



REPUBLIC OF KENYA

THE PRESIDENCY  
MINISTRY OF DEVOLUTION AND PLANNING

# Ending Drought Emergencies Common Programme Framework



**KENYA**  
**VISION 2030**  
TOWARDS A GLOBALLY COMPETITIVE AND PROSPEROUS NATION

**NOVEMBER 2015**



**REPUBLIC OF KENYA**

# Common Programme Framework for Ending Drought Emergencies





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# Key data

<b>COUNTRY</b>	Kenya
<b>TITLE</b>	Common Programme Framework for Ending Drought Emergencies
<b>DURATION</b>	July 2014 – June 2018 (phase one)
<b>FUNDS REQUIRED</b>	Kshs. 167,636 million
<b>OVERALL OUTCOME</b>	Communities in drought-prone areas are more resilient to drought and other effects of climate change, and the impacts of drought are contained.
<b>EXPECTED RESULTS</b>	<ol style="list-style-type: none"> <li>1. Effective response to peace and security threats in ASAL counties by a strengthened peace and security infrastructure.</li> <li>2. The deficit of climate-proofed productive infrastructure and its maintenance is identified, planned and progressively addressed in a coordinated and comprehensive manner at national, county and community level.</li> <li>3. A more healthy, skilled, innovative, resourceful and motivated human capital in the ASALs.</li> <li>4. Enhanced resilience of ASAL livelihoods to the effects of drought and climate change.</li> <li>5. Institutions, mechanisms and capacities that build resilience to drought and climate change developed and strengthened.</li> <li>6. Robust ASAL institutions exist and support EDE investment, policy and programming decisions, based on critical evidence generated by solid knowledge management systems.</li> </ol>
<b>FOCUS AREA AND POPULATION</b>	Arid and semi-arid counties, approximately 15 million people (36% of the national population)
<b>CONTACT DETAILS</b>	<p>Chief Executive Officer</p> <p>National Drought Management Authority</p> <p>P.O. Box 53547-00200</p> <p>Nairobi</p> <p>Kenya</p> <p>info@ndma.go.ke</p> <p>www.ndma.go.ke</p>

# Acronyms

ADR	Alternative Dispute Resolution
ARC	African Risk Capacity
ARIS	Animal Resources Information System
ASALs	Arid and Semi-Arid Lands
ASDS	Agricultural Sector Development Strategy
ASF	ASAL Stakeholder Forum
AU	African Union
CA	Conservation Agriculture
CAADP	Comprehensive Africa Agriculture Development Programme
CBO	Community-Based Organisation
CBPP	Contagious Bovine Pleuro-Pneumonia
CCA	Climate Change Adaptation
CCK	Communications Commission of Kenya
CCPISP	County Climate-Proofed Infrastructure Support Programme
CCPP	Contagious Caprine Pleuro-Pneumonia
CCT	Conditional Cash Transfer
CDF	Constituency Development Fund
CEWARN	Conflict Early Warning and Response Mechanism
CEWERU	Conflict Early Warning and Response Unit
CFA	Cash for Assets
CGIAR	Consultative Group on International Agricultural Research
CHU	Community Health Unit
CIDP	County Integrated Development Plan
CLTS	Community-Led Total Sanitation
CMDRR	Community Managed Drought Risk Reduction
CoBRA	Community Based Resilience Analysis
CPD	Continuing Professional Development
CSG	County Steering Group
CSO	Civil Society Organisation
CSP	Conflict-Sensitive Programming
DDC	Drylands Development Centre
DLCI	Drylands Learning and Capacity Building Initiative
DPC	District Peace Committee
DRM	Drought Risk Management
DRR	Drought Risk Reduction
EAC	East African Community
ECD	Early Childhood Development
EDE	Ending Drought Emergencies
EFA	Education for All
EMIS	Education Management Information System
EWS	Early Warning System
FAO	Food and Agriculture Organisation
FFA	Food for Assets
FMD	Foot and Mouth Disease

FPE	Free Primary Education
GAP	Good Agricultural Practice
GDP	Gross Domestic Product
GER	Gross Enrolment Rate
HDI	Human Development Index
HFA	Hyogo Framework for Action
HGSMP	Home-Grown School Meals Programme
HMIS	Health Management Information System
HNRM	Holistic Natural Resource Management
HRH	Human Resources for Health
HSNP	Hunger Safety Net Programme
ICT	Information and Communication Technology
IDDRSI	IGAD Drought Disaster Resilience and Sustainability Initiative
IDPs	Internally Displaced Persons
IDS	Institute for Development Studies
IIED	International Institute for Environment and Development
IGAD	Inter-governmental Authority on Development
ILRI	International Livestock Research Institute
IPAR	Institute of Policy Analysis and Research
KARI	Kenya Agricultural Research Institute
KCA	Kenya Census of Agriculture
KDHS	Kenya Demographic and Health Survey
KeNHA	Kenya National Highways Authority
KeRRA	Kenya Rural Roads Authority
KESSP	Kenya Education Sector Support Programme
KFSM	Kenya Food Security Meeting
KFSSG	Kenya Food Security Steering Group
KIPPRA	Kenya Institute for Public Policy Research and Analysis
KNAP	Kenya National Action Plan on women, peace and security
KNBS	Kenya National Bureau of Statistics
KNFP	Kenya National Focal Point on Small Arms and Light Weapons
KPLC	Kenya Power and Lighting Company
KPR	Kenya Police Reserves (now the National Police Reserves)
KRBF	Kenya Roads Board Fund
KRDP	Kenya Rural Development Programme
LAPSSET	Lamu Port-South Sudan-Ethiopia Transport Corridor
M&E	Monitoring & Evaluation
MDGs	Millennium Development Goals
MIS	Management Information System
MoALF	Ministry of Agriculture, Livestock and Fisheries
MoEST	Ministry of Education, Science and Technology
MoH	Ministry of Health
MTP	Medium Term Plan
MW	Megawatt
NACONEK	National Council on Nomadic Education in Kenya
NCCAP	National Climate Change Action Plan
NCD	New Castle Disease



NCEWERS	National Conflict Early Warning and Early Response System
NDCF	National Drought Contingency Fund
NDMA	National Drought Management Authority
NEPAD	New Partnership for Africa's Development
NER	Net Enrolment Rate
NKIF	Northern Kenya Investment Fund
NoKET	Northern Kenya Education Trust
NRM	Natural Resource Management
NSC	National Steering Committee on Peacebuilding and Conflict Management (now the Peacebuilding and Conflict Management Directorate)
NSNP	National Safety Net Programme
O&M	Operation and Maintenance
OCHA	Office for the Coordination of Humanitarian Affairs
ODA	Official Development Assistance
ODL	Open and Distance Learning
ORS	Oral Rehydration Salts
PDNA	Post-Disaster Needs Assessment
PPG	Pastoralist Parliamentary Group
PPR	Peste des Petits Ruminants
PV	Photovoltaic
REA	Rural Electrification Authority
REGLAP	Regional Learning and Advocacy Programme
REP	Rural Electrification Programme
S&G	Sheep and goat (pox)
SALW	Small Arms and Light Weapons
SDG	Sustainable Development Goal
SFP	School Feeding Programme
SP	Social Protection
SRIC	Security, Research and Information Centre
TJRC	Truth, Justice and Reconciliation Commission
TSC	Teachers Service Commission
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UNISDR	United Nations International Strategy for Disaster Reduction
VGs	Voluntary Guidelines (on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security)
VSVP	Veterinary Surgeons and Veterinary Para-Professionals
WASH	Water, Sanitation and Hygiene
WESCOORD	Water and Environmental Sanitation Coordination
WFP	World Food Programme
WSB	Water Service Board
WSP	Water Service Provider
WSTF	Water Services Trust Fund
WHO	World Health Organisation

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Drylands Learning and Capacity Building Initiative	National Drought Management Authority
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European Investment Bank	United Nations Development Programme
European Union	National Drought Management Authority
European Union Humanitarian Aid and Civil Protection department	National Treasury
Food and Agriculture Organisation	Oxfam (representing the ASAL Alliance)
German Development Cooperation	Save the Children (representing the ASAL Alliance)
Global Peace Foundation	Security Research and Information Centre
Intergovernmental Authority on Development	United Nations Children's Fund (Kenya office)
IGAD Resilience Analysis Unit	United Nations Children's Fund (Regional Office for Eastern and Southern Africa)
International Fund for Agricultural Development	United Nations Development Programme
International Institute of Rural Reconstruction	United States Agency for International Development
	World Bank
	World Food Programme

# Statement by the National Government

Drought is the single most damaging natural hazard in Kenya, destroying lives and livelihoods and undermining national development. These impacts are likely to worsen with climate change. However, many of these costs could be avoided or significantly mitigated by reducing people's exposure and vulnerability to risk. This requires that adequate, cost-effective and appropriate measures are taken in advance of drought so that people's capacity to anticipate and withstand it is strengthened.

The Constitution places on the state obligations to protect the vulnerable and progressively realise a portfolio of rights, including the right to be free from hunger. Government policy is that droughts should not become disasters. The Government has therefore committed itself to ending drought emergencies in Kenya by 2022. This commitment is clearly spelt out in the Second Medium Term Plan (MTP) for the Vision 2030, in which Ending Drought Emergencies (EDE) is recognised as one of the key foundations for national development.

The EDE initiative reflects two significant changes in our understanding of drought emergencies in Kenya. The first is that they have their roots in poverty and vulnerability, and in the fact that Kenya's drought-prone areas are among those which have benefited least from past investment; drought emergencies

will not end until the essential foundations for development (principally security, infrastructure and human capital) are in place. The second is that drought emergencies are complex challenges which can only be managed by strong and competent institutions, able to draw on new streams of finance as well as the skills and resources of all actors.

This Common Programme Framework operationalises EDE commitments through an approach that strengthens collaboration and synergy across sectors, agencies and counties. Its aim is to improve the coherence and efficiency of interventions and thus increase their impact on the lives of vulnerable people. It has been developed with the full participation of the County Governments and our development partners. Its implementation will be steered and supported by the National Drought Management Authority under the Ministry of Devolution and Planning.

The Common Programme Framework for EDE is also the Government of Kenya's contribution to IGAD's Drought Disaster Resilience and Sustainability Initiative. Risks are rarely confined within national borders, making regional collaboration an essential part of drought management. Kenya is committed to playing its full part in the wider struggle to end drought emergencies across the Horn of Africa.



Anne Waiguru, OGW

Cabinet Secretary

Ministry of Devolution and Planning

# Statement by the County Governments

Devolution provides an unprecedented opportunity to end the suffering caused by drought. Among other things, devolved governance was introduced to bring services closer to citizens and to promote equitable development that also protects the rights of marginalised communities. Effective and accountable investment and service delivery by the County Governments will make a critical contribution to drought management efforts in Kenya.

The value of proximate service delivery has been illustrated by the drought of 2014-15, when the governments in affected counties took active steps to provide water, protect the health of livestock, scale up public health and nutrition services, and promote peace. More strategically, devolution is a means to address historical inequities in the distribution of public resources and enable previously marginalised regions to develop in ways that are more attuned to local priorities.

Their proximity and accountability to affected populations makes County Governments an important first responder in any crisis. Moreover, risks are often highly localised, which means that those working within devolved structures are likely to have a stronger understanding of needs on the ground and of the interventions most likely to protect communities at risk.

In the two years since the County Governments were established, each drought-affected county has developed a drought contingency plan; several of these plans have been activated as conditions worsened. Some counties are establishing dedicated funds for disaster response or climate adaptation, while others are introducing policy and legislation to guide drought and disaster management. There are also numerous initiatives to strengthen inter-county collaboration and coordination, since the impacts of drought, and the interventions required to manage it, are unlikely to be contained within the boundaries of a single county.

County Governments have been closely involved in the development of the Common Programme Framework for EDE and fully support its objectives. Several of the EDE pillars relate to functions which are now devolved (such as agriculture and disaster management), and investments in these areas are being progressively absorbed within the County Integrated Development Plans. However, the whole framework requires the collaboration and goodwill of government at both the national and the county level, and between counties. We are committed to working in ways which deepen this cooperation and thus deliver wider benefits for the people we serve.



H.E. Capt. Ali Ibrahim Roba  
Governor Mandera County and  
Chair ASAL Governors Council

# Statement by Development Partners

As development partners committed to poverty reduction and economic growth in arid and semi-arid counties of Kenya, we welcome this Common Programme Framework for EDE. We congratulate the government on developing a coherent framework that recognises the structural vulnerabilities of those living in these areas and articulates the priorities around which we can align our support.

For some years now we have recognised that the way in which we work has not always led to the changes we seek. Programmes and projects have tended to be developed in isolation from each other, and not always fully aligned with, or led by, Government. While their benefits may have been positive at the local level, they often have not been designed or delivered on a scale which allows them to leverage sustainable, transformative impacts over time. We therefore welcome this common framework for programming, implementation and learning, and believe that it provides a mechanism to achieve much greater impact on the lives of vulnerable people than if we each acted alone.

We believe that drought emergencies can only be sustainably addressed through a multi-sectoral and multi-agency approach that is strongly led and owned by government. A joint early response to repeated and predictable cycles of drought must

become an integral part of a longer-term strategy that progressively reduces people's chronic vulnerability to drought over time. The Common Programme Framework for EDE provides a mechanism to build these synergies, within which we are committed to working.

The Common Programme Framework is an example of a framework for resilience which international and humanitarian actors are adopting as an organizing concept for food security, disaster risk reduction and adaptation to climate change. It serves as a model for the country, region, and globally. It can also be supported by donors under emerging global platforms such as the UN Secretary General's Zero Hunger Initiative, the Sendai Framework for Disaster Risk Reduction and the UNFCCC climate change agreements.

We also recognise the significant policy and institutional reforms that have taken place in Kenya in recent years, particularly the advent of devolved governance. These reforms provide a strong enabling environment for drought risk management and dryland development. Our assistance will be provided in support of these reforms and of the institutions created to deliver them, so that the positive direction in which Kenya is moving can be sustained.



Annalisa Conte

Country Director

World Food Program and

Chair, ASAL Development Partners Group

# 1

## Introduction

“While droughts may be an unavoidable natural phenomenon in the Horn of Africa, their impact can be mitigated by human action. Droughts need not, and should not, lead to famine and other disasters.”

- NAIROBI STRATEGY, ARTICLE 7<sup>1</sup>

The 2010-11 crisis in the Horn of Africa proved to be a turning point in drought management. It generated a commitment from governments and their partners not just to improve their future response once drought arises but to address the challenge of growing vulnerability. This emphasis on the structural causes of drought emergencies is the principal point of departure from previous drought management efforts in Kenya.

In terms of both rainfall and the distribution of damages and losses, the drought of 2010-11 was less severe than that of 2009.<sup>2</sup> However, it brought into sharp relief the chronic vulnerability of people in Kenya’s arid and semi-arid lands (ASALs), particularly when exposed to multiple and simultaneous shocks (in this case drought, inflation and conflict), and the weaknesses of the institutions tasked with protecting them.

The Summit of Heads of State and Government in September 2011 coined the phrase ‘Ending Drought Emergencies’ (EDE) to capture a new sense of purpose. The paper presented there by the Government of Kenya signalled an important shift in policy, from one that relies on reacting to the effects of droughts as they arise, to one that actively seeks to reduce vulnerability and risk through sustainable development. This shift is based on two assumptions: first, that drought disasters are largely avoidable, and second, that droughts are having a greater impact now than they did in the past because underlying developmental challenges related to chronic poverty and inequality, insecurity, environmental pressures and climate change, are not being adequately addressed.

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<sup>1</sup>The Nairobi Strategy: Enhanced Partnership to Eradicate Drought Emergencies’, adopted at the Summit on the Horn of Africa Crisis, Nairobi, 9 September 2011

<sup>2</sup>Republic of Kenya (2012) ‘Kenya Post-Disaster Needs Assessment for the 2008-2011 Drought’.

The paper presented at the 2011 Summit has gradually evolved and deepened into a strategy that has been approved by the Cabinet, embedded within the national development plan (Kenya Vision 2030), adopted by key parts of both the national and the county governments, integrated within IGAD's broader regional strategy for resilience, and endorsed by development partners as a framework around which to align their assistance.

The Common Programme Framework to End Drought Emergencies is the product of a series of discussions between the Government of Kenya and its development partners which took place between October 2013 and August 2014.<sup>3</sup> (Annex 3 contains a summary of the process.) It represents the first phase of a ten-year programme to end drought emergencies by 2022. The Framework has three areas of emphasis: eliminating the conditions that perpetuate vulnerability, enhancing the productive potential of the region, and strengthening institutional capacity for effective risk management.

The Framework recognises the entitlements and opportunities with regard to drought risk management and development created by the Constitution of Kenya 2010. The Constitution obliges the state to equalise opportunity, protect the vulnerable, and progressively realise a portfolio of rights, including the right to be free from hunger. The content of the Framework is further rooted in the analysis and priorities of Sessional Paper No. 8 of 2012 on the National Policy for the Sustainable Development of Northern Kenya and other Arid Lands, and in the Vision 2030 Development Strategy for Northern Kenya and other Arid Lands. It is also consistent with, and will contribute to, the strategies for almost all the Medium Term Expenditure Framework sectors.

At the international level, successful implementation of the Framework's commitments will make a significant contribution to Kenya's achievement of global development goals. Negotiations are underway to define a new set of sustainable development goals (SDGs) post-2015. The EDE Framework is well aligned with the content of the latest draft, particularly the SDGs that concern ending hunger, reducing inequality, and promoting healthy lives, inclusive education, and resilient infrastructure. It is also consistent with the Sendai Framework for Disaster Risk Reduction.

Finally, the common programming approach is fully aligned with the various international commitments governing development cooperation and with Kenya's External Resources Policy of October 2013, specifically its requirements with regard to country ownership and leadership, mutual accountability, managing for development results, and stronger alignment and coordination of Official Development Assistance (ODA).

The EDE Common Programme Framework focuses on the 23 most drought-prone counties in Kenya. Its implementation will be led by the relevant parts of the national and county governments, working in ways that strengthen synergy between sectors and agencies and deepen accountability to drought-affected communities. Six complementary documents containing a detailed description of each pillar of the Framework are also available.<sup>4</sup>

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<sup>3</sup> The term 'development partners' in this context is understood to mean any organisation which has contributed to the process and is committed to working within the principles set out in the Statement of Intent (Annex 2).

<sup>4</sup> The pillars are Peace and Security, Climate-Proofed Infrastructure, Human Capital, Sustainable Livelihoods, Drought Risk Management, and Institutional Development and Knowledge Management.



# 2

## Purpose, justification and lessons learned

The purpose of the EDE Common Programme Framework is to facilitate cooperation and synergy across sectors, actors, geographical areas and levels of operation, so that programming is more coherent, coordinated and efficient. A common programming approach plays to the strengths of different agencies and instruments, and creates the possibility of layering or aggregating interventions that target the same or different population groups at different times and in different ways. The use of common programming in drought management is also an innovation on past practice.

A multi-sectoral approach to sustainable development is particularly important in the ASALs, owing to a number of distinctive features including remoteness, lack of infrastructure, and perennial drought (Table 1).

Strong multi-agency collaboration is also important for two particular reasons. First, the depth of inequality between many ASAL counties and the national average, particularly in access to basic infrastructure and services, is such that only a concerted and sustained effort over a long period of time by a critical mass of partners can reduce it. (This inequality is illustrated in section 3.) Second, the ASALs are now the object of increasing state and private sector interest, driven by the discovery of new natural resources and by an appreciation that the region's potential has been long overlooked. The growing number and diversity of actors reinforces the need for mechanisms that coordinate their interests and efforts.

In the specific context of risk management, common programming is a way of bridging previously separate disciplines. The artificial divide between 'humanitarian' and 'development' practice has been shown to make little sense in a region where communities are dealing with multiple and interlocking forms of disadvantage on a daily basis. Isolation, insecurity, weak economic integration, comparatively limited political leverage and a challenging natural environment combine to produce high levels of vulnerability and chronic poverty. When overlaid with the seasonal pressures of drought stress, and the longer-term impacts of climate change on food security and nutrition,<sup>5</sup> it

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<sup>5</sup> ACF-International (2014) 'Who Cares about the Impact of Climate Change on Hunger and Malnutrition?'



is clear that the most appropriate and cost-effective approach is one which attempts to understand and respond to these unpredictable and inter-related risks in a holistic and integrated manner.<sup>6</sup> Such an approach is now commonly conceptualised in terms of ‘resilience’ particularly, in the Horn and East Africa, since the 2011 Summit.<sup>7</sup>

Finally, a common programming approach is especially timely in Kenya as the country is going through a period of major institutional reform, including the devolution of authority to county governments. While these reforms are moving in a positive direction, they inevitably bring with them risks of fragmentation and inefficiency; there is also a tendency by new institutions to reinvent the wheel. A process that brings together the accumulated knowledge of many actors and sets out a single, shared agenda for action may help ensure coherence and sustain progress at a time when the operating environment is more fluid than usual.



Table 1: Operating context in the ASALs<sup>8</sup>

CHARACTERISTIC	EXAMPLES OF IMPLICATIONS FOR POLICY AND PRACTICE	RELEVANCE
A region remote from the centre, with limited infrastructure and services	<ul style="list-style-type: none"> <li>■ Incentives to attract investors and public servants</li> <li>■ Strategies to strengthen national cohesion</li> <li>■ More conscious efforts with public information and extension</li> </ul>	Northern Kenya
A dispersed population, scattered across a large area in relatively small settlements	<ul style="list-style-type: none"> <li>■ Higher per capita cost of service delivery</li> <li>■ Alternative approaches to extension and community organisation</li> <li>■ Potential for technology to bridge distance</li> </ul>	<ul style="list-style-type: none"> <li>■ Northern Kenya</li> <li>■ Some semi-arid counties</li> </ul>
A mobile population, for whom mobility is a rational response to environmental conditions	<ul style="list-style-type: none"> <li>■ Innovation in service delivery</li> <li>■ Accommodation within the design of national projects (census, surveys, elections)</li> <li>■ Negotiation of cross-border mobility</li> </ul>	All pastoralist counties (14 out of 23)
A social system which places a premium on communal patterns of decision-making and ownership, driven by customary institutions	<ul style="list-style-type: none"> <li>■ Decentralised management of land and natural resources</li> <li>■ Alternative or hybrid systems of justice</li> <li>■ Reconciliation of individual and group rights</li> </ul>	All pastoralist counties (14 out of 23)
An arid environment vulnerable to drought and climate impacts	<ul style="list-style-type: none"> <li>■ Investment in risk reduction, social protection and adaptation</li> <li>■ Effective environmental and social impact assessments</li> </ul>	All ASALs

<sup>6</sup> Cabot Venton, C. et al (2012) ‘The Economics of Early Response and Resilience’; Fitzgibbon, C. (2012) ‘The Economics of Early Response and Resilience: Kenya Country Report’, London: DFID

<sup>7</sup> Food Security Information Network (2013) ‘Resilience Measurement Principles: Toward an Agenda for Measurement Design’, Technical Series No. 1

<sup>8</sup> Source: Republic of Kenya (2012) ‘Vision 2030 Development Strategy for Northern Kenya and other Arid Lands’

# 3

## Situation analysis

### 3.1 Drought and development in the ASALs of Kenya

Drought is one of the biggest threats to the achievement of Kenya Vision 2030. If unchecked, it can cause substantial damage and losses to the health and well-being of people and to the stability and growth of the nation. Table 2 illustrates the scale of recent droughts in terms of the numbers of people affected and the levels of humanitarian expenditure. Between 2008 and 2011 the impacts of drought are estimated to have slowed GDP by an average of 2.8 per cent per annum, with total damage and losses estimated at US\$ 12.1 billion. Further, the highest values of per capita damage and losses were in areas where the Human Development Index is lowest.<sup>9</sup> Better management of drought is therefore critical to human and national development.

Droughts are clearly a national concern, but their direct impacts are most severe in the ASALs, where drought emergencies are a product of deeper vulnerabilities. In semi-arid counties, the viability of marginal agriculture is threatened by population growth, land pressure, climate change, different attitudes towards farming among young people, and an over-dependence on rain-fed production of varieties which are poorly adapted to drylands. In addition, little of the value of agricultural production is captured locally. In arid counties, prolonged under-investment in public goods – the basic foundations necessary for development and growth, such as security, infrastructure, and health and education – has left communities vulnerable to even minor shocks and has meant that the potential of the region's livestock economy has never been fulfilled.

The three most critical foundations for enhancing resilience to drought are security, infrastructure and human capital:

**1. Conflict and drought are mutually reinforcing.** Inter-communal competition over natural resources increases insecurity within Kenya and across its borders. Insecurity in turn increases vulnerability

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<sup>9</sup> Republic of Kenya (2012) 'Kenya Post-Disaster Needs Assessment for the 2008-2011 Drought'.

Table 2: The cost of drought events<sup>10</sup>

DROUGHT EVENT	NUMBERS OF PEOPLE AFFECTED (MILLIONS)	HUMANITARIAN AID (GOK & EXTERNAL, USD)
2011	3.75	427,400,000
2009	3.79	432,500,000
2006	2.97	197,000,000
2003-2004	2.23	219,100,000
1998-2001	3.20	287,500,000

Table 3: Inequalities in health and education<sup>14</sup>

INDICATOR	NATIONAL AVERAGE	ASAL EXAMPLE	
Girls' primary completion rate (%)	74.6	42.4	Marsabit
Female literacy (%)	69.0	9	Wajir
Vaccinated children, 12-23 months (%)	77.4	48.3	Northern Kenya
Population per doctor	25,000	143,000	Isiolo
Pupils per teacher	52	78.43	Turkana Central

to drought by impeding migration, curtailing access to services and resources, destroying assets, and damaging inter-communal relations.

**2. Infrastructure is a foundation for stability and economic development.** Lack of adequate infrastructure increases vulnerability to drought by limiting access to markets and basic services and by deterring the investment needed to expand and diversify the economy. Climate-proofing is necessary to protect infrastructure investments from the threats posed by drought and climate change.

**3. Educated and healthy people can draw on greater reserves of capital to withstand shocks.** Episodes of ill-health are the single biggest cause of people falling into poverty,<sup>11</sup> while each additional year of education of a household head has been shown to increase net income by 2.8%.<sup>12</sup> However, Table 3 shows how far many ASAL counties are from enjoying a level of service provision which makes this degree of protection possible. A child in an arid county is more than twice as likely as the average Kenyan child to live in a household that has insufficient income to cover basic nutritional requirements.<sup>13</sup>

These foundations of security, climate-proofed infrastructure and human capital have both intrinsic

and instrumental value, including their potential to deepen national cohesion, provide an enabling environment for investment, reduce the cost of doing business for both government and the private sector, and (with direct relevance to this Framework) strengthen the assets which are so essential

<sup>10</sup> Source: Fitzgibbon, C. and Crosskey, A. (2013) 'Disaster risk reduction management in the drylands in the Horn of Africa'. Brief prepared by a Technical Consortium hosted by CGIAR in partnership with the FAO Investment Centre. TC Brief 4. Nairobi: ILRI.

<sup>11</sup> Narayan, D. and Petesch, P. (2007) 'Moving out of Poverty', World Bank

<sup>12</sup> Homewood, K. et al (2009) 'Staying Maasai? Livelihoods, Conservation and Development in East African Rangelands', Springer Press, New York, cited in Fitzgibbon, C., 2012.

<sup>13</sup> UNICEF Kenya (2011) 'Northern Kenya Social Policy Data Survey', based on the Kenya Demographic and Health Survey, 2008-9

<sup>14</sup> Sources: Kenya Integrated Household Budget Survey, 2005-06; UNICEF Kenya (2011); Watkins, K. and Alemayehu, W. (2012) 'Financing for a Fairer, More Prosperous Kenya: A Review of the Public Spending Challenges and Options for Selected Arid and Semi-Arid Counties', Brookings' Center for Universal Education, Working Paper 6; UWEZO Kenya (2012) 'Annual Learning Assessment Report'.

**Box 1: Justification for, and benefits of, a permanent and specialist institution for drought management**

- **Drought is the principal hazard in Kenya:** the scale of damages and losses demands a substantive institutional response.
- **Drought is a constant threat:** a permanent institution provides the stability and space for continuous learning and improvement.
- **'Good' dryland development is key to reducing risk:** a permanent institution can influence development plans and budgets on an ongoing basis, regardless of prevailing drought conditions.
- **When droughts arise, swift and early action is key:** a state corporation has more financial and administrative flexibility than ministries or projects.
- **Many sectors and stakeholders are involved:** a single institution must lead and coordinate and be held accountable for this.
- **Above all, the suffering and loss from drought is largely preventable:** a specialist institution can develop the skills and resources to monitor and mitigate the effects of drought, well before crisis is reached.

**Box 2: Under-investment prior to devolution**

- In the health sector, the average vacancy rate in ten counties in Northern Kenya in 2012 was 24% (i.e. the disparity between the numbers of staff employed and the number of established posts).
- When assessed against WHO recommendations governing the proportion of health workers to population, the vacancy rate rose to 79%. The highest rates were in Mandera (93%), Turkana (85%) and Wajir (83%).
- In the education sector in 2012, 18 adult literacy teachers were posted to Mandera, where illiteracy is above 90%, while 93 adult literacy teachers were posted to Kiambu, where illiteracy is below 10%.
- In the livestock sector, staffing gaps in three districts of Turkana in 2008-12 ranged between 36% and 50%.
- In 2011/12 the livestock sector in Samburu North was allocated Kshs. 260,000 for the year (less than 3,000 US dollars). In 2012/13 the livestock budget in Mandera was Kshs. 50,000 per quarter, nicknamed 'Bamba 50' after one of the phone companies' low-denomination top-up cards. As soon as it came to power in 2013 the new Mandera County Government increased the livestock budget to Kshs. 1 billion.

to effective risk management and the reduction of vulnerability, and which build more sustainable and climate-resilient livelihoods. It is these foundations which will stimulate a wider range of livelihood opportunities for ASAL citizens, particularly those living in towns, since they are also prerequisites for private sector engagement and job creation.

The EDE strategy argues that the current pattern of investment in the ASALs – where the main form of public subsidy has been extensive and prolonged humanitarian aid – should be turned on its head and the region appropriately subsidised by investing in the foundations for poverty reduction and growth. These foundations are the focus of the first four pillars of the Common Programme Framework.

## 3.2 Institutional challenges and opportunities

In November 2011 the National Drought Management Authority (NDMA) was established as a permanent and specialist institution of government to manage drought and climate risks. Box 1 illustrates the opportunities presented by its creation. The Authority has led the development of this Framework and its constituent parts, and will oversee its implementation.

However, a much wider process of institutional transformation has been underway since the promulgation of the Constitution of Kenya 2010, of which the most significant development for the future of the ASALs is devolution. The Constitution provides for the sharing of power and resources between the national government and 47 county governments, thus giving space to regions previously marginalised to develop in ways that are more attuned to local priorities.

The inequitable distribution of public resources prior to devolution is well-documented (Box 2).<sup>15</sup> Devolution provides an unprecedented opportunity to reverse

<sup>15</sup> Sources: 1) Ministry of State for Development of Northern Kenya and other Arid Lands (MDNKOAL) and IntraHealth International (2012) 'Human Resources for Health (HRH) Assessment in Northern Kenya: An overview of health workforce distribution across 10 counties'. Nairobi: MDNKOAL. 2) FAO Kenya (2013) 'Capacity Needs and Gaps of Key Institutions Involved in Food Security Interventions in the ASALs Environment in Kenya', Policy Brief, October 2013. 3) NDMA (2014) 'Common Programming Frameworks: Consultative Meeting Report', Maanzoni, 7-9 April 2014

Table 4: Examples of institutional challenges in ending drought emergencies

NATIONAL	COUNTY	COMMUNITY
<ul style="list-style-type: none"> <li>■ Insufficient flexibility in planning &amp; resource allocation to accommodate the inherent variability of dryland systems.</li> <li>■ Lack of drought contingency finance undermines early response and forces reliance on budgetary re-allocations, which are slow to process and take resources away from long-term investment in resilience.</li> <li>■ Increasingly complex stakeholder environment with new coordination mechanisms still in development.</li> </ul>	<ul style="list-style-type: none"> <li>■ Devolution is in its early stages and counties are yet to be fully resourced and capacitated.</li> <li>■ Mechanisms to facilitate inter-county collaboration and action are critical to successful risk management but are still in their infancy.</li> <li>■ New tools and capacities are needed to design and manage the expansion and contraction of existing programmes in response to changing levels of risk.</li> </ul>	<ul style="list-style-type: none"> <li>■ Traditional structures, particularly those that manage conflict and ensure sustainable natural resource management, have been progressively weakened in recent decades but remain key to building resilience.<sup>18</sup></li> <li>■ Mechanisms that facilitate public participation and accountability at the county level are still at a formative stage.</li> <li>■ Multiplicity of similar demands on communities from different implementing agencies.</li> </ul>

this situation. The county governments have both the political mandate and the resources to make a substantial contribution to the EDE Common Programme Framework through their County Integrated Development Plans (CIDPs), particularly when complemented by national mechanisms such as the Equalisation Fund. The fact that drought management, which is so entwined with sustainable development, is now a shared responsibility of both levels of government, supported by their respective development partners, is reflected in the tripartite nature of this Framework.

The potential of the county governments as change agents is widely recognised, for example in the decision by humanitarian agencies to dispense with the regular Emergency Humanitarian Response Plan (EHRP) in favour of strengthening national- and county-level capacity in disaster management.<sup>16</sup> Since risks are often highly localised, devolved structures are in a stronger position to ensure effective social protection and risk management.<sup>17</sup> The Common Programme Framework seeks to reinforce and build on this potential.

However, there are significant capacity challenges facing institutions at all levels (Table 4). Some of these are generic, such as fulfilling constitutional principles of participation, equity, transparency and accountability in the planning and distribution of public resources. Others are specific to drought risk management, such as the need for new contingency and scalability mechanisms, and for

coordination structures which go beyond a concern with operational efficiency and aim to maximise complementarities between programmes and projects.

One particular challenge is communicating the fundamental shifts represented by the EDE in ways that strengthen both public and political commitment. For example, vulnerability is the product of structural factors that require far more than technocratic solutions. The chronic poverty and inequality that underpin vulnerability will only be removed through political reform. The Constitution provides many of the levers and institutional mechanisms that will make this reform possible, but effecting these changes will depend on building a broad base of public awareness and support.

These issues and others are the focus of the fifth and sixth pillars of the Common Programme Framework.

<sup>16</sup> '2014 Strategic Framework for Support to Humanitarian Preparedness and Response in Kenya'

<sup>17</sup> Bonfiglioli, A. and Watson, C. (2011) 'Bringing social protection down to earth: Integrating climate resilience and social protection for the most vulnerable', Paper presented at the international conference: 'Social Protection for Social Justice', IDS UK, 13-15 April 2011

<sup>18</sup> Ministry of State for Development of Northern Kenya and other Arid Lands, et al (2013) 'Resilience Assessment Reports' in five wards of Isiolo County.

# 4

## Programme framework

### 4.1 Overview

The purpose of the Common Programme Framework is to bring to life the Drought Risk Management and Ending Drought Emergencies Medium Term Plan II (EDE MTP II) for 2013-17. This was developed as part of the overall Kenya Vision 2030 MTP II which recognises EDE as one of the ‘foundations for national transformation’, or an enabler of development.

The EDE MTP II contains a select number of commitments that were negotiated with the relevant sectors as being those most likely to reduce vulnerability to drought. Since devolution, responsibility for delivering on these commitments is now shared between the national and the county governments, as illustrated in Figure 1. The EDE MTP II therefore contains three different types of intervention:

- Those delivered by the national government through its sector plans
- Those delivered by the county governments through their CIDPs
- Those implemented directly by the NDMA and its partners.

The interventions selected for the EDE MTP II reflect the two principal policy shifts of the EDE, i.e. those that strengthen either the foundations for development or the institutional capacities for drought risk management (Figure 2).

The Common Programme Framework builds on the EDE MTP II in three important ways:

1. It is the product of a deeper and longer process of negotiation between the principal parties (the national government, the county governments and development partners) and thus has updated and refined the original commitments in the EDE MTP II.
2. It identifies some critical programmatic interventions which will add value to the routine operations of the national and county governments in each sector, focusing in particular on opportunities and challenges that are unique to the ASALs.
3. It establishes an institutional framework for implementation, which coordinates action at the different levels and harmonises, where possible, the various sources of finance.



Figure 1: Relationship between EDE MTP II and national / county plans

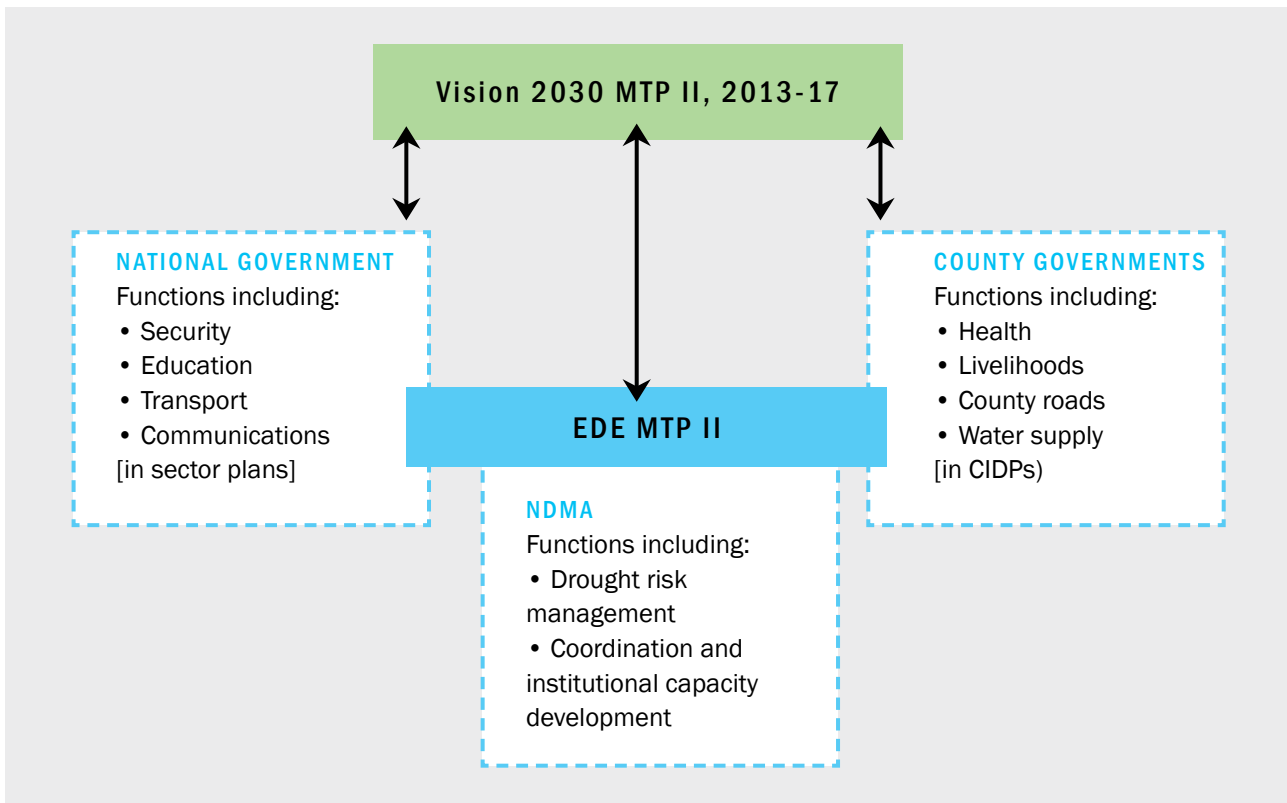
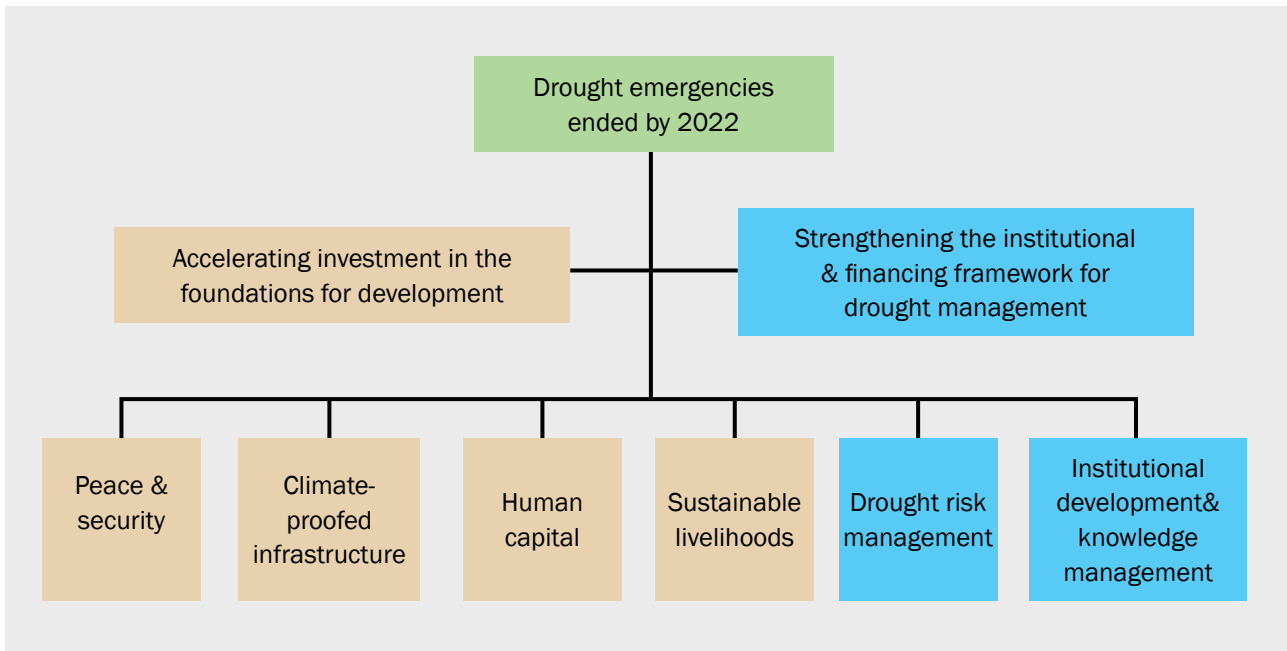


Figure 2: EDE Framework



Each of the pillars on which the Framework rests has its own common programme framework document and its own configuration of agencies interested in its agenda. Current and future projects will be aligned against these frameworks. Alignment will be facilitated by a Statement of Intent (Annex 2) and evaluated at two levels:

- Against the results framework of the relevant pillar(s), with clear evidence required of the contribution by the programme or project to a specific result area.
- Against the general principles that guide the EDE. These include:
  - Focusing on the structural causes of vulnerability to drought, including inequalities in power and resources
  - Strengthening devolved county governance
  - Collaborating with others through agreed coordination mechanisms
  - Aspiring to innovate and learn, and to take learning to scale
  - Integrating measures which allow programmes and services to scale up and down in response to drought conditions.

The next section summarises the content of each pillar, while a full description of each pillar is in sections 11-16.

## 4.2 EDE pillar frameworks

### 4.2.1 Peace and security

Peace and security are critical ingredients of development. Drought-prone communities cannot build their resilience to drought for as long as insecurity and violence persist. Despite the accumulation of substantial peace building experience in Kenya since the early 1990s, violent inter-communal conflict continues. A concerted effort is urgently needed, over a concentrated period, to bring this to an end.

This renewed effort must be comprehensive and inclusive, reinforcing the importance of a common strategy around which all stakeholders can align and

harmonise their efforts. Engagement must widen to include the four principal actors essential to successful peace building and conflict management (the Kenyan state, the political leadership, local communities, and neighbouring states and communities) as well as those working on new threats such as extractives and anti-terrorism. It must also recognise the critical role of the county governments in building peace and stability both within their counties and with neighbouring counties.

### 4.2.2 Climate-proofed infrastructure

One of the key findings of the Post-Disaster Needs Assessment for the 2008-11 drought period was that resilience to drought and climate change requires a multi-sectoral approach of which adequate infrastructure is a critical part. The infrastructure deficit in ASAL counties is large: they lag far behind the rest of the country in terms of the road network, average distances to water, household electricity connections, and mobile phone coverage. The cost of filling this deficit, for gravelled roads and medium-sized water retention structures alone, is an estimated Kshs. 170 billion.

The counties cannot fill this deficit alone. This pillar therefore provides a framework for harmonised resource mobilisation from the national government, county governments, development partners and the private sector. It focuses on the critical medium-sized infrastructure, whose size and design will withstand the effects of climate change, and which bridge community-level infrastructure investments (often provided through drought risk reduction projects) and the large-scale national flagship projects such as the Lamu Port South Sudan Ethiopia Transport (LAPSET) Corridor. The framework also provides for the progressive transfer of technical capacity to the county governments.

The priority sectors for direct investment under this framework are transport and water, since the private sector is already making a substantial contribution to the energy and ICT sectors. Some examples of the kind of investments that will be financed include rainwater harvesting structures that retain water through several seasons, and rural roads (such as graveling of new roads, construction of sealed roads, and spot repairs at impassable



Table 5: Summary of the peace and security framework

<b>OVERALL OUTCOME:</b>		
Effective response to peace and security threats in ASAL counties by a strengthened peace and security infrastructure.		
<b>COMPONENT 1:</b> Strengthening the infrastructure for response	<b>COMPONENT 2:</b> Reducing inter-community conflicts and security risks	<b>COMPONENT 3:</b> Mainstreaming peace building and community security in development
<b>RESULTS:</b>		
<ol style="list-style-type: none"> <li>1. Policy and legal frameworks approved and operationalised.</li> <li>2. National Peace Council and National Peace Fund established.</li> <li>3. Alternative Dispute Resolution mechanisms adopted by national and county governments.</li> <li>4. Inter-county structures to promote peace and resource-sharing established.</li> <li>5. County Policing Authorities in six border counties strengthened.</li> <li>6. Border management capacity in six counties strengthened.</li> <li>7. Regional peace architecture to promote cross-border peace-building and community security institutionalised.</li> </ol>	<ol style="list-style-type: none"> <li>1. Peace Forum, Peace Secretariat and Early Warning and Early Response hub established in 23 ASAL counties.</li> <li>2. Area-based and cross-border peace dividend and livelihood diversification projects targeting at-risk youths and reformed warriors implemented.</li> <li>3. Conflict sensitivity, mitigation and management mechanisms integrated into governance frameworks for extractive industries and natural resources.</li> </ol>	<ol style="list-style-type: none"> <li>1. Targeted training in conflict-sensitive approaches to development planning for state and non-state actors in 23 ASAL counties.</li> <li>2. Targeted training in collaborative leadership and problem-solving with political leaders at national and county levels.</li> <li>3. Conflict-sensitive programming principles integrated into national and county development plans.</li> <li>4. Economic analysis of the cost of conflict and disasters produced and disseminated.</li> <li>5. Lessons and recommendations from studies and research integrated into development plans &amp; programmes.</li> <li>6. Kenya National Action Plan on women, peace and security adopted and implemented in ASALs.</li> </ol>
<b>IMPLEMENTATION ARRANGEMENTS:</b>		
Leadership by the Peace Building and Conflict Management (PBCM) Directorate in the Ministry of Interior and Coordination of National Government working closely with County Governments.		
<b>FINANCING MECHANISMS:</b>		
Coordinated by the PBCM Directorate, with some funds managed through civil society organisations to ensure flexibility in the flow of finance.		
<b>TOTAL BUDGET: KSHS. 10,834 MILLION</b>		
Kshs. 9,561 m	Kshs. 1,120 m	Kshs. 153 m

Table 6: Summary of the climate-proofed infrastructure framework

<b>OVERALL OUTCOME:</b>	
The deficit of climate-proofed productive infrastructure and its maintenance is identified, planned and progressively addressed in a coordinated and comprehensive manner at national, county and community level.	
<b>COMPONENT 1:</b> National-level advocacy and coordination programme	<b>COMPONENT 2:</b> County ASAL climate-proofed infrastructure support programme
<b>RESULTS:</b>	
<ol style="list-style-type: none"> <li>1. Prioritisation of national infrastructure projects in ASALs improved</li> <li>2. Standard guidelines for climate-proofed design of ASAL infrastructure produced and integrated in current and future infrastructure projects at national, county and community levels.</li> </ol>	<ol style="list-style-type: none"> <li>1. County capacity to plan, contract and supervise implementation of climate-proofed infrastructure is progressively built.</li> <li>2. County capacity for infrastructure operation and maintenance is progressively built.</li> <li>3. The deficit of county climate-proofed productive infrastructure is progressively addressed in a coordinated and comprehensive manner.</li> </ol>
<b>IMPLEMENTATION ARRANGEMENTS:</b>	
County ASAL Infrastructure Support Programme, led by county governments and supported by a County ASAL Infrastructure Support Unit.	
<b>FINANCING MECHANISMS:</b>	
County ASAL Climate-proofed Infrastructure Programme with funding from the national government, county governments, development partners and the private sector.	
<b>TOTAL BUDGET: KSHS. 53,030 MILLION</b>	
Kshs. 230 m	Kshs. 52,800 m

sections). These investments will augment and add value to existing investments in ASAL infrastructure development planned by the sectors and contained in the sector plans and the EDE MTP II.

#### 4.2.3 Human capital

Educated and healthy people are better able to withstand shocks such as drought. Unfortunately the state of social services in ASAL counties is well below that of the rest of the country. Access is irregular and unreliable, and service provision is under-resourced, remote and of low quality. As a result, these counties have some of the lowest human development indicators in the country.

A common programme framework for human capital makes sense because the health, nutrition and education sectors face common challenges in

ASAL counties, and because health, nutrition and education outcomes are inextricably linked. A single framework creates opportunities for the integrated provision of services and for sharing evidence-based approaches to common challenges. Other areas of innovation include the use of surge mechanisms that expand and contract service provision during drought, and the application of technology to expand access to services and promote equity.

#### 4.2.4 Sustainable livelihoods

The overall goal of this pillar is to strengthen the resilience of livelihoods in arid and semi-arid counties to the effects of drought and climate change. This task is made more challenging by the deep-seated inequalities and vulnerabilities of the region, by the growing unpredictability of dryland

Table 7: Summary of the human capital framework

<b>OVERALL OUTCOME:</b>		
A more healthy, skilled, innovative, resourceful and motivated human capital in the ASALs.		
<b>COMPONENT 1:</b> Increasing the capacity and number of trained and experienced professionals	<b>COMPONENT 2:</b> Integrating alternative interventions in current systems	<b>COMPONENT 3:</b> Increasing community demand for equitable and quality services
<b>RESULTS:</b>		
<ol style="list-style-type: none"> <li>1. National Council on Nomadic Education in Kenya (NACONEK) established and operational.</li> <li>2. Health and Nutrition Council for ASALs established and operational.</li> <li>3. A harmonised inter-county approach developed to address staff recruitment, training and retention challenges in ASALs.</li> <li>4. Affirmative action measures to increase access and funding for students from ASALs in institutions of higher learning (secondary, tertiary, university).</li> <li>5. Appropriate health referral mechanisms for ASALs promoted.</li> </ol>	<ol style="list-style-type: none"> <li>1. E-health, including telemedicine, established in the ASALs.</li> <li>2. E-learning, distance education and continuing professional development specific for ASALs ongoing in partnership with universities and other training institutions.</li> <li>3. Real-time monitoring of social services during emergencies and knowledge management systems in place.</li> <li>4. Alternative interventions to increase community resilience to disasters modelled.</li> <li>5. Surge mechanisms for health and education systems, which expand and contract services in drought periods, developed.</li> </ol>	<ol style="list-style-type: none"> <li>1. Communities, including children, empowered and actively participating in the design and implementation of high-impact, low-cost social services, including social intelligence reporting.</li> <li>2. Community health services and mobile/integrated health and education outreach services funded and operational.</li> <li>3. Annual / semi-annual exchange programmes for communities from different counties to increase their capacity for resilience-building funded and operational.</li> <li>4. A fund for conditional cash transfers for health and education services for vulnerable populations established.</li> </ol>
<b>IMPLEMENTATION ARRANGEMENTS:</b>		
Leadership by the National Steering Committee for the human capital pillar, working closely with a County Human Capital Group (a sub-committee of the County EDE Steering Committee), and with NACONEK and the proposed ASAL Health and Nutrition Council.		
<b>FINANCING MECHANISMS:</b>		
Fund flow coordinated by the National Steering Committee, with financing through two mechanisms: a) existing sector-wide approach funding mechanisms within the two ministries, or b) direct through partners.		
<b>TOTAL BUDGET: KSHS. 15,849 MILLION</b>		
Kshs. 4,731 m	Kshs. 10,575 m	Kshs. 543 m

environments and economies, and by institutional weaknesses at all levels.

Devolution presents a unique opportunity to reverse historical biases in public policy and investment and to promote a range of livelihood options which are more attuned to the distinct realities of the ASALs. The region has a comparative advantage in livestock production, although a more diverse

range of livelihood activities is now being pursued, particularly by those living in or near settlements. Underpinning all ASAL development, even for those in urban areas, is the critical importance of sustainable natural resource management. This framework provides a common strategy around which all stakeholders can harmonise their interventions in support of sustainable livelihoods in ASALs.

Table 8: Summary of the sustainable livelihoods framework

<b>OVERALL OUTCOME:</b>	
Enhanced resilience of ASAL livelihoods to the effects of drought and climate change.	
<b>COMPONENT 1:</b> Increased contribution of livestock to the pastoral economy	<b>COMPONENT 2:</b> Sustainable management of rangeland, water and crops for ASAL livelihoods
<b>RESULTS:</b>	
1. Increased income from and consumption of livestock and livestock products: <ul style="list-style-type: none"> <li>a. Improved animal production and health.</li> <li>b. Improved market linkages and private sector investment in livestock.</li> <li>c. Increased efficiency of value chains for emerging livestock (incl fish, poultry &amp; bees).</li> </ul>	1. Improved management of water, crops and rangeland resources: <ul style="list-style-type: none"> <li>a. Improved governance of land tenure.</li> <li>b. Improved natural resource management.</li> <li>c. Increased water use efficiency in agricultural production</li> </ul>
<b>IMPLEMENTATION ARRANGEMENTS:</b>	
<p><b>Decision-making:</b> oversight by the Council of Governors and relevant Cabinet Secretaries.</p> <p><b>Facilitation:</b> technical county cluster groups, comprising County Executives responsible for matters of crops, livestock and fisheries (or their representatives) review proposals submitted to the Council of Governors and build synergy between counties in a cluster.</p> <p><b>Implementation:</b> County Ministries of Agriculture.</p> <p><b>Coordination:</b> existing national and county structures.</p>	
<b>FINANCING MECHANISMS:</b>	
The mandate of the Livestock Offtake Fund, which has already been gazetted, will be widened to encompass this programme. Disbursements from the Fund will be overseen by the Council of Governors and by the Cabinet Secretaries for Agriculture, Livestock and Fisheries and for Devolution and Planning.	
<b>TOTAL BUDGET: KSHS. 40,020 MILLION</b>	
Kshs. 15,660 m	Kshs. 24,360

### 4.2.5 Drought risk management

There is a symbiotic relationship between drought risk management and almost every other sector. On the one hand, failure to manage drought risks has far-reaching effects, including on environmental sustainability, nutritional status, educational opportunity, social relations (particularly gender roles), political stability, inequality, and economic growth. On the other hand, effective action by all these sectors – and particularly their capacity to scale their services up or down in response to

changing need – is an essential foundation of drought risk management.

Although not yet fully embedded in day-to-day practice, a paradigm shift in drought risk management is underway, incorporating mechanisms that ensure earlier response, the scalability of existing services, market-based approaches, and stronger complementarity of interventions across separate disciplines (such as drought risk reduction, climate change adaptation and social protection). With its emphasis on the integration of drought risk reduction in policy, planning and implementation,

Table 9: Summary of the drought risk management framework

<b>OVERALL OUTCOME:</b>		
Institutions, mechanisms and capacities that build resilience to drought and climate change developed and strengthened.		
<b>COMPONENT 1:</b> Drought risk and vulnerability reduction	<b>COMPONENT 2:</b> Drought early warning and early response	<b>COMPONENT 3:</b> Institutional capacity for drought and climate resilience
<b>RESULTS:</b>		
1. Drought risk reduction, climate change adaptation and social protection measures integrated into development policies, plans, budgets and activities at national and county levels.	1. Drought, climate and socio-economic information facilitate concerted and timely action by relevant stakeholders at county, national and regional levels. 2. Scalability and response mechanisms ensure timely and well-coordinated assistance to drought-affected populations.	1. Institutional and legal frameworks for drought risk reduction and climate change adaptation exist at all levels with adequate capacity. 2. Knowledge is effectively managed to ensure evidence-based decision-making and practice.
<b>IMPLEMENTATION ARRANGEMENTS:</b>		
<p><b>Decision-making:</b> NDMA</p> <p><b>Implementation:</b> NDMA and state-non-state partners, particularly county governments.</p> <p><b>Coordination &amp; harmonisation:</b> existing structures, plus new practitioner networks in drought risk reduction, climate change adaptation and social protection to promote harmonisation of approaches.</p>		
<b>FINANCING MECHANISMS:</b>		
<p><b>Component 1:</b> Progressive alignment of finance against CMDRR/climate change adaptation plans, with harmonised financing mechanism defined by end of MTP II. Existing Hunger Safety Net Programme infrastructure.</p> <p><b>Components 2 and 3:</b> NDMA systems.</p>		
<b>TOTAL BUDGET: KSHS. 45,598 MILLION</b>		
Kshs. 40,176m	Kshs. 5,217m	Kshs. 205m

and on stronger institutional capacity, this pillar is closely aligned with the Sendai Framework for Disaster Risk Reduction.<sup>19</sup>

#### 4.2.6 Institutional development and knowledge management

The purpose of this pillar is to ensure that there is a supportive enabling environment for the EDE and thus to strengthen delivery and impact. It will supply the evidence base for decision-making, facilitate coordinated and high-quality interventions, promote synergy between the six pillars of the EDE, monitor

and evaluate progress towards the goal of ending drought emergencies by 2022, ensure accountability to relevant public institutions, and provide oversight of the EDE as a whole. One specific outcome from the work of this pillar will be the integration of EDE commitments within the third Medium Term Plan for Kenya Vision 2030, for the period 2018-22.

<sup>19</sup> The Sendai Framework was agreed in March 2015 in Sendai, Japan, and builds on the previous Hyogo Framework for Action 2005-2015.

Table 10: Summary of the institutional development and knowledge management framework

<b>OVERALL OUTCOME:</b>	
Enhanced resilience of ASAL livelihoods to the effects of drought and climate change.	
<b>COMPONENT 1:</b> Institutional development	<b>COMPONENT 2:</b> Knowledge management
<b>RESULTS:</b>	
<ol style="list-style-type: none"> <li>1. Priority ASAL development institutions established and/or strengthened.</li> <li>2. Management and accountability structures for the EDE operationalised.</li> <li>3. Evidence-based policy and legal reforms that facilitate achievement of the EDE goal secured.</li> <li>4. EDE priorities appropriately mainstreamed within the Kenya Vision 2030 MTP III.</li> </ol>	<ol style="list-style-type: none"> <li>1. Evidence-based policy and investment choices made by EDE stakeholders at different levels supported, and the development of the EDE MTP III informed.</li> <li>2. Impact of Kenya's progress towards the 10-year EDE goal assessed.</li> <li>3. Public and stakeholder awareness of, and identification with, the EDE increased, and wider understanding built of the conditions necessary to achieve drought resilience in Kenya.</li> </ol>
<b>IMPLEMENTATION ARRANGEMENTS:</b>	
<p><b>Decision-making and coordination:</b> NDMA (EDE Secretariat).</p> <p><b>Facilitation:</b> two specialist sub-groups, one for each component, which will provide technical support and use their national and international networks to engage other partners.</p> <p><b>Implementation:</b> variety of state and non-state partners.</p>	
<b>FINANCING MECHANISMS:</b>	
Coordinated through the EDE Secretariat in the NDMA.	
<b>TOTAL BUDGET: KSHS. 2,305 MILLION</b>	
Kshs. 593 m	Kshs. 1,712 m

# 5

## Cross-cutting issues and inter-pillar linkages

### 5.1 Cross cutting issues

The following issues, and their implications for drought risk management, are considered by all pillars.

#### Gender

- Drought vulnerability is significantly influenced by social systems and by cultural values and practices, since these determine access to, ownership of, and control over resources and the benefits accruing from them.
- Women's subordinate position in society, and their diminished access to information, education and training, affects their participation in decision-making and public life. Some customary practices and beliefs, such as early marriage, wife inheritance and property inheritance, may increase their vulnerability. In circumstances where women and men have equal access to productive resources, control over those resources is usually vested in men.
- Despite their multiple burdens, women have proved their capacity for effective collective action at the local level, and shown that investment in their empowerment generates positive multiplier effects across communities in ways that improve human welfare.<sup>20</sup>

#### Child rights and young people

- Those most likely to be affected by drought include the youngest children, who are dependent on adults for their survival, the children of poor mothers and female-headed households, and vulnerable out-of-school adolescents.
- Many households resort to harmful coping strategies during drought. The EDE pillar on drought risk management includes a commitment to develop guidelines on child-focused drought risk management and a stronger system for child protection in drought emergencies.

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<sup>20</sup> Coppock, D. et al (2013) 'Cross-Border Interaction Spurs Innovation and Hope among Pastoral and Agro-Pastoral Women of Ethiopia and Kenya', *Rangelands*, 35 (6): 22-28.

- Ageing is traditionally associated with increasing political authority, but these norms are being challenged. Urbanised young people may have different values and aspirations from their parents and rural age-mates. For those who complete their education there are few jobs or other economic opportunities, but also little possibility of returning to livelihoods such as pastoralism from which the education system has distanced them.

### **Sustainability**

- The reforms required to end drought emergencies require commitment beyond the life-span of a normal programme or project. The ten-year timeframe of the EDE strategy, of which this Common Programme Framework represents the first part, allows for sustained investment over time.
- Environmental sustainability is directly addressed by the pillar on sustainable livelihoods, and indirectly by the pillars on peace and security, climate-proofed infrastructure, and drought risk management.
- Political sustainability beyond the next electoral transition in 2017/18 will be critical to maintaining momentum towards the EDE's 10-year goal. This will be a particular focus of the sixth pillar of the framework, specifically its work on strengthening institutions and public engagement.

### **Research, technology & innovation**

- The pillar on human capital explicitly recognises the potential of technology and innovation to improve the reach and relevance of basic services.
- The pillar on sustainable livelihoods recognises the importance of integrating indigenous knowledge in areas of ecology, medicine and animal health into programming.
- The sixth pillar focuses directly on research and knowledge management, and the integration of new knowledge into the work of the other pillars.

## **5.2 Inter-pillar linkages**

The integrated EDE framework makes it possible to appreciate and reinforce the links between the various pillars, some of which are illustrated in Table 11. The results delivered by each pillar are important not just in their own terms (for example, in fulfilling basic rights) but because they have a bearing on the impact of the other pillars. The interconnectedness of the pillars highlights the need for collaborative planning, resource mobilisation, monitoring and impact assessment, which the coordination structures described in section 9 will address.



Table 11: Examples of multiplier effects across pillars

	PEACE & SECURITY	CLIMATE-PROOFED INFRASTRUCTURE	HUMAN CAPITAL	SUSTAINABLE LIVELIHOODS	DROUGHT RISK MANAGEMENT
PEACE & SECURITY		Peace improves the feasibility of capital investment.	Fear of conflict keeps children from school and health centres closed.	Insecurity limits trade and exchange.	Insecurity constrains mobility and access to productive resources.
CLIMATE-PROOFED INFRASTRUCTURE	Infrastructure investments improve stability by connecting and integrating communities.		Better infrastructure facilitates service delivery, including by improving the working environment for professionals.	Better infrastructure is a foundation for economic growth and a prerequisite for private sector engagement.	Better infrastructure facilitates the flow of information and services and reduces the cost of response.
HUMAN CAPITAL	Education expands the choices open to young people vulnerable to radicalisation.	Health promotion maximises the impact of investments in water. Literacy maximises the impact of ICT.		Productive livelihoods require a skilled and healthy workforce. Education expands options and opportunities.	Nutrition-sensitive programmes reduce vulnerability to drought. The education system can be an effective vehicle for drought messages.
SUSTAINABLE LIVELIHOODS	Food security contributes to the wider goal of human security.	Economic growth generates revenue to invest in infrastructure priorities.	Higher incomes create surpluses to invest in education and protect against ill-health.		Income diversification spreads risk.
DROUGHT RISK MANAGEMENT	Timely response to drought reduces inter-communal tension.	Better risk management improves investor confidence.	Lower expenditure on humanitarian aid frees up funds for long-term investment.	Better risk management protects assets against loss.	

# 6

## Risk management

The principle risks associated with the Common Programme Framework, and the measures being taken to mitigate them, are shown in Table 12.

Table 12: Risks and mitigating measures

RISK	MITIGATING MEASURES
1. Slow progress in implementing devolved governance, given the critical contribution of the county governments to the success of this Framework.	<ul style="list-style-type: none"> <li>■ The Framework provides a mechanism through which to leverage additional resources in support of county capacity development.</li> <li>■ The EDE initiative is strategically located in the Ministry of Devolution and Planning.</li> </ul>
2. Insecurity and instability in the operating environment, whether directly in ASAL counties or more generally in Kenya.	<ul style="list-style-type: none"> <li>■ The first pillar of the Framework is focused specifically on peace and security.</li> <li>■ Some of the key institutions that are the focus of the sixth pillar, such as the Pastoralist Parliamentary Group, can contribute to building peace and stability.</li> </ul>
3. Capacity to implement interventions, and absorb the level of finance involved, on the scale required.	<ul style="list-style-type: none"> <li>■ Each pillar includes some investment in capacity development, while the sixth pillar focuses directly on this.</li> <li>■ Planning and implementation of the Framework is integrated within the mainstream planning and resource allocation systems of government, rather than separate from them.</li> </ul>
4. Change in government policies and priorities with regard to ASAL development and drought resilience.	<ul style="list-style-type: none"> <li>■ The EDE MTP III will be developed before the end of the lifespan of this Framework and its approval secured as part of the Kenya Vision 2030 MTP III.</li> <li>■ The EDE National Steering Committee will ensure adequate understanding of, and commitment to, EDE priorities within relevant sectors.</li> </ul>
5. Change in donor policies and priorities with regard to ASAL development and drought resilience.	<ul style="list-style-type: none"> <li>■ Strong impact monitoring and evaluation will generate evidence of progress and justification for continued investment.</li> <li>■ Continuity of government commitment, expressed in the priorities communicated to donors, will facilitate continued alignment against EDE priorities.</li> </ul>
6. Common programming does not lead to appreciable improvements in levels of harmonisation, with agencies continuing to act independently.	<ul style="list-style-type: none"> <li>■ The EDE National and County Steering Committees will ensure progressive adoption of harmonised approaches, to the extent compatible with individual agency policies and priorities.</li> <li>■ All signatories to the Framework (Annex 2) will endeavour to ensure continued commitment to its principles and goals.</li> </ul>

# 7

## Monitoring and evaluation

The sixth pillar describes the actions needed to ensure effective monitoring and evaluation of the Common Programme Framework. This will focus on two key issues:

- Progress being made towards the 10-year goal of ending drought emergencies, measured by the indicators for the overall EDE outcome (Annex 1).
- Progress being made by each pillar of the EDE against the outcome indicators in its results framework.

Responsibility for monitoring and evaluating individual programmes and projects that contribute to the outcomes of each pillar rests with the implementing agencies concerned. Operational guidance on monitoring and evaluation will be provided by the EDE Secretariat in the NDMA.

Monitoring and evaluation of the EDE is likely to face the following challenges:

- Limitations in the data currently available, which may not be sufficiently disaggregated, nor fully reliable and accessible.
- Clearer articulation of the impact pathway over the long term. This Framework is based on an assumption that at minimum, increased resilience requires improvements in basic human development, hence the priority being given to education, health and nutrition, security and infrastructure, as well as to more effective institutional action. The link between improved human development and the ultimate goal of ending drought emergencies (and the more distant goal of drought resilience) needs further elaboration.
- Attribution will be complex, given the number of stakeholders involved and the number of variables affecting outcomes.
- Long-term mechanisms for monitoring and impact assessment, since the changes required to reduce vulnerability and build resilience are likely to be seen on a much longer timescale than normal project monitoring permits.

Monitoring and evaluation will be carried out in ways which promote shared learning and reinforce the responsibilities and capacities of the county governments to achieve their CIDPs. The selection



of indicators should be aligned with those in the relevant pillar results frameworks and in the CIDPs. Data will be disaggregated by gender and age where relevant. The targets and timeframes for each indicator in the results frameworks will be agreed with partners within the first six months of

implementation. Progress reports will be provided to the EDE Secretariat and to the county authorities at least every six months. Data and information generated through monitoring and evaluation processes will be made publicly available in line with protocols established by the NDMA.

# 8

## Knowledge management

The scale and scope of the EDE – which is multi-agency, multi-sectoral, multi-year and multi-county – makes it a highly knowledge-rich initiative. Strong systems will be needed to ensure that the large amounts of information likely to be generated are used effectively to guide decision-making and practice, and that the wealth of experience and knowledge is appropriately managed and applied.

For this reason, the sixth EDE pillar has an explicit focus on knowledge management which is spearheaded by a technical sub-group that draws on expertise from within Kenya, the Horn of Africa region and internationally. This sub-group will not only service the needs of the EDE and its constituent pillars, it will also apply the principles of common programming to the fields of knowledge management and technical assistance, ensuring that initiatives in these areas are appropriately coordinated and aligned.

It will be through the work of the sixth pillar and its technical sub-group that the lessons from Kenya's EDE experience will be fed into wider regional and global debates on drought resilience and drought risk management.

# 9

## Institutional arrangements

### 9.1 Core institutional framework

The core institutional arrangements for the Common Programme Framework are described in Figure 3. The key elements include:

- **Inter-Governmental Forum:** this is the apex body, chaired by the President and attended by the Governors from drought-prone counties. It provides political direction to the EDE within the framework of the Intergovernmental Relations Act, 2012.
- **Inter-Governmental Committee:** this is chaired by the Cabinet Secretary with responsibility for drought management in Kenya and attended by Cabinet Secretaries from the national government and Governors from counties covered by the EDE. It meets twice a year to ensure strategic coordination between the two governments.
- **National EDE Steering Committee:** this is chaired by the NDMA. Its members include the government chair and development partner co-chair of each pillar, as well as other co-opted members. The government chairs ensure links to the relevant sectors and ministries. It meets every quarter to provide operational oversight of the EDE as a whole and ensure progress towards the 10-year goal. The national committee is replicated in purpose and membership by a parallel structure at the county level, whose precise title and modalities are determined by the Governors.
- **EDE Secretariat:** this is located in the NDMA, which is the focal point in government for the EDE. It will service the Inter-Governmental Forum and the Inter-Governmental Committee on EDE matters, and the national EDE Steering Committee; lead implementation of the sixth common programme framework on institutional development and knowledge management; work with the national and county governments and inter-governmental bodies (IGAD and the East African Community) to ensure that EDE commitments are appropriately integrated in planning and resource allocation at all levels, including in the Kenya Vision 2030 MTP III; and document and share lessons from the EDE in relevant forums and networks, both within Kenya and internationally.

There are four primary functions in delivering the Common Programme Framework:

**1. Implementation:** overall responsibility for financing and delivering both the long-term investments in drought and climate resilience, and the more immediate mitigation, response and recovery interventions needed at times of drought stress, rests with the implementing entities in the relevant sectors, whether at the national or the county level.

**2. Coordination:**

a. Political coordination takes place in the Inter-Governmental Committee and the (less frequent) Inter-Governmental Forum, where national and county governments come together to provide political leadership and direction.

b. Technical coordination is provided by an EDE Steering Committee at both the national and the county levels, in which the interests of the different pillars, and of both state and non-state actors, are represented.

**3. Facilitation:** the NDMA, with its mandate for leadership and coordination of all matters relating to drought management in Kenya, provides the secretariat to both the national and county steering committees. It therefore has a dual role as both implementer (of the drought risk management pillar) and facilitator (by providing the secretariat to the overall process).

**4. Oversight:** the Common Programme Framework is accountable to the relevant oversight bodies at both the national and the county levels, in the normal way. These include those providing political oversight (the National Assembly, the Senate and the County Assemblies) and fiscal oversight (such as the Auditor-General).

Figure 3 (see following page) is only illustrative at the county level and below. Each County Government will determine the structures relevant to its context, but within some common principles:

- That successful implementation and monitoring of the Common Programme Framework will

require a structure at the county level which brings together those responsible for all six pillars;

- That community-level structures for drought risk reduction and climate change adaptation be linked with the mainstream county structures for planning and resource allocation (at the ward-level), in order to promote stronger accountability and harmonise efforts.

## 9.2 Partnership

The core framework described in Figure 3 is part of a wider network of partnerships that connect a variety of actors at different levels.

### Inter-county linkages

The effects of drought are rarely confined within administrative boundaries. Each pillar of the Common Programme Framework includes a number of interventions which will have more impact if planned and implemented by neighbouring counties working together (Table 13). Inter-county collaboration will be key to success and is already starting to happen, as neighbouring county governments begin to meet to tackle common challenges. All the EDE pillars include some mechanisms for facilitating and strengthening inter-county action, while the sixth pillar is responsible for ensuring that inter-county forums are adequately supported and operating effectively.

### Regional linkages

The EDE Common Programme Framework represents Kenya's contribution to the wider Horn of Africa initiative on drought resilience: the IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI). The NDMA is the focal point for IDDRSI in Kenya, and will be responsible for ensuring Kenya's active participation at the regional level. The National EDE Steering Committee doubles as Kenya's national platform for IDDRSI.

Figure 3: Core institutional framework for EDE

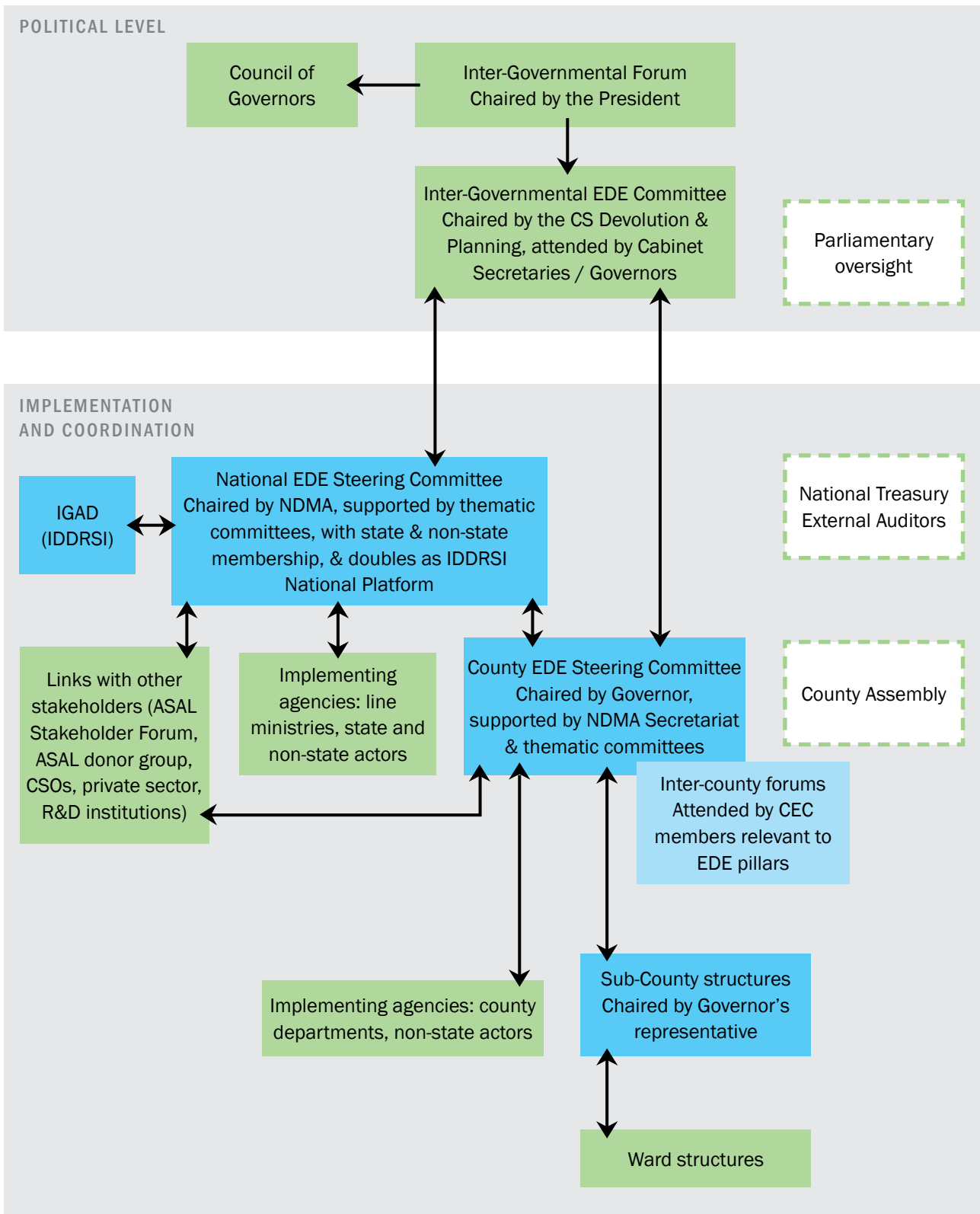




Table 13: Examples of inter-county action by pillar

PILLAR	EXAMPLES OF INTER-COUNTY ACTION
Peace and security	<ul style="list-style-type: none"> <li>■ Promoting peaceful utilisation of dry season grazing in border areas</li> <li>■ Shared social amenities along borders and migration corridors</li> <li>■ Joint advocacy and action for peace</li> <li>■ Inter-county strategy and institutions</li> </ul>
Climate-proofed infrastructure	<ul style="list-style-type: none"> <li>■ Joint planning of large-scale infrastructure that affects multiple counties</li> <li>■ Inter-county agreements to manage shared assets (natural, commercial)</li> <li>■ Pooling of specialist technical expertise between counties</li> </ul>
Human capital	<ul style="list-style-type: none"> <li>■ Joint planning and servicing of tertiary institutions that serve multiple counties</li> <li>■ Harmonisation of affirmative action and admissions policies for students from neighbouring counties</li> <li>■ Synchronised planning of services such as immunisation</li> </ul>
Sustainable livelihoods	<ul style="list-style-type: none"> <li>■ Harmonised policies and plans in areas such as disease surveillance, marketing, and environmental management</li> <li>■ Facilitation of inter-county mobility</li> <li>■ Co-ownership of large-scale assets (such as abattoirs)</li> <li>■ Promotion of commodities supported by this pillar</li> </ul>
Drought risk management	<ul style="list-style-type: none"> <li>■ Inter-county contingency plans to manage common risks</li> <li>■ Joint assessments</li> <li>■ Harmonised approaches to community-based drought risk reduction and climate change adaptation</li> </ul>
Institutional development and knowledge management	<ul style="list-style-type: none"> <li>■ Joint learning and peer review</li> <li>■ Inter-county coordination mechanism</li> <li>■ Joint advocacy on issues of shared concern</li> </ul>

### Political leadership

The EDE has a ten-year goal to end drought emergencies by 2022. A critical challenge will be to sustain commitment to this goal through the next political transition in 2017/18. The Pastoralist Parliamentary Group (PPG) is committed to ensuring full operationalisation of the ASAL Policy as part of its strategic plan for 2014-17. It is therefore a key partner in mobilising support for ASAL institutions and the EDE as a whole, and is one of the focus institutions in the sixth pillar. The PPG is a recognised group within Parliament which was formed to mainstream pastoralists’ agenda within the national political process. It can mobilise the county political leadership through the new Pastoralist Leaders Forum (where elected leaders at the national and county levels come together), as well as the larger group of ASAL parliamentarians.

### Development partners

After the Nairobi Summit in September 2011 a number of international organisations came together to create the Global Alliance for Action for Drought Resilience and Growth. This is an informal network of development partners concerned about climate resilience in both the Horn and West Africa and committed to strengthening inter-agency understanding, communication and harmonisation.

The formation of the Global Alliance reflected a general shift in donor priorities towards drylands. In the past, more resources were directed towards humanitarian response, much of this in the form of food aid. Now, there is more interest in reducing vulnerability and risk and in building the long-term resilience of communities in drought-prone areas. There is also more evidence of innovation,

for example in the use of cash rather than food, and in developing new modalities for intervention and finance.

In Kenya, the principles behind the Global Alliance have taken the concrete form of an ASAL Development Partners Group. This first met in December 2012 and provides a platform where bilateral and multilateral agencies working in the ASALs can coordinate their contributions to the EDE Common Programme Framework and deepen the alignment and harmonisation of their activities, in line with the principles of good practice in development cooperation. Members of the group co-chair the various pillar working groups (Annex 3) and are members of the National EDE Steering Committee.

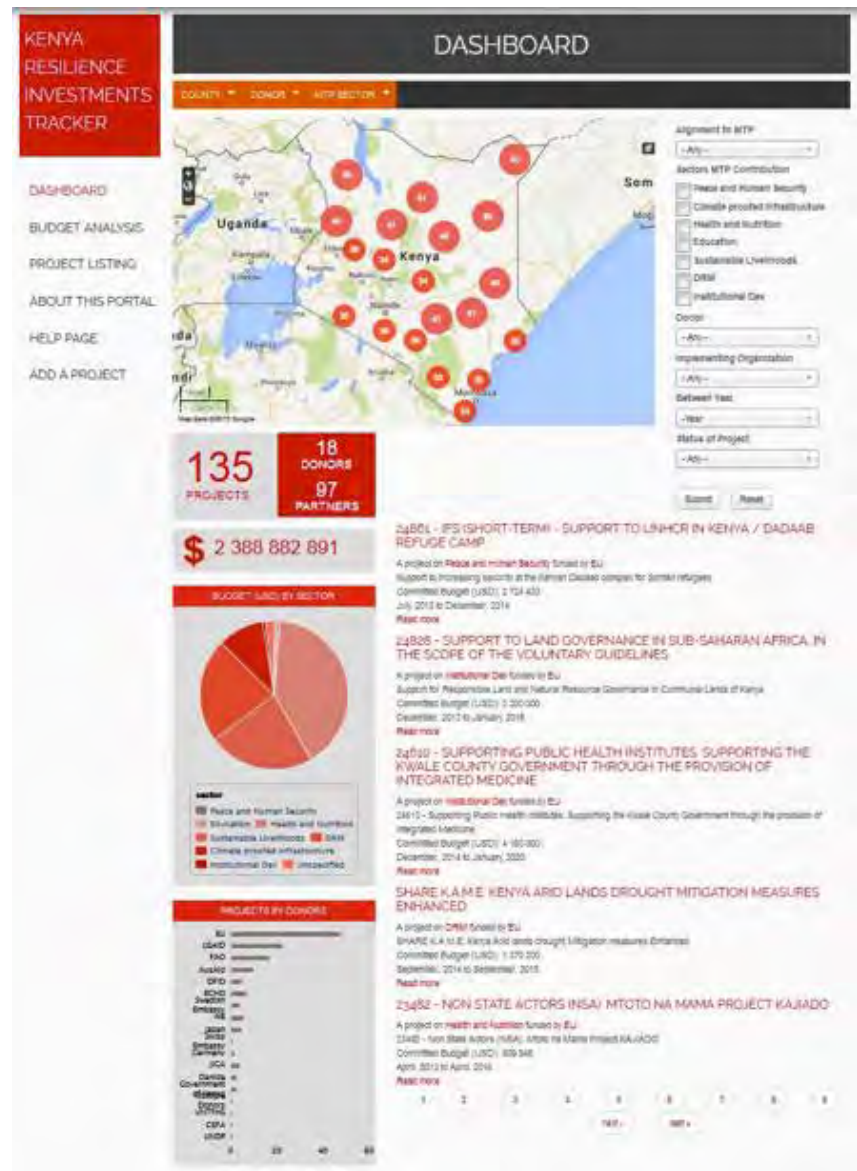
The group has also mapped current and planned donor investment against the pillars of the Common Programme Framework using the online tool in Figure 4. The data is now being expanded to include all investment, including from the national and county governments.

Harmonisation within the UN system is facilitated by the UN Development Assistance Framework (UNDAF) for 2014-2018, which is a mechanism to foster cooperation, coordination and coherence between UN agencies and the government. All four strategic results of the UNDAF will contribute to the EDE.

**Non-state actors and the private sector**

The ASAL Stakeholder Forum (ASF) is an emerging platform for all stakeholders working in ASAL counties. It is one of the focus institutions in the sixth pillar and will be represented in relevant coordination mechanisms. The ASF's county forums

Figure 4: Online investment tracking tool for the EDE



will strengthen public accountability at the county level and facilitate public participation in policy and programme development by both the national and the county governments.

Private sector organisations have a substantial contribution to make to several of the pillars, particularly climate-proofed infrastructure, human capital, and sustainable livelihoods. The private sector will also benefit from the investments made under this Framework, since the foundations for drought resilience are also those which will improve the enabling environment for investment and growth.

Table 14 shows the summary budget for the Common Programme Framework. Detailed budgets for each pillar are in the respective framework documents. The total funds required for the first phase (until June 2018) are Kshs. 167,636 million.<sup>21</sup>

Table 14: EDE Common Programme Framework, 2014-18

PILLAR	TOTAL BUDGET (KSHS M)	NOTES
Peace and security	10,834	Approximately one-third of the budget is already secured from the national government and development partners.
Climate-proofed infrastructure	53,030	Each party is likely to contribute as follows: 23% (county governments), 24% (national government), 44% (development partners) and 9% (private sector). A significant part of this budget is not yet secured and is a priority for resource mobilisation.
Human capital	15,849	A proportion of the total is covered by the education and health sector budgets. Additional funds are likely to be required for areas of innovation and to address issues currently under-served by the mainstream sectors.
Sustainable livelihoods	40,020	A substantial amount of this budget will be covered either by county budgets or by recently approved projects under the agriculture sector which are co-funded by the national government and development partners.
Drought risk management	45,598	Approximately 37% of the budget is secured and a further 52% is likely to be secured. The government contribution will be in the region of 25%.
Institutional development and knowledge management	2,305	Of the total budget, approximately one-quarter is allocated to knowledge management and three-quarters to institutional development.
<b>TOTAL</b>	<b>167,636</b>	

<sup>21</sup> The budget for the infrastructure pillar is for a six-year period, since this framework is designed with an initial phase of six years and an extension phase of four years.

# 10

## Resources



The budget for each pillar is an estimate of the resources required to deliver the agreed results. It does not necessarily represent 'new' money, since the frameworks consolidate and align existing interventions as well as introduce new ones.

Each of the pillars will be financed by contributions from the national government, the county governments, development partners and the private sector. The precise contributions of each of these will be defined within the first six months of implementation, particularly for those pillars, such as human capital and sustainable livelihoods, where responsibilities are largely devolved. However, some general principles will be applied:

- National and county contributions will be made from existing sector budgets (in effect aligning existing interventions and commitments against

the EDE) or from additional resources raised.

- County government contributions will be made only from secured budgets.
- Development partners' contributions will be kept at a level consistent with the aim of avoiding donor dependency and reinforcing national ownership.
- Contributions by the private sector are expected to grow during the life of the programme as their engagement with the EDE expands.

Each pillar has its own financing criteria and systems for managing the flow of funds, while the sixth pillar on institutional development and knowledge management will maintain oversight of resource mobilisation and allocation for the EDE as a whole.

# 11

## Pillar 1: Peace and Security

### Key data

<b>COUNTRY</b>	Kenya
<b>TITLE</b>	Common Programme Framework for Ending Drought Emergencies: Peace and Security
<b>DURATION</b>	July 2014 – June 2018
<b>TOTAL BUDGET</b>	Kshs. 10,834 million
<b>OVERALL OUTCOME</b>	Effective response to peace and security threats in ASAL counties by a strengthened peace and security infrastructure.
<b>EXPECTED RESULTS</b>	<ol style="list-style-type: none"><li>1. Peace infrastructure to respond to conflicts and security risks enhanced.</li><li>2. Inter-community conflicts and security risks reduced.</li><li>3. Peacebuilding and community security mainstreamed in the development agenda.</li></ol>
<b>FOCUS AREA AND POPULATION</b>	Arid and semi-arid counties, approximately 15 million people (36% of the national population)
<b>CONTACT DETAILS</b>	<b>Principal Secretary</b> , Ministry of Interior and Coordination of National Government Peacebuilding & Conflict Management (PBCM/NSC) Directorate P.O. Box 30510-00100 Nairobi, Kenya info@nscpeace.go.ke, www.nscpeace.go.ke

### 11.1 Executive summary

This is the first of six common programme frameworks that have been developed to operationalise the Ending Drought Emergencies (EDE) Medium Term Plan, which is an integral part of the Kenya Vision 2030 Second Medium Term Plan for 2013-17.<sup>22</sup>

Peace and security are critical ingredients of development: the goals of Kenya Vision 2030 cannot be achieved and sustained without a peaceful, stable and secure environment. Equally, drought-prone communities cannot build their resilience to drought for as long as insecurity and violence persist. For these reasons, the peace and security pillar is a critical foundation of the EDE initiative.

There is a long history of successful peacebuilding and conflict management in Kenya. There are also new openings being created through the governance reform process to ensure that this experience can be more effectively and consistently applied. Devolution is a key part of these reforms, but it brings both opportunities and risks, reinforcing the important role of the county governments in building a more secure and stable country.

This framework provides a common strategy around which all stakeholders can renew their efforts to end the insecurity and violence which has plagued the arid and semi-arid lands (ASALs) for too long. It has three components: strengthening the infrastructure for response, reducing the risk of inter-community conflict, and mainstreaming peacebuilding and conflict management within the development process. The framework consolidates and deepens past practice in peace building and conflict management by integrating peace and security structures in the devolved authorities, enhancing collaborative leadership at the political level, addressing the specific situation of women and youth, and taking account of emerging potential drivers of conflicts, such as extractives.

Implementation of the framework will be led by the Peacebuilding and Conflict Management Directorate in the Ministry of Interior and Coordination of National Government, working closely with county governments and other state and non-state partners. The total budget is Kshs. 10,834 million.

<sup>22</sup> The others are on climate-proofed infrastructure, human capital, sustainable livelihoods, drought risk management, and institutional development and knowledge management.



## 11.2 Situation analysis

### 11.2.1 Sector analysis

Drought and insecurity are mutually reinforcing. The scarcity of water and pasture experienced during drought periods, and the inter-communal competition over natural resources that results, whether within the pastoral system, between pastoralists and farmers, or between people and wildlife, increases insecurity within Kenya and across its borders. These stresses are overlaid on other drivers of conflict, such as the subdivision and commercialisation of rangelands, or boundary disputes exacerbated by competitive politics or the discovery of new resources. Equally, insecurity increases vulnerability to drought, by impeding migration, curtailing access to services and resources, destroying assets, and damaging inter-communal relations.

Successful management of conflict in the ASALs is undermined by the proliferation of small arms and their easy movement across borders (at least 500,000 weapons are thought to be in illegal hands in Kenya), poorly harmonised disarmament policies in the IGAD region, and weak surveillance of long and porous borders. However, insecurity and violence in the ASALs are also products of the wider governance challenges facing the country.

Kenya's peace and security landscape is characterised by a myriad of conflict drivers, including ethno-political competition for power, poverty and youth unemployment, radicalisation, transnational crime, terrorism, and the proliferation of small arms and light weapons. Efforts to strengthen national cohesion and integration have also slowed. Despite the peaceful conduct of the March 2013 general elections and subsequent political transition, voting patterns confirmed the dominant influence of ethnicity and regionalism that continues to fragment and polarise the country, increasing the competition for power and resources which can lead to violence.

Although insecurity remains a major national challenge and continues to impose huge burdens on society, the country has taken some important steps towards peace and stability. The Constitution of Kenya 2010 provides for a people-centred

constitutional order that addresses long-standing political, social and economic imbalances that have undermined development and national cohesion. Devolution is a key component of these reforms. Further, the security sector has made progress in a number of areas, including modernising the security infrastructure, enhancing policing and refocusing it to be more intelligence-led, improving the welfare of security officers, and integrating the data needed for effective security management.

There is also an overarching peace and security architecture in place, which functions at all levels of governance and integrates both traditional and modern mechanisms of dispute resolution. One of these mechanisms is the hybrid multi-stakeholder model of the District Peace Committee (DPC). There are now more than 200 of these sub-county peace committees which have their roots in the successful peacebuilding experience of north-eastern Kenya in the early 1990s. They have since been recognised and supported by the government, including the security apparatus, and by communities, civil society and development partners. The DPCs have been the entry point for a variety of initiatives, including inter-community dialogue and voluntary disarmament.

In 2001 the National Steering Committee on Peacebuilding and Conflict Management (NSC) was established in the Office of the President, now the Ministry of the Interior and Coordination of National Government. It is responsible for coordinating all peace-related activities, although its operations are currently hampered by inadequate government funding which is unlikely to improve until the policy and legal framework has been finalised.

The NSC doubles as Kenya's Conflict Early Warning and Response Unit (CEWERU) for implementation of the CEWARN Protocol, to which IGAD member states acceded in 2002. CEWARN has approved a new strategy for 2012-19 which extends its jurisdiction beyond its existing cross-border conflict clusters, and beyond pastoral conflicts, to the country as a whole. The NSC has developed a National Action Plan to implement the CEWARN strategy, with which this framework is closely aligned.

## 11.2.2 Critical issues to address

### Institutional challenges

There are critical gaps in the institutional, policy and legal frameworks for peacebuilding and conflict management. These include:

- Key policies are still in draft, or are approved but not yet implemented.
- Adequate funding of the Peacebuilding and Conflict Management (PBCM) Directorate is pending approval of the Sessional Paper and Bill on Peacebuilding and Conflict Management. Funding for peacebuilding and conflict management is limited to very few donors.
- The security agencies are over-stretched and under-resourced, with inadequate capacity to ensure a timely and effective response to security emergencies.
- New integrated approaches to security management are needed, founded on a collaborative relationship between the security agencies and the public, and which adopt new approaches to long-standing challenges such as citizen disarmament.
- New structures are needed which recognise the cluster-based nature of inter-communal conflict and facilitate inter-county peace activities across administrative boundaries.
- Cross-border structures with neighbouring countries need strengthening and institutionalising.
- The Kenya Police Reserves (KPR – now the National Police Reserves) need fully integrating within the mainstream security system.
- Delays in implementing the recommendations of the report of the Truth, Justice and Reconciliation Commission (TJRC) since its release in May 2013 and in actualising land reforms mean that some of the persistent structural drivers of violence are not yet being addressed.
- While positive in its direction, the reform process in Kenya also brings new challenges, such as ensuring that the new counties are governed in a way which is inclusive of minority interests, and that the inevitable institutional conflict at this early stage of devolution between the national

and county governments over the allocation of functions and the distribution of finance is quickly and peacefully resolved.

### Poverty, unemployment and radicalisation

Although there is no inevitable link between poverty and radicalisation, high rates of unemployment and persistent inequality may reinforce feelings of grievance and make young people in particular more susceptible to being drawn into criminal behaviour. More recently there has been a rise in efforts to indoctrinate young people from poor families into extremist views and violence, particularly in the north-east and coast.

### Resource-based conflict

Conflict over natural resources is common across the ASALs. More recently this has been exacerbated by disputes over political or administrative boundaries and by the sophistication of weapons and criminal networks. Resource-based conflict may become more serious and unpredictable in future as the impact of climate change deepens. However, there are positive examples of peaceful resource-sharing between groups which can be learned from and built on. Failure to manage resource-based conflict has significant consequences for drought risk management, since large areas of land may be abandoned from fear of violence.

New forms of resource conflict threaten to destabilise the ASALs still further. The discovery of commercially viable deposits of oil and other minerals presents a significant threat to the security of the region, particularly in a context of historical grievance and under-development, and where large numbers of illicit small arms remain in circulation.

### Human-wildlife conflict

Population growth and livelihood pressures in ASAL counties have led to the creation and expansion of informal settlements along wildlife migration corridors and seasonal wildlife dispersal areas. This can cause environmental degradation, encroachment into the reserves and insecurity in the tourism sector. At the same time, communities have incurred heavy losses to their lives and livelihoods from direct attacks by wildlife foraging in their areas. Conflict between people and wildlife is a particular concern in semi-arid counties where

many of the conservancies and private ranches are concentrated. For example, 62% of Taita Taveta is covered by national parks and 13% by private ranches. The growth in community conservancies is one response to these twin challenges, offering a model of wildlife management outside the reserves that also delivers economic benefits to local populations.

### Internal displacement

The situation of internally displaced people (IDPs) in pastoralist areas is a growing concern but a largely hidden phenomenon, given the misplaced assumption that nomadic people cannot become forcibly displaced. Pastoralist IDPs may be defined as those who have lost access to their habitual pastoralist living space as a result of conflict, drought or other shocks but who have not crossed an internally recognised border.<sup>23</sup> Conflict is not the only driver of displacement, which may be the result of other processes of impoverishment. However, it is an important factor in the overall mix of shocks and stresses which conflict management mechanisms should address.

### Small arms

Kenya has ratified the Nairobi Protocol for the Prevention, Control and Reduction of Small Arms and Light Weapons (SALW) in the Great Lakes Region and Horn of Africa. In an effort to implement the Nairobi Protocol, the government has also established the Kenya National Focal Point on Small Arms and Light Weapons (KNFP) which has since adopted a National Action Plan to address the issue of small arms in Kenya. However, the National Policy on Small Arms and Light Weapons is yet to be approved, and citizen disarmament remains a critical challenge.

### Semi-arid counties

Much of the focus on peace building and conflict management in ASALs has tended to be in arid and pastoral counties. Semi-arid counties also face significant challenges, illustrated in Box 3, but less attention is being given to them. The geographical expansion of CEWARN's strategy is a positive development in this regard.

### Regional collaboration

From Uganda to Somalia, Kenya's long northern

#### Box 3: Examples of security challenges facing semi-arid counties

- In-migration from arid areas into semi-arid areas, particularly during drought.
- Human-wildlife conflict.
- Charcoal: urban populations are growing and leading to rising demand.
- Terrorism and radicalisation, particularly at the Coast, and human trafficking.
- Contested boundaries and land disputes.
- Internally displaced people and squatters.
- Drugs and alcoholism, for which conflict provides a source of revenue.
- Potential conflict over minerals, and between small miners and larger companies.

border divides pastoralist groups which share social and productive resources. Mobility across these borders is essential for production, trade and risk management. However, political instability persists in several neighbouring countries, especially Somalia and South Sudan. The presence of the state in border areas is weak, allowing the flow of small arms and light weapons to continue. Strong cross-border partnerships, between both states and communities, are therefore an essential part of successful peacebuilding and conflict management within Kenya.

### 11.2.3 Justification for the common programme

Despite the accumulation of substantial peace building experience among many actors, and despite the successes in managing conflict particularly in north-eastern Kenya since the early 1990s, violent inter-communal conflict continues. A concerted effort is urgently needed, over a concentrated period, to bring this to an end. The lessons from other parts of the world, where insecurity in remote border regions has been ignored, are all too clear.

<sup>23</sup> IDMC and Norwegian Refugee Council (2014) 'On the Margin: Kenya's Pastoralists'.



This renewed effort must be comprehensive and inclusive, thus reinforcing the importance of a common strategy around which all stakeholders can align and harmonise their efforts. Its scope must also widen and deepen to encompass the following:

- The four principal actors essential to successful peace building and conflict management, i.e. the Kenyan state, the political leadership, local communities, and neighbouring states and communities.
- The critical role of the new county governments in building peace and stability both within their counties and with neighbouring counties, and the opportunities offered by devolved government for more responsive policy development and action.
- Those working on issues that present new threats, such as the extractives sector and anti-terrorism.
- Strategies that respond to the specific needs of women and youth in situations of insecurity and conflict and strengthen their participation in peace building.
- Effective mechanisms that operate across administrative boundaries, recognising the fluid and cluster-based nature of conflict.
- Effective coordination between state and non-state actors.

### 11.2.4 Contribution to relevant policies and sector priorities

The government has formulated a number of

policies relevant to peace and security which are at different stages of approval (Table 15). This common programme framework is consistent with, and will contribute to, these policy documents.

## 11.3 Programme framework

This document provides a collaborative framework for the national and county governments and other stakeholders, both within Kenya and the wider IGAD region, to ensure a more effective response to peace and security threats in ASAL counties. It has three components: 1) strengthening the infrastructure for response, 2) reducing the risk of inter-community conflict, and 3) mainstreaming peacebuilding and conflict management within the development process.

### Result 1: Peace infrastructure to respond to conflicts and security risks enhanced

This component will support the national and county governments to establish and implement policies, mechanisms and frameworks that reinforce cohesion, reconciliation and security and ensure an effective response to conflict. It will deliver the following results:

1. Policy and legal frameworks on National Peacebuilding and Conflict Management, Small Arms and Light Weapons, and National Police Reserves, approved and operationalised.
2. National Peace Council and National Peace Fund established.

Table 15: Status of policy documents

National Peacebuilding and Conflict Management Policy	Approved in 2012. The Sessional Paper is now before Parliament, which will provide a legal framework to anchor the policy.
Sessional Paper on National Values	Approved.
National Policy on Cohesion	Awaiting parliamentary approval.
National Policy on Small Arms and Light Weapons	Draft: at an advanced stage of approval.
National Policy on Ethnic Relations and Race Policy Framework	Draft: at an advanced stage of approval.
Community Policing Policy	Reviewed to incorporate the Nyumba Kumi initiative.

3. Alternative Dispute Resolution (ADR) and traditional conflict resolution mechanisms adopted by national and county governments.
4. Inter-county structures to promote peace and resource-sharing established.
5. County Policing Authorities in six border counties (Garissa, Wajir, Mandera, Marsabit, West Pokot and Turkana) strengthened.
6. Border management capacity in Garissa, Wajir, Mandera, Marsabit, West Pokot and Turkana counties strengthened.
7. Regional peace architecture to promote cross-border peace-building and community security institutionalised.

## Result 2: Inter-community conflicts and security risks reduced

This component will support the county governments in particular to reduce the risk of inter-community conflict, by establishing the necessary institutions at the county level, by implementing projects that target at-risk youth or that reward peace, and by addressing the risks presented by new challenges related to natural resources. It will deliver the following results:

1. County Peace Forum, County Peace Secretariat and County Early Warning and Early Response hub established and operational in 23 ASAL counties.
2. Area-based and cross-border peace dividend and livelihood diversification projects targeting at-risk youths and reformed warriors in hotspot and border counties implemented.
3. Conflict sensitivity, conflict mitigation and conflict management mechanisms integrated into governance frameworks for extractive industries and natural resources.

## Result 3: Peacebuilding and community security mainstreamed in the development agenda

Peace, security, development and human rights are interlinked and mutually reinforcing. This component will support the mainstreaming of conflict-sensitive programming and the principles of inclusivity,

non-discrimination and public participation within development plans and programmes at the national and county levels. It will deliver the following results:

1. Targeted training in conflict-sensitive approaches to development planning for state and non-state actors in 23 ASAL counties.
2. Targeted training in collaborative leadership and problem-solving with political leaders at national and county levels.
3. Conflict-sensitive programming (CSP) principles integrated into national and county development plans.
4. Economic analysis of the cost of conflict and disasters produced and disseminated.
5. Lessons and recommendations from studies and research on peace-building and conflict-related issues disseminated and integrated into development plans and programmes.
6. Kenya National Action Plan on women, peace and security adopted and implemented in ASALs.
7. Mainstreaming of cohesion and integration in socialisation structures (schools, churches, mosques etc) supported at national and county levels.

## 11.4 Cross-cutting issues

### 11.4.1 Gender and diversity

This framework is guided by the relevant provisions of the Constitution with regard to gender and diversity and those of UN Security Council Resolution 1325 on Women and Peace and Security. It will support the adoption and implementation of Kenya's National Action Plan on Women, Peace and Security.

Insecurity and violence have specific impacts on women and girls, while women also play a critical role in the prevention and resolution of conflict. Each component of the framework will seek to enhance women's role and contribution to peace building and conflict management, and ensure gender-disaggregated monitoring of progress and impacts.

### 11.4.2 Sustainability

The emphasis of this framework on institutionalising structures for peace building and conflict management within systems of governance at all levels – community, county, inter-county, national and regional – is an important part of ensuring a sustainable response to security challenges.

### 11.4.3 Links with other EDE pillars

The effectiveness of the peace and security pillar will have a significant impact on the effectiveness of all the other pillars: climate-proofed infrastructure, human capital, sustainable livelihoods and drought risk management. Insecurity undermines investment, it keeps children from school and health centres closed, it limits trade and exchange, and it constrains mobility and access to productive resources.

Conversely, the work of the other pillars will also reinforce this pillar: infrastructure investments can improve stability by connecting and integrating communities, education expands the choices open to young people vulnerable to radicalisation, food security contributes to the wider goal of human security, and timely response to drought reduces inter-communal tension.

## 11.5 Risk management

The principle risks associated with this framework, and the measures being taken to mitigate them, are shown in Table 16.

## 11.6 Institutional arrangements

### 11.6.1 Programme management and implementation

Implementation of this framework will be spearheaded by the Peacebuilding and Conflict Management Directorate in the Ministry of Interior and Coordination of National Government in collaboration with the County Governments. The new county and inter-county structures established by the framework will be at the forefront of implementation, which will also involve the independent commissions and other government agencies, private sector or civil society organisations, and regional bodies. The active participation of women and youth will be a key consideration in the process of establishing and supporting these structures.

Table 16: Risks and mitigating measures

RISK	MITIGATING MEASURES
1 Inadequate financial resources for peacebuilding and conflict management, and particularly for operationalising the new structures.	<ul style="list-style-type: none"> <li>■ An early conclusion to the policy approval process will leverage additional resources for the new peacebuilding structures.</li> <li>■ Resource mobilisation for this framework will include cost-sharing between the national and county governments, as well as approaches to new development partners, including the private sector.</li> </ul>
2 Weak political leadership undermines conflict prevention and community security.	<ul style="list-style-type: none"> <li>■ A close partnership will be built with the Pastoralist Parliamentary Group (PPG), which has prioritised peace and security in its strategic plan. Among other things, the PPG is committed to developing a Code of Conduct for the pastoralist leadership at both national and county levels.</li> <li>■ The third component of this framework includes the provision of training for national and county political leaders in collaborative leadership and problem-solving approaches.</li> </ul>
3 Insecurity in neighbouring states that has impacts on Kenya.	<ul style="list-style-type: none"> <li>■ The first component of this framework includes collaboration with regional organisations (particularly IGAD) to strengthen and institutionalise the regional architecture for peacebuilding, as well as measures to strengthen Kenya’s border management.</li> </ul>



County governments are already meeting on a cluster basis to address shared risks, and are planning joint interventions such as social amenities along migration corridors, inter-county rapid response mechanisms, and action to resolve boundary disputes. The sixth pillar of the EDE, on institutional development and knowledge management, is responsible for ensuring that inter-county structures are adequately supported and operating effectively.

Existing cross-border mechanisms and relationships facilitated through IGAD will also be strengthened.

### 11.6.2 Coordination mechanisms

Coordination and oversight of the activities implemented under this framework is the responsibility of the Peace Building and Conflict Management Directorate, illustrated in Figure 5.

Partnerships, and participation in coordination mechanisms, will be expanded to include the institutions responsible for managing new threats to security and development, including the Ministry of Mining, the Ministry of Industrialisation and Enterprise Development, the Ministry of Devolution and Planning, and civil society organisations and platforms active in these areas.

### 11.6.3 Monitoring and evaluation

As part of its oversight responsibility, the Peace Building and Conflict Management Directorate will ensure that appropriate monitoring, evaluation and

reporting mechanisms are in place and applied by all implementing partners. This will be done within the framework of the overall monitoring and evaluation systems for the EDE Common Programme Framework, which will be designed, facilitated and supported by its sixth pillar. The targets and timeframes for each indicator in the results framework (Annex 1) will be agreed with partners within the first six months of implementation and will be appropriately disaggregated by gender and age.

## 11.7 Resources

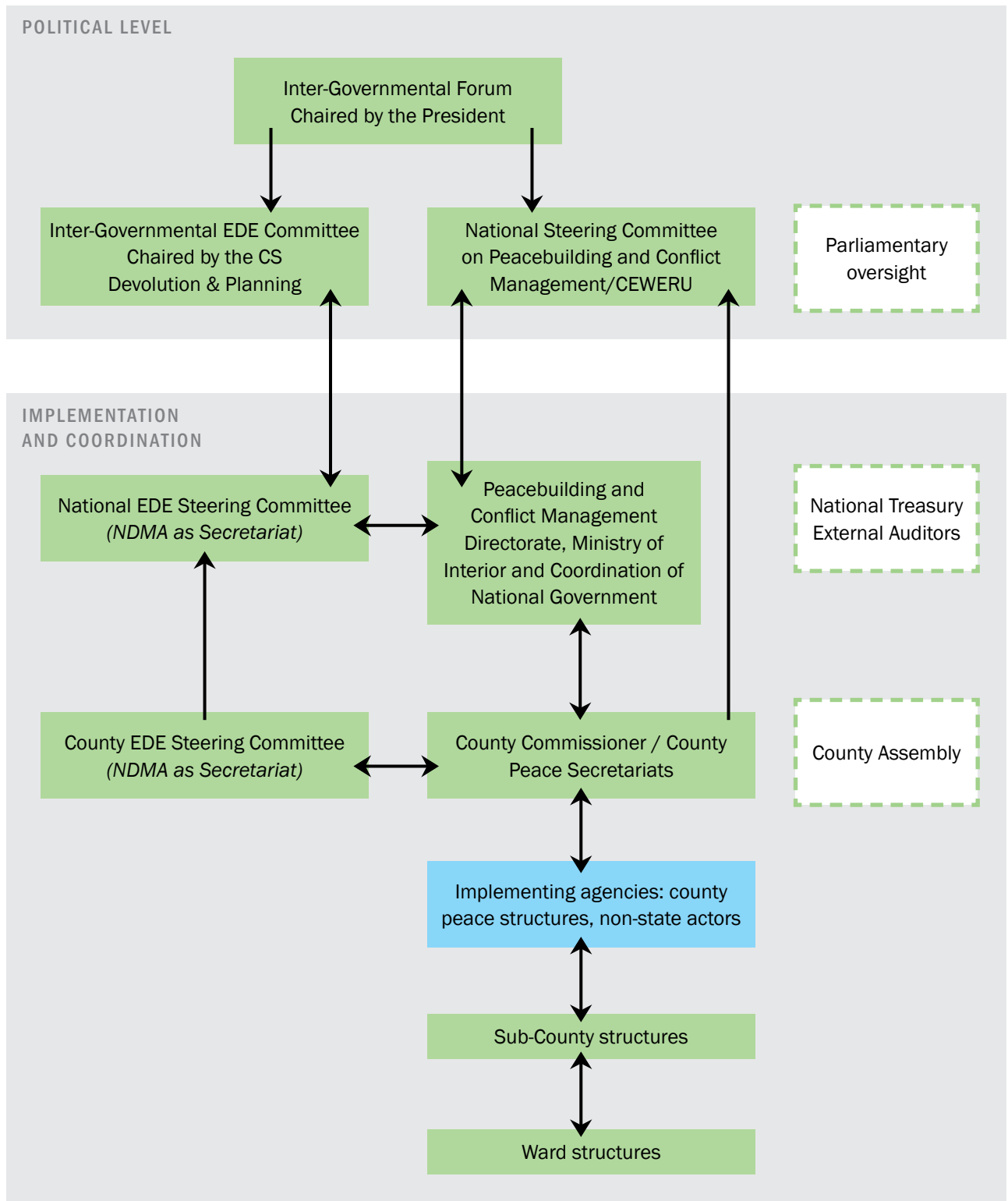
The total budget required is Kshs. 10,834 million over four years (2014/15-2017/18). Approximately one-third of this (Kshs. 3,522 million) is already secured, or likely to be secured, from the following sources:

- National government (security sector): Kshs. 2,167 million
- UNDP: Kshs. 1,305 million
- IGAD-CEWARN: Kshs. 50 million

Resource mobilisation and allocation against this framework will be coordinated by the Peacebuilding and Conflict Management Directorate. Some funds, including those from IGAD, are managed through civil society organisations to ensure flexibility in the flow of finance.

Figure 5: Institutional framework

Implementation Coordination Oversight



## 11.8 Results framework

	OVI	MOV	ASSUMPTIONS
<b>GOAL (BY 2022)</b>			
Communities in drought-prone areas are more resilient to drought and other effects of climate change, and the impacts of drought are contained.	Number of people requiring food assistance as a result of drought emergencies.	KFSSG food security assessments	<ul style="list-style-type: none"> <li>■ Investments made across all pillars of the EDE, and functional links established between the pillars.</li> <li>■ Alternative sources of finance established and operational, such as the NDCF and ARC, and scalability mechanisms in place.</li> <li>■ Adequate economic, political and climatic stability.</li> </ul>
	% of children under five stunted in each of the 23 most drought-affected counties.	Health sector MIS	
	Value of livestock lost in drought compared with previous drought episodes.	Post-Disaster Needs Assessment	
	Kenya manages drought episodes without recourse to international emergency appeals. (Yes/No)	GoK and UN documents	
<b>OVERALL PILLAR OUTCOME</b>			
Effective response to peace and security threats in ASAL counties by a strengthened peace and security infrastructure.	No. of deaths from violent conflicts in ASAL counties, disaggregated by gender and age.	Police records	■ Sufficient resources to support a robust peace infrastructure.
	No. of illicit small arms in circulation in ASAL counties.	National Arms Survey	■ Adequate political will to support disarmament.
	No. of incidents of livestock theft.	Police records	■ Effective community policing framework.
<b>SPECIFIC RESULTS</b>			
1. Peace infrastructure to respond to conflicts and security risks enhanced.	Ratio of police to population (UN standards).	National Peace Index	■ Adequate resources to support operationalisation.
	Time lapse between incident and response.	NCEWERS	
2 Inter-community conflicts and security risks reduced.	No. of conflicts reported.	NCEWERS/ stakeholder reports	■ ADR framework fully operational.
	No. of conflicts addressed.	Monitoring reports	
3 Peace-building and community security mainstreamed in the development agenda.	No. of counties with peace and security plans.	CIDPs	■ Political will by counties to address conflicts.
	No. of counties with County Policing Authorities.	Reports/Minutes/ Plans	

	OVI	MOV	4-YEAR BUDGET 2014-18 (KSHS M)
<b>OUTPUTS</b>			
<b>Result 1: Peace infrastructure to respond to conflicts and security risks enhanced.</b>			
1.1 Policy and legal frameworks on National Peacebuilding and Conflict Management, Small Arms and Light Weapons and National Police Reserves approved and operationalised.	No. of policies and laws approved.	<ul style="list-style-type: none"> <li>■ Approved policy documents</li> <li>■ Approved legislation</li> </ul>	355
	Budgets allocated to operationalise new legal frameworks.	Printed estimates	
1.2 National Peace Council established.	National Peace Council in place.	Membership list/structures	Costed under 1.1 above
1.3 National Peace Fund established.	Fund gazetted.	Kenya Gazette	1,000
	Budget allocated to operationalise the Fund.	Printed estimates	
1.4 Alternative Dispute Resolution and traditional conflict resolution mechanisms adopted by national and county governments.	No. of peace agreements re-endorsed by their signatories, and the involvement of women and youth in these processes.	Peace agreements	1,350
	No. of conflicts successfully resolved using ADR, and the involvement of women and youth in these processes.	Monitoring reports	
1.5 Inter-county structures to promote peace and resource-sharing established.	No. of inter-county structures meeting regularly.	Monitoring reports	96
1.6 County Policing Authorities in six border counties (Garissa, Wajir, Mandera, Marsabit, West Pokot and Turkana) strengthened.	No. of established police posts with requisite number of officers, vehicles and equipment.	Monitoring reports	4,600
1.7 Border management capacity in Garissa, Wajir, Mandera, Marsabit, West Pokot and Turkana counties strengthened.	No. of border posts with requisite number of officers, vehicles and equipment.	Monitoring reports	2,110
1.8 Regional peace architecture to promote cross-border peace-building and community security institutionalised.	No. of border counties with cross-border structures meeting regularly.	Monitoring reports	50
Sub-total			9,561
<b>Result 2: Inter-community conflicts and security risks reduced.</b>			
2.1 County Peace Forum, County Peace Secretariat and County Early Warning and Early Response hub established and operational in 23 ASAL counties.	No. of counties with all peace structures established and operational, and the involvement of women and youth in these structures	Monitoring reports	537
2.2 Area-based and cross-border peace dividend and livelihood diversification projects targeting at-risk youths and reformed warriors in hotspot and border counties implemented.	No. of projects funded and implemented.	<ul style="list-style-type: none"> <li>■ Project documents</li> <li>■ Evaluation reports</li> </ul>	553

2.3 Conflict sensitivity, conflict mitigation and conflict management mechanisms integrated into governance frameworks for extractive industries and natural resources.	No. of national or county governance frameworks that integrate conflict sensitivity.	Governance frameworks	30
Sub-total			1,120
<b>Result 3: Peace-building and community security mainstreamed in the development agenda.</b>			
3.1 Targeted training in conflict-sensitive approaches to development planning for state and non-state actors in 23 ASAL counties.	No. of people and organisations trained, disaggregated by gender and age.	Training reports	40
3.2 Targeted training in collaborative leadership and problem-solving with political leaders at national and county levels.	No. of leaders trained, disaggregated by gender and age.	Training reports	20
3.3 Conflict-sensitive programming (CSP) principles integrated into national and county development plans.	No. of development plans that are CSP-compliant.	Planning documents	33
3.4 Economic analysis of the cost of conflict and disasters produced and disseminated.	No. of references to the study by other stakeholders.	<ul style="list-style-type: none"> <li>■ Media monitoring</li> <li>■ Stakeholder reports</li> </ul>	10
3.5 Lessons and recommendations from studies and research on peace-building and conflict-related issues disseminated and integrated into development plans and programmes.	No. of plans and programmes that reference specific studies and research.	Planning documents	20
3.6 Kenya National Action Plan (KNAP) on women, peace and security adopted and implemented in ASALs.	Awareness of KNAP among state and non-state actors in ASALs.	<ul style="list-style-type: none"> <li>■ Survey</li> <li>■ Evaluation documents</li> </ul>	10
3.7 Mainstreaming of cohesion and integration in socialisation structures (schools, churches, mosques etc) supported at national and county levels.	No. of schools/learning institutions teaching peace education.	<ul style="list-style-type: none"> <li>■ School curriculum</li> <li>■ Awareness forum reports</li> </ul>	20
Sub-total			153
<b>TOTAL</b>			<b>10,834</b>



# 12

## Pillar 2: Climate-Proofed Infrastructure

### Key data

<b>COUNTRY</b>	Kenya
<b>TITLE</b>	Common Programme Framework for Ending Drought Emergencies: Climate-proofed Infrastructure
<b>DURATION</b>	July 2014 – June 2024
<b>TOTAL BUDGET</b>	Kshs. 53,030 million
<b>OVERALL OUTCOME</b>	The deficit of climate-proofed productive infrastructure and its maintenance is identified, planned and progressively addressed in a coordinated and comprehensive manner at national, county and community level.
<b>EXPECTED RESULTS</b>	<ol style="list-style-type: none"><li>1. Prioritisation of national infrastructure projects in ASALs improved.</li><li>2. Standard guidelines for climate-proofed design of ASAL infrastructure produced and integrated in current and future infrastructure projects at national, county and community levels.</li><li>3. County capacity to plan, contract and supervise implementation of climate-proofed infrastructure progressively built.</li><li>4. County capacity for infrastructure operation and maintenance is progressively built.</li><li>5. The deficit of county climate-proofed productive infrastructure is progressively addressed in a coordinated and comprehensive manner.</li></ol>
<b>FOCUS AREA AND POPULATION</b>	Arid and semi-arid counties, approximately 15 million people (36% of the national population)
<b>CONTACT DETAILS</b>	<b>Principal Secretary</b> , Ministry of Environment, Water and Natural Resources P.O. Box 30126-00100 Nairobi, Kenya ps@environment.go.ke, www.environment.go.ke

### 12.1 Executive summary

This is the second of six common programme frameworks that have been developed to operationalise the Ending Drought Emergencies (EDE) Medium Term Plan, which is an integral part of the Kenya Vision 2030 Second Medium Term Plan for 2013-17.<sup>24</sup>

One of the key findings of the Post-Disaster Needs Assessment of the 2008-11 drought was that, besides the sheer size of its socio-economic impact, resilience to future droughts would require a multi-sectoral approach in which infrastructure played a key role. Further, a mapping of donor programmes against the six pillars of the Ending Drought Emergencies Medium Term Plan (EDE MTP) in 2012 revealed a bias towards investments in livelihoods and risk reduction, ignoring the need to address the infrastructure deficit.

The rather abstract notion of 'climate-proofed' infrastructure was given practical form by the county governments in their County Integrated Development Plans (CIDPs). First, the CIDPs vision of county infrastructure is one that facilitates the socio-economic integration of all communities, as well as being on a scale which allows investments to withstand climate impacts. Second, the CIDPs reveal the sheer size of the infrastructure deficit in the arid and semi-arid lands (ASALs), as well as the challenge of ending drought emergencies in ten years without investing in the critical medium-sized infrastructure that links and expands pockets of development at the community level with county and national initiatives.

<sup>24</sup> The others are on peace and security, human capital, sustainable livelihoods, drought risk management, and institutional development and knowledge management.



In developing this common programme framework, the counties thus emphasised the important spatial development role of climate-proofed infrastructure. They also reinforced the importance of strong synergy and partnership between national and county initiatives if the EDE goal is to be attained.

First, the counties cannot do this alone. There is a gross funding deficit of approximately Kshs. 170 billion for gravelled roads and medium-sized water retention structures alone. The national government, development partners and, where possible, the private sector should pool their resources alongside county resources so that this deficit is addressed in a coherent manner and contributes to county resilience and growth. A survey of county budgets suggested that Kshs. 33 billion has been secured for the next five years – a substantial amount.

Second, counties want to play a lead role but recognise both their capacity limitations and the need to develop an inter-county response. Therefore while the infrastructure deficit is being progressively addressed during the ten-year lifespan of this common programme framework, progressive capacity transfer should also take place, facilitated by a support unit in which county and national expertise is pooled.

Finally, if the deficit of county climate-proofed infrastructure is to be addressed, county-level development must be closely connected with national economic planning. Kenya Vision 2030 flagship programmes such as the Lamu Port South Sudan Ethiopia Transport (LAPPSET) Corridor and other projects in the ASALs should be well advanced within the next five years. For this reason the framework also includes a strong advocacy component.

This is a Kshs. 53 billion programme with an expected 43 per cent contribution from development partners.

## 12.2 Situation analysis

### 12.2.1 Sector analysis

The EDE MTP states that ‘better infrastructure is key to opening up the region but it must be climate-proofed. This requires that current and

future climate risks are factored into its design and implementation in order to ensure that the anticipated life-span of infrastructure investments is achieved’.

‘Climate-proofed infrastructure’ is a relatively recent concept and is yet to be mainstreamed in the project cycle. Five measures may be identified which will ensure that infrastructure is climate-proofed:

- 1. Engineering:** integrating specifications in the design that enable infrastructure to withstand the predictable adverse effects of climatic events.
- 2. Planning:** developing synergies between different types of infrastructure that facilitate socio-economic integration and the timely delivery of aid in crisis.
- 3. Long-lasting:** ensuring that the operation and maintenance (O&M) requirements are defined, planned and executed.
- 4. Environmental soundness:** ensuring that upstream and peripheral environmental protection measures are integrated in the design, either as part of the project or as a parallel project, such as river basin protection measures or greening road embankments.
- 5. Economic viability:** ensuring on the one hand that the maintenance formulae integrate realistic parameters and on the other that the infrastructure is fiscally feasible.

The devolution of government to counties since March 2013 has had a deep impact on the allocation of responsibilities for planning and implementing rural and urban infrastructure. While centralised bodies were once in charge, the 47 counties are now empowered to act, but without the same level of planning capacity. The preparation of the CIDPs for 2013-18 was the first planning exercise fully conducted at the county level.<sup>25</sup> Despite the short time allocated to the process, the plans reflect the new county governments’ ambitions to transform their economies and expand the delivery of services to their people.

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<sup>25</sup> The CIDPs have a standard format with sectors that follow the Medium Term Expenditure Framework. For the infrastructure sector, this includes energy, roads, information and communication technology (ICT), and water.

In consultative meetings for this framework in November/December 2013, the counties ranked climate-proofed infrastructure, especially roads and water harvesting, as among their highest priorities. Being the first of their kind the CIDPs are aspirational: they are not yet objective-oriented, with budgets determined by financial capacity. Almost all desired infrastructure projects in all wards are included. However, since they were developed in a broad consultative manner from the ward-level upwards, the plans reflect the aspirations of communities which have been marginalised for many years. They were also prepared with little knowledge of national plans, resulting in weak links between the two levels.

A reading of the CIDPs paints a grim picture of the status of infrastructure in ASAL counties, which lag far behind the rest of the country in terms of the coverage of their road network, average distance to water, household electricity connection rate, and mobile phone coverage. Further details are in section 12.10, compiled from the CIDPs.

By reviewing comparable data, three categories of county determined by the profile of their infrastructure coverage can be established; these

are set out in Table 17. The first two categories of arid counties are also those historically most neglected in terms of national resource allocations.

The following sections describe the situation in more detail, specifically the four sub-sectors of the EDE MTP infrastructure pillar: transport, energy, water and irrigation, and ICT. Further information is in sections 12.11-13.

**Transport: Roads**

Given the size of the ASAL counties, their road infrastructure is very poor and road density very low. Table 18 illustrates this with reference to two counties, but a similar situation prevails in many others.

Until now, three government authorities have been the key players in the roads sub-sector:

- Kenya National Highways Authority (KeNHA), responsible for the development and management of main roads (Class A, B and C).
- Kenya Rural Roads Authority (KeRRA) responsible for the development and management of rural roads (Class D, E and others). With devolution, its role should become more limited as

Table 17: Infrastructure coverage in the ASALs

INDICATOR	ARID NORTHERN COUNTIES	ARID INTERMEDIARY COUNTIES	SEMI-ARID COUNTIES
Land mass	Large	Medium	Medium / small
Average population density (inhabitants per km <sup>2</sup> )	13	12	65
Road density (km <sup>2</sup> per km of gravelled road)	130	82	11
Average distance to water (km)	23	4	2
Number of counties	5: Turkana, Marsabit, Mandera, Wajir, Garissa	4: Isiolo, Tana River, Baringo, Samburu	14: West Pokot, Laikipia, Nyeri, Kajiado, Narok, Makueni, Meru, Tharaka Nithi, Embu, Kitui, Lamu, Kilifi, Kwale, Taita Taveta
Population (million, 2009) <sup>26</sup>	3.5	1.2	10

<sup>26</sup> With one of the highest population growth rates in the country, driven by a high birth rate but also by population transfer from areas of higher agro-ecological potential where access to land is a constraint, the 14.7 million people in the ASALs in 2009 may have exceeded 18 million by 2014.

Table 18: Road infrastructure in ASALs

INDICATOR	GARISSA	MARSABIT
<b>Total land area (km<sup>2</sup>)</b>	<b>44,175.1</b>	<b>70,961</b>
Total road network (km), of which:	1,804	2,431
■ Earth (km)	1,479	2,034
■ Gravel (km)	304	397
■ Bitumen (km)	21	0

responsibilities are transferred to the county governments.

- Kenya Urban Roads Authority (KURA), responsible for the development and management of roads in cities and municipalities.

The situation differs for the various classes of roads.

### **Main roads (Class A, B and C)**

The ASAL Policy and the EDE MTP only focus on developing trunk roads (Section 12.11), with a budget of Kshs. 208.9 billion for these in the EDE MTP. Significant process is being made:

- As part of the LAPSSET project, which aims to open up northern Kenya and provide a reliable transport corridor for Ethiopia and Southern Sudan, as well as link with the Northern Corridor transport project:
  - Isiolo-Moyale construction is ongoing in four sections with different funding partners:
    - Isiolo-Merille River is complete (136km)
    - Merille River-Marsabit (121km), Marsabit-Turbi (121.5km) and Turbi-Moyale (127km) are all contracted and in progress.
  - Designs for Nginyang-Lokichar-Lokichogio (527km) are at an advanced stage.
  - Lamu Port-Garissa-Isiolo-Lokori has not moved from the planning stage.
- Designs for the Leseru-Marich Pass, Marich Pass-Lodwar and Lodwar-Nadapal sections are complete.
- Construction of Rumuruti-Maralal has been launched.

- As part of the Lake Turkana Wind Power Project, a 200km gravel road will be rehabilitated through Marsabit County to drivable standards.

Synergies between road developments and other socio-economic investments are rarely explored in a coordinated manner, although the design of the Nginyang-Lokori-Lokichar road integrates ICT infrastructure (fibre optic), basic social infrastructure for future settlements (primary school, police post) and associated water points. In the context of devolution, coordinated planning of major road developments becomes an even higher priority so that counties can align their infrastructure investments accordingly. It is worth noting that a minimum three-year period is needed to develop technical studies, secure finance and tender for these complex projects; it may take up to five years between the design of a road and construction starting. Therefore as counties realign their plans with these national projects, these timeframes need to be factored into their planning.

KeNHA has only considered high standard asphalt concrete for Class A and B roads. Given the need to complete the intermediate Class C roads as well, the use of alternative design standards such as otta seal should be explored for Class C roads, particularly given the limited fiscal space in coming years (given recurrent costs and commitments for major infrastructure works). Otta seal costs approximately US\$ 160,000 per km, compared with US\$ 1,300,000 per km for asphalt concrete.

### **County roads (Class D and E)**

KeRRA has been an important player in the ASALs given the predominance of rural roads. Its guiding policy is the Kenya Roads 2000 Strategy, and one of its objectives is to 'provide an employment-based social protection mechanism for the marginalized population'. The Strategy favours the use of local labour and contractors. The Roads 2000 Programme has improved several roads in the ASALs in the North Rift (993km), South Rift (1,339km) Coast and Eastern (837km) and Eastern (935km), but none in North Eastern.

KeRRA's future role vis-à-vis the county roads departments needs defining. The Constitution of Kenya 2010 vests the mandate of county roads to the county government, but KeRRA is still in existence. Even as counties take on this mandate

their capacities to finance and implement new roads projects and maintain existing ones are uncertain. There is a high risk of losing KeRRA's capacity, particularly in road sector governance and road network management. A transfer of capacity between KeRRA and the county governments is therefore necessary. Some of the considerations at county level are as follows:

- More attention in the CIDPs to prioritising between roads that need attention and the feasibility of financing them. Repairs of critical sections should also be considered.
- Complementing road investments with other socio-economic investments.
- Climate-proofing specifications are not yet well integrated in technical designs at either national or county levels. This may lead to underspecified contracts, resulting in high maintenance costs and rapid deterioration, particularly of sensitive sections such as waterlogged and deep clay areas, seasonal river crossings, high gradients and steep slopes.
- The possibility of a supervisory unit covering clusters of counties could be explored, given the difficulty in staffing and training construction and maintenance personnel, the inadequate capacity of contractors, and the feasibility of setting up a fully functional infrastructure supervisory unit in every county.

### **Road maintenance**

Since the early 1990s, the level of road maintenance has been insufficient to address the permanent backlog and keep up with the growing number of roads. A combination of poor governance in managing resources for road maintenance, insufficient funding, and weak road maintenance capacity has prevailed at all levels. This is not a uniquely Kenyan situation.<sup>27</sup> Road maintenance in the ASALs has generally been suboptimal, if carried out at all. A recent Road Inventory Condition Survey for 2012-13 revealed that only 34 per cent of the country's unpaved classified roads are in good or fair condition while the rest are in poor condition.<sup>28</sup> However, even this low figure conceals wide disparities; the ASALs have a much lower percentage of roads in good or fair condition. The backlog of maintenance and rehabilitation requirements is thus extremely important to consider in programming.

Until now, KeRRA has been responsible for road maintenance in the ASALs with funding mainly from the Kenya Roads Board Fund (KRBF), which is financed from the Road Maintenance Levy, transit tolls and agricultural cess. The KRBF allocates monies for maintenance as follows:

- 40% for Class A, B and C roads (through KeNHA).
- 22% for constituency roads, and 10 per cent for critical linking rural roads (through KeRRA).
- 15% for urban roads (through KURA).
- 1% for National Parks and Reserves (through the Kenya Wildlife Service).
- 2% for administration by the Kenya Roads Board.
- 10% for the Road Sector Investment Programme.

The relevant funding for ASAL roads has been the 32 per cent administered by KeRRA, but this is usually inadequate for the required level of maintenance.<sup>29</sup> Moreover, the capacity for maintenance is low. While KeRRA retains overall responsibility, actual maintenance has been outsourced to private contractors, most of whom have inadequate personnel and resources. The government has tried to improve maintenance by using labour-based approaches and locally available resources under the Roads 2000 Strategy, and by training local contractors' personnel at the Kenya Institute of Highways and Building Technology.

### **Energy**

The most relevant actors for the ASALs are the Rural Electrification Authority (REA) and the Kenya Power and Lighting Company (KPLC).<sup>30</sup> The REA aims to have all households connected by 2030. It has a

<sup>27</sup> Heggie, I. (1995) 'Management and Financing of Roads: An Agenda for Reform', World Bank Technical Paper No. 275

<sup>28</sup> Kenya Roads Board Annual Public Roads Programme FY 2012-2013

<sup>29</sup> In its Annual Report for 2012-2013, KeRRA observed that 'the funding required for these interventions is currently estimated at Kshs. 25 billion for paved roads and another Kshs 30 billion for unpaved improvement link roads. Currently the available funding from the Development Budget is about Kshs 2.5 billion per year and the Authority requires additional Kshs 3.5 billion to save some critical roads from complete failure.'

<sup>30</sup> See section 12.12.



three-phase plan to achieve this through the Rural Electrification Programme (REP). The objective of the first phase (2008-12) was to connect all public facilities and one million customers, thereby increasing connectivity for households from approximately 12 per cent to 22 per cent and connectivity for public institutions to 100 per cent. The objective of the second and current phase (2013-22) is to increase household connectivity from 22 per cent to 65 per cent, and in the third and final phase (2022-30) to achieve universal connectivity.

The first phase did not realise its objective of connecting all public facilities, reaching 23,167 out of 25,873 by June 2013.<sup>31</sup> This is a connection rate of 89% but still a commendable achievement given the challenges in rural electrification which include:

- Scattered population settlements leading to long distribution lines, exacerbated by lack of control over the sub-division of arable land.
- Harsh terrain and inaccessibility due to under-developed infrastructure, which in turn increases the cost of REA projects.
- High operating cost of grids in rural areas due to low population density.
- Acquisition of way-leaves due to high compensation demands by public institutions and land owners.
- Vandalism of power infrastructure.

By June 2011 the REP had installed solar PV systems in 476 schools and health centres in the ASALs and mobilised funds to connect a further 380 facilities by June 2013.<sup>32</sup> However, the situation of household connections is much poorer. The connectivity rate ranges from a low of 0.2 per cent in Garissa to a high of 40 per cent in Kajiado (which may be misleading given its proximity to Nairobi). Most ASAL counties have a household connection rate of less than 20 per cent, with 13 counties less than 10 per cent (Section 12.10.3). A further challenge specific to household connections is their affordability. While the connection cost had been subsidised at Kshs 35,000 it has since been increased to Kshs. 75,000, far beyond the reach of many rural households and particularly those in the ASALs.

The proposals for the energy sector in the ASAL Policy

and EDE MTP are in Section 12.11. The biggest of these is the Lake Turkana Wind Power project, one of the largest private investments in Kenya's history. This is in the final stages of approval and will produce 310MW for the national grid. In addition to those in the EDE MTP, the following planned national programmes will also increase access to energy in the ASALs:

- Continuation of the REP: The REA is targeting 6,304 public facilities, which include the remaining 2,600 main public facilities (trading centres, secondary schools, health centres and dispensaries) and others such as primary schools, tea-buying centres, water supply systems, and places of worship.<sup>33</sup>
- Development of new and renewable sources of energy: The government will promote the development of renewable energy from solar, wind and biogas and the development of bio-energy, including bio-ethanol and diesel value chains. It will also promote improved cooking stoves and charcoal kilns and the re-forestation of water towers. A National Renewable Energy Master Plan and updated renewable energy database will be developed.

The CIDPs include rural electrification, including renewable energy projects, but assign the bigger role of rural electrification to the REA through the REP. As with transport, strategies to establish synergies between different infrastructure components and with other sectors are generally not considered.

The KPLC provides most electricity connections and is responsible for O&M of the infrastructure, which it handles fairly efficiently as a commercially oriented organisation. Responsibility for O&M of institutional or household connections through renewable energy sources is the responsibility of the respective owners.

<sup>31</sup> Republic Of Kenya (2013) 'National Energy Policy', Ministry Of Energy And Petroleum, November 2013

<sup>32</sup> Republic of Kenya (2012) 'Vision 2030 Development Strategy for Northern Kenya and other Arid Lands'

<sup>33</sup> Republic of Kenya (2013) 'Kenya Vision 2030 Second Medium Term Plan 2013-2017'

### Water and sanitation

Water service provision is carried out through contracted Water Service Providers (WSPs). WSPs are licensed to provide water in a defined geographical area on condition that the provision of the service is commercially viable. However, low population density in the ASALs makes it difficult to meet this condition, with the result that WSPs are only found in urban and peri-urban areas, leaving service provision in rural areas to community groups and NGOs. The Water Service Boards (WSBs) and the Water Services Trust Fund (WSTF) have also been carrying out water supply projects. Data on investments is difficult to obtain; even the sub-sector regulator, the Water Services Regulatory Board, only reports on the performance of WSPs. However, it is generally acknowledged that access to water services in the ASALs is far lower than in the rest of the country.

The counties appear to have no consistent reporting format on access to safe water. Some report on the water supply infrastructure, others on the numbers of households with access to potable water, and others on the percentage of the population with access to potable water. Access to potable water is low in most ASAL counties but varies: some, such as Mandera, Marsabit, Tana River, Isiolo and Wajir, have very low rates of access, possibly below 10 per cent, while others, such as Taita Taveta (58 per cent), Kilifi (65 per cent) and Nyeri (the highest at 79 per cent), are relatively better.<sup>34</sup> However, these figures aggregate the situation for the whole county thereby hiding wide disparities between urban/market centres and rural populations. As Section 12.10.1 shows, the average distances to water are longer in arid counties (ranging from 3km in Isiolo to 30 km in Wajir) than in semi-arid counties (ranging from 1.25km in Taita Taveta to 11km in Laikipia).

Since 2008 a number of major dams have been constructed which aim to increase storage capacity by 30 million cubic metres. Some are in ASAL counties, although none is in the north-east (Table 3). Another 19 dams earmarked for construction during the Kenya Vision 2030 Medium Term Plan 2008-12 are at various stages of planning and design. In addition, since 2008, 731 boreholes have been drilled, equipped, rehabilitated and operationalised and 399 small dams/pans constructed, creating an additional storage capacity of 15 million cubic

Table 19: Construction of major dams

DAM	COUNTY	STATUS
Maruba Dam	Machakos	Completed in 2010
Kiserian Dam	Kajiado	Completed and awaiting commissioning
Badasa Dam	Marsabit	75.4% complete
Chemususu Dam	Baringo	90% complete
Umaa Dam	Kitui	68.5% complete

metres. Most of these are in the ASALs. Section 12.13 lists other national-level projects that should improve access to water, funded by both government and development partners.<sup>35</sup>

Like the major road projects, these are large investments which can only be undertaken using a project-based approach. Moreover, the design process may be lengthened by the need for comprehensive river basin and hydrological studies that require comprehensive and reliable data over a medium-term period.

Section 12.11 lists the water sector proposals in the ASAL Policy and the EDE MTP. Those in the EDE MTP are not fully aligned with the Policy in two respects:

- While the Policy recommends ‘strategic assessment of the most appropriate locations & technologies’, the EDE MTP provides only for mapping groundwater in six counties. Given the difficulties that counties experience in water resources assessment, it would be prudent to

<sup>34</sup> The uncharacteristically high rate for Nyeri is derived from the reported figure of 187,087 households with access to potable water out of an estimated 235,670 households in the county.

<sup>35</sup> One example is the African Development Bank’s Drought Resilience and Sustainable Livelihood Programme in the Horn of Africa (Phase I) which is supporting six counties: Turkana, West Pokot, Marsabit, Samburu, Isiolo and Baringo. The programme will construct/rehabilitate 24 water pans, 24 boreholes, 18 shallow wells, and 12 sub-surface dams, rehabilitate/expand seven existing small-scale irrigation schemes to a total area of 1530 hectares, and help communities improve the management of water and irrigation infrastructure.

provide for this as per the Policy, rather than only groundwater assessment. This could be taken further and include an assessment not only of the water resources but of the potential sources for under-served areas in the counties.

- While the Policy proposes ‘promoting low-maintenance water technologies’, the EDE MTP provides for construction of multi-purpose dams which are not low-maintenance. Given the lack of conventional water sources in ASAL areas, low-maintenance water harvesting technologies have an important contribution to make and it would be prudent to provide for their development.

Another important aspect is provision for innovative water supply approaches. The areas that remain without access, particularly in the ASALs, are those where water solutions are more challenging. The private sector has the ability to craft innovative solutions through social entrepreneurship. A good example, which would be applicable in the ASALs, is the community-based infrastructure model by Grundfos, a pump supplier.<sup>36</sup>

The CIDPs have earmarked substantial budgets for dams and other water retention structures, including the acquisition of earth-moving equipment to carry out the work themselves. Once again the link with the national-level projects was unclear. The counties have proposed an inter-county task force to conduct broad and transparent consultation among existing and future water users of a river basin, and ensure that detailed technical and socio-economic feasibility studies, including of future access to water and land rights and water basin management, are conducted. The counties also prioritise the mapping of existing and potential water resources.

### **Operations and maintenance**

O&M of rural water supply is dogged by numerous challenges, particularly in ASAL counties. It is difficult to create commercially viable arrangements in remote areas, thus the responsibility for water service provision is usually left to communities. However, this is a specialist field that requires organisational, managerial and technical skills and knowledge that are not readily available within communities. Further, national or regional-level organisations often plan and implement water supply projects with minimal involvement of the users, and on completion, the projects are handed over with inadequate preparation for O&M.

Medium-sized dams constructed by national or regional bodies are meant to service several communities but also usually lack clear O&M arrangements. Prior to devolution their maintenance was neglected. The county governments are expected to be more responsive to this despite their limited maintenance budgets.

### **Information and Communication Technology (ICT)**

Access to ICTs in the ASALs is comparatively poor, although the infrastructure for the fibre optic cable has now reached several locations in the north (Lokichoggio, Lodwar, Marsabit, Moyale, Mandera, Wajir, and Garissa). For the most part the region remains reliant on expensive satellite communication systems. The CIDPs report that mobile coverage is fairly good in most counties with only a few, including Turkana, West Pokot, Mandera, Wajir, Marsabit and Isiolo, reporting coverage of less than 30 per cent. Other counties have higher coverage with some, such as Kwale, Kilifi, Meru, Nyeri, Tharaka Nithi and Embu, reporting coverage of more than 70 per cent. As with water, coverage is higher in the urban/market centres and along highways but low or non-existent in rural areas. While mobile phone coverage is relatively better, other ICT services such as cyber cafes are hindered by the low rate of electricity connections in rural areas.

The Communications Commission of Kenya (CCK) has established a Universal Service Fund to complement private sector initiatives towards meeting the objective of universal access. Its objectives include the promotion of communications infrastructure and the roll-out of services in rural, remote and under-served areas such as the ASALs. ICT development can support the education, political participation and market integration of ASAL communities, but the exact nature of the

<sup>36</sup> This supplies safe groundwater for domestic, agricultural and productive uses. It works ‘by combining proven pump technology, renewable energy (solar) and an innovative service platform with unique solutions for revenue management and remote monitoring.’ <http://www.solutionsforwater.org/solutions/grundfos-lifelink-sustainable-and-transparent-water-solutions-for-the-majority-world> ‘The users tap the water from an automatic water dispenser using a smart card with water credit loaded through Mpesa.’ <http://www.revolve-magazine.com/home/2013/05/14/sustainable-m2m-water-solutions/>



government's role should be clarified in this private sector-dominated domain. The counties also have plans to improve ICT and are progressively working towards aligning their service delivery with the e-government strategy.

Section 12.11 lists the ICT provisions in the ASAL Policy and EDE-MTP. Neither the EDE-MTP nor the CIDPs include innovative ways to increase access to ICT services. Given the globally recognised position of Kenya as a leader in ICT innovation, this is a glaring omission. Private sector players are developing innovative concepts to bridge the digital divide but are constrained financially to carry out field tests. It is desirable that this framework and the county CIDPs include some mechanisms to stimulate innovative approaches.

With regard to O&M, the principal providers of ICT services are private sector companies which ably manage the O&M of their infrastructure.

### 12.2.2 Critical issues to address

#### Medium-term predictability for national projects

The major projects planned for the ASALs in 2013-17 under the EDE MTP amount to US\$ 10.2 billion.<sup>37</sup> This high budget poses a challenge of fiscal feasibility, given the current fixed level of government borrowing at 60 per cent of GDP, the low level of development partners' grants for infrastructure, and the financial commitments to implement three Kenya Vision 2030 flagship projects: the Mombasa-Kisumu standard gauge railway, and the road expansion and Lamu port under LAPSSET. Even with 10 per cent GDP growth, planning predictability of major ASAL infrastructure projects is difficult to achieve. This predictability is particularly important for the county planning process and to ensure synergy between national, county and community investments.

#### Integrated design and specifications for national projects

In the past, infrastructure design was carried out at the national level with little local consultation. Devolution now creates the potential for local consultation that delivers a more integrated design, as well as synchronised national/county investments. Consultation and planning should also

have an inter-county dimension, in which upstream and downstream interests can be considered in order to prevent future conflict.

#### Private sector participation in productive investment projects

Public-private partnerships (PPP) are not being systematically explored. Given the recognition by the national government of the potential of PPPs in infrastructure development, and the establishment of a PPP Unit at the National Treasury, the counties could encourage PPPs in developing their planned infrastructure. This will require closer collaboration with the private sector, including their participation in the county planning process.

#### County capacity

##### a) Counties' financing capacity and financing gap

Only a broad estimate of the financing gap is possible given the difficulties in assessing the situation from the CIDPs:

- With just one year into devolution, several CIDPs or first-year budgets were still in preparation, with no clear indication of the secured county funding for infrastructure projects.
- Some counties prioritised infrastructure for the 2013-17 planning period while others indicated all possible projects without considering funding feasibility. As a result the budgets vary widely – in some counties in excess of Kshs. 30 billion for the five years, and in other counties much lower.
- The costing of infrastructure also varies greatly across the counties, with some costing a similar unit two or three times higher than others. The assessment in this framework is based on costings within a reasonable range.
- Counties also differ in their infrastructure strategy (particularly for water), with some putting more emphasis on rehabilitation and others opting almost exclusively for new projects.

Given the above, and in order to gather information on comparable types of infrastructure, the counties were given a questionnaire to provide

<sup>37</sup> Roads Kshs. 208bn; energy Kshs. 165bn; water Kshs. 52.7bn. Flagship projects for water not included in the EDE MTP amount to an additional US\$ 5.1 bn.

their CIDP budgets and expected secure funding for a) gravelled roads and b) medium-to-large water retention infrastructure with the capacity to withstand drought. The main findings are as follows:

1. County infrastructure needs are massive and well beyond the five-year period of the CIDP.
2. The counties' secure funding represents approximately 20 per cent of their infrastructure budgets, with the priority given to water (25 per cent) above roads (18 per cent). Budgeting for infrastructure was therefore ambitious, with a funding gap of 80 per cent for just these two items. When the tarmacking of important road sections is also considered, for which nearly no county finance is available, the funding deficit for roads could triple; and if water systems and urban sewerage are also considered, the funding deficit for water could increase by 50 per cent.
3. Based on the two types of infrastructure, the funding deficit is approximately Kshs. 170 billion, of which 40 per cent is for only the five northern arid and very large counties (Table 20). Of this deficit, 70 per cent is for roads and 30 per cent is for water.

**b) Access to specific knowledge and tools to plan climate-proofed infrastructure**

Specialist technical knowledge in infrastructure planning is not easily available at the county level. Technical design standards and guidelines to prepare climate-proofing specifications are also not available. Since the county planners are not aware of national-level plans, the CIDPs have not created synergies with infrastructure projects planned by national or regional bodies, thus creating the risk

of duplication. For example, the Lake Turkana Wind Project involves the reconstruction of a major road which is not considered in the relevant CIDPs.

**c) Weak technical competence in the new counties and loss of competencies in authorities formerly in charge of rural roads and water**

The Constitution vests the mandates for water and sanitation and rural roads to the county governments, which therefore need qualified and experienced engineers and technicians. Given the current shortage of qualified staff and the difficulty of attracting qualified personnel to work in areas where living conditions are difficult, those recruited often lack the desired level of competence. Moreover, counties have been recruiting similar staff with no mechanism for inter-county sharing of service provision. Finally, the possibility of a transition phase to transform national or regional institutions into technical service providers to counties as the counties build their own competencies has not been considered. These gaps will affect the quality of planning, contracting and supervision of infrastructure projects.

**d) Transparency in procurement and local contractor capacity**

The inadequate capacity of local contractors is a long-standing concern. It is even more problematic when the size of the contract spans different counties. Under devolution, the preference is to contract county works to local contractors within the county, irrespective of their real capacity. Counties also require strong governance arrangements to manage county procurement effectively.

Table 20: Estimated funding deficit per county profile (Kshs. m)

CATEGORY (REF TABLE 17)	GRAVELLED ROAD	WATER RETENTION	TOTAL
Category 1: Turkana, Marsabit, Mandera, Wajir, Garissa			
Average for Turkana, Wajir, Garissa	8,277	4,578	12,855
Estimated deficit for category 1	41,383	22,892	64,275
Categories 2 and 3: all remaining ASAL counties			
Average for Samburu, Isiolo, Tana River, West Pokot, Laikipia	4,666	1,128	5,794
Estimated deficit for categories 2 and 3	83,984	20,300	104,285
Total estimated funding deficit	125,367	43,192	168,560

#### **e) Weak enabling environment for contractors to operate**

National and county governments appear to lack the political will to ensure that contractors can operate freely in a secure environment. In the roads sub-sector the main challenge is the demands placed on contractors, such as for employment of local people regardless of their skills, or for prohibitive quarry rights and water charges from boreholes drilled for the purposes of road construction.

#### **f) Weak coordination leading to poor coverage of infrastructure**

Where the potential for water harvesting or borehole drilling is high, there can be competition on site selection between implementing agencies, especially NGOs. While WESCOORD (the Water and Environmental Sanitation Coordination mechanism) has been coordinating water, sanitation and hygiene (WASH) activities in the counties, it does not have the necessary capacity to manage county and sub-county coordination effectively.

#### **g) Inadequate consultation on the adoption of user fees and alternative modalities**

There are two examples of this: first, even where a discount is provided, the individual connection cost to the electricity grid is still beyond the capacity of most households in ASAL counties; second, the water user fees that pastoralists and households are expected to pay may also be unrealistic.

### **12.2.3 Justification for the common programme**

The Constitution has devolved key functions in infrastructure development and management to the county governments. This is meant to improve service provision and achieve the goals of Kenya Vision 2030. A systematic approach to infrastructure development is therefore required, both between sectors and between actors in a sector. This is fully in line with the call by the Ministry of Devolution and Planning for the counties to develop spatial plans.<sup>38</sup> Other policy documents, such as the Agricultural Sector Development Strategy, also call for better coordination between sectors and actors.

This common programme framework will therefore map all actors within the infrastructure sector to

align their proposals into a focused implementation matrix, as well as coordinate with other sectors to align infrastructure investments with areas where they can leverage the development of other services or products. This will minimise the challenges that have previously been encountered, for example where road contractors are pressurised by local communities to provide for services beyond their original contracts.

### **12.2.4 Contribution to relevant policies and sector priorities**

*The Constitution of Kenya 2010* vests in the counties the mandate to deliver a wide range of services. Since infrastructure is an enabler for effective service delivery, the commitments in this programme framework will enable the counties to perform their constitutionally mandated responsibilities.

The emphasis of the Constitution on equalisation measures is reflected in specific sector policies. For example, the road sector's draft policy on aligning the roads sub-sector with the Constitution refers to the Equalisation Fund, which is designed to bring the quality of basic services in marginalised areas to the level generally enjoyed by the rest of the nation. Similarly, the draft Water Bill, 2013, proposes the establishment of a Water Sector Trust Fund to help finance water resources management and the development of water services for poor and other underserved areas. The new constitutional dispensation has also had an impact on the legal framework because of the restructuring of the central government and the responsibilities devolved to counties. The various ministries with infrastructure mandates have been reviewing their legislative frameworks, particularly those, such as water and sanitation, where functions have been transferred to the county governments. None of the sectors has yet completed this process.

<sup>38</sup> These spatial plans are meant to 'display the necessary coordination between various sectors, e.g. transport networks and their relationship to agricultural production and markets; industrial areas and energy projects that supply them; zoning of urban-versus-rural areas; public facilities and private home developments, etc.' The Presidency, Ministry Of Devolution and Planning (2013) 'Guidelines for Preparation of County Integrated Development Plans. June 2013'

*Kenya Vision 2030* anchors its three development pillars on world-class infrastructure whose implementation is a prerequisite for attainment of the Vision 2030 goals. The various organisations responsible for infrastructure development have been aligning their sectoral plans with Kenya Vision 2030. The second Medium Term Plan (2013-17) puts great emphasis on infrastructure development.<sup>39</sup> This framework strengthens these commitments by proposing that they also be climate-proofed.

*The Vision 2030 Development Strategy for Northern Kenya and other Arid Lands* recognises that poor infrastructure in ASALs increases vulnerability to drought by reducing access to markets and basic services and by deterring the investment needed to expand and diversify the economy. It also notes that, given the large size of the region, infrastructure investments in different sectors should be well coordinated in order to reinforce each other and deliver maximum benefits. This is a particular focus of this framework.

Climate-proofed infrastructure is also one of the priorities of the *National Policy for the Sustainable Development of Northern Kenya and other Arid Lands* (the 'ASAL Policy'), launched in February 2013, which aims to accelerate ASAL development.<sup>40</sup> The Policy notes that a more robust infrastructure will stimulate investment and growth, lower the cost of doing business, and improve the security and stability of the region. It prioritises major infrastructure projects which promote the integration of the ASALs with the rest of Kenya and the wider region. Implementation of the commitments in this framework will therefore help actualise the commitments in the ASAL Policy. However, the ASAL policy documents were prepared before the first round of county planning and before the magnitude of the infrastructure deficit at the county level was apparent, and at some stage should be reviewed to reflect the potential synergy between national and county infrastructure planning.

By implementing this infrastructure framework the government and its development partners will also contribute to the following policy documents:

- National Climate Change Response Strategy (NCCRS), 2010, and National Climate Change Action Plan (NCCAP), 2013: The NCCAP introduces the concept of climate-proofing infrastructure as

a way of preparing for disasters. This programme framework therefore directly contributes to the attainment of the NCCAP.

- The Agricultural Sector Development Strategy 2010-2020 is unequivocal that infrastructure is a precondition for agricultural development. Thus, the infrastructure proposed in this framework directly contributes to agricultural development in the country.
- The National Disaster Management Policy, 2012, proposes that disaster risk management be integrated into critical sectors including, but not limited to, health, construction, infrastructure, agriculture, environment and natural resources, county economic planning and physical planning. By providing for climate-proofed infrastructure, this framework will support the integration of drought and disaster risk management in the counties.

## 12.3 Programme framework

This common programme framework clearly contributes to the objectives of the ASAL Policy, and particularly the goal statement of the Policy: 'To facilitate and fast-track sustainable development in Northern Kenya and other Arid Lands by increasing investment in the region and by ensuring that the use of those resources is fully reconciled with the realities of people's lives.'

The overall outcome of this programme framework is: 'The deficit of climate-proofed productive infrastructure and its maintenance is identified,

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<sup>39</sup> 'To further enhance efficiency and competitiveness of our economy, the government will devote more investment to infrastructure and to the key sectors of the economy that will drive growth, particularly through public private partnership arrangements.' (page ii) 'New investments will include cheaper and adequate electricity; local and regional rail and road networks that provide safe, efficient and cost effective transport; adequate water for households and industry; affordable quality housing and sustainable environmental management.' (page 4)

<sup>40</sup> Republic of Kenya (2012) 'Sessional Paper No. 8 of 2012 on the National Policy for the Sustainable Development of Northern Kenya and other Arid Lands'

planned and progressively addressed in a coordinated and comprehensive manner at national, county and community level.’

The framework has two levels of focus:

- At national level, the programme has more of an advocacy and coordination role to inform the climate-proofed specificities of national infrastructure projects in ASALs and to increase the predictability of their planning and implementation.
- At county level the programme will fill the deficit in climate-proofed infrastructure.

The programme does not address climate-proofed infrastructure at community level since this is provided for under the EDE drought risk management pillar, through mechanisms such as Food for Assets and Cash for Assets programmes, and the National Drought Contingency Fund.

The priority sectors for direct investment under this framework are transport and water, since the private sector is already making a substantial contribution to the energy and ICT sectors. Some examples of the kind of climate-proofed infrastructure that will be developed include:

- Water sector: the construction of relatively large (500,000 – 1,000,000m<sup>3</sup> volume) rainwater harvesting structures which are better designed to retain water through several seasons. Improvements may include well-designed silt traps, trees and other vegetation around the facility to reduce the effects of wind and siltation from the sides, a well-trained Water Management

Committee and well-defined maintenance plan, and the involvement of the County Government as partners in its management. The estimated cost of these storage structures is Kshs. 50-150 million.

- Transport sector:
  - Graveling of new roads (with murrum)
  - Construction of sealed roads (with murrum and sealant)
  - Spot repairs at impassable sections, such as swampy areas, slopes, and where drainage channels cross.
  - Tarmac roads are not being considered for direct investment under this framework, but will benefit from the development of climate-proofed standards and guidelines; in addition, the first result area seeks to improve the prioritisation and predictability of national infrastructure projects in ASALs.

Based on the experience of similar infrastructure programmes, the proposed timeframe for this framework is ten years, with an initial phase of six years and an extension phase of four years. The initial six-year phase includes an inception phase during which the feasibility of the first tranche of investments will be determined, the institutional arrangements put in place, and the first consolidated work plans agreed.

Table 21 describes the expected results of the common programme framework.



Table 21: Description of the expected results

JUSTIFICATION	KEY INTERVENTIONS	BENEFICIARIES	PARTNERS	GEOGRAPH. FOCUS
<b>Result 1: Prioritisation of national infrastructure projects in ASALs improved.</b>				
National infrastructure projects are by their nature project-based and require complex financing and contractual architecture. The counties and the NDMA have a critical role to play in convincing others that prioritising infrastructure in the ASALs will have not only an economic return but also a social and 'resilience to drought' return.	<ul style="list-style-type: none"> <li>■ Establish and maintain permanent dialogue between counties and relevant national bodies, including development partners and international financing institutions.</li> <li>■ Produce position papers, analysis and strategy to facilitate this dialogue.</li> <li>■ Complete the establishment of a PPP Northern Kenya Investment Fund that targets productive infrastructure.</li> </ul>	<ul style="list-style-type: none"> <li>■ All ASAL populations</li> </ul>	<ul style="list-style-type: none"> <li>■ National government and its relevant agencies</li> <li>■ County governments</li> <li>■ Private sector</li> <li>■ Development partners</li> <li>■ International financing institutions</li> </ul>	All ASALs
<b>Result 2: Standard guidelines for climate-proofed design of ASAL infrastructure produced and integrated in current and future infrastructure projects at national, county and community levels.</b>				
The concept of climate-proofed infrastructure needs elaborating and integrating at all levels.	<ul style="list-style-type: none"> <li>■ Facilitate consultation, expertise and working groups to produce operational guidelines and specifications.</li> <li>■ Facilitate multi-level dialogue to integrate these guidelines in all current and future infrastructure projects at all levels.</li> </ul>	<ul style="list-style-type: none"> <li>■ Planners</li> <li>■ Implementing departments and agencies</li> <li>■ Tendering units</li> <li>■ Contractors</li> <li>■ Communities</li> </ul>	<ul style="list-style-type: none"> <li>■ Technical agencies and departments</li> <li>■ Communities</li> </ul>	All ASALs
<b>Result 3: County capacity to plan, contract and supervise implementation of climate-proofed infrastructure is progressively built.</b>				
County capacity in infrastructure planning and implementation needs to be enhanced in a comprehensive and efficient manner. There are various options: each county does everything itself, or a group of counties builds a common service delivery mechanism, or former national bodies (such as Water Service Boards) become service providers to counties.	<ul style="list-style-type: none"> <li>■ Define standard modules for infrastructure feasibility studies, PPP integration, planning, linkages with other sector plans, tendering, contract management (including supervision of contracts), maintenance, local regulation and supervision, monitoring and evaluation, etc.</li> <li>■ Develop and support a dialogue framework on infrastructure planning and future access to infrastructure benefits, including access or user fees and tariff setting.</li> <li>■ Provide on-the-job training.</li> <li>■ Build the capacity of the players (within each of the agreed construction arrangements) to manage the construction process and the tendering and contract management, including the supervision of contractors and hired supervision consultants where applicable.</li> </ul>	<ul style="list-style-type: none"> <li>■ Planners</li> <li>■ Implementing departments and agencies</li> <li>■ Tendering units</li> <li>■ Contractors</li> <li>■ Communities</li> </ul>	<ul style="list-style-type: none"> <li>■ Technical agencies and departments</li> <li>■ Communities</li> </ul>	All ASALs

- Develop and support a dialogue framework on the potential for inter-county common services and/or externalising services to a common service provider.
- Create and operate the support unit for the programme.

**Result 4: County capacity for infrastructure operation and maintenance is progressively built.**

<p>The capacity for infrastructure development and management in the ASALs is relatively weaker than in other counties. Given the expected increase in funding as a result of devolution, and given other affirmative action measures such as the EDE-MTP and the Equalisation Fund, there is need to build the capacity of the counties to manage both the construction process and O&amp;M once construction is complete.</p>	<ul style="list-style-type: none"> <li>■ Create awareness in the counties on the standard modules developed under Result 3 for O&amp;M.</li> <li>■ Support the counties in operationalising O&amp;M arrangements developed at the planning stage, such that by the time of completion these arrangements are ready to commence. An overlap is ideal, where the contractor and the O&amp;M team work together during the defects liability period so that the O&amp;M team has full knowledge and control of the infrastructure by the time the contractor fully disengages from the site.</li> <li>■ Build the capacity of the counties to effectively monitor the progress of construction and, when complete, evaluate its effects and impacts.</li> </ul>	<ul style="list-style-type: none"> <li>■ Implementing departments and supervising agencies</li> <li>■ Contractors</li> <li>■ Communities</li> </ul>	<ul style="list-style-type: none"> <li>■ Technical agencies and departments</li> <li>■ Communities</li> </ul>	<p>All ASALs</p>
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**Result 5: The deficit of county climate-proofed productive infrastructure is progressively addressed in a coordinated and comprehensive manner.**

<p>Synergies need to be built between community-level infrastructure and national projects that connect the ASALs to national and regional economies. County-level infrastructure facilitates the agglomeration of settlements, access and opportunities, and builds the resilience of the population to future climatic shocks. Given the challenges of providing infrastructure in underserved areas, innovative approaches are required. The focus of the infrastructure to be financed will be water for human consumption and agriculture, and rural roads. Example include:</p>	<ul style="list-style-type: none"> <li>■ Define and create a fund with a 10-year scope to cover the deficit of county climate-proofed productive infrastructure. Facilitate a process of consultation to develop the qualitative, funding and operational criteria for the management of the fund, and develop its operating manual.</li> <li>■ Mobilise the fund, initially under the County ASAL Climate-proofed Infrastructure Support Programme.</li> <li>■ Implement county ASAL infrastructure consolidated plans, with infrastructure investments selected according to the agreed qualitative, funding and operational criteria.</li> </ul>	<ul style="list-style-type: none"> <li>■ Counties and communities</li> </ul>	<ul style="list-style-type: none"> <li>■ National and county budgets</li> <li>■ Development partners</li> <li>■ Private sector</li> <li>■ Communities</li> </ul>	<p>All ASALs</p>
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- Water retention structures of 100,000 cubic metres and above that serve a large population and have enough capacity to hold water through the dry season.
- Gravelled roads and Otta® sealed rural roads.
- Critical rural road rehabilitation in areas at high risk of deterioration, such as river and swamp crossings, black cotton soil, and high gradients.

## 12.4 Cross-cutting issues

### 12.4.1 Gender and diversity

In every arena, including infrastructure, unspoken gender norms shape the way decisions get made, resources allocated, and people interact. Hence the need to understand the gender dimensions of infrastructure development at both the development and operational stages.

During the development stage, the implications for women and men of all planned projects should be assessed and addressed. For instance, planners must understand the challenges for women's participation in labour-based road construction and maintenance, such as under the Roads 2000 programme, or women's expectations of a water supply facility. This will enable the concerns of each gender to be included in the design and implementation arrangements.

Similar considerations are needed during the operational phase, particularly for roads and water supply. The general policy direction in roads is for labour-based maintenance. As for construction, measures are needed that enable women to participate. Gender is an even more critical consideration in water supply given that women and children are traditionally the main drawers of water. They have a higher stake in the continuous functioning of the facilities and hence need a bigger role in their management.

Successful implementation and functionality of infrastructure projects has a positive impact on both genders and in some instances, such as water supply projects, a more positive impact on women and children. Reduced time and drudgery and improved health, which arise from improved water services, give women and children more time for productive endeavours, leisure, study and play. Better access to facilities such as schools and health centres as a result of improved roads has a positive impact on the lives of men, women and children.

During construction, the use of youth labour will be considered in every project, in line with the Roads 2000 Policy. Youth will also benefit from the improvements to the road infrastructure, particularly those accessing markets or operating boda boda businesses.

### 12.4.2 Sustainability

A sustainable infrastructure project is one that continues to deliver its intended benefits in an environmentally and socially acceptable manner for its entire design life. For this to be assured, sustainability considerations must be factored across the entire project cycle. In this programme framework, sustainability considerations are particularly critical for the roads and water projects, given that it is in these two sub-sectors that challenges have been encountered, especially around the management of O&M. Some of the



factors that need to be considered to improve on the chances of sustainability include the following.

- **A clear and supportive legal and institutional framework.** For the two sub-sectors of water and roads, the current institutional framework is fluid. The process of aligning their legal frameworks to the Constitution is underway but not yet complete. In the absence of a clear legal framework there has been push and pull between the counties and KeRRA (in the case of roads) and the WSBs (in the case of water).
- **Consideration given to issues such as the institutional arrangements for O&M in project design.** For projects such as water, where O&M may be the responsibility of the community, these issues may include the capacity of the community to manage the O&M, the capacity of water users to pay the required user fees, the availability of technical skills to undertake necessary repairs, and the availability of spare parts for repairs. This calls for early dialogue with the community so that their particular circumstances are factored in at this early stage including, where necessary, informing the choice of technology.
- **Consideration given to the environmental factors that will contribute to sustainability during the design stage.** In the case of both roads and water, this will include environmental protection measures, such as afforestation of catchments. These help to lower the quantity and velocity of runoff, thereby reducing the erosion of road embankments and siltation of dams as well as improving ground water recharge.
- **Involvement of the community during construction,** since it is through their participation that they gain the necessary skills for O&M. Ideally, the construction process will involve systematic skills transfer so that by the time the community takes over the responsibility for O&M, they already have the necessary skills.
- **Adequate funding and organisational capacity at the operational stage.** In the case of roads, this means funds to hire contractors for all roads and their capacity to undertake labour-based road maintenance. In the case of community water projects, this means the organisational capacity to manage the day-to-day operations of

the scheme, to set and collect users fees, and to manage routine maintenance and repairs. For both roads and water there are challenges in raising sufficient funds for O&M.

### 12.4.3 Links with other EDE pillars

Most policy documents and development strategies produced by other sectors recognise that economic development, including in the ASALs, is anchored on infrastructure. Indeed, development in the ASALs has been hampered by the lack of infrastructure. With the expected increase in infrastructure development in the ASALs as a result of the EDE MTP proposals and the CIDPs, there is even more urgency to create strategic links with other programmes to leverage potential synergies.

The development of climate-proofed infrastructure will strengthen drought risk management by improving accessibility to scattered communities. The construction of a road to a remote area makes it easier and cheaper for other infrastructures (such as water supply or ICT) to be provided. These will, in turn, make that area more accessible and hospitable and hence more attractive for other investments. Investments in security or productive infrastructure improve stability and livelihoods and make it easier to deliver aid in times of crisis. Generally, improved county infrastructure will impact on all pillars of the EDE: peace and security, human capital, sustainable livelihoods and drought risk management.

## 12.5 Risk management

Certain risks can be foreseen which could affect the successful implementation of the programme. The key ones include the following.

- **Political stability:** Successful implementation of the programme can only happen in a politically stable environment.
- **Confusion over devolution:** The devolution process started in 2013/14 and has seen serious struggles between the governors and the legislature. It is still unclear how these will develop, but the time and effort in debating devolution has a negative impact in slowing project implementation at the devolved level.

- **Legislators being implementers:** Related to the above is the legislators' continued insistence on managing Constituency Development Funds, with further calls for County Women Representatives to be allocated a similar budget. Given the constitutional separation of implementation and oversight, this mixing of roles will affect the rate of implementation of county plans. It also likely to affect the legislators' oversight role.
- **Macroeconomic stability and growth:** Some projects proposed by the national government, particularly the flagship projects, are large-budget projects. For them to be financed, the macroeconomic environment must be stable and the projected economic growth rates achieved. Similarly, for counties to raise enough revenue for their proposed projects there must be economic growth in the ASALs as well.
- **Continued donor commitment:** A sizable portion of the programme finance could be contributed by development partners. Their continued commitment is therefore a prerequisite for successful implementation. Further, this commitment will need to remain predictable, despite the unsynchronised funding cycles of different partners.
- **County commitment to the programme:** Implementation of the programme will require new and stringent methods of project implementation. The county governments will need to commit to this, including embracing the proposed County ASAL Climate-proofed Infrastructure Support Programme.
- **Improved governance:** Even with allocations to the counties assured, the programme will still be at risk if the operating environment is opaque. This calls for political will to enforce transparency in contract management at the county level.

Most of these risks and assumptions are beyond the control of the programme. However, given that they could be a real threat to its successful implementation, there will be a need to develop a sufficiently strong governance structure for the overall EDE common programme framework that can interact with the relevant institutions.

## 12.6 Institutional arrangements

### 12.6.1 Programme management and implementation

In line with the programme's two levels of focus, there will be two levels of responsibility for its implementation.

1. At the national level, the NDMA will have the lead role in implementing the first two results. This role will be largely advocacy and coordination, including establishing a structured dialogue with the counties on specific national infrastructure issues.

To support this, specific studies, expertise, and forums for dialogue will be generated during the ten-year life of this programme. An indicative costing of these is given for development partners to support. All recurrent costs incurred by the NDMA or other government institutions will be met by the government.

2. At county level, the county authorities will have the lead role in implementing a County Climate-Proofed Infrastructure Support Programme (CCPISP), which will deliver the three results that address the deficit of county infrastructure and related capacity needs.

The management of the CCPISP will be as follows.

1. Implementation belongs to the county governments, who will constitute a team in each county to implement the CCPISP. The implementation scope of the county governments will include:

- Contributing to the programme management guidelines
- Prioritising proposed climate-proofed infrastructure
- Establishing the feasibility of each proposed infrastructure
- Securing part of the funding from the county budget
- Contracting
- Paying for infrastructure work underway against certified progress.

2. A County ASAL Infrastructure Support Unit will be created to guarantee adequate implementation of the high-intensive infrastructure-building

component. This Unit will have a programme/fund manager and technical experts drawn from existing qualified staff at the county level, from existing qualified staff present in national bodies such as KeRRA, and external technical expertise when required. The Unit will be present during the entire period of the programme. The Unit will:

- Establish programme/fund management guidelines that include criteria relating to feasibility, technical specification, funding, management of O&M, contractor capacities, synergy with other counties or pillars, and county contracting track record, and any others relevant to the scale and type of the proposed infrastructure.
- Establish the feasibility and technical standards for climate-proofed infrastructure.
- Advise on the prioritisation of proposed infrastructure.
- Provide standard and ad-hoc technical capacity to counties in developing the feasibility of projects and assist in the final selection of projects to be contracted.
- Consolidate into a yearly work-plan all ASAL climate-proofed infrastructure to be contracted and provide a consolidated budget for development partner and national government funding.
- Participate as a guarantor of the fund in the procurement process and endorsing its outcome.
- Ensure the efficiency of the control framework during construction, including the conduct of technical audits.
- Oversee the quality of certification and endorse the interim and final payments.
- Ensure efficient county domestication of the maintenance framework.
- Advise on the overall infrastructure management in place at county level.

To ensure maximum ownership at the county level, but also to promote the synergies foreseen in the ASAL Policy, the Unit will operate from three to four County Cluster Support Offices, liaising with the relevant county departments. County staff attached to these support offices will ensure effective links with their respective county governments.

3. A County CCPISP steering committee will oversee the execution of the programme and will be made up of representatives of the county government, the national government (including the National Treasury and relevant line ministries), and development partners. It will be chaired by the Governor, with a secretariat provided by the NDMA. Its role will be to:

- Review and approve periodic work plans and a consolidated budget for fund mobilisation.
- Review progress according to national and county priorities.
- Advise further on programme orientation and address governance issues.

### 12.6.2 Coordination mechanisms

Figure 6 illustrates the institutional arrangements for the EDE common programme framework. Within this, there will be one steering committee, one planning and implementation coordination structure at the national level under the Support Unit, and the county-level coordination.

For development partners with programmes aligned to this framework, and for development partners with funds specifically earmarked for a particular type of infrastructure or county, the national planning and implementation coordination structure under the Support Unit will be the venue to plan with other donors in order to achieve equitable coverage across ASAL counties and a balanced coverage between the different types of infrastructure. The criteria established in the programme management guidelines will facilitate the allocation of resources between different donors.

### 12.6.3 Monitoring and evaluation

The County ASAL Infrastructure Support Unit will support counties in monitoring climate-proofed infrastructure within the wider EDE Common Programme Framework. To enable the monitoring system to function within the government monitoring and reporting systems, indicators and their base-line information will be extracted from the CIDPs and from the relevant sector policies. The targets and timeframes for each indicator in the results framework (section 12.8) will be agreed with partners within the first six months of

implementation.

There will be two interim evaluations and one final evaluation of the programme’s performance in addressing the infrastructure gap and building drought resilience at county and community levels. Lessons from these evaluations and from other sources will be periodically incorporated in

the standard climate-proofed guidelines for the county and national governments, as well as the programme management guidelines.

Reporting arrangements for all parties will be detailed in the financing agreements and management guidelines.

The results framework is in section 12.8.

Figure 6: Institutional framework

Implementation Coordination Oversight

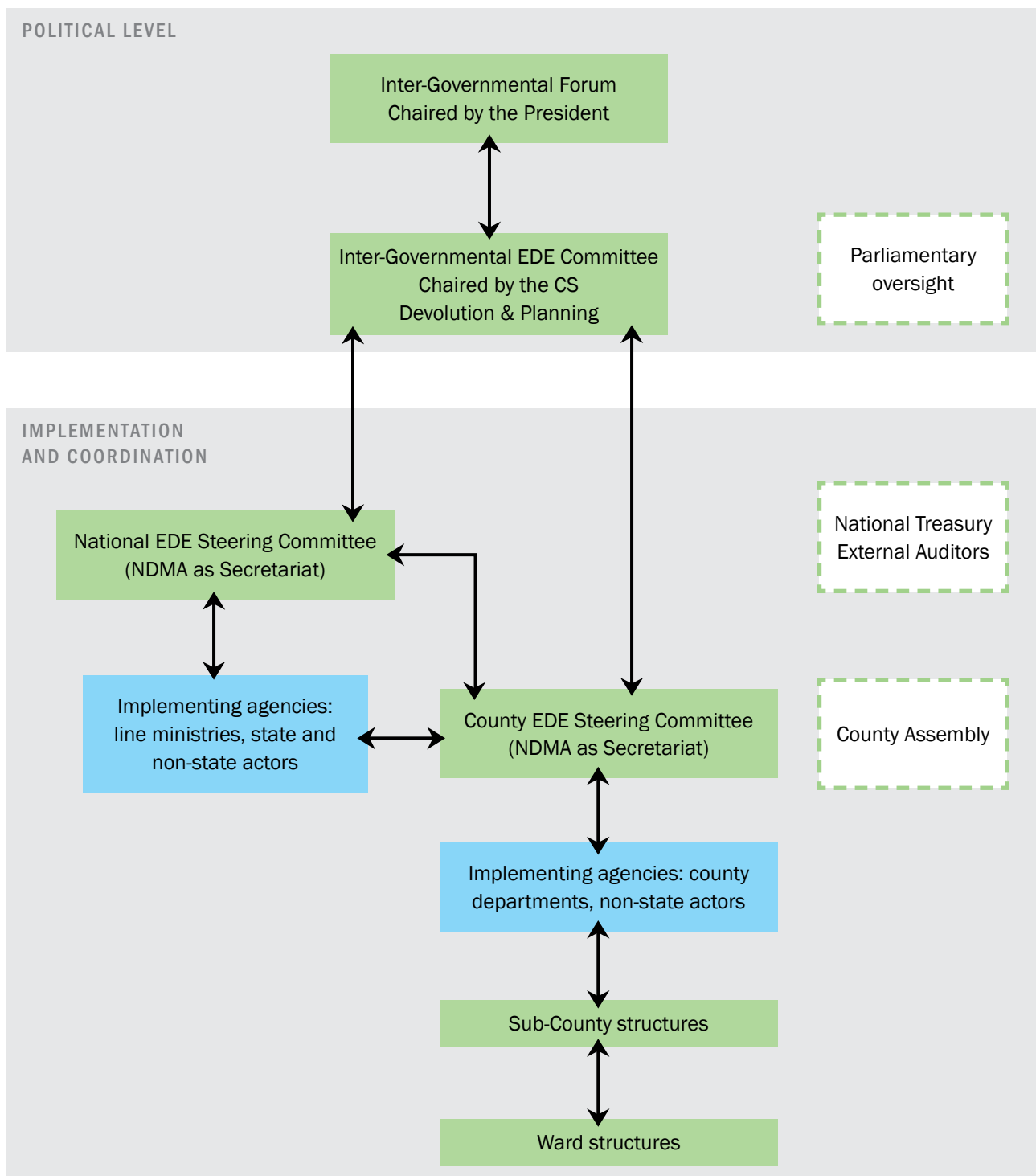


Table 22: Budget summary (Kshs. m)

COST DESCRIPTION	COUNTIES	NATIONAL	PRIVATE	DPs <sup>43</sup>	TOTAL	%
Soft costs	0	135	0	895	1,030	2
Infrastructure costs	12,500	12,500	5,000	22,000	52,000	98
<b>TOTAL</b>	<b>12,500</b>	<b>12,635</b>	<b>5,000</b>	<b>22,895</b>	<b>53,030</b>	<b>100</b>
%	23%	24%	9%	44%	100%	

## 12.7 Resources

### 12.7.1 Funding level

The climate-proofed infrastructure programme aims to reach a funding level of Kshs. 53 billion for the initial six-year phase. This amount is a compromise between a) the sheer magnitude of the funding requirement for county infrastructure (Kshs. 168 billion); b) the need for investment to be large enough to have an impact on ending drought emergencies within the next ten years; c) the expectation that funding needs may be reduced with better specified and better budgeted projects; and d) the expectation that, based on performance, phase two of the programme’s funding could be met.

### 12.7.2 Sources of funding

Given the magnitude of the deficit in county infrastructure, but also recognising the fiscal capacity at national and county level, it is proposed that the programme receive funding contributions from:

- County governments, from their county secured funding for climate-proofed infrastructure.
- National government, from specific allocations and/or from existing or future programme resources addressing rural infrastructure.
- Development partners, from existing and future programmes funded by grant or loan finance.
- Private sector institutions willing to contribute to the programme, or to fund individually according to their investment plans, or through the Northern Kenya Investment Fund once established.<sup>42</sup>

A summary of the budget is in Table 22, and a detailed budget in section 12.9. The percentages are indicative, but given the size of the Kenyan

economy and its ambition to reach middle-income status, the share provided by development partners should remain below 50 per cent so that donor dependency is avoided.

### 12.7.3 Funding allocation to counties and selected projects

The allocation of funding across the counties will be guided by macro-distribution criteria such as a percentage allocated to arid lands and to semi-arid lands, or a percentage allocated to different sub-sectors (road, water, irrigation). Allocation of funding to a specific infrastructure project will be based exclusively on the best rating against all selection criteria.

The allocation of funding to capacity building measures will be made in support of county processes to establish the overall feasibility of infrastructure projects, conduct the procurement process and ensure infrastructure operation and maintenance. Standard capacity building solutions applicable to all counties will be sought.

For projects spanning more than one county, an inter-county cluster approach will be compulsory. For projects within the boundaries of a single county, only the competencies of that specific county will be mobilised.

### 12.7.4 Accounts and fund flow

Based on the approved consolidated infrastructure budget by the steering committee, the following is expected:

<sup>42</sup> The NKIF is envisaged in the ASAL Policy as one of the instruments to increase private sector investment in the ASALs but is yet to be created. It will be taken forward by the EDE sixth pillar on institutional development.

<sup>43</sup> Development partners: bilateral or multilateral cooperation with grants or concessional loans.

- At national level:
  - Direct funding from development partners and from the national government will be pooled in a single programme account for this framework managed and overseen by the National Treasury upon approbation of the yearly work plan by the steering committee, except for the initial advance that will be mobilised upon signing the financing agreements.
  - Funding from government or donor programmes aligned to this framework will follow their established fund flow. The planning and implementation of activities at the county level will be handled through the coordination mechanism described in section 12.6.2.
- At county level, the agreed counterpart funding from the county government will be mobilised in a specific county account for this framework at the signature of each infrastructure work contract.
- The movement of funds from the national account to county programme accounts will be made on signature of the contracts by the county for the advance payment and on interim and final acceptance certificates for work in progress. All payment instruments will need the endorsement of the Support Unit's senior accountant.

Funds will be disbursed to the Support Unit's account based on its consolidated budget approved by the steering committee.

### 12.7.5 Resource mobilisation strategy

The funding level of Kshs. 53 billion is a fund mobilisation objective that will be refined once its overall feasibility is more clearly ascertained and once implementation capacity is in place. Two interim evaluations of the programme's performance in addressing the infrastructure gap will be needed in order to re-size funding levels. In terms of resource mobilisation, the following process is expected for the EDE as a whole:

- Launch by the inter-governmental forum.
- Donor conference on a) existing programme alignment and b) call for support to the common programme frameworks.

- Thereafter the established co-ordination mechanisms for the framework will oversee its implementation.

Given the mixed nature of funding for this framework (concessionary loans and grants), a donor-government dialogue will be required with the National Treasury for the government to assess the overall financial feasibility of the EDE infrastructure pillar within the macro-economic framework.

Contributions from development partners will be structural in:

- Addressing only the deficit.
- Contributing to quality investment by supporting improvements in feasibility assessments, governance of the contracting process, and infrastructure management thereafter.
- Building long-term capacities in the counties.
- Building synergies between different types of investments and between counties.

The contributions of development partners should end once the county and national fiscal capacity is able to address a marginal deficit in building climate-proofed infrastructure and once a reasonable level of capacity is in place at both the county and inter-county levels. Development partners' contributions will be in the form of grants and concessional loans. Transparency and governance at all levels in the management of the CCPISP fund will be a condition for development partners' funding.

### 12.7.6 Financial control and fraud remediation measures

The government will detail the financial control framework at national and county level and will ensure the overall fiduciary risk for development partners' funding during the whole implementation period, including a further two years to close and audit all contractual commitments.

The financing agreements with each contributing development partner will detail their standard terms and conditions on anti-fraud remediation measures.

The programme management guidelines will specify the exact terms and conditions to ensure that internal control, external control and remediation measures in case of non-governance are effective.



## 12.8 Results framework

	OVI	MOV	ASSUMPTIONS
<b>GOAL (BY 2022)</b>			
Communities in drought-prone areas are more resilient to drought and other effects of climate change, and the impacts of drought are contained.	■ Number of people requiring food assistance as a result of drought emergencies.	■ KFSSG food security assessments	<ul style="list-style-type: none"> <li>■ Investments made across all pillars of the EDE, and functional links established between the pillars.</li> <li>■ Alternative sources of finance established and operational, such as the NDCF and ARC, and scalability mechanisms in place.</li> <li>■ Adequate economic, political and climatic stability.</li> </ul>
	■ % of children under five stunted in each of the 23 most drought-affected counties.	■ Health sector MIS	
	■ Value of livestock lost in drought compared with previous drought episodes.	■ Post-Disaster Needs Assessment	
	■ Kenya manages drought episodes without recourse to international emergency appeals. (Yes/No)	■ GoK and UN documents	
<b>OVERALL PILLAR OUTCOME</b>			
The deficit of climate-proofed productive infrastructure and its maintenance is identified, planned and progressively addressed in a coordinated and comprehensive manner at national, county and community level.	■ % climate-proofed infrastructure projects completed with reference to consolidated CIDPs.	■ County annual reports and other data	<ul style="list-style-type: none"> <li>■ Continued commitment from the national government, county governments and donors to enhance investment in the foundations for development and implement the EDE MTP.</li> </ul>
	■ % contribution of agricultural cess to county revenue.	■ County economic data	
	■ Quantity of safe drinking water available to households per day during dry season.	■ Drought and food security assessments	
<b>SPECIFIC RESULTS</b>			
1. Prioritisation of national infrastructure projects in ASALs improved.	■ % national infrastructure projects engaged.	■ National plans and printed estimates	<ul style="list-style-type: none"> <li>■ Macro-economic stability and growth that enables government to finance flagship projects.</li> <li>■ Effective links with development partners' national infrastructure programmes</li> </ul>
	■ % national infrastructure projects adequately funded.	■ National plans and printed estimates	
2. Standard guidelines for climate-proofed design of ASAL infrastructure produced and integrated in current and future infrastructure projects at national, county and community levels.	■ Guidelines available and in use at all levels.	<ul style="list-style-type: none"> <li>■ County annual reports</li> <li>■ M&amp;E reports</li> </ul>	<ul style="list-style-type: none"> <li>■ Acceptance and full ownership of the agreed guidelines at all levels and commitment to apply and maintain them.</li> </ul>

	OVI	MOV	ASSUMPTIONS
3. County capacity to plan, contract and supervise implementation of climate-proofed infrastructure is progressively built.	<ul style="list-style-type: none"> <li>■ % county infrastructure projects selected for funding out of the number submitted.</li> </ul>	<ul style="list-style-type: none"> <li>■ County annual work plans and budgets</li> </ul>	<ul style="list-style-type: none"> <li>■ County management procedures enable the retention of staff capacity.</li> <li>■ Commitment to maintain tools and critical mass of competencies.</li> </ul>
	<ul style="list-style-type: none"> <li>■ Proportion of counties given top rating in terms of definition and prioritisation of county infrastructure strategic planning.</li> </ul>	<ul style="list-style-type: none"> <li>■ M&amp;E reports</li> </ul>	
4. County capacity for infrastructure operation and maintenance is progressively built.	<ul style="list-style-type: none"> <li>■ % county infrastructure completed on time compared with initial plans.</li> </ul>	<ul style="list-style-type: none"> <li>■ County annual reports</li> </ul>	<ul style="list-style-type: none"> <li>■ Adequate political will at county level to enforce transparency in contract management.</li> <li>■ Effective links with county public financial management programme.</li> <li>■ Contractor capacity is not compromised by county aspiration towards affirmative action in contracting.</li> </ul>
	<ul style="list-style-type: none"> <li>■ Consolidated amount of claims / number of stalled projects.</li> </ul>	<ul style="list-style-type: none"> <li>■ Periodic surveys</li> </ul>	
	<ul style="list-style-type: none"> <li>■ % projects with functional O&amp;M arrangements.</li> </ul>	<ul style="list-style-type: none"> <li>■ M&amp;E reports</li> </ul>	
5. The deficit of county climate-proofed productive infrastructure is progressively addressed in a coordinated and comprehensive manner.	<ul style="list-style-type: none"> <li>■ % infrastructure projects covered as per yearly consolidated plan.</li> </ul>	<ul style="list-style-type: none"> <li>■ Sector annual reports</li> <li>■ County annual reports</li> </ul>	<ul style="list-style-type: none"> <li>■ Funding remains predictable despite unsynchronised funding cycles of development partners.</li> <li>■ Counterpart contribution from government remains effective.</li> </ul>



ACTIVITIES	SPECIFIC INPUTS	BUDGET (GOK) KSHS M	BUDGET (DPs & PS) KSHS M	MEANS
<b>Result 1: Prioritisation of national infrastructure projects in ASALs improved.</b>				
1.1 Establish and maintain permanent dialogue between counties and relevant national bodies, including development partners and international financing institutions.	<ul style="list-style-type: none"> <li>■ NDMA staff at national and county level</li> <li>■ Cost of consultation and dialogue</li> <li>■ Back-up services</li> </ul>	Salary & recurrent costs	50	<ul style="list-style-type: none"> <li>■ Meetings</li> <li>■ As part of overall institutional support to NDMA and ASAL institutions</li> </ul>
1.2 Produce position papers, analysis and strategy to facilitate the dialogue in 1.1.	<ul style="list-style-type: none"> <li>■ Short-term technical expertise and analysis.</li> </ul>		50	<ul style="list-style-type: none"> <li>■ As part of the County ASAL Infrastructure Support Programme</li> </ul>
1.3 Complete the establishment of a PPP Northern Kenya Investment Fund to target productive infrastructure.	<ul style="list-style-type: none"> <li>■ Short-term technical expertise and analysis</li> </ul>	30	20	
<b>Sub-total</b>		<b>30</b>	<b>120</b>	
<b>Result 2: Standard guidelines for climate-proofed design of ASAL infrastructure produced and integrated in current and future infrastructure projects at national, county and community levels</b>				
2.1 Facilitate consultation, expertise and working groups to produce operational guidelines and specifications.	<ul style="list-style-type: none"> <li>■ Consultancy studies</li> <li>■ Consultation with relevant stakeholders</li> </ul>		30	<ul style="list-style-type: none"> <li>■ As part of the County ASAL Infrastructure Support Programme</li> </ul>
2.2 Facilitate multi-level dialogue to integrate these guidelines in all current and future infrastructure projects at all levels.	<ul style="list-style-type: none"> <li>■ Cost of consultation and dialogue</li> <li>■ Back-up services to maintain standards once in use</li> </ul>	25	25	
<b>Sub-total</b>		<b>25</b>	<b>55</b>	
<b>Result 3: County capacity to plan, contract and supervise implementation of climate-proofed infrastructure progressively built.</b>				
3.1 Define standard modules for: infrastructure feasibility studies, PPP integration, planning, linkages with other sector plans, tendering, contract management (including supervision of contracts), maintenance, local regulation and supervision, monitoring and evaluation, etc.	<ul style="list-style-type: none"> <li>■ Consultancy studies</li> <li>■ Consultation with relevant stakeholders</li> <li>■ Production of documents and website</li> </ul>	30	600	<ul style="list-style-type: none"> <li>■ As part of the County ASAL Infrastructure Support Programme</li> </ul>
3.2 Develop and support a dialogue framework on infrastructure planning and future access to infrastructure benefits, including access or user fees and tariff setting.	<ul style="list-style-type: none"> <li>■ NDMA staff at national and county level</li> <li>■ Cost of consultation and dialogue</li> <li>■ Back-up services</li> </ul>			
3.3 Provide on-the-job training.	<ul style="list-style-type: none"> <li>■ Training expert</li> </ul>			
3.4 Develop and support a dialogue framework on the potential for inter-county common services and/or externalising services to a common service provider.	<ul style="list-style-type: none"> <li>■ Consultancy studies</li> <li>■ Consultation with relevant stakeholders</li> </ul>			
3.5 Create and operate the support unit for the programme.	<ul style="list-style-type: none"> <li>■ Administrative costs</li> <li>■ Long-term experts in water, roads and energy</li> <li>■ Short-term expertise</li> </ul>			
<b>Subtotal</b>		<b>30</b>	<b>600</b>	

ACTIVITIES	SPECIFIC INPUTS	BUDGET (GOK) KSHS M	BUDGET (DPs & PS) KSHS M	MEANS
<b>Result 4: County capacity for infrastructure operation and maintenance is progressively built.</b>				
4.1 Create awareness in the counties on the standard modules developed under Result 3 for O&M.	<ul style="list-style-type: none"> <li>■ NDMA staff at national and county level</li> <li>■ Cost of consultation and dialogue</li> <li>■ Back-up services</li> </ul>	Salary & recurrent costs	20	■ As part of the County ASAL Infrastructure Support Programme
4.2 Facilitate dialogue within and between counties on the modalities of project implementation.	<ul style="list-style-type: none"> <li>■ NDMA staff at national and county level</li> <li>■ Cost of consultation and dialogue</li> <li>■ Back-up services</li> </ul>	Salary & recurrent costs	20	
4.3 Build the capacity of the players (within each of the agreed construction arrangements) to manage the construction process.	<ul style="list-style-type: none"> <li>■ Short-term capacity building consultants</li> </ul>		30	
4.4 Support the counties to operationalise the O&M arrangements.	<ul style="list-style-type: none"> <li>■ NDMA staff at national and county level</li> <li>■ Cost of consultation and dialogue</li> <li>■ Back-up services</li> </ul>	20	20	
4.5 Build the capacity of the counties to effectively monitor the progress of construction and, when complete, evaluate its effects and impacts.	<ul style="list-style-type: none"> <li>■ Short-term capacity building consultants</li> </ul>	10	10	
	<b>Subtotal</b>	<b>30</b>	<b>100</b>	
<b>Result 5: The deficit of county climate-proofed productive infrastructure is progressively addressed in a coordinated and comprehensive manner.</b>				
5.1 Define and create a Fund with a 10-year scope to cover the deficit of county climate-proofed productive infrastructure. Facilitate a process of consultation to develop the qualitative, funding and operational criteria for the management of the Fund, and develop its operating manual.	<ul style="list-style-type: none"> <li>■ Consultancy cost and short-term expertise</li> </ul>	20	20	■ As part of the County ASAL Infrastructure Support Programme
5.2 Mobilise the Fund, initially under the County ASAL Infrastructure Support Programme.	<ul style="list-style-type: none"> <li>■ Consultation and cost of dialogue</li> </ul>			
5.3 Implement county ASAL infrastructure consolidated plans, with infrastructure investments selected according to the agreed qualitative, funding and operational criteria.	<ul style="list-style-type: none"> <li>■ Cost of work contracts</li> </ul>	25,000*	27,000**	
	<b>Sub-total</b>	<b>25,020</b>	<b>25,020</b>	
	<b>TOTAL</b>	<b>25,135</b>	<b>27,895</b>	

\* Includes Kshs. 12.5bn from county governments

\*\* Includes Kshs. 5bn from private sector

## 12.9 Detailed budget, 2014-2020

ACTIVITIES	COUNTIES	NATIONAL	PRIVATE	DPs	TOTAL
<b>Result 1: Prioritisation of national infrastructure projects in ASAL improved.</b>	<b>0</b>	<b>30</b>	<b>0</b>	<b>120</b>	<b>150</b>
1.1 Establish and maintain permanent dialogue between counties and relevant national bodies, including development partners and international financing institutions.	0	0	0	50	50
1.2 Produce position papers, analysis and strategy to facilitate the dialogue in 1.1.	0	0	0	50	50
1.3 Complete the establishment of a PPP Northern Kenya Investment Fund to target productive infrastructure.	0	30	0	20	50
<b>Result 2: Standard guidelines for climate-proofed design of ASAL infrastructure produced and integrated in current and future infrastructure projects at national, county and community levels.</b>	<b>0</b>	<b>25</b>	<b>0</b>	<b>55</b>	<b>80</b>
2.1 Facilitate consultation, expertise and working groups to produce operational guidelines and specifications.	0	0	0	30	30
2.2 Facilitate multi-level dialogue to integrate these guidelines in all current and future infrastructure projects at all levels.	0	25	0	25	50
<b>Result 3: County capacity to plan, contract and supervise implementation of climate-proofed infrastructure progressively built.</b>	<b>0</b>	<b>30</b>	<b>0</b>	<b>600</b>	<b>630</b>
3.1 Define standard modules for capacity development.	0	30	0	600	630
3.2 Develop and support a dialogue framework on infrastructure planning and future access to infrastructure benefits, including access or user fees and tariff setting.					
3.3 Support feasibility studies and on-the-job training					
3.4 Develop and support a dialogue framework on the potential for inter-county common services and/or externalising services to a common service provider.					
3.5 Create and operate the support unit for the programme.					
<b>Result 4: County capacity for infrastructure operation and maintenance is progressively built.</b>	<b>0</b>	<b>30</b>	<b>0</b>	<b>100</b>	<b>130</b>
4.1 Create awareness in the counties on the standard modules developed under Result 3 for O&M.	0	30	0	100	130
4.2 Support the counties to operationalise the O&M arrangements.					
4.3 Build the capacity of the counties to effectively monitor the progress of construction and, when complete, evaluate its effects and impacts.					
<b>Result 5: The deficit of county climate-proofed productive infrastructure is progressively addressed in a coordinated and comprehensive manner.</b>	<b>12500</b>	<b>12520</b>	<b>5000</b>	<b>22020</b>	<b>52040</b>
5.1 Define and create a fund with a 10-year scope to cover the deficit of county climate-proofed productive infrastructure, and 5.2 Mobilise the fund.	0	20	0	20	40
5.3 Implement county ASAL infrastructure consolidated plans, with infrastructure investments selected according to the agreed qualitative, funding and operational criteria.	12500	12500	5000	22000	52000
<b>TOTAL</b>	<b>12500</b>	<b>12635</b>	<b>5,000</b>	<b>22,895</b>	<b>53,030</b>
%	23%	24%	9%	44%	100%

## 12.10 Infrastructure status in ASALs

### 12.10.1 Infrastructure coverage in ASAL counties by category

#### ASAL COUNTY PROFILING

No	County	Land area (km <sup>2</sup> )	Population (2009)	Population density per km <sup>2</sup>	Gravel roads (km)	Land mass per km of gravel road	Average distance to water (km)
<b>Category 1 Very arid counties and large land mass.</b>							
1	Turkana	68,680	855,399	12	??		10
2	Mandera	25,991	1,025,756	39	394	66	25
3	Wajir	56,686	661,941	12	440	129	30
4	Garissa	44,175	623,060	14	304	145	25
5	Marsabit	70,961	291,166	4	397	179	25
<b>Sub-total category 1</b>		<b>266,493</b>	<b>3,457,322</b>				
<b>Average category 1</b>		<b>44,416</b>	<b>576,220</b>	<b>13</b>		<b>130</b>	<b>23</b>
<b>Category 2 Arid counties and medium land mass.</b>							
1	Isiolo	25,700	143,294	6	214	120	3
2	Tana River	38,862	240,075	6	276	141	4
3	Baringo	11,015	555,561	50	2035	5	5
4	Samburu	21,022	223,947	11	350	60	5
<b>Sub-total category 1</b>		<b>96,599</b>	<b>1,162,877</b>				
<b>Average category 2</b>		<b>16,100</b>	<b>193,813</b>	<b>12</b>		<b>82</b>	<b>4</b>
<b>Category 3 Semi-arid counties</b>							
1	West Pokot	9,169	512,690	56	349	26	5
2	Kajiado	21,900	687,312	31	932	23	10
3	Narok	17,935	850,920	47	840	21	10
4	Makueni	8035	884,527	110	555	14	8
5	Laikipia	9,462	399,227	42	297	32	11
6	Nyeri	3,337	1,221,612	366	1391	2	2
7	Meru	6,936	1,356,301	196	267	26	1.5
8	Tharaka Nithi	2,662	365,330	137	36	74	5
9	Embu	2818	516,212	183	548	5	1.5
10	Kitui	27771	1,012,709	36	1565	18	8
11	Lamu	6273	101,539	16	0		5
12	Kilifi	12,371	1,109,735	90	220	56	5
13	Kwale	8,270	649,931	79	120	69	2
14	Taita Taveta	17,084	284,657	17	138	124	1.25
<b>Sub-total category 3</b>		<b>154,023</b>	<b>9,952,702</b>				
<b>Average category 3</b>		<b>11,002</b>	<b>710,907</b>	<b>65</b>		<b>11</b>	<b>2</b>

## 12.10.2 Infrastructure coverage in ASAL counties: detailed information

ARID COUNTIES											
No	County	Land area (km <sup>2</sup> )	Population (2009)	Road network (km)	Tarmac roads (km)	Gravel roads (km)	Earth roads (km)	Safe water coverage		H/ hold electricity connection (%)	Mobile phone coverage (%)
								%	Ave. dist (km)		
1	Turkana	68,680	855,399	5,496	488	??	5008	23	5-10	5	25
2	Baringo	11,015	555,561	2912	339	2035	557	35	5	11	45
3	Mandera	25,991	1,025,756	1,884	0	394	1390	Very low (??)	25	Very low (??)	No data
4	Wajir	56,686	661,941	5,280	0	440	4,840	40	30	Very low (??)	20
5	Garissa	44,175	623,060	1804.5	21.5	304	1,479	24	25	0.2	62
6	Marsabit	70,961	291,166	2,431	0	397	2,034	Very low (??)	25	2	20
7	Samburu	21,022	223,947	1,449	92	350	1,007	46	5	10	35
8	Isiolo	25,700	143,294	975.5	34	214	732	27	3	8	7 (?)
9	Tana River	38,862	240,075	3,076	300	276	2,500	?? (poor coverage)	4	3.4	55
SEMI-ARID COUNTIES											
No	County	Land area (km <sup>2</sup> )	Population (2009)	Road network (km)	Tarmac roads (km)	Gravel roads (km)	Earth roads (km)	Safe water coverage		H/ hold electricity connection (%)	Mobile phone coverage (%)
								%	Ave. dist (km)		
10	West Pokot	9,169	512,690	1197	151	349	697	41	5	2	Limited??
11	Kajiado	21,900	687,312	2,344	300	932	1112	Low (??)	10	40	60
12	Narok	17,935	850,920	2,798	260	840	1,698	Low (??)	3-10	6	52
13	Makueni	8,055	884,527	3,203	454	555	2194	35	8	11	45
14	Laikipia	9,462	399,227	1,038	139	297	602	31	11	18	70
15	Nyeri	3,337	1,221,612	3,093	450	1391	1252	80	2	26	91
16	Meru	6,936	1,356,301	1,260	226	267	767	10 (??)	1.5	14	95
17	Tharaka Nithi	2,662	365,330	1670	61	36	1573	29	2-5	5	84
18	Embu	2,818	516,212	914	120	548	246	??	1.5	21	Well covered (?)
19	Kitui	27,777	1,012,709	3,622	210	565	1,847	??	7	4	84
20	Lamu	6,273	101,539	689	6	?	?	?	5	17	Over 90%
21	Kilifi	12,371	1,109,735	3000	30	220	2750	65	5	??	75
22	Kwale	8,270	649,931	2028	212	120	1695	?? (>50%)	2	11	75
23	Taita Taveta	17,084	284,657	1589	199	138	1252	58	1.25	8	41

Source: County Integrated Development Plans, 2013-17

### 12.10.3 Status of energy in ASAL counties

NO	COUNTY	FOSSIL FUELS	ELECTRICITY	RENEWABLE ENERGY
1	Turkana	<ul style="list-style-type: none"> <li>Oil reserves discovered, exploration still ongoing.</li> <li>Poor infrastructure for distribution of petroleum products. County with one of the highest costs of petroleum products.</li> </ul>	<ul style="list-style-type: none"> <li>Isolated grid supplies Lodwar.</li> <li>3,017 households connected with electricity (2.45% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>Supply of woodfuel and charcoal from unsustainable sources.</li> <li>Best wind regime in the country.</li> <li>Solar largely unexploited.</li> <li>Solar utilisation: 72.97%</li> </ul>
2	West Pokot	<ul style="list-style-type: none"> <li>Limited infrastructure for distribution of petroleum products.</li> </ul>	<ul style="list-style-type: none"> <li>106MW HPP at Turkwel. Small section of county with national grid.</li> <li>2,456 households connected with electricity (2.62% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>Good supply of woodfuel and charcoal.</li> <li>Small hydros, solar and wind largely unexploited.</li> <li>Solar utilisation: 50.1%</li> </ul>
3	Samburu	<ul style="list-style-type: none"> <li>Limited infrastructure for distribution of petroleum products.</li> </ul>	<ul style="list-style-type: none"> <li>Small section of county with national grid. Isolated grid supplies Baragoi township.</li> <li>2,949 households connected with electricity (6.23% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>Supply of woodfuel and charcoal from unsustainable sources.</li> <li>Wind and solar largely unexploited.</li> <li>Solar utilization: 60.08%</li> </ul>
4	Embu	<ul style="list-style-type: none"> <li>Well-developed infrastructure for distribution of petroleum products</li> </ul>	<ul style="list-style-type: none"> <li>19,611 households with electricity (14.89% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>Good supply of woodfuel and charcoal.</li> <li>Small hydros, solar and wind largely unexploited.</li> <li>Solar utilisation: 0.85%.</li> </ul>
5	Kitui	<ul style="list-style-type: none"> <li>Commercially viable reserves of coal in Mui Basin.</li> <li>Reasonable infrastructure for distribution of petroleum products</li> </ul>	<ul style="list-style-type: none"> <li>9,850 households with electricity (4.79% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>Supply of woodfuel and charcoal from unsustainable sources.</li> <li>Wind and solar largely unexploited.</li> <li>Solar utilization: 5.02%.</li> </ul>
6	Machakos	<ul style="list-style-type: none"> <li>Well-developed infrastructure for distribution of petroleum products</li> </ul>	<ul style="list-style-type: none"> <li>45,067 households with electricity (5.85% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>Supply of woodfuel and charcoal from unsustainable sources.</li> <li>Wind and solar largely unexploited. Percentage of Solar utilization: 0.21%</li> </ul>
7	Makueni	<ul style="list-style-type: none"> <li>Well-developed infrastructure for distribution of petroleum products</li> </ul>	<ul style="list-style-type: none"> <li>10,912 households with electricity (5.85% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>Supply of woodfuel and charcoal from unsustainable sources.</li> <li>Wind and solar largely unexploited.</li> <li>Solar utilization: 0.61%</li> </ul>
8	Nyeri	<ul style="list-style-type: none"> <li>Well-developed infrastructure for distribution of petroleum products</li> </ul>	<ul style="list-style-type: none"> <li>53,086 households with electricity (26.32% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>Good supply of woodfuel and charcoal.</li> <li>Small hydros, solar and wind largely unexploited.</li> <li>Solar utilisation: 0.5%</li> </ul>
9	Garissa	<ul style="list-style-type: none"> <li>Limited infrastructure for distribution of petroleum products</li> </ul>	<ul style="list-style-type: none"> <li>11,405 households with electricity (11.57% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>Supply of woodfuel and charcoal from unsustainable sources.</li> <li>Solar, and wind largely unexploited.</li> <li>Solar utilisation: 10.4%</li> </ul>

NO	COUNTY	FOSSIL FUELS	ELECTRICITY	RENEWABLE ENERGY
10	Wajir	<ul style="list-style-type: none"> <li>■ Poor infrastructure for distribution of petroleum products. County with one of the highest costs of petroleum products.</li> </ul>	<ul style="list-style-type: none"> <li>■ 2 isolated grids supply Wajir and Habaswein towns.</li> <li>■ 3,039 households with electricity (3.43% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>■ Supply of woodfuel and charcoal from unsustainable sources.</li> <li>■ Solar and wind largely unexploited.</li> <li>■ Solar utilisation: 29.69%</li> </ul>
11	Mandera	<ul style="list-style-type: none"> <li>■ Poor infrastructure for distribution of petroleum products. County with the highest costs of petroleum products.</li> </ul>	<ul style="list-style-type: none"> <li>■ Isolated grid supplies Mandera town.</li> <li>■ 3,198 households with electricity (2.55% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>■ Good supply of woodfuel and charcoal.</li> <li>■ Solar, wind, co-generation and tidal wave largely unexploited.</li> <li>■ Solar utilisation: 36.05%</li> </ul>
12	Marsabit	<ul style="list-style-type: none"> <li>■ Poor infrastructure for distribution of petroleum products. County with one of the highest costs of petroleum products.</li> </ul>	<ul style="list-style-type: none"> <li>■ Isolated grid supplies Marsabit town.</li> <li>■ Ethiopian grid supplies Moyale, with standby diesel generator sets.</li> <li>■ 4,238 households with electricity (7.48% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>■ Supply of woodfuel and charcoal from unsustainable sources.</li> <li>■ Best wind regime in the country.</li> <li>■ Solar largely unexploited.</li> <li>■ Solar utilisation: 48.04%</li> </ul>
13	Isiolo	<ul style="list-style-type: none"> <li>■ Limited infrastructure for distribution of petroleum products</li> </ul>	<ul style="list-style-type: none"> <li>■ Small section of county with national grid.</li> <li>■ Isolated grid supplies Merti.</li> <li>■ 5,800 households with electricity (18.51% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>■ Supply of woodfuel and charcoal from unsustainable sources.</li> <li>■ Solar and wind largely unexploited.</li> <li>■ Solar utilisation: 23.25%</li> </ul>
14	Meru	<ul style="list-style-type: none"> <li>■ Well-developed infrastructure for distribution of petroleum products</li> </ul>	<ul style="list-style-type: none"> <li>■ 50,004 households with electricity (13.12% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>■ Good supply of woodfuel and charcoal.</li> <li>■ Small hydros, solar and wind largely unexploited.</li> <li>■ Solar utilisation: 1.84%.</li> </ul>
15	Tharaka Nithi	<ul style="list-style-type: none"> <li>■ Well-developed infrastructure for distribution of petroleum products</li> </ul>	<ul style="list-style-type: none"> <li>■ 826 households with electricity (3.02% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>■ Good supply of woodfuel and charcoal.</li> <li>■ Small hydros, solar and wind largely unexploited.</li> <li>■ Solar utilisation: 6.03%.</li> </ul>
16	Kwale	<ul style="list-style-type: none"> <li>■ Receives bulk of its petroleum products by truck through Likoni Ferry.</li> </ul>	<ul style="list-style-type: none"> <li>■ No power plant in the county.</li> <li>■ 12,888 households with electricity (10.56% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>■ Good supply of woodfuel and charcoal.</li> <li>■ Cogeneration, solar, wind, small hydro and tidal wave largely unexploited.</li> <li>■ Solar utilisation: 1.25%</li> </ul>
17	Kilifi	<ul style="list-style-type: none"> <li>■ Well-developed infrastructure for distribution of petroleum products with connectivity levels of 16.73%.</li> </ul>	<ul style="list-style-type: none"> <li>■ 1 x 90MW thermal power plant.</li> <li>■ 33,423 households with electricity (16.73% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>■ Good supply of wood fuels and charcoal.</li> <li>■ Solar, wind, small hydro and tidal wave largely unexploited.</li> <li>■ Solar utilisation: 1.74%</li> </ul>
18	Tana River	<ul style="list-style-type: none"> <li>■ Limited infrastructure for distribution of petroleum products</li> </ul>	<ul style="list-style-type: none"> <li>■ Small section of county with national grid. Isolated grid supplies Hola.</li> <li>■ 1,184 households with electricity (2.5% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>■ Good supply of woodfuel and charcoal.</li> <li>■ Cogeneration, solar, wind, small hydro and tidal wave largely unexploited.</li> <li>■ Solar utilisation: 5.87%</li> </ul>



NO	COUNTY	FOSSIL FUELS	ELECTRICITY	RENEWABLE ENERGY
19	Lamu	<ul style="list-style-type: none"> <li>■ Some prospects for gas.</li> <li>■ Limited infrastructure for distribution of petroleum products.</li> </ul>	<ul style="list-style-type: none"> <li>■ 2 isolated grids at Lamu and Mpeketoni. 3,767 households with electricity (16.98% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>■ Good supply of woodfuel and charcoal.</li> <li>■ Cogeneration, solar, wind, small hydro and tidal wave largely unexploited.</li> <li>■ Solar utilisation: 2.52%</li> </ul>
20	Taita Taveta	<ul style="list-style-type: none"> <li>■ Well-developed infrastructure for distribution of petroleum products.</li> </ul>	<ul style="list-style-type: none"> <li>■ No power plant in the county.</li> <li>■ 10,653 households with electricity (14.99% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>■ Good supply of woodfuel and charcoal.</li> <li>■ Cogeneration, solar, wind, small hydro and tidal wave largely unexploited.</li> <li>■ Solar utilisation: 0.58%</li> </ul>
21	Baringo	<ul style="list-style-type: none"> <li>■ Reasonable infrastructure for distribution of petroleum products.</li> </ul>	<ul style="list-style-type: none"> <li>■ 10,583 households with electricity (9.56% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>■ Good supply of woodfuel and charcoal.</li> <li>■ Huge potential for geothermal, small hydros, solar and wind largely unexploited.</li> <li>■ Solar utilization: 27.78%</li> </ul>
22	Laikipia	<ul style="list-style-type: none"> <li>■ Well-developed infrastructure for distribution of petroleum products.</li> </ul>	<ul style="list-style-type: none"> <li>■ 18,222 households with electricity (17.67% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>■ Good supply of woodfuel and charcoal.</li> <li>■ Small hydros, solar and wind largely unexploited.</li> <li>■ Solar utilisation: 5.12%</li> </ul>
23	Narok	<ul style="list-style-type: none"> <li>■ Reasonable infrastructure for distribution of petroleum products.</li> </ul>	<ul style="list-style-type: none"> <li>■ 9,903 households with electricity (5.85% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>■ Good supply of woodfuel and charcoal.</li> <li>■ Solar and wind largely unexploited.</li> <li>■ Solar utilisation: 7.67%</li> </ul>
24	Kajiado	<ul style="list-style-type: none"> <li>■ Reasonable infrastructure for distribution of petroleum products.</li> </ul>	<ul style="list-style-type: none"> <li>■ Much of the existing wind power plant capacity in the country is in this county. 69,098 households with electricity (39.83% connectivity).</li> </ul>	<ul style="list-style-type: none"> <li>■ Supply of woodfuel and charcoal from unsustainable sources.</li> <li>■ Huge potential for wind, small hydros and solar, largely unexploited.</li> <li>■ Solar utilisation: 2.19%</li> </ul>

Source: Republic Of Kenya: Ministry of Energy and Petroleum, National Energy Policy, November 2013

12.10.4 Budget and budget deficit for selected climate-proofed infrastructure in ASAL counties

In Million Ksh		Estimated county infrastructure funding deficit - rural road and water						
No	County	Gravelled Road			Water			Combined deficit
		Total Budget	Available	Deficit	Total Budget	Available	Deficit	
1	Turkana	10.358	820	9.538	4.976	1.275	3.701	<b>13.239</b>
2	Baringo			-			-	-
3	Mandera			-				-
4	Wajir	10.200	1.845	8.355	12.766	3.232	9.534	<b>17.889</b>
5	Garissa	9.718	2.781	6.937	1.260	760	500	<b>7.437</b>
6	Marsabit	1.269		1.269	225		225	<b>1.494</b>
7	Samburu	3.505	1.040	2.465	1.700	410	1.290	<b>3.755</b>
8	Isiolo	14.942	1.712	13.230	244	117	127	<b>13.357</b>
9	Tana River	2.650	692	1.958	980	177	803	<b>2.761</b>
10	West Pokot	5.200	1.470	3.730	1.630	440	1.190	<b>4.920</b>
11	Laikipia	2.181	235	1.946	2.256	27	2.229	<b>4.175</b>
	Sub-total 9 counties	60.023	10.595	49.428	26.037	6.438	19.599	<b>69.027</b>
<b>Deficit per county profile</b>								
<b>Profile 1 - Very Arid - large land-mass (Turkana-Marsabit-Mandera-Wajir-Garissa)</b>								
				Gravelled Road		Water retention		TOTAL
	Average on Turkana-Wajir-Garissa			8.277		4.578		<b>12.855</b>
	<b>Estimated deficit for profile 1</b>			<b>41.383</b>		<b>22.892</b>		<b>64.275</b>
<b>Profile 2: Arid and medium land mass and Profile 3: Semi Arid (18 counties)</b>								
	Average on Samburu+Isiolo+Tana+West Pokot+Laikipia			4.666		1.128		5.794
	<b>Estimated deficit for profiles 2 and 3</b>			<b>83.984</b>		<b>20.300</b>		<b>104.285</b>
	<b>TOTAL Estimated funding deficit</b>			<b>125.368</b>		<b>43.192</b>		<b>168.560</b>

## 12.11 Infrastructure commitments in the ASAL Policy and EDE MTP

	ASAL POLICY	EDE MTP
<b>Transport: Roads</b>	<ul style="list-style-type: none"> <li>■ Develop &amp; maintain an integrated, safe &amp; efficient road, rail &amp; air transport network in the region, prioritising the development of transport corridors linking Kenya to key markets in Ethiopia, South Sudan and Somalia and beyond them to the Middle East, such as the Lamu Port-South Sudan-Ethiopia (LAPSSET) transport corridor.</li> </ul>	<ul style="list-style-type: none"> <li>■ Construct, upgrade or rehabilitate 2,209 Km of priority roads to enhance connectivity and markets. These roads are:               <ul style="list-style-type: none"> <li>• Kitale-Marich Pass-Nadapal (534 km)</li> <li>• Malindi-Bura-Madogo (331 km)</li> <li>• Rumuruti-Maralal (120 km)</li> <li>• Modogashe-Wajir-Elwak (346 km)</li> <li>• Isiolo-Garbatulla-Modogashe (195 km)</li> <li>• Garissa-Daadab-Liboi (209 km)</li> <li>• Marsabit-North Horr-Loiyangalani (274 km)</li> <li>• Nginyang-Lokori-Lokichar (200 km)</li> </ul> </li> </ul>
<b>Energy</b>	<ul style="list-style-type: none"> <li>■ Expand access to power and ICTs for the people of the region.</li> <li>■ Harness renewable energy, such as wind and solar, for the benefit of the nation.</li> </ul>	<ul style="list-style-type: none"> <li>■ Harness the region's energy potential through the construction of various wind farms in Marsabit, Isiolo, Turkana, Wajir, Mandera, Ngong Hills &amp; Lamu. Budget of Kshs 165 bn</li> </ul>
<b>Water</b>	<ul style="list-style-type: none"> <li>■ Improve the water &amp; sanitation infrastructure in line with a strategic assessment of the most appropriate locations &amp; technologies.</li> <li>■ Invest in water harvesting, water supply &amp; irrigation infrastructure.</li> <li>■ Increase access to the skills &amp; technologies needed for irrigated agriculture, particularly when community-managed.</li> <li>■ Promote low-maintenance water technologies, with an emphasis on water harvesting, which (given likely climate change impacts) can deal with both abundance &amp; scarcity.</li> </ul>	<ul style="list-style-type: none"> <li>■ Construct and/or rehabilitate nine water supply systems and ensure quality management of water systems in well-established permanent settlements in the arid region (Ministry i/c Water). Budget of Kshs 18 bn</li> <li>■ Construct nine waste water treatment plants and nine solid waste management projects in well-established permanent settlements in the arid region (Ministry i/c Water and Sanitation). Budget of Kshs 3 bn</li> <li>■ Map groundwater in Turkana and Marsabit, Isiolo (by WRMA), and four other counties selected on the basis of their water stress indices, to assess groundwater potential and its distribution and guide the sustainable development of this resource. Budget of Kshs 760 m</li> <li>■ Construct one large and 11 medium multi-purpose dams. Budget of Kshs 31.7 bn</li> </ul>
<b>ICT</b>	<ul style="list-style-type: none"> <li>■ Expand access to power and ICTs for the people of the region.</li> <li>■ Promote the use of ICTs and other technologies in service delivery.</li> </ul>	<ul style="list-style-type: none"> <li>■ Construct 20 solar-powered ICT centres (Maarifa Centres) (Ministry i/c ICT).</li> <li>■ Expand mobile phone coverage by fully operationalising the Universal Fund (CCK): Budget Kshs 200 m</li> </ul>

## 12.12 Summary of key stakeholders by sub-sector

### 12.12.1 Roads

Until now, three government authorities have been the key players in the roads sub-sector:

- Kenya National Highways Authority (KeNHA), responsible for the development and management of main roads (Class A, B and C).
- Kenya Rural Roads Authority (KeRRA) responsible for the development and management of rural roads (Class D, E and others). With devolution, its role should become more limited as responsibilities are transferred to the county governments.
- Kenya Urban Roads Authority (KURA), responsible for the development and management of roads in cities and municipalities.

### 12.12.2 Energy

The Rural Electrification Authority was established under Section 66 of the Energy Act of 2006 as a body corporate with the principal mandate of extending electricity supply to rural areas, managing the Rural Electrification Fund, mobilising resources for rural electrification, and promoting the development and use of renewable energy.

KPLC is a State Corporation with government shareholding of 50.1% and private shareholding of 49.9% as at December 2011. It purchases electrical energy in bulk from KenGen (the main power generating company) and other power producers, and carries out transmission, distribution, supply and retail of electrical power.

### 12.12.3 Water

The provision of water is characterised by a host of actors with government being the key one. Government operates through the ministry in charge of water development (currently the Ministry of Environment, Water and Natural Resources) and government agencies, especially those created by the Water Act 2002 (expected to be reorganised under the Water Bill, 2013). The Government is also the key player in sanitation and hygiene through the ministry in charge of public health services, currently the Ministry of Health.

Other actors include other government ministries and parastatals, such as the National Water Conservation and Pipeline Corporation and the Regional Development Authorities, county governments, multilateral and bilateral international development organisations with some bilateral cooperation focusing on water, civil society organisations and the private sector.

In terms of the provision of water and sewerage services to the public, the main actors are the regional Water Service Boards (WSBs) created by the Water Act 2002. These carry out their mandate through contracted Water Service Providers (WSPs). The WSBs relevant to the ASALs include the Northern Water Services Board, Rift Valley Water Services Board, Coast Water Services Board, Tanathi Water Services Board, and Tana Water Services Board.

The Water Act 2002 also created the Water Services Trust Fund (WSTF) to help finance water supply projects in areas of inadequate provision with a particular focus on poor locations, most of which are in the ASALs. Regional Development Authorities are also key players in water supply development, both for drinking and for irrigation. The relevant authorities in the ASALs include the Coast Development Authority, Ewaso Nyiro Development Authority, Ewaso Nyiro North Development Authority, and Tana Development Authority. Civil society organisations also play a role, but to a lesser extent.

### 12.12.4 ICT

The key players in the ICT sector are the government through the regulator, the Communications Commission of Kenya (CCK), and the ICT Authority (formerly the ICT Board), but mostly the private sector service providers. Among the key private sector players in the provision of voice services are the four mobile service providers Safaricom, Airtel, Yu Essar and Orange networks. In the provision of data services there are more players, including the four mobile voice services and others such as Liquid Telecom (formerly Kenya Data Networks), Jamii Tecom, Zuku, Access Kenya, Tangerine and Jambo Telekom.



## 12.13 Ongoing and planned water projects in the ASALs

PROJECT	BUDGET	NOTES
Mwache multipurpose dam	25bn	Implemented by the Coast Development Authority. 77m dam, reservoir capacity of 133m <sup>3</sup> . Will provide 230,000 m <sup>3</sup> water to Kwale & Mombasa, generate 34MW of power to the national grid, & provide water for domestic and industrial use and for irrigation.
Twake multipurpose water development programme	62bn	To increase water storage for domestic use, irrigation & livestock, and hydropower production, focusing on the rural populations of Kitui & Makueni and the urban population of Konza city.
High Grand Falls multipurpose dam	150bn	Implemented by the Tana River Development Authority. Will provide 453-800MW for the national grid, and expand irrigation by up to 150,000 hectares.
Lake Challa multipurpose water project	9bn	Located in Taita Taveta.
Lower Ewaso multipurpose dam	28.5bn	
Tana Delta rice irrigation project	92.5m	
Tana Delta sugar cane irrigation project	14bn	
Rural water supply	19.4bn	Implemented by the National Water Conservation & Pipeline Corporation. Infrastructure for 300 rural water supplies; 400 boreholes; 600 small dams & pans in ASALs.

The government also plans to review six catchment management strategies, prepare 200 sub-catchment plans, and construct 50 sand dams and sub-surface dams along seasonal rivers in the ASALs. A national water allocation plan, national rainwater harvesting strategy and water storage investment plans will be developed. The sector will coordinate

the implementation of water storage and harvesting programmes to increase the national water storage capacity by 18.97 million cubic meters (Republic of Kenya, Environment, Water And Sanitation Sector: Second Medium Term Plan 2013-2017).

# 13

## Pillar 3: Human capital

### Key data

<b>COUNTRY</b>	Kenya
<b>TITLE</b>	Common Programme Framework for Ending Drought Emergencies: Human Capital
<b>DURATION</b>	July 2014 – June 2018
<b>TOTAL BUDGET</b>	Kshs. 15,849 million
<b>OVERALL OUTCOME</b>	A more healthy, skilled, innovative, resourceful and motivated human capital in the ASALs.
<b>EXPECTED RESULTS</b>	<ol style="list-style-type: none"><li>1. The capacity and number of appropriately trained and experienced professionals working in ASAL counties increased.</li><li>2. Alternative interventions, including emerging technologies, in the provision of health, nutrition, WASH and education services integrated into current systems.</li><li>3. The demand for equitable and quality health, nutrition, WASH and education services increased through community education and empowerment.</li></ol>
<b>FOCUS AREA AND POPULATION</b>	Arid and semi-arid counties, approximately 15 million people (36% of the national population)
<b>CONTACT DETAILS</b>	<p><b>The Principal Secretary</b>, Ministry of Education, Science and Technology P.O. Box 30040-00100 Nairobi, Kenya ps@education.go.ke, www.education.go.ke</p> <p><b>The Principal Secretary</b>, Ministry of Health P.O. Box 30016-00100 Nairobi, Kenya ps@health.go.ke, www.health.go.ke</p>

### 13.1 Executive summary

This is the third of six common programme frameworks that have been developed to operationalise the Ending Drought Emergencies (EDE) Medium Term Plan, which is an integral part of the Kenya Vision 2030 Second Medium Term Plan for 2013-17.<sup>44</sup>

The status of social services in arid and semi-arid areas is generally well below that in the rest of Kenya. These counties have some of the lowest human development indicators in the country. Service provision has been under-resourced by the government, to the extent that critical services are irregular, unreliable and inadequate, of low quality, and too distant from those who need them.

The aim of this common programme framework is to develop a healthy, skilled, innovative, resourceful and motivated human capital which thus provides a strong foundation to increase resilience to drought. An important feature is its integrated focus on basic social services, bringing together health, nutrition, WASH (water, sanitation and hygiene), and education (which includes adult literacy and early childhood development (ECD)). This creates opportunities for the integrated provision of services and for sharing evidence-based approaches to common challenges faced by service providers. Other areas of innovation include the development of surge mechanisms that expand and contract service provision during drought, and the application of technology to expand access and promote equity.

There are three components: the first seeks to increase the number and capacity of appropriately trained and experienced professionals working in the region; the second will integrate alternative interventions into existing systems of service provision, including through the use of technology, so that service delivery is more appropriate to

<sup>44</sup> The others are on peace and security, climate-proofed infrastructure, sustainable livelihoods, drought risk management, and institutional development and knowledge management.

the regional context; and the third will increase demand for quality services through community education and empowerment.

This is a five-year framework with a budget of Kshs. 15,849 million.

## 13.2 Situation analysis

Human capital is understood to be the resources and capabilities that help people be economically and socially productive. It can be strengthened by investing in education, training, health care or nutrition. A strong human capital base provides a foundation for sustainable and resilient livelihoods and economic growth. A healthy and productive workforce is essential for national development.

The link between human capital and drought resilience is clear. Educated and healthy people are better able to withstand shocks such as drought. Episodes of ill-health are the single biggest cause of people falling into poverty, while families with children in employment are less likely to suffer during crises. Research in Baringo County at either end of a 19-year period showed that households with secondary education were nearly a third less likely to use food aid, nearly 50 per cent more likely to have 'good' food availability, and to have annual cash savings more than five times higher.<sup>45</sup> Further, young people with good employment prospects may be less likely to be drawn into conflict or anti-social behaviours.

Education for girls and women has a high correlation with positive health, nutrition and broader socio-political outcomes. Women who have attained secondary education give birth later and are more likely to take advantage of health services and ensure that their children are immunised. When women earn income, they reinvest ninety per cent in their families, while men reinvest only 30 to 40 per cent.<sup>46</sup> Women should therefore be a particular focus of education, vocational training and employment interventions.

The Constitution of Kenya 2010 sets out citizens' rights to basic services in education, health and nutrition; these are also upheld in other policy documents. Despite considerable progress in social service delivery in other parts of the country,

arid and semi-arid counties still lag behind. There are a number of structural and social reasons why access to basic education and health services in these areas is more challenging. First, there is an acute lack of trained and experienced professionals. Many technical officers are employed from outside the area and staff retention is a problem. Training people from the region to fill technical and professional positions is an urgent priority. Second, services are not always appropriate to the social and cultural context, particularly that of pastoralism. Third, planning for basic services does not adequately accommodate or prepare for drought and other hazards which place a strain on systems. For example, services need to be flexible and ready to cope with increases in malnutrition and disease and pressures on school attendance.

As a result, the disparities in education and health outcomes between ASAL counties and the rest of Kenya are acute. Innovative delivery mechanisms and accelerated investment will be required if constitutional obligations are to be met.

### 13.2.1 Sector analysis

The main sub-pillars of human capital are education (with particular emphasis on vocational and professional training), health (including public health interventions such as sanitation and hygiene promotion) and nutrition.

#### Education

Education indicators vary across the ASALs but are on average far below other parts of the country. Rates of primary enrolment and literacy are of particular concern since they are the foundation of the education system. Primary enrolment in several northern counties is still below 50% compared with the national average of 95.6%,<sup>47</sup> while rates of female literacy in counties such as Mandera and Wajir are less than 10%.

<sup>45</sup> Little, P., Aboud, A. and Lenachuru, C., 2009, 'Can Formal Education Reduce Risks for Drought-Prone Pastoralists? A Case Study from Baringo District, Kenya'. Human Organisation, Summer 2009

<sup>46</sup> Fathalla, M. (2012) 'The White Ribbon Alliance for Safe Motherhood'

<sup>47</sup> Ministry of Education, Science and Technology, 2013



Poor educational indicators are a reflection of an education system which is inadequate and remote. Uptake is low due to the poor quality of education, disappointing results and employment prospects, and a number of social and cultural factors. These issues can be addressed through more appropriate and culturally sensitive delivery mechanisms, such as flexible timing that allows for mobility, distance learning, integrated Islamic education where relevant, and a secure learning environment, especially for girls.<sup>48</sup>

The school model of learning is strong in predictable and stable conditions, but it is less effective where there are high levels of discontinuity. In pastoralist areas, for example, the location of communities, student attendance and demand, and levels of human insecurity may all vary over time. The degree of disconnect is such that entering the formal education system has often meant that students do not return to their traditional way of life. Schools may be located far from communities and teach skills that are geared toward sedentary lifestyles. It is important to ensure that the curriculum does not alienate children from their communities and that it builds rather than diminishes social capital and community integrity. The key challenge is how to operate an inclusive education system in environments where key parameters cannot easily be controlled.

Educational opportunities are generally worse for girls than boys given the subordinate status of girls and women in most pastoralist societies. Just 10 per cent of the girls in Wajir who enrolled in Standard 1 in 2003 were still in school by Standard 8 in 2010.<sup>49</sup> As well as their domestic responsibilities, certain cultural practices such as female genital mutilation and early marriage curtail girls' learning.<sup>50</sup> People with disabilities and minority groups face additional obstacles in accessing education.

There is acute understaffing in all social sectors, including education, because of the lack of locally qualified personnel and reluctance by those from outside the region to work in remote areas with poor infrastructure and social amenities. Efforts are needed to attract and retain staff and increase training opportunities for people from the ASALs.

Schools are very poorly resourced. For example, in 2011 the proportion of schools with computers was 1.3 per cent in Wajir, 2.3 per cent in Turkana and 3.3 per cent in Mandera.<sup>51</sup> The resource allocation for upkeep in low-cost boarding schools is only KShs. 8 per child per day.

There are very few adult literacy centres in the ASALs and those that do exist are generally in urban centres. The distribution of adult literacy teachers is not equitable, with fewer teachers assigned to areas where literacy rates are lowest. There has been no government literacy campaign in Kenya since the 1970s. According to a survey carried out in 2007, adult literacy in the north-east was eight per cent (male 12.3 per cent and female 4.3 per cent), compared with a national average of 61.5 per cent.

Non-formal education and early childhood provision is extremely limited. There are also few institutions of higher learning which provide training in subjects relevant to the ASALs. There is no university in the north, and vocational and technical institutions are poorly equipped, particularly to provide science-based courses.

The government committed itself to meet the Education for All (EFA) goals and the Millennium Development Goals (MDGs) for education by 2015. Several measures were introduced in the past decade to meet these commitments. The shift to free primary education (FPE) launched in 2003, and later supported by education development partners through the Kenya Education Sector Support Program (KESSP), increased primary school enrolment from 5.9 million children in 2000 (3 million boys and 2.9 million girls) to 9.4 million children in 2010 (4.8 million boys and 4.6 million girls).<sup>52</sup>

<sup>48</sup> Kratli, S. and Swift, J. (2010) 'Getting to the hardest-to-reach: A strategy to provide education to nomadic communities in Kenya through distance learning'

<sup>49</sup> Watkins, K. and Alemayehu, W. (2012) 'Financing for a Fairer, More Prosperous Kenya: A Review of the Public Spending Challenges and Options for Selected Arid and Semi-Arid Counties', Brookings Institution Working Paper 6

<sup>50</sup> Kipuri, N. and Ridgwell, A. (2008) 'A Double Bind: The Exclusion of Pastoralist Women in the East and Horn of Africa', Minority Rights Group

<sup>51</sup> UWEZO Kenya (2012) 'Are our children learning? Annual Learning Assessment Report'

<sup>52</sup> Education for All End of Decade Report, p109. Other positive achievements attributed to KESSP include improved pupil-textbook ratios from 1 book for 15 pupils in 2002 to an average of 1 for 3 in 2011; increased primary to secondary transition rates from 45% in 2003 to 66.9% in 2010; and improved pupils' results in the Kenya Certificate of Primary Education examinations.

Despite this progress an estimated one million children are still out of school in Kenya, most of them in the ASALs.

Finally, professional and vocational training is particularly important in societies, such as those in the ASALs, where livelihoods are changing and new economic opportunities are emerging. Family and social networks play an important role in conveying and sustaining the skills needed for livelihoods such as pastoralism. However, new skills need to be nurtured so that livelihoods can be strengthened and sustainably adapt, the growing demand for services can be met, and those currently dependent on aid or social protection mechanisms can find more sustainable means of support.

### Health, nutrition, hygiene and sanitation

Poor health status and malnutrition are among the biggest threats to the achievement of national development goals in the ASALs. They increase people's vulnerability to shocks, weaken their capacity to resist and recover, and keep the majority below the poverty line.

Children are clearly disadvantaged compared with other age groups and experience multiple deprivations of their rights. The survival of children and pregnant women is often used as a measure of success for development and human rights. The maternal mortality rate in parts of northern Kenya is more than seven times the national average. Child mortality rates are also high, at 80 per 1000 live births in the north-east.<sup>53</sup> Only 17 per cent of children in the north-east are delivered in health facilities, and only 31.6 per cent of mothers receive delivery assistance from skilled personnel. Less than half (48.3 per cent) of children in arid counties receive all their recommended vaccinations, against an average of 77 per cent for Kenya as a whole.<sup>54</sup>

Levels of stunting in Kenya have fluctuated over the past 20 years with no change noted in the past five years. Stunting was responsible for an economic loss of approximately Ksh 95 billion shillings in 2010.<sup>55</sup> If nothing is done then by 2030 the country will suffer even greater losses of approximately 704,771 deaths and Ksh 2.4 trillion.<sup>56</sup> The burden of these future losses is not evenly distributed: the prevalence of stunting ranges from one in five children in Mombasa and Isiolo to three in five children in Wajir. A child in Wajir is three times as likely

to be stunted as a child in Kisumu, Isiolo or Embu.<sup>57</sup> Acute malnutrition, micronutrient deficiencies and stunting are associated with increased morbidity and mortality, unmanageable health expenses for poor households, and reduced school performance and productivity in adulthood. If these children survive, they never reach their full mental and physical potential. Malnutrition is an underlying cause in at least one-third of the 122,000 deaths of children under five each year.<sup>58</sup> If an economic case for action needs to be made, then based on an estimated cost of key nutrition interventions of US\$ 96 per child, and estimating the income generated by these children were they to reach adulthood, the return for each dollar spent on nutrition would be between US\$ 24 and US\$ 75.<sup>59</sup>

Poor child survival, growth and development is also related to poor hygiene and sanitation practices which place children at an increased risk of diarrhoea and death. Approximately 19,500 Kenyans, including 17,100 children under five, die each year from diarrhoea. Nearly 90 per cent of this is directly attributed to poor WASH services and practices. Poor sanitation costs Kenya US\$ 324 million (equivalent to US\$ 8 per person), and these costs are disproportionately borne by the poorest and by women and girls, who are the primary caregivers. The promotion of hand-washing and other hygiene measures is the single most cost-effective way to reduce diarrhoeal disease. However, the 2010 WASH baseline assessment revealed that the majority of households in the ASALs have inadequate access to safe water and sanitation and use inappropriate hand washing practices (Table 23). There is also a high prevalence of open defecation.

<sup>53</sup> Republic of Kenya (2010) 'Kenya Demographic and Health Survey, 2008-09'

<sup>54</sup> UNICEF (2011) 'Northern Kenya Social Policy Data Summary'

<sup>55</sup> Save the Children (2012) 'A Life Free from Hunger: Tackling Child Malnutrition'

<sup>56</sup> Ministry of Health (2010) 'Nutrition Profiles'

<sup>57</sup> Kenya Integrated Household Baseline Survey (KIBHS), 2005-2006

<sup>58</sup> Ministry of Health (2010) 'Nutrition Profiles'

<sup>59</sup> Hoddinott, et al (2012)

Several factors contribute to the poor status of health and nutrition in the ASALs, including:

- poor access to quality health care due to lack of awareness among communities about their health and the health services that exist;
- inadequate number of health facilities for the size of population;
- poor attitude of health workers;
- long distances between communities, settlements and health facilities (in places between 50-100kms), compounded by poor infrastructure;
- scarcity of potable water, which compromises sanitation and hygiene;
- chronic food insecurity;
- depreciation of services during periods of crisis;
- lack of referral mechanisms for complicated cases and poor road network.

There is also an acute shortage of skilled human resources.<sup>60</sup> Staffing levels in the region are 50 per cent below WHO-recommended staffing norms. The current vacancy rate in ten counties of northern Kenya, assessed against establishment figures, is 79 per cent.<sup>61</sup>

Finally, the government’s budgetary allocation for the health sector is still below the 15 per cent target

stipulated in the Abuja Declaration of 2001. Even after the devolution of funds to counties and the creation of the Equalization Fund, allocations will be far below what is needed for basic services to be provided by skilled and well-resourced professionals.

Kenya has developed a number of policies and strategies to improve social services with a focus on equity, all of them aligned to the Kenya Vision 2030 Second Medium Term Plan 2013-17. These include the Health Policy Framework 2011-2030, the Health Sector Strategic Plan 2013-2018, and the National Human Resources for Health Strategy. Although some progress has been made in increasing access to essential services for the most deprived populations, this is insufficient and highly dependent on external humanitarian funding leading to short-term investment and short-term results. Numerous studies have been conducted in northern Kenya to identify the bottlenecks to service delivery and the measures needed to improve key elements of social services, namely human resources, equity in service delivery, generating demand, and quality.

<sup>60</sup> Ministry of Health (2013) ‘Services Availability Readiness Assessment (SARAM)’

<sup>61</sup> Capacity Kenya (2012) ‘Human Resources for Health (HRH) Assessment of Northern Kenya’

<sup>62</sup> WHO/UNICEF (2012) Joint Monitoring Programme for the MDGs

Table 23: Status of water, sanitation and hygiene in selected ASAL counties <sup>62</sup>

COUNTY	No. health facilities needing improved water & sanitation development	No. health facilities currently supported by WASH programmes	% households with access to improved sanitation	% households with adequate / safe source of water	% population practising appropriate hand-washing behaviour
<b>NATIONAL AVERAGE</b>	n/a	n/a	32	59	
<b>MANDERA</b>	15	5	n/a	39	25
<b>WAJIR</b>	73	5	n/a	42	34
<b>GARISSA</b>	50	5	1	25	42
<b>TURKANA</b>	15	5	n/a	44	50
<b>W. POKOT</b>	27	5	15	19	59
<b>MARSABIT</b>	72	0	34	33	61
<b>KITUI</b>	15	5	51	35	39

## 13.2.2 Critical issues to address

### Staff recruitment, training and retention

The human resource gap in the ASALs for teachers and health workers in public facilities and at the community level is critical and needs immediate action. Productive workers are leaving the service driven by concerns about a combination of personal, professional, social and economic needs: career development and advancement, the work environment, terms and conditions, remuneration, family considerations and standard of living.

Some of the strategies to address this may include:

- Adjusting terms and conditions and improving remuneration packages and living standards (both housing and social amenities). Examples of possible reforms include approval by the Public Service Commission for officers in certain counties to be employed on contract, thus creating more flexibility in recruitment, as well as incentives and affirmative action measures (such as fast-track training and development) for those willing to take contracts in certain counties. A first step would be to review experience in other countries which have faced similar challenges.
- Strengthening capacity in workforce planning and management, and introducing innovation in human resource systems where required. One example is moving experts on temporary missions to areas where their specialised skills are required. This has been successfully done with the treatment of obstetric fistulae, making access to this service available in remote areas through a formally organised outreach programme.
- Complementing qualified and experienced staff with para-professionals.
- Prioritising the professional training of women, in order to reduce the gender gap in human resource capacity in many ASAL counties and ensure that the needs of both women and men are being met (particularly in the provision of health services).
- Expanding access to continuing professional development through distance learning.

The ASALs have substantial numbers of unemployed

youth but are still importing many skills from other areas. Technical and vocational skills need building urgently to maximise human resource capacity for both the public and private sector. This requires human resource planning that takes account of other developments in the region and responds to critical gaps. The pressure on human resources has increased with devolution, since critical professional functions (road engineers, statisticians, legal advisers, and so on) are now required at the county level.

### Appropriate delivery models that promote equity in service delivery

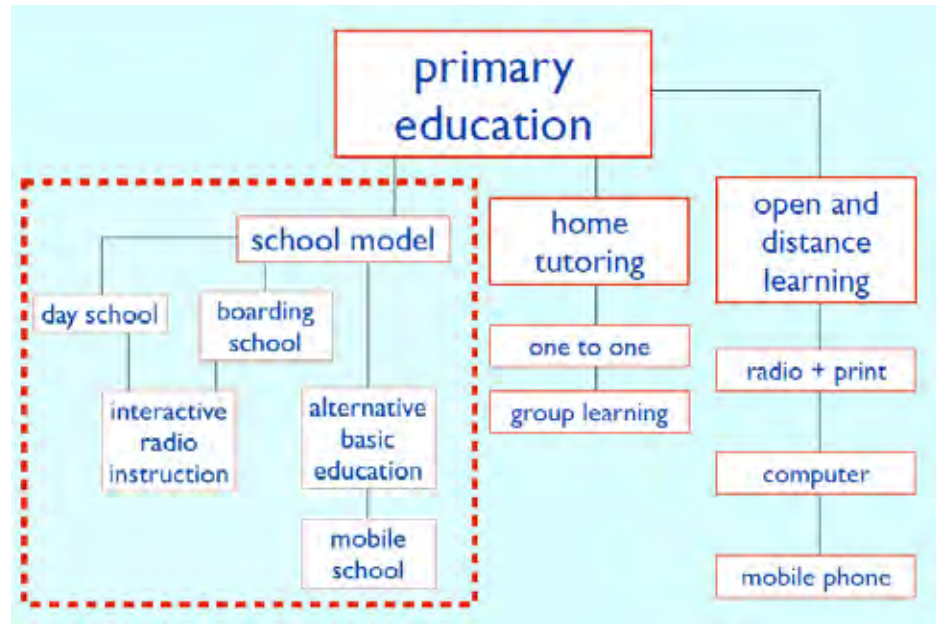
Equity in service delivery requires special measures to reach the most remote and marginalised communities. 'Appropriate' delivery means mechanisms that not only reach the populations concerned but are also socially and culturally acceptable. This requires an understanding of the local context and close dialogue with communities. In the education sector, for example, appropriate delivery mechanisms may include complementary distance learning approaches for remote and mobile populations, flexibility in the timetable, culturally appropriate provision, single-sex provision, and integration with Koranic schools. Figure 7 illustrates some of the options for approaches that would complement, and be integrated with, the existing school-based system.

New developments in mobile phone technology and internet access present major opportunities to increase the skills and knowledge of professionals and improve the monitoring of remote services. Given limited staff resources and difficulties in providing relief cover, e-learning expands the possibilities for in-service training and professional development which might otherwise be denied.

In health and nutrition, mobile outreach services can be combined with community-based services and citizen participation; it may also be possible to integrate community animal health services, building on experience in the north-east in the 1980s and 1990s. The Ministry of Health used mobile clinics with considerable success until the 1990s, after which the system regressed. Mobile health clinics would enhance coverage in remote rural areas and are a better alternative to non-functional permanent facilities. Other options to expand access include



Figure 7: Open and distance learning that complements school models of education



surgical camps and organised visits by specialists. An integrated community-based health strategy can be effective in achieving high treatment coverage and high-quality care for sick children in the community. Community case management of malaria can reduce overall and malaria-specific under-five mortality by between 40 and 60 per cent. Oral rehydration salts (ORS) and zinc are effective against diarrhoeal mortality in the home and community settings, with ORS estimated to prevent between 70 and 90 per cent of diarrhoeal deaths. For widely scattered communities with limited access to health centres, strong and well-supported community health units are essential in delivering these services.

Community-Led Total Sanitation (CLTS) is an effective model for hygiene and sanitation behaviour change to reduce the incidence of disease; it also empowers communities to take action on preventative health with the support of Community Health Units (CHUs). Strong support for CLTS from the Ministry of Health and a well-coordinated road map has significantly reduced open defecation.

#### Capacity to expand and contract services in response to drought

An important part of strengthening human capital in drought-prone areas is enabling the expansion of services to meet additional demand during drought and their subsequent contraction. In the past this surge capacity has been provided by international

humanitarian actors. Building this capacity into government service delivery mechanisms, together with agreed monitoring and trigger mechanisms, will facilitate earlier and faster response. More broadly, adaptive social services, i.e. those that are sustainable, flexible/scalable and cost-effective, are essential for both social protection and growth.<sup>63</sup>

#### Demand for health and education services

There are several barriers to health-seeking behaviour in remote areas. One is the high cost of doing so, while another is the preference for traditional health, nutrition and sanitation practices. The prevailing attitude in many communities is that seeking assistance from health professionals is a last resort; the value of appropriate hygiene, nutrition and health-seeking behaviour is not well recognised. Therefore intensive efforts are needed to create demand for health and nutrition services. Global experience suggests that this is best done through community-based health workers, which is well reflected in the Kenya Community Health Strategy. Unfortunately the roll-out of this strategy has been slow and uneven in the ASALs, and the number of trained and deployed CHUs is still low. For example, only ten out of a planned 72 CHUs are active in West Pokot.

<sup>63</sup> UNICEF (2014) 'Review of Adaptive Basic Social Services Provision to Reduce Disaster Risk of Populations Especially Children in Selected Horn of Africa Countries'



Demand for education, on the other hand, is growing in the ASALs. Many women will prioritise spending on school fees above other household investments. However, the domestic burden in areas with long distances to water, fuel-wood and grazing means that many children and young people are denied opportunities for education. In order to increase demand still further, more effort is needed to reduce burdens on the household and ensure that services are culturally relevant and appropriate. Education officers should work with local education committees to promote the value of education and help families prioritise their participation.

### **Coordination and knowledge management**

There are many agencies in the health and education sectors with diverse policies and mandates, leading to poor coordination of activities, inefficient use of resources, and ineffective provision. Strong coordination mechanisms are essential at both national and county level, including for sharing experience of new approaches. These mechanisms also need to adapt and scale up at times of crisis, when more actors and demands put extra strain on already overloaded government staff.

Kenya is going through a period of major institutional change, including the devolution of health services to county governments. An all-inclusive human capital strategy that reflects the collective and accumulated knowledge of stakeholders, and that sets out a clear agenda for action, may ensure coherence and sustain progress at a time when the operating environment is especially fluid.

### **13.2.3 Justification for the common programme**

An important justification for this common programme framework is that the health, nutrition and education sectors all face common challenges in drought-prone areas. The framework provides an opportunity for stakeholders to understand these challenges and share evidence-based approaches. It will guide partners in designing cluster-wide programmes and integrated action plans. Opportunities for joint financing will be identified during the inception phase.

Further, health, nutrition and education outcomes are inextricably linked. Opportunities for integrated

provision should be maximised. The education system provides an environment where important health and nutrition-related topics can be taught, such as appropriate health care practices, food production, home preservation and storage, food preparation, food safety and the importance of dietary diversity. A key strategy is to build the capacity of frontline staff, such as teachers, extension agents, health practitioners and other service providers, to incorporate health, nutritional and food safety considerations and messages into their routine work. Their knowledge and understanding must be adequate in both depth and scope to handle the many facets of health and nutrition.

One example of integrated provision is the School Feeding Programme (SFP) and the Home-Grown School Meals Programme (HGSMP). Both these are having significant positive impacts on nutrition, learning outcomes and drought resilience. The SFP is an incentive for parents to enrol their children in schools. It increases the attention and concentration of students, producing gains in cognitive function and learning. Similarly, micronutrient deficiencies in school-age children which directly affect cognition, such as iodine and iron, can be addressed within the school environment, leading to better outcomes in both nutritional status and school performance.

Outside the school, adult literacy plays a critical role in changing the nutrition and health status of women, children and communities at large. There is also a positive correlation between mothers' education and infant health and survival. Adult literacy and basic education for girls are thus important parts of a drought-resilience strategy.

### **13.2.4 Contribution to relevant policies and sector priorities**

This common programme framework actualises commitments made in Sessional Paper No. 8 of 2012 on the National Policy for the Sustainable Development of Northern Kenya and other Arid Lands (the ASAL Policy). The second objective of the Sessional Paper is 'to improve the enabling environment for development in ASALs by establishing the necessary foundations for development'. Part of this enabling environment is a stronger base of human capital.

The Basic Education Act, 2013, emphasises the need to respond to emergencies, ensuring gender equality and equity for the most marginalised communities. The Act also legalises the National Council on Nomadic Education in Kenya (NACONEK) whose mandate and strategic direction are being developed as a priority by the MoEST and its development partners. Once operationalised, NACONEK will fast-track education for children and communities in nomadic areas, drawing on experiences and pilots that are currently underway.

In implementing the measures set out in this framework, the Government and its development partners will contribute to the following policies and strategies:

- Basic Education Act, 2013
- Nomadic Education Policy, 2009
- National Education Sector Support Programme (NESSP), 2013-2018
- National School Health Policy, 2009
- 'Getting to the hardest-to-reach: a strategy to provide education to nomadic communities in Kenya through distance learning', March 2010
- Ministry of Education Strategic Plan, 2013-2018
- Kenya Health Policy
- National Health Sector Strategic Plan, 2013-2018
- National Human Resources Strategy, 2013-2017
- County Health Sector Strategic and Investment Plans, 2013-2018
- Road Map for Removing Open Defecation, 2010
- National Sanitation Strategy, 2010
- National Disaster Management Policy, 2012
- National Food and Nutrition Security Policy, 2011
- National Nutrition Action Plan, 2012-17

### 13.3 Programme framework

This common programme framework has an integrated focus on basic social services, including health, nutrition, WASH, and education. The EDE pillar on climate-proofed infrastructure will improve

the infrastructure for water, while this pillar focuses on water safety and hygiene (including household water treatment).

The overall objective of the framework is: 'To contribute to a healthy, skilled, innovative, resourceful and motivated human capital'.

The framework has three components, summarised in Table 24 and in more detail in the results framework in section 13.8.

The education component of the framework focuses on the 14 arid and pastoralist counties where educational indicators are significantly below the national average, and where educational access, equity and quality are made more complex by factors such as mobility, distance, cultural attitudes and poor infrastructure.<sup>64</sup> The health, nutrition and WASH components focus on all 23 ASAL counties.

The proposed timeframe for this framework is five years, with a six-month inception phase during which the institutional arrangements will be operationalised and the first consolidated work plans agreed between the national and the county governments.

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<sup>64</sup> Turkana, West Pokot, parts of Baringo, Samburu, Isiolo, Marsabit, Mandera, Wajir, Garissa, Tana River, Lamu, Kajiado, Narok and Laikipia.



Table 24: Description of the expected results

KEY OUTPUTS	DESCRIPTION	BENEFICIARIES	PARTNERS
<b>Result 1: The capacity and number of appropriately trained and experienced professionals working in ASAL counties increased.</b>			
1.1 National Council on Nomadic Education in Kenya (NACONEK) established and operational.	NACONEK will raise the profile of nomadic education and lead the roll-out of strategies in ASAL areas, including mobile and distance learning.	<ul style="list-style-type: none"> <li>■ National institutions</li> <li>■ Counties</li> <li>■ Communities</li> </ul>	<ul style="list-style-type: none"> <li>■ National and county governments</li> <li>■ Development partners</li> <li>■ Private sector</li> <li>■ Communities</li> </ul>
1.2 Health and Nutrition Council for ASALs established and operational. <sup>65</sup>	The Council will form or strengthen technical working groups on social services in each county in order to harmonise approaches and share best practice. It will also lead the delivery of health-specific results under this framework.		
1.3 A harmonised inter-county approach developed to address staff recruitment, training and retention challenges in ASALs.	A joint health and education strategy will be developed by the HR unit within the Health and Nutrition Council and by NACONEK that addresses the shared problem of recruitment, training and retention of professionals in ASALs. Staff assessment will be reviewed and HR plans developed to strengthen government staffing in ASAL counties.		
1.4 Affirmative action measures to increase access and funding for ASAL students in institutions of higher learning (secondary, tertiary and university level).	The Northern Kenya Education Trust (NoKET) will support students from 14 arid and pastoralist counties in secondary, tertiary and university education, particularly girls, in professions relevant to the development of the region. The budget is based on an estimate per county of 100 students at secondary level, 30 at tertiary, and 20 at university level. The Health and Nutrition Council will also develop a strategy and a provision for bursaries to be channelled through the same mechanism.		
1.5 Appropriate health referral mechanisms for ASALs promoted.	This will include the development of an ASAL-specific strategy and strengthening of referral systems from the community level upwards (including the involvement of schools) given the very high maternal mortality rates in ASALs and the lack of a referral system for pregnant women who require emergency specialised care. Specific measures will include the creation of an emergency and referral desk unit under the Health and Nutrition Council, the adaptation of the national referral strategy to the county context, and the strengthening of emergency and disaster risk management and referral services at the county level (including the provision of ambulances and air evacuation when necessary).		

<sup>65</sup> This will address health, nutrition and WASH issues.

KEY OUTPUTS	DESCRIPTION	BENEFICIARIES	PARTNERS
<b>Result 2: Alternative interventions, including emerging technologies, in the provision of health, nutrition, WASH and education services integrated into current systems.</b>			
2.1 E-health, including telemedicine, established in the ASALs.	The diagnosis of medical cases is a major challenge in the ASALs due to the vast distances between communities and health facilities and the acute shortage of human resources for health. Many cases that could have been prevented if diagnostic equipment were available lead to either death or disability. Diagnostic health service centres of excellence will be established in key locations within each cluster of counties, accompanied by the provision of equipment, training and internet-based support systems for health and nutrition professionals.	<ul style="list-style-type: none"> <li>■ National institutions</li> <li>■ Counties</li> <li>■ Communities</li> </ul>	<ul style="list-style-type: none"> <li>■ National and county governments</li> <li>■ Development partners</li> <li>■ Private sector</li> <li>■ Communities</li> </ul>
2.2 E-learning, distance learning and continuing professional development (CPD) specific for ASALs ongoing in partnership with universities and other training institutions.	This will involve establishing facilities in ASAL counties and public universities, with subsidised access for professionals in all areas of health and education, including adult education.		
2.3 Real-time monitoring of social services during emergencies and knowledge management systems in place.	The proposal is to strengthen data management, monitoring and feedback mechanisms (using mobile phone technology where feasible) for quality and functionality of services and to trigger rapid support in case of breakdown. Real-time monitoring will also contribute to accountability.		
2.4 Alternative interventions to increase community resilience to disasters modelled.	This will involve researching and introducing new community-based models of service delivery, as well as strengthening community-based nutrition, health and WASH surveillance within drought monitoring systems to trigger surge mechanisms.		
2.5 Surge mechanisms for health and education systems, which expand and contract services in drought periods, developed.	This will be taken forward in partnership with the EDE drought risk management pillar, in order to strengthen capacity at national and county levels to plan for, train and deploy additional resources in response to triggers (such as malnutrition rates or levels of school attendance).		
<b>Result 3: The demand for equitable and quality health, nutrition, WASH and education services increased through community education and empowerment.</b>			
3.1 Communities, including children, empowered and actively participating in the design and implementation of high-impact, low-cost social services, including social intelligence reporting.	Community participation in developing and monitoring services will be increased (such as through community education committees and CLTS) and communities empowered to hold service providers accountable.	<ul style="list-style-type: none"> <li>■ Counties</li> <li>■ Communities</li> </ul>	<ul style="list-style-type: none"> <li>■ National and county governments</li> <li>■ Development partners</li> <li>■ Private sector</li> <li>■ Communities</li> </ul>

3.2 Community health services and mobile/integrated health and education outreach services funded and operational.	This will include measures to strengthen mobile and community-based systems, including mobile clinics and mobile schools, and ensure a regular supply of resources, including implementation of the community health communication strategy. The potential for integrating community animal health services will be explored.		
3.3 Annual / semi-annual exchange programmes for communities from different counties to increase their capacity for resilience-building funded and operational.	Inter-county and inter-community dialogue and exchange will facilitate the spread and adoption of innovative and effective practices.		
3.4 A fund for conditional cash transfers for health and education services for vulnerable populations established.	Voucher systems within existing safety net mechanisms will increase access to services for the most vulnerable populations.		

## 13.4 Cross-cutting issues

### 13.4.1 Gender and diversity

Most pastoralist societies are highly differentiated along gender and generational lines and this has an impact on health and education outcomes. Women's subordinate position in society places limits on their public roles and their capacity to make decisions about their health. It may also expose them to violence both within and outside the household. The welfare of women and girls is further put at risk by environmental problems which increase the pressure of providing resources such as water and fuel-wood.

Urbanised young people often have different values and aspirations from their rural age-mates and their parents, but there are few opportunities for employment or career development, particularly in settlements in ASAL counties where economic options are limited. This underlines the importance of expanding access to vocational training and professional qualifications.

Urbanisation and growing economic differentiation are affecting the traditional systems and structures that once cared for vulnerable people. These social protection mechanisms are slowly breaking down

leaving orphans and vulnerable children at risk. Various formal social protection mechanisms have been put in place, including free primary and free day secondary education, education bursaries, and cash transfers. However, those living with disabilities and with HIV/AIDS still face high levels of stigma.

### 13.4.2 HIV/AIDS

HIV/AIDS will be mainstreamed as a cross-cutting issue in all programmes and interventions. Prevalence rates are high in parts of the region, such as Turkana, Samburu, Marsabit and Isiolo counties. This has implications for human capital. Where necessary, services will be tailored to meet the particular needs of people living with HIV/AIDS.

### 13.4.3 Links with other EDE pillars

**Peace and security:** Fear of conflict keeps children from school and health centres closed. Effective peace building and conflict management is therefore critical to building human capital. At the same time, investments in human capital can stabilise societies: for example, education expands the choices open to young people vulnerable to radicalisation. Given the high levels of insecurity in some ASAL counties, all interventions must be

conflict-sensitive and implementing agencies will be required to carry out risk analysis and develop risk management frameworks.

**Climate-proofed infrastructure:** Better infrastructure facilitates service delivery by making services more accessible and improving the working environment for professionals. Equally, investments in human capital will maximise the impact of capital investments – for example, health promotion increases the impact of interventions in water supply, and literacy programmes do the same for ICT. Further development of innovative and cost-effective approaches using emerging technologies should be based on careful evaluation and dissemination of lessons learned.

**Sustainable livelihoods:** Productive livelihoods require a skilled and healthy workforce, while good health and education expand economic options and opportunities. Higher incomes generated by more secure livelihoods create surpluses that can be invested in education and protect against ill-health.

**Drought risk management:** Better drought risk management will decrease expenditure on humanitarian aid, thus freeing up funds for long-term investment in areas such as human capital. Nutrition-sensitive programmes make a substantial contribution to the reduction of drought vulnerability, while the education system can be an effective vehicle for disseminating drought messages. Scalability of existing programmes and services will be an area of particular collaboration between the human capital and drought risk management pillars of the EDE, with the latter supporting the development of models which the former will then apply.

Finally, nutrition is a multi-sectoral issue to which all the EDE pillars will contribute. An improvement in nutritional status is one of the indicators against which the EDE will be evaluated.

## 13.5 Risk management

The principle risks associated with this framework, and the measures being taken to mitigate them, are shown in Table 25.

In addition, a number of general assumptions may be made about the likelihood of achieving the

objectives of this programme:

- By aligning the common programme framework to county and national development priorities, the chances of success are increased.
- Allowing communities to prioritise their needs and identify bottlenecks, strategies and interventions is key to success.
- Pooling of resources (such as time, finance, and technical expertise) and targeting of interventions will increase efficiency and effectiveness.
- The high level of commitment of the national and county governments, local communities and partners provides a strong impetus to make the programme succeed.
- Counties are demonstrating a commitment to participatory prioritisation of community needs through their County Integrated Development Plans.

## 13.6 Institutional arrangements

### 13.6.1 Programme management and implementation

There will be two levels of implementation, illustrated in Figure 8:

**1. National level:** A National Steering Committee for the human capital pillar will be chaired by the Ministry of Education, Science and Technology and co-chaired by UNICEF. Its members will include the MoEST, MoH, relevant directorates and development partners. It will oversee the planning, implementation and review of all activities and promote the mobilisation and efficient use of resources. It will also work to ensure that ASAL-specific needs and priorities are addressed through national sector plans. The National Steering Committee will have sub-committees representing the specific sectors: education, health and nutrition. The health and nutrition sectors will meet regularly to harmonise their interventions since they are both under the MoH. The chair and co-chair of the committee will also be members of the overall EDE National Steering Committee.

Table 25: Risks and mitigating measures

RISK	MITIGATING MEASURES
Cross-border challenges such as disease outbreaks and influx of populations that overwhelm services.	<ul style="list-style-type: none"> <li>■ Health information systems will monitor cross-border risks and prompt the necessary action to arrest them.</li> <li>■ Regular coordination and cross-border social sector forums will facilitate better understanding of challenges and harmonisation of response.</li> <li>■ The sixth pillar of the EDE, on institutional development and knowledge management, is responsible for ensuring that inter-county structures are adequately supported and operating effectively.</li> </ul>
Government capacity to deliver the proposed programmes.	<ul style="list-style-type: none"> <li>■ The framework prioritises improvements in capacity to deliver services, so that this risk should reduce over time.</li> <li>■ The framework provides a collaborative mechanism for harmonised support by private sector providers and development partners to complement government capacity.</li> </ul>
Increase in population due to high fertility rate.	<ul style="list-style-type: none"> <li>■ Better access to services delivered through this pillar, and better livelihood security delivered through the other pillars of the EDE, will deliver the conditions that over time lead to a reduction in fertility rates.</li> </ul>
High level of under-development associated with poor infrastructure, with few facilities and long distances between communities and services.	<ul style="list-style-type: none"> <li>■ Close collaboration with the infrastructure pillar of the EDE will maximise the impact of infrastructure investments for human capital.</li> </ul>
Multiple risks presented by drought, insecurity and poverty.	<ul style="list-style-type: none"> <li>■ Close collaboration with the drought risk management pillar of the EDE will ensure a collaborative response to drought conditions.</li> <li>■ The multi-sectoral nature of the EDE creates opportunities to ensure the integration of nutrition sensitivity in other sectors.</li> </ul>

**2. County level:** the County Executive for Health, the County Chief of Health, the County Director for Health and the County Director of Education will work with implementing partners and communities within a County Human Capital Group. This will be a sub-committee of the EDE County Steering Committee and will coordinate implementation and supervise monitoring and evaluation of activities. It will also work to ensure that ASAL-specific needs and priorities are addressed through county sector plans. It will submit quarterly reports to the County Steering Committee and relevant partners, and advise it of issues arising from the field.

### 13.6.2 Coordination mechanisms

The EDE Steering Committees at the national and county levels will ensure effective co-ordination between the EDE pillars. Coordination will be further strengthened by sector-specific forums, including:

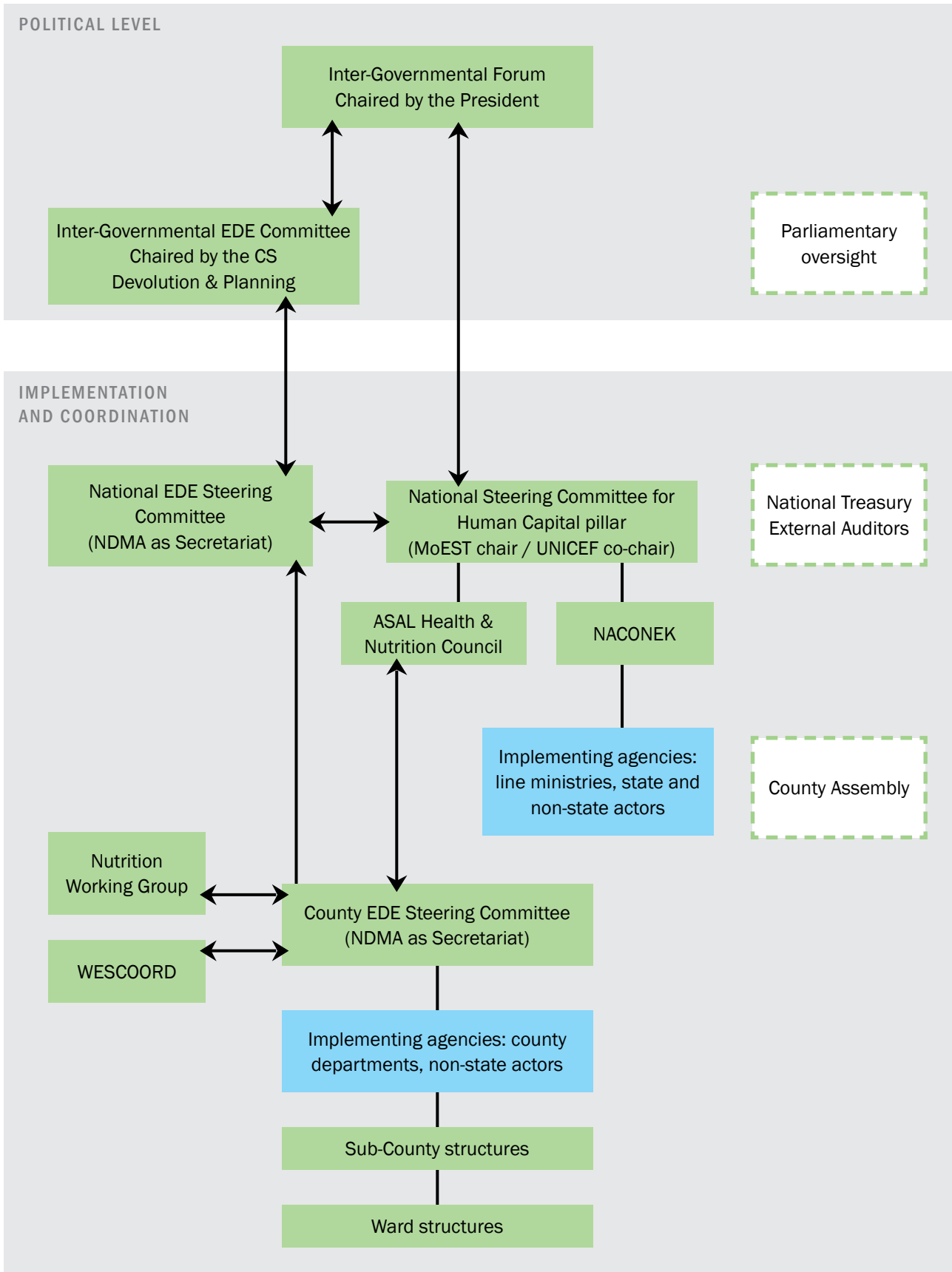
- NACONEK, which will have coordination, resource mobilisation and implementation functions.
- The ASAL Health and Nutrition Council, chaired by the Director of Health and bringing together health, nutrition and sanitation actors at the national level.
- Technical working groups (for example on nutrition) at the county level, with inter-sectoral group sessions at regular intervals.
- WESCOORD (Water and Environmental Sanitation Coordination) meetings at national and county levels.

### 13.6.3 Monitoring and evaluation

The National Steering Committee for the human capital pillar will ensure that appropriate monitoring, evaluation and reporting mechanisms are in place and applied by all implementing partners.

Figure 8: Institutional framework

Implementation Coordination Oversight





This will be done within the framework of the overall monitoring and evaluation systems for the EDE Common Programme Framework, which will be designed, facilitated and supported by its sixth pillar. The targets and timeframes for each indicator in the results framework (section 13.8) will be agreed with partners within the first six months of implementation, and will be appropriately disaggregated by gender and age.

## 13.7 Resources

### 13.7.1 Funding level

The total budget for the programme is Kshs. 15,849 million (section 13.9), although this will be refined during the inception phase. Since health services are now largely devolved, further work is needed to determine the precise funding situation in each county. Within the education sector, development partner assistance has already been mapped;<sup>66</sup> this will be analysed to draw out ASAL-specific investment and included in the EDE investment mapping tool which is being developed under the sixth EDE common programme framework on institutional development and knowledge management. After the first six months of implementation, a clearer picture of financing needs will have been established.

### 13.7.2 Sources of funding

The principal funding contributions will be from:

- County governments, particularly in health, which is now a devolved function.
- National government, particularly in education, which for the most part remains a national function.
- Development partners
- Civil society organisations, particularly in areas of innovation.
- Private sector providers, more likely in the health sector than in education.

### 13.7.3 Fund flow

The flow of funds will be coordinated through the National Steering Committee for the human capital pillar. Two key mechanisms are anticipated:

- Through the sector ministries (MoEST and MoH), using the existing sector-wide approach funding mechanisms and the Health Services Support Fund. Within these, the possibility of establishing a specific basket for the finance for this framework will be explored. Both ministries have the flexibility to handle multi-sectoral funding.
- Through partners (UN agencies, NGOs).

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<sup>66</sup> 4Ws mapping by development partners working in education, version 5, July 2014



## 13.8 Results framework

	OVI	MOV	ASSUMPTIONS
<b>GOAL (BY 2022)</b>			
Communities in drought-prone areas are more resilient to drought and other effects of climate change, and the impacts of drought are contained.	<ul style="list-style-type: none"> <li>Number of people requiring food assistance as a result of drought emergencies.</li> </ul>	<ul style="list-style-type: none"> <li>KFSSG food security assessments</li> </ul>	<ul style="list-style-type: none"> <li>Investments made across all pillars of the EDE, and functional links established between the pillars.</li> <li>Alternative sources of finance established and operational, such as the NDCF and ARC, and scalability mechanisms in place.</li> <li>Adequate economic, political and climatic stability.</li> </ul>
	<ul style="list-style-type: none"> <li>% of children under five stunted in each of the 23 most drought-affected counties.</li> </ul>	<ul style="list-style-type: none"> <li>Health sector MIS</li> </ul>	
	<ul style="list-style-type: none"> <li>Value of livestock lost in drought compared with previous drought episodes.</li> </ul>	<ul style="list-style-type: none"> <li>Post-Disaster Needs Assessment</li> </ul>	
	<ul style="list-style-type: none"> <li>Kenya manages drought episodes without recourse to international emergency appeals. (Yes/No)</li> </ul>	<ul style="list-style-type: none"> <li>GoK and UN documents</li> </ul>	
<b>OVERALL PILLAR OUTCOME</b>			
A more healthy, skilled, innovative, resourceful and motivated human capital in the ASALs.	<ul style="list-style-type: none"> <li>% increase in public officers retained in ASAL counties for three years or more, disaggregated by gender.</li> <li>% schools achieving national target for teacher/pupil ratios at primary and secondary levels.</li> <li>Increase in private sector employment opportunities.</li> <li>% increase in students from ASAL counties entering public universities, disaggregated by gender</li> </ul>	<ul style="list-style-type: none"> <li>HRH surveys</li> <li>TSC Annual Reports</li> <li>Economic surveys</li> <li>Transition rate</li> </ul>	<ul style="list-style-type: none"> <li>Rate of attrition in public sector positions is matched by successful recruitment.</li> <li>Effective interventions by other EDE pillars lead to increase in formal or informal employment opportunities in ASALs</li> </ul>
<b>SPECIFIC RESULTS</b>			
The capacity and number of appropriately trained and experienced professionals working in ASAL counties increased.	<ul style="list-style-type: none"> <li>% increase in recruited and trained professionals in ASAL counties, disaggregated by gender.</li> </ul>	<ul style="list-style-type: none"> <li>Newspaper adverts</li> <li>Skills surveys</li> <li>Establishment records</li> <li>HRH records &amp; surveys</li> </ul>	<ul style="list-style-type: none"> <li>Working conditions in the ASALs continue to improve through investments by other pillars (security, infrastructure).</li> <li>Interested applicants take advantage of these improving conditions.</li> <li>Employment freeze is lifted.</li> </ul>
Alternative interventions, including emerging technologies, in the provision of health, nutrition, WASH and education services integrated into current systems.	<ul style="list-style-type: none"> <li>% increase in access to basic services (education, health, nutrition), disaggregated by gender.</li> </ul>	<ul style="list-style-type: none"> <li>Routine county monitoring</li> </ul>	<ul style="list-style-type: none"> <li>Connectivity in ASALs continues to improve.</li> </ul>

	OVI	MOV	ASSUMPTIONS
The demand for equitable and quality health, nutrition, WASH and education services increased through community education and empowerment.	<ul style="list-style-type: none"> <li>■ % increase in primary &amp; secondary enrolment, disaggregated by gender.</li> <li>■ % increase in attendance at health facilities, disaggregated by gender.</li> </ul>	<ul style="list-style-type: none"> <li>■ GER, NER</li> <li>■ Routine county reporting</li> </ul>	<ul style="list-style-type: none"> <li>■ Other result areas under this pillar are successful in expanding access to quality services.</li> </ul>
<b>OUTPUTS</b>			
<b>Result 1: The capacity and number of appropriately trained and experienced professionals working in ASAL counties increased.</b>			
1.1 National Council on Nomadic Education in Kenya (NACONEK) established and operational.	<ul style="list-style-type: none"> <li>■ Council members &amp; Secretariat appointed.</li> <li>■ No. of programme or policy initiatives implemented.</li> <li>■ Three Technical Training Centres designated &amp; upgraded as centres for nomadic education.</li> <li>■ Adequate budget allocated by Ministry and financed by National Treasury.</li> </ul>	<ul style="list-style-type: none"> <li>■ NACONEK Annual Reports</li> <li>■ Printed estimates</li> </ul>	<ul style="list-style-type: none"> <li>■ MoEST maintains its commitment to nomadic education</li> </ul>
1.2 Health and Nutrition Council for ASALs established and operational.*	<ul style="list-style-type: none"> <li>■ Council registered.</li> <li>■ Strategic plan approved.</li> <li>■ Staff appointed.</li> <li>■ Adequate budget allocated by Ministry and financed by National Treasury.</li> </ul>	<ul style="list-style-type: none"> <li>■ Certificate of registration</li> <li>■ Council Annual Reports</li> <li>■ Printed estimates</li> </ul>	<ul style="list-style-type: none"> <li>■ MOH recognises the role of the Council and its potential to enhance the achievement of sector objectives.</li> <li>■ Council secures the support of county governments.</li> </ul>
1.3 A harmonised inter-county approach developed to address staff recruitment, training and retention challenges.	<ul style="list-style-type: none"> <li>■ Strategy developed and approved.</li> <li>■ No. of officers benefiting from the retention package, disaggregated by gender.</li> <li>■ Reduction in vacancy rates.</li> </ul>	<ul style="list-style-type: none"> <li>■ Certificate of registration</li> <li>■ Council Annual Reports</li> <li>■ Printed estimates</li> </ul>	<ul style="list-style-type: none"> <li>■ Strategy secures the support of the inter-governmental forum and committee</li> </ul>
1.4 Affirmative action measures to increase access and funding for students from ASALs in institutions of higher learning (secondary, tertiary, university).	<ul style="list-style-type: none"> <li>■ % increase in transition rates to secondary, tertiary &amp; university, disaggregated by gender.</li> </ul>	<ul style="list-style-type: none"> <li>■ GER, NER, NAT, transition rate, completion rate</li> </ul>	<ul style="list-style-type: none"> <li>■ Appreciation of the need for affirmative action for ASAL counties is maintained.</li> </ul>
1.5 Appropriate health referral mechanisms for ASALs promoted.	<ul style="list-style-type: none"> <li>■ Emergency &amp; referral desk unit established under the Health &amp; Nutrition Council.</li> <li>■ No. of counties with approved referral strategies.</li> </ul>	<ul style="list-style-type: none"> <li>■ Health &amp; Nutrition Council Annual Report</li> <li>■ County Annual Reports</li> </ul>	<ul style="list-style-type: none"> <li>■ Close collaboration between Health &amp; Nutrition Council and county governments.</li> </ul>

\* This will address health, nutrition and WASH issues.

<b>Result 2: Alternative interventions, including emerging technologies, in the provision of health, nutrition, WASH and education services integrated into current systems.</b>			
2.1 E-health, including telemedicine, established in the ASALs.	<ul style="list-style-type: none"> <li>■ No. of e-health centres established and operational in ASAL counties.</li> <li>■ No. of centres in ASAL counties with remote diagnostic health services established.</li> <li>■ No. of health professionals making use of remote diagnostic services.</li> </ul>	<ul style="list-style-type: none"> <li>■ Report on e-health roll-out</li> <li>■ Health &amp; Nutrition Council Annual Report</li> </ul>	<ul style="list-style-type: none"> <li>■ Curriculum for e-health training is approved.</li> <li>■ Connectivity in ASALs continues to improve.</li> <li>■ Willingness of health professionals to adopt new</li> </ul>
2.2 E-learning, distance education and CPD specific for ASALs ongoing in partnership with universities and other training institutions.	<ul style="list-style-type: none"> <li>■ Distance learning project tested and evaluated.</li> <li>■ No. of students enrolled in open university, disaggregated by gender.</li> </ul>	<ul style="list-style-type: none"> <li>■ NACONEK Annual Report</li> <li>■ Reports from universities &amp; training institutions</li> </ul>	<ul style="list-style-type: none"> <li>■ E-learning and distance learning are regarded as offering quality services comparable to other delivery mechanisms.</li> </ul>
2.3 Real-time monitoring of social services during emergencies and knowledge management systems in place.	<ul style="list-style-type: none"> <li>■ Real-time data on education and health in emergencies available.</li> </ul>	<ul style="list-style-type: none"> <li>■ EMIS / HMIS dashboards</li> </ul>	<ul style="list-style-type: none"> <li>■ EMIS / HMIS continue to be strengthened at national and county level.</li> </ul>
2.4 Alternative interventions to increase community resilience to disasters modelled.	<ul style="list-style-type: none"> <li>■ Integration of DRR and peacebuilding in curriculum.</li> <li>■ No. of alternative interventions tested.</li> </ul>	<ul style="list-style-type: none"> <li>■ Curriculum materials</li> </ul>	<ul style="list-style-type: none"> <li>■ Effective partnerships built with community-based organisations.</li> </ul>
2.5 Surge mechanisms for health and education systems, which expand and contract services in drought periods, developed.	<ul style="list-style-type: none"> <li>■ No. of programmes successfully adapting during periods of drought.</li> </ul>	<ul style="list-style-type: none"> <li>■ Evaluation reports</li> </ul>	<ul style="list-style-type: none"> <li>■ Collaboration and mutual learning with EDE pillar on drought risk management.</li> </ul>
<b>Result 3: The demand for equitable and quality health, nutrition, WASH and education services increased through community education and empowerment.</b>			
3.1 Communities, including children, empowered and actively participating in the design and implementation of high-impact, low-cost social services (health, nutrition, WASH, ECD and education), including social intelligence reporting.	<ul style="list-style-type: none"> <li>■ No. of schools compliant with child-friendly standards.</li> <li>■ No. of schools with active child cabinets.</li> <li>■ Level and quality of community participation in health management structures, social accountability initiatives &amp; social intelligence reporting, disaggregated by gender.</li> </ul>	<ul style="list-style-type: none"> <li>■ EMIS</li> <li>■ Social intelligence reports</li> </ul>	<ul style="list-style-type: none"> <li>■ Continuity in government policy on child government and child-friendly schools.</li> </ul>

<p>3.2 Community health services and mobile/integrated health and education outreach services funded and operational.</p>	<ul style="list-style-type: none"> <li>■ No. of alternative schools (mobile, low-cost boarding) functioning effectively.</li> <li>■ No. of arid &amp; pastoralist counties with mobile health services functioning effectively.</li> <li>■ % of community health units operational in ASAL counties.</li> <li>■ No. of counties implementing Community Health Strategy.</li> </ul>	<ul style="list-style-type: none"> <li>■ Evaluation reports               <ul style="list-style-type: none"> <li>■ EMIS</li> <li>■ HMIS</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>■ Willingness of national and county governments to innovate.</li> <li>■ Community education programmes encourage open and innovating thinking so that demand is not constrained by existing models of service delivery.</li> </ul>
<p>3.3 Annual / semi-annual exchange programmes for communities from different counties to increase their capacity for resilience-building funded and operational.</p>	<ul style="list-style-type: none"> <li>■ No. of exchanges taking place.</li> <li>■ Level of co-financing of exchange activities (by communities or county governments).</li> </ul>	<ul style="list-style-type: none"> <li>■ Exchange reports</li> <li>■ Routine county monitoring</li> </ul>	<ul style="list-style-type: none"> <li>■ Exchanges are carefully planned to ensure maximum benefits.</li> <li>■ Effective mechanisms for reflection and dissemination of exchange experiences.</li> </ul>
<p>3.4 A fund for conditional cash transfers for health and education services for vulnerable populations established.</p>	<ul style="list-style-type: none"> <li>■ Fund established.</li> <li>■ Stronger evidence base for effectiveness &amp; benefits of CCTs in ASALs.</li> </ul>	<ul style="list-style-type: none"> <li>■ Studies &amp; evaluation reports</li> </ul>	<ul style="list-style-type: none"> <li>■ Willingness of partners to explore the use of CCTs.</li> </ul>

## 13.9 Budget, 2014-2018

ACTIVITIES	EDUCATION SECTOR (KSHS. M)	HEALTH SECTOR (KSHS. M)	TOTAL (KSHS. M)
<b>Result 1: The capacity and number of appropriately trained and experienced professionals working in ASAL counties increased.</b>			
1.1 National Council on Nomadic Education in Kenya (NACONEK) established and operational.	266.3	0	266.3
1.2 Health and Nutrition Council for ASALs established and operational.	0	120.9	120.9
1.3 A harmonised inter-county approach developed to address staff recruitment, training and retention challenges.	72	73	145
1.4 Affirmative action measures to increase access and funding for students from ASALs in institutions of higher learning (secondary, tertiary, university).	844.3	594	1,438.3
1.5 Appropriate health referral mechanisms for ASALs promoted.	0	2,760.3	2,760.3
<b>Sub-total</b>	<b>1,182.6</b>	<b>3,548.2</b>	<b>4,730.8</b>
<b>Result 2: Alternative interventions, including emerging technologies, in the provision of health, nutrition, WASH and education services integrated into current systems.</b>			
2.1 E-health, including telemedicine, established in the ASALs.	0	10,203.6	10,203.6
2.2 E-learning, distance education and CPD specific for ASALs ongoing in partnership with universities and other training institutions.	89.9	0	89.9
2.3 Real-time monitoring of social services during emergencies and knowledge management systems in place.	0	264	264
2.4 Alternative interventions to increase community resilience to disasters modelled.	5.5	5.5	11
2.5 Surge mechanisms for health and education systems, which expand and contract services in drought periods, developed.	3.5	3.5	7
<b>Sub-total</b>	<b>98.9</b>	<b>10,476.6</b>	<b>10,575.5</b>
<b>Result 3: The demand for equitable and quality health, nutrition, WASH and education services increased through community education and empowerment.</b>			
3.1 Communities, including children, empowered and actively participating in the design and implementation of high-impact, low-cost social services (health, nutrition, WASH, ECD and education), including social intelligence reporting.	16.5	16.5	33
3.2 Community health services and mobile/integrated health and education outreach services funded and operational.	0	379	379
3.3 Annual / semi-annual exchange programmes for communities from different counties to increase their capacity for resilience-building funded and operational.	2.5	2.5	5
3.4 A fund for conditional cash transfers for health and education services for vulnerable populations established.	126	0	126
<b>Sub-total</b>	<b>145</b>	<b>398</b>	<b>543</b>
<b>TOTAL</b>	<b>1,426.5</b>	<b>14,422.8</b>	<b>15,849.3</b>

# 14

## Pillar 4: Sustainable Livelihoods

### Key data

<b>COUNTRY</b>	Kenya
<b>TITLE</b>	Common Programme Framework for Ending Drought Emergencies: Sustainable Livelihoods
<b>DURATION</b>	July 2014 – June 2018
<b>TOTAL BUDGET</b>	Kshs. 40,020 million
<b>OVERALL OUTCOME</b>	Enhanced resilience of ASAL livelihoods to the effects of drought and climate change.
<b>EXPECTED RESULTS</b>	<ol style="list-style-type: none"><li>1. Increased income from, and consumption of, livestock and livestock products.</li><li>2. Improved management of water, crops and rangeland resources.</li></ol>
<b>FOCUS AREA AND POPULATION</b>	Arid and semi-arid counties, approximately 15 million people (36% of the national population)
<b>CONTACT DETAILS</b>	<b>Principal Secretary</b> , Ministry of Agriculture, Livestock and Fisheries P.O. Box 34188-00100 Nairobi, Kenya psagriculture@kilimo.go.ke www.kilimo.go.ke

### 14.1 Executive summary

This is the fourth of six common programme frameworks that have been developed to operationalise the Ending Drought Emergencies (EDE) Medium Term Plan, which is an integral part of the Kenya Vision 2030 Second Medium Term Plan for 2013-17.<sup>67</sup>

The overall goal of the EDE sustainable livelihoods pillar is to strengthen the resilience of livelihoods in arid and semi-arid counties to the effects of drought and climate change. This task is made more challenging by the deep-seated inequalities and vulnerabilities of the region, by the growing unpredictability of dryland environments and economies, and by institutional weaknesses at all levels.

However, devolution presents a unique opportunity to reverse historical biases in public policy and investment and to promote a range of livelihood options which are more attuned to the distinct realities of the arid and semi-arid lands (ASALs). The region has a comparative advantage in livestock production, although a more diverse range of livelihood activities is now being pursued, particularly by those living in or near settlements. Underpinning all ASAL development is the critical importance of sustainable natural resource management.

It is important to note that, while this framework has an explicit focus on livelihoods, the other EDE pillars – particularly those on peace and security, climate-proofed infrastructure and human capital – will also strengthen ASAL livelihoods by providing an enabling environment for private sector investment and thus the development of a more diverse portfolio of livelihood strategies, particularly for those in urban areas.

This framework provides a common strategy around which all stakeholders can harmonise their interventions in support of sustainable livelihoods in ASALs. It has two broad components: increasing the contribution of livestock to the pastoral economy and the sustainable management of rangeland, water and crops for ASAL livelihoods.

<sup>67</sup> The others are on peace and security, climate-proofed infrastructure, human capital, drought risk management, and institutional development and knowledge management.

Implementation of the framework will be led by existing structures within the Ministry of Agriculture, Livestock and Fisheries (MoALF) at both national and county levels, working closely with other state and non-state partners. The total budget is Kshs. 40,020 million.

## 14.2 Situation analysis

### 14.2.1 Sector analysis

Kenya's arid and semi-arid lands cover 48 million hectares, equivalent to approximately 80 per cent of the country's total land surface. Of this, 9.6 million hectares support marginal agriculture, almost 15 million hectares are suitable for largely sedentary livestock production, and the remaining 24 million hectares are dry and suitable only for nomadic pastoralism.<sup>68</sup>

The ASALs are among the least developed areas in Kenya and have the highest poverty levels: more than 60 per cent of the population subsist on less than one dollar a day. Reinforcing this is a cycle of insecurity, climate change, and environmental degradation. ASAL counties display many of the characteristics of remote rural areas caught in chronic poverty, experiencing multiple and interlocking forms of disadvantage. However, despite their high poverty, the ASALs are also endowed with immense natural resources, with 70 per cent of the country's livestock, 90 per cent of its wild game and a wealth of unexploited minerals.<sup>69</sup>

The defining feature of the ASALs is aridity. Annual rainfall in arid areas ranges between 150mm and 550mm and mainly supports pastoral livelihood systems. In semi-arid areas it ranges between 550mm and 850mm and supports a mixed economy, including rain-fed and irrigated agriculture, agro-pastoralism, small-scale businesses based on dryland products and tourism-related activities.<sup>70</sup> Climate projections suggest that in future there may be longer and more frequent dry periods interspersed with intense but shorter and less predictable periods of rainfall.<sup>71</sup> For the ASALs such weather patterns are likely to intensify water stress, reduce crop yields, exacerbate flooding, increase the incidence of human, livestock and fish disease, accelerate desertification, reduce biodiversity, deplete water and rangelands, and intensify

resource-based conflicts. If the region's isolation, insecurity, and weak integration persist, then vulnerability will deepen. As a result, food production will become less predictable and food security and poverty reduction efforts will be undermined.

Drought is the most extensive and damaging hazard in the ASALs. The Post-Disaster Needs Assessment of the 2008-11 drought period estimated total losses and damages of US\$12.1 billion, of which the livestock sector accounted for 72 per cent. Economic growth slowed by an average of 2.8 per cent per year.<sup>72</sup> Other studies estimate that existing climate-related shocks cost Kenya as much as US\$0.5 billion per year, or equivalent to around two per cent of GDP.<sup>73</sup> The recurring nature of drought and humanitarian suffering in Kenya, coupled with a rapidly increasing population, reinforce the need for sustainable strategies to end drought emergencies and build the resilience of ASAL communities to climate-related shocks.

The severity of a drought's impact is determined by the interaction between levels of exposure and vulnerability. Food security and livelihoods are being undermined by a number of factors, including insecurity and conflict, high population growth, sedentarisation, weakening community institutions, limited education opportunities, past poor governance and corruption and the shortcomings of contingency planning and response. As a result, vulnerability is deepening. The overall challenge is to sustain livelihoods in an environment that is becoming more unpredictable, and where people's access to and control over critical livelihood resources such as land is insecure.

Previous government policies did not fully promote the sustainable development and management of

<sup>68</sup> Republic of Kenya (2006) 'Arid Lands Resource Management Project (ALRMP) Phase II baseline survey

<sup>69</sup> Republic of Kenya (2012) 'Vision 2030 Development Strategy for Northern Kenya and other Arid Lands'

<sup>70</sup> Barrow, E. and Mogaka, H. (2007) Kenya's Drylands – Wastelands or an Undervalued National Economic Resource, IUCN

<sup>71</sup> Stockholm Environment Institute (2009) The Economics of Climate Change in Kenya, Oxford: SEI

<sup>72</sup> Republic of Kenya (2012) 'Kenya Post-Disaster Needs Assessment: 2008-11 Drought'

<sup>73</sup> Stockholm Environment Institute (2009)



ASAL resources as an integral part of drought risk reduction, poverty alleviation and economic growth. As a result, the importance of diversifying economic activity was overlooked in favour of agricultural intensification and specialisation.<sup>74</sup> However, the Kenya Vision 2030 Second Medium Term Plan (MTP II) for 2013-17 recognises the ASALs as a new frontier in the transformation of Kenya's economy.<sup>75</sup> Within the Kenya Vision 2030 MTP II, the Ending Drought Emergencies (EDE) MTP advocates investment in sustainable livelihood practices that are critical to building resilience to climate-related shocks.

Recent institutional changes in Kenya reinforce this shift in emphasis, particularly the requirements in the Constitution with regard to economic and social rights (Article 43 of the Bill of Rights) and the introduction of devolved governance. The Kenya Vision 2030 MTP II acknowledges that promoting sustainable livelihoods is the mandate of both the national and county governments.

The concept of sustainable livelihoods is gaining greater prominence in debates on ASAL development. Integral to this is the need to mainstream a sustainable livelihoods approach in poverty reduction and environmental management. This brings together the thinking and practice of poverty reduction, sustainable development, participation, and empowerment in a framework for policy analysis and programming. A sustainable livelihoods approach has many benefits: it can help formulate policies and design programmes that are cognisant of the various risks and opportunities faced by ASAL communities; it can help people harness their coping and adaptive strategies and

make sustainable use of natural resources; and it can strengthen the capacity of institutions and networks at the national and local levels that create an enabling environment for sustainable livelihood practices.

### 14.2.2 Critical issues to address

In light of the above, some of the critical issues which this programme will address are discussed below.

#### Institutional capacity

Policy and institutional arrangements at national and county levels have the potential to transform many of the relationships that influence sustainable livelihoods, such as the choice of strategies, access to capital, or returns to investment. Despite the role of national and county institutions in devising sustainable livelihood programmes, these are not yet effective. Measures are needed which promote collaboration between and within the different levels of government, as well as the participation of communities in policy formulation and decision-making. The institutional capacity challenges which currently prevent this can be found at three levels (Table 26).

<sup>74</sup> Behnke, R. and Muthami, D. (2011) 'The Contribution of Livestock to the Kenyan Economy', IGAD Livestock Policy Initiative Working Paper No. 03-11

<sup>75</sup> Republic of Kenya (2013) 'Kenya Vision 2030 Second Medium Term Plan (2013-17). Transforming Kenya: pathway to devolution, socio-economic development, equity and national unity'

Table 26: Examples of institutional challenges

NATIONAL	COUNTY	COMMUNITY
<ul style="list-style-type: none"> <li>■ Insufficient flexibility in policy, planning and resource allocation systems to adapt to the complex nature of the ASALs and their changing needs, such as a widening wealth gap, an expansion of private sector engagement, and a growing settled population looking for jobs.</li> <li>■ Lack of drought contingency finance means that funds for early response can only be obtained through budget re-allocations which are time-consuming and shift resources away from investments in resilience.</li> </ul>	<ul style="list-style-type: none"> <li>■ County government structures are not yet fully developed and operational and their capacities are yet to be tested.</li> <li>■ The detailed allocation of functions between the national and county governments is still open to constitutional interpretation and inter-governmental negotiation.</li> <li>■ Mechanisms for inter-county collaboration are as yet rudimentary but will be critical in reducing cross-jurisdictional livelihood stresses.</li> </ul>	<ul style="list-style-type: none"> <li>■ Traditional structures that ensure sustainable resource management have been progressively weakened, due to the adoption of sedentary lifestyles and inadequate recognition of traditional governance systems in development planning.</li> <li>■ Mechanisms that facilitate public engagement under the devolved structures and that integrate traditional systems of ASAL resource management are not well established. County governance structures are still evolving and county planning is still technocrat-led.</li> </ul>

### Strategic planning for sustainable livelihoods

Although closely linked to institutional capacity, strategic planning is critical to integrating sustainable livelihoods in long-term resilience-building and development planning,<sup>76</sup> for the following reasons.

*First, County Integrated Development Plans (CIDPs) are sector-based and the opportunity to build complementary linkages across sectors may be missed.* The sustainable livelihoods approach provides an opportunity for holistic and integrated policy formulation and programming. For example, rural-urban linkages are a key dimension of sustainability in ASALs. While devolution allocates significant planning powers and development resources to county governments, many county institutions, NGOs and communities do not yet have the capacity to carry out their new responsibilities. Moreover, the mechanisms to negotiate between competing interests and resolve conflicts are weak. A deeper understanding is needed of the appropriateness and effectiveness of existing county planning systems, including their relevance and suitability for promoting sustainable livelihoods and poverty alleviation.

*Second, more capacity is needed for livelihoods-focused and people-centred planning, as well as the establishment of accountability frameworks at the county level.* These measures will ensure adherence to constitutional principles of public participation and rights-based development. Making sustainable livelihoods central to national and county planning processes should strengthen the capacity of local communities and government sectors responsible for marginal agriculture, livestock and water. Areas of capacity support may include public participation (including the poor, women, young people, nomadic households and minority groups), developing livelihood baselines, the use of real-time statistical data, enhancing the capacity to act on early warning information in a timely manner, and the use of complementary instruments in climate change adaptation, drought risk reduction and social protection.

*Third, formal planning systems need to be more flexible and attuned to the local realities in ASALs.* This can be achieved by integrating indigenous and scientific knowledge into formal planning processes so that planning priorities reflect local realities and reinforce community adaptive strategies.<sup>77</sup> It may

also be achieved by recognising and responding to livelihood dynamics across county and international borders. For example, landscape-level planning (such as integrated watershed management) and the reinforcement of mobility across boundaries are both key strategies that enhance livelihood sustainability.

*Fourth there is a need for integrated cross-sectoral planning, which links sectors and harmonises the contributions of all actors and partners (donors, civil society and the private sector) at national and county levels.* The National Policy for the Sustainable Development of Northern Kenya and other Arid Lands (Sessional Paper No. 8 of 2012), and the institutional arrangements it puts in place, provide an over-arching framework to pursue this, since the policy is both geographically focused and multi-sectoral in nature.

### Implementation

Common programming brings together integrated programmes that promote sustainable livelihoods, but a key issue to address is the quality of implementation. Specific concerns include the need for:

- Integration of sustainable livelihoods approaches into programme implementation at national and county levels.
- Scalability of interventions that contribute to sustainable livelihoods and mechanisms that facilitate early response during drought.
- Effective cross-sectoral and multi-agency coordination and implementation.
- Accountability between partners and with locally rooted civil society institutions.
- Closer engagement between the public and private sector and other stakeholders.

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<sup>76</sup> The first strategic goal of the Hyogo Framework for Action is 'the integration of disaster risk reduction into sustainable development policies and planning'.

<sup>77</sup> Examples include livestock mobility, the management of drought reserves, the development of buffer areas of crop or forage production, the activation of social networks, and the spreading of risk.

### Changing social and demographic patterns

Rapid population growth, global environmental change, and shifting socio-economic conditions are creating new demands and priorities in the ASALs. The commercialisation and individualisation of pastoral production are widening the wealth gap, and in places wage labour is replacing family labour. The scale and rate of land fragmentation in pastoral areas is attributed to weak land tenure systems and land grabbing, inappropriate water development (intensive groundwater abstraction), crop production in strategic grazing reserves and the expansion of irrigated agriculture, the spread of invasive species (such as *Prosopis juliflora*), and the establishment of wildlife reserves, conservancies and private enclosures.<sup>78</sup> The combined effects of these changes pose serious challenges to ASAL livelihoods.

### Food and nutrition security

The primary policy challenge for ASAL counties is to ensure food and nutrition security by promoting interventions that support sustainable marginal agricultural and livestock production systems. Household food availability has been decreasing due to a general decline in crop production across the country. Efforts to increase rain-fed and irrigated crop production, as well as livestock production, are constrained by climate stress, inadequate extension services and production technologies, limited access to affordable credit (high investment in irrigation), poor post-harvest management and storage facilities, and limited access to and control over critical livelihood resources.

### New financing opportunities

A number of new financial mechanisms can be exploited to support sustainable ASAL livelihoods. These include index-based insurance schemes targeting livestock and crop production, payment for ecosystem (wildlife) services, and carbon credit mechanisms. There are now approximately 160 conservancies, located in various ASAL counties, some of which are negotiating long-term agreements with wildlife agencies on how the revenue generated from wildlife can cushion sustainable livelihood programmes.<sup>79</sup> In northern Kenya, oil and gas reserves will generate new sources of finance, both in the short term (such as compensatory

mechanisms provided by companies) and in the long term (shares of revenue). However, the mechanisms are not yet in place to ensure that these deliver sustainable change for communities. Experience elsewhere in Africa suggests that the challenges of doing so in areas of high inequality and dependence on natural resources are substantial.<sup>80</sup>

Cash and food for assets (CFA/FFA) programmes also provide a 'new finance' mechanism to promote sustainable livelihoods. These build resilience to shocks through asset creation (such as rainwater harvesting for production), thus helping protect food-insecure households. Additional financing opportunities include the Equalisation Fund and other constitutional measures for addressing historically marginalised areas, public-private partnerships, and the proposed Northern Kenya Investment Fund.

### Trends and missing links in pastoral natural resource management

Pastoralists' access to water, for both human and animal consumption, is a major element of their livelihoods and of the management of pastoral natural resources (water, pasture, land and trees). It is determined by two factors: infrastructure, investments and technologies (which influence the physical control of and access to water) on the one hand, and institutions (which influence the rules of use, power relationships, and either cooperation or competition) on the other. Changes in water tenure (i.e. water rights) and in the physical control of access to water can induce changes in the appropriation of pastoral land. For example, there is de facto appropriation of pastoral land surrounding water points by those who control these sources.

<sup>78</sup> REGLAP (2010) 'Pastoralism Demographics, Settlement and Service Provision in the Horn and East Africa: Transformation and Opportunities', London: Humanitarian Policy Group / Overseas Development Institute

<sup>79</sup> See, for example, Osano, P. et al (2013) 'Why Keep Lions Instead of Livestock? Assessing wildlife-tourism based payment for ecosystem services involving herders in the Maasai Mara, Kenya', Natural Resources Forum, UN

<sup>80</sup> See, for example, European Parliament (2011) 'The Effects of Oil Companies' Activities on the Environment, Health and Development in Sub-Saharan Africa'

As a result, the following trends are observed: 1) environmental degradation, displacement and conflict; 2) enclosures and appropriation of new water resources and the surrounding grazing areas; and 3) new practices of private trucking and marketing of water. As a result, vulnerable groups are excluded from accessing water that was previously managed as common property.

The linkages at work in these processes are complex and play a major role in the competition for scarce resources in pastoral drylands, especially given the often negative socio-economic impacts of hydraulic infrastructures (such as boreholes, underground cemented cisterns, and canals). Understanding and addressing these linkages adequately is a major challenge for sustainable livelihoods and poverty reduction in pastoral areas.

### 14.2.3 Justification for the common programme

This programme framework provides a common strategy around which all stakeholders can harmonise their interventions in support of sustainable livelihoods in ASALs. Evidence shows that in spite of comparatively high levels of investment in livelihood programmes in the ASALs in the past, food insecurity remains exceptionally high and livestock diseases continue to be prevalent. This framework is therefore an important tool to ensure that programming is more coherent, coordinated and efficient.

The focus of sustainable livelihoods programming is on gains that will be achieved over a long period of time. Devolved government structures are still evolving, and new actors may emerge who do not comprehend or work with agreed county priorities. As a result, poor coordination may lead to unsustainable livelihood interventions, the duplication of activities, or the omission of critical interventions or targeted beneficiaries.

In an environment where many development partners are showing increasing interest in sustainable livelihoods, common programming is even more important. It provides a coordinated mechanism to manage conflicting institutional, organisational, sectoral or donor interests and ensure an equitable distribution of interventions. By aligning programmes, policies and funding with national

and county priorities, the framework reinforces inter-agency collaboration and complementarity, thus strengthening mutual accountability between development partners and the local leadership.

### 14.2.4 Contribution to relevant policies and sector priorities

The Kenya Vision 2030 Second Medium Term Plan (2013-17) recognises drought risk management and EDE as one of the ‘foundations for national transformation’. The argument that underpins the EDE strategy, that climate (and hence livelihood) resilience can only be built by addressing inequalities in access to public goods and services, is drawn from Sessional Paper No. 8 of 2012 on the National Policy for the Sustainable Development of Northern Kenya and other Arid Lands (the ASAL Policy), and the associated Vision 2030 Development Strategy for Northern Kenya and other Arid Lands.

In implementing the measures set out in this framework, the Government and its development partners will also contribute to implementation of the following policy commitments:

- The Agricultural Sector Development Strategy (ASDS) and the wider Comprehensive Africa Agriculture Development Programme (CAADP) of NEPAD, which recognise the constraints on further growth in Kenya’s highlands and the likelihood that the greatest gains in future will be realised in marginal areas. Recent research is already driving a reconsideration of the contribution of the ASALs to GDP and greater awareness of their multiple economic values and benefits.<sup>81</sup>
- National Food and Nutrition Security Policy, 2011, and the National Nutrition Action Plan, 2012-17
- National Livestock Policy, 2008
- National Land Policy, 2009

<sup>81</sup> See, for example, Mortimore, M. (2009) *Dryland Opportunities: A New Paradigm for People, Ecosystems and Development*, Gland: IUCN; UN (2011) *Global Drylands: A UN System-Wide Response*, United Nations Environment Management Group; Behnke/Muthami, op cit.

- National Climate Change Response Strategy, 2010, and National Climate Change Action Plan, 2013
- African Union Policy Framework on Pastoralism. The EDE strategy includes a commitment to domesticate the AU Framework within the Kenyan context.

The goal of the Common Programme Framework

for EDE is to align funding to the critical issues that will end drought emergencies. To that end, and with particular reference to the sustainable livelihoods pillar, this programme will not focus on everything in the Agriculture Sector Medium Term Plan but rather on areas that will have the greatest immediate impact on ending drought emergencies. The linkages between this framework and the priorities of the Agriculture Sector are illustrated in Table 27.

Table 27: Links to Agriculture Sector priorities

PRIORITY	CONTRIBUTION OF THIS FRAMEWORK
Decreasing the cost of production	<ul style="list-style-type: none"> <li>■ The cost of production in the ASALs is heavily influenced by poor infrastructure. While the sustainable livelihoods pillar will work to increase the efficiencies of value chains and improve disease surveillance and control, the infrastructure pillar will have a far greater impact on the cost of production. This is also true of sectors other than agriculture and natural resource management.</li> <li>■ In recent years there has been a significant increase in the importance of casual labour and petty trade in the ASALs. Much of this is related to the agricultural sector and increasing pressure on agricultural livelihoods, but with the discovery of oil and minerals, the importance of casual labour / formal employment is likely to rise further. In addition, there is increased recognition that access to social protection for chronically vulnerable populations (addressed by the EDE pillar on drought risk management), stops or slows the slide into poverty, particularly for the poorest households. It helps families be more food secure and hold on to their assets during shocks.</li> </ul>
Supporting smallholder irrigation schemes	<ul style="list-style-type: none"> <li>■ The MoALF is committed to providing water for smallholder irrigation in the counties, but the management of this water (in terms of both irrigation efficiency and soil moisture content) will be critical if irrigation schemes are to succeed. It will also be critical for purposes other than irrigation. This programme will therefore focus on increased water-use efficiency in agricultural production through appropriate agricultural practices and efficient irrigation technologies.</li> </ul>
Upgrading animal genetics	<ul style="list-style-type: none"> <li>■ In areas prone to drought, improvements in animal genetics in order to promote production can make people more vulnerable, because higher-producing animals require more food and more frequent watering. What is needed is a breeding programme which targets the production of resilient livestock and fish species that are suitable for such environments. However, in the absence of improved infrastructure and the availability of both water and veterinary services, breed improvement is not a priority for this programme.</li> </ul>
Improving disease and parasite control	<ul style="list-style-type: none"> <li>■ This is a critical issue for the programme, which will focus on three aspects of disease control: improved surveillance, improved coverage of vaccination programmes for diseases of public importance, and improved access to veterinary services. For fisheries, the programme will explore the use of technologies such as candling to remove parasites before the fish are transported from the region.</li> </ul>
Improving livestock marketing systems	<ul style="list-style-type: none"> <li>■ This is largely dependent on an improved road network and communication system. However, the programme will focus on improving the management of rural markets and value chain efficiency.</li> </ul>
Increasing the quantities of fish produced through aquaculture	<ul style="list-style-type: none"> <li>■ In recent years aquaculture has emerged as an important food production activity in ASAL areas due to technological improvement and awareness. Thus insufficient water in the region is not necessarily a constraint since floodwater can be harnessed for this purpose. High temperatures are one the most important factors making aquaculture attractive in the ASALs because they confer optimal fish growth rates.</li> </ul>
Improving the efficiency of the Lake Turkana fishing value chain	<ul style="list-style-type: none"> <li>■ This is a key priority for this programme, on both sides of Lake Turkana.</li> </ul>



## 14.3 Programme framework

The overall goal of the EDE sustainable livelihoods framework is to contribute to the enhanced resilience of ASAL livelihoods to the effects of drought and climate change. This will be achieved through two overarching programmes.

### 1. Increased contribution of livestock to the pastoral economy

Livestock production is the dominant economic activity in the ASALs and the most important livelihood for pastoral communities. Livestock provide a variety of livelihoods services to rural households since they are, among other things, a source of food, cash income, manure, draught power and haulage, savings, insurance, social capital and female empowerment. Since poor households benefit more from these services, programmes should build on them to maximise their poverty-reducing benefits.

The ASALs have a comparative advantage in livestock production compared with other parts of the country, but face numerous challenges. The spatial distribution of livestock rather than their number is a key cause of overgrazing. High coefficients of variation in rainfall reinforce the importance of mobility, but this is increasingly being curtailed by settlements, boundaries, resource-based conflict, competing forms of land use, and declining rangeland resources, particularly the systematic disappearance of palatable pasture species due to invasive species. Livestock production is further affected by a combination of recurrent drought, climate change, poor physical and marketing infrastructure, and livestock diseases and pests; livestock health systems in the ASALs have been under-resourced since the 1980s.

### 2. Sustainable management of rangeland, water and crops for ASAL livelihoods

Sustainable use and management of natural resources is an integral part of all ASAL development. Whilst the production of livestock remains the primary economic activity in the ASALs, particularly in the more arid counties, this is changing as people come to rely more on other resources such as charcoal and fuel-wood, employment, petty trade and crop farming – with many of these alternative livelihoods being destructive, unsustainable or

of high risk or marginal economic return. Any programme aiming to improve the resilience of ASAL livelihoods to drought must therefore address these but, in accordance with the principles of the EDE framework, by targeting the most critical actions that build the foundations for development.

The discovery of oil, gas and underground water, and the investments and opportunities offered by LAPSSSET, could offer significant alternative livelihood opportunities to ASAL communities if designed and implemented equitably. However, experience shows that all too often such resources rarely benefit the majority of local people and often lead to increased tension and conflict.

It has too often been assumed that the solution to the challenges facing the ASALs is more water. However, new water can create rather than solve problems, particularly when it is poorly sited in critical grazing areas, leads to sedentarisation and localised degradation,<sup>82</sup> or fails to take account of the needs of downstream users. The more pressing concern is better management of existing water sources and more efficient water use.

Land is a critical factor in sustaining ASAL livelihoods and has special cultural and aesthetic significance. To an outsider, the under-populated arid lands appear to be empty lands, ripe for alternative forms of production and investment. This is partly because the pastoral economy is undervalued. But for pastoralists, different areas of rangeland are important at different times: some are reserved for drought periods while others are of high ecological or cultural importance.

Customary institutions ensure the wise use and effective management of natural resources; degradation is much less evident in open rangelands. However, there are few controls over the spread of settlements and water points, and few mechanisms to ensure a fair distribution of the wealth from the natural resource base. Land pressures in rapidly urbanising areas are more

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<sup>82</sup> Farah, K.O. et al (1996) 'The Management and Development of the Arid Communal Rangelands in North-Eastern Kenya: A Critical Analysis of the Past and Present', African Pastoral Forum Working Paper Series No. 7; Walker, R. and Hassan, O. (2002) 'Pastoralists Under Pressure: The Politics of Sedentarisation and Marginalisation in Northern Kenya', Nairobi: Oxfam

acute because of proximity to towns and the impact of enclosures and sub-division. Between 1960 and 1990, increased land sub-division encouraged an influx of non-pastoral land management systems leading to the loss of many dry-season grazing areas.

The actual land area available for use in the ASALs is reduced because large parts have been appropriated for other purposes. Nearly 15 per cent of the land in agro-ecological zone 5 (semi-arid) has been alienated for national parks and reserves. The National Land Policy and National Spatial Plan, once implemented, will provide a framework to address many of the land challenges facing the ASALs. There is also innovative work at the local level to formalise customary practice in partnership with county authorities.

The sustainable livelihoods common programme framework is summarised in Table 28, and a more detailed results framework is in section 14.8.

## 14.4 Cross-cutting issues

### 14.4.1 Gender and diversity

Most pastoral societies are highly differentiated along gender and generational lines. Key assets and resources, such as land, livestock, water and cash, are generally controlled by older men rather than by women or youth, reflecting the subordinate position of women in society and the cultural limitations placed on their public roles. Men's control over productive assets obscures the important role of women in livestock production and agriculture.

The demands of livestock production and certain cultural practices impede the education and career development of both boys and girls. The constraints on girls' and women's education are evident in the literacy gender gap. Literacy rates in Northern Kenya as a whole are low,<sup>83</sup> but those for women are even lower, illustrating the 'double bind' that women experience on account of both their gender and their social group.<sup>84</sup>

Gender roles are changing under the impact of urbanisation and commercialisation. The welfare of women and girls is also threatened by environmental problems which increase the pressure of providing

water and fuel-wood for the household. Growing economic differentiation is also affecting vulnerable groups. Some of the very poorest people no longer engage in the pastoral economy and rely on wage labour or petty trade. Most communities have social protection systems to care for the vulnerable, but people with disabilities and those with HIV/AIDS still face high levels of stigma. The positive qualities of traditional institutions, which provide invaluable social assistance, can be harnessed for multiple benefits, including as platforms for economic and social development (such as savings and credit schemes or adult literacy programmes), and to mobilise young people's engagement in development.

Urbanised young people may have different values and aspirations from their rural age-mates, but their economic options are limited. With few opportunities for work or training they are vulnerable to being drawn into conflict and anti-social behaviours. In pastoral social systems, ageing is traditionally associated with increasing political authority, but these norms are being challenged. The particular issues affecting pastoralist youth are not yet being addressed by national youth policies.

### 14.4.2 Links with other EDE pillars

**Peace and security:** Conflict and insecurity limit trade and exchange and constrain access to productive resources. When rangeland is closed-off by conflict, its under-grazing can also lead to degradation, the loss of biodiversity and the spread of alien or unpalatable species.<sup>85</sup> Sustainable livelihoods are not possible to achieve in a climate of instability and insecurity.

**Climate-proofed infrastructure:** Economic growth created by more sustainable livelihoods generates revenue to invest in other sectors such as infrastructure development. In turn,

<sup>83</sup> Republic of Kenya (2008) 'Kenya Integrated Household Budget Survey, 2005-06'

<sup>84</sup> Kipuri, N. and Ridgewell, A. (2008) 'A Double Bind: The Exclusion of Pastoralist Women in the East and Horn of Africa', London: Minority Rights Group International

<sup>85</sup> WISP (2008) 'Policies that Work for Pastoral Environments: A six-country review of positive policy impacts on pastoral environments'



Table 28: Sustainable livelihoods framework

<b>OVERALL OUTCOME:</b>	
<b>Enhanced resilience of ASAL livelihoods to the effects of drought and climate change</b>	
<b>RESULTS:</b>	
Increased income from, and consumption of, livestock and livestock products.	Improved management of water, crops and rangeland resources.
<b>OUTPUTS:</b>	
<ol style="list-style-type: none"> <li>1. Improved animal production and health.</li> <li>2. Improved market linkages and private sector investment in livestock.</li> <li>3. Increased efficiency of value chains for emerging livestock (including fish, poultry and bees).</li> </ol>	<ol style="list-style-type: none"> <li>1. Improved governance of land tenure.</li> <li>2. Improved natural resource management.</li> <li>3. Increased water use efficiency in agricultural production.</li> </ol>
<b>PRIORITY ACTIVITIES:</b>	
<p><b>Output 1:</b></p> <ul style="list-style-type: none"> <li>■ Active and passive surveillance (using mobile platforms, ARIS, and range and water monitoring).</li> <li>■ Comprehensive support to vaccination programmes for priority diseases (PPR, S&amp;G pox, CCPP, NCD, FMD, CBPP).</li> <li>■ Establishment of an effective and efficient animal health delivery system.</li> <li>■ Provision of broad-scale training on animal production and health.</li> </ul> <p><b>Output 2:</b></p> <ul style="list-style-type: none"> <li>■ Support livestock market management through establishment of national / county livestock marketing boards and support to the co-management approach.</li> <li>■ Investigate mechanisms for improved delivery of livestock insurance.</li> <li>■ Support linkages to the private sector and the development of supply contracts for livestock and livestock products.</li> <li>■ Support the development of innovative, water-efficient systems for feeding livestock.</li> <li>■ Provide technical support to government and private sector companies to enable the establishment of effective slaughter houses and quarantine systems.</li> </ul> <p><b>Output 3:</b></p> <ul style="list-style-type: none"> <li>■ Support fish farming using ponds, cages, recirculation aquaculture systems in selected areas, and capture fisheries in Lake Turkana.</li> <li>■ Support the organization of fish value addition, marketing, and the popularisation of fish eating in ASAL areas.</li> <li>■ Promote value chains for emerging livelihoods (poultry, bee-keeping etc).</li> </ul>	<p><b>Output 1:</b></p> <ul style="list-style-type: none"> <li>■ Roll out the Voluntary Guidelines (VGs) and capacity building for County Land Management Boards / community leaders.</li> <li>■ Development of community by-laws and reciprocal agreements between communities to manage access to land and water resources.</li> </ul> <p><b>Output 2:</b></p> <ul style="list-style-type: none"> <li>■ Develop / update county and regional watershed management plans.</li> <li>■ Build capacity for holistic natural resource management (which incorporates the activities below).</li> <li>■ Build capacity for the development and community-level management of water points.</li> <li>■ Support programmes promoting the payment of environmental services.</li> <li>■ Build capacity and market linkages for the sustainable use of wood and non-wood products.</li> </ul> <p><b>Output 3:</b></p> <ul style="list-style-type: none"> <li>■ Support appropriate irrigation initiatives and innovations in water-use efficiency.</li> <li>■ Support the adoption and local utilisation of nutritious drought-tolerant crops.</li> <li>■ Support Good Agricultural Practice (GAP) and Conservation Agriculture (where there is sufficient water or in irrigation schemes).</li> <li>■ Support improved post-harvest management, market linkages and private sector investment in agriculture.</li> <li>■ Support peri-urban agriculture in rural towns.</li> </ul>
<b>BENEFICIARIES AND GEOGRAPHICAL FOCUS:</b>	
Pastoral and agro-pastoral households in all ASAL counties, including actors in the livestock value chain.	Households in all ASAL counties given their high dependence on both the management of natural resources and water-use efficiency.

better infrastructure provides a foundation for economic growth and an incentive for private sector engagement, helping to ensure more cost-effective access to markets.

**Human capital:** Higher incomes will create surpluses to invest in education and protect against ill-health. Conversely, productive and sustainable livelihoods depend on a healthy and skilled workforce. Demand for jobs is rising as the population grows. The pastoral system can absorb only a finite number of people; a growing proportion will either prefer or be forced to make a living outside pastoralism.

Indigenous knowledge of ecology, medicine and animal health is abundant in the ASALs but scattered and threatened by over-exploitation and bio-piracy. It could be more effectively harnessed to strengthen livelihoods and inform innovation. Research is the cutting edge of economic development and empowerment, but few institutions of higher learning focus on issues relevant to the ASALs. As a result, there are fewer scientific breakthroughs in livestock than in crop research. Conventional technologies used in higher rainfall areas may not be appropriate in the ASALs. New technologies are needed, particularly in integrated natural resource management, crop-wildlife-livestock interactions, eco-tourism, livestock marketing, animal health, and crop/pasture seed varieties. These could be developed through partnerships between ASAL counties, farmers, research institutions and universities.

**Drought risk management:** The growth and diversification of incomes help drought-affected households spread their risks and improve their adaptive capacity. More specifically, the actions under this framework to improve the functioning of livestock markets will facilitate commercial offtake during periods of drought. In turn, better risk management helps protect households against asset loss. Since droughts can be anticipated and managed, failure to do so has major consequences for sustainable livelihoods. Pastoralists manage unpredictability and exploit opportunities by using highly specialised risk-spreading strategies, such as herd maximisation and diversification, the loaning of animals, and mobility. If these strategies are reinforced, pastoral production may have an advantage in an increasingly variable and unpredictable climate.

ASAL livelihoods are particularly vulnerable and emergencies and shocks are expected to occur on an increasingly regular basis. Building sustainable livelihoods alone will not stop the negative effects of droughts. In the short to medium term all ASAL livelihoods will remain dependent on timely emergency drought response in some form. Thus all pillars are essential in establishing sustainable livelihoods and ending drought emergencies. In order to build resilience and long-term sustainability, a better balance and alignment between development and emergency activities and funding is urgently needed. Development interventions may not be totally disaster-proof. However, with better planning and coordination they should be emergency-aware, integrating drought contingency mechanisms and the means for early response when stress deepens. Better coordination will also ensure that they contribute to achieving the goal of sustainability more rapidly.

**Institutional development and knowledge management:** A coordinated approach to addressing the effects of drought and climate change is key to achieving enhanced resilience of ASAL livelihoods. This requires the support of effective institutions that are able to drive the development process in a coherent manner. In addition, the availability of information and knowledge crucial to providing the evidence base that informs investment choices is critical to achieving results.

## 14.5 Risk management

The principle risks associated with this framework, and the measures being taken to mitigate them, are shown in Table 29.

In addition, a number of general assumptions may be made about the likelihood of achieving the objectives of this programme:

- By aligning the common programme framework to county and national development priorities, the chances of success are increased.
- Pooling of resources (such as time, finance, and technical expertise) and targeting of interventions will increase efficiency and effectiveness.
- The high level of commitment of the national and county governments, local communities and

Table 29: Risks and mitigating measures

RISK	MITIGATING MEASURES
Insecurity and growing resource-based conflict, especially in arid areas.	<ul style="list-style-type: none"> <li>■ Close collaboration with the peace and security pillar of the EDE, and its efforts to establish mechanisms for peace building and conflict resolution.</li> </ul>
Persistent drought and a more unpredictable climate may divert attention from long-term planning.	<ul style="list-style-type: none"> <li>■ Support for the National Drought Contingency Fund (NDCF) at both national and county levels, which will provide dedicated finance for early drought response (and therefore reduce the diversion of funds from long-term programmes).</li> </ul>
Governance challenges, including an increase in populations and settlements.	<ul style="list-style-type: none"> <li>■ Capacity assessments will identify critical gaps that may inhibit the successful implementation of this programme, and for which support will be provided.</li> </ul>
High dependence on rain-fed agriculture and low agricultural productivity.	<ul style="list-style-type: none"> <li>■ The infrastructure pillar of the EDE is investing in water harvesting technologies.</li> <li>■ This framework will promote and support climate-smart agricultural practices</li> </ul>
Global dynamics, such as spikes in international oil prices and slow economic recovery in donor countries.	<ul style="list-style-type: none"> <li>■ Whilst county funding currently accounts for only around four per cent of the total budget, this is expected to increase significantly and reduce the reliance on external donors.</li> </ul>
High levels of unemployment and poverty in ASALs.	<ul style="list-style-type: none"> <li>■ The programme is expected to generate employment and sources of revenue, so the programme itself is a mitigating measure to this risk.</li> </ul>

partners provides a strong impetus to make the programme succeed.

- Participatory approaches in formulating the county interventions for inclusion in the framework suggest an existing commitment to prioritise community needs in the CIDPs.
- The commitment of the national and county governments to this framework suggests that broader political dynamics will not affect its implementation.
- Co-financing by all parties, including county governments and development partners, will enhance the feasibility of the common programming approach.

## 14.6 Institutional arrangements

### 14.6.1 Programme management and implementation

The institutional framework for the programme is shown in Figure 9. A number of different levels of programme management and implementation are proposed:

- **Decision-making:** the Council of Governors,

with the Cabinet Secretaries for the Ministry of Agriculture, Livestock and Fisheries and the Ministry for Devolution and Planning, will oversee the allocation of development partner resources to the different counties. Decisions will be made based on available funding and the financing gap at county level. Counties will present proposals for financing through technical county cluster groups.

It is important to note that these arrangements will change over time as they adapt to rapidly evolving coordination and management structures and in order to include additional sectors (such as trade, marketing and commerce) which are all exceptionally important for ASAL livelihoods. For the time being it is envisaged that the coordination mechanisms anchored in the MoALF will provide an inter-ministerial linkage with other relevant ministries as well as with private sector stakeholders.

- **Technical county cluster groups:** Given the need for synergy between counties within the same geographical area, technical county cluster groups will be established. These will comprise the County Executives responsible for matters of crops, livestock and fisheries (or their representatives), and will review and agree

on proposals to be submitted to the Council of Governors.

- **County Ministries of Agriculture** will be primarily responsible for implementation using available County Service Units.

### 14.6.2 Coordination mechanisms

The programme will be coordinated through existing structures:

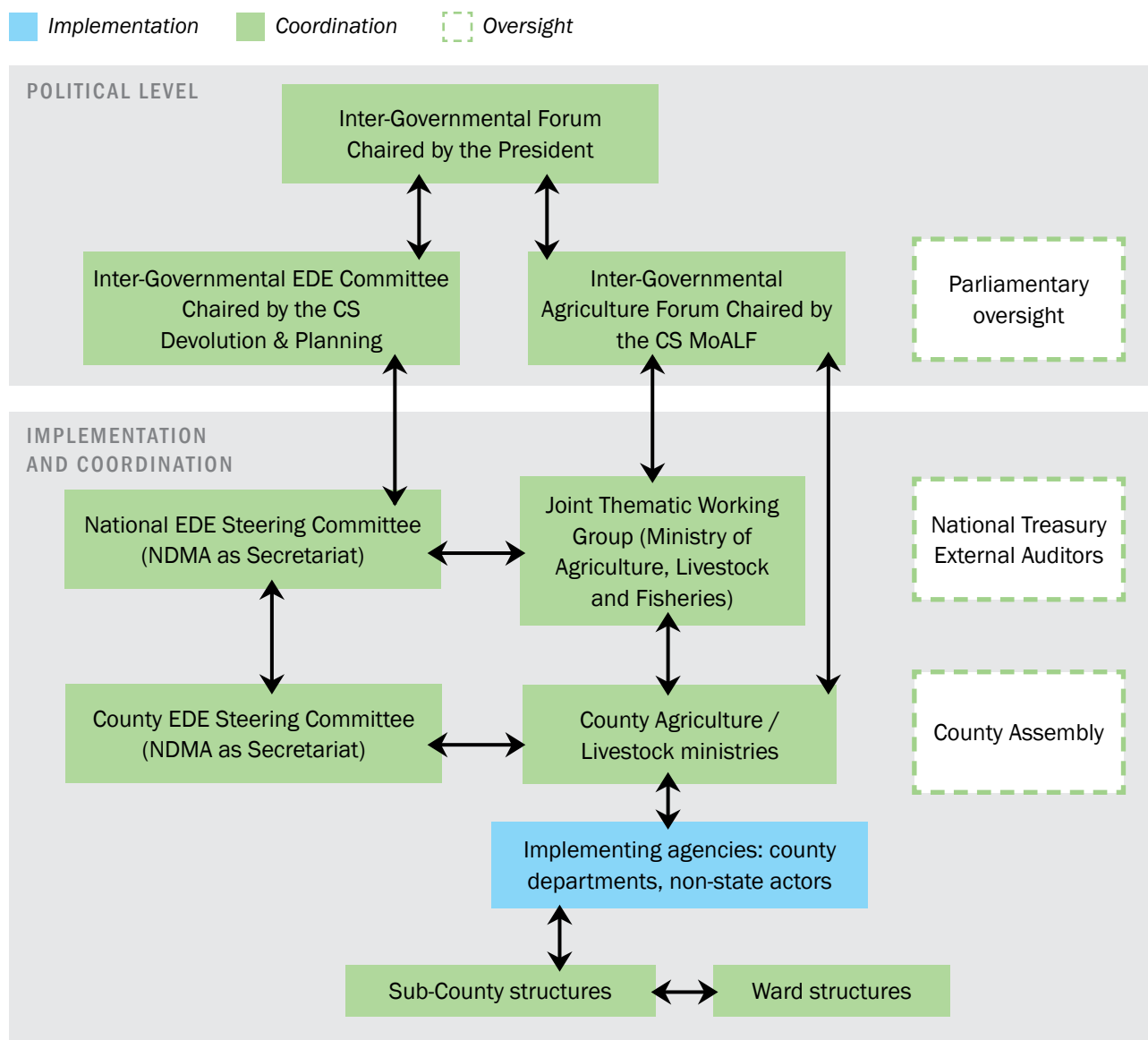
- **National level:** coordination will be housed within the MoALF and progress will be reported to the counties through the Inter-Governmental Agriculture Forum.
- **Cluster level:** the programme will be coordinated by the technical county cluster groups.

- **County level:** coordination will be the responsibility of the County Ministries of Agriculture.

### 14.6.3 Monitoring and evaluation

As part of its oversight responsibility, the MoALF will ensure that appropriate monitoring, evaluation and reporting mechanisms are in place and applied by all implementing partners. This will be done within the framework of the overall monitoring and evaluation systems for the EDE Common Programme Framework, which will be designed, facilitated and supported by its sixth pillar. The targets and timeframes for each indicator in the results framework (section 14.8) will be agreed with partners within the first six months of implementation.

Figure 9: Institutional framework



## 14.7 Resources

The total amount of funds required is Kshs. 40,020 million, of which a minimum of Kshs. 1,531 million is already secured through county budgets. These figures will be further refined during the inception phase. Since the agriculture sector is now largely devolved, more work is needed to determine the precise funding situation in each county. A clearer

picture of financing needs will have been established within six months of implementation.

The mandate of the Livestock Offtake Fund, which has already been gazetted, will be widened to encompass this programme. Disbursements from the Fund will be overseen by the Council of Governors and by the Cabinet Secretaries for Agriculture, Livestock and Fisheries and for Devolution and Planning.

## 14.8 Results framework

	OVI	MOV	ASSUMPTIONS
<b>GOAL (BY 2022)</b>			
Communities in drought-prone areas are more resilient to drought and other effects of climate change, and the impacts of drought are contained.	<ul style="list-style-type: none"> <li>Number of people requiring food assistance as a result of drought emergencies.</li> </ul>	<ul style="list-style-type: none"> <li>KFSSG food security assessments</li> </ul>	<ul style="list-style-type: none"> <li>Investments made across all pillars of the EDE, and functional links established between the pillars.</li> <li>Alternative sources of finance established and operational, such as the NDCF and ARC, and scalability mechanisms in place.</li> <li>Adequate economic, political and climatic stability.</li> </ul>
	<ul style="list-style-type: none"> <li>% of children under five stunted in each of the 23 most drought-affected counties.</li> </ul>	<ul style="list-style-type: none"> <li>Health sector MIS</li> </ul>	
	<ul style="list-style-type: none"> <li>Value of livestock lost in drought compared with previous drought episodes.</li> </ul>	<ul style="list-style-type: none"> <li>Post-Disaster Needs Assessment</li> </ul>	
	<ul style="list-style-type: none"> <li>Kenya manages drought episodes without recourse to international emergency appeals. (Yes/No)</li> </ul>	<ul style="list-style-type: none"> <li>GoK and UN documents</li> </ul>	
<b>OVERALL PILLAR OUTCOME</b>			
Enhanced resilience of ASAL livelihoods to the effects of drought and climate change.	<ul style="list-style-type: none"> <li>% improvement in resilience score.</li> <li>% improvement in long-term household food security.</li> </ul>	<ul style="list-style-type: none"> <li>Resilience analysis reports</li> </ul>	<ul style="list-style-type: none"> <li>Other priority areas under the EDE MTP are given sufficient attention.</li> </ul>
<b>SPECIFIC RESULTS</b>			
1. Increased income from, and consumption of, livestock and livestock products.	<ul style="list-style-type: none"> <li>% improvement in economic gains from livestock.</li> </ul>	<ul style="list-style-type: none"> <li>Household economic survey</li> </ul>	<ul style="list-style-type: none"> <li>Livestock remains an important component of livelihoods in the ASALs, even for middle- and low-income households, as well as households that are engaged in crop production.</li> </ul>
	<ul style="list-style-type: none"> <li>% decrease in the incidence of malnutrition</li> </ul>	<ul style="list-style-type: none"> <li>Nutrition surveys</li> </ul>	
2. Improved management of water, crops and rangeland resources.	<ul style="list-style-type: none"> <li>% improvement in economic gains from natural resources.</li> </ul>	<ul style="list-style-type: none"> <li>Household economic survey</li> </ul>	<ul style="list-style-type: none"> <li>National and county government commitment to improved natural resource management.</li> </ul>

	OVI	MOV	ASSUMPTIONS
<b>OUTPUTS:</b>			
<b>Result 1: Increased income from, and consumption of, livestock and livestock products.</b>			
1.1 Improved animal production and health.	■ % reduction in livestock morbidity & mortality.	■ Livestock diseases surveillance data	■ The Veterinary Authority is able to coordinate nationwide disease control activities across the different counties.
	■ % increase in household milk availability	■ Household economic survey ■ NDMA monthly drought EW bulletins	
1.2 Improved market linkages and private sector investment in livestock	■ % increase in numbers of livestock sold.	■ Market information systems, market reports & NDMA monthly drought EW bulletins	■ The ability to manage range resources, coupled with the ability to save and borrow money, will enable livestock keepers to benefit from seasonal price fluctuations and market their animals when the price is high,
	■ % increase in livestock price.		
1.3 Increased efficiency of value chains for emerging livestock (including fish, poultry and bees).	■ % increase in quantity of fish, poultry and honey marketed.		■ As infrastructure improves in the ASALs, so will opportunities to diversify into other forms of livestock production.
<b>Result 2: Improved management of water, crops and rangeland resources.</b>			
2.1 Improved governance of land tenure.	■ No. of county land use plans.	■ Land use maps & reports	■ Improved governance of tenure will provide incentives for NRM, particularly in areas of conflict between pastoralists and agriculturalists and where income from wood and charcoal is significant, and help reduce conflict.
	■ Area of community land registered.		
2.2 Improved natural resource management.	■ Improved water catchment conservation.	■ Satellite imagery ■ Field reports ■ Sales of fodder	■ Improved NRM will enable greater and more sustainable revenue from wood products and is a precondition for improvements in the contribution of livestock to livelihoods.
	■ Recovery of degraded land.		
	■ Conservation of fodder for livestock.		
	■ No. of functional water points.		
	■ Community forest management.		
2.3 Increased water use efficiency in agricultural production.	■ Increased area under irrigation.	■ Maps and reports ■ Agricultural census ■ Nutrition surveys	■ Increased efficiency of water use in agricultural production will decrease the susceptibility of agricultural producers to drought shocks.
	■ Increased area under conservation agriculture & Good Agricultural Practice (GAP).		
	■ Increased access to markets.		
	■ Improved nutritional status.		

ACTIVITIES	MEANS	BUDGET 2014-2018 (KSHS M)	
<b>Output 1.1: Improved animal production and health</b>			
Active and passive surveillance (using mobile platforms, ARIS, and range and water monitoring).	<ul style="list-style-type: none"> <li>Mobile phones &amp; digital pens for county veterinary officers; mobile phones for animal health assistants; expansion of the range &amp; water model; activation of the livestock movement platform.</li> </ul>	2,001	<ul style="list-style-type: none"> <li>The government must set aside sufficient funds for disease surveillance which has to be centrally managed rather than on a county-by-county basis.</li> </ul>
Comprehensive support to vaccination programmes for priority diseases (PPR, sheep & goat pox, CCPP, NCD, FMD, CBPP).	<ul style="list-style-type: none"> <li>National vaccination strategies; sufficient quantity of vaccine; cold chain equipment; functional delivery mechanisms.</li> </ul>	6,960	<ul style="list-style-type: none"> <li>Development (through to commercialisation) of thermo-stable vaccines &amp; the combination of vaccines so that one vaccine can effectively cover multiple diseases strains.</li> </ul>
Establishment of an effective and efficient animal health delivery system.	<ul style="list-style-type: none"> <li>Scale up the franchise model piloted by Sidai; establish operational and supervision requirements for animal health technicians; more technical staff in county veterinary offices.</li> </ul>	2,001	<ul style="list-style-type: none"> <li>Acceptance by the Kenya Veterinary Board and VSVP Act 2011 that, given current job cuts within the State Department of Livestock, there is an urgent need for animal health technicians.</li> </ul>
Provision of broad-scale training on animal production and health.	<ul style="list-style-type: none"> <li>Radio, TV and web-based training supported by demonstration (both through PFS groups and listener groups).</li> </ul>	435	<ul style="list-style-type: none"> <li>County-level buy-in so that budgets are made available in counties.</li> </ul>
<b>Output 1.2: Improved market linkages and private sector investment in livestock.</b>			
Support livestock market management through establishment of national / county livestock marketing boards and support to the co-management approach.	<ul style="list-style-type: none"> <li>Training of livestock market management committees and county marketing boards; establishment of regulations for co-management and revenue sharing.</li> </ul>	435	<ul style="list-style-type: none"> <li>County-level acceptance of the revenue sharing model.</li> </ul>
Investigate mechanisms for improved delivery of livestock insurance.	<ul style="list-style-type: none"> <li>Research contracts.</li> </ul>	87	<ul style="list-style-type: none"> <li>A functional, commercialised livestock insurance system.</li> </ul>
Support linkages to the private sector and the development of supply contracts for livestock and livestock products.	<ul style="list-style-type: none"> <li>Commodity exchange platforms linked to livestock marketing associations; negotiations with private sector-run end markets; support to livestock producer groups and micro-finance institutions such as village banks.</li> </ul>	174	<ul style="list-style-type: none"> <li>Concurrent investments in infrastructure enable cost-effective access to markets.</li> </ul>
Support the development of innovative, water-efficient systems for feeding livestock.	<ul style="list-style-type: none"> <li>Integration of livestock into irrigation systems, feedlots and fodder production using hydroponics.</li> </ul>	870	



ACTIVITIES	MEANS	BUDGET 2014-2018 (KSHS M)	
Provide technical support to government and private sector companies to enable the establishment of effective slaughter houses and quarantine systems.	<ul style="list-style-type: none"> <li>■ Technical expertise; establishment of food safety requirements from end markets.</li> </ul>	87	<ul style="list-style-type: none"> <li>■ An effective livestock traceability, disease surveillance &amp; control system is essential if livestock are to comply with international standards and qualify for export.</li> </ul>
<b>Output 1.3: Increased efficiency of value chains for emerging livestock (including fish, poultry and bees).</b>			
Support fish farming and marketing using ponds, cages, recirculation aquaculture systems in selected areas, and capture fisheries in Lake Turkana.	<ul style="list-style-type: none"> <li>■ Identify, and provide coordinated support to, critical points for integration along the value chain.</li> </ul>	1,305	<ul style="list-style-type: none"> <li>■ Concurrent investments in infrastructure enable cost-effective access to markets.</li> </ul>
Support the organization of fish value addition, marketing, and the popularisation of fish eating in ASAL areas.			
Promote value chains for emerging livelihoods (poultry, bee-keeping etc).		1,305	
<b>Output 2.1: Improved governance of land tenure.</b>			
Roll out the Voluntary Guidelines (VGs) and capacity building for county Land Management Boards / community leaders.	<ul style="list-style-type: none"> <li>■ Expertise on VGs; resource use mapping and planning; satellite imagery and ground-truthing; community meetings and negotiations.</li> </ul>	1,827	<ul style="list-style-type: none"> <li>■ County land management boards are established and their mandate (and that of the NLC and the Ministry of Lands) is clarified.</li> </ul>
Development of community by-laws and reciprocal agreements between communities to manage access to land and water resources.	<ul style="list-style-type: none"> <li>■ Community meetings and negotiations; legal expertise; involvement of county administration and police.</li> </ul>	2,001	<ul style="list-style-type: none"> <li>■ Concurrent work on conflict management and community-level training on the voluntary guidelines.</li> </ul>
<b>Output 2.2: Improved natural resource management.</b>			
Develop / update county and regional watershed management plans.	<ul style="list-style-type: none"> <li>■ Review of current plans; additional water mapping (using the UNESCO Radar technology); analysis of the options that new findings present.</li> </ul>	2,610	<ul style="list-style-type: none"> <li>■ Agreement to roll out the UNESCO water-mapping approach to other areas of the country.</li> </ul>
Build capacity for holistic natural resource management (which incorporates the activities below).	<ul style="list-style-type: none"> <li>■ Training of NGOs, county staff and community leaders; link to by-laws and tenure rights.</li> </ul>	2,001	<ul style="list-style-type: none"> <li>■ Sufficient number of trained professionals that can provide HNRM training and adapt the approach so that it is suitable to the target areas.</li> </ul>

ACTIVITIES	MEANS	BUDGET 2014-2018 (KSHS M)	
Build capacity for the development and community-level management of water points.	<ul style="list-style-type: none"> <li>Development / rehabilitation of strategic water points (based on solid rules of access and payment of management / maintenance fees); training of / support to Water User Associations.</li> </ul>	2,001	<ul style="list-style-type: none"> <li>Community agreement to pay a service charge for water; community ability to manage access to water points (linked to the reciprocal agreements above).</li> </ul>
Support programmes promoting the payment of environmental services.	<ul style="list-style-type: none"> <li>Market assessment; carbon assessment; capacity building and business establishment.</li> </ul>	870	<ul style="list-style-type: none"> <li>Existence of a model to enable the payment of carbon credits for sustainably managed charcoal production (as charcoal is the most common wood product).</li> </ul>
Build capacity and market linkages for the sustainable use of wood and non-wood products.	<ul style="list-style-type: none"> <li>% increase in income from wood / non-wood products; sustainable management plans for wood/non-wood products.</li> </ul>	1,305	<ul style="list-style-type: none"> <li>Supportive legislation.</li> </ul>
<b>Output 2.3: Increased water use efficiency in agricultural production.</b>			
Support appropriate irrigation initiatives and innovations in water-use efficiency.	<ul style="list-style-type: none"> <li>Support siting and design of appropriate irrigation schemes; build capacity for scheme management; promote appropriate agronomic practices; investigate innovations in water-use efficiency (drip irrigation, hydroponics), integrate livestock into irrigation schemes.</li> </ul>	4,350	<ul style="list-style-type: none"> <li>Concurrent investments in infrastructure enable cost-effective access to markets.</li> </ul>
Support the adoption and local utilisation of nutritious drought-tolerant crops.	<ul style="list-style-type: none"> <li>Promote adoption and carry out research on new varieties and their adoption (millet, sorghum, grain amaranth, quinoa, teff, greengrams etc).</li> </ul>	1,740	
Support Good Agricultural Practice (GAP) and Conservation Agriculture (where there is sufficient water or in irrigation schemes).	<ul style="list-style-type: none"> <li>Support to extension on CA and GAP; provision of appropriate inputs for mechanisation.</li> </ul>	3,480	<ul style="list-style-type: none"> <li>Concurrent investments in infrastructure enable cost-effective access to markets.</li> </ul>
Support improved post-harvest management, market linkages and private sector investment in agriculture.	<ul style="list-style-type: none"> <li>Post-harvest management; cooperatives; contract farming; agricultural insurance; linking input provision to supply contracts; privatised extension services.</li> </ul>	1,740	
Support peri-urban agriculture in rural towns.	<ul style="list-style-type: none"> <li>Capacity building of peri-urban groups.</li> </ul>	435	
<b>TOTAL</b>		<b>40,020</b>	

# 15

## Pillar 5: Drought Risk Management

### Key data

<b>COUNTRY</b>	Kenya
<b>TITLE</b>	Common Programme Framework for Ending Drought Emergencies: Drought Risk Management
<b>DURATION</b>	July 2014 – June 2018
<b>TOTAL BUDGET</b>	Kshs. 45,598 million
<b>OVERALL OUTCOME</b>	Institutions, mechanisms and capacities that build resilience to drought and climate change developed and strengthened.
<b>EXPECTED RESULTS</b>	<ol style="list-style-type: none"><li>1. Drought risk reduction, climate change adaptation and social protection measures integrated into development policies, plans, budgets and activities at national and county levels.</li><li>2. Drought, climate and socio-economic information facilitate concerted and timely action by relevant stakeholders at county, national and regional levels.</li><li>3. Scalability and response mechanisms ensure timely and well-coordinated assistance to drought-affected populations.</li><li>4. Institutional and legal frameworks for drought risk reduction, climate change adaptation and social protection exist at all levels with adequate capacity.</li><li>5. Knowledge is effectively managed to ensure evidence-based decision-making and practice.</li></ol>
<b>FOCUS AREA AND POPULATION</b>	Arid and semi-arid counties, approximately 15 million people (36% of the national population)
<b>CONTACT DETAILS</b>	<b>Chief Executive Officer</b> , National Drought Management Authority P.O. Box 53547-00200 Nairobi, Kenya ceo@ndma.go.ke, www.ndma.go.ke

### 15.1 Executive summary

This is the fifth of six common programme frameworks that have been developed to operationalise the Ending Drought Emergencies (EDE) Medium Term Plan, which is an integral part of the Kenya Vision 2030 Second Medium Term Plan for 2013-17.<sup>86</sup>

Kenya's arid and semi-arid lands (ASALs) face high levels of exposure and vulnerability to drought. Their vulnerability is in large part a product of historical under-development, particularly of public goods and services. A number of newer dynamics are also affecting people's capacity to manage risk, including climate change, population growth, the discovery of new natural resources, and (positively) the expansion of education.

The Ending Drought Emergencies (EDE) strategy builds on the National Policy for the Sustainable Development of Northern Kenya and other Arid Lands. It commits the government to end the worst of the suffering caused by drought by 2022, using two main strategies. The first is to strengthen the basic foundations for growth and development, such as security, infrastructure and human capital; these investments are defined and implemented under other pillars of the EDE framework. The second is to strengthen the institutional and financing framework for drought risk management (DRM), which is the focus of this pillar.

Although not yet fully embedded in day-to-day practice, a paradigm shift in DRM is underway, incorporating mechanisms that ensure earlier response, the scalability of existing services, market-based approaches, and stronger complementarity of interventions across separate disciplines (such as drought risk reduction, climate change adaptation and social protection).

<sup>86</sup> The others are on peace and security, climate-proofed infrastructure, human capital, sustainable livelihoods, and institutional development and knowledge management.

There have been important institutional reforms in Kenya in recent years, particularly the creation of devolved county governments and the establishment of the National Drought Management Authority (NDMA). Since drought risk management is so closely entwined with sustainable development, it is inevitably a shared function of both the national and the county governments.

This framework has three components: drought risk and vulnerability reduction, drought early warning and early response, and institutional capacity for drought and climate resilience. With its emphasis on the integration of drought risk reduction in policy, planning and implementation, and on strengthening governance and institutions for disaster risk reduction, it is closely aligned with the Sendai Framework for Disaster Risk Reduction.

The NDMA will lead implementation of this framework, working closely with other parts of the national government, the county governments, and a wide range of partners, including UN agencies, civil society organisations and private sector networks and agencies. The total budget is estimated to be Kshs. 45,598 million, of which approximately 37 per cent is already secured.

## 15.2 Situation analysis

### 15.2.1 Sector analysis

Of all the hazards facing Kenya, drought is the most extensive and potentially damaging. The EDE strategy commits the government to end the worst of the suffering caused by drought by 2022. It is closely aligned with the guiding principles and priorities for action of the Sendai Framework for Disaster Risk Reduction, particularly the Framework's emphasis on integrated and inclusive measures that reduce vulnerability.

There is a symbiotic relationship between DRM and almost every other aspect of development. First, failure to manage drought risks has far-reaching effects, including on livelihood and environmental sustainability, health and nutritional status, educational opportunity, social relations (particularly gender roles), political stability, inequality, and economic growth. Second, effective

action in all these areas – and particularly the capacity of the sectors to adapt to changing levels of risk by scaling their services up or down – is an essential foundation of sound DRM.

The severity of drought risk is determined by the interaction between levels of exposure and levels of vulnerability to drought.<sup>87</sup> In Kenya's arid and semi-arid lands (ASALs) both exposure and vulnerability are high. Drought vulnerability is a product of the chronic under-development of these regions, particularly the limited provision of public goods such as security, infrastructure and the services that build human capital. In counties such as Turkana, repeated surveys and assessments note that one of the dominant obstacles to resilience is conflict, which curtails mobility and trade, deters investment and services, and makes prime grazing inaccessible.

A number of other social, political and institutional factors are influencing drought vulnerability in the ASALs, either positively or negatively. These include a high rate of population growth, increasing sedentarisation, the weakening of community-based institutions, the expansion of educational opportunities, and the continued shortcomings of contingency planning and response mechanisms. New threats include the discovery of natural resources, such as oil and gas, and the advent of climate change, which is likely to make the normal climate variability of dryland ecosystems more pronounced and less predictable.

While the human consequences of poor drought risk management have always been apparent, the economic consequences are now receiving more attention. Recent research in Kenya estimates that every US\$ 1 spent on destocking and other forms of early response would yield US\$ 390 in reduced aid and avoidable livestock loss.<sup>88</sup> The same study suggests that over a 20-year period, late emergency response will cost US\$ 21 billion more than interventions to build resilience. The Post Disaster Needs Assessment (PDNA) for the

<sup>87</sup> UNDP, 2011. 'Mainstreaming Drought Risk Management: A Primer'. Nairobi, UNDP.

<sup>88</sup> Cabot Venton, C. et al, 2012. 'The Economics of Early Response and Resilience'. London, DFID.

2008-11 drought period estimated total losses and damages to the Kenyan economy of US\$ 12.1 billion, with the livestock sector accounting for 72% of this amount.<sup>89</sup>

Growing awareness of the importance of early response is part of a paradigm shift in the way in which governments, development partners and NGOs aspire to do business. The Government of Kenya established the NDMA in 2011 as a permanent and specialist body to provide leadership and coordination of drought management in Kenya. It is already operational at the national level and in 23 of the most drought-prone counties, working closely with the new devolved county governments. The emphasis of its work is on early response and on measures that build resilience, including social protection and climate adaptation instruments, as well as mechanisms that facilitate the scalability of systems, services and social protection in line with drought peaks and troughs. Equally, among the wider development and humanitarian community, there is much greater appreciation of early response, of the use of cash in interventions (whether conditional or unconditional), of innovative financing mechanisms (such as insurance and contingency financing), of the importance of coordination and common programming, and of the need for scalability. Many of these approaches are still being tested and developed and are yet to be implemented to the full.<sup>90</sup> Kenya's vibrant private sector will have an important contribution to make in this regard given the growing emphasis on market-based interventions.

Recent institutional changes in Kenya may further reinforce this paradigm shift, particularly the constitutional requirements concerning economic and social rights (Article 43 of the Bill of Rights) and the introduction of devolved governance. Schedule Four of the Constitution allocates disaster management as a function of both the national and the county governments. Since drought risk management is so closely entwined with sustainable development, it is inevitably a shared responsibility of both governments. The introduction of a new institutional and legal framework for disaster management in Kenya, provided for within the National Disaster Management Policy, may, if properly designed, ensure that the allocation of roles and responsibilities to the two levels of

government further strengthens efforts to mitigate drought risks and strengthen resilience. The institutional complexity of drought management, involving multiple levels of government, sectors, and agencies, is also being addressed through the pending NDMA Bill.

## 15.2.2 Critical issues to address

In light of the above, these are some of the critical issues which this programme framework will address.

### **Institutional capacity**

Drought response in Kenya is still generally late and reactive. The institutional weaknesses which make it so exist at multiple levels, as Table 30 illustrates. Measures to address these weaknesses must promote synergies between the different levels.

### **Planning**

This is closely linked to the above, but significant enough to warrant separate attention given that effective drought risk management depends on the integration of resilience-building measures in mainstream development planning and resource allocation.<sup>91</sup> There are three critical issues.

The first is the need to ensure adequate capacity for sound people-centred planning at the county level, as well as the establishment of an accountability framework which ensures adherence to constitutional principles of public participation and rights-based development. Areas of support may include methodologies for ensuring strong citizen participation, particularly of conventionally excluded groups (such as the poor, women, young people, nomadic households and minority clans), the development of baselines, the use of statistics, the capacity to access and act on early

<sup>89</sup> Republic of Kenya, 2012. 'Kenya Post-Disaster Needs Assessment for the 2008-11 Drought'.

<sup>90</sup> Scalability of nutrition services is being piloted by ECHO with CONCERN. Livestock insurance is being developed by ILRI, in partnership with financial providers. The NDMA is working with the African Union on drought risk financing in Kenya as part of the AU's African Risk Capacity initiative.

<sup>91</sup> In line with the second priority of the Sendai Framework.

Table 30: Examples of weaknesses in institutional capacity

NATIONAL	COUNTY	COMMUNITY
<ol style="list-style-type: none"> <li>1. Most government systems, particularly planning, budgeting and the distribution of resources, are insufficiently flexible to deal with the inherent variability of dryland systems and their changing needs.</li> <li>2. The continued lack of drought contingency finance in government means that funding for early drought response can only be obtained through budgetary re-allocations, which take time and shift resources away from long-term investments in resilience.</li> <li>3. Slow official recognition of an emerging crisis delays response.</li> </ol>	<ol style="list-style-type: none"> <li>1. County governments are not yet fully operational and their capacities are yet to be tested.</li> <li>2. The allocation of functions between the national and the county governments is still open to interpretation and negotiation.</li> <li>3. Mechanisms for inter-county collaboration are still rudimentary but are critical to successful drought mitigation (for example in facilitating peaceful mobility).</li> </ol>	<ol style="list-style-type: none"> <li>1. Traditional structures for drought risk management have been progressively weakened, particularly those which manage conflicts and ensure sustainable land management.</li> <li>2. Mechanisms to facilitate public engagement with the new devolved structures are yet to be established.</li> </ol>

warning information, and the coordinated use of complementary instruments for climate change adaptation, drought risk reduction and social protection. The NDMA and its partners in the UN system and civil society will provide leadership in the provision of this technical assistance to county governments.<sup>92</sup>

The second is that formal planning systems need to be more flexible and attuned to local realities in drylands. This may be achieved by recognising and integrating indigenous technical knowledge so that interventions at the local level reinforce community adaptive strategies,<sup>93</sup> or it may be by recognising and responding to transboundary dynamics, whether between counties or across international borders. Landscape-level planning, such as watershed management, and the reinforcement of mobility across administrative boundaries, are both key drought mitigation strategies.

The third is the need for genuinely integrated planning on both horizontal and vertical scales, which harmonises the contributions of the national and county governments, the sectors, multiple agencies and drought-prone communities in a single framework. The National Policy for the Sustainable Development of Northern Kenya and other Arid Lands (Sessional Paper No. 8 of 2012), and the institutional arrangements it puts in place, provide an over-arching framework for doing so, since the policy is both geographically focused and multi-sectoral in nature.

### Implementation

A third issue to address is the quality of implementation of policies and plans. Specific priorities include the need for:

- Stronger integration of risk reduction approaches into all programming
- Scalability of response
- More effective coordination across sectors and agencies
- Accountable partnerships with locally rooted civil society institutions
- Closer engagement with the private sector.

The purpose of this common programme framework, and the other five being developed to operationalise the Ending Drought Emergencies Medium Term Plan, is to provide a road map for more effective implementation of agreed policy priorities.

<sup>92</sup> Pilot initiatives are already underway on some issues, for example the drought information campaign in Turkana and the five-county ADA consortium on climate adaptation in planning (Isiolo, Kitui, Makueni, Garissa and Wajir).

<sup>93</sup> Examples include livestock mobility, the management of drought reserves, the development of buffer areas of crop or forage production, the activation of social networks, and the spreading of risk.



## Targeting

A particular challenge for drought risk management is how to reconcile issues of poverty and vulnerability. There is a moral imperative to meet the needs of the poorest. While there is no automatic correlation between poverty and vulnerability (the vulnerable may be a different segment of the population requiring different kinds of intervention) there is nonetheless a high correlation between the two. Poor households are more vulnerable to shocks than non-poor households. Social protection mechanisms that reduce poverty are therefore also likely to reduce vulnerability; moreover, they can help identify affected households and inform targeting decisions during periods of crisis. Another approach may be to work with those whose asset base is slightly stronger and who therefore have some modest resources on which they can build; this is often a characteristic of risk reduction projects. A common programme framework should provide a mechanism for guiding different approaches, for recognising when each may be valid, and for building synergy between them, without segregating communities in a divisive manner.

## Changing social and demographic patterns

Rapid population growth in parts of the ASALs, driven by a combination of high fertility and in-migration, is increasing the proportion of the settled population and consequently creating new demands and priorities. The pastoralist system is also changing: processes of commercialisation and individualisation are widening the gap between wealthier and poorer households, and in several places wage labour is starting to replace the labour previously provided by family members. All these dynamics have particular implications for gender roles and relations.

## New financing opportunities

A number of new mechanisms have emerged to finance drought risk management. These include index-based insurance, bio-carbon initiatives, and payment for wildlife services. For example, there are now 160 conservancies in Kenya, some of which are negotiating long-term agreements with the wildlife authorities. Although not without their problems, the revenue from these arrangements is cushioning participants in times of drought.<sup>94</sup>

Exploration for oil and gas in many parts of the ASALs will also generate new funding streams, both in the short term (such as compensatory mechanisms provided by companies) and in the long term (such as shares of revenue). The mechanisms are not yet in place to ensure that these deliver sustainable and positive change for communities living in oil and gas-producing parts of Kenya. Moreover, experience elsewhere in Africa suggests that the challenges of doing so, particularly in areas of high inequality and high dependence on the natural resource base (such as the ASALs), are substantial.<sup>95</sup>

## 15.2.3 Justification for the common programme

Drought response is an area in which the number of actors can rapidly increase, often on a temporary basis. New actors may lack an understanding of agreed policy priorities and Kenya-specific lessons learned. Although Kenya has had some positive experience of stakeholder cooperation, particularly with the former District Steering Groups, poor coordination always presents significant risks for drought-affected populations. It may lead to inappropriate technical interventions, to duplication or omission, or it may undermine the quality of the humanitarian response as a whole and the prospects for sustainable development. For all these reasons a common programme framework that guides all interventions in DRM in Kenya, and that reinforces inter-agency collaboration and synergy, is a positive step forward.

There are several reasons why this framework is particularly timely. First, Kenya is going through a period of major institutional change. New institutions have a tendency to reinvent the wheel, while a particular risk of devolution is fragmentation and inefficiency. A document that reflects the collective and accumulated knowledge of stakeholders,

<sup>94</sup> See, for example, Osano, P. et al, 2013. 'Why Keep Lions Instead of Livestock? Assessing Wildlife-Tourism Based Payment for Ecosystem Services Involving Herders in the Maasai Mara, Kenya'. Natural Resources Forum.

<sup>95</sup> See, for example, European Parliament, 2011. 'The Effects of Oil Companies' Activities on the Environment, Health and Development in Sub-Saharan Africa'.



and that sets out a clear agenda for action, may ensure coherence and sustain progress at a time when the operating environment is more fluid than usual. Second, the NDMA was created to play a leadership and coordinating role within the sector. A common framework for intervention, endorsed by key actors, will reinforce the Authority's mandate as it attempts to fulfil this function. Third, the NDMA recently commissioned a review of the drought and food security structures in Kenya. This framework will help to strengthen and bind the ties between members of those coordination structures in future.

#### 15.2.4 Contribution to relevant policies

The Second Medium Term Plan (2013-17) for Kenya Vision 2030, launched in October 2013, recognises drought risk management and ending drought emergencies (EDE) as one of the 'foundations for national transformation'. The EDE strategy and its Medium Term Plan represent the Government of Kenya's contribution to the IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI).

This common programme framework also actualises commitments made in Sessional Paper No. 8 of 2012 on the National Policy for the Sustainable Development of Northern Kenya and other Arid Lands (the ASAL Policy). The fourth objective of the Sessional Paper is 'to strengthen the climate resilience of communities in the ASALs'. The argument that underpins the EDE strategy, that drought and climate resilience can only be built by addressing inequalities in access to public goods and services, is drawn from the ASAL Policy and associated Vision 2030 Development Strategy for Northern Kenya and other Arid Lands.

By implementing the measures set out in this framework, the Government and its development partners will also contribute to the following policy documents:

- National Climate Change Response Strategy, 2010, and National Climate Change Action Plan, 2013.
- National Social Protection Policy, 2012.
- National Food and Nutrition Security Policy, 2011, and the National Nutrition Action Plan, 2012-17.
- National Livestock Policy, 2008.
- The Agriculture Sector Development Strategy, and the wider CAADP compact, which recognise the constraints on further growth in Kenya's highlands and the likelihood that the greatest gains are going to be realised in marginal areas in future. Recent research is already driving a reconsideration of the drylands' contribution to GDP, including greater awareness of their multiple economic values and benefits.<sup>96</sup>
- National Disaster Management Policy, 2012.
- African Union Policy Framework on Pastoralism: the EDE strategy contains a commitment to domesticate the AU Framework within the Kenyan context.

### 15.3 Programme framework

The following assumptions underpin the design of this framework.

a) The primary responsibility for financing and delivering investments in long-term drought and climate resilience rests with the sectors, whether these investments are national or county functions. The contribution of this pillar in this regard is largely in leadership, facilitation, learning and coordination. However, the provision of long-term social protection measures, particularly the Hunger Safety Net Programme (HSNP), is part of this framework.

b) Similarly, the primary responsibility for carrying out time-bound mitigation, response and recovery activities during drought periods also rests with the sectors, although under the coordination of the NDMA. The contribution of this pillar is the same as in a) above, although the responsibility to finance drought mitigation, response and recovery activities is shared between the sectors and the NDMA. Sector plans and budgets should

<sup>96</sup> See, for example, Mortimore, M., 2009. 'Dryland Opportunities: A New Paradigm for People, Ecosystems and Development', Gland, IUCN; UN, 2011. 'Global Drylands: A UN System-Wide Response', United Nations Environment Management Group; Behnke, R. and Muthami, D., 'The Contribution of Livestock to the Kenyan Economy', IGAD-LPI Working Paper No. 03-11

also accommodate the plans and budgets for preparedness and contingency measures, which may be complemented by finance from the National Drought Contingency Fund (NDCF).

c) However, there are certain pre-conditions which must be in place for the investments in a) and b) above to achieve results. These pre-conditions may be thought of as the institutional ‘enablers’ that permit effective and accountable action, whether by national or county governments, non-state actors, or communities. They include areas such as information, knowledge, skills, innovation, financing and systems. It is here that this pillar, and by extension the NDMA, has a more direct role to play.

d) It is assumed that the investments in public goods which provide communities with the means to adapt (such as security, infrastructure and human capital) are also those which will enhance private sector engagement in the ASALs. Closer involvement of the private sector in drought and climate risk management is important and will be coordinated through this framework.

e) There will be a transition period while new systems and approaches are being put in place, particularly the NDCF, the revised contingency planning system, and the mechanisms for scaling up response. During this transition period it is possible that large-scale relief, and consequently interventions to facilitate recovery, may still be required. However, the ultimate goal is that the need for relief will progressively diminish as investments in early response and long-term resilience bear fruit.

f) Strong regional and global linkages are important and are addressed by the EDE pillar on institutional development and knowledge management. They include the fulfilment of Kenya’s commitments to the IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI) and to African Union initiatives such as the African Risk Capacity, as well as actions by regional and global agencies to strengthen DRM in Kenya, whether through financing, technical assistance or solidarity.

The overall objective of this programme framework is: ‘To develop and strengthen institutions, mechanisms and capacities that build resilience to drought and climate change’. It has three components, each of which is led by the NDMA

working in close partnership with the county governments:

**1. Drought risk and vulnerability reduction:** this will integrate drought risk management, climate change adaptation and social protection within long-term planning and resource allocation processes, ensuring that these processes include measures that reduce risk and strengthen resilience. Drought risk management, climate change adaptation and social protection share the same goal of managing the risks to development from shocks and building the resilience of communities.<sup>97</sup>

**2. Drought early warning and early response:** this will bring together the provision of information on drought and climate risks, as well as on underlying socio-economic conditions, with the mechanisms and means to respond when conditions require. Timely and effective response requires that the communication of early warning information and the actions it triggers be managed as a coherent whole.

**3. Institutional capacity for drought and climate resilience:** this will strengthen the institutional and legal frameworks for drought risk reduction and climate adaptation at both national and county levels, including their capacity to manage knowledge for evidence-based decision-making and practice.

The framework will deliver five main results: the first through component 1, the second and third through component 2, and the fourth and fifth through component 3 (Figure 10). Table 31 describes the framework in more detail.

<sup>97</sup> The intersection of these three is sometimes called ‘adaptive social protection’.

Figure 10: Components and results of the Common Programme Framework for DRM

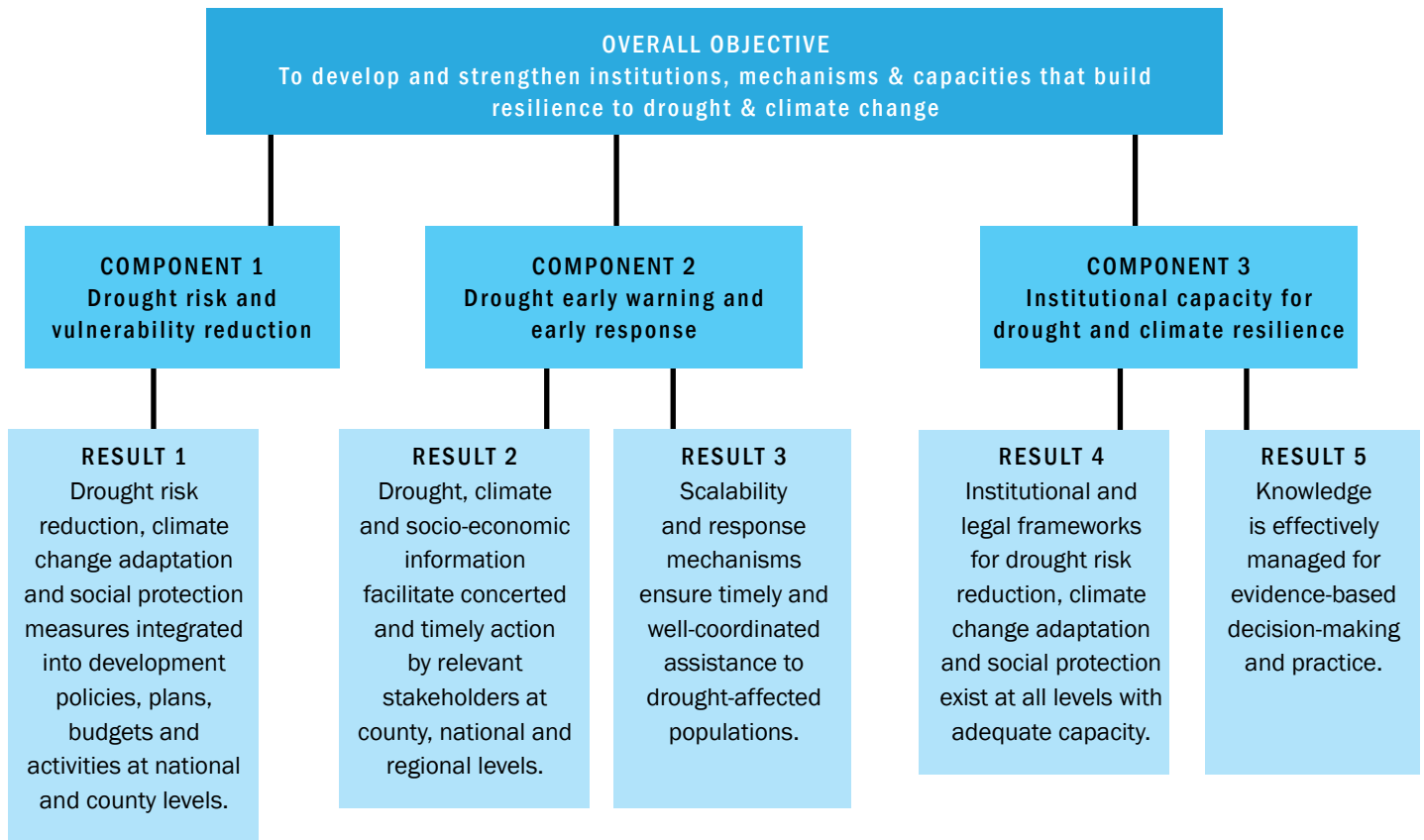


Table 31: Description of the Common Programme Framework for DRM

STRATEGIES	JUSTIFICATION	OUTPUTS
<b>Result 1: Drought risk reduction, climate change adaptation and social protection measures integrated into development policies, plans, budgets and activities at national and county levels.</b>		
This result area focuses on the long-term planning and financing mechanisms which ensure that drought and climate risks receive the focus they require within processes of sustainable development. There are three strategies which address mainstreaming, long-term investments in social protection, and other financing mechanisms.		
1. Mainstream drought risk reduction, climate change adaptation and social protection in planning, budgeting and accountability processes.	<p>The EDE MTP argues that vulnerability to drought and climate change is a product of inequalities in access to public goods and services. These public goods and services should be identified, planned, financed and delivered through national and county plans that are informed by community priorities and attuned to the specificities of ASAL environments.</p> <p>The capacity to mainstream drought and climate risk management may be built through formal training programmes, technical assistance, or long-term support and accompaniment. A number of initiatives are already planned or underway, including a five-year programme designed by WFP to strengthen preparedness and response capacities in tackling hunger and food insecurity, and the work of the ADA Consortium and NDMA to support County Planning Units in mainstreaming disaster risk reduction and climate change adaptation. Drought risk reduction is a central priority for WFP in light of the profound impacts of drought on food insecure populations.</p>	<p>1.1 Sector and county development plans and their implementation address the drought and climate resilience of economies and livelihoods.</p> <p>1.2 Local DRR and adaptation plans developed and linked to county development plans.</p>

STRATEGIES	JUSTIFICATION	OUTPUTS
	<p>Mainstreaming in national sector plans is also critical in ensuring coherence between DRM and sector strategies such as agriculture, water and environment, as well as harnessing the potential of the curriculum for public awareness.</p> <p>There is presently a disconnect between the formal planning system and the actions taken by communities as they accommodate and adapt to climate variability on a day-to-day basis.<sup>98</sup> New approaches are being tested by the ADA Consortium to draw together these two streams of knowledge and decision-making.</p> <p>Projects and activities labelled 'DRR' have previously operated in parallel to the mainstream planning process. There are many of these projects, with no clear framework to guide their selection or design. In disequilibrium environments such as the ASALs, where variability is the norm, it is more appropriate that risks are managed as an integral part of the overall planning system rather than separately.</p> <p>As investments are integrated into plans and budgets there is need to strengthen accountability and compliance with policies and standards to ensure their sustainability. Recent work by the NDMA and UNICEF to integrate DRR standards into accountability tools for the social sectors could deliver this, using a participatory methodology tried and tested in the ASAL environment. This is addressed by Result 4.</p> <p>Prior to the creation of the NDCF, a drought preparedness fund will be established to provide European Union drought contingency funds through the NDMA. This will a) strengthen drought preparedness measures, and b) fund early drought mitigation activities set out in approved drought contingency plans, triggered by the early warning system.</p>	<p>1.3 Drought preparedness fund available from 2014 to finance community-based DRR initiatives in 23 drought-prone counties.</p>
<p>2. Expand access to social protection for chronically vulnerable populations.</p>	<p>The National Safety Net Programme (NSNP) seeks to coordinate and progressively harmonise the five principal cash transfer programmes in Kenya. The Hunger Safety Net Programme (HSNP) is one of these and provides regular, predictable cash transfers to vulnerable households in four arid counties. Apart from its direct impacts on individual households, evidence from Phase 1 (2009-13) suggests that HSNP stops or slows the slide into poverty, particularly for the poorest households. It helps families be more food secure, hold on to their assets during shocks, and spend more on health. It also enables children to perform better in school, and deepens financial inclusion in previously neglected areas with important multiplier effects on the local economy. A mechanism to scale up the HSNP during drought periods is discussed under Result 3 below.</p> <p>The NSNP is currently expanding, such that there is likely to be an increase in the numbers of households reached in ASAL counties through the other four national programmes (for orphans and vulnerable children, older persons, people with disabilities, and the urban food subsidy). Phase II of HSNP will target 100,000 households between 2014 and 2017 with finance from both the government and DFID Kenya. The government's contribution to HSNP will progressively increase over the four years of Phase II to a total of Kshs. 4.68bn.</p> <p>One of the debates in social protection concerns its potential impact on under-nutrition. Evidence from the Ethiopia famine in 1985 demonstrates the importance of protecting pregnant women and the youngest children during times of stress in order to mitigate the life-long effects of nutritional deficits on educational potential and productivity.<sup>99</sup> The potential link between social protection and enhanced nutrition will be explored further.</p> <p>A comprehensive registration process in the five arid counties not covered by HSNP would facilitate scalability during drought, but will be carefully planned based on the lessons from HSNP's experience and in close collaboration with the NSNP. WFP programmes for school feeding, nutrition, and unconditional or conditional food/cash transfers to 1.2 million people in 13 ASAL counties are also enhancing social protection coverage for vulnerable communities.</p>	<p>1.4 NSNP beneficiaries in ASALs, including HSNP beneficiaries, receive timely, predictable, electronic cash transfers.</p> <p>1.5 County social protection databases developed in five non-HSNP arid counties.</p> <p>1.6 County social protection coordination structures to respond to early warning established and functioning.</p> <p>1.7 Models of social protection for nutrition implemented in three counties.</p>

<sup>98</sup> Hesse, C. and Pattison, J. (2013) 'Ensuring Devolution Supports Adaptation and Climate-Resilient Growth in Kenya', IIED Briefing, June 2013

<sup>99</sup> Dercon, S. and Porter, N (2010), 'Live Aid Revisited: long term impacts of the 1984 Ethiopian famine on children', Centre for the Study of African Economies Working Paper 2010-39

STRATEGIES	JUSTIFICATION	OUTPUTS
3. Integrate new streams of finance within the drought and climate risk management frameworks at national and county levels.	<p>The portfolio of financial instruments for drought and climate risk management is expanding. The ADA Consortium is establishing Climate Adaptation Funds (CAFs) in five counties in a partnership between local communities and the county governments. These have the potential to be replicated elsewhere. Insurance is another growth area: examples include the Index-Based Livestock Insurance (IBLI) initiative, piloted by ILRI since 2010, WFP’s IMPACT initiative,<sup>100</sup> and the African Risk Capacity discussed under Result 3 below. There is also scope for national- and county-level products, for example under the framework of the proposed National Agricultural Insurance Policy.</p> <p>There is also a trend towards more market-based responses, including through partnerships with the financial and telecommunications sectors,<sup>101</sup> and often developed through civil society programmes. The potential for expanding private sector engagement will be explored further.</p>	<p>1.6 County-level climate adaptation funds operational in at least five counties.</p> <p>1.7 Private sector investments in drought risk reduction and climate change adaptation increased, including through insurance modalities.</p>

**Result 2: Drought, climate and socio-economic information facilitate concerted and timely action by relevant stakeholders at county, national and regional levels.**

The provision of accurate information in a timely manner is central to the credibility and effectiveness of drought and climate risk management systems. There are three strategies under this result area which focus on the drought early warning system, information management, and regional linkages.

1. Strengthen, manage and operate the national drought early warning system.	The drought early warning system (EWS) aggregates data and information from multiple sources. It has been in place for many years and is now being reviewed and strengthened in several respects: first, the number and choice of indicators; second, the thresholds which determine the drought phase; third, the selection of sentinel sites, to ensure a cost-effective system which takes account of changing livelihood patterns; fourth, the use of new technologies to gather, analyse and communicate data; and fifth, the approaches and tools used for communicating early warning information to diverse audiences, including communities.	<p>2.1 Enhanced drought early warning system in operation in 23 counties.</p> <p>2.2 Common indices, triggers and objective thresholds for response agreed and used by all stakeholders.</p>
2. Ensure that drought, climate and socio-economic information is appropriately harmonised and disseminated to potential users.	A wealth of information is available on drought and climate risks, and on socio-economic conditions in drought-prone counties. However, this information is not regularly updated, not well consolidated, and not easily accessible to users, particularly counties and communities. Further, it tends to be used primarily to inform decision-making about activities rather than contribute to strategic thinking and policy priorities for sustainable development in drought-prone areas.	2.3 Timely, demand-led drought and climate information services developed, accessed and used by stakeholders at national, county and community levels.
3. Integrate the national drought information system in regional networks.	Livelihood systems in ASALs cut across administrative and political boundaries. The information systems which aim to describe and analyse them must therefore also take account of these cross-border realities. The IDDRSI framework provides an opportunity to facilitate this.	2.4 Interaction between drought and climate information at national and regional levels strengthened.

**Result 3: Scalability and response mechanisms ensure timely and well-coordinated assistance to drought-affected populations.**

This result area focuses on the measures taken before, during and after periods of drought to ensure that response is timely, appropriate and well coordinated. The four strategies focus on drought contingency planning and financing, drought preparedness, scalability, and coordination.

<sup>100</sup> Insurance for Mainstreaming Pastoral and Agro-Pastoral Communities in Transitional Development

<sup>101</sup> See, for example, Drummond, J. and Crawford, N. (2014) ‘Humanitarian Crises, Emergency Preparedness and Response: The Role of Business and the Private Sector. Kenya Case Study’, Humanitarian Policy Group, London: ODI



STRATEGIES	JUSTIFICATION	OUTPUTS
<p>1. Facilitate systems of drought contingency planning and financing in response to drought.</p>	<p>Drought contingency planning ensures that counties and communities are in a high state of readiness to implement planned response activities as soon as conditions demand and funds are available. An improved contingency planning process has been rolled out in 23 ASAL counties. The plans contain a portfolio of costed projects which may be implemented by a range of actors, including the county governments, the national government, or civil society organisations. The plans are participatory, informed by community analysis and prioritisation and with the collaboration of all county stakeholders, and updated with the findings from rapid assessments. The planning process is standardised and computerised, allowing the process of fund requisition, approval, disbursement and reporting to be automated, and allowing the NDMA and interested parties (such as donors) to monitor progress in real time.</p> <p>A key source of finance for the contingency plans will be the National Drought Contingency Fund (NDCF), discussed under Result 4 below. County governments are also creating their own financing mechanisms, including disaster funds in counties such as Laikipia, Kwale, Taita Taveta and Lamu, and adaptation funds in Isiolo, Wajir, Garissa, Kitui and Makueni. These national and county financing mechanisms need to be harmonised and coordinated. There may also be options, for example, for the NDCF to re-capitalise county funds in the same way that international finance might re-capitalise the NDCF. Another source of finance for the NDCF will be the African Risk Capacity, a pooled risk insurance mechanism developed by the African Union with support from WFP and other partners.</p>	<p>3.1 Updated drought contingency planning system fully operational in all ASAL counties and supported by all stakeholders.</p> <p>3.2 Contingency planning priorities and drought mitigation measures integrated into sector and county development plans.</p> <p>3.3 National and county contingency financing systems complement each other.</p> <p>3.4 African Risk Capacity operationalised in Kenya.</p>
<p>2. Invest in strategic activities that strengthen drought preparedness.</p>	<p>Strategic investments in drought preparedness can build the capacities needed to manage drought episodes efficiently and thus facilitate early response. They must be supported by formal institutional, legal and budgetary capacities. Projects may include, for example, strategically located dry-season boreholes operated only during drought episodes; community-based animal feed and seed banks for stockpiling animal feeds and seeds; livestock marketing infrastructure to facilitate destocking; and the purchase and stockpiling of spare parts for water sources. The NDMA will lead on this work in collaboration with relevant line ministries, other county service providers and communities.</p>	<p>3.5 Preparedness audits produced.</p> <p>3.6 Strategic preparedness projects identified and implemented at community and county levels.</p>
<p>3. Develop and apply mechanisms that facilitate the scaling up or down of interventions in response to prevailing conditions, whether within Kenya or cross-border.</p>	<p>Scalability is defined as 'the ability of interventions to scale up and down in a cost-efficient fashion in response to surges in demand, occasioned by external risk factors'.<sup>102</sup> Scalability should accelerate response, reduce overheads and increase predictability. It is particularly appropriate for non-equilibrium environments such as the ASALs which are exposed to recurrent risk.</p> <p>In line with the National Social Protection Policy which states that 'social protection programmes will be sensitive and capable of adapting to emergencies and shocks', one of the deliverables of the NSNP is the creation of a system for scaling up the HSNP as part of the drought risk management system, with agreed levels of government contingency financing provided. However, mechanisms for scalability are required for all the major cash transfer programmes and in all key sectors; the human capital pillar of the EDE addresses this.</p> <p>Two factors limit most scaling up processes during drought crises: first, agreeing targeting criteria, and second, the operational capacity at county and community level to initiate or expand existing programmes. The experience of the Emergency Cash Transfer Programme implemented by the Kenya Red Cross Society, the NDMA and UNICEF in 2011-12 provides lessons on targeting criteria, capacity building of government to deliver integrated social protection programmes, and the importance of registration systems for that purpose.</p>	<p>3.7 Procedures for the scalability of cash transfers agreed and operational.</p> <p>3.8 Triggers and mechanisms for scale up identified by key sectors and integrated in plans and budgets.</p>
<p>4. Coordinate the planning, design, implementation and evaluation of preparedness, mitigation, response and recovery activities.</p>	<p>The drought management and food security structures – the Kenya Food Security Meeting (KFSM), the Kenya Food Security Steering Group (KFSSG) and the County Steering Group (CSG) – have been in place since the 1990s. However, the context within which these structures operate has changed significantly, particularly with devolution. The emphasis of the EDE on resilience has also brought in sectors whose contribution was previously overlooked (such as security, infrastructure and education). Important stakeholders such as the private sector are not currently represented in the structures, and there are no formal links with structures at the community level.</p>	<p>3.9 Coordination structures reviewed and new structures operationalised.</p>

<sup>102</sup> Kimetrica (2014) 'Methodology Report: Design of a System to Scale up Social Protection in Kenya'

STRATEGIES	JUSTIFICATION	OUTPUTS
<p><b>Result 4: Institutional and legal frameworks for drought risk reduction, climate change adaptation and social protection exist at all levels with adequate capacity.</b></p>		
<p>Schedule 4 of the Constitution of Kenya 2010 allocates the function of ‘disaster management’ to both the national and the county governments. Many of the actions likely to build drought resilience are national functions (such as security, transport, communications, education and inter-governmental relations) and county functions (such as county planning and development, agriculture, health services and natural resource management). This result area focuses on actions to strengthen institutional and legal frameworks and public accountability at both the national and the county levels.</p>		
<p>1. Undertake and/or support legal, institutional and policy reforms at national and county levels.</p>	<p>The existing institutional framework for drought management has two main weaknesses. First, the NDMA’s powers with regard to multi-sectoral and multi-agency coordination are comparatively weak. Second, the lack of drought contingency finance weakens the link between early warning and early response, forcing ministries to rely on slow and bureaucratic processes of budgetary reallocation. The proposed NDCF will be a multi-donor basket fund that disburses finance against pre-agreed drought contingency plans.</p> <p>Several specialist institutional frameworks share common ground but operate independently, including those for drought risk reduction (led by the NDMA), climate change adaptation (led by the Climate Change Secretariat), and social protection (led by the proposed Social Protection Council); the institutional framework for disaster risk reduction is yet to be fully established. Closer integration of these frameworks will minimise transaction costs and harness the strengths of each towards similar goals.</p> <p>Appropriate policy and legal frameworks for the EDE at the county level will facilitate the integration of EDE commitments within CIDPs, adequate financial allocations in county budgets, citizen participation and accountability, and inter-county collaboration, particularly concerning the management of shared resources and the movement of people and livestock. This work will be planned and supported in a coordinated manner in order to avoid fragmentation and lack of coherence across counties, and will be led by the EDE pillar on institutional development and knowledge management.</p>	<p>4.1 NDMA Bill passed.</p> <p>4.2 National Drought Contingency Fund operational.</p> <p>4.3 Integration of frameworks for disaster risk reduction, drought risk reduction, social protection and climate change adaptation achieved.</p>
<p>2. Ensure that public accountability and transparency mechanisms are in place and applied.</p>	<p>Drought and climate risks can only be managed effectively if there is a sufficient level of public trust that funds are being directed on the basis of need and managed in an accountable and transparent manner. In 2012 Transparency International carried out an analysis of the 2011 drought response, on the basis of which it designed an integrated referral system for complaint handling which is now being piloted in three counties (Turkana, West Pokot and Wajir). This work will be extended until 2016 and the opportunities for replicating the mechanism in other ASAL counties explored. Social Intelligence Reporting, currently in use in Garissa and Turkana, is another tool that can strengthen public accountability and ensure more equitable social development, while the HSNP includes a Rights and Grievances component. Further expansion of work on public accountability will build from an assessment of the experiences of using these various mechanisms and be done in a comprehensive manner.</p>	<p>4.4 Integrated referral system for complaint handling established.</p> <p>4.5 Seasonal social sector accountability system modelled and reports produced.</p>
<p><b>Result 5: Knowledge is effectively managed for evidence-based decision-making and practice.</b></p>		
<p>Knowledge management requires long-term processes and mechanisms which are more easily developed and managed by a permanent and specialist institution, such as the NDMA. The Authority will ensure that institutional learning on drought and climate risk management is made accessible to stakeholders on demand and informs decision-making and practice. The two strategies under this result area focus on standards for good practice and knowledge sharing.</p>		
<p>1. Ensure that drought actions in Kenya are in line with shared standards and procedures.</p>	<p>Previous evaluations have highlighted a lack of consistent practice by different agencies in drought response. The NDMA will provide leadership and guidance, develop shared protocols and standards for response in collaboration with all actors, and establish mechanisms that ensure compliance with the same.</p>	<p>5.1 National standards and procedures for drought risk management developed and adopted.</p>



STRATEGIES	JUSTIFICATION	OUTPUTS
2. Develop an open platform for sharing information and knowledge relevant to drought and climate risk management.	Information on drought and climate risk management is at present scattered across several institutions. An open platform where resources can be assembled, stored and subsequently accessed by all stakeholders would strengthen knowledge sharing and facilitate access to relevant experience and expertise. This will be taken forward with the support of the EDE pillar on institutional development and knowledge management.	5.2 Web-based knowledge platform developed and in use.

## 15.4 Cross-cutting issues

### 15.4.1 Gender and diversity

Drought vulnerability is significantly influenced by social systems and by cultural values and practices, since these determine access to, ownership of, and control over resources and the benefits accruing from those resources. In most communities the roles, responsibilities and activities of women and men are distinct yet inter-dependent. Men dominate the public sphere, in areas of leadership, decision-making and politics. While women and men may have equal access to productive resources, control over those resources is more likely to be vested in men.

Women's subordinate position in society affects their participation in decision-making; rarely do women or young people occupy management positions in institutions such as water committees unless an external agency requires this. These patterns are replicated at the national level: no ASAL county has a woman governor, and in only one pastoralist constituency did a woman compete successfully in the 2013 elections. Women also have less access to information, education and training; female literacy in some arid counties is less than 10 per cent. Certain customary practices and beliefs, including early marriage, wife inheritance and property inheritance, may also weaken the resources available to women for dealing with risk.

Children are particularly affected by drought, which deprives those who are already more likely to be vulnerable of their rights to food and nutrition, education, water, and protection. Drought and displacement affect in particular the youngest children, who are totally dependent on adults for

survival, the children of poor mothers and female-headed households, and vulnerable out-of-school adolescents. Many households resort to harmful coping strategies during drought, including extreme forms of on- and off-farm (heavy) child labour, such as harvesting river sand for cash, and even child sexual exploitation. Guidelines on child-focused drought risk management will be developed for all relevant sectors and their implementation monitored, as well as a stronger system for child protection in drought emergencies.<sup>103</sup>

In pastoralist social systems ageing is traditionally associated with increasing political authority, but these norms are being challenged by urbanisation and modernity, including the growing influence of an urban propertied elite. Urbanised young people may have different values and aspirations from their rural age-mates. For those who complete their education there are few jobs or other economic opportunities, but also little possibility of returning to pastoralism from which the education system has distanced them.

### 15.4.2 Sustainability

A key principle guiding this framework is that responsibility for drought risk management and drought response should be embedded within permanent institutions at all levels, including community structures, county governments and line ministries. The framework also includes a number of structural interventions which aim to increase the prospects of effective and sustainable response in future, such as mechanisms for contingency finance and insurance.

<sup>103</sup> GoK and UNICEF, 'Situation Analysis of Children and Adolescents' (forthcoming)

### 15.4.3 Links with other pillars of the EDE framework

As section 3 outlined, the primary responsibility for financing and delivering investments in drought and climate resilience rests with the sectors, whether these are national or county functions. These investments are elaborated in the EDE frameworks for peace and security, climate-proofed infrastructure, human capital, and sustainable livelihoods.

The same is true of the time-bound mitigation, response and recovery activities which are needed during drought periods. These are also the responsibility of the relevant sectors, with the EDE frameworks advocating mechanisms that facilitate scalability under drought conditions.

Successful implementation of the interventions planned under this framework will have a positive bearing on all the other pillars. For example, timely response to drought can reduce inter-communal tension; better risk management may improve investor confidence and protect households against the loss of critical livelihood assets; and a reduction in expenditure on humanitarian response will free up finance to invest in other areas, such as human capital.

## 15.5 Risk management

A number of risks may affect the level of achievement of this programme.

- **Legal, policy and institutional environment:** These are all presently favourable for the work described under this framework. Swift enactment of the NDMA Bill to strengthen the Authority's legal mandate, and the establishment of the NDCF to further reinforce the Authority's capacity, are both major gaps in the institutional framework and should be considered priorities for the Cabinet and for Parliament.
- **Devolution:** This presents significant opportunities for drought risk management, for example in strengthening local voices in the design and implementation of national policies and in ensuring faster and more appropriate response. However, adequate understanding

and ownership of policies at the county level is a prerequisite to the effectiveness of activities led by central entities such as the NDMA.

- **Credibility of the early warning system:** The effectiveness of drought risk management depends on the extent to which all actors understand and endorse the drought management system. All stakeholders need to believe that the early warning system is credible and reliable and to accept and follow its triggers for response. Further, the drought management system is designed to respond to each successive drought in turn but not necessarily to address the wider problem of vulnerability. There is chronic food insecurity in parts of the ASALs even when the early warning system registers a 'normal' status. This can lead to pressure from local leaders or the media overstating the severity of a drought. This in turn undermines the credibility and legitimacy of the early warning system, and by extension the NDMA, while also compromising the quality of response. County government involvement in, and ownership of, food security assessments and the early warning system may mitigate the risks linked to local political influence.
- **Capacity of the NDMA to ensure effective coordination:** The NDMA has the mandate of coordination in drought management and, through these common programme frameworks, aims to promote a more coherent response by agencies involved in drought management and ASAL development. However, the NDMA may have insufficient authority and legal standing to coordinate and guide activities that fall under the responsibility of other institutions or agencies, or to ensure compliance with agreed standards and protocols for response. Once passed, the NDMA Bill will reduce this risk.
- **Fiduciary risks:** The key to effective drought management is timely action; this prevents suffering and loss and is more cost-effective than late response. Significant amounts of money may be disbursed to implement many different activities in several counties within a short period of time. This in turn requires the procurement of many supplies and services and the facilitation of the field operations of line ministries and other organisations involved in response. In

such a scenario, risks related to malpractice and corruption may significantly increase and could compromise the success of the response and the reputation of the authorities in charge. The NDMA is taking the necessary steps internally to strengthen its systems and ensure effective risk management.

- **Participation:** The success of drought risk management will depend on the extent to which it engages the ultimate beneficiaries. If communities and households at the grassroots level are not involved in contingency planning and drought preparedness, and if there are no communication channels facilitating the smooth exchange of information, there is a high risk that the drought management system will be ineffective since activities will not match beneficiary needs nor be supported by community leaders. This framework includes interventions specifically designed to strengthen public participation and accountability.

## 15.6 Institutional arrangements

### 15.6.1 Programme management and implementation

The NDMA will provide the leadership for this pillar, working in close collaboration with the county governments and through the coordination mechanisms outlined in Figure 11.

#### **Component 1: Drought risk and vulnerability reduction**

The work under this component is currently fragmented across a number of separate programmes and projects. There are also weak links between complementary institutional frameworks, such as those for disaster/drought risk reduction, climate change adaptation, and social protection.

An immediate objective will be to ensure stronger coordination and harmonisation of approaches used by different agencies, by:

- Establishing a network of state and non-state practitioners in DRR and CCA.
- Inviting one member of this network to take a

lead for each cluster of counties in harmonising approaches and methodologies used by different practitioners and deepening the quality of engagement with the county planning units, working under the oversight of the NDMA and the EDE secretariat. NGOs or other agencies will be invited to bid for this responsibility.<sup>104</sup>

- Building closer links with the Directorate of Planning in the Ministry of Devolution and Planning, in order to share the lessons from this experience and influence national planning approaches.
- Working closely with any cluster-based technical support provided through other pillars of the EDE (particularly climate-proofed infrastructure).

Community-based DRR/CCA structures will access funds from various sources, including the drought preparedness fund established under the NDMA, to finance their own plans. Before the end of this planning period (i.e. by 2017/18) a harmonised financing mechanism for investments in DRR and CCA will have been developed by the network of practitioners.

These institutional arrangements will be reviewed on a regular basis as county systems evolve.

#### **Component 2: Early warning and early response**

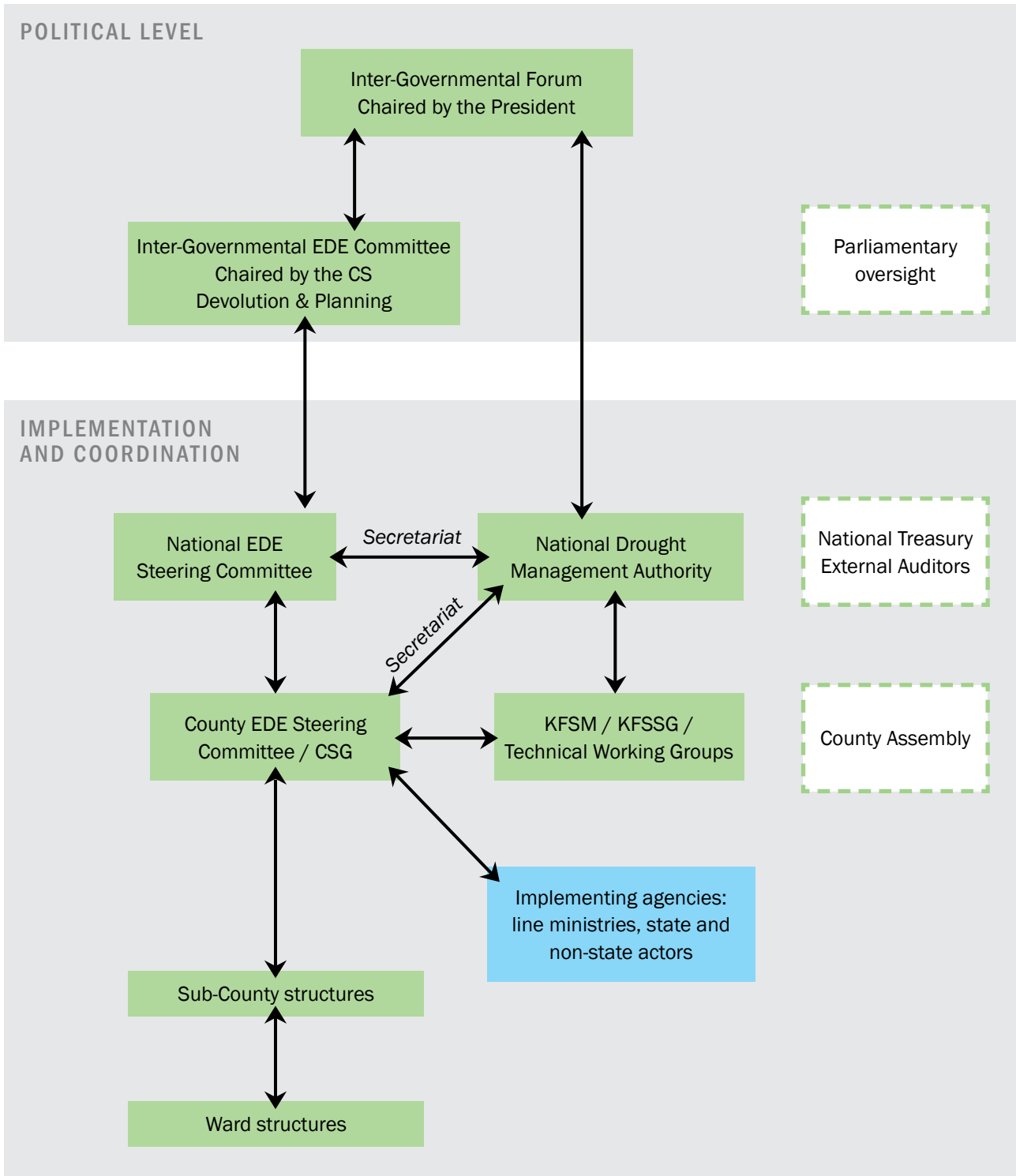
The existing institutional arrangements for drought early warning and early response, led by the NDMA, will be used to deliver this component and will be strengthened by:

- Ensuring a unified management system for early warning and early response so that timely action is triggered by the outputs and thresholds of the information system.
- Building closer links with the Kenya Meteorological Department and any other agency generating early warning information.
- Ensuring that a single and trusted information system is operating in each county, which is fully endorsed and adopted by the county government and all actors.

<sup>104</sup> The six clusters are North Rift, South Rift, Upper Eastern, Ukambani/Mt. Kenya, North Eastern, and Coast.

Figure 11: Institutional framework for drought risk management

Implementation    Coordination    Oversight



- Further testing and refining of the new contingency planning and financing arrangements in partnership with the County Steering Groups.
- Improving the quality of prioritisation.
- Strengthening the complementarity between the contingency planning and financing system and the mainstream county plans and budgets.
- Ensuring accountability and transparency in the use of response funds by using a computerised management information system to manage drought contingency finance and by supporting referral systems for complaint handling at community level.

### **Component 3: Institutional capacity for drought and climate resilience**

The work on policy, legal and institutional reform, transparency and accountability, standards, and public education, will be led by the NDMA working in partnership with relevant agencies which have responsibilities or expertise in these areas.

#### **15.6.2 Coordination mechanisms**

Figure 11 describes the institutional arrangements for the drought risk management framework. The NDMA is both an implementing agency for some of the interventions under this pillar, and a facilitator for the EDE framework as a whole, providing the secretariat to the EDE Steering Committees at both the national and county levels. Stakeholder engagement and coordination for this pillar will be provided through the existing Kenya Food Security Meeting (KFSM) and Kenya Food Security Steering Group (KFSSG) and its constituent technical working groups.

#### **15.6.3 Monitoring and evaluation**

As part of its leadership responsibility for this pillar, the NDMA will ensure that appropriate monitoring, evaluation and reporting mechanisms are in place and applied by all implementing partners. This will be done within the framework of the overall monitoring and evaluation systems for the EDE Common Programme Framework, which will be designed, facilitated and supported by its sixth pillar on institutional development and knowledge management. The NDMA has also developed its

internal monitoring and evaluation and management information systems, which will support those of this framework. The targets and timeframes for each indicator in the results framework (section 15.8) will be agreed with partners within the first six months of implementation.

## **15.7 Resources**

### **15.7.1 Funding level**

The four-year budget for the drought risk management framework is Kshs. 45,598 million, 88 per cent of which is for medium-to-long-term investments in adaptive social protection (DRR, climate change adaptation and social protection). The budget is not a comprehensive statement of all the finance that will contribute to the objectives of this framework, for the following reasons:

- Funding by other government sectors of drought risk reduction or response interventions is contained within the relevant sector budget (and therefore within the other pillars of the EDE), in line with the principle described in section 3 that the sectors should take responsibility for these functions. This budget contains only those government funds channelled through the NDMA.
- The county budgeting process is yet to settle down. Given the critical contribution of the counties to both drought risk reduction and drought response, and as community-based drought risk reduction plans become more closely integrated with county planning systems (part of the focus of result 1), the counties' contribution to this framework is likely to rise.
- There are numerous NGO-implemented drought risk reduction and climate change adaptation projects which are not yet fully mapped. At present the budget only reflects those programmes operating in partnership with the NDMA, such as the ADA Consortium and the work by Transparency International on public accountability, and measures to scale these up. However, the network of practitioners proposed in section 15.6.1 will over time help to promote stronger coordination of financing by multiple actors.

### 15.7.2 Sources of funds

The three principal sources of funding for this framework will be from:

**a) The national government, through the NDMA.**

The current contribution of the national government to this framework is expected to be 18 per cent, but this assumes that government contributions to programmes such as HSNP are made in full and that the NDCF is established. The NDMA's current budget is at present only sufficient to meet its minimum recurrent costs and counterpart funding for projects for which a financing agreement has been signed.

**b) The county governments.** The counties are already financing many activities which will reduce drought risks, particularly in the agriculture and water sectors, although these are not yet integrated with community-based DRR plans and priorities. The counties are also establishing response funds; for the 2014/15 financial year an average of Kshs. 30m is being set aside by those counties which are making such a provision. In time, it is hoped that county governments will make a financial contribution to activities such as coordination and the salaries of the drought monitors, and thus reach a minimum contribution to this framework of 4 per cent.

**c) Development partners.** This category includes donors and the NGOs through whom their funds are often channelled. The current contribution of development partners to the budget is high, at 78 per cent, in large part due to the substantial investment by donors in a number of large social protection programmes.

The private sector has a potentially significant contribution to make to this framework which is not yet reflected in the budget, other than the private sector partners which are already involved with programmes such as HSNP. Financial services and telecommunications are two sectors whose contribution is likely to expand further in future. There are also a number of private sector climate financing facilities now established, although their reach into the most drought-prone areas is still limited. By the end of this planning period there will be more active private sector engagement with this framework, initiated in the first instance through a dialogue about the impact of drought on the private sector, since the aggregate damages and losses from drought include private sector losses.

The cost of food aid, other than that distributed through Food for Assets programmes, is not included in this budget, although the use of food in drought emergencies will be coordinated under this framework.

### 15.7.3 Resource mobilisation

Of the Kshs. 45,598 million total budget, approximately 37 per cent is already secured through existing contracts and programmes. A further 52 per cent is likely to be secured, either through extensions of programmes that are already under negotiation, or through government allocations in future fiscal years on the assumption that at least current levels of support are maintained. At least 11 per cent of the budget is unfunded, for activities including the establishment and financing of the NDCF, the development of social protection databases in non-HSNP counties, and additional work on public accountability.



## 15.8 Results framework

	OVI	MOV	ASSUMPTIONS
<b>GOAL (BY 2022)</b>			
Communities in drought-prone areas are more resilient to drought and other effects of climate change, and the impacts of drought are contained.	<ul style="list-style-type: none"> <li>Number of people requiring food assistance as a result of drought emergencies.</li> </ul>	<ul style="list-style-type: none"> <li>KFSSG food security assessments</li> </ul>	<ul style="list-style-type: none"> <li>Investments made across all pillars of the EDE, and functional links established between the pillars.</li> <li>Alternative sources of finance established and operational, such as the NDCF and ARC, and scalability mechanisms in place.</li> <li>Adequate economic, political and climatic stability.</li> </ul>
	<ul style="list-style-type: none"> <li>% of children under five stunted in each of the 23 most drought-affected counties.</li> </ul>	<ul style="list-style-type: none"> <li>Health sector MIS</li> </ul>	
	<ul style="list-style-type: none"> <li>Value of livestock lost in drought compared with previous drought episodes.</li> </ul>	<ul style="list-style-type: none"> <li>Post-Disaster Needs Assessment</li> </ul>	
	<ul style="list-style-type: none"> <li>Kenya manages drought episodes without recourse to international emergency appeals. (Yes/No)</li> </ul>	<ul style="list-style-type: none"> <li>GoK and UN documents</li> </ul>	
<b>OVERALL PILLAR OUTCOME</b>			
Institutions, mechanisms and capacities that build resilience to drought and climate change developed and strengthened.	<ul style="list-style-type: none"> <li>No. of county governments demonstrating increased responsiveness to drought risks.</li> </ul>	<ul style="list-style-type: none"> <li>CIDPs / county budgets</li> <li>County-specific risk reduction mechanisms (funds, insurance)</li> <li>Evaluation reports</li> </ul>	<ul style="list-style-type: none"> <li>Government continues to prioritise EDE as a foundation for national transformation within Kenya Vision 2030.</li> <li>NDMA receives sufficient budgetary support from the national government.</li> <li>Agreed GoK counterpart funding to projects provided.</li> </ul>
	<ul style="list-style-type: none"> <li>Proportion of stakeholders reporting satisfaction with the leadership and coordination role of the NDMA.</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder surveys</li> <li>Evaluation reports</li> </ul>	
<b>RESULTS</b>			
1. Drought risk reduction, climate change adaptation and social protection measures integrated into development policies, plans, budgets and activities at national and county levels.	<ul style="list-style-type: none"> <li>Adoption of planning tools that mainstream DRR/CCA/SP by national and county governments.</li> </ul>	<ul style="list-style-type: none"> <li>Sector plans</li> <li>CIDPs</li> </ul>	<ul style="list-style-type: none"> <li>Commitment of the sectors and counties to make the necessary investments and support EDE.</li> <li>Evidence of benefits, including economic, of investing in risk reduction.</li> </ul>
	<ul style="list-style-type: none"> <li>Increase in funds allocated to DRR/CCA/SP by government and development partners.</li> </ul>	<ul style="list-style-type: none"> <li>Printed estimates</li> <li>Resilience investment mapping</li> </ul>	
2. Drought, climate and socio-economic information facilitate concerted and timely action by relevant stakeholders at county, national and regional levels.	<ul style="list-style-type: none"> <li>No. of stakeholders acting on information provided through the early warning system.</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder proposals and reports</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder confidence is built and maintained in the quality of the early warning system.</li> <li>Information is effectively packaged and disseminated according to user needs.</li> </ul>
	<ul style="list-style-type: none"> <li>Level of satisfaction among users of the information provided.</li> </ul>	<ul style="list-style-type: none"> <li>User surveys</li> </ul>	

	OVI	MOV	ASSUMPTIONS
3. Scalability and response mechanisms ensure timely and well-coordinated assistance to drought-affected populations.	■ Financing made available within 20 days of application to NDCF.	■ NDCF MIS	<ul style="list-style-type: none"> <li>■ NDCF established and operational.</li> <li>■ Commitment of sectors, counties and development partners to make the necessary investments</li> </ul>
	■ Proportion of programme plans and budgets that integrate mechanisms for scalability in response to drought conditions.	■ Monitoring and evaluation reports	
	■ Proportion of stakeholders working within agreed coordination structures.	■ Resilience investment mapping	
4. Institutional and legal frameworks for drought risk reduction, climate change adaptation and social protection exist at all levels with adequate capacity.	■ No. of multi-sectoral / multi-stakeholder platforms in place at national and county levels.	■ Reports from coordination structures	<ul style="list-style-type: none"> <li>■ Political commitment to devolution is sustained.</li> <li>■ ASAL coordination structures established and working effectively.</li> <li>■ Support from EDE Pillar 6.</li> </ul>
	■ No. of counties with policy and legal frameworks in place that support achievement of the EDE goal.	■ Legal documents	
5. Knowledge is effectively managed to ensure evidence-based decision-making and practice.	■ Endorsement by national and county political leadership of actions taken.	<ul style="list-style-type: none"> <li>■ Assessment reports</li> <li>■ Evaluation reports</li> <li>■ Media monitoring</li> </ul>	■ Stakeholders are committed to knowledge-sharing.

OUTPUTS	OVI	MOV
<b>Result 1: Drought risk reduction, climate change adaptation and social protection measures integrated into development policies, plans, budgets and activities at national and county levels.</b>		
1.1 Sector and county development plans and their implementation address the drought and climate resilience of economies and livelihoods.	■ Proportion of national & county plans & budgets that have mainstreamed DRR, CCA and SP effectively.	<ul style="list-style-type: none"> <li>■ Planning documents</li> <li>■ Printed estimates</li> </ul>
	■ Demand from national institutions and county governments for further capacity support in mainstreaming.	■ Proposals
1.2 Local DRR and adaptation plans developed and linked to county development plans.	■ No. of direct beneficiaries of initiatives supported by county adaptation funds, disaggregated by gender.	■ County and fund reports
	■ Number of DRR projects supported and budgets allocated.	■ County and fund reports
1.3 Drought preparedness fund available from 2014 to finance community-based DRR initiatives in 23 drought-prone counties.	■ No. of proposals funded.	■ Fund MIS
	■ Amount of funds disbursed.	■ Fund MIS
1.4 National Safety Net Programme beneficiaries in ASALs, including Hunger Safety Net Programme beneficiaries, receive timely, predictable, electronic cash transfers.	■ No. of beneficiaries who receive cash transfers on time, disaggregated by gender.	■ HSNP MIS
	■ Annual allocations to HSNP Phase II budget.	■ Printed estimates

OUTPUTS	OVI	MOV
1.5 County social protection databases developed in five non-HSNP arid counties.	<ul style="list-style-type: none"> <li>■ Social protection registry developed and being used.</li> </ul>	<ul style="list-style-type: none"> <li>■ Database</li> <li>■ MIS</li> </ul>
1.6 County social protection co-ordination structures to respond to early warning established and functioning.	<ul style="list-style-type: none"> <li>■ No. of county social protection fora convened and meeting regularly.</li> </ul>	<ul style="list-style-type: none"> <li>■ County Social Protection reports</li> </ul>
1.7 Approaches to improved nutrition from social protection developed in three counties.	<ul style="list-style-type: none"> <li>■ No. of under 5 children benefiting from nutrition- enhanced social protection.</li> </ul>	<ul style="list-style-type: none"> <li>■ Programme reports</li> </ul>
1.6 County-level climate adaptation funds operational in at least five counties.	<ul style="list-style-type: none"> <li>■ No. of proposals funded.</li> </ul>	<ul style="list-style-type: none"> <li>■ Fund MIS</li> </ul>
	<ul style="list-style-type: none"> <li>■ Amount of funds disbursed.</li> </ul>	<ul style="list-style-type: none"> <li>■ Fund MIS</li> </ul>
1.7 Private sector investments in drought risk reduction and climate change adaptation increased, including through insurance modalities (livestock and crops).	<ul style="list-style-type: none"> <li>■ No. of interventions implemented in collaboration with private sector.</li> </ul>	<ul style="list-style-type: none"> <li>■ Resilience investment database</li> </ul>
<b>Result 2: Drought, climate and socio-economic information facilitate concerted and timely action by relevant stakeholders at county, national and regional levels.</b>		
2.1 Enhanced drought early warning system in operation in 23 counties.	<ul style="list-style-type: none"> <li>■ No. of monthly bulletins published.</li> </ul>	<ul style="list-style-type: none"> <li>■ NDMA website</li> </ul>
2.2 Common indices, triggers and objective thresholds for response agreed and used by all stakeholders.	<ul style="list-style-type: none"> <li>■ No. of stakeholders, including counties, making decisions based on EWS triggers and thresholds.</li> <li>■ Downloads of data and information.</li> </ul>	<ul style="list-style-type: none"> <li>■ Proposal documents</li> <li>■ Evaluation reports</li> </ul>
2.3 Timely, demand-led drought and climate information services developed, accessed and used by stakeholders at national, county and community levels.	<ul style="list-style-type: none"> <li>■ No. of actions taken in response to EWS and food security information shared.</li> </ul>	<ul style="list-style-type: none"> <li>■ Website MIS</li> <li>■ Proposal documents</li> <li>■ Evaluation reports</li> </ul>
	<ul style="list-style-type: none"> <li>■ Drought information campaign rolled out in 23 counties.</li> </ul>	<ul style="list-style-type: none"> <li>■ Monitoring &amp; evaluation reports</li> </ul>
	<ul style="list-style-type: none"> <li>■ No. of policy briefs and other materials referenced in policy debates and documentation.</li> </ul>	<ul style="list-style-type: none"> <li>■ Policy documents</li> <li>■ Meeting minutes</li> </ul>
2.4 Interaction between drought and climate information at national and regional levels strengthened.	<ul style="list-style-type: none"> <li>■ Development of common meteorological drought indices.</li> </ul>	<ul style="list-style-type: none"> <li>■ Indicators</li> </ul>
	<ul style="list-style-type: none"> <li>■ No. of joint initiatives.</li> </ul>	<ul style="list-style-type: none"> <li>■ Project documents</li> </ul>
<b>Result 3: Scalability and response mechanisms ensure timely and well-coordinated assistance to drought-affected populations.</b>		
3.1 Updated drought contingency planning system fully operational in all ASAL counties and supported by stakeholders.	<ul style="list-style-type: none"> <li>■ No. of counties with approved contingency plans.</li> </ul>	<ul style="list-style-type: none"> <li>■ Crisis Toolkit</li> </ul>
	<ul style="list-style-type: none"> <li>■ No. of county stakeholders contributing to contingency plans.</li> </ul>	<ul style="list-style-type: none"> <li>■ Contingency plans</li> </ul>
	<ul style="list-style-type: none"> <li>■ NDCF guidelines and procedures available in 23 ASAL counties.</li> </ul>	<ul style="list-style-type: none"> <li>■ County reports</li> </ul>
3.2 Contingency planning priorities and drought mitigation measures integrated into sector and county development plans.	<ul style="list-style-type: none"> <li>■ No. of sector and county plans that accommodate contingency planning scenarios and priorities.</li> </ul>	<ul style="list-style-type: none"> <li>■ Sector and county plans</li> </ul>

OUTPUTS	OVI	MOV
3.3 National and county contingency financing systems complement each other.	<ul style="list-style-type: none"> <li>Agreed mechanisms to facilitate harmonised use of national and county funds.</li> </ul>	<ul style="list-style-type: none"> <li>Procedure documents</li> </ul>
3.4 African Risk Capacity operationalised in Kenya.	<ul style="list-style-type: none"> <li>Agreement signed between GoK and ARC.</li> </ul>	<ul style="list-style-type: none"> <li>ARC documents</li> </ul>
3.5 Preparedness audits produced.	<ul style="list-style-type: none"> <li>No. of counties where preparedness audits complete.</li> </ul>	<ul style="list-style-type: none"> <li>Audit reports</li> </ul>
3.6 Strategic preparedness projects identified and implemented at community and county levels.	<ul style="list-style-type: none"> <li>No. of projects financed and implemented.</li> </ul>	<ul style="list-style-type: none"> <li>Fund MIS</li> </ul>
3.7 Procedures for the scalability of cash transfers agreed and operational.	<ul style="list-style-type: none"> <li>No. of households receiving cash transfers triggered by drought, disaggregated by gender.</li> </ul>	<ul style="list-style-type: none"> <li>NDCF MIS</li> <li>HSNP MIS</li> </ul>
3.8 Triggers and mechanisms for scale up identified by key sectors and integrated in plans and budgets.	<ul style="list-style-type: none"> <li>No. of sectors reporting progress in scalability.</li> </ul>	<ul style="list-style-type: none"> <li>Sector reports</li> </ul>
3.9 Coordination structures reviewed and new structures operationalised.	<ul style="list-style-type: none"> <li>No. of organisations participating actively in coordination structures.</li> </ul>	<ul style="list-style-type: none"> <li>Coordination meeting minutes</li> </ul>
<b>Result 4: Institutional and legal frameworks for drought risk reduction, climate change adaptation and social protection exist at all levels with adequate capacity.</b>		
4.1 NDMA Bill passed.	<ul style="list-style-type: none"> <li>NDMA Act signed into law.</li> </ul>	<ul style="list-style-type: none"> <li>Gazette</li> </ul>
4.2 National Drought Contingency Fund operational.	<ul style="list-style-type: none"> <li>NDCF legal instrument signed.</li> </ul>	<ul style="list-style-type: none"> <li>Gazette Notice</li> </ul>
	<ul style="list-style-type: none"> <li>Budget allocated to NDCF.</li> </ul>	<ul style="list-style-type: none"> <li>Printed estimates</li> </ul>
4.3 Integration of frameworks for disaster risk reduction, drought risk reduction, social protection and climate change adaptation achieved.	<ul style="list-style-type: none"> <li>Effective coordination platforms in place at national and county levels.</li> </ul>	<ul style="list-style-type: none"> <li>Coordination reports</li> </ul>
4.4 Integrated referral system for complaint handling established.	<ul style="list-style-type: none"> <li>System established in at least three counties and opportunities for scale up identified.</li> </ul>	<ul style="list-style-type: none"> <li>Project reports</li> <li>County reports</li> </ul>
4.5 Seasonal social sector accountability system modelled and reports produced	<ul style="list-style-type: none"> <li>No. of seasonal social sector accountability reports produced</li> </ul>	<ul style="list-style-type: none"> <li>SIR reports</li> </ul>
<b>Result 5: Knowledge is effectively managed to ensure evidence-based decision-making and practice.</b>		
5.1 National standards and procedures for drought risk management developed and adopted.	<ul style="list-style-type: none"> <li>Proportion of drought-related interventions in line with agreed standards and guidelines.</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation reports</li> </ul>
5.2 Web-based knowledge platform developed and in use.	<ul style="list-style-type: none"> <li>Level of traffic to platform.</li> </ul>	<ul style="list-style-type: none"> <li>Platform MIS</li> </ul>
	<ul style="list-style-type: none"> <li>No. of downloads of / requests for materials.</li> </ul>	

## 15.9 Budget, 2014-2018

BUDGET ITEM	COUNTY GOVTS	NDMA	PRIVATE SECTOR	DEVELOPMENT PARTNERS	TOTAL KSHS M
<b>Result 1: Drought risk reduction, climate change adaptation and social protection measures integrated into development policies, plans, budgets and activities at national and county levels.</b>					
<b>Sub-total</b>	<b>1,472</b>	<b>5,374</b>	<b>0</b>	<b>33,330</b>	<b>40,176</b>
Support for mainstreaming processes (tools, training, participatory planning)	92	296		164	552
Drought risk reduction investments	1,380	460		1,196	3,036
Climate change adaptation investments				350	350
Social protection through cash transfers (HSNP)		4,368		8,443	12,811
County social protection databases developed in the five remaining non-HSNP arid counties		250		250	500
Social protection through food/cash for assets; county coordination; nutrition models				22,927	22,927
<b>Result 2: Drought, climate and socio-economic information facilitate concerted and timely action by relevant stakeholders at county, national and regional levels.</b>					
<b>Sub-total</b>	<b>5</b>	<b>464</b>	<b>0</b>	<b>80</b>	<b>549</b>
Drought early warning system	5	464	0	80	549
<b>Result 3: Scalability and response mechanisms ensure timely and well-coordinated assistance to drought-affected populations.</b>					
<b>Sub-total</b>	<b>392</b>	<b>2,276</b>	<b>0</b>	<b>2,000</b>	<b>4,668</b>
National Drought Contingency Fund	0	2,000	0	2,000	4,000
County drought response funds	300	0	0	0	300
Stakeholder coordination	92	276	0	0	368
<b>Result 4: Institutional and legal frameworks for drought risk reduction, climate change adaptation and social protection exist at all levels with adequate capacity.</b>					
<b>Sub-total</b>	<b>10</b>	<b>44</b>	<b>0</b>	<b>53</b>	<b>107</b>
Policy, legal & institutional reforms	0	44	0	0	44
Public accountability (TI)	0	0	0	23	23
Public accountability (other)	10	0	0	30	40
<b>Result 5: Knowledge is effectively managed to ensure evidence-based decision-making and practice.</b>					
<b>Sub-total</b>	<b>0</b>	<b>98</b>	<b>0</b>	<b>0</b>	<b>98</b>
Standards, guidelines and studies	0	68	0	0	68
Knowledge sharing platform	0	30	0	0	30
<b>TOTAL</b>	<b>1,879</b>	<b>8,256</b>	<b>0</b>	<b>35,463</b>	<b>45,598</b>
<b>% budget</b>	<b>4%</b>	<b>18%</b>	<b>0%</b>	<b>78%</b>	<b>100%</b>

# 16

## Pillar 6: Institutional Development and Knowledge Management

### Key data

<b>COUNTRY</b>	Kenya
<b>TITLE</b>	Common Programme Framework for Ending Drought Emergencies: Institutional Development and Knowledge Management
<b>DURATION</b>	July 2014 – June 2018
<b>TOTAL BUDGET</b>	Kshs. 2,305 million
<b>OVERALL OUTCOME</b>	Robust ASAL institutions exist and support EDE investment, policy and programming decisions, based on critical evidence generated by solid knowledge management systems.
<b>EXPECTED RESULTS</b>	<ul style="list-style-type: none"><li>1.1 Priority ASAL development institutions established and/or strengthened.</li><li>1.2 Management and accountability structures for the EDE operationalised.</li><li>1.3 Evidence-based policy and legal reforms that facilitate achievement of the EDE goal secured.</li><li>1.4 EDE priorities appropriately mainstreamed within the Kenya Vision 2030 Medium Term Plan III.</li><li>2.1 Evidence-based policy and investment choices made by EDE stakeholders at different levels supported, and the development of the EDE MTP III informed.</li><li>2.2 Impact of Kenya's progress towards the 10-year EDE goal assessed.</li><li>2.3 Public and stakeholder awareness of, and identification with, the EDE increased, and wider understanding built of the conditions necessary to achieve drought resilience in Kenya.</li></ul>
<b>FOCUS AREA AND POPULATION</b>	Arid and semi-arid counties, approximately 15 million people (36% of the national population)
<b>CONTACT DETAILS</b>	<b>Chief Executive Officer</b> , National Drought Management Authority P.O. Box 53547-00200 Nairobi, Kenya ceo@ndma.go.ke, www.ndma.go.ke

### 16.1 Executive summary

This is the sixth of six common programme frameworks that have been developed to operationalise the Ending Drought Emergencies (EDE) Medium Term Plan, which is an integral part of the Kenya Vision 2030 Second Medium Term Plan for 2013-17.<sup>105</sup>

A sustained, long-term and coordinated approach is a prerequisite for reducing vulnerability to drought. Drought management is a cross-cutting issue that requires collaborative and effective action by a wide range of state and non-state institutions at all levels. It also requires a strong base of evidence from which to make interventions that are timely, appropriate and relevant to the needs of drought-affected communities.

The aim of this framework is to ensure that there is a supportive enabling environment for implementation of all six EDE Common Programme Frameworks and thus to strengthen delivery and impact. It will supply the evidence base for decision-making, facilitate coordinated and high-quality interventions, promote synergy between the six pillars of the EDE, monitor and evaluate progress towards the goal of ending drought emergencies by 2022, ensure accountability to relevant public institutions, and provide oversight of the EDE as a whole.

This framework has two components: institutional development and knowledge management. The first will strengthen the institutions established to support development in arid and semi-arid lands (ASALs) and to implement EDE commitments, ensuring that they have access to high quality technical expertise.

<sup>105</sup> The others are on peace and security, climate-proofed infrastructure, human capital, sustainable livelihoods, and drought risk management.





The second will consolidate the evidence base for the EDE, and thus support investment choices, policy processes, public engagement and impact assessment.

Since this pillar provides technical and knowledge services to the other five, those implementing it will take a demand-driven approach which is responsive to stakeholder needs and priorities and involves active engagement with each pillar and its partners. Implementation will be led by the National Drought Management Authority (NDMA) and coordinated through two sub-groups of organisations with expertise in its two components. Membership of these sub-groups includes those with regional portfolios for the Horn of Africa who will thus ensure appropriate linkages with IGAD's Drought Disaster Resilience and Sustainability Initiative (IDDRSI).

This is a five-year framework with a budget of Kshs. 2,305 million.

## 16.2 Situation analysis

### 16.2.1 Sector analysis

#### **Institutional arrangements**

##### ***The regional connection***

The decision to end drought emergencies was taken by IGAD and East African Community (EAC) Heads of State and Government at a summit in Nairobi on 9 September 2011. The summit called for increased investment in dryland development by drought-affected countries and their partners. The IDDRSI strategy was developed after the summit, through an inclusive and participatory process, to address the causes and effects of drought and related shocks in a sustainable and holistic manner.

The IGAD Secretariat has established a Regional Platform to support implementation of the IDDRSI by IGAD member states and their partners. It coordinates the following:

- 1. Resource mobilisation:** mobilising the human, physical and financial resources needed to deliver priority interventions at national and regional levels.
- 2. Regional programming, monitoring and evaluation:** coordinating the identification, prioritisation and

elaboration of national and regional interventions.

**3. Regional knowledge management, communication and outreach:** collecting, analysing and disseminating evidence-based information, good practice and lessons learnt, as well as advocacy and media engagement.

**4. Regional capacity development and learning:** strengthening the coherence and effectiveness of research and capacity building centres in the region, including the provision of institutional capacity services to IGAD member states.

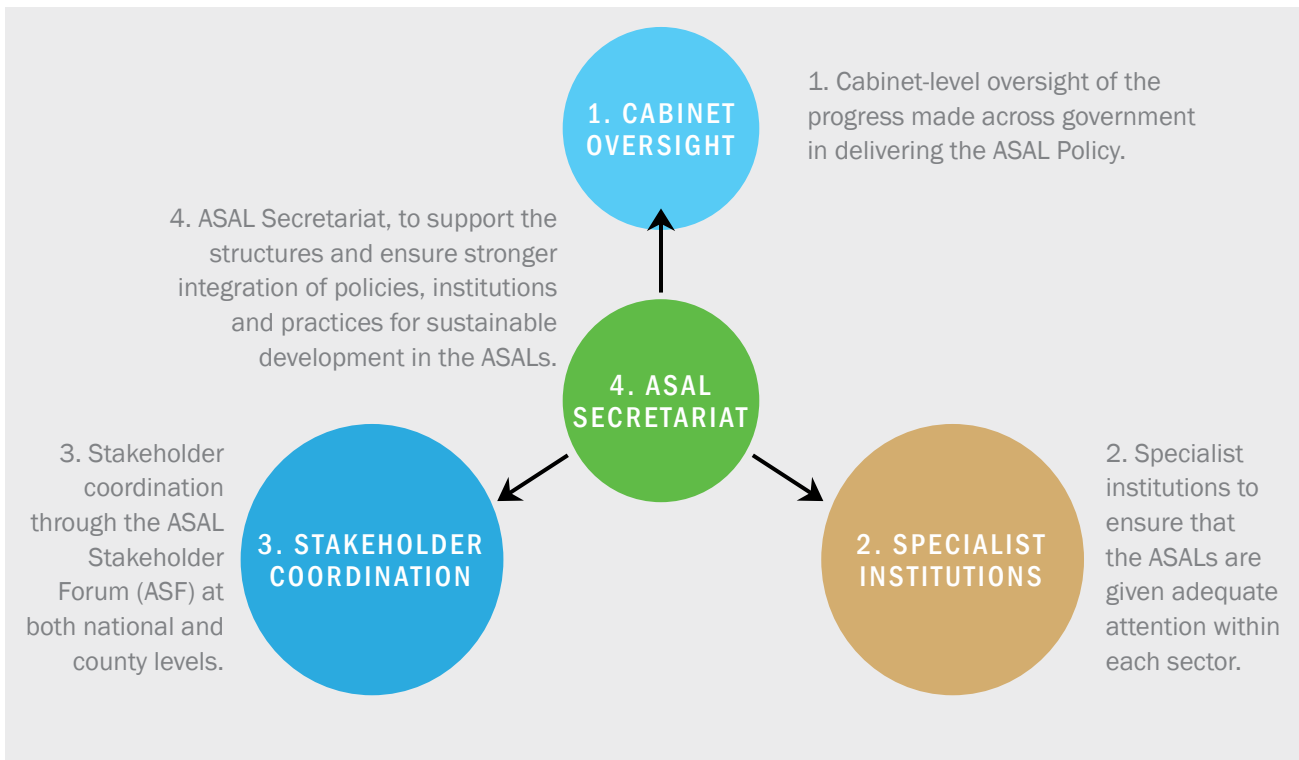
Kenya has been identified as the lead country or champion for ending drought emergencies in the IGAD region. The experiences and lessons from Kenya are expected to guide other countries and inform the standards in use across the region, although this role has not yet been fully defined or resourced.

#### ***The national setting***

Kenya aims to be a middle-income, rapidly industrialising country by 2030, offering all its citizens a high quality of life. The first Kenya Vision 2030 Medium Term Plan (MTP) was implemented between 2008 and 2012. The theme of the second MTP for 2013-17 is 'Transforming Kenya: Pathway to Devolution, Socio-Economic Development, Equity and National Unity', and it recognises EDE as one of the 'foundations for national transformation'. The EDE sector plan was developed through extensive consultation between state and non-state actors and is now being operationalised through six common programme frameworks (of which this is the sixth). The NDMA in the Ministry of Devolution and Planning is leading and coordinating efforts towards the goal of ending drought emergencies by 2022.

The National Policy for the Sustainable Development of Northern Kenya and other Arid Lands (the ASAL Policy), approved as Sessional Paper No. 8 of 2012, recognises the need for effective planning and coordination of development and acknowledges that this has been lacking. It therefore establishes a number of ASAL transformation structures through which state and non-state actors can plan, execute, monitor and coordinate their interventions more effectively (Figure 12). The new approach offered by this institutional framework increases the likelihood

Figure 12: ASAL Institutional Framework



that the region’s potential will be harnessed both for the ASALs and for the nation as a whole. It also provides an enabling environment for delivery of EDE commitments. However, the framework is only partly in place and needs strengthening.

In 2013 a Presidential Taskforce on Parastatal Reforms was charged with reviewing parastatals from the perspective of their viability and operational effectiveness, governance and ownership, and contribution to the national development agenda.<sup>106</sup> Implementation of the Taskforce’s recommendations is ongoing and may affect some of the institutions within this framework.

**Devolution**

The introduction of devolution in March 2013 is the most significant change in governance since independence. Devolution empowers citizens to exercise their democratic rights in order to enhance social, political and economic development. According to the Constitution of Kenya 2010, the governments at the national and county levels are distinct and inter-dependent.

Devolution presents significant opportunities for achieving the EDE goal, including enhanced resource allocation to counties which were previously under-

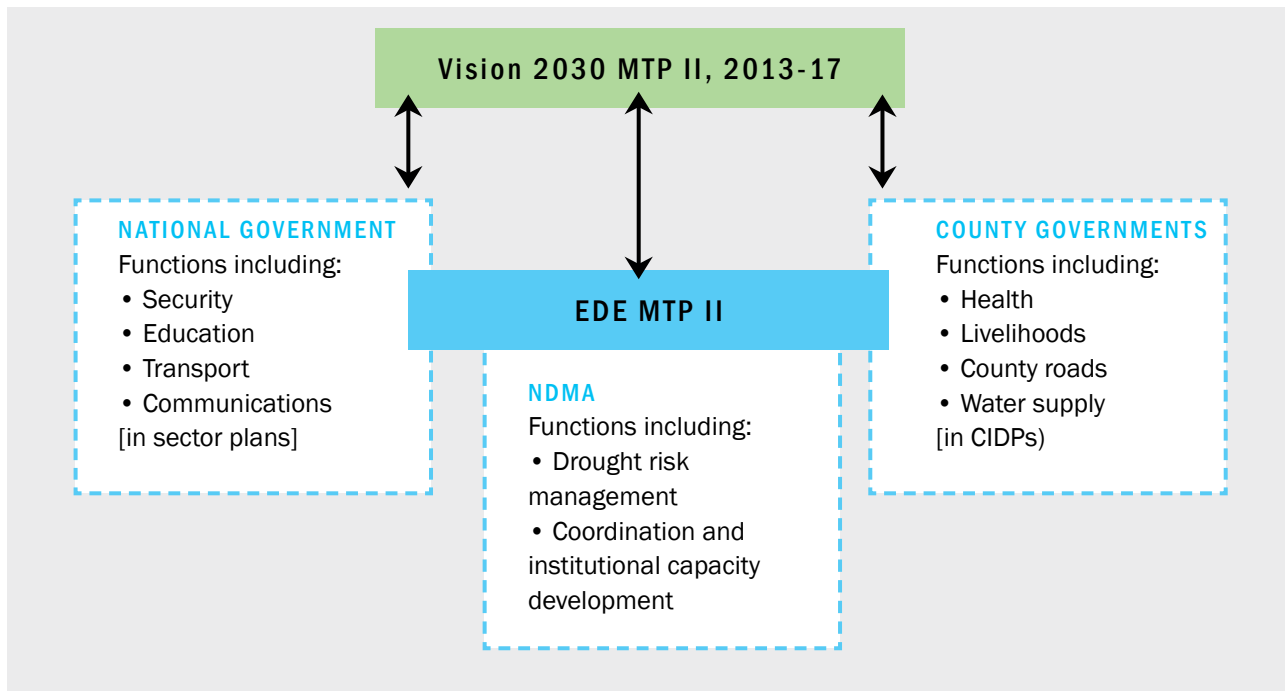
served by central governments, and the space to act in ways that are more attuned to local realities and priorities. EDE implementation is thus now a shared responsibility of the national and county governments and is of three kinds (Figure 13):

1. Interventions made by the national government through its sector plans.
2. Interventions made by the county governments through their County Integrated Development Plans (CIDPs).
3. Interventions made by the NDMA and its partners which cut across sectors.

The CIDPs are supposed to be living documents, regularly updated as the operating and institutional contexts change. The NDMA has been working with the county governments to ensure that relevant EDE commitments are mainstreamed in these plans, although this process needs further reinforcement.

<sup>106</sup> Report of the Presidential Taskforce on Parastatal Reforms, October 2013

Figure 13: EDE linkages with national and county planning



The County Governments are full partners in the Common Programme Framework for EDE and in its institutional arrangements, which include inter-county forums. This pillar also includes interventions designed to strengthen their capacities and resources for managing drought risks.

### Resource mobilisation

In the past, drought management took a predominantly humanitarian-led approach. The new focus on reducing vulnerability and risk requires strategies that employ humanitarian response when necessary but above all prioritise resilience.

There are three critical issues in financing the EDE:

1. Shifting the emphasis from (late) response to investment that reduces vulnerability, which requires sustainable streams of funding.
2. Ensuring timely response to emerging drought, well before an emergency is reached, and for which contingency finance is required. To that end, the government is establishing a National Drought Contingency Fund (NDCF) as a multi-donor facility with set-aside funds for timely response.
3. Ensuring better alignment and coordination of all investment, which is the purpose of the common programming.

One of the tools needed to support resource mobilisation is a comprehensive database of existing and potential investment. UN-OCHA has already designed an online tool, supported by FAO and the Technical Consortium, which makes investment data publicly available. This framework will further refine and maintain that tool. Its knowledge management component will provide the evidence and justification for resource mobilisation activities.

### Knowledge management

Knowledge management is understood as a process of identifying, gathering, synthesising and sharing knowledge and promoting its application. It is most effective when the key stakeholders, such as communities and county governments, are integrally involved in the process.<sup>107</sup>

Kenya has a rich intellectual environment with significant capacities in research and analysis within both the public and the private sectors. At the end of June 2013 there were 22 public chartered

<sup>107</sup> Tilstone, V., Ericksen, P., Neely, C., Davies, J. and Downie, K. (2013) Knowledge management and research for resilience in the Drylands of the Horn of Africa. Technical Consortium: Building resilience in the Horn of Africa. Brief 5.

universities and nine public university constituent colleges, as well as 17 private chartered universities and five private university constituent colleges.<sup>108</sup> There are also numerous policy research institutions both within government (such as KIPPPRA) and outside it (such as IPAR and IDS at the University of Nairobi). However there are two key challenges: first, there is limited ASAL focus within all this activity, with the exception of institutions such as the Centre for Sustainable Dryland Ecosystems and Societies at the University of Nairobi, and the dryland research programmes of organisations such as KALRO. Second, research programmes are not coordinated, and research outputs are not adequately disseminated, shared or applied in ways that will ensure tangible and lasting impacts.

For ASAL and EDE institutions to function effectively, relevant information and knowledge must be generated and shared in a coordinated and timely manner. Decision-makers need evidence and analysis to prioritise and target investment appropriately and understand the anticipated return on that investment, as well as for the rational formulation of policies, regulatory frameworks and institutions.

However, there are significant information challenges, particularly in terms of quality, relevance and availability. These are discussed in more detail in section 16.2.2. While there is still a high degree of fragmentation of effort in this area, some recent developments suggest a trend towards more collaborative working, including the Technical Consortium for Building Resilience in the Horn of Africa housed at ILRI, and the Resilience Analysis Unit led by IGAD and supported by four UN agencies (FAO, UNDP, UNICEF, and WFP).

## 16.2.2 Critical issues to address

### Stronger institutions for ASAL development

As described, an institutional framework has been established to facilitate ASAL development and ensure that a coherent approach to this is sustained over time. One past weakness was the proliferation of approaches and institutions which were rarely sustained beyond the five-year lifespan of a government. This is important because the structural factors which lie at the root of poverty

and vulnerability in the ASALs require generational change.

Once fully operational, the ASAL institutional framework will provide the overall enabling environment for the EDE. However, key parts of it require either establishing or strengthening. Table 32 summarises the status of each institution and the issues that need attention.<sup>109</sup>

Some of these institutions face particular challenges. First, they are in their formative stages and may lack even a minimum level of internal capacity to secure the resources they need. For example, the ASAL Stakeholder Forum (ASF) and the Pastoralist Parliamentary Group (PPG) are both membership organisations which need small secretariats to facilitate their work. Second, any institution working in the ASALs faces significant operational challenges, particularly the low levels of formal literacy and the difficulties of engaging with a membership dispersed across large geographical areas with poor transport and communications infrastructure. Third, the level of women's participation tends to be low, a reflection of wider structural challenges such as the gender gap in education and the social constraints facing women in public positions.

Several of these institutions could be considered affirmative action measures which are needed only because the mainstream systems of government are not yet fully addressing ASAL-specific concerns. An example of this is the National Council on Nomadic Education in Kenya (NACONEK), which is required because the design of the education system does not meet the needs of children and adults in pastoralist areas. The process of institutional development therefore also involves working with the relevant sectors to ensure that ASAL interests are in due course absorbed as a normal part of their operations, and this is the task of the relevant EDE pillar.

<sup>108</sup> <http://www.cue.or.ke/services/accreditation/status-of-universities>

<sup>109</sup> It should be noted that Table 32 is not a comprehensive list of all ASAL institutions but rather those that make up the ASAL institutional framework in the ASAL Policy.

Table 32: Status of ASAL institutions

INSTITUTION	PILLAR INTEREST	FUNCTION	STATUS	ISSUES TO ADDRESS
ASAL Cabinet Sub-Committee	All pillars	To provide high-level policy direction and accountability.	Constituted in December 2012 but not yet operationalised.	Review in light of the changed architecture of government.
ASAL Secretariat	All pillars	To support and service the ASAL institutional framework, promote policy coherence in ASALs, and monitor delivery of the ASAL Policy.	Operating informally, but not yet formally constituted.	Formalise and strengthen.
ASAL Stakeholder Forum	All pillars	To enhance networking and coordination between ASAL stakeholders, promote good practice, good governance and accountability, and advocate the interests of ASAL communities.	Operational: inaugurated in July 2012. County forums are now being established and a coordinator has been recruited.	Establish a Secretariat and facilitate county forums.
National Drought Management Authority	Drought Risk Management	To provide leadership and coordination of Kenya's management of drought risks and adaptation to climate change.	Operational: gazetted in November 2011. NDMA Bill to strengthen its powers is currently before Parliament.	Strengthen its legal status to lead and coordinate.
National Drought Contingency Fund	Drought Risk Management	To ensure timely response to drought by making set-aside funds available.	Pending: flagship project under Kenya Vision 2030 MTP II. Systems and procedures have been developed.	Engage with the National Treasury to facilitate its establishment.
Northern Kenya Investment Fund	All pillars	To expand private sector engagement in the region by making equity available through a new impact investment fund.	Pending: two out of three phases of design work have been completed.	Engage with potential investors to secure the Fund's capital.
National Council on Nomadic Education in Kenya	Human Capital	To promote, coordinate and provide quality education and training for the sustainable development of Kenya's nomadic communities.	Provided for within the Basic Education Act 2013. Its regulations, functions, structure and budget have been developed.	Engage with the Ministry of Education, Science and Technology (MoEST) to finalise the process.
Northern Kenya Education Trust	Human Capital	To expand access to quality education for students from arid and pastoralist counties.	Operational: an independent trust with a Memorandum of Understanding with the MoEST.	
Livestock Marketing Board	Sustainable Livelihoods	To promote market research and development for livestock and livestock products.	Provided for within National Livestock Policy (2008) but not yet operational.	Review in light of the parastatal reform process.



### **Political leadership and sustainability of the EDE**

The EDE has a ten-year goal to end drought emergencies by 2022. A critical challenge will be to sustain commitment to this goal between the current government and the next so that progress is not slowed or reversed by the political transition in 2017/18. This will require strong technical leadership by members of the relevant national and county executives, as well as advocacy work with the political aspirants during the next campaign.

Kenya's constitutional dispensation gives Parliament significant powers to hold the Executive to account for its policy commitments. The PPG is a recognised group within Parliament which was formed to mainstream pastoralists' agenda within the national political process. It is committed to ensuring full operationalisation of the ASAL Policy as part of its strategic plan for 2014-17, and will therefore be a key partner in mobilising support for ASAL institutions and the EDE as a whole. It can mobilise the county political leadership through the new Pastoralist Leaders Forum (where elected leaders at the national and county levels come together), as well as the larger group of ASAL parliamentarians. The PPG will make a particular contribution to the EDE through its work on peace and security, which it has prioritised in its strategic plan, and through support to policy and legal reforms. It is also well-placed to monitor and press for adequate budgetary allocations for EDE commitments by the relevant sectors.

### **Policy, legal and institutional frameworks for the EDE at the county level**

One strategy to sustain commitment to the EDE will be to develop appropriate policy and legal frameworks at the county level. The county governments have the powers to legislate in this area. Issues that might be addressed by policy and legislation at this level include the integration of EDE commitments within CIDPs, the allocation of county budgets to the EDE, citizen participation and accountability, and inter-county collaboration, particularly concerning the management of shared resources and the movement of people and livestock. This work needs planning and supporting in a coordinated manner in order to avoid fragmentation and lack of coherence across counties.

### **Institutional development of county governments**

The county governments are on the frontline of drought management. There are now substantial resources at the county level to finance investment in both risk reduction and timely drought response. County governments have already demonstrated that they are making a difference: the impact of the dry seasons in 2013/14 would have been much worse had counties not taken steps to maintain boreholes, truck water, and manage disease outbreaks. Several are also planning to establish funds at the county level for disaster management.

However, the devolution process has inevitable challenges, including the detailed interpretation of institutional mandates, limited public awareness of the new institutions, fledgling inter-sectoral and inter-agency coordination mechanisms, and financial and performance management systems that are not yet fully functional. Some of the more remote counties also face significant gaps in their establishments, an issue which is being addressed by the EDE pillar on human capital. The inter-governmental structures that will oversee EDE implementation provide a mechanism to address some of these challenges, and will also be critical in ensuring that the principles of equal partnership and inter-dependence between the national and the county governments are applied.

There are also ASAL-specific challenges associated with devolution. For example, national planning methodologies need to be nuanced to the unique situation of dryland societies, particularly ensuring adequate participation of customary institutions and mobile groups. Inter-county and inter-country linkages are also critical, since neither the impacts of drought nor the social and economic relationships which are essential to sustainable livelihoods are contained within administrative boundaries.

Several agencies intend to support the counties in addressing these institutional challenges. However, their efforts are not yet well-coordinated, thus having the counter-productive effect of increasing pressures on the new governments.

### **Citizen and stakeholder engagement**

The EDE reflects a paradigm shift in the approach to drought in Kenya. First, the promise to end drought emergencies echoes the constitutional





commitment that every person has the right to be free from hunger (Article 43 (1) (c) in the Constitution of Kenya 2010). Second, the overall thrust of the EDE agenda is to reduce vulnerability to drought rather than simply respond to its effects. This needs innovation and new thinking, as well as strategic and sustained partnerships between the wide number and diversity of actors involved. As a result, expertise in external communication and public relations will be an important aspect of the institutional capacities required.

In terms of citizen participation with the EDE, a wide range of community institutions operate across the ASALs. These include formal structures (such as community-based organisations (CBOs), group ranches and conservancies), customary institutions (such as the *dedha* system of the Boran or Somali clans), and hybrids of the two (such as rangeland users associations, which apply traditional systems of natural resource management but engage effectively with formal governance structures). Customary institutions are critical to effective management of common property regimes. The principal entry point to the EDE for these groups will be at the county level, through the normal processes of county consultation and planning, and through the operations of the ASAL Stakeholder Forum (ASF). The ASF is a platform through which non-state actors working on any issue can engage with each other, with potential partners and supporters, and with both the national and the county governments. The ASF county forums, which are now being established, are an important vehicle for citizen and CBO engagement with the county governments and other stakeholders. A key issue for all these structures will be to ensure adequate participation of groups such as women and young people.

A critical constituency which has so far had limited involvement with the EDE process is the private sector. An important task under this framework will be to use the EDE institutions to reach out to potential private sector partners and integrate within the common programme frameworks a fuller understanding of drought's impacts on the whole of society.

### **Data and information challenges<sup>110</sup>**

There are significant limitations in ASAL-related data. Some information is incomplete, outdated or

conflicting, particularly the critical statistics needed for planning, such as human and livestock population numbers, or the proportion of households engaged in different livelihoods and how these are changing over time. These statistics are also not adequately disaggregated according to gender and other social groups. Data may be collected on an irregular basis rendering it ineffective for decision-making. Gaps in the data may be partly due to the cost of collecting it in large areas with poor infrastructure.

However, another cause of these weaknesses lies in the nature of conventional survey methods. These are designed for populations which are sedentary and easily accessible but are often of limited value in situations where discontinuity is the norm, such as pastoralist areas. A serious attempt to develop official survey approaches and methods that fit the pastoralist context is long overdue. Some opportunities to do so include the plans for a new Hunger Safety Net Programme baseline in 2015, modifications to the NDMA's early warning system, the analysis of data on household livestock holdings from the 2009 census by the Kenya National Bureau of Statistics (KNBS), and preparations for the Kenya Census of Agriculture (KCA).<sup>111</sup>

Some existing data is not well supported by robust evidence or practical experience. There is also a high degree of knowledge and data fragmentation across institutions, with no central space for sharing and consolidation. This includes a lack of mechanisms for government to engage effectively, and in a coordinated manner, with universities and research institutions. Further, data and information may not be used either because users lack the capacity to convert information into knowledge for particular contexts, or because there has been little opportunity to apply the knowledge in a coherent and meaningful way.

County governments have acute information needs, since they are only just getting established and are operating in environments where access to technical expertise and knowledge is more challenging.

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<sup>110</sup> This section draws on Tilstone et al, 2013.

<sup>111</sup> Kratli, S. and Swift, J. (2014) 'Counting Pastoralists' in Kenya', Nairobi: DLCI

Further, citizens in ASAL counties face obstacles in accessing information. In some areas female literacy is less than 10 per cent, and vernacular radio and mobile coverage is lacking. Appropriate ways are needed to ensure that information reaches these communities.<sup>112</sup>

Finally, impact evaluation of investment requires baseline data. At present there are few appropriate panel datasets over sufficient periods of time to be able to analyse how indicators respond to a shock. Data exists but may not be consistent in its resolution, indicator, geographical coverage or time series. There are also major challenges with the interoperability of data. This framework will carry out a robust scoping of available data, analyse gaps, examine novel ways of generating missing data, ensure its disaggregation by gender, and compile baseline datasets for each pillar of the EDE.

### 16.2.3 Justification for the common programme

Effective coordination is fundamental to drought management and the EDE goal. Moreover, the EDE initiative is starting at a time of significant changes in governance and in the institutional arrangements for its delivery. Implementation of devolution will be lengthy and complex, particularly in counties where institutional capacity is comparatively low and the operating environment more challenging. Strong institutions will help to ensure that the ASAL and EDE agenda are not lost during this transition and are sustained throughout its ten-year timeframe.

With regard to knowledge management, several institutions and organisations are involved in research, capacity development and impact analysis in the ASALs but are operating in relative isolation from one another. This pillar will identify these actors and their objectives and introduce new information and knowledge sharing platforms to ensure a more concerted and collaborative approach.

### 16.2.4 Contribution to relevant policies

The overall legal framework for the EDE is the Constitution of Kenya 2010, and the overall policy framework is Kenya Vision 2030. Other relevant policy documents include the ASAL Policy, the National Land Policy, the African Union's Policy

Framework for Pastoralism in Africa, the draft National Disaster Management Policy, the National Livestock Policy, and the Policy Framework on Nomadic Education in Kenya.

Formulation of a policy and legal framework for pastoralism in Kenya, which secures pastoralist mobility and security and facilitates and recognises the cross-border trade and movement of livestock, will be prioritised under this framework and will domesticate the AU's Policy Framework on Pastoralism. It may also contribute to the EAC Partner States Common Market Protocol, whose objective is to widen and deepen cooperation among partner states by removing restrictions on the movement of goods, persons, labour, services and capital and the rights of establishment and residence.

The knowledge management and accountability initiatives under this framework, particularly those that concern data and information, will contribute towards the constitutional commitment to the right of access to information (Article 35) and towards government efforts to ensure open data.

By establishing monitoring protocols and knowledge management systems, the framework will also contribute to the National Integrated Monitoring and Evaluation System (NIMES) implemented by the Ministry of Devolution and Planning.

## 16.3 Programme framework

The overall purpose of this framework is to ensure that robust ASAL institutions exist and support EDE investment, policy and programming decisions, based on critical evidence generated by solid knowledge management systems.

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<sup>112</sup> Kenya Rural Development Programme (2012) 'Strengthening information dissemination at community level'

Table 33: Programme components

	INSTITUTIONAL DEVELOPMENT	KNOWLEDGE MANAGEMENT
<b>OVERALL OUTCOME</b>	Robust ASAL institutions exist and support EDE investment, policy and programming decisions, based on critical evidence generated by solid knowledge management systems	
<b>SPECIFIC OBJECTIVES</b>	<ol style="list-style-type: none"> <li>1. To establish and/or strengthen priority ASAL development institutions</li> <li>2. To operationalise the management and accountability structures for the EDE.</li> <li>3. To secure evidence-based policy and legal reforms that facilitate achievement of the EDE goal.</li> <li>4. To ensure that EDE priorities are appropriately mainstreamed within the Kenya Vision 2030 Medium Term Plan III.</li> </ol>	<ol style="list-style-type: none"> <li>1. To support evidence-based policy and investment choices made by EDE stakeholders at different levels and to inform the development of the EDE MTP III.</li> <li>2. To assess the impact of Kenya's progress towards the 10-year EDE goal.</li> <li>3. To increase public and stakeholder awareness of, and identification with, the EDE, and build wider understanding of the conditions necessary to achieve drought resilience in Kenya.</li> </ol>

The framework has two components, on institutional development and knowledge management, which are summarised in Table 33.

The next sections describe the strategies and interventions that will be used to achieve the objectives of each component.

### 16.3.1 Institutional development

#### Establishing and/or strengthening priority ASAL development institutions

**1. Promote and coordinate the provision of institutional capacity development for ASAL institutions.** These include the ASAL Secretariat, the ASF, the PPG, the NDMA and its associated NDCF, and the Northern Kenya Investment Fund (NKIF), and this support may include:

- a. The provision of personnel and other resources.
- b. Capacity development.
- c. Measures that institutionalise or legalise the institution, or finalise its design (such as the final work needed to establish the NKIF).
- d. Funds for the institution to implement their activities.

**2. Promote and coordinate the provision of institutional capacity development for county governments.** This may include capacity development and technical assistance in any area relevant to EDE priorities. Examples of planned

interventions include the government's efforts to institutionalise the EDE framework at the county level, the World Food Programme's new initiative to enhance county preparedness and response capacities to address short-term and long-term hunger needs, UNDP's work on disaster risk reduction frameworks, and initiatives to strengthen the capacity of County Planning Units, particularly in data and information management.

**3. Provide technical assistance to other EDE pillars which are assisting sector-specific ASAL institutions,** including NACONEK (human capital pillar), the Livestock Marketing Board or its equivalent (sustainable livelihoods), and the NDMA / NDCF and the proposed county disaster/drought funds (drought risk management).

#### Management and accountability structures for the EDE

**1. Establish an EDE Secretariat within the NDMA.** Its purpose will be to facilitate implementation of the EDE common programme frameworks in ways that enhance the alignment, coordination and technical quality of all interventions. The Secretariat will ensure the operationalisation of the structures described in section 16.6. It will also lead implementation of this framework.

**2. Develop and facilitate inter-county structures for the EDE in collaboration with the county governments.** Regular meetings between neighbouring counties on a cluster basis will provide

a platform to address shared problems, manage joint assets, and support peer learning.<sup>113</sup> The meetings will be attended by all County Executive members responsible for sectors relevant to the EDE pillars.

**3. Maintain an overview of resource requirements for the EDE and facilitate the mobilisation of resources in a coordinated manner**, in partnership with the ASAL donor group and the private sector.

**4. Engage effectively with IGAD's IDDRSI platform** in order to clarify Kenya's regional role in championing EDE, contribute to regional objectives, and benefit from regional opportunities for learning, peer support and resource mobilisation.

#### **Evidence-based policy and legal reforms that facilitate achievement of the EDE goal**

**1. Provide coordinated technical assistance to the county governments in developing policy and legal frameworks for the EDE at the county level.** Further to the discussion in section 16.2.2, this work will be critical to the sustainability and impact of the EDE initiative. It will draw on available technical support, for example from UN agencies, and be implemented in close partnership with the county State Law Offices.

**2. Lead processes of policy and legal reform that are specific to the agenda of this framework or that concern the EDE as a whole.** Examples may include access to data, full implementation of the ASAL Policy, or the domestication of the African Union's Policy Framework for Pastoralism in Africa.

**3. Pursue regional-level initiatives in collaboration with IGAD and other partners that address cross-border challenges and opportunities.** These may include policy and legal reforms that facilitate the movement of people, goods and livestock, the harmonisation of policy processes between countries, or the management of cross-border risks.

#### **Mainstreaming of EDE within Kenya Vision 2030 MTP III.**

**1. Develop the EDE MTP III in a participatory way**, incorporating lessons learned from implementation of the EDE MTP II, and ensuring that EDE commitments are appropriately mainstreamed within national planning and resource allocation for the 2018-22 period.

## 16.3.2 Knowledge management

### **Supporting evidence-based policy and investment choices by EDE stakeholders, including communities, and informing the development of the EDE MTP III.**

**1. Mapping and analysis of relevant projects and stakeholders.** The existing online tool developed by UN-OCHA will be finalised and made publicly accessible, including in an offline version for those with limited internet access. Its domestication to the county level will also be explored. The process of finalisation will include a review of the existing content to ensure tighter mapping of investment against the final results frameworks of each EDE pillar. It will also include collaboration with the ASAL Stakeholder Forum to rationalise mapping initiatives, particularly at the county level.

**2. Demand-driven action research programme to generate evidence for decision-makers.** A process of exploratory and consultative research, working closely with communities, will test critical assumptions regarding programming choices. Demand-driven research will generate evidence for decision-making, impact assessment and policy reform. Research programmes will analyse the role of investment not just within an individual pillar but in terms of its interaction with other pillars.

**3. Review and inform existing national and regional surveys.** Existing surveys, such as the Population and Housing Census, the Demographic and Health Survey, the KCA, the Living Standards Measurement Survey, and county-based processes of data collection, will be reviewed with a view to improving their utility for the EDE and for ASAL development more broadly. The focus will be on factors that support resilience and will include:

- a. Identifying surveys routinely carried out at either national or regional levels to inform broader and large-scale development initiatives.
- b. Informing the data objectives and methodologies of such surveys and arranging to incorporate, or ensure the inclusion of, information relevant

<sup>113</sup> The EDE has been working through six clusters of counties: North Rift, South Rift, Upper Eastern, North Eastern, Coast, and Ukambani / Mt. Kenya.

to the development of ASAL communities and supporting institutions.

- c. Promoting more appropriate indicators of measurement and data collection methodologies in ASAL areas.
- d. Ensuring that analysis is robust and disseminated widely.

**4. Develop EDE knowledge-sharing platforms and systems.** This framework will develop platforms and systems for use by the other EDE pillars and knowledge partners. It will include:

- a. Developing long-term partnerships between the various knowledge, research and scientific institutions and the NDMA so that the provision of knowledge services to the EDE is coordinated, harmonised and aligned and draws on the most up-to-date expertise.
- b. Creating a shared platform for all data held in the public domain, to increase efficiencies in data collection and widen access.
- c. Packaging research processes and products for use by all stakeholders, including communities, for informed decision-making.

**5. Develop and implement advocacy interventions that support policy and institutional reform.** The aim will be to strengthen the link between information and action by consolidating the evidence base and making this accessible to those formulating policies, regulatory frameworks and institutions. The results of this work will also contribute to regional analysis and policy change through the IDDRSI framework.

**6. Implement a capacity development strategy that supports achievement of the EDE goals.** This framework will help the other pillars identify individual or institutional capacity gaps that may constrain achievement of the EDE goals and strategies to address them. It will arrange for the provision of resource providers, training forums and capacity development, as required. The NDMA will monitor the capacity processes underway and evaluate their impacts on both the quality of delivery of the common programme frameworks and the progress towards the EDE goal.

**7. Provide evidence and technical support to the development of the EDE MTP III,** particularly, for example, in consolidating lessons learnt, identifying critical changes in the operating context to which

the EDE MTP III must respond, and reviewing the priorities and performance of the EDE pillars.

### **Impact assessment of Kenya's progress towards the 10-year EDE goal.**

**1. Participatory identification of resilience impact indicators, progress markers or intermediate development outcomes and impact pathways** for the EDE as a whole and for each of its pillars. The resource tools and methodologies could include RAU mixed methods and Community Based Resilience Analysis (CoBRA). The work will include tracking a combination of progress indicators, including the traditional quantitative statistics (such as those used by the MDGs and the HDI), as well as qualitative milestones established through outcome mapping or similar approaches.

**2. Scoping of data requirements for baseline indicators,** including the provision of baseline data catalogues for each EDE pillar. This work could also inform a status report on the HDI / MDGs in ASALs, which could be a useful advocacy tool to generate increased attention to under-served issues.

**3. Capacity development on impact pathway analysis and outcome mapping** for members of EDE pillar groups and relevant monitoring and evaluation (M&E) personnel. The approaches will be practical and able to accommodate unfolding changes (both positive and negative) identified by both the pillar groups and communities.

**4. Comprehensive EDE programme evaluation and impact assessment at appropriate intervals,** for example annual, bi-annual and/or at the end of programmes or phases, including identification of the resources required. This could be done for specific pillars or for the EDE as a whole.

**5. Develop and implement a management information system (MIS) for the EDE M&E,** which facilitates online reporting by counties into an integrated system.

**6. Facilitate joint M&E missions of EDE interventions,** carried out by the NDMA, the pillar working groups, and relevant stakeholders.

### **Public and stakeholder awareness and understanding.**

**1. Design and implement a public relations strategy for the EDE** which broadens the range



of stakeholder involvement, particularly from the private sector. A key outcome of the strategy should be a wider understanding of the conditions necessary to achieve drought resilience in Kenya.

**2. Develop a strategy for citizen engagement with the EDE**, building on lessons learned from relevant initiatives (such as the Kenya Rural Development Programme information campaign in Turkana), and working in close collaboration with the ASF county forums and the county governments in order to rationalise the various consultative processes which currently operate independently of each other.

**3. Carry out further sensitisation and outreach within the counties**, ensuring that all relevant sectors and officers are fully aware of their contributions to the EDE, particularly the county planners.

## 16.4 Cross-cutting issues

### 16.4.1 Gender and diversity

Equitable representation of different genders and social groups in the EDE institutional arrangements is critical to ensuring that the needs of the whole of society are factored into programming. Decision-making in the ASALs has largely been dominated by men, due to cultural orientation and the educational marginalisation of girls. The Constitution of Kenya 2010 contains measures to promote more equal gender representation in public life, as well as protection of the rights of minorities, and the same principles will apply to the ASAL and EDE institutions.

Institutional development strategies under this framework will be designed and implemented in ways which ensure that the rights and interests of different social groups are addressed. This may require special measures or innovative approaches to ensure that all groups are reached. It will also involve leveraging support from key partners, such as the PPG's commitment to support women's leadership and advance the interests of pastoralist women through the policy and legislative process. Capacity development in monitoring and evaluation carried out under this framework will include the identification and integration of gendered indicators in EDE pillar results frameworks.

### 16.4.2 Sustainability

Sustainability is at the heart of this framework, since its focus is on the enabling environment for the EDE as a whole. The priority is to strengthen key institutions, including through the provision of the necessary legal frameworks, so that they can perform over the long term, including ensuring continuity through the political transition in 2017/18.

The actions under this framework to increase public engagement with the EDE may also be instrumental in ensuring sustainability if they result in greater demand from the public for investments by state and non-state actors which strengthen resilience.

Finance is a critical component of sustainability and needs attention in both government institutions (particularly those which are currently more dependent on donor support) and membership organisations (such as the PPG and the ASF) which require a certain level of contribution from their members in order to function and build credibility. The process of devolution, and the mainstreaming of EDE commitments within the CIDPs, will also leverage more resources at the county level.

Finally, the new approach represented by the common programming may reinforce sustainability, particularly if development partners follow through in aligning their resources against the EDE framework, and if stronger partnerships and synergies lead to more efficient and rational use of resources.

### 16.4.3 Links with other pillars of the EDE framework

Part of the purpose of this framework is to serve the other five pillars of the EDE. Each pillar has priorities with regard to both institutional development and knowledge management, illustrated below. The detail of the partnership between this pillar and the other pillars will be agreed within the first six months of implementation.

#### **Institutional issues**

##### ***Peace and security***

A paradigm shift in how 'security' is conceptualised and managed by the mainstream security agencies is required, coupled with responsible and effective



action by the political leadership. The PPG is planning some work on this, including development of a Code of Conduct. New institutions for peace building and conflict management will be established with implementation of the National Policy on Peace Building and Conflict Management.

### **Climate proofed infrastructure**

Once established, the Northern Kenya Investment Fund could support this pillar, particularly areas with higher private sector involvement such as energy and ICTs. The scope of the NKIF is also relevant to the human capital and sustainable livelihoods pillars. The NKIF is not yet operational, but the final phase of its development is included in this framework.

### **Human capital**

There are two key institutions under this pillar. The first is the National Council on Nomadic Education in Kenya (NACONEK), which was legalised by the Basic Education Act of 2013. Its objective is to promote access, retention and quality education for all nomadic communities, which is key to Kenya realising both the MDG and Education for All goals. The second is the proposed Health and Nutrition Council for ASALs, which will harmonise approaches and share good practices at both national and county level, and ensure the integration of ASAL priorities and concerns within the mainstream sector plans. A key partner for this pillar is the Northern Kenya Education Trust (NoKET), an independent trust that was registered in 2010 and whose goal is to help increase the pool of professional capacity available to the region.

### **Sustainable livelihoods**

This pillar will support a number of institutions, including the County Land Management Boards, County Marketing Boards, livestock market management committees and community-level institutions.

### **Drought risk reduction**

The key institution under this pillar is the NDMA. The proposed National Drought Contingency Fund (NDCF) is not yet established but is essential for effective and timely drought response. Some county governments are also establishing disaster / drought response funds and climate adaptation funds. This pillar also has an interest in the county

policy and legal frameworks which will support achievement of the EDE goal.

### **Knowledge management**

The knowledge services provided by this pillar will be demand-led. Nevertheless, examples of the kind of issues that may be addressed, based on the content of the other pillar framework documents, are as follows.

**Peace and security:** the development of methodologies to evaluate the economic cost of conflict on ASAL livelihoods.

**Climate-proofed infrastructure:** a scoping study of existing guidelines and good practice in climate-proofing of infrastructure investments.

**Human capital:** evaluating global experience of retaining professionals in difficult working environments, such as the models and incentives used, and of the contribution of para-professionals to service delivery. This pillar will also support inter-county and inter-community dialogue and exchange to facilitate the spread and adoption of innovative and effective practices.

**Sustainable livelihoods:** research into mechanisms that will improve the delivery of livestock insurance, methods of integrating indigenous knowledge in ecology, medicine and animal health, and training in the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security.

**Drought risk management:** testing and evaluating different approaches to scaling up services and programmes in response to stress, as well as a web-based knowledge platform for drought risk management.

## **16.4.4 Quality control**

Quality control is broadly interpreted, i.e. being able to satisfy key constituencies that the work carried out under this framework is relevant, appropriate and of high quality. It may be considered from three angles:

**1. Technical quality:** interventions that apply internationally recognised good practice in dryland development, that use research and analytical methods of high quality and

consequently produce outputs that are trusted, and that are results-oriented and deliver impact.

- 2. Political capital:** interventions that strengthen political ownership of the EDE at both national and county levels, fulfil the requirements of public accountability, and ensure wide support for the EDE at senior levels of government.
- 3. Community-driven:** interventions that respond to the priorities and concerns of ASAL citizens and communities, with the necessary feedback

mechanisms in place to ensure ongoing feedback and review.

Partnerships will be established with institutions relevant to each of these three areas to ensure that quality concerns are adequately addressed.

## 16.5 Risk management

The risks likely to be associated with this framework are discussed in Table 34.

Table 34: Risks and mitigating measures

RISK	MITIGATING MEASURES
<b>Institutional risks</b>	
Government intention to rationalise institutions and the consequent loss of focus on the ASALs.	<ul style="list-style-type: none"> <li>■ Maximise support for ASAL institutions from all stakeholders.</li> <li>■ Develop an evidence-based case to ensure that ASAL focus is maintained.</li> </ul>
Insufficient resource allocation from the national and county governments.	<ul style="list-style-type: none"> <li>■ Ensure that dialogue is sustained.</li> <li>■ Draw on political support.</li> <li>■ Ensure that institutional options are efficient and results-oriented.</li> </ul>
EDE is undermined by the inevitable teething problems of the devolution process.	<ul style="list-style-type: none"> <li>■ Ensure frequent and effective communication with all parties.</li> <li>■ Identify opportunities to advance the EDE goals and champions to support it.</li> <li>■ Build and maintain support from the political leadership.</li> <li>■ Ensure participatory consultation on targeted goals, strategies and planned activities.</li> <li>■ Work through authorised structures for inter-governmental negotiation.</li> </ul>
Sustaining political commitment through and beyond the next elections.	<ul style="list-style-type: none"> <li>■ Integrate EDE targets and plans in ongoing development strategies (with both government and development partners).</li> <li>■ Engage the support of the private sector.</li> <li>■ Build public support.</li> </ul>
<b>Knowledge risks</b>	
Communication methods which are insufficiently responsive to the ASAL context (low levels of formal literacy; poor communications infrastructure).	<ul style="list-style-type: none"> <li>■ Develop and use a variety of communication tools and techniques.</li> <li>■ Work closely with the EDE human capital pillar and the ASAL Stakeholder Forum.</li> </ul>
Cost and sustainability of data collection as a result of the ASAL context.	<ul style="list-style-type: none"> <li>■ Collaborative and coordinated data collection systems, achieved through this pillar, will be more cost-efficient.</li> </ul>
Quality of data and standards, particularly as county governments build their capacity in this area.	<ul style="list-style-type: none"> <li>■ Make standard quality solutions available to counties which they can then tailor to their needs.</li> </ul>
Weak links between data collection, decision-making, and long-term results.	<ul style="list-style-type: none"> <li>■ Use demand-driven approaches and applied methodologies.</li> <li>■ Link research outputs with forums for debate and dissemination.</li> <li>■ Develop user-friendly knowledge management systems that help users make decisions.</li> </ul>

## 16.6 Institutional arrangements

### 16.6.1 Programme management and implementation

The NDMA will lead and manage implementation of this framework, working in close collaboration with the co-chair of the pillar and with a wide range of state and non-state partners.

Implementation of the framework will be spearheaded by the EDE Secretariat, a specialised unit in the NDMA, whose purpose and draft functions are in Box 4. The NDMA is the focal point in government for the EDE initiative.

Two sub-groups provide technical support to this pillar and will use their national and international networks to bring in other partners. One sub-group has expertise in institutional development and the other in knowledge management. Both sub-groups will meet regularly for joint monitoring of progress against the results framework. Table 35 lists the membership of each sub-group, which may be subject to change in the course of implementation. For the time being, CSO participation will be facilitated through the ASF county forums and through communities' direct engagement with the county governments.

#### Box 4: EDE Secretariat

##### PURPOSE:

To facilitate implementation of the EDE common programme frameworks in ways that enhance the alignment, coordination and technical quality of all investments and interventions.

##### FUNCTIONS:

1. Service the Inter-Governmental Forum and Inter-Governmental Committee on EDE matters, and the national EDE Steering Committee.
2. Lead and oversee implementation of the sixth common programme framework on institutional development and knowledge management.
3. Work with the national and county governments and inter-governmental bodies (IGAD and the East African Community) to ensure that EDE commitments are appropriately integrated in planning and resource allocation at all levels, including in the Kenya Vision 2030 MTP III.
4. Document and share lessons from the EDE in relevant forums and networks, both within Kenya and internationally.

Table 35: Pillar 6 membership

<b>CHAIR:</b>	National Drought Management Authority
<b>CO-CHAIR:</b>	Drylands Learning and Capacity Building Initiative

	Institutional development	Knowledge management
<b>CONVENOR</b>	World Food Programme	CGIAR Technical Consortium
<b>MEMBERSHIP</b>	Ministry of Devolution and Planning	IGAD Resilience Analysis Unit
	The National Treasury	Kenya National Bureau of Statistics
	ASAL Secretariat	Sector EDE M&E Focal Persons
	NDMA	NDMA
	DLCI	DLCI
	ASAL Stakeholder Forum	University of Nairobi
	CARE Kenya (for the ASAL Alliance)	UNDP Drylands Development Centre
	Euro Africa Consult Ltd	UNICEF Kenya
	Oxfam (for the ASAL Alliance)	UNICEF Regional Office for Eastern and Southern Africa

## 16.6.2 Coordination mechanisms

The coordination structures for this pillar of the EDE are shown in Figure 14. Some of the key elements include:

- **Inter-Governmental Forum:** this is the apex body, chaired by the President and attended by the Governors from drought-prone counties. It provides political direction to the EDE within the framework of the Intergovernmental Relations Act, 2012.
- **Inter-Governmental Committee:** this is chaired by the Cabinet Secretary with responsibility for drought management in Kenya and attended by Cabinet Secretaries and Governors relevant to the EDE. It meets twice a year to ensure strategic coordination between the two governments.
- **National EDE Steering Committee:** this is chaired by the NDMA. Its members include the chair and co-chair of each pillar, as well as other co-opted members. The chairs, who are senior Government officials ensure links to the relevant sectors and ministries. It meets every quarter to provide operational oversight of the EDE as a whole and ensure progress towards the 10-year goal. The national committee is replicated in purpose and membership by a parallel structure at the county level, whose precise title and modalities are determined by the Governors.

Given the demand-driven nature of this framework, each of the other five pillars has a nominated focal point responsible for ensuring that the priorities of their pillar are integrated into this framework. The sub-groups will work with them to identify their specific support needs and develop strategies and activities to provide them, either bilaterally or through combined platforms. Institutional needs may include the modalities for developing, establishing, strengthening or coordinating institutions. Knowledge management needs may include research and/or evidence for policy and practice, capacity building, knowledge-sharing platforms, and monitoring and evaluation for learning and the promotion of good practices.

Both sub-groups will use their membership to ensure strong links between institutional development and knowledge management initiatives in Kenya and those planned at the regional level under the IDDRSI framework. The sub-groups will also actively explore

opportunities for mutual learning directly with other IGAD member states.

An important task under this framework will be to operationalise the inter-county EDE forums which the county governments have identified as being important to achieving the EDE goal. At previous consultative meetings in November/December 2013 and April 2014 the county governments identified several areas where collaborative action across county boundaries would be beneficial.

Finally, since an important part of this framework involves capacity support to the counties, steps will be taken to link with the general coordination mechanisms which are harmonising technical assistance from the national government and development partners to the county governments.

## 16.6.3 Monitoring and evaluation

### Monitoring and evaluation of this framework

The results framework for this pillar is in section 16.8. The NDMA is responsible for monitoring progress against the agreed indicators. The targets and timeframes for each indicator will be agreed with partners within the first six months of implementation. M&E of the institutional development component will assess organisational development, transformation and functionality. M&E of the knowledge management component will focus on the creation, capture, storage and dissemination of information, and the effectiveness of the information and knowledge management systems developed.

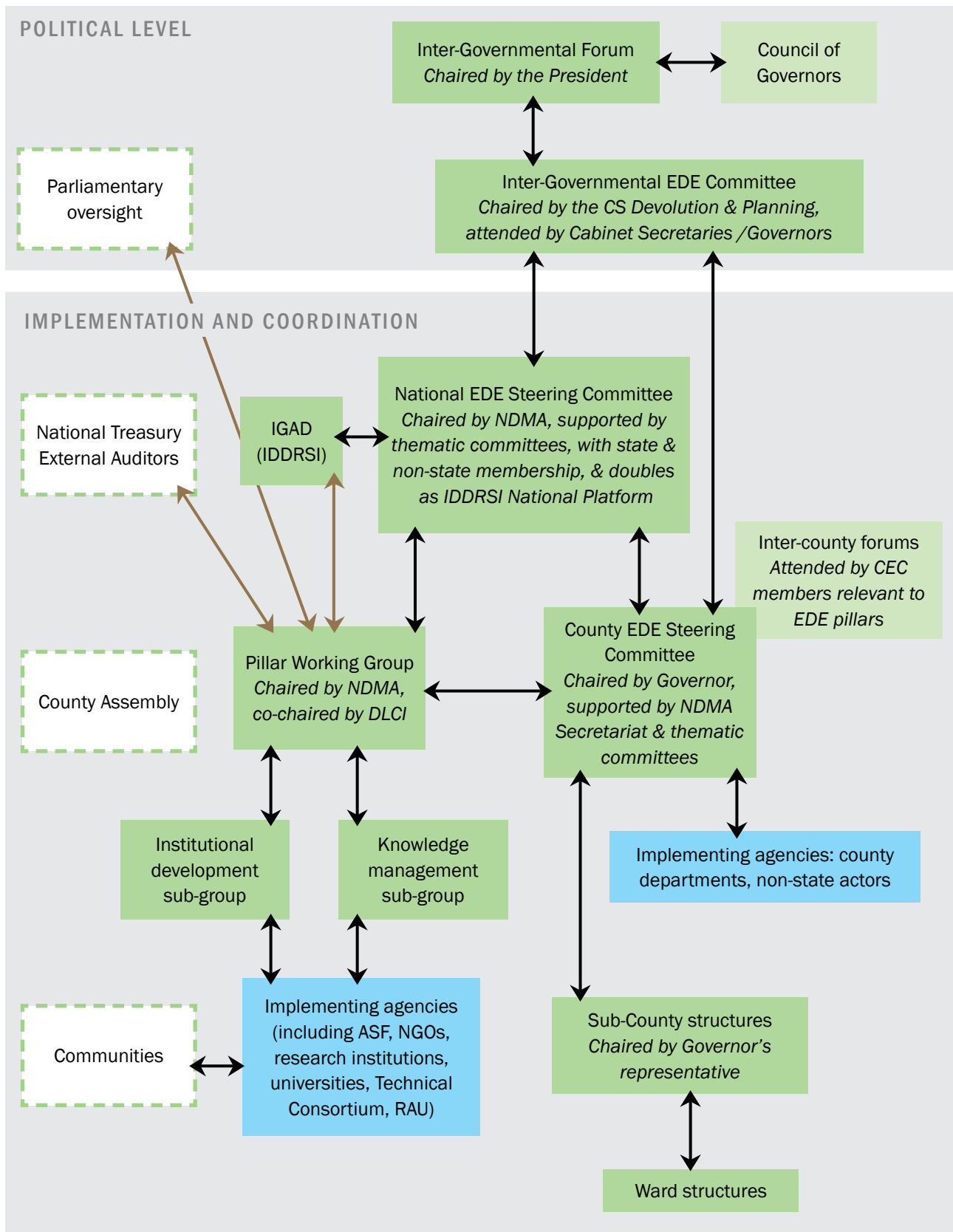
### Monitoring and evaluation of the EDE as a whole

This pillar will support M&E of the EDE as a whole. It will track progress in implementing the common programme frameworks, identify gaps, improve coordination and alignment, match funds with priorities, and ensure proper resource utilisation, as well as carry out periodic evaluations of impact. The EDE M&E framework will also show how the common programme frameworks could contribute more effectively to national and county development through the identification of emerging challenges and opportunities.

A key challenge will be monitoring investments over longer temporal scales (ten-plus years) and their impact on ending drought emergencies.

Figure 14: Coordination structures

Implementation Coordination Oversight → Members/associates of pillar working group



Some key questions that will need attention include: Will the investments, projects and interventions proposed within the EDE have an impact on ending drought emergencies, and if so, how will we know? Is it enough to reflect impact in terms of positive changes in sustainable development indicators (such as health, nutrition, education and living standards)? What does 'ending drought emergencies' mean to people living in Kenya, in terms of changes in their households and the systems that underpin their livelihoods?

Monitoring will take place at multiple levels, implemented and coordinated through the structures established by each pillar and according to procedures and protocols developed by NDMA. Monitoring systems will be closely aligned with indicators and outcomes in relevant sector plans and CIDPs, disaggregated by gender wherever appropriate, and will be implemented in ways which reinforce the responsibilities and capacities of the county governments. Monitoring reports will be shared across the six pillars and with their various implementing partners in order to strengthen understanding and synergy across the EDE framework as a whole. An EDE M&E Working Group will be formed, with membership drawn from Pillar 6 and government officials from all the pillars.

An evaluation plan will facilitate the assessment of impact. Outcomes will be reviewed and evaluated at agreed timelines. Evaluations will be planned and overseen by the relevant pillars, with this pillar providing technical support as required.

The monitoring and evaluation component will be implemented through the following steps:

1. **Review of pillar results frameworks:** there will be a participatory review of each pillar's theory of change and its anticipated outcomes and associated indicators, which will also identify impact indicators, progress markers or intermediate development outcomes and impact pathways for the EDE and its constituent pillars.
2. **Baseline studies:** indicator evidence for each pillar will be gathered and consolidated, drawing on existing data and studies wherever possible.
3. **Capacity development:** strategically planned training of trainers for relevant NDMA officers, pillar M&E managers and county officials will be carried out on the appropriate combination of M&E approaches to track performance and progress for each pillar and for the EDE as a whole. This will be

reinforced by subsequent capacity building forums and supervision of the implementation of agreed monitoring systems. This training and support will be embedded within existing institutions for sustainability, particularly the County Planning Units.

**4. Development and utilisation of an information and knowledge management system** that will service data collection, analysis and reporting for all pillars. This will involve:

- a. Working from a principle of open data, setting up reporting arrangements and infrastructure that will support the system. This will include the creation of a central repository or clearing house for data and information that is being collected by any research or development institution across the ASALs.
- b. Using the impact pathway analysis and outcome mapping frameworks developed through the review of the pillar results frameworks, establish a monitoring system for tracking progress and lessons learnt, including cross-county and cross-pillar comparisons; develop and disseminate M&E procedures and protocols for use by all pillars and implementing partners; and identify the relevant actors responsible for data collection and their reporting responsibilities.

## 16.7 Resources

The total budget required to implement this framework is an estimated Kshs. 2,305 million over four years (2014-18). Of this, 74 per cent is for institutional development and 26 per cent for knowledge management. A summary budget is in section 16.9.

Of the total funds required, approximately eight per cent has already been secured. However, this figure is likely to rise significantly as the detailed mapping and alignment of existing programmes and projects is completed, and as pipeline funding proposals are approved.

This framework should be responsive to the needs of the other five pillars and the ASAL / EDE institutions. Funding requirements will therefore be reviewed during the first six months of implementation as detailed partnerships between this pillar and the others are agreed, resulting in a clearer picture of the actual financing needs.



## 16.8 Results framework

	OVI	MOV	ASSUMPTIONS
<b>GOAL (BY 2022)</b>			
Communities in drought-prone areas are more resilient to drought and other effects of climate change, and the impacts of drought are contained.	<ul style="list-style-type: none"> <li>Number of people requiring food assistance as a result of drought emergencies.</li> </ul>	<ul style="list-style-type: none"> <li>KFSSG food security assessments</li> </ul>	<ul style="list-style-type: none"> <li>Investments made across all pillars of the EDE, and functional links established between the pillars.</li> <li>Alternative sources of finance established and operational, such as the NDCF and ARC, and scalability mechanisms in place.</li> <li>Adequate economic, political and climatic stability.</li> </ul>
	<ul style="list-style-type: none"> <li>% of children under five stunted in each of the 23 most drought-affected counties.</li> </ul>	<ul style="list-style-type: none"> <li>Health sector MIS</li> </ul>	
	<ul style="list-style-type: none"> <li>Value of livestock lost in drought compared with previous drought episodes.</li> </ul>	<ul style="list-style-type: none"> <li>Post-Disaster Needs Assessment</li> </ul>	
	<ul style="list-style-type: none"> <li>Kenya manages drought episodes without recourse to international emergency appeals. (Yes/No)</li> </ul>	<ul style="list-style-type: none"> <li>GoK and UN documents</li> </ul>	
<b>OVERALL PILLAR OUTCOME</b>			
Robust ASAL institutions exist and support EDE investment, policy and programming decisions, based on critical evidence generated by solid knowledge management systems.	<ul style="list-style-type: none"> <li>Operational ASAL development institutions.</li> <li>EDE investments, policies and legal reforms facilitated and appropriately mainstreamed within the Kenya Vision 2030 MTP III.</li> </ul>	<ul style="list-style-type: none"> <li>Operational ASAL institutional framework</li> <li>MTP III for Kenya Vision 2030</li> <li>Progress reports</li> <li>Policy &amp; legal reform documents</li> </ul>	<ul style="list-style-type: none"> <li>Government continues to maintain focus on ASALs and enhances support to ASAL institutions.</li> <li>Sufficient budgetary support and allocation from national and county governments maintained.</li> </ul>
<b>RESULTS</b>			
1. ASAL institutions for EDE established, strengthened and coordinated.	<ul style="list-style-type: none"> <li>Operational ASAL Secretariat, ASF, PPG, NDMA, NDCF, NACONEK, Northern Kenya Investment Fund, Northern Kenya Education Trust, and Livestock Marketing Board.</li> </ul>	<ul style="list-style-type: none"> <li>Reports on operations of the institutions</li> <li>Instruments (including legal) operationalising the institutions</li> </ul>	<ul style="list-style-type: none"> <li>Sufficient budgetary support and allocation from national and county governments maintained.</li> </ul>
2. Knowledge management for EDE evidence-based decision-making and impact assessment in place.	<ul style="list-style-type: none"> <li>Endorsement by national and county political leadership of actions taken.</li> </ul>	<ul style="list-style-type: none"> <li>Assessment reports</li> <li>Evaluation reports</li> <li>Media monitoring</li> </ul>	<ul style="list-style-type: none"> <li>Knowledge is effectively managed for evidence-based decision-making and practice.</li> </ul>
<b>OUTPUTS</b>			
<b>Result 1: ASAL institutions for EDE established, strengthened and coordinated.</b>			
1.1 Priority ASAL development institutions established and/or strengthened.	<ul style="list-style-type: none"> <li>Inter-county drought coordination structures set up and operational.</li> <li>Capacity of county governments on EDE (particularly drought contingency planning, drought risk reduction, resilience building, cross-border and inter-county issues) developed.</li> </ul>	<ul style="list-style-type: none"> <li>Progress reports of ASAL institutions.</li> </ul>	<ul style="list-style-type: none"> <li>EDE is appropriately integrated in planning and resource allocation processes at all levels.</li> </ul>

	OVI	MOV	ASSUMPTIONS
	<ul style="list-style-type: none"> <li>■ Technical assistance available for use by EDE pillar groups.</li> <li>■ ASAL Stakeholder Forum fully functional at the national level and in at least 14 counties.</li> <li>■ ASAL Secretariat operational.</li> <li>■ Pastoralist Parliamentary Group Secretariat established and operational.</li> <li>■ NKIF established and operational.</li> </ul>		
1.2 Management and accountability structures for the EDE operationalised.	<ul style="list-style-type: none"> <li>■ EDE Secretariat established and operational.</li> <li>■ No. of clusters holding EDE inter-county meetings at least once a year.</li> <li>■ Increase in funds allocated to EDE by national government, county governments and development partners.</li> <li>■ No. of invitations for regional IDDRSI meetings made by IGAD to the EDE team.</li> </ul>	<ul style="list-style-type: none"> <li>■ EDE Secretariat reports</li> <li>■ EDE pillar annual reports</li> <li>■ EDE cluster inter-county reports</li> <li>■ IGAD invitation letters</li> <li>■ Printed estimates</li> </ul>	<ul style="list-style-type: none"> <li>■ ASAL coordination structures established and working effectively.</li> </ul>
1.3 Evidence-based policy and legal reforms that facilitate achievement of the EDE goal secured.	<ul style="list-style-type: none"> <li>■ No. of county governments that approve policy and legal frameworks that support achievement of the EDE goal.</li> <li>■ No. of EDE-related policies and legal reforms carried out at the national level.</li> <li>■ Regional policies and legal reforms developed to address cross-border issues.</li> </ul>	<ul style="list-style-type: none"> <li>■ Legal documents</li> <li>■ EDE-related policies finalised</li> <li>■ EDE-related bills debated</li> <li>■ Cross-border policies and legal frameworks</li> </ul>	<ul style="list-style-type: none"> <li>■ ASAL coordination structures established and working effectively.</li> </ul>
1.4 EDE priorities appropriately mainstreamed within the Kenya Vision 2030 MTP III.	<ul style="list-style-type: none"> <li>■ EDE MTP III developed and integrated into the Kenya Vision 2030 MTP III.</li> </ul>	<ul style="list-style-type: none"> <li>■ EDE MTP II progress reports</li> <li>■ EDE MTP III</li> <li>■ CIDPs of the next County Governments</li> </ul>	<ul style="list-style-type: none"> <li>■ EDE is appropriately integrated in planning and resource allocation processes at all levels.</li> </ul>

**Result 2: Knowledge management for EDE decision-making and impact assessment in place.**

2.1 Evidence-based policy and investment choices made by EDE stakeholders at different levels supported.	<ul style="list-style-type: none"> <li>■ Mapping tool developed, operationalised and regularly updated.</li> <li>■ No. / proportion of projects and partners that support EDE implementation identified.</li> <li>■ No. of counties and partners using the online mapping tool.</li> <li>■ No. of EDE research projects underway.</li> <li>■ No. of routine surveys that integrate EDE data and information.</li> </ul>	<ul style="list-style-type: none"> <li>■ Existence of online mapping tool</li> <li>■ Mapping tool reports</li> <li>■ Research reports</li> <li>■ Survey reports</li> <li>■ Project documents</li> <li>■ Evaluation reports</li> <li>■ Advocacy reports</li> </ul>	<ul style="list-style-type: none"> <li>■ Commitment of sectors, counties and development partners to make the necessary investments.</li> <li>■ Stakeholders are committed to knowledge-sharing.</li> </ul>
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	OVI	MOV	ASSUMPTIONS
	<ul style="list-style-type: none"> <li>■ No. of partners using EDE knowledge management platforms.</li> <li>■ No. of individuals / institutions reached through capacity development programme, disaggregated by gender.</li> <li>■ No. of EDE strategies / plans implemented by drawing on new capacities.</li> <li>■ No. of individuals / institutions using materials provided through this framework as evidence for advocacy.</li> </ul>		
2.2 Impact of Kenya's progress towards the 10-year EDE goal assessed.	<ul style="list-style-type: none"> <li>■ EDE M&amp;E framework and system (MIS) agreed and in place.</li> <li>■ All the baseline data for the M&amp;E framework provided, and disaggregated by gender where appropriate.</li> <li>■ No. of stakeholders able to carry out impact pathway analysis and outcome mapping.</li> <li>■ No. of EDE programme evaluation and impact assessments carried out.</li> <li>■ No. of EDE implementing partners making use of information generated through the M&amp;E framework.</li> <li>■ No. of published materials documenting EDE progress and lessons learned.</li> <li>■ No. of joint M&amp;E missions made</li> </ul>	<ul style="list-style-type: none"> <li>■ M&amp;E reports</li> <li>■ MIS reports</li> <li>■ Progress reports</li> </ul>	<ul style="list-style-type: none"> <li>■ M&amp;E system in place.</li> </ul>
2.3 Public and stakeholder awareness of, and identification with, the EDE agenda increased, and wider understanding built of the conditions necessary to achieve drought resilience in Kenya.	<ul style="list-style-type: none"> <li>■ Public relations strategy for EDE developed and implemented.</li> <li>■ A strategy for citizen engagement with the EDE developed and implemented.</li> <li>■ Sensitization on EDE carried out at national and county levels.</li> </ul>	<ul style="list-style-type: none"> <li>■ EDE public relations strategy document</li> <li>■ Document on the strategy for citizen engagement with EDE</li> <li>■ Sensitisation materials such as brochures, and possibly EDE website</li> </ul>	<ul style="list-style-type: none"> <li>■ Sustained commitment to EDE goals through the political transition in 2017/18.</li> </ul>

## 16.9 Budget, 2014-2018

BRIEF DESCRIPTION OF PROGRAMMES / ACTIVITIES		TOTAL BUDGET KSHS. M	FUNDS SECURED	SOURCE OF SECURED FUNDS	SHORTFALL KSHS. M
<b>INSTITUTIONAL DEVELOPMENT</b>					
<b>Output 1.1: Priority ASAL development institutions established and/or strengthened.</b>					
Promote and coordinate the provision of institutional capacity development for ASAL institutions.	Coordinate capacity assessments and development for key ASAL institutions. ASF 20m pa; ASAL Sec 10m pa; PPG 10m pa; NDMA / NDCF 30m pa; completion of NKIF design 15m.	400	40	DFID, KRDP, PPG membership	360
Promote and coordinate the provision of institutional capacity development for county governments.	Undertake capacity development of county governments for EDE and particularly in drought contingency planning, disaster risk reduction and response, resilience-building, inter-county and cross-border issues. Three trainings per county per year @ Kshs. 2.5m.	690	62.4	ECHO - DLCI, UNDP DDC, CARE*, WFP (pending)	627.6
Provide technical assistance to other EDE pillars assisting sector-specific ASAL institutions.	Needs-based technical assistance available to other pillars to access.	100	-	-	100
<b>Output 1.2: Management and accountability structures for the EDE operationalised.</b>					
Establish an EDE Secretariat within the NDMA.	Equipping and providing operational funds for the EDE Secretariat, including two Technical Assistants.	168	7	EU KRDP	161
Develop and facilitate inter-county structures for the EDE.	Liaise with county governments to set up inter-county structures. Facilitate operations of the inter-county structures (clusters) - up to three cluster meetings per year.	120	15	EU SHARE (FAO), EU KRDP	105
Maintain an overview of resource requirements for the EDE and facilitate coordinated resource mobilisation.	Oversight of EDE financing needs through the regular coordination functions, done with existing staff time.	-	-		0
Engage effectively with IGAD's IDDRSI platform.	Participation in IDDRSI meetings, particularly by the NDMA.	8	-	DLCI?	8

BRIEF DESCRIPTION OF PROGRAMMES / ACTIVITIES	TOTAL BUDGET KSHS. M	FUNDS SECURED	SOURCE OF SECURED FUNDS	SHORTFALL KSHS. M	
<b>Output 1.3: Evidence-based policy and legal reforms that facilitate achievement of the EDE goal secured.</b>					
Provide coordinated technical assistance to the county governments in developing policy & legal frameworks for EDE at the county level.	Technical assistance, technical meetings at county level, stakeholder consultations.	150	25.8	CARE*, DLCI?	124.2
Lead processes of policy and legal reform that are specific to the agenda of this framework or that concern the EDE as a whole.	Funding of the policy formulation processes, particularly stakeholder consultations.	28	8	EU KRDP	20
Pursue regional-level initiatives in collaboration with IGAD and other partners that address cross-border challenges and opportunities.	Cross-border policy and legal reforms.	28	-	IGAD?	28
<b>Output 1.4: EDE priorities appropriately mainstreamed within the Kenya Vision 2030 MTP III.</b>					
Develop the EDE MTP III.	National and county stakeholder consultations.	20	-		20
<b>Sub-total Institutional Development</b>		<b>1,712</b>	<b>158.2</b>		<b>1,553.8</b>
<b>KNOWLEDGE MANAGEMENT</b>					
<b>Output 2.1: Evidence-based policy and investment choices made by EDE stakeholders at different levels supported.</b>					
Mapping & analysis of relevant projects & stakeholders	Data collection, analysis and dissemination using the mapping tool, including domestication of the tool to the counties and constant updating.	40	-	EU SHARE (FAO)?	40
Demand-driven action research programme to generate evidence for decision-makers.	Identification of research needs, carrying out of research and disseminating results in partnership with research institutions.	200	-	DLCI; Technical Consortium; ADA Consortium?	200
Reviewing and informing existing national and regional surveys.	Direct engagement with those responsible for surveys, largely done with existing staff time.	4	-		4
Develop EDE knowledge-sharing platforms and systems.	Knowledge sharing platforms.	8	-		8
Develop and implement advocacy interventions that support policy and institutional reform.	Advocacy activities.	6	1.76	DLCI/USAID?	4.24

	<b>BRIEF DESCRIPTION OF PROGRAMMES / ACTIVITIES</b>	<b>TOTAL BUDGET KSHS. M</b>	<b>FUNDS SECURED</b>	<b>SOURCE OF SECURED FUNDS</b>	<b>SHORTFALL KSHS. M</b>
Implement a capacity development strategy that supports achievement of the EDE goals.	Met by other budget lines.	-	-		0
Provide evidence and technical support to the development of the EDE MTP III	Technical support for development of EDE MTP III, such as consolidation of evidence and lessons.	10	-		10

**Output 2.2: Impact of Kenya's progress towards the 10-year EDE goal assessed.**

Participatory identification of resilience impact indicators, progress markers or intermediate development outcomes and impact pathways.	Stakeholder consultative meetings.	15	3.5	ECHO, UNDP DDC?	11.5
Scoping of data requirements for baseline indicators.	Technical assistance to consolidate secondary data against the pillar results frameworks, and field surveys where necessary.	6	-	EU SHARE (FAO)?	6
Capacity development on impact pathway analysis and outcome mapping.	Capacity building and provision of necessary tools at national and county levels.	30	-	ECHO, UNDP DDC?	30
Comprehensive EDE programme evaluation and impact assessment at appropriate intervals	Two evaluation exercises (mid-term and end-term).	50	-		50
Develop and implement a MIS for the EDE M&E.	Developing (4m), rolling out (7m) and implementing (12m) MIS for the EDE M&E both at national and county levels.	23	-		23
Facilitate joint M&E missions of EDE interventions.	Joint missions organized by the EDE Steering Committee - 4 per year.	64	-	ECHO, UNDP DDC?	64

**Output 2.3: Public and stakeholder awareness of, and identification with, the EDE agenda increased, and wider understanding built of the conditions necessary to achieve drought resilience in Kenya.**

Design and implement a public relations strategy for the EDE	Technical assistance and stakeholder consultations. Implementation of the strategy will involve media briefings, press releases and hiring a suitable PR officer.	40	-		40
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	<b>BRIEF DESCRIPTION OF PROGRAMMES / ACTIVITIES</b>	<b>TOTAL BUDGET KSHS. M</b>	<b>FUNDS SECURED</b>	<b>SOURCE OF SECURED FUNDS</b>	<b>SHORTFALL KSHS. M</b>
Develop a strategy for citizen engagement with the EDE	Stakeholder consultations and technical assistance. Major contribution would be through the ASAL Stakeholder Forum, already covered above.	7	-	Danida, DLCI, IGAD?	7
Carry out further sensitisation and outreach within the counties	Stakeholder sensitisation, including materials such as brochures and possibly EDE website.	90	13.9	CARE	76.1
<b>Sub-total Institutional Development</b>		<b>593</b>	<b>19.16</b>		<b>573.84</b>
<b>TOTAL</b>		<b>2,305</b>	<b>177.36</b>		<b>2,127.64</b>

DLCI / DFID: possibly Kshs. 54.3m over 3 years as part of Mercy Corps consortium.

CARE/USAID/DANIDA: Possibly Kshs. 57.1 m over 3 years through USAID and DANIDA funding ( \* subject to confirmation of funding)

# Annex 1

## Results framework

	OVI	MOV	ASSUMPTIONS
<b>GOAL (BY 2022)</b>			
A secure, just and prosperous region where people achieve their full potential and enjoy a high quality of life.	<ul style="list-style-type: none"> <li>Selected human development indicators.</li> </ul>		
<b>OVERALL OUTCOME</b>			
Communities in drought-prone areas are more resilient to drought and other effects of climate change, and the impacts of drought are contained.	<ul style="list-style-type: none"> <li>Number of people requiring food assistance as a result of drought emergencies.</li> </ul>	<ul style="list-style-type: none"> <li>KFSSG food security assessments</li> </ul>	<ul style="list-style-type: none"> <li>Investments made across all pillars of the EDE, and functional links established between the pillars.</li> <li>Alternative sources of finance established and operational, such as the NDCF and ARC, and scalability mechanisms in place.</li> <li>Adequate economic, political and climatic stability.</li> </ul>
	<ul style="list-style-type: none"> <li>% of children under five stunted in each of the 23 most drought-affected counties.</li> </ul>	<ul style="list-style-type: none"> <li>Health sector MIS</li> </ul>	
	<ul style="list-style-type: none"> <li>Value of livestock lost in drought compared with previous drought episodes.</li> </ul>	<ul style="list-style-type: none"> <li>Post-Disaster Needs Assessment</li> </ul>	
	<ul style="list-style-type: none"> <li>Kenya manages drought episodes without recourse to international emergency appeals. (Yes/No)</li> </ul>	<ul style="list-style-type: none"> <li>GoK and UN documents</li> </ul>	
<b>RESULTS</b>			
1. Effective response to peace and security threats in ASAL counties by a strengthened peace and security infrastructure.	<ul style="list-style-type: none"> <li>No. of deaths from violent conflicts in ASAL counties, disaggregated by gender and age.</li> </ul>	<ul style="list-style-type: none"> <li>Police records</li> </ul>	<ul style="list-style-type: none"> <li>Sufficient resources to support a robust peace infrastructure.</li> </ul>
	<ul style="list-style-type: none"> <li>No. of illicit small arms in circulation in ASAL counties.</li> </ul>	<ul style="list-style-type: none"> <li>National Arms Survey</li> </ul>	<ul style="list-style-type: none"> <li>Adequate political will to support disarmament.</li> </ul>
	<ul style="list-style-type: none"> <li>No. of incidents of livestock theft.</li> </ul>	<ul style="list-style-type: none"> <li>Police records</li> </ul>	<ul style="list-style-type: none"> <li>Effective community policing framework.</li> </ul>
2. The deficit of climate-proofed productive infrastructures and their maintenance identified, planned and progressively addressed in a coordinated and comprehensive manner at national, county and community level.	<ul style="list-style-type: none"> <li>% climate-proofed infrastructure projects completed with reference to consolidated CIDPs.</li> </ul>	<ul style="list-style-type: none"> <li>County annual reports and other data</li> </ul>	<ul style="list-style-type: none"> <li>Continued commitment from the national government, county governments and donors to enhance investment in the foundations for development and implement the EDE MTP.</li> </ul>
	<ul style="list-style-type: none"> <li>% contribution of agricultural cess to county revenue.</li> </ul>	<ul style="list-style-type: none"> <li>County economic data</li> </ul>	
	<ul style="list-style-type: none"> <li>Quantity of safe drinking water available to households per day during dry season.</li> </ul>	<ul style="list-style-type: none"> <li>Drought and food security assessments</li> </ul>	

	OVI	MOV	ASSUMPTIONS
3. A more healthy, skilled, innovative, resourceful and motivated human capital in the ASALs.	<ul style="list-style-type: none"> <li>■ % increase in public officers retained in ASAL counties for three years or more, disaggregated by gender.</li> </ul>	<ul style="list-style-type: none"> <li>■ HRH surveys and TSC data</li> <li>■ Routine county monitoring</li> </ul>	<ul style="list-style-type: none"> <li>■ Rate of attrition in public sector positions is matched by successful recruitment.</li> <li>■ Effective interventions by other EDE pillars lead to increase in formal or informal employment opportunities in ASALs.</li> </ul>
	<ul style="list-style-type: none"> <li>■ % schools achieving national target for teacher/pupil ratios at primary and secondary levels.</li> </ul>	<ul style="list-style-type: none"> <li>■ TSC Annual Reports</li> <li>■ Routine county monitoring</li> </ul>	
	<ul style="list-style-type: none"> <li>■ Increase in private sector employment opportunities.</li> </ul>	<ul style="list-style-type: none"> <li>■ Economic surveys</li> </ul>	
	<ul style="list-style-type: none"> <li>■ % increase in students from ASAL counties entering public universities, disaggregated by gender.</li> </ul>	<ul style="list-style-type: none"> <li>■ Transition rate</li> </ul>	
4. Enhanced resilience of ASAL livelihoods to the effects of drought and climate change.	<ul style="list-style-type: none"> <li>■ % improvement in resilience score.</li> </ul>	<ul style="list-style-type: none"> <li>■ Resilience analysis reports</li> </ul>	<ul style="list-style-type: none"> <li>■ Other priority areas under the EDE are given sufficient attention.</li> </ul>
	<ul style="list-style-type: none"> <li>■ % improvement in long-term household food security.</li> </ul>		
5. Institutions, mechanisms and capacities that build resilience to drought and climate change developed and strengthened.	<ul style="list-style-type: none"> <li>■ No. of county governments demonstrating increased responsiveness to drought risks.</li> </ul>	<ul style="list-style-type: none"> <li>■ CIDPs / county budgets</li> <li>■ County-specific risk reduction mechanisms (funds, insurance)</li> <li>■ Evaluation reports</li> </ul>	<ul style="list-style-type: none"> <li>■ Government continues to prioritise EDE as a foundation for national transformation within Kenya Vision 2030.</li> <li>■ NDMA receives sufficient budgetary support from the national government.</li> <li>■ Agreed GoK counterpart funding to projects provided.</li> </ul>
	<ul style="list-style-type: none"> <li>■ Proportion of stakeholders reporting satisfaction with the leadership and coordination role of the NDMA.</li> </ul>	<ul style="list-style-type: none"> <li>■ Stakeholder surveys</li> <li>■ Evaluation reports</li> </ul>	
6. Robust ASAL institutions exist and support EDE investment, policy and programming decisions, based on critical evidence generated by solid knowledge management systems.	<ul style="list-style-type: none"> <li>■ Operational ASAL development institutions.</li> </ul>	<ul style="list-style-type: none"> <li>■ Operational ASAL institutional framework</li> <li>■ MTP III for Kenya Vision 2030</li> <li>■ Progress reports</li> <li>■ Policy &amp; legal reform documents</li> </ul>	<ul style="list-style-type: none"> <li>■ Government continues to maintain focus on ASALs and enhances support to ASAL institutions.</li> <li>■ Sufficient budgetary support and allocation from national and county governments maintained.</li> </ul>
	<ul style="list-style-type: none"> <li>■ EDE investments, policies and legal reforms facilitated and appropriately mainstreamed within the Kenya Vision 2030 MTP III.</li> </ul>		

## OUTPUTS

### Result 1: Effective response to peace and security threats in ASAL counties by a strengthened peace and security infrastructure.

1.1 Peace infrastructure to respond to conflicts and security risks enhanced.	<ul style="list-style-type: none"> <li>■ Ratio of police to population (UN standards).</li> </ul>	<ul style="list-style-type: none"> <li>■ National Peace Index</li> </ul>	<ul style="list-style-type: none"> <li>■ Adequate resources to support operationalisation.</li> </ul>
	<ul style="list-style-type: none"> <li>■ Time lapse between incident and response.</li> </ul>	<ul style="list-style-type: none"> <li>■ NCEWERS</li> </ul>	
1.2 Inter-community conflicts and security risks reduced.	<ul style="list-style-type: none"> <li>■ No. of conflicts reported.</li> </ul>	<ul style="list-style-type: none"> <li>■ NCEWERS / stakeholder reports</li> </ul>	<ul style="list-style-type: none"> <li>■ ADR framework fully operational.</li> </ul>
	<ul style="list-style-type: none"> <li>■ No. of conflicts addressed.</li> </ul>	<ul style="list-style-type: none"> <li>■ Monitoring reports</li> </ul>	

	OVI	MOV	ASSUMPTIONS
1.3 Peace-building and community security mainstreamed in development agenda.	■ No. of counties with peace and security plans.	■ CIDPs	■ Political will by counties to address conflicts.
	■ No. of counties with County Policing Authorities.	■ Reports / Minutes / Plans	
<b>Result 2: The deficit of climate-proofed productive infrastructures and their maintenance identified, planned and progressively addressed in a coordinated and comprehensive manner at national, county and community levels.</b>			
2.1 Prioritisation of national infrastructure projects in ASALs improved.	■ % national infrastructure projects engaged.	■ National plans and printed estimates	<ul style="list-style-type: none"> <li>■ Macro-economic stability and growth that enables government to finance flagship projects.</li> <li>■ Effective links with development partners' national infrastructure programmes</li> </ul>
	■ % national infrastructure projects adequately funded.	■ National plans and printed estimates	
2.2 Standard guidelines for climate-proofed design of ASAL infrastructure completed and integrated in current and future infrastructure projects at community, county and national levels.	■ Guidelines available and in use at all levels.	<ul style="list-style-type: none"> <li>■ County annual reports</li> <li>■ M&amp;E reports</li> </ul>	■ Acceptance and full ownership of the agreed guidelines at all levels and commitment to apply and maintain them.
2.3 County capacity to plan, contract and supervise implementation of climate-proofed infrastructure is progressively built.	■ % county infrastructure projects selected for funding out of the number submitted.	■ County annual work plans and budgets	■ County management procedures enable the retention of staff capacity.
	■ Proportion of counties given top rating in terms of definition and prioritisation of county infrastructure strategic planning.	■ M&E reports	■ Commitment to maintain tools and critical mass of competencies.
2.4 County capacity for infrastructure operation and maintenance is progressively built.	■ % county infrastructure completed on time compared with initial plans.	■ County annual reports	<ul style="list-style-type: none"> <li>■ Adequate political will at county level to enforce transparency in contract management.</li> <li>■ Effective links with county public financial management programme.</li> <li>■ Contractor capacity is not compromised by county aspiration towards affirmative action in contracting.</li> </ul>
	■ Consolidated amount of claims / number of stalled projects.	■ Periodic surveys	
	■ % projects with functional O&M arrangements.	■ M&E reports	
2.5 The deficit of county climate-proofed productive infrastructure is progressively addressed in a coordinated and comprehensive manner.	■ % infrastructure projects covered as per yearly consolidated plan.	<ul style="list-style-type: none"> <li>■ Sector annual reports</li> <li>■ County annual reports</li> </ul>	<ul style="list-style-type: none"> <li>■ Funding remains predictable despite unsynchronised funding cycles of development partners.</li> <li>■ Counterpart contribution from government remains effective.</li> </ul>

	OVI	MOV	ASSUMPTIONS
<b>Result 3: A more healthy, skilled, innovative, resourceful and motivated human capital in the ASALs.</b>			
3.1 The capacity and number of appropriately trained and experienced professionals working in ASAL counties increased.	<ul style="list-style-type: none"> <li>% increase in recruited and trained professionals in ASAL counties, disaggregated by gender.</li> </ul>	<ul style="list-style-type: none"> <li>Newspaper adverts</li> <li>Skills surveys</li> <li>Establishment records</li> <li>HRH records &amp; surveys</li> </ul>	<ul style="list-style-type: none"> <li>Working conditions in the ASALs continue to improve through investments by other pillars (security, infrastructure).</li> <li>Interested applicants take advantage of these improving conditions.</li> <li>Employment freeze is lifted.</li> </ul>
3.2 Alternative interventions and emerging technologies in the provision of health, nutrition, WASH and education services integrated into current systems.	<ul style="list-style-type: none"> <li>% increase in access to basic services (education, health, nutrition), disaggregated by gender.</li> </ul>	<ul style="list-style-type: none"> <li>Routine county monitoring</li> </ul>	<ul style="list-style-type: none"> <li>Connectivity in ASALs continues to improve.</li> </ul>
3.3 The demand for equitable and quality health, nutrition, WASH and education services increased through community education and empowerment.	<ul style="list-style-type: none"> <li>% increase in primary &amp; secondary enrolment, disaggregated by gender.</li> <li>% increase in attendance at health facilities, disaggregated by gender.</li> </ul>	<ul style="list-style-type: none"> <li>GER, NER</li> <li>Routine county reporting</li> </ul>	<ul style="list-style-type: none"> <li>Other result areas under this pillar are successful in expanding access to quality services.</li> </ul>
<b>Result 4: Resilience of ASAL livelihoods to the effects of drought and climate change enhanced.</b>			
4.1 Increased income from, and consumption of, livestock and livestock products.	<ul style="list-style-type: none"> <li>% improvement in economic gains from livestock.</li> <li>% decrease in incidence of malnutrition.</li> </ul>	<ul style="list-style-type: none"> <li>Household economic surveys</li> <li>Nutrition surveys</li> </ul>	<ul style="list-style-type: none"> <li>Livestock remain an important component of livelihoods in ASALs, even for middle-and low-income households, as well as for households engaged in crop production.</li> </ul>
4.2 Improved management of water, crops and rangeland resources.	<ul style="list-style-type: none"> <li>% improvement in economic gains from natural resources.</li> </ul>	<ul style="list-style-type: none"> <li>Household economic surveys</li> </ul>	<ul style="list-style-type: none"> <li>National and county government commitment to improved natural resource management.</li> </ul>
<b>Result 5: Institutions, mechanisms and capacities that build resilience to drought and climate change developed and strengthened.</b>			
5.1 Drought risk reduction, climate change adaptation and social protection measures integrated into development policies, plans, budgets and activities at national and county levels.	<ul style="list-style-type: none"> <li>Adoption of planning tools that mainstream DRR/CCA/SP by national and county governments.</li> <li>Increase in funds allocated to DRR/CCA/SP by government and development partners.</li> </ul>	<ul style="list-style-type: none"> <li>Sector plans</li> <li>CIDPs</li> <li>Printed estimates</li> <li>Resilience investment database</li> </ul>	<ul style="list-style-type: none"> <li>Commitment of the sectors and counties to make the necessary investments and support EDE.</li> <li>Evidence of benefits, including economic, of investing in risk reduction.</li> </ul>

	OVI	MOV	ASSUMPTIONS
5.2 Drought, climate and socio-economic information facilitates concerted and timely action by relevant stakeholders at county, national and regional levels.	<ul style="list-style-type: none"> <li>■ No. of stakeholders acting on information provided through the early warning system.</li> </ul>	<ul style="list-style-type: none"> <li>■ Stakeholder proposals and reports</li> </ul>	<ul style="list-style-type: none"> <li>■ Stakeholder confidence is built and maintained in the quality of the early warning system.</li> <li>■ Information is effectively packaged and disseminated according to user needs.</li> </ul>
	<ul style="list-style-type: none"> <li>■ Level of satisfaction among users of the information provided.</li> </ul>	<ul style="list-style-type: none"> <li>■ User surveys</li> </ul>	
5.3 Scalability and response mechanisms ensure timely and well-coordinated assistance to drought-affected populations.	<ul style="list-style-type: none"> <li>■ Financing made available within 20 days of application to NDCF.</li> </ul>	<ul style="list-style-type: none"> <li>■ NDCF MIS</li> </ul>	<ul style="list-style-type: none"> <li>■ NDCF established and operational.</li> <li>■ Commitment of sectors, counties and development partners to make the necessary investments.</li> </ul>
	<ul style="list-style-type: none"> <li>■ Proportion of programme plans and budgets that integrate mechanisms for scalability in response to drought conditions.</li> </ul>	<ul style="list-style-type: none"> <li>■ Monitoring and evaluation reports</li> </ul>	
	<ul style="list-style-type: none"> <li>■ Proportion of stakeholders working within agreed coordination structures.</li> </ul>	<ul style="list-style-type: none"> <li>■ Resilience investment database</li> </ul>	
5.4 Institutional and legal frameworks for drought risk reduction, climate change adaptation & social protection exist at all levels with adequate capacity.	<ul style="list-style-type: none"> <li>■ No. of multi-sectoral / multi-stakeholder platforms in place at national and county levels.</li> </ul>	<ul style="list-style-type: none"> <li>■ Reports from coordination structures</li> </ul>	<ul style="list-style-type: none"> <li>■ Political commitment to devolution is sustained.</li> <li>■ ASAL coordination structures established and working effectively.</li> <li>■ Support from EDE Pillar 6.</li> </ul>
	<ul style="list-style-type: none"> <li>■ No. of counties with policy and legal frameworks in place that support achievement of the EDE goal.</li> </ul>	<ul style="list-style-type: none"> <li>■ Legal documents</li> </ul>	
5.5 Knowledge is effectively managed to ensure evidence-based decision-making and practice.	<ul style="list-style-type: none"> <li>■ Endorsement by national and county political leadership of actions taken.</li> </ul>	<ul style="list-style-type: none"> <li>■ Assessment reports</li> <li>■ Evaluation reports</li> <li>■ Media monitoring</li> </ul>	<ul style="list-style-type: none"> <li>■ Stakeholders are committed to knowledge-sharing.</li> </ul>

**Result 6: Robust ASAL institutions exist and support EDE investment, policy and programming decisions, based on critical evidence generated by solid knowledge management systems.**

6.1 Priority ASAL development institutions established and/or strengthened.	<ul style="list-style-type: none"> <li>■ Inter-county drought coordination structures set up and operational.</li> <li>■ Capacity of county governments on EDE (particularly drought contingency planning, drought risk reduction, resilience building, cross-border and inter-county issues) developed.</li> <li>■ Technical assistance available for use by EDE pillar groups.</li> <li>■ ASAL Stakeholder Forum fully functional at the national level and in at least 14 counties.</li> <li>■ ASAL Secretariat operational.</li> <li>■ Pastoralist Parliamentary Group Secretariat established and operational.</li> <li>■ Northern Kenya Investment Fund established and operational.</li> </ul>	<ul style="list-style-type: none"> <li>■ Progress reports of ASAL institutions.</li> </ul>	<ul style="list-style-type: none"> <li>■ EDE is appropriately integrated in planning and resource allocation processes at all levels.</li> </ul>
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	OVI	MOV	ASSUMPTIONS
6.2 Management and accountability structures for the EDE operationalised.	<ul style="list-style-type: none"> <li>■ EDE Secretariat established and operational.</li> <li>■ No. of clusters holding EDE inter-county meetings at least once a year.</li> <li>■ Increase in funds allocated to EDE by national government, county governments and development partners.</li> <li>■ No. of invitations for regional IDDRSI meetings made by IGAD to the EDE team.</li> </ul>	<ul style="list-style-type: none"> <li>■ EDE Secretariat reports</li> <li>■ EDE pillar annual reports</li> <li>■ EDE cluster inter-county reports</li> <li>■ IGAD invitation letters</li> <li>■ Printed estimates</li> </ul>	<ul style="list-style-type: none"> <li>■ ASAL coordination structures established and working effectively.</li> </ul>
6.3 Evidence-based policy and legal reforms that facilitate achievement of the EDE goal secured.	<ul style="list-style-type: none"> <li>■ No. of county governments that approve policy and legal frameworks that support achievement of the EDE goal.</li> <li>■ No. of EDE-related policies and legal reforms carried out at the national level.</li> <li>■ Regional policies and legal reforms developed to address cross-border issues.</li> </ul>	<ul style="list-style-type: none"> <li>■ Legal documents</li> <li>■ EDE-related policies finalised</li> <li>■ EDE-related bills debated</li> <li>■ Cross-border policies and legal frameworks</li> </ul>	<ul style="list-style-type: none"> <li>■ ASAL coordination structures established and working effectively.</li> </ul>
6.4 EDE priorities appropriately mainstreamed within the Kenya Vision 2030 MTP III.	<ul style="list-style-type: none"> <li>■ EDE MTP III developed and integrated into the Kenya Vision 2030 MTP III.</li> </ul>	<ul style="list-style-type: none"> <li>■ EDE MTP II progress reports</li> <li>■ EDE MTP III</li> <li>■ CIDPs of the next County Governments</li> </ul>	<ul style="list-style-type: none"> <li>■ EDE is appropriately integrated in planning and resource allocation processes at all levels.</li> </ul>
6.5 Evidence-based policy and investment choices made by EDE stakeholders at different levels supported.	<ul style="list-style-type: none"> <li>■ Mapping tool developed, operationalised and regularly updated.</li> <li>■ No. / proportion of projects and partners that support EDE implementation identified.</li> <li>■ No. of counties and partners using the online mapping tool.</li> <li>■ No. of EDE research projects underway.</li> <li>■ No. of routine surveys that integrate EDE data and information.</li> <li>■ No. of partners using EDE knowledge management platforms.</li> <li>■ No. of individuals / institutions reached through capacity development programme, disaggregated by gender.</li> <li>■ No. of EDE strategies / plans implemented by drawing on new capacities.</li> <li>■ No. of individuals / institutions using materials provided through this framework as evidence for advocacy.</li> </ul>	<ul style="list-style-type: none"> <li>■ Existence of online mapping tool</li> <li>■ Mapping tool reports</li> <li>■ Research reports</li> <li>■ Survey reports</li> <li>■ Project documents</li> <li>■ Evaluation reports</li> <li>■ Advocacy reports</li> </ul>	<ul style="list-style-type: none"> <li>■ Commitment of sectors, counties and development partners to make the necessary investments.</li> <li>■ Stakeholders are committed to knowledge-sharing.</li> </ul>

	OVI	MOV	ASSUMPTIONS
6.6 Impact of Kenya's progress towards the 10-year EDE goal assessed.	<ul style="list-style-type: none"> <li>■ EDE M&amp;E framework and system (MIS) agreed and in place.</li> <li>■ All the baseline data for the M&amp;E framework provided, and disaggregated by gender where appropriate.</li> <li>■ No. of stakeholders able to carry out impact pathway analysis and outcome mapping.</li> <li>■ No. of EDE programme evaluation and impact assessments carried out.</li> <li>■ No. of EDE implementing partners making use of information generated through the M&amp;E framework.</li> <li>■ No. of published materials documenting EDE progress and lessons learned.</li> <li>■ No. of joint M&amp;E missions made.</li> </ul>	<ul style="list-style-type: none"> <li>■ M&amp;E reports</li> <li>■ MIS reports</li> <li>■ Progress reports</li> </ul>	<ul style="list-style-type: none"> <li>■ M&amp;E system in place.</li> </ul>
6.7 Public and stakeholder awareness of, and identification with, the EDE agenda increased, and wider understanding built of the conditions necessary to achieve drought resilience in Kenya.	<ul style="list-style-type: none"> <li>■ Public relations strategy for EDE developed and implemented.</li> <li>■ A strategy for citizen engagement with the EDE developed and implemented.</li> <li>■ Sensitization on EDE carried out at national and county levels.</li> </ul>	<ul style="list-style-type: none"> <li>■ EDE public relations strategy document</li> <li>■ Document on the strategy for citizen engagement with EDE</li> <li>■ Sensitisation materials such as brochures, and possibly EDE website</li> </ul>	<ul style="list-style-type: none"> <li>■ Sustained commitment to EDE goals through the political transition in 2017/18.</li> </ul>

# Annex 2: Statement of Intent

## Contributing to a Common Programme Framework to End Drought Emergencies by 2022

### Goal

To progressively realise the rights of Kenyans to be free from hunger and from the suffering caused by drought by transforming its management in Kenya.

### Purpose

To mobilise, align and coordinate all resources to end drought emergencies by agreeing, and contributing to, a common programme framework that will operationalise the EDE Medium Term Plan and serve the County Integrated Development Plans in ending drought emergencies in Kenya by 2022.

### Statement of intent

We, the Government of Kenya and Development Partners:

- Recognise that ending drought emergencies requires a multi-sectoral and programmatic approach that: (i) mobilises and aligns resources from the national government, county governments, development partners and the private sector against targeted and coordinated interventions, (ii) reinforces the objectives of devolution set out in the Constitution of Kenya 2010, and (iii) addresses the structural causes of vulnerability through civic education and political engagement.
- Pledge to meaningfully contribute through alignment, including contributions to joint programmes that address EDE.
- Collectively agree to refer to, and use, the situation analysis, the response strategy, the institutional and coordination arrangements, and the monitoring and evaluation system adopted by each pillar of the EDE Common Programme Framework.
- Confirm that our support to the EDE Common Programme Framework will be in accordance with, and support, the objectives and principles of devolution.
- Commit to strengthening inter-county collaboration and reciprocity, particularly over the management and use of shared resources.
- Agree to periodically review and improve the EDE Common Programme Framework until the objectives of the Vision 2030 Development Strategy for Northern Kenya and other Arid Lands, of the ASAL Policy and of the EDE MTP are met.

### Signatories:

National Government -

County Governments -

Development Partners -

## Background

In 2011, the Heads of State and Government of the IGAD region and their development partners pledged to plan, harmonise and mobilise resources in order to end drought emergencies. In Kenya, EDE planning is anchored in the National Policy for the Sustainable Development of Northern Kenya and other Arid Lands (the ASAL Policy) and the Vision 2030 Development Strategy for Northern Kenya and other Arid Lands, in Kenya Vision 2030 (and specifically the EDE Medium Term Plan (MTP) II for 2013-17), and more recently in the County Integrated Development Plans (CIDPs).

As clearly underlined by the Post-Disaster Needs Assessment of the 2008-11 drought period, ending drought emergencies requires a multi-sectoral approach in which early response and protection are integral parts of a local growth model. The multi-sectoral nature of the EDE is illustrated by its six intervention pillars, which complement national sector policies by addressing specific ASAL priorities while also supporting the growth and protection strategies of the CIDPs.

Development partners working in the ASALs for many years have realised that a project approach focused on a specific sector or sub-sector and on a narrow geographical area will have limited impact in ending drought emergencies if it is not integrated within a comprehensive and multi-sectoral strategy.

Against this background, the Government-Development Partners ASAL coordination group decided to develop a Common Programme Framework to End Drought Emergencies against which resources from the national government, the county governments, development partners and the private sector could be aligned, and joint support programmes could be developed with those partners able to contribute to such an implementation arrangement.

The Common Programme Framework recognises the entitlements and opportunities with regard to EDE created by the Constitution of Kenya 2010, particularly through devolution. It provides an institutional framework through which all actors can coordinate and align their investments and activities, and through which joint programmes can be implemented. It is also integrated with, and will support, IGAD's Drought Disaster Resilience and Sustainability Initiative (IDDRSI), and other cross-border initiatives relevant to its goals.

# Annex 3: Summary of the programme development process

The EDE Common Programme Framework was developed between October 2013 and August 2014. A working group was established for each pillar of the EDE MTP, chaired by the relevant government ministry or agency and co-chaired by a development partner (Table 14). Membership of the groups was open to both state and non-state actors; invitations were extended to the principal civil society networks operating in the ASALs. A Steering Group was then constituted, made up of the chairs and co-chairs of each working group, which led the process under the chairmanship of the NDMA.

A critical part of the process was dialogue with the county governments, since the EDE MTP II had been finalised prior to the start of devolution. Three phases of consultation were held. The first meetings in November/December 2013 reviewed the level of alignment between the new CIDPs and the EDE MTP. The second meetings in April 2014 discussed the

first drafts of the common programme frameworks. The third meetings in July 2014 discussed the operational details of the frameworks, including their institutional arrangements and budgets and the Statement of Intent. Table 15 summarises the key features of these meetings.

After the April 2014 meetings the EDE focal points in the counties were asked to provide further information about their budget allocations, monitoring indicators and future plans. However, further consultation, sensitisation and joint planning with the county governments will be necessary, particularly in ensuring that all sectors and planners are reached, and will be supported in part through the interventions under the sixth pillar.

The ASAL donor group was regularly briefed on the progress of the common programming process during its meetings.

Table 36: Pillar leadership

PILLAR	GOVERNMENT LEAD	DEVELOPMENT PARTNER CO-LEAD
Peace and security	Ministry of Interior and Coordination of National Government: Peace Building and Conflict Management Secretariat	United Nations Development Programme (UNDP)
Climate-proofed infrastructure	Ministry of Environment, Water and Natural Resources	European Union
Human capital	Ministry of Education, Science and Technology / Ministry of Health	United Nations Children's Fund (UNICEF)
Sustainable livelihoods	Ministry of Agriculture, Livestock and Fisheries: State Department of Livestock	Food and Agriculture Organisation (FAO)
Drought risk management	Ministry of Devolution and Planning: National Drought Management Authority	World Food Programme (WFP)
Institutional development and knowledge management	Ministry of Devolution and Planning: National Drought Management Authority	Drylands Learning and Capacity Building Initiative (DLCI)

Table 37: County consultations

DATE	LOCATION	COUNTIES REPRESENTED	SUPPORTED BY
<b>Phase 1: November/December 2013</b>			
26/27 November	Lodwar	Turkana, West Pokot, Baringo	FAO
26/27 November	Isiolo	Marsabit, Samburu, Isiolo, Laikipia	EU (KRDP)
26/27 November	Garissa	Mandera, Wajir, Garissa	UNICEF
26/27 November	Kitengela	Kajiado, Narok, Makueni	REGLAP (now DLCI)
26/27 November	Embu	Embu, Meru, Tharaka Nithi, Nyeri, Kitui	FAO
18/19 December	Mombasa	Lamu, Kilifi, Kwale, Taita Taveta, Tana River	UNDP / EU (KRDP)
<b>Phase 2: April 2014</b>			
7/9 April	Machakos	Turkana, West Pokot, Baringo, Laikipia, Samburu, Marsabit, Isiolo, Mandera, Wajir, Garissa, Tana River	FAO / EU (KRDP)
14/16 April	Machakos	Kajiado, Narok, Makueni, Nyeri, Embu, Kitui, Meru, Tharaka Nithi, Lamu, Kwale, Kilifi, Taita Taveta	FAO / EU (KRDP)
<b>Phase 3: July 2014</b>			
16 July	Nanyuki	Turkana, Marsabit, Baringo, Mandera, Wajir, Garissa, Isiolo, Laikipia, Samburu, West Pokot and Tana River	WFP
25 July	Voi	Kitui, Makueni, Taita Taveta, Kwale, Kilifi, Kajiado and Tharaka Nithi	WFP





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