>
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Output 4 Technical support provided for improvement of National Forest Monitoring System and Forest Reference Level.	<p><b>4.1 Technical advisory support to consolidate and refine the National Forest Monitoring System.</b></p> <p><i>Measured on a five-point scale</i></p> <p><i>1=Ongoing support on NMFS assessed and gaps identified</i></p> <p><i>2=Strategic partnerships to support MRV/NFMS requirements agreed and carried out</i></p> <p><i>3= Institutional arrangements in place for NFMS</i></p> <p><i>4=Medium level of capacity and system in place to monitor REDD+ interventions (NFMS)</i></p>	<ul style="list-style-type: none"> <li>• Gap assessment report</li> <li>• Strategic partnerships developed for NFMS and FREL</li> <li>• Database contains improved emission factor, activity data and GHG estimates</li> <li>• Simplified summaries for general stakeholders</li> <li>• Community engagement report in conducting MRV.</li> <li>• Report on number of permanent sampling plots established</li> </ul>	1	2015	1, 2	3	4	BUR in National Communications
	<p><b>4.2 A reference level for Kenya and reporting requirements.</b></p> <p><i>Measured on a three-point scale</i></p> <p><i>1=Technical backstopping obtained for UNFCCC FRL technical assessment process and in the FCPF technical assessment</i></p> <p><i>2=Establish institutional arrangements to ensure technical consistency with national GHG reporting, national communications and Biennial Update Reports (BUR)</i></p> <p><i>3=Provide support to develop a REDD+ technical annex to be reported as part of the BUR in the context of results-based payments</i></p>	<ul style="list-style-type: none"> <li>• Progress report on FRL submission</li> <li>• Technical assessment of FRL</li> <li>• Report on coherence between established REDD+ projects and national level reference levels.</li> <li>• REDD+ annex in BUR</li> </ul>	1	2015	1, 2	3	4	BUR in national communications

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## **VI. MONITORING AND EVALUATION**

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

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

### **M&E Oversight and monitoring responsibilities:**

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

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

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

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

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

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

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

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

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

**Audit:** The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects.<sup>37</sup>

### Monitoring Plan

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

<sup>37</sup> See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

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

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



	learned with relevant audiences.				
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#### Evaluation Plan<sup>38</sup>

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

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<sup>38</sup> Optional, if needed

## VII. MULTI-YEAR WORK PLAN <sup>39,40</sup>

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

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

<sup>39</sup> Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

<sup>40</sup> Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the Project Executive Board (Project Advisory Team). In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

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

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

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

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

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

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



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

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

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## **VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS**

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

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

### **1. National REDD+ Steering Committee**

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

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

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

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

### **2. The Project Executive Board (Project Advisory Team)**

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

The PEB membership is comprised of technical officers from, Kenya Forest Service, National Treasury, National Land Commission, the Gender and Equality Commission NEMA, Climate Change Directorate, Ministry of Energy and Petroleum, Council of Governors, Ministry of

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

The roles of the PEB are to:

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

### **3. Technical Committees**

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

### **4. The Project Management Unit (PMU)**

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

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

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

### **5. The National Project director**

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

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

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

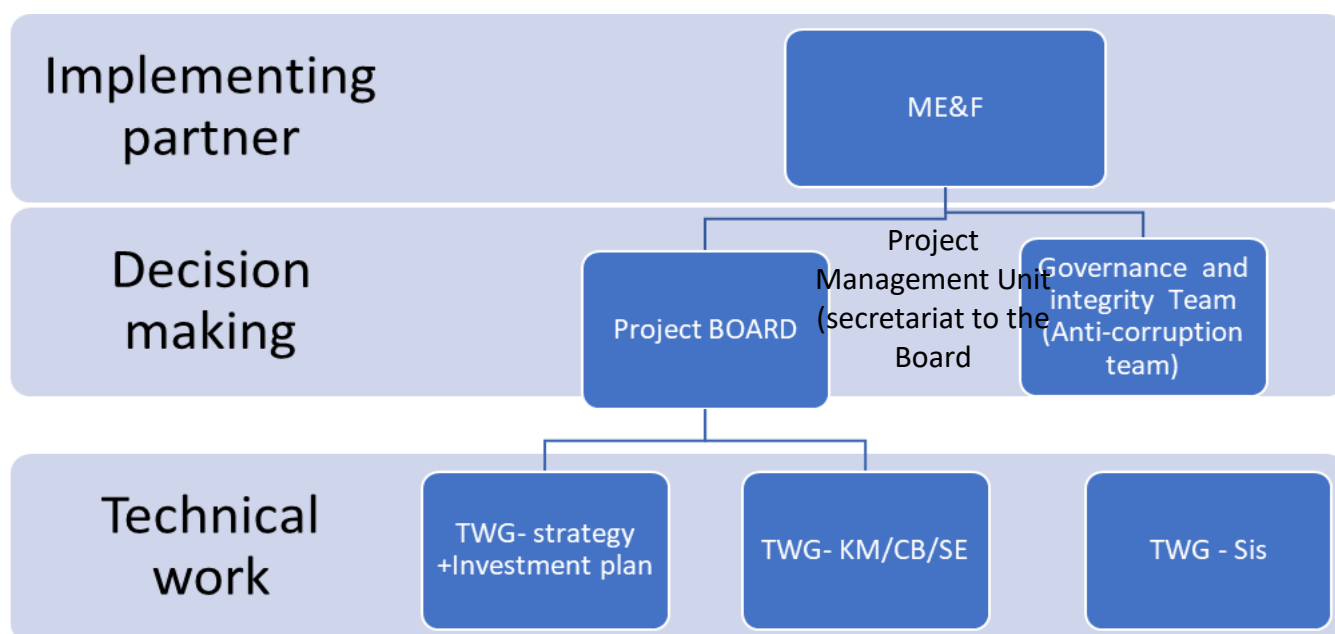


Figure 3: Project Management Arrangements.

**LEGAL CONTEXT STANDARD CLAUSES**

**Option a. Where the country has signed the Standard Basic Assistance Agreement (SBAA)**

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on (date).

All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

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

**RISK MANAGEMENT STANDARD CLAUSES**

**Option a. Government Entity (NIM)**

1. Consistent with the Article III of the SBAA [*or the Supplemental Provisions*], the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
  - a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
  - b) assume all risks and liabilities related to the Implementing Partner’s security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner’s obligations under this Project Document [and the Project Cooperation Agreement between UNDP and the Implementing Partner]<sup>41</sup>.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document.

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<sup>41</sup> Use bracketed text only when IP is an NGO/IGO

4. Consistent with UNDP's Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
5. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
7. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anticorruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
8. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).
9. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.
10. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.
11. Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

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

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

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

12. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection 46 process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
13. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
14. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled “Risk Management Standard Clauses” are included, mutatis mutandis, in all sub-contracts or sub-agreements entered into further to this Project Document.



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## **X. ANNEXES**

### **TERMS OF REFERENCE OF PROJECT EXECUTIVE BOARD (PROJECT ADVISORY TEAM)**

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

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

##### **1. Objectives**

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

##### **2. Membership <sup>42</sup>**

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

##### **3. Operations**

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

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

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

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

##### **4. Decision-making**

The Programme Board will make decision by consensus.

##### **5. Responsibilities**

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

- i. Providing comments to the REDD+ Taskforce on progress of the FCPF project.
- ii. Reviewing and providing recommendation on and approving FCPF Workplans and budgets presented to them by the PMU.
- iii. Reviewing FCPF project progress and assess the need for a no-cost extension and its duration.
- iv. Sharing information on developments relating to REDD+ within their constituencies with the Taskforce, Taskforce Secretariat and other members of the Programme Executive Board.

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<sup>42</sup> Members should identify both representatives and alternates and provide this information to the REDD+ Taskforce Secretariat.

- v. Providing any written comment or request for clarification on issues of concern to the Taskforce Secretariat on behalf of their representing members.
- vi. Providing guidance on conflict resolution related to any conflict occurring within FCPF project implementation.
- vii. Reporting Programme progress to their respective constituencies.

## **6. Funding**

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

## **National Project Coordinator**

### Background

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

### Duties and Responsibilities

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

## **Terms of Reference for Key Project Staff**

### **1. REDD+ Technical Specialist**

#### **Terms of Reference**

**Job title:** REDD+ Technical Specialist

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

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

#### **Summary of key functions:**

Closely coordinate and collaborate with an international technical specialist in:

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

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

**Support the day-to-day management of the FCPF project through provision of technical advice, including coordination across agencies and with other programmes**

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

**Provide technical advisory inputs and project oversight**

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

**Coordinate development of the REDD+ strategy and investment plan :**

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

### **Impact of Results**

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

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

### **Competencies**

#### **Corporate Competencies:**

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

#### **Functional Competency:**

##### **Advocacy / Advancing Policy Oriented Agenda: analysis and creation of messages and strategies**

- Creates effective advocacy strategies
- Contributes to the elaboration of advocacy strategies by identifying and prioritizing audiences and communication means
- Performs analysis of political situations and scenarios, and contributes to the formulation of institutional responses
- Uses the opportunity to bring forward and disseminate materials for advocacy work

##### **Building Strategic Partnerships: Identifying and building partnerships**

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

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

#### **Innovation and Marketing new Approaches: Developing new approaches**

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

#### **Promoting Organizational learning and Knowledge Sharing: Developing tools and mechanisms**

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

#### **Job Knowledge and Technical Expertise: In-depth knowledge of the Subject-matter**

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

#### **Global Leadership and Advocacy for FCPF's Goals: Analysis and creation of messages and strategies**

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

#### **Client Orientation: Contributing to positive outcomes for the client**

- Anticipates client needs
- Works towards creating an enabling environment for a smooth relationship between the clients and service provider

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

### **Accountability**

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

### **Recruitment Qualifications**

#### **Education:**

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

#### **Language Requirements**

Fluency in written and spoken English

## **2. Project Manager**

### **Terms of Reference**

**Job title:** project manager

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

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

### **Background**

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

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

Specific responsibilities include:

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

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

Specific M&E responsibilities include:

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

**Accountability**

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

Required skills, expertise and competencies

Education and experience

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

Functional Competencies

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



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

#### Expected Results/Deliverables:

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

### 3. The Stakeholder Engagement and Safeguards Specialist

#### Terms of Reference

**Job title:** Stakeholder Engagement and Safeguards Specialist

**Contract type:** service contract/Individual contract: NC-B

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

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

#### **The Stakeholder Engagement Specialist will carry out the following tasks:**

#### **Support implementation of stakeholder engagement activities in the FCPF- REDD National Programme in Kenya**

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

safeguards including, but not limited to, a national Free, Prior and Informed Consent guideline and application toolkit;

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

**Provide support to coordination processes to national team, institutional partners and stakeholders**

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

**Support knowledge generation and sharing events on stakeholder engagement**

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

**Expected Outputs**

**The key outputs to be delivered by the Stakeholder Engagement Specialist are as follows:**

- Support implementation of engagement activities in Kenya
- Provide support coordination processes to national team, institutional partners and stakeholders
- Support national knowledge generation and sharing events on stakeholder engagement.

**Competencies**

**Technical work**

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

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

#### **Partnerships**

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

#### **Results**

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

### **Required Skills and Experience**

#### **Education:**

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

#### **Experience:**

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

#### **Languages:**

- English with Swahili.

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

Under the guidance and supervision of the project manager, the Project Finance and Procurement Officer/ Accountant will have the following specific responsibilities:

- Keep records of project funds and expenditures, and ensure all project-related financial documentation are well maintained and readily available when required by the Technical Coordinator;
- Review project expenditures and ensure that project funds are used in compliance with the Project Document and Gok financial rules and procedures;
- Validate and certify FACE forms before submission to UNDP;
- Provide necessary financial information as and when required for project management decisions;
- Provide necessary financial information during project audit(s);

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

#### Required skills, expertise and competencies

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

### **5. Communications Officer**

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

#### Functions / Key Results Expected

#### **Summary of key functions:**

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

#### **1. Development of a communication, consultation and participation strategy for the National REDD+ programme**

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

#### **2. Set up and develop communication tools for the national readiness process more broadly.**

- REDD+ Web site (oversight of development, responsible for maintenance)
- Monthly programme updates

- Media broadcasts or other communication outputs

### **3. Manage the implementation of the communication, consultation and participation strategy, including:**

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

### **4. Support the PMU**

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

### *Impact of Results*

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

### **Competencies**

#### **values**

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

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

#### Managing Relationships

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

#### Personal Leadership and Effectiveness

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

#### Personal skills

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

#### Required Skills and Experience

##### Education:

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

##### Experience:

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

#### Language Requirements:

Fluency in English and Kiswahili

Excellent writing and oral skills in English and Kiswahili

## 6. Monitoring and Evaluation officer

**Job Title:** Monitoring and Evaluation officer

**Contract type:** Service contract/Individual contract: NC-B

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

### Duties and Responsibilities

#### Project Planning and implementation

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

#### Monitoring and Evaluation

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

### Competencies

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

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

**Minimum Qualifications and Experience:**

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

**Education:**

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

**Language requirements:**

Fluency in both English and Kiswahili

**Computer skills:**

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