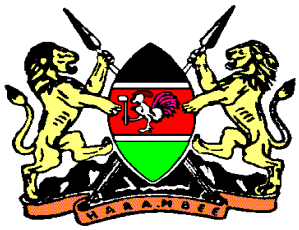


REPUBLIC OF KENYA

Ending Drought Emergencies:

Common Programme Framework for Drought Risk Management

November 2015

Table of Contents

Key data

Country	Kenya
Title	Ending Drought Emergencies Common Programme Framework: Drought Risk Management
Duration	July 2014 – June 2018
Total budget	Kshs. 45,598 million
Overall objective	Institutions, mechanisms and capacities that build resilience to drought and climate change developed and strengthened.
Expected results	1. Drought risk reduction, climate change adaptation and social protection measures integrated into development policies, plans, budgets and activities at national and county levels. 2. Drought, climate and socio-economic information facilitate concerted and timely action by relevant stakeholders at county, national and regional levels. 3. Scalability and response mechanisms ensure timely and well-coordinated assistance to drought-affected populations. 4. Institutional and legal frameworks for drought risk reduction, climate change adaptation and social protection exist at all levels with adequate capacity. 5. Knowledge is effectively managed to ensure evidence-based decision-making and practice.
Focus area and population	Arid and semi-arid counties, approximately 15 million people (36% of the national population)
Contact details	Chief Executive Officer National Drought Management Authority P.O. Box 53547-00200 Nairobi Kenya ceo@ndma.go.ke www.ndma.go.ke

Acronyms

ARC	African Risk Capacity
ASAL	Arid and Semi-Arid Lands
CAADP	Comprehensive Africa Agriculture Development Programme
CCA	Climate Change Adaptation
CMDRR	Community-Managed Disaster (Drought) Risk Reduction
CSG	County Steering Group
DRM	Drought Risk Management
DRR	Drought Risk Reduction
EDE	Ending Drought Emergencies
EWS	Early Warning System
HFA	Hyogo Framework for Action
HSNP	Hunger Safety Net Programme
IDDRSI	IGAD Drought Disaster Resilience and Sustainability Initiative
IIED	International Institute for Environment and Development
KFSM	Kenya Food Security Meeting
KFSSG	Kenya Food Security Steering Group
MTP	Medium Term Plan
NDCF	National Drought Contingency Fund
NDMA	National Drought Management Authority
NSNP	National Safety Net Programme
PDNA	Post-Disaster Needs Assessment
UNDP	United Nations Development Programme
UNISDR	United Nations International Strategy for Disaster Reduction
WFP	World Food Programme

Glossary of terms

Adaptation	Adjustment in natural or human systems in response to actual or expected climatic stimuli or their effects, which moderates harm or exploits beneficial opportunities. Various types of adaptation can be distinguished, including anticipatory, autonomous and planned adaptation.[1]
Drought risk management	The systematic process of using administrative directives, organisations, and operational skills and capacities to implement strategies, policies and measures for improved coping capacities in order to lessen, i.e. prevent, mitigate and prepare for, the adverse impacts of drought and the possibility of disaster.[2]
Preparedness	The capacities and knowledge developed by governments, professional response and recovery organisations, communities and individuals to effectively anticipate, respond to, and recover from, the impacts of likely, imminent or current hazard events or conditions.[3]
Social protection	The specific set of public actions to address the vulnerability of people's life via social insurance, offering protection against risk and adversity throughout life; via social assistance, offering payments to support and enable the poor; and via social inclusion efforts that enhance the capability of the marginalised to access social insurance and assistance.[4]

[1] Intergovernmental Panel on Climate Change
[2] UNISDR, 2009. 'Drought Risk Reduction, Framework and Practices: Contributing to the Implementation of the Hyogo Framework for Action'. Geneva, UNISDR.
[3] UNISDR, http://www.unisdr.org/we/inform/terminology
[4] European Report on Development, 2010

Acknowledgements

This framework is the product of extensive discussion between the national and county governments and their development partners. The commitment of all involved, and the goodwill and collaborative spirit shown throughout the process, are warmly appreciated.

In particular, the contribution and support of the following are gratefully acknowledged:

CARE Kenya (representing the ASAL Alliance)

European Union Humanitarian Aid and Civil Protection department

Department of Foreign Affairs and Trade, Government of Australia

Department for International Development

Drylands Learning and Capacity Building Initiative

European Union

Food and Agriculture Organisation

International Livestock Research Institute (representing the ASAL Stakeholder Forum)

Kenya Livestock Marketing Council

Ministry of Devolution and Planning

National Drought Management Authority

Oxfam (representing the ASAL Alliance)

United Nations Children's Fund

United Nations Development Programme

United States Agency for International Development

World Food Programme

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.[5]

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 document.

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).

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 stronger institutions for DRM, it is closely aligned with the Hyogo Framework for Action (HFA).

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

[5] The others are on peace and security, climate-proofed infrastructure, human capital, sustainable livelihoods, and institutional development and knowledge management.

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.

2. Situation analysis

2.1 Sector analysis

Of all the hazards facing Kenya, drought is the most extensive and potentially damaging. The Ending Drought Emergencies (EDE) strategy commits the government to end the worst of the suffering caused by drought by 2022. The EDE strategy is closely aligned with the three strategic goals of the Hyogo Framework for Action, particularly their emphasis on the integration of drought risk reduction into policy, planning and implementation and the strengthening of institutional capacity for drought risk management (DRM). The EDE approach also echoes a recent statement from the Africa consultative meeting on the post-2015 Hyogo Framework. This identified three priorities for future action as being governance (policies and institutions), information, and integration, with a strong focus on enhancing the monitoring & evaluation framework.[6]

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.[7] 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.

[6] 'Developing an Africa Position for the post-2015 Framework for Disaster Risk Reduction', Summary Statement from the Africa Consultative Meeting, Nairobi, 25-26 November 2013. http://www.preventionweb.net/english/professional/trainings-events/events/v.php?id=35675

[7] UNDP, 2011. 'Mainstreaming Drought Risk Management: A Primer'. Nairobi, UNDP.

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.[8] 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 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.[9]

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 National Drought Management Authority (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.[10] 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.

[8] Cabot Venton, C. et al, 2012. 'The Economics of Early Response and Resilience'. London, DFID.
[9] Republic of Kenya, 2012. 'Kenya Post-Disaster Needs Assessment for the 2008-11 Drought'.
[10] 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 the potential for drought risk financing in Kenya, as part of the AU's African Risk Capacity initiative.

2.2 Critical issues to address

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

2.2.1 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 1 illustrates. Measures to address these weaknesses must promote synergies between the different levels.

Table 1: Examples of weaknesses in institutional capacity

National	County	Community
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. 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. 3. Slow official recognition of an emerging crisis delays response.	1. County governments are not yet fully operational and their capacities are yet to be tested. 2. The allocation of functions between the national and the county governments is still open to interpretation and negotiation 3. Mechanisms for inter-county collaboration are still rudimentary but are critical to successful drought mitigation (for example in facilitating peaceful mobility).	1. Traditional structures for drought risk management have been progressively weakened, particularly those which manage conflicts and ensure sustainable land management. 2. Mechanisms to facilitate public engagement with the new devolved structures are yet to be established.

2.2.2 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.[11] 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 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.[12]

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,[13] 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 recently approved 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.

2.2.3 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.

[11] In line with the first strategic goal of the Hyogo Framework for Action.

[12] 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).

[13] Examples include livestock mobility, the management of drought reserves, the development of buffer areas of crop or forage production, the activation of social networks, the spreading of risk, and so on.

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.

2.2.4 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.

2.2.5 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.

2.2.6 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.[14]

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

[14] 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.

challenges of doing so, particularly in areas of high inequality and high dependence on the natural resource base (such as the ASALs), are high.[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, 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 has 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.

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.

[15] See, for example, European Parliament, 2011. 'The Effects of Oil Companies' Activities on the Environment, Health and Development in Sub-Saharan Africa'.

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.[16]
- 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.

3 Programme framework

This programme framework is aligned with the Hyogo Framework for Action. While the Hyogo Framework addresses disaster risks in their totality, this framework focuses specifically on the risks posed by drought. The following assumptions underpin its design.

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 accommodate preparedness and contingency plans and budgets, 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

[16] 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

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.

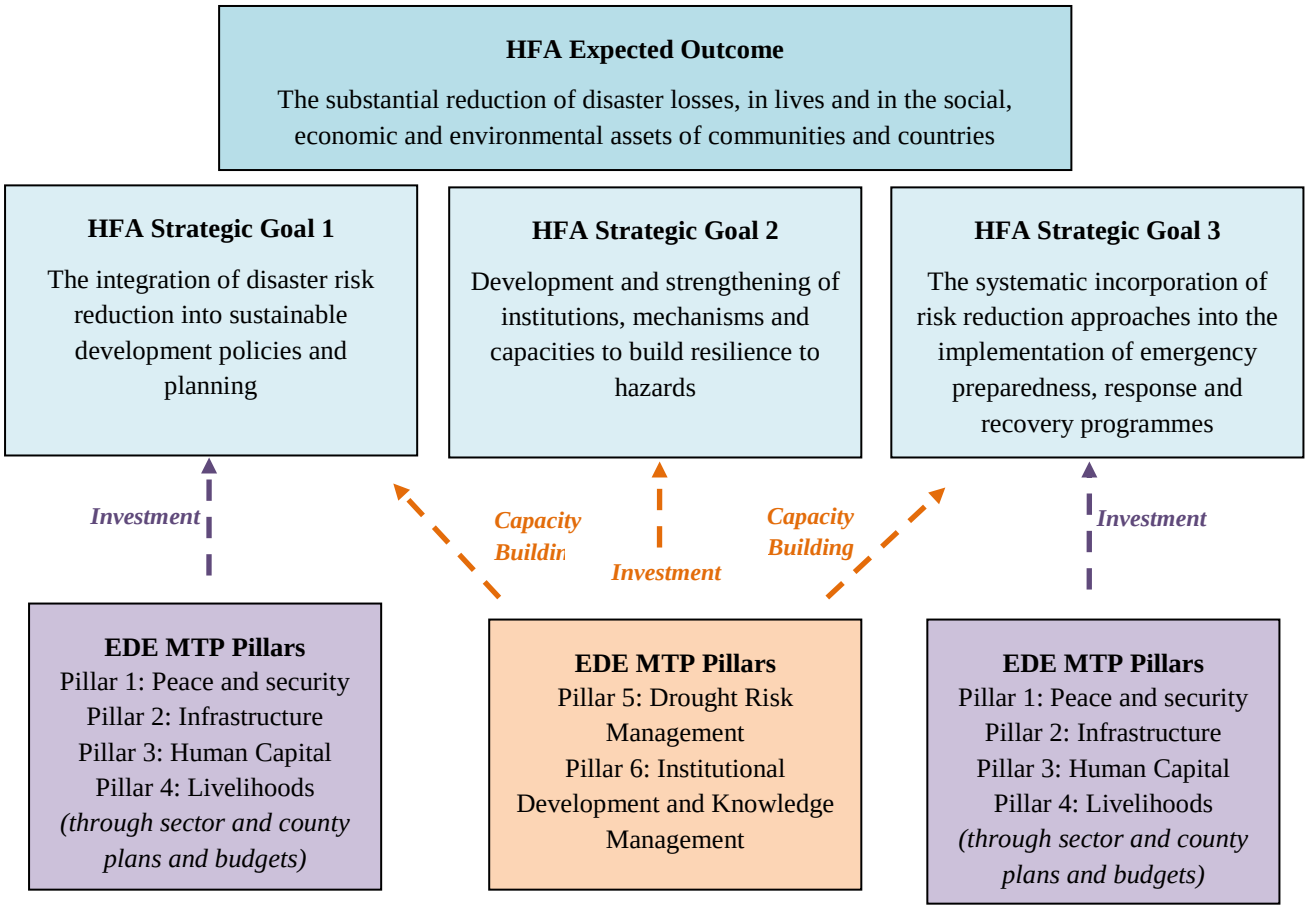
d) It is assumed that the investments in public goods which provide communities with the means to adapt (such as security, infrastructure and human capital) are also those which will enhance private sector engagement in the ASALs. Closer involvement of the private sector in drought and climate risk management 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 common programme framework on ASAL institutions. 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 relationship between this framework for drought risk management and the other EDE MTP pillars, and between the EDE MTP pillars and the HFA, is illustrated in Figure 1.

Figure 1: Linkage between EDE MTP Pillars and HFA Framework



The overall objective of this programme framework is: **'To develop and strengthen institutions, mechanisms and capacities that build resilience to drought and climate change'**, echoing the second strategic goal of the HFA.

The framework 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.[17]

2. **Drought early warning and early response:** this will bring together the provision of information on drought and climate risks, as well as 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 2 illustrates the links between these components and results and their alignment with the HFA Priorities for Action. Table 2 summarises the programme framework.

[17] The intersection of these three is sometimes called 'adaptive social protection'.

Figure 2: Components of the DRM programme framework and their links with the HFA priorities for action

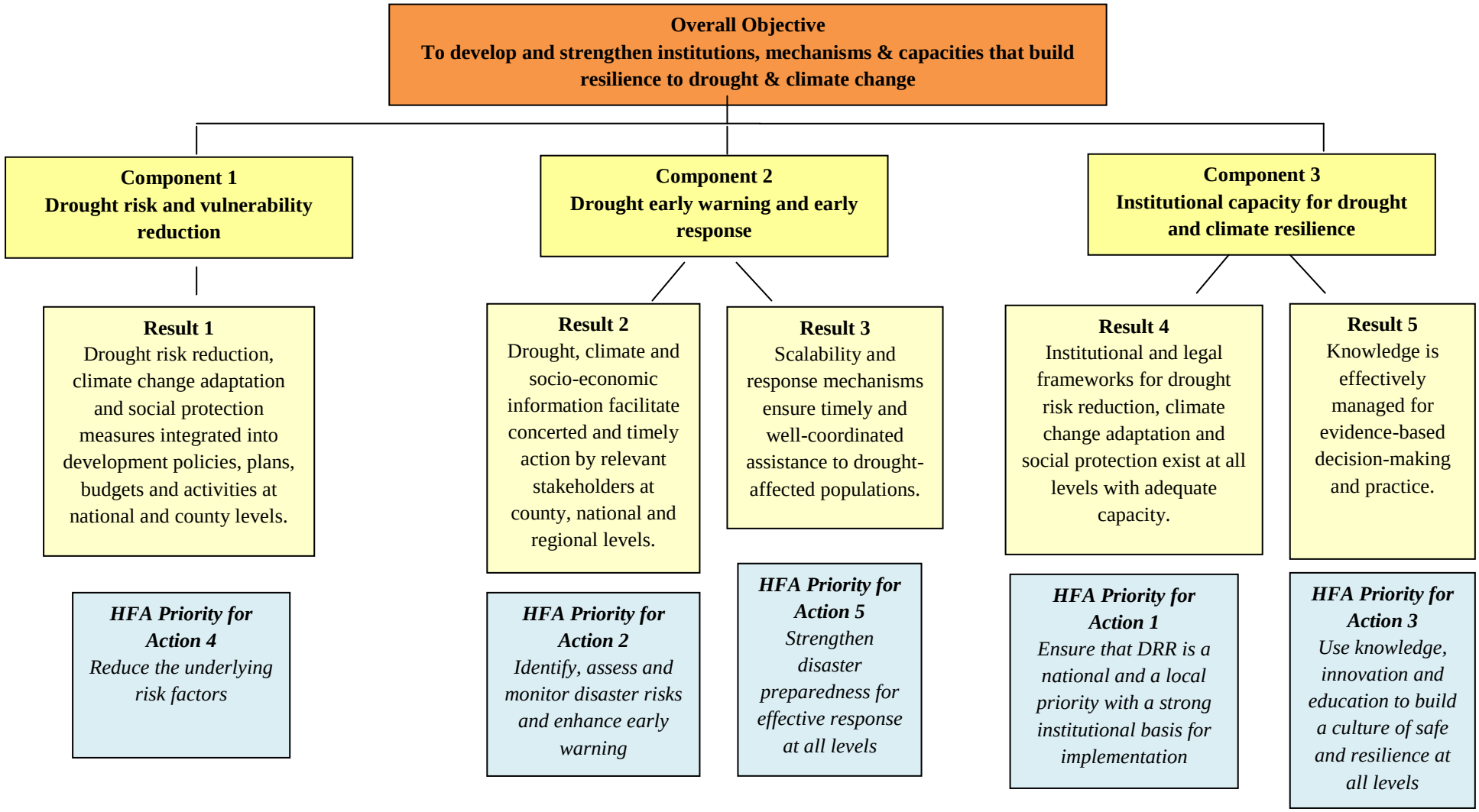


Table 2: Drought risk management framework

Strategies	Justification	Outputs
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.		
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.	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. 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. 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. 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.[18] New approaches are being tested by the ADA Consortium to draw together these two streams of knowledge and decision-making. 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.	1.1 Sector and county development plans and their implementation address the drought and climate resilience of economies and livelihoods. 1.2 Local DRR and adaptation plans developed and linked to county development plans. 1.3 Drought preparedness fund available from 2014 to finance community-based DRR initiatives in 23 drought-prone counties.

[18] Hesse, C. and Pattison, J. (2013) 'Ensuring Devolution Supports Adaptation and Climate-Resilient Growth in Kenya', IIED Briefing, June 2013

Strategies	Justification	Outputs
	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. 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.	
2. Expand access to social protection for chronically vulnerable populations.	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. 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. 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.[19] The potential link between social protection and enhanced nutrition will be explored further. 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	1.4 NSNP beneficiaries in ASALs, including HSNP beneficiaries, receive timely, predictable, electronic cash transfers. 1.5 County social protection databases developed in five non-HSNP arid counties. 1.6 County social protection coordination structures to respond to early warning established and functioning. 1.7 Models of social protection for nutrition implemented in three counties.

[19] 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
	vulnerable communities.	
3. Integrate new streams of finance within the drought and climate risk management frameworks at national and county levels.	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,[20] 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. There is also a trend towards more market-based responses, including through partnerships with the financial and telecommunications sectors,[21] and often developed through civil society programmes. The potential for expanding private sector engagement will be explored further.	1.6 County-level climate adaptation funds operational in at least five counties. 1.7 Private sector investments in drought risk reduction and climate change adaptation increased, including through insurance modalities.
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 multiple audiences, including communities.	2.1 Enhanced drought early warning system in operation in 23 counties. 2.2 Common indices, triggers and objective thresholds for response agreed and used by all stakeholders.

[20] Insurance for Mainstreaming Pastoral and Agro-Pastoral Communities in Transitional Development

[21] 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
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.		
1. Facilitate systems of drought contingency planning and financing in response to drought.	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. 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. Kenya has been awarded a Certificate of Good Standing, confirming	3.1 Updated drought contingency planning system fully operational in all ASAL counties and supported by all stakeholders. 3.2 Contingency planning priorities and drought mitigation measures integrated into sector and county development plans. 3.3 National and county contingency financing systems complement each other. 3.4 African Risk Capacity operationalised in Kenya.

Strategies	Justification	Outputs
	its eligibility to join the pool.	
2. Invest in strategic activities that strengthen drought preparedness.	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.	3.5 Preparedness audits produced. 3.6 Strategic preparedness projects identified and implemented at community and county levels.
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.	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'.[22] 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. 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. 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.	3.7 Procedures for the scalability of cash transfers agreed and operational. 3.8 Triggers and mechanisms for scale up identified by key sectors and integrated in plans and budgets.
4. Coordinate the planning, design, implementation and evaluation of preparedness, mitigation, response and recovery activities.	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.	3.9 Coordination structures reviewed and new structures operationalised.

[22] Kimetrica (2014) 'Methodology Report: Design of a System to Scale up Social Protection in Kennya'

Strategies	Justification	Outputs
Result 4: Institutional and legal frameworks for drought risk reduction, climate change adaptation and social protection exist at all levels with adequate capacity.		
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.		
1. Undertake and/or support legal, institutional and policy reforms at national and county levels.	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. 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. 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.	4.1 NDMA Bill passed. 4.2 National Drought Contingency Fund operational. 4.3 Integration of frameworks for disaster risk reduction, drought risk reduction, social protection and climate change adaptation achieved.
2. Ensure that public accountability and transparency mechanisms are in place and applied.	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	4.4 Integrated referral system for complaint handling established. 4.5 Seasonal social sector accountability system modelled and reports produced.

Strategies	Justification	Outputs
	in a comprehensive manner.	
Result 5: Knowledge is effectively managed for evidence-based decision-making and practice.		
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.		
1. Ensure that drought actions in Kenya are in line with shared standards and procedures.	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.	5.1 National standards and procedures for drought risk management developed and adopted.
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 knowledge management.	5.2 Web-based knowledge platform developed and in use.

4 Cross-cutting issues

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.[23]

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.

[23] GoK and UNICEF, 'Situation Analysis of Children and Adolescents, 2013' (forthcoming)

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.

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.

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 standard 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.

6 Institutional arrangements

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 3.

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.[24]
- 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.
- 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.

[24] The six clusters are North Rift, South Rift, Upper Eastern, Ukambani/Mt. Kenya, North Eastern, and Coast.

- 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.

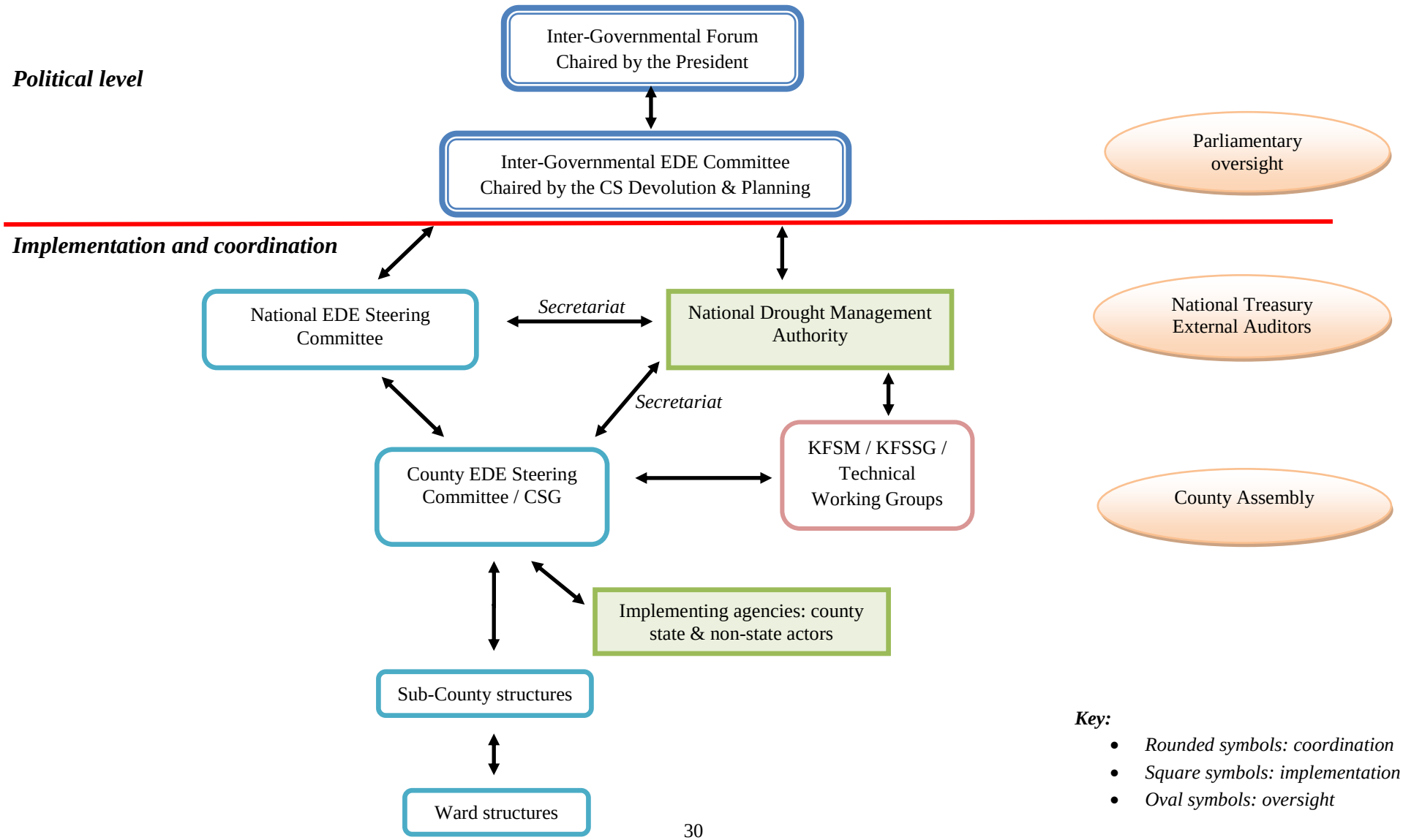
6.2 Coordination mechanisms

Figure 3 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.

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. The NDMA has also developed its internal monitoring and evaluation and management information systems, which will support those of of this framework. 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.

Figure 3: Institutional framework for drought risk management



7 Resources

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 mainstream 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 6.1 will over time help to promote stronger coordination of financing by multiple actors.

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 sufficient only 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.

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.

Annex 1 Results framework

	OVI	MOV	ASSUMPTIONS
GOAL (BY 2022)			
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	▪ Investments made across all pillars of the EDE, and functional links established between the pillars. ▪ Alternative sources of finance established and operational, such as the NDCF and ARC, and scalability mechanisms in place. ▪ Adequate economic, political and climatic stability.
	% 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	
OVERALL PILLAR OUTCOME			
Institutions, mechanisms and capacities that build resilience to drought and climate change developed and strengthened.	No. of county governments demonstrating increased responsiveness to drought risks.	CIDPs / county budgets County-specific risk reduction mechanisms (funds, insurance) Evaluation reports	▪ Government continues to prioritise EDE as a foundation for national transformation within Kenya Vision 2030. ▪ NDMA receives sufficient budgetary support from the national government. ▪ Agreed GoK counterpart funding to projects provided.
	Proportion of stakeholders reporting satisfaction with the leadership and coordination role of the NDMA.	Stakeholder surveys Evaluation reports	
RESULTS			
1. Drought risk reduction, climate change adaptation and social protection measures integrated into development policies, plans, budgets and activities at national and county levels.	Adoption of planning tools that mainstream DRR/CCA/SP by national and county governments.	Sector plans CIDPs	▪ Commitment of the sectors and counties to make the necessary investments and support EDE. ▪ Evidence of benefits, including economic, of investing in risk reduction.
	Increase in funds allocated to DRR/CCA/SP by government and development partners.	Printed estimates Resilience investment mapping	

	OVI	MOV	ASSUMPTIONS
2 Drought, climate and socio-economic information facilitate concerted and timely action by relevant stakeholders at county, national and regional levels.	No. of stakeholders acting on information provided through the early warning system.	Stakeholder proposals and reports	▪ Stakeholder confidence is built and maintained in the quality of the early warning system. ▪ Information is effectively packaged and disseminated according to user needs.
	Level of satisfaction among users of the information provided.	User surveys	
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	▪ NDCF established and operational. ▪ Commitment of sectors, counties and development partners to make the necessary investments.
	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	▪ Political commitment to devolution is sustained. ▪ ASAL coordination structures established and working effectively. ▪ Support from EDE Pillar 6.
	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.	Assessment reports Evaluation reports Media monitoring	▪ Stakeholders are committed to knowledge-sharing.

OUTPUTS	OVI	MOV
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.		
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.	Planning documents Printed estimates
	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	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	HSNP MIS
	Annual allocations to HSNP Phase II budget.	Printed estimates
1.5 County social protection databases developed in five non-HSNP arid counties.	Social protection registry developed and being used.	Database MIS
1.6 County social protection co-ordination structures to respond to early warning established and functioning.	No. of county social protection fora convened and meeting regularly	County Social Protection reports
1.7 Approaches to improved nutrition from social protection developed in three counties.	No. of under 5 children benefiting from nutrition- enhanced social protection	Programme reports
1.6 County-level climate adaptation funds operational in at least five counties.	No. of proposals funded.	Fund MIS
	Amount of funds disbursed.	Fund MIS
1.7 Private sector investments in drought risk reduction and climate change adaptation increased, including through insurance modalities (livestock and crops).	No. of interventions implemented in collaboration with private sector.	Resilience investment database

Result 2: Drought, climate and socio-economic information facilitate concerted and timely action by relevant stakeholders at county, national and regional levels.		
2.1 Enhanced drought early warning system in operation in 23 counties.	No. of monthly bulletins published.	NDMA website
2.2 Common indices, triggers and objective thresholds for response agreed and used by all stakeholders.	No. of stakeholders, including counties, making decisions based on EWS triggers and thresholds. Downloads of data and information.	Proposal documents Evaluation reports
2.3 Timely, demand-led drought and climate information services developed, accessed and used by stakeholders at national, county and community levels.	No. of actions taken in response to EWS and food security information shared.	Website MIS Proposal documents Evaluation reports
	Drought information campaign rolled out in 23 counties.	Monitoring & evaluation reports
	No. of policy briefs and other materials referenced in policy debates and documentation.	Policy documents Meeting minutes
2.4 Interaction between drought and climate information at national and regional levels strengthened.	Development of common meteorological drought indices.	Indicators
	No. of joint initiatives.	Project documents
Result 3: Scalability and response mechanisms ensure timely and well-coordinated assistance to drought-affected populations.		
3.1 Updated drought contingency planning system fully operational in all ASAL counties and supported by stakeholders.	No. of counties with approved contingency plans.	Crisis Toolkit
	No. of county stakeholders contributing to contingency plans.	Contingency plans
	NDCF guidelines and procedures available in 23 ASAL counties.	County reports
3.2 Contingency planning priorities and drought mitigation measures integrated into sector and county development plans.	No. of sector and county plans that accommodate contingency planning scenarios and priorities.	Sector and county plans
3.3 National and county contingency financing systems complement each other.	Agreed mechanisms to facilitate harmonised use of national and county funds.	Procedure documents
3.4 African Risk Capacity operationalised in Kenya.	Agreement signed between GoK and ARC.	ARC documents

3.5 Preparedness audits produced.	No. of counties where preparedness audits complete.	Audit reports
3.6 Strategic preparedness projects identified and implemented at community and county levels.	No. of projects financed and implemented.	Fund MIS
3.7 Procedures for the scalability of cash transfers agreed and operational.	No. of households receiving cash transfers triggered by drought.	NDCF MIS HSNP MIS
3.8 Triggers and mechanisms for scale up identified by key sectors and integrated in plans and budgets.	No. of sectors reporting progress in scalability.	Sector reports
3.9 Coordination structures reviewed and new structures operationalised.	No. of organisations participating actively in coordination structures.	Coordination meeting minutes
Result 4: Institutional and legal frameworks for drought risk reduction, climate change adaptation and social protection exist at all levels with adequate capacity.		
4.1 NDMA Bill passed.	NDMA Act signed into law.	Gazette
4.2 National Drought Contingency Fund operational.	NDCF legal instrument signed.	Gazette Notice
	Budget allocated to NDCF.	Printed estimates
4.3 Integration of frameworks for disaster risk reduction, drought risk reduction, social protection and climate change adaptation achieved.	Effective coordination platforms in place at national and county levels.	Coordination reports
4.4 Integrated referral system for complaint handling established.	System established in at least three counties and opportunities for scale up identified.	Project reports County reports
4.5 Seasonal social sector accountability system modelled and reports produced	No. of seasonal social sector accountability reports produced	SIR reports
Result 5: Knowledge is effectively managed to ensure evidence-based decision-making and practice.		
5.1 National standards and procedures for drought risk management developed and adopted.	Proportion of drought-related interventions in line with agreed standards and guidelines.	Evaluation reports
5.2 Web-based knowledge platform developed and in use.	Level of traffic to platform.	Platform MIS
	No. of downloads of / requests for materials.	

Annex 2 Budget, 2014-18

Budget item	County govts	NDMA	Private sector	Development partners	TOTAL
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.					
Sub-total	**1,472**	**5,374**	**0**	**33,330**	**40,176**
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
Result 2: Drought, climate and socio-economic information facilitate concerted and timely action by relevant stakeholders at county, national and regional levels.					
Sub-total	**5**	**464**	**0**	**80**	**549**
Drought early warning system	5	464	0	80	549
Result 3: Scalability and response mechanisms ensure timely and well-coordinated assistance to drought-affected populations.					
Sub-total	**392**	**2,276**	**0**	**2,000**	**4,668**
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
Result 4: Institutional and legal frameworks for drought risk reduction, climate change adaptation and social protection exist at all levels with adequate capacity.					
Sub-total	**10**	**44**	**0**	**53**	**107**
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
Result 5: Knowledge is effectively managed to ensure evidence-based decision-making and practice.					
Sub-total	**0**	**98**	**0**	**0**	**98**
Standards, guidelines and studies	0	68	0	0	68
Knowledge sharing platform	0	30	0	0	30
TOTAL	**1,879**	**8,256**	**0**	**35,463**	**45,598**
% budget	**4%**	**18%**	**0%**	**78%**	**100%**