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**STATE DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES,  
MINISTRY OF THE ENVIRONMENT, WATER AND NATURAL RESOURCES (MEWNR)**  
**&**  
**UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP)**  
**With the UN-REDD PROGRAMME**

<b>Title</b>	<b>Initiation Plan for Designing the National REDD+ Governance System</b>
<b>Document Language</b>	English
<b>Responsible Unit</b>	Bureau for Development Policy   Environment and Energy Group   UNDP/REDD+ Team
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<b>Subject (Taxonomy)</b>	Programming for Results, Project Management
<b>Date approved</b>	The <i>Project Appraisal Committee</i> met, reviewed and adopted this proposal in Nairobi on the 20 <sup>th</sup> February 2014 (see Annex 1 for key recommendations & list of participants).
<b>Audience</b>	Kenya REDD+ Office, the UNDP Kenya Office and the UN-REDD Programme. This <i>Initiation Plan</i> primarily intends to guide the U.N. and the Kenya REDD+ Office to advance analysis and stakeholder-consultations on REDD+ governance towards the design, during 2014, of a new, technical-assistance programme for Kenya's REDD+ institutional and governance framework, mobilising substantive financial resources from UN-REDD for 2014-2016 (while complementing a World Bank project on REDD+).
<b>Applicability</b>	The purpose of the Initiation Plan is to articulate the activity results, schedule, budget, and management arrangements required to complete the <i>Initiating a Project</i> process. The Initiation Plan is only required when the <i>Initiating a Project</i> process requires financial resources, in order to approve and sign-off the plan and budget required to complete the process.
<b>Replaces</b>	Initiation Plan template in the UNDP User Guide. The purpose of this update is to simplify the previous template and clarify specific requirements related to monitoring, risks management and management arrangements.
<b>Is part of</b>	UNDP Programme & Operations Policies and Procedures - <a href="#">Project Management section</a>
<b>Conforms to</b>	Harmonized programming procedures and ATLAS
<b>Related documents</b>	<a href="#">Initiation Plan - Deliverable Description</a> UNDP Programme & Operations Policies and Procedures - <a href="#">Defining a Project</a>
<b>Document Location</b>	UNDP-Kenya Office & UN-REDD Work Space



## KENYA

### Initiation Plan

- Project Title:** **Designing the National REDD+ Governance System**  
*[This project is actually an initiation plan to design a new, multi-year support programme from UN-REDD to Kenya, including UNDP's support, to build Kenya's institutional framework for REDD+]*
- Expected CP Outcome:** To respond to the priority area of the upcoming UNDAF for Kenya to assist the country accessing climate finance.  
*The new UNDAF Kenya (2014-2018) is under finalization and will sustain the design of the Country Plan Document. Accessing climate finance is retained as a UNDP Kenya priority and this Initiation Plan suits is finely.*
- Initiation Plan Start Date:** April 2014
- Initiation Plan End Date:** March 2015
- Implementing Partner:** State Department of Environment and Natural Resources, Ministry of Environment, Water and Natural Resources (MEWNR)
- Key national partners:** Kenya Forest Service (KFS)  
Kenya Ethics and Anti-Corruption Commission (EACC)  
Transparency International (TI)

### Brief Description

*This document represents an Initiation Plan with a 12-month duration to scope and design key elements for REDD+ governance in Kenya. In particular, this plan will serve to outline an implementation framework for REDD+, with a focus on participative processes and governance tools, while designing a programme to help building such implementation framework. As such, it intends to mobilize international finance, through the UN-REDD Programme, to help Kenya design and establish its implementation framework for REDD+ [finance in the order of USD 2-4 million is anticipated during 2014 through subsequent Targeted Support building on the outcomes of this proposed support, and this initiation plan is indispensable to mobilize it]. Such an initiative will complement the support that Kenya expects from the World Bank to design its REDD+ strategy and its social and environmental framework. The plan also responds to the upcoming UNDAF 2014-2018 for Kenya, notably its Strategic Result 3 (Economy) and its Output 3.2.2 (Climate-Smart Production) by fostering governance in climate-change mitigation and in forest resources, while building the REDD+ mechanism in Kenya in accordance with UNFCCC agreements. The Initiation plan will deliver three major outputs:*

- 1) Policy guidance for REDD+ at national & field levels is developed;*
- 2) Transparency in REDD+ is promoted and capacities to mitigate corruption risks are enhanced; and*
- 3) Technical coordination is strengthened, together with knowledge management, capturing lessons learnt and mobilizing resources for the institutional framework of REDD+ in Kenya.*

Programme Period: April 2014 – March 2015

CPAP Programme Component: *to be determined*

Atlas Award ID: *to be determined*

PAC Meeting Date: 20<sup>th</sup> February 2014 [cf. Annex 1]

*Total resources required* **USD 317,500**

*Total allocated resources* USD 317,500

- UN-REDD USD 267,500
- UNDP Kenya Office (Trac) USD 50,000

*Unfunded budget:* —

*In-kind Contributions (MEWNR): to be determined*

Agreed by the MEWNR, Government of Kenya :

Agreed by UNDP:

# 1. BACKGROUND

## REDD+

With the estimation from the Intergovernmental Panel on Climate Change (IPCC) that the forest sector and other sector impacting land use, through deforestation, forest degradation and other changes in forests, contributes approximately 17% of global greenhouse gas emissions, there is a growing awareness that abatement of forest-based emissions is critical to limiting global warming, and has gained global attention in the context of UNFCCC negotiation for future climate regime.

The concept of REDD+ (Reduced Emissions from Deforestation and Forest Degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries) has emerged in the course of the UNFCCC negotiations as part of the new climate regime. REDD+ seeks to provide financial incentives to enhance the role of forests in mitigating climate change. Significant progress has been made within the UNFCCC towards an international agreement on REDD+, notably via the UNFCCC's *Cancun Agreements* (2010), *Durban Declaration* (2011) and, most recently, the UNFCCC's Warsaw framework on REDD+ (2012). Countries have currently sufficient guidance and confidence to fast track REDD+ readiness activities and advance resolutely in designing their REDD+ strategies and implementation framework.

### **The UN-REDD Programme** ([www.un-redd.org](http://www.un-redd.org))

The UN-REDD Programme is the United Nations collaborative initiative on Reducing Emissions from Deforestation and forest Degradation (REDD) in developing countries. The Programme was launched in 2008 and builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP), referred to as the participating UN organizations. The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.

The UN-REDD Programme supports national REDD+ readiness efforts in two ways: (i) direct support to the design and implementation of UN-REDD National Programmes; and (ii) complementary support to national REDD+ action through common approaches, analyses, methodologies, tools, data and best practices developed through the UN-REDD Global Programme.

### **Kenya REDD+ Readiness**

In Kenya, REDD+ is implemented through a national REDD+ office, within the Ministry of Environment, Water and Natural Resources, and led by the National Coordinator for REDD+. At policy level, a Steering Committee has been established, under which a National REDD+ Technical Committee has been also established to provide an advisory role. Six thematic working groups have also been established to drive the REDD+ readiness and implementation process. Kenya is in the process of implementing its Readiness Preparation Proposal (R-PP) under the World Bank-Hosted Forest Carbon Partnership Facility, following its approval in 2010 (<http://www.forestcarbonpartnership.org/kenya-0>). Kenya is also partner member of UN-REDD and has received a first targeted support, jointly by the three UN-REDD agencies.

In 2012-2013, Kenya received, at its request, *targeted support* under the UN-REDD Programme to conduct analytical work on REDD+, in order to advance the implementation of its R-PP. Such analytical work comprised legal preparedness for REDD+ (with FAO support); REDD+ governance dimensions (with UNDP support) that included corruption risks in REDD+ in Kenya (<http://tinyurl.com/Kenya-REDD-CRA>) and scoping carbon rights and benefit-sharing dimensions; and the assessment of the forest sector and its contribution to the green economy (with UNEP support). This work has become the basis for a REDD+ analytical series, and has triggered the understanding that UN-REDD will support Kenya with the analysis and design of the institutional framework for REDD+, whereas the FCPF of the World Bank will focus on the strategic dimensions for REDD+.

## 2. PURPOSE OF THE INITIATION PLAN

Building on the successful outcomes of the 2012-2013 *Targeted Support* project under the UN-REDD Programme, and following discussions with the Government of Kenya, this Initiation Plan seeks to continue the ongoing analytical work for REDD+ and, in particular, sustain the design of a larger project on building the institutional framework for REDD+ in Kenya. Through a mix of further analysis, stakeholder consultations and drafting efforts, which will be supported by this Initiation Plan, Kenya will be able to produce a roadmap and proposal on how to build the institutional framework for REDD+, including governance measures, for the period 2014-2016. This proposal will be submitted for UN-REDD financial support, and will perfectly complete the planned support from the World Bank on the strategic dimensions of REDD+ in Kenya. The catalytic role of this Initiation Plan is summarized in Table 1, below.

**Table 1**  
**Overview of UNDP / UN-REDD support to Kenya**  
**on the institutional & governance framework for REDD+**

Stages (UNDP / UN-REDD)	Period	Budget (US\$)	Objectives & Deliverables
1.- First <i>Targeted Support</i> from UN-REDD	2012-2013	80,000	<ul style="list-style-type: none"> <li>• Initial scoping of some REDD+ governance issues</li> <li>• Launching of a Kenya REDD+ Analytical series (a governmental publication series)</li> </ul>
2.- Initiation Plan (current document)	2014	317,500	<ul style="list-style-type: none"> <li>• Furthering analysis on REDD+ governance &amp; its institutional framework</li> <li>• Outline of a REDD+ Registry</li> <li>• Establishment of a task force on anti-corruption and climate/REDD+ finance</li> <li>• Guidelines on stakeholder engagement and FPIC</li> <li>• Drafting a project proposal on the design of Kenya's REDD+ institutional framework, and resource mobilization (triggering stage 3)</li> <li>• REDD+ website &amp; knowledge management capacity</li> </ul>
3.- Design & establishment of Kenya's REDD+ Institutional Framework	2014-2016	<i>circa</i> 1,000,000	<ul style="list-style-type: none"> <li>• In-depth analytical work, with multi-stakeholder consultations</li> <li>• Institutional design, backed by operational advice and legal instruments</li> <li>• Intense capacity building</li> </ul>
4.- Implementation of REDD+	from 2017	-	<ul style="list-style-type: none"> <li>• REDD+ activities, investments &amp; finance are widespread in Kenya and duly managed by Government, with due transparency and participatory measures</li> </ul>

In essence, this Initiation Plan will provide design elements to ensure that the Kenya's REDD+ strategy incorporates effective measures to ensure policy coherence, transparency, accountability and stakeholders' rights in REDD+, in order to promote investment, ensure effective positive REDD+ outcomes and fully reflect national and international requirements. The Initiation Plan will lay the foundations for a scaled up financial proposal for Kenya, mobilizing *Targeted Support* of the UN-REDD Programme in 2014-2016, while complementing the anticipated support from World Bank on national REDD+ strategy development.

### 3. EXPECTED OUTPUTS

#### ***Output 1: Policy guidance for REDD+ in Kenya is developed***

##### **Policy note and dialogue**

Building on the R-PP document and the analytical work conducted so far (which includes studies on legal preparedness, benefit sharing and anti-corruption aspects), a policy document will be drafted, receiving inputs from a variety of stakeholders, and to be largely disseminated. This document will serve to frame and sustain the national REDD+ process in Kenya by providing both a stronger legal base to the national REDD+ process and basic policy guidance on its advancement. The legal status of this proposed *Policy Note on REDD+* will depend on its contents and on the stakeholder discussions around it; such legal status will anyway be moderate and proportional to the best use of the policy note (which basically aims at providing some formal frame to the REDD+ readiness work and initiatives in the country).

##### **National REDD+ fund management arrangements and benefit sharing**

Preliminary discussion for national REDD+ fund management arrangements will be initiated. REDD+ finance can be managed either through regular budgetary processes or outside them (*e.g.*, through extra-budgetary funds or markets). In most cases, countries will be managing systems that include different modalities. Governments may have less influence on the actual composition of the funding matrix but they can decide what kind of policy intervention or investment could be financed by each modality. This activity will help the Government of Kenya to explore these different options and provide input into the design of the national REDD+ financial architecture.

In addition, complementing the field surveys undertaken in 2013 on project-based carbon rights and benefits sharing options for REDD+ in Kenya, a general roadmap on benefit sharing will be developed. In the context of the selected national REDD+ fund management arrangements described above, specific recommendations will be proposed for benefit distribution systems of forest carbon projects if the Government of Kenya wishes to pursue a project based approach.

##### **Practical, robust and transparent national guidance for stakeholder engagement and for *Free, Prior and Informed Consent (FPIC)* are developed, with a focus on forest carbon projects**

There is interest in the country, and from a wide variety of actors, including Government, to ensure that stakeholders, especially civil society and vulnerable and marginalised groups, are fully and effectively engaged in the national REDD+ process. National guidance for stakeholder engagement as well as for FPIC for forest management projects are increasingly required. This project will thus help develop them through a bottom-up participatory process, building on local knowledge and experiences in Kenya and lessons learned from similar UN-REDD support to other countries. The guidelines will be developed in collaboration with national NGOs, with focus on local communities and

Indigenous Peoples, taking into account social rights and environmental concerns, and including international expertise on rights and FPIC in Africa (notably on the application of ILO169 in the African context). Their design will take into account their different potential users and beneficiaries, particularly serving Government to provide guidance for private sector and NGO entrepreneurs that wish to develop and implement forest-management and REDD+ projects, so these are designed and implemented with due participatory and socially fair approaches. Therefore, a careful consideration of the end-users and the beneficiaries of such guidance elements will be conducted at the onset of the exercise in order to tailor the design, consultation and validation of such guidelines. In general, these guidelines will be the first of its kind in a UN-REDD context in Africa and hence will provide a unique opportunity to pilot approaches and methods in a few selected projects, as well as extract lessons.

In essence, two "products" are foreseen:

- (i) A Stakeholder Engagement Plan for REDD+
- (ii) A set of guidelines for FPIC on REDD+

These two outputs are aligned with provisions in the Kenya Constitution on adequate participation, consultation and social fairness in development policies and programmes. They will thus enable Government to foster and ensure social equity in the design and implementation of REDD+ across the country. This work stream will therefore be implemented as an interface between civil society actors (which are the classical advocates of these tools) and Government (as the primary user for them). Both Government and civil society actors will work on these two outputs closely and cooperatively.

#### ➤ Funding source for Output 1

PID Output 1 will be funded from the following strategic lines of the UN-REDD's *Support for National REDD+ Action* (SNA):

- SNA Outcome 2 (Nationally owned credible, inclusive national governance systems are developed for REDD+ implementation) of UN-REDD Programme's "Support to National Actions" document; particularly SNA outputs 2.4 (National capacity for performance based payments and inclusive benefit distribution systems) and 2.6 (corruption risks in REDD+).
- SNA Outcome 4 (Indigenous Peoples, local communities, civil society organizations and other stakeholders participate effectively in national and international REDD+ decision making, strategy development and implementation); particularly SNA Output 4.2 (Principles, guidelines and procedures for stakeholder engagement in national and international REDD+ processes developed through inclusive consultation)

### ***Output 2: Transparency in REDD+ is promoted and capacities to mitigate corruption risks are enhanced***

#### **REDD+ Registry**

Transparency and access to information are key to prevent corruption risks. The "Corruption Risk Assessment for REDD+ in Kenya" study clearly showed stakeholders' appetite and need for clear, timely and relevant information.<sup>1</sup>

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1) [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=11014&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=11014&Itemid=53)



To respond to this need, the establishment of a REDD+ Registry is proposed, in the first instance as a structure to collect and provide information on different forest and land-use related initiatives that seek mitigation goals. The REDD+ Registry would particularly capture and monitor REDD+ pilot projects across the country. In the future, it may become the basis for providing information to the UNFCCC hub on its web platform (as set out in the COP-19 decision on results-based finance). In essence, the REDD+ Registry would first serve as an information and monitoring interface between national REDD+ policy and pilot projects. The REDD+ Registry, once fully operational, would require specific information and analysis from pilot projects before being granted clearance, and then the information should be updated regularly and publicly available (with varying degrees of openness). In this sense, in order to start designing a REDD+ Registry, there is need to define the following elements: what information will be required, who provides the information; and who manages the platform. This preliminary design work is required at the level of the Initiation Plan so that the future UN-REDD Kenya project will actually be able to establish the REDD+ Registry and operationalise it online. The Registry would also allow assessing and monitoring pilot projects in terms of national policy elements on REDD+, including safeguards – all of which would be updated as national policy for REDD+ evolves. Further, what information is needed and mandatory, or recommended, is to be defined too. In this way, the Registry would be a crucial part of the future system for providing information on safeguards (known as Safeguard Information System), as mandated in the UNFCCC *Cancun Agreements* (2010).

A first background field visit conducted by the UNDP/UN-REDD Africa Unit in October 2013 served to gather perspectives on how the design of the national REDD+ Registry in Kenya could advance. This visit allowed the Unit to gather feedback on : the value that project implementers see in a REDD+ Registry; the type of information essential for project developers to report to the Registry; the type of information useful for monitoring the progress of pilot project activities; possible basic criteria and standards for registration [as pertinent for REDD+ readiness] ; as well as other design element of the REDD+ Registry which could strengthen linkages between the government and the pilots/projects. The visit also allowed testing of a methodology questionnaire that can be used to gather the inputs from a wider range of stakeholders. Further consultations with stakeholders, including project entrepreneurs and beneficiaries, as well as a preliminary assessment of options and scope of a REDD+ Registry in Kenya would be conducted under this Initiation Plan project so the future UN-REDD Kenya project is able to carry out the actual design, and operationalise it.

While it is not anticipated that the Registry itself would function as a platform on which to register complaints, it could either provide a space to document these or provide linkages to independently-run platforms that lists potential complaints associated with particular projects. A monitoring system to assess what type of users make use of the Registry, at what frequency, and to what purpose would be built into the system, in order to track the Registry's effectiveness in providing clear and usable information to a wide range of stakeholders. In essence, this work stream will build on existing REDD+ Registry efforts, such as the one in the DR of the Congo, plus UN-REDD in-house expertise, and will be enriched with South-South exchanges. It will be closely coordinated with FCPF support, which could also co-finance work towards the REDD+ registry (although towards late 2014 or in 2015).

### **Enhancing collaborative capacities of key actors in anti- corruption for REDD+**

The *Corruption Risk Assessment for REDD+ in Kenya* and its associated capacity development plan pointed to a number of proposals to strengthen the institutional and collaborative capacities of the Ministry of Environment, Water and Natural Resources (MEW&NR), Kenya Forest Service (KFS) and the Kenya Ethics and Anti Corruption Commission(KEACC). Of utmost importance is the ability of different bodies to collaborate on these issues and identify priority actions. Towards this goal, the creation of a Task Force with the KEACC, MEW&NR, KFS and Transparency International is proposed.

This Task Force would meet on a monthly basis and establish priority capacity development actions and implementation plans for different actors working to prevent and redress corruption risks in REDD+. The Task Force would also identify a series of quick wins (*i.e.* early action) that can be initiated in a relatively short time to better frame and help in the prevention and monitoring of corruption risks in the climate-change and/or REDD+ arenas. This Initiation Plan will help establish, train and launch this task force (which would become fully active during the full-fledge proposal, 2014-2016).

### **Targeted awareness-raising and trainings**

One essential element to prevent and detect corruption is to ensure that there is a broad but specific understanding of risks by different stakeholders, as well as how they can contribute to mitigating these risks. A mapping of the needs and capacities of different actors will be conducted (comprising civil society, local communities, project developers, Kenya Forest Service's staff at national and country levels, community forest associations and community protected areas, among other). Then, priority target groups will be identified, materials will be developed, and targeted training and awareness activities will be finally undertaken. This will provide the basis for activities to be financed by the follow-up, full-fledge proposal.

#### ➤ Funding source for Output 2

*PID Output 2 will be funded by:*

- *Outcome 2 (Nationally owned credible, inclusive national governance systems are developed for REDD+ implementation) of the UN-REDD Programme's "Support to National Actions" document, and more specifically output 2.6 : Corruption risks in REDD+*
- *Outcome 5 (Safeguards are addressed and respected and multiple benefits of REDD+ are realized) and more specifically output 5.3: Support countries to provide information on how safeguards are addressed and respected*

*The budget category for this funding is "Transfer and Grants".*

### ***Output 3: Technical coordination, lessons learnt and resource mobilization (2014-2016)***

This component will serve to ensure that the different products under the outputs above are well coordinated and that valuable lessons are extracted. Capacity of the Ministry of Environment, Water and Natural Resources will be enhanced through staffing, policy and technical support. Perhaps most important, the conclusions from the design elements above will serve as the basis for designing a broad Kenya UN-REDD proposal to build the REDD+ institutional framework (2014-2016) and to mobilize the required finance from the UN-REDD Programme (see stage 3 under Table 1, above).

#### ➤ Funding source for Output 3

This output will be funded by UNDP Kenya's Country Office (TRAC funding).

## 4. MANAGEMENT ARRANGEMENTS

The **National Coordinator for REDD+** will lead the implementation and provide strategic guidance for this Initiation Plan, in close coordination with UNDP Kenya and the UNDP/UN-REDD Africa regional team.

The **UNDP Kenya** Office will be responsible for overseeing the project implementation, together with the National Coordinator for REDD+, while also procuring quality national consultancies, including the recruitment of the Technical Coordinator (to ensure a smooth implementation).

The **UNDP/UN-REDD Team**, both the Africa regional unit (Nairobi) and the global thematic specialists (New York and Geneva) will provide technical expertise and qualitative assurance to the project's implementation and deliverables. They will work closely with the Technical Coordinator and consultants recruited, as well as with the National Coordinator for REDD+. The UNDP/UN-REDD Programme Africa regional unit will also play its role to ensure both vertical and horizontal coordination to bring together different expertise and stakeholders to deliver expected outputs – a staff member from the UNDP/UN-REDD Africa Unit will be appointed to coordinate UN-REDD's technical assistance and quality assurance.

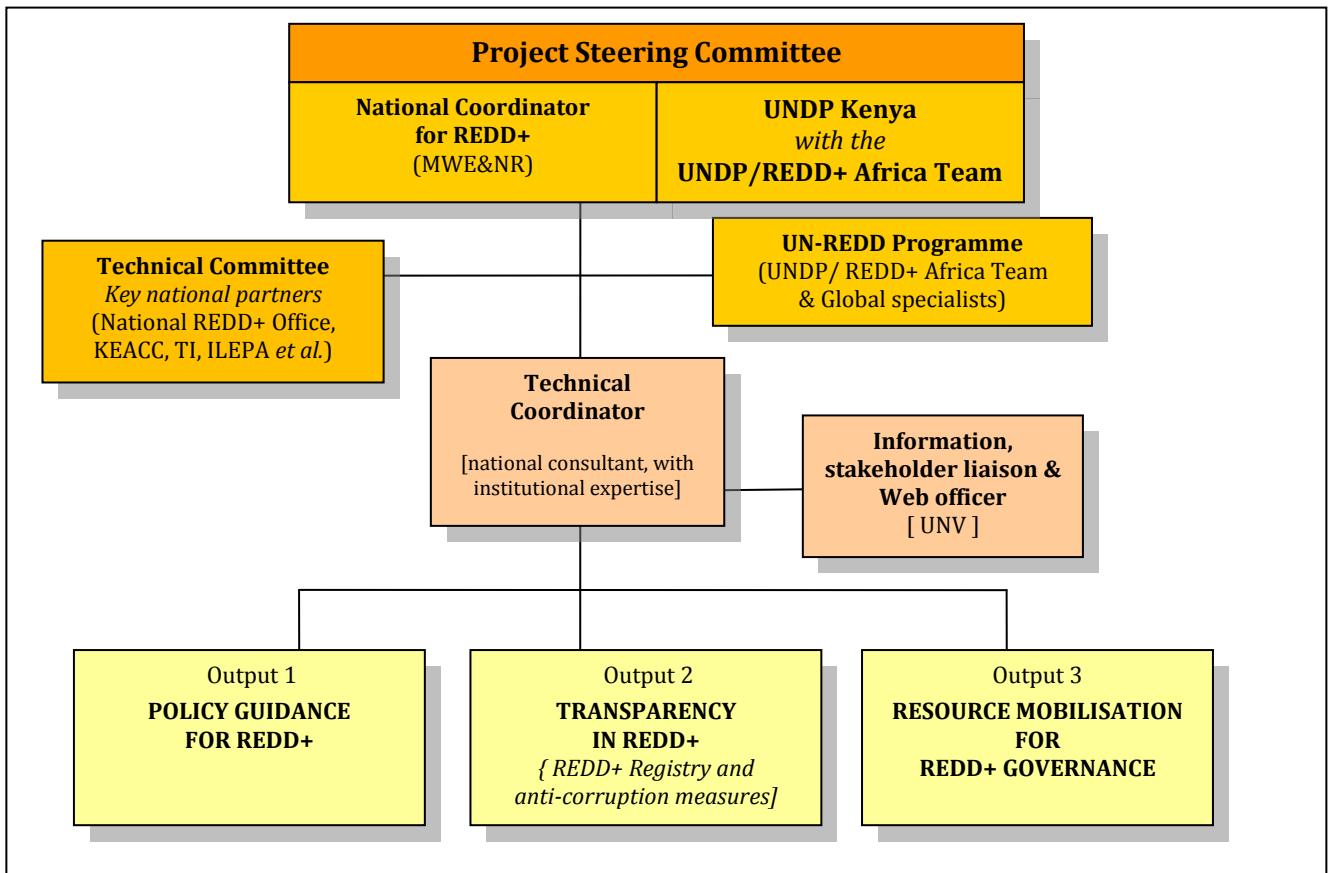
The above-mentioned units will compose the project's **Steering Committee**, namely the National Coordinator for REDD+ (as chairperson), UNDP-Kenya office and the UNDP/REDD+ Team. They will meet to approve work plans, review progress and adapt implementation as required. As needed, they will convene a project's **Technical Committee**, on an ad-hoc basis, to enrich oversight and ensure that the views of key partners are taken into account in the planning and implementation of the activities, as well as to inform adaptive management changes. The Technical Committee is likely to comprise, in addition to the members of the Steering Committee, representatives from the Kenya Ethics and Anti-Corruption Commission (KEACC), and key partner NGOs of this project such as Transparency International and the Indigenous Livelihoods Enhancement Partners (ILEPA).

A **Technical Coordinator** will be recruited, as national consultant, for the duration of this Initiation Plan, to ensure daily implementation and regular progress in each output and work stream. The Technical Coordinator will have an institutional and/or environmental policy expertise, will be recruited by UNDP-Kenya, and will report regularly to both the National Coordinator for REDD+ and the project's Steering Committee. S/he will be based at the National REDD+ Office, and will occasionally visit the UN-Nairobi offices for liaison and implementation needs. The Technical Coordinator will be in charge of sustaining the work of the different consultants (national & international) to be recruited for the implementation of the Initiation Plan, notably for Output 1, as well as the experts engaged. In addition, the Technical Coordinator will provide a specific technical support and inputs to the Output 2.1 (REDD+ Registry) – hence the institutional expertise required. Finally, the Technical Coordinator will be responsible to ensure that events (consultation/validation meetings) are well-organised and that the different project products are well-edited and duly disseminated. Draft Terms of Reference for the Technical Coordinator (national consultant) are attached in the Annex.

A **UN volunteer (UNV)** will be recruited (by UNDP-Kenya) and deployed in the National REDD+ Office to support on information and knowledge management, on the organisation of multi-stakeholder dialogue events, and for the establishment and management of national REDD+ website.

Figure 1 below summarises the management & implementation arrangements for the Initiation Plan.

**Figure 1. Management & Implementation arrangements**



## 5. MONITORING AND REPORTING

For the implementation of this initiation plan, technical advice, assistance and monitoring of results will be provided by the UNDP technical team of the UN-REDD Programme at the national, regional and global level. When thematic advisors are located outside of Kenya, at least one country mission per output (combined if possible) will be conducted to provide support and assess progress and/or potential challenges in delivering the expected results.

Reporting will be conducted according to the UN-REDD procedures for targeted support under the “Support to National Actions” programme. This includes a semi-annual update in June and an annual report in December. These reports will build on short trimestral progress reports submitted by the project manager (national consultant) for consultation by project constituencies. The monitoring will place particular attention to the ability and success of this initiation plan to prepare a proposal for the institutional framework of REDD+ and mobilize international finance for REDD+.

## 6. ANNUAL WORK PLAN

Year: 2014

EXPECTED OUTPUTS <i>(with baseline, indicators and targets)</i>	PLANNED ACTIVITIES <i>(activity results and associated actions)</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Funding Source	Budget Description [ expenditure accounts ]	Amount (USD)
<p><b>Output 1 : Policy guidance for REDD+ at national &amp; field levels is developed</b></p> <p><b>Baseline:</b> No systematic policy dialogue on REDD+ established (only occasional consultations for specific matters)</p> <p><b>Indicator:</b> Multi-stakeholder meetings to discuss and define a policy framework for REDD+ in Kenya are held quarterly</p> <p><b>Target:</b> Robust policy notes and dialogues frame the overall REDD+ discourse in Kenya</p> <p><b>Related CP outcome:</b> Strategic Result 3 (ECONOMY); Output 3.2.2. Climate-Smart Production (UNDAF 2014-2018, forthcoming)</p>	<p><b>1.1. A "policy note on REDD+" is elaborated to formally guide the national REDD+ processes as well as field activities</b></p> <ul style="list-style-type: none"> <li>Workshop to launch the three REDD+ governance studies conducted in 2013 (feedback is gathered)</li> <li>A policy note on REDD+ is drafted</li> <li>Stakeholders are consulted on the draft policy note on REDD+</li> <li>Policy note on REDD+ is finalized and disseminated</li> </ul>	X		X	X	MEWNR with UNDP	UN-REDD SNA #2.6	[ 71200 ] USD 10,000 (int'l consultant) [ 75700 ] USD 5,000 (two workshops)	15,000
	•								
	<p><b>1.2. Dialogue on the REDD+ funding mechanism initiated and option selected for REDD+ fund management</b></p> <ul style="list-style-type: none"> <li>Consultants write up inputs from Government &amp; other stakeholders</li> <li>Create task force or working group on REDD+ funding modalities</li> <li>Organize regular meetings of the working group to discuss options and evaluation criteria (4-5 meetings)</li> <li>Organize broad stakeholder consultations to feed into the work of the working group (2-3)</li> <li>Report prepared with option recommended</li> <li>Endorsement by government and dissemination</li> </ul> <p>[Funding for this domain may increase, if required, in 2014]</p>	X	X	X	X	MEWNR, with Ministry of Finance & UNDP	UN-REDD SNA #2.4	[ 71300 ] USD 20,000 (national consultants) [ 71300 ] USD 10,000 (nat'l consultant / TC) [ 75700 ] USD 20,000 (meetings of the working group and national consultation workshops)	50,000
<p><b>1.3. A stakeholder engagement plan and guidelines for FPIC are designed in a consultative &amp; participatory manner (two separate products, with a focus on forest carbon projects)</b></p> <ul style="list-style-type: none"> <li>Consultations with civil society and inputs gathered from experts on the ILO-169 in an African context</li> <li>Consensus views and conclusions from consultations are formulated</li> <li>Two zero drafts are produced</li> <li>Stakeholders are consulted at national and local levels, and drafts refined</li> <li>Event is organized to adopt and launch the two products</li> </ul> <p>[This activity result is expected to be scaled up pending fund mobilization from UN-REDD in 2014]</p>	X	X	X	X	MEWNR and UNDP	UN-REDD SNA #4.2	[ 72100 ] USD 17,000 (nat'l NGO/firm, including fieldwork) [ 76100 ] USD 3,000 (mission by int'l partner) [ 75700 ] USD 5,000 (workshops) [ 71300 ] USD 5,000 (nat'l consultant / TC)	30,000	
<b>Output 1 Subtotal</b>								<b>95,000</b>	

EXPECTED OUTPUTS (with baseline, indicators and targets)	PLANNED ACTIVITIES (activity results and associated actions)	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET			
		Q1	Q2	Q3	Q4		Funding Source	Budget Description [expenditure accounts]	Amount (USD)	
<p><b>Output 2: Transparency in REDD+ is promoted and capacities to mitigate corruption risks are enhanced</b></p> <p><b>Baseline:</b> A Corruption Risk Assessment for REDD+ in Kenya is available, but actions are not defined. In addition, lack of a platform to monitor REDD+ pilot projects.</p> <p><b>Indicators:</b></p> <p>1) Stakeholders discuss type of information required to monitor REDD+ projects</p> <p>2) A Task Force on REDD+ and anti-corruption is established and meets regularly</p> <p><b>Targets:</b></p> <p>1) An outline of a REDD+ registry is elaborated.</p> <p>2) An Anti Corruption for REDD+ Task Force is operational and recognized by both environmental and governance constituencies</p> <p><b>Related CP outcome:</b> Strategic Result 3 (ECONOMY) and Output 3.2.2. (Climate-Smart Production) of the UNDAF 2014-2018 (forthcoming)</p>	<p><b>2.1. A REDD+ Registry is outlined, adapted to Kenya</b></p> <ul style="list-style-type: none"> <li>Stakeholder consultations on the scope, uses and role of a REDD+ Registry (e.g. information needed, monitoring, management, information access, provision of information to the UNFCCC)</li> <li>Preliminary assessment of a REDD+ registry (options, criteria, management, linkages with RED+ safeguards, monitoring carbon flows)</li> <li>Dissemination of registry experiences in other countries</li> <li>Elaboration of a set of national guidelines for REDD+ pilot projects (linked to the Registry)</li> <li>An online beta model of a REDD+ registry is designed</li> </ul> <p>[This preliminary work on a REDD+ Registry will continue in the new UN-REDD Kenya project and will be closely coordinated with support from the World Bank on REDD+]</p>	X	X	X	X	MEWNR and KEACC with UNDP	UN-REDD SNA #2.6 USD 35,000 SNA #5.3 USD 50,000	[ 75700 ] USD 10,000 (several workshops) [ 71300 ] USD 45,000 (nat'l consultant / TC) [ 71600 ] USD 5,000 (Travel for field surveys & initial data collection) [ 72100 ] USD 5,000 (web developer) [ 72100 ] USD 5,000 (web platform hosting) [ 75700 ] USD 15,000 (learning, South-South exchanges, int'l advice)	85,000	
	<p><b>2.2. Coordination is fostered between MEW&amp;NR and the Ethics and Anti-Corruption Commission</b></p> <ul style="list-style-type: none"> <li>A Task Force is established with a clear mandate</li> <li>A work plan is developed</li> <li>The Task Force identifies priority actions based on existing assessment</li> <li>The Task Force identifies "quick wins" actions</li> <li>Two "quick wins" anti-corruption activities are implemented</li> </ul>	X	X	X	X	MEWNR and KEACC with UNDP	UN-REDD SNA #2.6	[ 75700 ] USD 10,000 (meetings, workshops) [71600 ] US 10,000 (field visits & inquiries, international travel) [74500] USD 20,000 (Miscellaneous - "quick wins" activities, to be defined during implementation)	40,000	
	<p><b>2.3. Stakeholders are aware of corruption risks on REDD+ and carbon finance, and trained on how to monitor &amp; address them</b></p> <ul style="list-style-type: none"> <li>Priority target groups are identified</li> <li>Appropriate training materials for identified stakeholder groups are developed</li> <li>Trainings are provided</li> <li>Campaigns launched, with information</li> </ul>		X		X	MEWNR and KEACC with UNDP	UN-REDD SNA #2.6	[71300] USD 4,000 (local designer) [71300] USD 10,000 (training) [75700] USD 10,000 (Workshops) [72500] USD 6,000 (printing materials, media)	30,000	
									<b>Output 2 Subtotal</b>	<b>155,000</b>

EXPECTED OUTPUTS <i>(with baseline, indicators and targets)</i>	PLANNED ACTIVITIES <i>(activity results and associated actions)</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Funding Source	Budget Description [ expenditure accounts ]	Amount (USD)
<p><b>OUTPUT 3 : Technical coordination, lessons learnt and resource mobilization (2014-2016)</b></p> <p><b>Target :</b> Financial mobilization for the design of the institutional framework of REDD+ is achieved by end of the Initiation Plan (via a bankable proposal for submission to UN-REDD)</p> <p><b>Indicator :</b> Preparation of a proposal for the REDD+ institutional framework [following UNDP and UN-REDD requirements]</p> <p><b>CP related outcome :</b> Strategic Result 3 (ECONOMY) and Output 3.2.2. (Climate-Smart Production) of the UNDAF 2014-2018 (forthcoming)</p>	<p><b>3.1. National REDD+ Office strengthened</b></p> <ul style="list-style-type: none"> <li>A national REDD+ institutional expert (to also serve as Technical Coordinator of this Initiation Plan) is recruited and deployed in the National REDD+ Office (major roles: technical coordination of the Initiation Plan; implementation of output 2; assistance to the implementation of output 1; and preparation of new proposal for UN-REDD financing) [budget under Activities 1.3 and 2.1 above]</li> <li>A junior officer (UNV) recruited and deployed in the National REDD+ Office (major roles supporting information, knowledge management, organization of multi-stakeholder dialogue events, and management of national REDD+ Website).</li> <li>Miscellaneous publications, printing &amp; media liaison [serving the different products from the three outputs]</li> <li>REDD+ Website improved and regularly updated</li> </ul> <p><b>3.2. Scale up proposal is drafted and validated</b> (with punctual support of an international consultant)</p> <ul style="list-style-type: none"> <li>Synthesis report on the key elements for the national REDD+ governance and institutional framework (as conclusion to the Initiation Plan).</li> <li>Project proposal drafted and approved, with financial allocation. Main goal of the proposal is to support the design of the REDD+ institutional framework in Kenya, aiming primarily at UN-REDD financing (period: 2014-2016).</li> </ul>					UNDP-Kenya, with MEWNR	UNDP CO Trac funds : USD 50,000	[75105] USD 20,000 (UNV) [75700] USD 5,000 (inception, management & finalization meetings) [72500] USD 15,000 (Publications & printing costs) [75500] USD 10,000 (National REDD+ Website)	50,000
<b>Output 3 Subtotal</b>									<b>50,000</b>

### Summary

Output 1 (UN-REDD)									95,000
Output 2 (UN-REDD)									155,000
Output 3 (UNDP-Kenya)									50,000
Subtotal (UN-REDD)									250,000
GMS [7%] (UN-REDD)									17,500
<b>TOTAL</b>									<b>317,500</b>

## Annex 1. Project Appraisal Committee: Key recommendations & list of participants

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The Project Appraisal Committee met in Nairobi on 20<sup>th</sup> February 2014. An excerpt from the *minutes* follows:

### **Synthesis of the meeting, agreed actions and next steps**

The project was endorsed by participants, with signature subject to the following amendments and design modifications, as agreed:

1. Output 1.1 (policy note on REDD+) shall indicate the moderate degree of legal status sought for this policy note, and that the intended legal status will be defined during its elaboration (in fact, it will depend on its contents and on the stakeholder discussions around it, to balance the legal status to the best use of the Policy Note). The text should also indicate the policy note is not expected to reach any high legal stance, not even be submitted to Parliament; but, rather, the goal is to provide some formal frame to the REDD+ readiness work and initiatives in the country.
2. Amend and probably merge outputs 1.2 and 1.3 to better capture the overall REDD+ finance *landscape*. In essence, the project will help Kenya to broadly explore options and design modalities for financing REDD+ investments and results-based actions, including, among others, budgetary options, public finance, BDS, a fund mechanism and capacities to access the GCF.
3. It was highlighted the need to refine the design of the work stream 1.4 (stakeholder engagement & FPIC), following these three considerations:
  - (i) define in the proposal that a *Stakeholder Engagement Plan for REDD+* and a set of *Guidelines for FPIC on REDD+ in Kenya* will be produced;
  - (ii) clarify that these two outputs are tools primarily intended for Government to ensure social equity of REDD+ design and implementation; therefore this work stream should be implemented as an interface between civil society actors (which are the classical advocates of these tools) and Government (as the primary user for them), and both Government and civil society actors should work on them closely; and
  - (iii) include reference to Kenya's Constitution in relation to this work stream.
4. To simplify the 3 sub-outputs on anti-corruption and REDD+ (2.2 to 2.4) into two, blending 2.2. and 2.4, for more consistency and easier implementation.

### **List of participants**

Name	Affiliation
Alfred Gichu	National Coordinator for REDD+ [PAC Chair]
James Tisaia	Indigenous Livelihoods Enhancement Partners (ILEPA)
Eunice Nkpio	Mainyoito Pastoralist Integrated development Organization (MPIDO)
Shivo Edwin	Green Africa Foundation
Judy Ndichu	Transparency International – Kenya
Susan Kinyeki	Ethics and Anti-Corruption Commission (EACC)
Kimaren Riamit	Indigenous Livelihoods
Grace Kioko	Neema Foundation
Leah Gichuki	Kenya Forests Working Group
Tsuma Charo	Africa Carbon Exchange / Ecoworld
Soikan Nicholas	The World Bank
Nina Lande	FAO / Kenya
Philip Kisoyan	FAO / Kenya
Thais Narciso	UNEP / UN-REDD (Nairobi)
David Githaiga	UNDP / Kenya
Berta Pesti	UNDP/ UN-REDD (Geneva)
Anne Martinussen	UNDP/ UN-REDD (Nairobi)
Koji Fukuda	UNDP/ UN-REDD (Nairobi)
Josep A. Garí	UNDP/ UN-REDD (Nairobi)