Drylands Learning and Capacity Building Initiative for Improved Policy and Practice in the Horn of Africa

Resilience in the drylands of the HORN OF AFRICA - Edition 5

EXPERIENCES AND LESSONS LEARNT FOR IMPROVED POLICY AND PRACTICE

Resilience in the drylands of the Horn of Africa - Edition 5
Experiences and lessons learnt for improved policy and practice

Date: November 2014
Edited by: Helen de Jode and Vanessa Tilstone
Designed and printed by: Capital Colours Creative Design Ltd.

Cover photo: A pastoralist woman hugs her baby camel at the Negelle livestock market in Borana region, Ethiopia.
Inside cover photo: Livestock traders discuss a sale at the livestock market in Jigjiga, Somali region, Ethiopia.
Back cover photo: Camels drinking at the El Dub shallow well, Gode, Somali Region, Ethiopia.
Credit for all cover photos: Kelley Lynch/Mercy Corps/ USAID

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Introduction

This is the fifth edition in a journal series produced by the Dryland Learning and Capacity Building Initiative (DLCI)—previously called REGLAP. The journal title reflects the renewed focus in the Horn of Africa on the need to build resilience among dryland communities. DLCI has now been in operation for 10 months as an independent resource organisation, and is making progress in its aim to promote integrated planning approaches, promote awareness on the need for dryland voice, and the need to address some of the building blocks to development in dryland areas—namely governance, education, land rights and infrastructure.

The first section of the journal looks at learning and practice: identifying those initiatives and programmes that appear to be making progress in strengthening community resilience. In Oromiya, Ethiopia, participatory rangeland management is supporting local resource governance structures and is being scaled up with increasing support from national government. In Karamoja, Uganda, communities working with IUCN are undertaking improved natural resource management as part of a programme of participatory integrated water resource management. In Isiolo, Kenya, the Adaptation Consortium is working with ward level committees to help them prioritise and access funding for public goods that promote climate resilient development. KAPDA's participatory peace committees that combine customary and local government members are working towards resolving the longstanding resource conflicts in Karamoja.

The need for improvements in the collection and management of data for the drylands of the HoA is widely recognised, and the second section of the journal looks at some of the progress now being made. Sean Avery's article on the Lotikipi aquifer provides some valuable data on its likely potential, helping caution over-expectations. The livestock insurance sector is the focus of an article by the Kenya Markets Trust, highlighting some of the urgent data needs and areas of government support required for commercial viability. Catherine Fitzgibbon explores many of the complexities surrounding how to measure resilience; outlining the different approaches in development, and the need to promote joint learning and analysis among the key partners. The Internal Displacement Monitoring Centre introduces an innovative model that helps predict the impact of shocks on pastoralists during drought, using real-time data to help policy makers better prepare for droughts. The last article in this section looks at work done with DLCI on reviewing current data on pastoralism, and the need for much improvement in the quality and type of information collected in order to better assess the pastoral system as a whole.

The third section focuses on the need for much more community engagement if resilience building is to be sustainable. John Letai and Michael Tiampati look at the greater consultation that is urgently needed with pastoral communities affected by the LAPSSET developments. Communities currently reliant on humanitarian aid can now use an Integrated Complaints Referral System to help promote accountability and stamp out corruption, as explained by Transparency International's article. Whilst an article on the work of CELEP shows how people in Europe, who have a strong influence on aid and development, are being kept abreast of voices and views from East Africa. Sarah Gibbons' article looks at the critical elements involved in enhancing community 'voice', outlining what still needs to be done to address the fundamental blockages to 'voice' within many dryland communities.

The final section of the journal looks at how the resilience agenda as a whole can be strengthened with better policies and practice. Jeremy Lind's article on how to optimise social protection in the drylands provides an overview of the current social protection mechanisms in dryland areas in the region, and emphasises the need to ensure that sustainable development is also being promoted. An article from ECHO outlines how they are now changing their Disaster Risk Reduction strategy in the HoA. An article by Agnes Atyang and Sarah Standley explores the commitments made by donors since the last drought and the outstanding needs. The final article by NDMA illustrates how they are doing things differently through a new strategy to End Drought Emergencies.

DLCI hopes that all of these articles will help inform and inspire everyone working towards resilience building in the Horn of Africa, looks forward to your feedback and comments, and to future articles in the next edition.

Participatory Natural Resource Mapping in Ethiopia / Kelley Lynch

*The mapping of rangeland resources is a powerful information-generating tool. The mapping exercise is an excellent entry point into community-level discussions about resources and the issues that surround them. Participatory rangeland resource maps can be used to identify and understand pastoralists' uses of rangeland resources, different resource locations, resource access, and resource seasonality.**

* International Land Coalition (2014). Participatory Rangeland Resource Mapping in Tanzania. http://www.landcoalition.org/en/publications/participatory-rangeland-resource-mapping-tanzania

Implementation of Participatory Rangeland Management (PRM) in Ethiopia

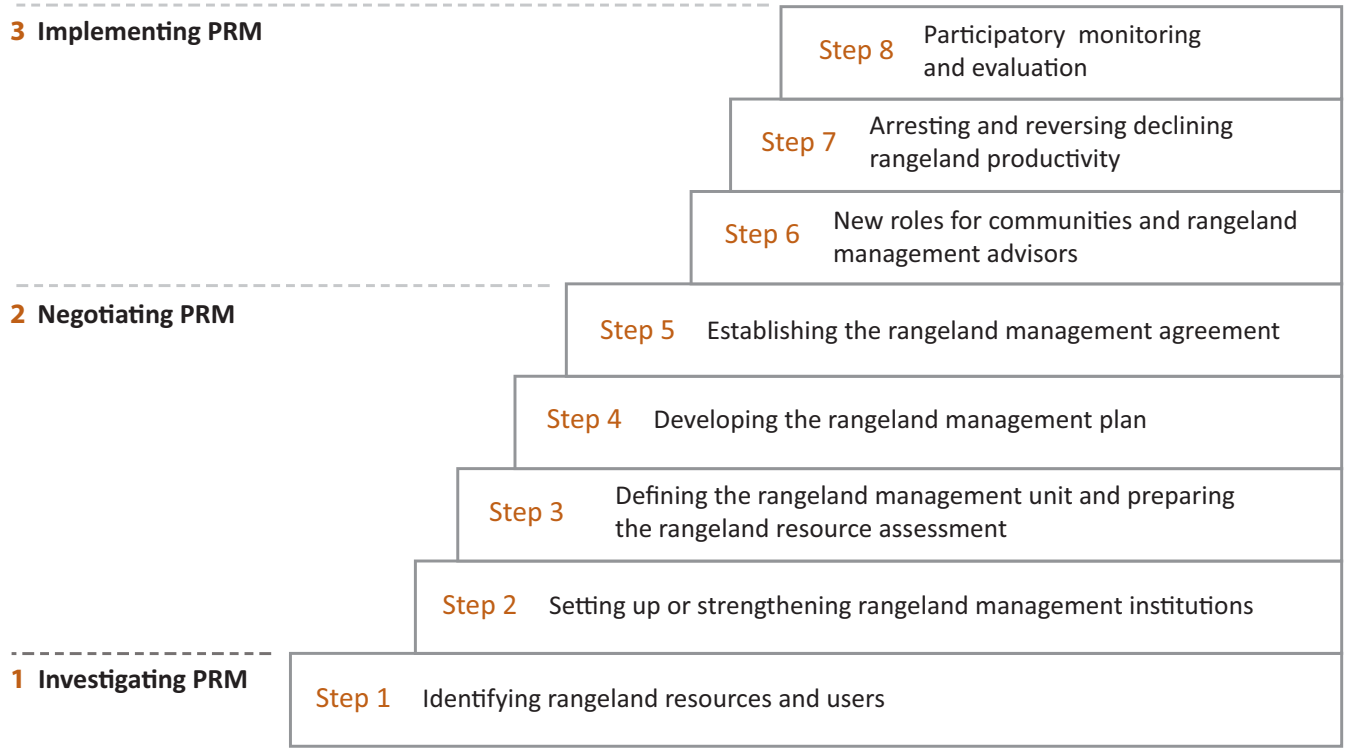
By Fiona Flintan, International Livestock Research Institute/International Land Coalition

The first REGLAP journal (June 2011) looked at Save the Children's work with participatory natural resource mapping in the Somali Region of Ethiopia. This article looks at recent progress being made with two pilots on PRM in Oromiya Region, drawing out the differences and lessons learnt, and suggests other countries in the HoA might undertake their own pilots and mainstream the approach.

Following the launch of the *Introductory Guidelines to Participatory Rangeland Management in Pastoral Areas* in Ethiopia 2010,[1] the PRM approach has been piloted in two different areas of Oromiya Region. One pilot was in the lowlands of Bale zone by SOS Sahel Ethiopia and FARM Africa, and the other in Borana zone by Save the Children (then Save USA). The two pilots were implemented in slightly different ways.

In the pilot in Bale zone, the *kebele*[2] was taken as the unit within which PRM was implemented. The pilot *kebeles* were then divided into blocks encompassing around 80 households of between 8-20,000 hectares per block, depending on population density and other considerations. These blocks were the starting point for data collection (rangeland inventory) and management arrangements.

Figure 1: The Stages of the PRM Process



1 Published by FAO, ECHO and Save the Children.
2 A *kebele* is the smallest administrative unit of local government in Ethiopia, similar to a ward in Kenya. A *woreda* is the next unit and equivalent to a district.

In the pilot in Borana, Save the Children followed the approach advocated for in the *Introductory Guidelines* more closely, although a 'do no harm' analysis was also added as a step. Here the current pastoral use of the rangeland was taken as the starting point for identifying the rangeland management unit. A mapping of the largest management unit—the grazing unit—was facilitated in order to draw up the boundaries (recognising that there is movement across them), and to identify the resources used within the unit. This unit crossed both *kebele* and *woreda* boundaries. Although the local government agreed to rangeland management at this level in principle, they in fact failed to sign a Rangeland Management Agreement to formalise this. This is in contrast to the Bale pilot, where an Agreement was signed between each *kebele* government and local community group thereby giving the rangeland users more secure rights of access.

There were also differences between the pilots in terms of the governance structures, linked to the positioning of the management unit. In Bale, a Rangeland Management Cooperative (made up of different Committees and traditional leaders) was established for each *kebele* as the main institution responsible for rangeland management, and who represented the community for the signing of the Rangeland Management Agreement. The establishment of cooperatives is supported, and indeed encouraged, by government policy and legislation, and is a mechanism for formalising otherwise informal community groupings. It also allows the group to develop business initiatives, to trade in rangeland products, and provides a more formal structure for benefit sharing. Its appropriateness as a rangeland management body has been questioned however. In Borana, Save the Children worked with customary institutions and strengthened them to take on the roles and responsibilities of PRM, with the customary grazing unit (the *dheeda*[3]) being the biggest management unit within this. The *Aba Dheeda* (father of the *dheeda*) was ultimately responsible.

Both of these pilots have been successful in their own way. The pilot in Bale led by FARM Africa and SOS Sahel resulted in Rangeland Management Agreements being signed; and a firm, formalised basis for building livelihoods based on rangeland resources through the formal Cooperative structures. The pilot in Borana has yet to sign formal Agreements, however it strengthened the rangeland customary institutions and developed PRM based on current use—which many argue (including the authors of the *Guidelines*) is a more appropriate approach for rangeland management.

In the last two years, CARE Ethiopia has scaled up the work of Save the Children at an impressive speed as part of the USAID-funded PRIME (Pastoralists Areas Resiliency Improvement and Market Expansion). Using the same principles and approach as Save, CARE and its PRIME partners have strengthened the customary management systems and institutions, developed rangeland management plans, and are working towards formalising access and use rights. One slight difference is that they are establishing Rangeland Management Councils at different governance levels, which include representatives from customary institutions together with other stakeholders. This is a more representative multi-stakeholder group that influences decision-making processes—although as far as decisions over grazing are concerned it is the customary body responsible for this. This work is being carried out in Oromiya, Somali and Afar regions. Currently interventions cover twenty-four rangeland systems and 8.8 million hectares of land. Although rangeland management plans are being drawn up and are being implemented, to date no Rangeland Management Agreements have been signed—which is proving to be a sticking point.

In Ethiopia there are currently a number of opportunities arising for the mainstreaming of PRM, including through government. PRM has been highlighted in Ethiopia's Country Programme Paper (CPP) to End Drought Emergencies (2012) as an approach to be used within the NRM component. Reflecting this, PRM has been included within the donor-funded resilience-focused projects that serve to implement Ethiopia's CPP, and are coordinated by the newly established State Ministry of Livestock and Resources Development, within the MoA. These projects are being funded by the World Bank, the African Development Bank and Italian Development Assistance—and include PRM as an approach—with the latter using PRM as a starting point for working with communities to identify project investments at the local level. These represent a significant opportunity for mainstreaming PRM in pastoral areas with full government support.

Within all these projects, the starting point for establishing PRM has been participatory *rangeland resource mapping*. The crucial importance, in the first instance, of giving an opportunity to communities, through mapping, to describe and define their rangeland management unit and resource use, has been confirmed. Within PRIME the information collected from these resource maps has been systematically transferred to GIS, which has enabled the placing of different layers of information 'on top' of these, including issues such

3 A *dheeda* is a wider natural resource based unit recognised by a group of *kebele* as being geographically linked.

as the mapping of 'hazards'. This information and the maps are a valuable data source not only for PRM, but also for use by different actors (communities, government, NGOs etc.) in other rangeland planning and management processes.

Though PRM as an approach has been taken up in Ethiopia it has yet to be embraced in other countries in the region. Instead a more fragmented set of initiatives is in place, implemented by NGOs without a coherent strategy of developing these as a more harmonised approach with national and local governments.

There is room therefore for taking some clear steps towards this, including opening up a dialogue on the different approaches, sharing lessons learned, defining commonalities and creating a shared vision across pastoral areas and those working there. Once accomplished there is a need to develop the approaches to be piloted with governments, which once proven should be up-scaled and mainstreamed.

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Maps provide a valuable data source for many different actors / Kelley Lynch, Mercy Corps, USAID

Integrated Water Resources Management as a tool for building drought resilience: Lessons from the IUCN/ACF project in Karamoja

By James Omoding and Robert Bagyenda, IUCN Uganda

This article provides an overview of a project in Karamoja, Uganda, that has encouraged environmental conservation through the adoption of improved agro-pastoral practices that sustainably utilise natural resources, and improved governance through the activation of local leadership. Despite facing considerable implementation challenges, the project has proved to be a valuable pilot for participatory IWRM, with the established institutional framework continuing activities without project support.

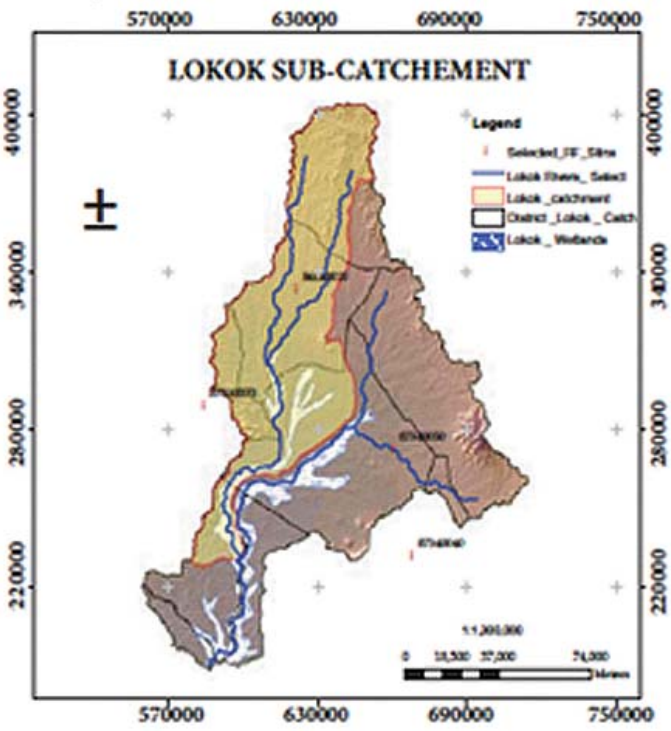
Rivers in Karamoja are highly seasonal / IUCN Uganda

The Government of Uganda (GoU) has shifted water resources management from a centralised and sectoral approach to a catchment/basin management approach; dividing the country into four major Water Management Zones (WMZs): Lake Albert, Lake Victoria, Kyoga, and Upper Nile. The new approach is being implemented on a pilot basis using guidelines from the Directorate of Water Resources Management (DWRM). From July 2012 to December 2013, the International Union for the Conservation of Nature (IUCN), and ACF - Action Contre La Faim (Action Against Hunger) International supported piloting in the Lokok Sub catchment in Karamoja, Kyoga WMZ, as part of the *'Building Resilience to Drought through Sustainable Natural Resources Management in Catchment Areas'* project. Funding was provided from the European Commission - Humanitarian Aid and Civil Protection Office (ECHO).

The Lokok Sub-catchment context

The Karamoja water catchment contributes to the Lokok and Okere seasonal rivers, which originate from Karamoja and discharge into the wetland system around Lake Bisina in neighbouring Teso Region, and then into Lake Kyoga. The Lokok sub-catchment covers 5,512km² and supports the Karimojong peoples' agro-pastoralist livelihood by providing water for livestock and domestic use, and for crop agriculture. The region has an estimated population of 923,722 people of which 89% are rural. Baseline studies carried out to inform the design of the project found a number of key threats to water resource management within the Lokok Sub-catchment, as well as opportunities.

Figure 1: The seasonal rivers of Karamoja region
(source: IUCN Policy Brief 'Water Availability, Demand, Quality and Data Management in Lokok Sub Catchment, Karamoja', Jan 2013)



Threats

Erratic rainfall and water scarcity: Rainfall in Karamoja is short in duration and high in intensity. Although the average annual rainfall within Lokok sub-catchment is 873mm, due to sloping topography and catchment degradation, much of the water is lost downstream to the flat lands of Teso. Rainfall available for use within Karamoja is dependent on the catchment's ability to retain water, as well as the availability of storage areas and evapotranspiration rates. In general there is inadequate storage of rainwater in Karamoja, with heavy reliance on groundwater accessed mainly through boreholes.

Environmental decline: Areas of rangeland, particularly those around settlements, are experiencing increased degradation due to constraints on livestock mobility and poor agronomic practices. Degradation manifests as loss of natural vegetation coupled with heightened levels of soil erosion, threatening local livelihoods and reducing adaptive capacities. This decline in resilience then leads to the adoption of negative coping strategies, such as charcoal making, which further increase the rate and extent of degradation.

Inadequate knowledge on dryland ecosystems dynamics: The Karamoja dryland ecosystem provides vital services that sustain livelihoods and biodiversity. Livestock mobility is a key livelihood adaptation to these dryland conditions to ensure sustainable and productive use of variable resources. Outside of local communities however dryland systems have been poorly understood, and development plans for Karamoja's rangelands and water sources have frequently undermined the ecosystem's integrity and health. This has led to environmental decline and has constrained local communities' abilities to cope with increasing shocks, such as climate change and drought.

Opportunities

Rich indigenous knowledge: As well as livestock mobility to access seasonal resources, communities use customary adaptive strategies in times of drought; including digging riverbeds for water, rationing use of water, and foregoing bathing. The Karimojong apply Integrated Water Resources Management (IWRM) principles through their traditional systems to promote resilient and ecologically sound modes of production within the drylands.

Decentralised natural resource governance: Since 1996 the GoU's aim has been to encourage local government engagement in environmental management. A decentralised hierarchical system, from village level (Local Council 1) up to district level (Local Council 5), incorporates environmental committees at each level, aimed at encouraging effective participation and sustainability.

Although customary rules and regulations govern the proper and seasonal use of water and rangelands, due to pressure from development policies and increasing climate uncertainty, many of these systems have gradually lost their hold. And although local government devolution has been in place since 1996, the reality is that there is insufficient devolution of finance and therefore committees have insufficient capacity for implementation. The IUCN/ACF project proposed the creation of a harmonized institutional framework that would combine the benefits of both systems.

Project Approach

Project interventions centred on the role of community and ecosystem resilience in promoting sustainable development in disaster-prone rangelands, and build on a number of ecosystem-based approaches:

- **RESFRAM.** The project implemented IUCN's Resilience Framework (RESFRAM) to climate variability and change. The RESFRAM combines four areas as a mean of building resilience. 1) Diversity – of the economy, livelihoods and nature. 2) Sustainable infrastructure and technology – landscape management that combines natural and engineered infrastructure and technology. 3) Self-organisation – promoting participatory governance and self-empowerment. 4) Learning – individuals and institutions are availed with, and use new skills and technology.
- **IWRM and PRM.** The project combined the complementary principles of Integrated Water Resources Management (IWRM) and Participatory Rangeland Management (PRM) to encourage planning and management processes that acknowledge the critical linkages between land and water management in the drylands.
- **CECF** The project utilised a Community Environmental Conservation Fund[4] as an innovative approach to help address the competing demands between livelihood needs and natural resource sustainability. It was established in recognition that short-term, environmentally-damaging, actions are often adopted as a way of coping with severe poverty or food insecurity. Environmental conservation to maintain ecosystem functionality and improve livelihood productivity is often considered an untenable ideal in the face of household malnutrition and poverty.

Project Activities

Project actions were designed to promote participation, understanding of project objectives, enhance good governance and ensure local ownership. The sequence of actions is presented in the process chart (see Figure 2).

Participatory Planning

Planning took place at a number of levels. The Lokok Sub-Catchment Management Plan provided the overall framework for work within the Karamoja area, and as a means of testing the DWRM's new IWRM-based guidelines. Parish micro-catchment plans were developed with the participation of all sections of the community including customary and local government leaders, women and youth. Planning processes included the development of current and future visioning maps bringing together IWRM and PRM principles. Visioning maps recognised the interplay between water access and use, and activities in the system that impact on its availability, quantity and quality. Information on grazing areas, migratory routes, areas of degraded catchment and those in need of restoration was mapped. Detailed plans were developed for the restoration or improved management of water and other natural resources in line with livelihood needs, detailing both individual and collective actions.

Harmonized resource governance structures

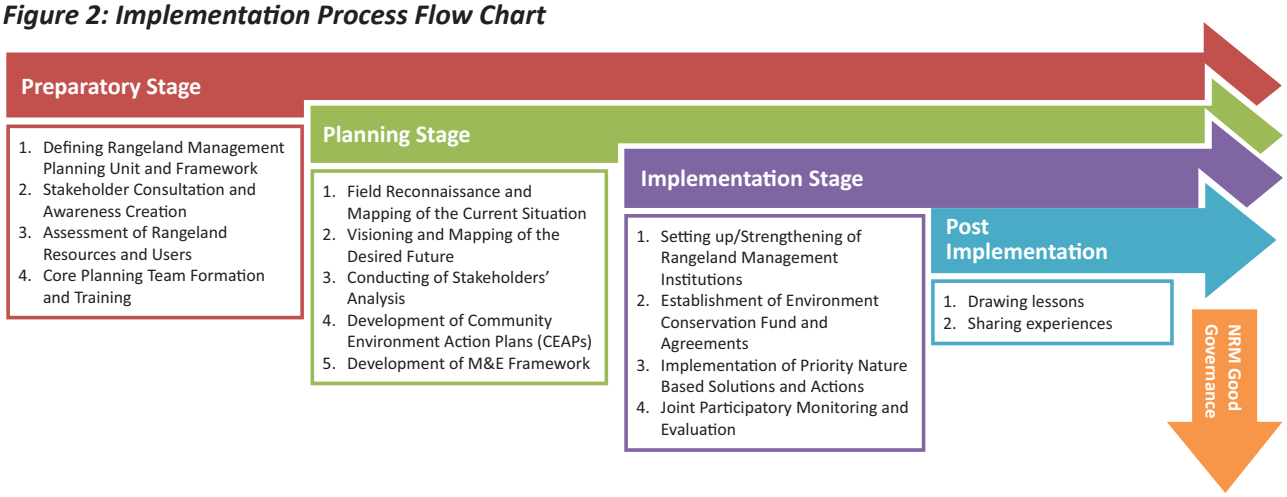
Self-organisation and empowerment were central to the project to encourage collective responsibility and accountability, and to strengthen and harmonize existing resource governance structures. Communities were facilitated to establish or strengthen functional, recognised community resource institutions that laid

4 The CECF was derived from CARE's Village Savings and Loans Association (VSLA) model, which is widely used in northern Uganda as an economic empowerment mechanism for communities to access credit and build a resource base to tackle poverty. Although derived from VSLA, the CECF model incorporates variations geared towards enhancing sustainable natural resources management.

out NRM rules, responsibilities, sanctions and rewards. These structures were established at the Parish and Village levels, and supported the implementation of the plans.

Existing traditional and statutory systems were integrated by aligning the customary structure to the District Local Government decentralized structure. This was done to enable the integration of community aspirations and plans into the Sub County and District Development Plans. Importantly, it ensured the representation from elders, most of who attend the *Akiriket*[5], and women who do the bulk of the work in current Karimojong culture.

Figure 2: Implementation Process Flow Chart



Community Led Implementation of Priority Nature Based Solutions and Actions

Individual and collective nature-based solutions to building resilience were articulated in the village plans, and enforced through the established governance structures. These actions included:

- **Restoration of degraded riverbanks and catchments:** Watershed Management Zones were designated along the entire lengths of all major rivers in Moroto and Kotido districts. 50-100m buffers were established on each side together with the following activities:
  - Implementation of by-laws on bush burning and tree cutting to allow natural regeneration of vegetation;
  - Habitat restoration through tree planting by establishing woodlots;
  - Implementation of general watershed management practices.
- **Live fencing of homesteads *(manyattas)*:** Live fencing with kei-apple trees in Kotido and Moroto districts to permanently reduce the off-take of fencing materials. This provides significant biomass savings given that each *manyatta* traditionally uses up to 3 truckloads of wood to establish a security fence.
- **Establishment of woodlots:** Planting of 12 one-acre woodlots managed by selected household members. The woodlots provide building and fuel wood materials thus reducing off-take of natural biomass.
- **Establishment of fruit orchards:** Each *manyatta* in the three districts established at least five fruit trees (grafted mangoes and oranges) per household with each family member attending to a particular tree.
- **Rainwater harvesting:** Pilot sub-surface dam facility established in Mogoth parish, Moroto district. Serving a total of 17 *manyattas* in Mogoth, Nakadeli, Pupu and Lobuneit parishes, the facility provides water for livestock for an extra three months during the dry season. A management structure for the infrastructure has been developed and agreed, and is linked to the overall catchment management rules and regulations at the sub county.

Communities in Akwapuwa village preparing their woodlot for planting / IUCN Uganda

Community in a monthly meeting attended by district leaders / IUCN Uganda

5 *Akiriket* is the highly respected traditional and cultural decision making body of the Karimojong culture.

Community Environmental Conservation Fund (CECF)

A key innovation in this project was the introduction of the CECF, which provides poor households with short-term financial incentives to engage in agreed environmental management activities that will relieve pressure on natural resources, and ultimately improve their food and livelihood security. The CECF is a revolving fund, accessible to households who show tangible engagement in the conservation actions laid out in the micro-catchment plans. It is used to meet any immediate needs that are deemed environmentally sensitive, and which may previously have inhibited participation. Approximately US$6,500 was disbursed to communities, with 180 households accessing the CECF. The fund was managed by CECF Fund Management and Audit committees working closely with the established environmental management structures: They monitored and supported the implementation of the micro-catchment plans and facilitated and tracked the disbursement of monies to households. The structures all consisted of local community members, traditional leaders and local government and the process of agreeing on qualification, fund dispersal and repayment were all public processes, ensuring accountability and transparency.[6]

Outcomes - Lessons learned

- **Valuable pilot study of participatory engagement in water catchment planning.** The project was designed as a pilot for the DWRM's burgeoning water management policies, and as such provided opportunities to inform the drafting of participatory catchment planning process guidelines. The Lokok Sub-catchment Management framework was considered a key deliverable of the DWRM and presented during the government-donor Joint Sector Review meeting for 2013. This relationship has positioned IUCN and ACF well for further collaboration in catchment-based WRM in Uganda and should be used to ensure more active engagement of local government in future efforts, and integration of NRM into local development plans.
- **Integrating customary and statutory systems is essential to ensure legitimacy, sustainability and engagement with on-going policy processes.** The engagement of the Akiriket was vital in promoting the adoption of IWRM and PRM by communities, as it was already part of the customary Karimojong culture. In addition, engaging the local government was designed to ensure sustainability and buy-in, and to garner the necessary support. In reality the integration with local government plans proved challenging, and due to this, support from the government in key extension areas was sometimes lacking.
- **Addressing the resource constraints and competing demands that can inhibit engagement in environmental conservation and management, particularly in areas experiencing severe and recurrent shocks, is important.** The CECF provided means and incentives for engagement through addressing immediate household needs. This reduced engagement in negative coping strategies, such as charcoal production, whilst instilling collective responsibility and accountability for the micro-catchment plans. Funds could in future be provided by public or private sector entities in a PES[7]-style arrangement in key catchments that would benefit all households involved.
- **The project shows the value of public participation and self-organisation.** Public planning processes ensure alignment with existing systems, recognise the potential challenges to specific community groups, and avoid elite capture. Facilitation of processes through local leadership also increases sustainability and ownership, as evidenced by the continuation of activities since the project's end.

Implementation Challenges

- In order for such IWRM pilots to have significant impact the adoption and uptake of ideas and approaches by the local government is essential. Whilst engagement at the national level was strong, the involvement of the district local government was at times limited, and the integration into local development plans minimal. This not only restricted the support that local government officers could give to NRM activities, but limited the learning on the impacts of IWRM and PRM that was entering the government system.
- Some planning processes were far from participatory and were co-opted by a few 'elites'. As a result some plans were unrealistic or burdensome, and participation by communities limited. Recognition that the design and implementation of planning processes takes time is essential to ensure positive outcomes.
- Despite the project's goal of building drought resilience, some of the ecosystem-based actions implemented through the micro-catchment plans were themselves subject to the effects of droughts. Such contexts may require more phased approaches to environmental management, first supporting restoration work before interventions to enhance productive use; and which further investigate the potential of climate-smart, drought-resilient technologies.
- Whilst benefits can be seen from the establishment of the CECF, some impacts were less positive or limited in their reach. Some activities such as brewing may have questionable social and environmental impacts and should be potentially avoided. In addition, stronger participatory monitoring of the impacts of implementing micro-catchment NRM plans should be conducted to raise awareness amongst communities of the longer-term benefits to livelihoods from sustainable resource management. This would ultimately reduce the need for financial incentive mechanisms in the future.
- Processes that seek to reach whole communities are naturally resource-intensive. Efforts should be made to link public and private financial institutions and markets to support continued access to credit, and compensation for sustainable resource management for communities involved.

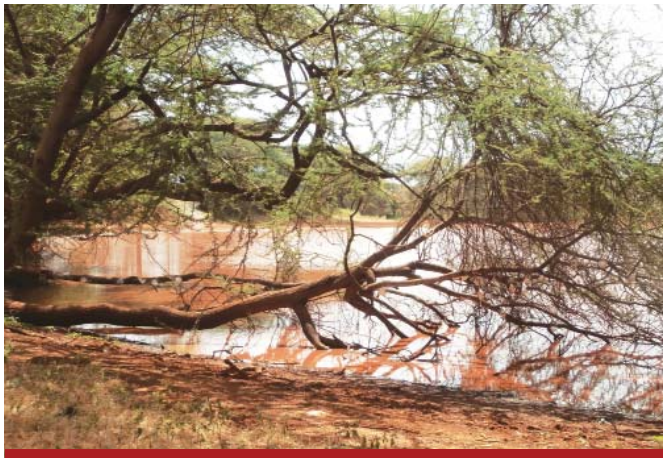
For more information please contact:
info.esaro@iucn.org or see www.iucn.org/esaro

6 More information on the CECF process can be found at https://cmsdata.iucn.org/downloads/cecf_guidelines_final_1.pdf
7 Payment for Environmental Services.

The Isiolo County Adaptation Fund – progress and lessons learnt

By Victor Orindi, Coordinator of the Adaptation Consortium within the NDMA.

The Adaptation Consortium under the leadership of the National Drought Management Authority (NDMA), Kenya, is implementing an innovative project to help county governments to access climate finance and mainstream climate change into planning for adaptation and climate resilient development. The Isiolo County Adaptation Fund (ICAF) was established in 2012 and is now in its 2nd year of operation. This article looks at how it works, the achievements of the first year and the broader lessons learnt.



Improved Harr Buyo Waterpan / Peter Cacah, Adaptation Consortium

Background to Isiolo CAF

The establishment of the UN's Green Climate Fund (GCF) offers the potential for local and national governments to access significant financial resources to support investments in adaptation and mitigation.[8] The GCF will function in addition to pre-existing multilateral and bilateral climate funds and will come online in 2015. It aims to be running at full capacity by 2020, with resources of $100bn per year, over half of which will be earmarked specifically for adaptation projects. In anticipation of this, the Adaptation Consortium, under the management of NDMA, is piloting a devolved adaptation fund in Isiolo County (currently £500,000 per year) that finances investments in public goods aimed at strengthening local climate adaptation and resilience.

The Adaptation Consortium is a core component of the DFID funded Strengthening Adaptation and Resilience to Climate Change in Kenya Plus (StARCK+) programme. Initially piloted in Isiolo County, the approach is now being rolled out in the counties of Kitui, Makueni, Wajir and Garissa. Consortium members include: the National Drought Management Authority, Kenya Meteorological Services (KMS), the UK Met Office, Christian Aid, the Resource Advocacy Programme and the International Institute for Environment and Development (IIED).[9]

How does the Isiolo CAF work?

Investments in public goods are prioritised by six representative Ward[10] Adaptation Planning Committees (WAPCs): These WAPCs conduct participatory 'resilience assessments' to establish those factors that either strengthen or weaken the local economy and local livelihood systems. The resilience assessments are then used by the WAPCs to prioritise investments in public goods whose costs fall within the allocation of the Climate Adaptation Fund. Investments have to meet seven criteria that promote climate resilient growth and adaptive livelihoods:

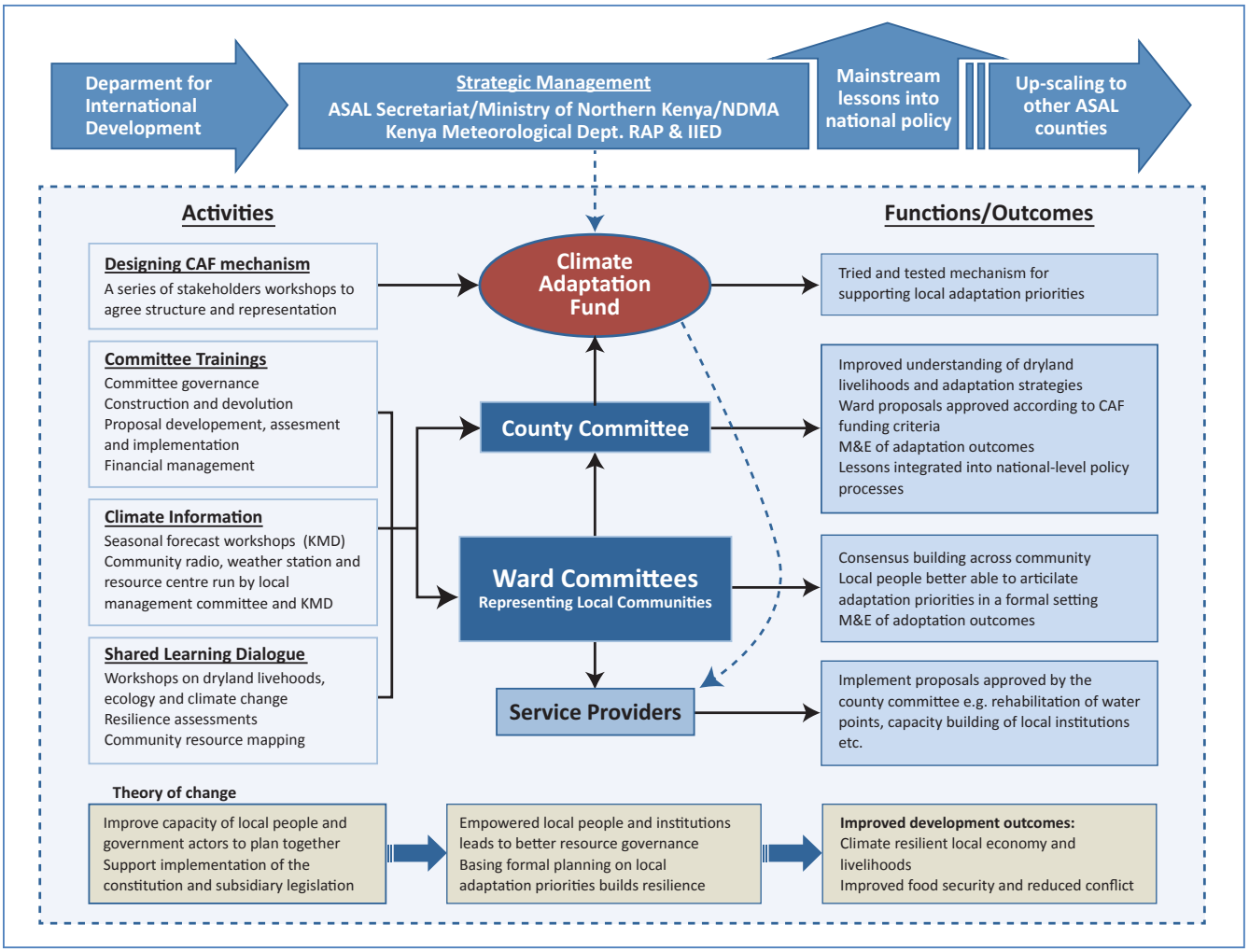
- Must benefit many people;
- Must support the economy, livelihoods or important services on which many people depend;
- Must be relevant to building resilience to climate change;
- Must encourage harmony, build relations, understanding and trust;
- Must have been developed after consultation with all potential stakeholders;
- Must be viable, achievable and sustainable;
- Must be cost effective and give value for money.

The investments are submitted for review to the Isiolo County Adaptation Planning Committee (CAPC) made up of representatives from the ward committees, government and other stakeholders. Once approved, WAPCs then negotiate and sign contracts with service providers based on phased payments. Upon verifying the procurement documents and contracts, IIED releases phased payments to the contracted service providers.[11] During 2014/15, control over the ICAF will pass over fully to the county government as it is mainstreamed within the Isiolo County Integrated Development Plan and annual planning and budgeting process.

The process of decision-making enables local people, through their ward committees, to remain in control of their development and adaptation priorities in keeping with the principles and spirit of devolution. Critically, higher levels of government cannot veto, but only work to strengthen, ward-level proposals. Ward committees also manage the tendering process, which is often open to political and economic abuse, and are thereby able to ensure, and account for, the good use of their allocation of the Climate Adaptation Fund.

8 See: http://unfccc.int/cooperation_and_support/financial_mechanism/green_climate_fund/items/5869.php
9 http://adaconsortium.org/index.php/starck.html
10 In Kenya a ward is an administrative division represented by a councillor. There are 1450 in total in Kenya.
11 In the current pilot phase, IIED is accountable to DFID for the use of these funds and as such has final oversight to ensure due diligence.

Figure 1: Summary of the ICAF process



Since it was initiated in September 2012, the Isiolo County Adaptation Fund has completed the first cycle of investments in public goods and started the second cycle. The investments were in four broad areas that addressed the underlying causes of vulnerability to climate change while strengthening adaptation to future extreme events:

- Improved governance of the rangelands by funding meetings of the *dheedha*[12] customary range management institutions to review rules of access and control, including by pastoral groups who regularly visit Isiolo County, to be developed into county legislation.
- Development of water infrastructure, and the provision of training in water governance that supports multiple customary resource access rules and livestock mobility.
- Improved veterinary control through the rehabilitation of a decentralised livestock laboratory for disease surveillance and a countywide vaccination programme.
- Improved access to climate and other information by strengthening the technical capacity of the community radio to broadcast to the whole county.

12 The Boran customary institution. The Boran are the major pastoralist group in the area.

Renovated Kinna Lab / Jane Kiiru, Adaptation Consortium

Samburu Women fetching water from tank / Peter Cacah, Adaptation Consortium

What has been the impact to date?

An analysis of costs, value for money and adaptation impacts from the Isiolo process illustrates some of the challenges in funding and monitoring impacts of devolved development planning and finance in the drylands, which are characterised by significant development deficits and highly variable and unpredictable climate conditions. The early evidence, however, supports an initial view that the Isiolo model is effective.

Although the exact number of beneficiaries is currently unknown, the DFID annual review in March 2014 estimated that 18,825 people are already benefiting from the ICAF investments. The M&E process estimated that the ICAF projects had engaged the services of 430 people in Isiolo, including the creation of 152 new jobs. The M&E process is now examining how to document beneficiaries in the context of mobility and the large populations of indirect beneficiaries.

Regarding the total costs of the investments, the first round saw the ICAF commit around £355,796 (approx. US$ 575,000) for approved public good adaptation. The remaining first round funds of the ICAF have been rolled over to the second round.

The CAPC and NDMA monitoring, and subsequent testimonies, provide initial indications of the resilience impacts of ICAF investments. For example, at the CAPC meeting in March 2014, committee members from Kinna Ward reported that support to customary range management institutions (dheedha) was already having an impact, with rules protecting dry season grazing areas being better enforced (despite external political pressure) and with an increase in inter-community resource management meetings outside of the ICAF process. Testimonies from members of the community state that they are now better prepared if the rains do not come.

Evidence also suggests that the ICAF is having an impact on county government and donors. Activities in March 2014 have seen increased technical input from county government technical officers in the second round, and an ICAF-funded community consultation process for both the County Integrated Development Plan—a key document for county planning administration—and the proposed County Livestock Strategy. Additionally, county government has provided in kind support for a veterinary lab and vaccination campaign, and the KMS is continuing to support climate information services through the provision and training of staff, and the deployment of climate observation equipment. Representatives in the Isiolo County Assembly have also advocated for the ICAF process. This, coupled with indications of further funding support from county and development partners demonstrates the broader potential impact of the ICAF process.

What broader lessons have been learnt?

The first phase of the ICAF process has been run as a pilot for local level adaptation planning and finance, and has yielded a wealth of knowledge and lessons on implementing such an approach. With regards to financial and project management and the general operation of the ICAF, several recommendations have flowed from the experience in the first round. These recommendations have been integrated into the revised procedure manual and are being implemented in the second round.

Testimony on dry season resilience from better grazing reserve management

"Dedha (Boran traditional resource management institutions) are mandated to regulate access to pasture and water in pastoral systems, yet the institutions continue to be weakened and undermined by formal system of governance. The support by the Isiolo Climate Adaptation Fund came … to strengthen customary systems of planning, use and management of our natural resources. The natural resource management meetings we have undertaken not only awakened our customary system of managing grazing land and water into the wet, dry and drought reserves, but also capacitated the [Dedha] members to do proper planning to enable effective use and utilisation of resources. The planning process enabled the community to reclaim community drought reserves; this move rubbed many up the wrong way, including political leaders who wanted to maintain the status quo at the expense of the majority. Communities have now put in place systems to regulate entry and access of pastoralists into these seasonal grazing areas. Our pasture land is now well managed and we have drought fall back areas..."

Mzee Sar Goresa Dedha member Kinna, March 2014

The project has also served to highlight the common difficulties faced by communities in underdeveloped dryland areas, including:

- A lack of technical experts to support development activities. For example, in Isiolo there is one water officer supporting the design and supervision of several water projects;
- A generalised lack of understanding of the rationale of dryland economies and livelihood strategies amongst many government staff;
- A lack of service providers to implement work, thus making the procurement process difficult;
- A lack of general communication, transport and other infrastructure, thus reducing the efficiency and speed of project activities;
- A lack of general banking and accounting infrastructure and practice. For example, all transactions require supporting documents to be submitted and filed for auditing, but there is a general difficulty of getting receipts; and
- Weather and seasonal variability can interfere with project implementation and monitoring plans, thus making the process difficult to align with financial calendars.

The ICAF is seeking to address these challenges by highlighting these issues to government and development partners, and working to improve broader development plans such as the County Integrated Development Plan (CIDP):

1. While this approach has a technical entry point to influence planning policy and practice in the drylands (i.e. climate change adaptation), it is fundamentally a political process in support of devolution, and requires careful management and continual support from existing government institutions and local communities.
2. Development partners and implementing organisations need to carefully plan and manage the process to ensure a balance where local communities have genuine control over donor and/or public funds, while ensuring good financial management in a context of high risk.
3. The final aim of this process is to mainstream the approach into county government. This requires development and implementing partners to continually reassess and reposition their role to build local ownership of the process and to always seek opportunities to integrate leadership and accountability with local institutions.

Almost all examples of progressive partnerships between local people, customary institutions and government is a 'relinquishing of control' by government in recognition of the expertise and knowledge of drylands communities in successfully managing highly variable climatic conditions.

Where to from here?

For the ICAF, the focus for 2014 is to consolidate the achievements of the first investment round, implement a successful second investment round and to move to full integration with Isiolo county government finance and planning processes. The continued success of the ICAF will also serve to inform the application of the approach in the four other Kenya ASAL counties (Wajir, Garissa, Kitui and Makueni) with support from the Adaptation Consortium. Given the differing contexts between counties, and that county government structures are generally more developed now than at the inception of the ICAF, the structure and process of the approach will likely vary across the four new counties, but the ICAF pilot provides a basis for the design of these approaches. The objective is to have the others fully operational in the four new dryland counties by the end of March 2015.

Further information

For an overview of the project and updates on new outputs and new publications visit http://adaconsortium.org/index.php/ada-publications.html

For further information on specific aspects of the ICAF process, refer to the following publications:
Participatory digital map-making in arid areas of Kenya and Tanzania: http://pubs.iied.org/G03659.html

Ensuring devolution supports adaptation and climate resilient growth in Kenya: http://pubs.iied.org/17161IIED.html

An interactive resource map for Isiolo showcasing data collected via the community resource mapping: http://asal-resources.geodata.soton.ac.uk/#map=11/0.7168/38.4652&layers=\R

A summary example of a resilience assessment from Merti Ward, Isiolo: http://pubs.iied.org/G03465.html

The ICAF Procedure Manual: http://adaconsortium.org/index.php/ada-publications/ada-county-reports.html

For an example of how the ICAF is informing the Green Climate Fund on devolved climate finance see the report Devolved Access Modalities from the European Capacity Building Initiative: http://www.eurocapacity.org/downloads/DevolvedAccessfinal.pdf

Tracking Adaptation and Measuring Development M&E Framework: http://www.iied.org/tracking-adaptation-measuring-development

Creating successful peace committees in Karamoja, Uganda

By John Lonya, and Ngelamoe Chris Lopeyok, Karamoja Peace and Development Agency (KAPDA)

The Karamoja region has a long history of conflict. KAPDA is a small NGO that is now making steady progress in promoting peace and reconciliation by establishing highly participatory peace structures amongst both traditional authorities and at the local sub-county level.

Background to the KAPDA

The Karamoja Peace and Development Agency (KAPDA) is a local NGO based in Kaabong District of Karamoja region, North Eastern Uganda. The organisation was founded in 2005, and although originally only focused on Kaabong now works throughout Karamoja. KAPDA carries out development activities impacting everyone—irrespective of age, sex, religion or political affiliations—and this is reflected in the composition of its membership and staff. Currently KAPDA operates in 14 sub counties of Kaabong district. It was originally created by a group of peacemakers[13] following a period of severe insecurity between the Dodoth of Kaabong District and their neighbours. First funded by Oxfam GB, KAPDA is currently implementing a Growth, Health and Governance Programme (GHG) funded by Mercy Corps Uganda. KAPDA's mission is to build a peaceful and sustainable environment by fostering co-existence to enhance development.

Causes and consequences of conflict in Karamoja

Insecurity in Karamoja is caused by a number of factors, including cattle raids/theft, cross-border conflicts with Kenya and Sudan, and disputes caused by grazing, water points, farming and lack of respect for boundaries. These continued conflicts lead to food insecurity, human suffering, frequent famines, and the long-term under development of the Karamoja region as a whole. Conflict in Karamoja dates back to the time when spears and arrows were used for executing raids, driven by seasonal changes and attempts to amass cattle wealth, and were followed by severe revenge raids.

In the 1979 military coup the Karimojong acquired guns, and the mode of cattle rustling changed to the use of automatic guns: the situation then become highly complex and very difficult to contain. The result was communities throughout Karamoja becoming confined because of the escalated insecurity. People abandoned fertile farmland, food insecurity occurred, and people had to resort to surviving on hand outs distributed by international development partners, leading to dependency and hopelessness. From the 90s up to 2000, gun ownership in Karamoja increased up to an estimated 40,000 by the time the Government of Uganda (GoU) launched its disarmament programme in 2003. The GoU sees the programme as a success, with a large number of pastoralists turning farming since most of them lost their cattle. But the change is very hard for the Karimojong themselves since cattle keeping had always been their source of livelihood.

Existing peace structures in Karamoja

A council of leaders, who are trusted by the people, manage the traditional system of peace and reconciliation in Karamoja: what these elders have agreed upon becomes binding—with violations leading to punishments that are usually very severe. Peace resolutions are normally carried out at specific peace spots, where no bloodshed is wanted, and at shrines.

These binding laws made by elders are not documented anywhere, but are well known in communities in Karamoja and beyond. Instructions on grazing patterns come from the elders to the youth. The traditional council of elders, although fading now, is solely responsible for managing resources in Karamoja (like land), managing information flow, and for sharing. The phrase commonly used in the Karimojong language is: "the elders are saying…" The elders also manage external relations with the rest of the Karamoja cluster's cross-border neighbours.

From 2000 onwards the role of women in peace building has increased in importance. Widows and other women became tired of losing their husbands and children in cattle rustling/raids/theft, and being inherited from husband to husband. Women's participation in conflict mitigation increased through the formation of women groups and women articulating their concerns during peace meetings. In 1999 a famous woman called Aya trekked from Lotukei in South Sudan to Kawalakol in Uganda in search for peace between the Didinga of South Sudan and the Dodoth of North Eastern Uganda. She helped promote a peace deal that has lasted up to today. In 2008 the Centre for Early Warning Response Unit (CEWERU), under IGAD, created sub-county peace committees in order to enable early warning and response to conflict at the sub-county level. Peace committees work hand-in-hand with the traditional authorities on issues of conflict mitigation and peace building.

How KAPDA operates for conflict mitigation and peace building

KAPDA works in partnership with 34 peace structures in Kaabong District. A peace structure is a group of peace actors selected by community members in each sub county, to represent the community on issues of conflict mitigation and also development issues. Each structure comprises 16 peace actors. A Sub County Peace Committee (SCPC) is chaired by the Local Council 2 (second lowest level of government), whilst the kraal leader in each specific sub-county chairs the Traditional Authority (TA) structures.

KAPDA activities follow a general format that includes:

Community mobilization. Meetings with the two structures to discuss a participatory action plan, seek input, set dates, and secure participation for activities.

Security and governance–related activities. These can take the form of trainings, forum discussions, exchange visits, or new initiatives to strengthen peace and security in the region such as an experimental conflict Early Warning System that uses mobile technology.

Follow-up meetings. Follow-up meetings to understand the impact of activities in achieving wider programme objectives. The focus is on whether KAPDA's support has translated into measurable results in the form of conflicts averted, new or revised resolutions etc.

13 Lonya John, Nangiro Simon, Abach Peter, Akello Paska, Lochokio Moses, Lokuda Peter, Lochap Philip, Nasigiria Margaret and Ateu Benjamin.

Support at structure meetings. KAPDA provides support to peace structures at meetings called to address security and governance-related concerns. At the meetings KAPDA acts as a resource facilitator where needed: observing the sessions, asking questions that encourage strategic thinking and decision making, ensuring that the views of different actors are expressed and taken into account, and that due process is followed.

Women's representation in the formal and informal governance structures in the target communities is low, so KAPDA is planning to partner with two women's groups—Peace and Justice Commission and Anti Violence Women's Group in Kawalacol—to increase this group's voice and to help build a sustained women's movement that can press for equal representation. KAPDA will also focus its efforts on the sub-counties that are especially food insecure and conflict prone; currently, Loyoro, Kamion, Sidok, Town Council and Kaabong East and West. These could change over the course of the programme cycle as the security situation evolves.

Case study on conflict mitigation in Kalapata sub-county

In September 2012, KAPDA conducted an actors mapping exercise to find out about existing peace structures that the organisation could work with. Meetings were conducted at the village level and relationships were carefully built with the communities with strict adherence to key organisational principles: being honest, keeping promises, and ensuring what was discussed responded to communities' issues and interests. Meetings were highly interactive with no strict guidelines, and the entire exercise was very flexible, although focused on the critical issues at hand. KAPDA's successful interactions with communities is due to it being locally based and having staff from the area who are always there. The elders said:

"We would like to try KAPDA who comes up to the village trees, because many organisations have tried and the conflict is still there. Previously we were loaded onto vehicles to go in search for peace, maybe we should try this approach which starts at the village."

After the stakeholder mapping, communities carried out a participatory process of action planning. During the process a lot of visualisation was used in order to capture the attention and understanding of the participants, with information based on symbols. Working in different groups was used in order to find out the different interests of actors. The groups were then brought together to present their different findings so that areas of collaboration or working together could be identified. Later on the information was drawn onto charts and the communication flow mapped by the participants. Communities had cited a lack of information and communication amongst themselves as being a deterrent to conflict early response and mitigation. As part of the action plan KAPDA provided training on leadership and good governance to the two peace structures jointly, in order to bridge the gap in communication; thus members were able to share experiences and develop an action plan, which they later collaboratively implemented.

Sustainability

Public security meetings have now been organised at sub county level without KAPDA's support by the Sub County Peace Committees and Traditional Authority structures. Previously meetings were being organised by government and development partners, and most of the resolutions were not implemented because they were externally driven. The two peace structures now settle issues of conflict on their own, unlike previously when all cases were referred to the police and the UPDF.[14]

KAPDA will continue to learn from and hone its approach and hopes to have more progress in promoting women's voice. Now women are represented on key positions in the SCPC structures, and the guidelines of the Centre for Early Warning Response Unit (CEWERU) have specified a minimum of 30% women inclusion. Much more still needs to be done though to empower women and promote acceptance of their involvement by men.

For more information on the Karamoja Peace and Development Agency please contact: John Lonya, and Ngelamoe Chris Lopeyok kkapda@yahoo.com or lochris911@gmail.com

A woman participates in actors mapping exercise / KAPDA

Mapping of local actors / KAPDA

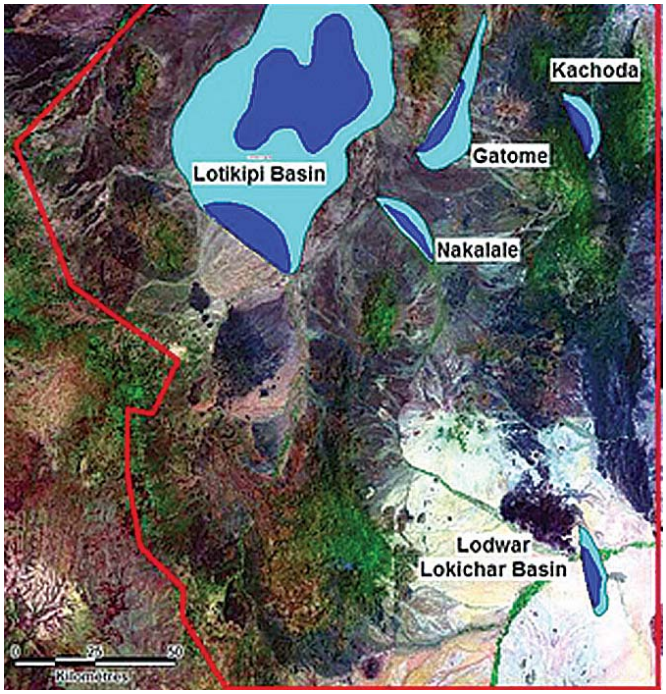
14 The Uganda People's Defence Force, or Ugandan Army.

Turkana County's aquifers and irrigated crop development prospects – Some reasons to be cautious

By Sean Avery, independent consultant

In the ASALs, surface water runoff is flashy, sometimes violent, and hard to harness, and open water storage basins are prone to sedimentation, contamination, and high evaporation losses. Groundwater is thus the main domestic water source in the ASALs. The main challenge is often not a lack of water but the practicalities of ground water utilisation, and insecurity. This article highlights some of the challenges that arise with the reported discovery of the Turkana aquifers, reportedly huge underground resources, and cautions expectations in regard to the water yields and associated crop agricultural development in these drylands, and reminds readers of a vast trans-boundary surface water resource nearby, and emphasises the need for integrated water resource management that transcends international boundaries, to avoid conflict and support the people of the region who are some of the poorest in Kenya. This article also comments on a recent study on irrigation expansion prospects along the Turkwel and Kerio rivers.

Figure 1: Turkana's regional deep aquifers (RTI, 2013)



In order 'to complement efforts that increase community resilience to droughts…' UNESCO believed 'it was strategic to support national and regional platforms to enhance their capacity in climate prediction and drought forecasting and monitoring'.[15] Accordingly, 'on behalf of the Ministry of Water and Irrigation', UNESCO commissioned an 'advanced hydrogeological survey' of northern and central Turkana County, covering an area of 36,000 km2 - see Figure 1.[16] The zone is to the west of Lake Turkana, bounded to the north by the border of South Sudan (and including the disputed Ilemi Triangle), and bounded to the west by the western Rift Valley escarpment bordering the Karamoja region of Uganda. Following the investigation, RTI / UNESCO announced the discovery of the Lotikipi aquifer, a vast underground lake the size of Lake Turkana, which the media then reported as being able to 'provide water to Kenya for 70 years.'[17] This large aquifer discovery added to the four other smaller aquifers announced to the east and south of Lotikipi in 2013 (locations shown on Figure 1). The discoveries were based on new remote sensing technology not previously tested in Kenya, and they investigated aquifer structures deeper than 80 metres. The presence of two of the deep aquifers was reported proven by drilling (Lodwar and Lotikipi).

The total renewable groundwater resource of northern-central Turkana is estimated by RTI / UNESCO to be 3.442 BCM/year, and this comprises both high-potential shallow and deep aquifers—with respective renewable estimated yields 2.097 and 1.35 BCM/year.[18] Short-term, exploratory boreholes were recommended in Lotikipi and Lodwar to supply water to local communities, and the drilling of 200- 500 shallow alluvial boreholes was recommended in high-potential areas identified by the survey. In terms of agricultural development potential, four target areas were proposed from a water potential perspective: (1) the riparian areas of the Turkwel river near Lodwar; (2) above the deep aquifer of Gatome; (3) above the deep aquifer of Nakalale; (4) the large area of the Lotikipi basin near the seasonal marsh.

Hydro-geologists have warned that the potential for sustainable groundwater production may be much less than has been estimated by RTI / UNESCO.[19] 'There is no clear description of the methodology, procedures and data used', and the recharge estimate methodology is 'extremely basic' and the recharge estimates 'seem unrealistically high' when compared to published data.[20] It is worth bearing in mind that infiltration from rainfall is very different from recharge, as much of infiltration is evaporated. (The National Water Master Plan assumed development yield to be 10% of groundwater recharge.[23])

Sustainability, water tables and habitats

Whilst the deep underground aquifer finds of northern Kenya have been greeted with excitement and scepticism, their presence is not surprising as the area was once very wet—with Lake Turkana previously a freshwater lake 5-times its present size. As little as

15 UNESCO, Groundwater Resources Investigation for Drought Mitigation in Africa Programme (GRIDMAP). Strengthening Capacity to Combat Drought in the Horn of Africa: Tapping Groundwater Resources for Emergency Water Supply. http://www.unesco.org/new/fileadmin/MULTIMEDIA/FIELD/Nairobi/Drought.pdf

16 Radar Technologies International (RTI): Advanced Survey of Groundwater Resources of Northern and Central Turkana County, Kenya, Final Technical Report, commissioned by UNESCO under the GRIDMAP Framework of the Government of Kenya, Ministry of Environment and Natural Resources, funded by the Government of Japan, August 2013.

17 ITV News, Huge water reserve discovered in Kenya, 11th September 2013, www.itv.com

18 1 BCM = 1 billion cubic metres = 1 km3 (1 cubic kilometre).

19 IGRAC (International Groundwater Resources Assessment Centre), October 2013. Review of the Report: Advanced Survey of Groundwater Resources of Northern and Central Turkana County, Kenya (RTI August 2013).

6,500 years ago the recharge rates for the underground water aquifers would have been huge. Today Turkana has an arid and semi-arid climate, with the likelihood of becoming hotter and more arid with on-going climate change. Due to the area's low rainfall the groundwater recharge is described by RTI/UNESCO as being 'considerably weak': a fact which has a crucial bearing on the need to ensure future water abstraction is carried out sustainably. The 'considerably weak' recharge estimated by RTI/UNESCO might actually be considerably less than what is being assumed, thereby adding weight to the cautionary reaction presented in this article. Whereas RTI/UNESCO estimated recharge rates at 16.3% of rainfall, IGRAC have cited published recharge rates that are very much lower, for instance comparative recharge values for semi-arid and arid lands in the range 0.1 to 5%.[19] It is thus critical to re-visit the recharge estimates of RTI / UNESCO, as the expectation from the renewable resource may be over-stated by far, and there is a danger that schemes will be initiated that are doomed to fail. It has also been mentioned that there may have been double counting in regard to the deep aquifer recharge assumptions.[19]

If sustainable abstraction levels are exceeded, aquifer levels will diminish, and their storage capacity can be permanently damaged. Aquifers beneath the city of Nairobi, for example, have been declining at the rate 10 metres per year due to over abstraction in some areas. There are also examples in other countries of major underground aquifers being reduced by agricultural abstraction to the point where it is no longer economically viable to pump their water: The Al-Wajid aquifer in Saudi Arabia is one example where the water table in agricultural areas has declined 200 metres since the 1980s.[20]

Local knowledge in Turkana has long recognised that shallow potable ground water is available not far underground along the main river drainage lines, for instance along the Turkwel and Kerio rivers, and other seasonal watercourses. Traditional water sources, mainly shallow wells, once made up over 90% of all the water sources in the former district. Borehole drilling technology has been introduced in recent times, but for various reasons had mixed success: By 1994, five hundred boreholes had been drilled in Turkana, although only 40% were operational.[21] The *Range Management Handbook*[21] in 1994 questioned whether there were too many boreholes in relation to the available forage. It is now widely recognised that permanent water sources like boreholes lead to the concentration/settlement of human populations, and a consequent increase in the degradation of the surrounding habitat. Despite this, many intervention agencies still continue to drill boreholes: Oxfam, for instance, has drilled over 100 boreholes in the Turkana area since 2007, with a success rate of 70- 80%.[22]

Kenya's Water Resources Management Authority (WRMA) recently issued new Water Allocation Guidelines with which to determine sustainable national water abstraction levels. WRMA issues abstraction licences that specify abstraction limits, and these can be amended based on aquifer monitoring findings. Aquifer monitoring is essential, as recommended by RTI/UNESCO, and it is fundamental that borehole users abide by the abstraction limits specified in their licences.

National v local benefits

Kenya's recently updated National Water Master Plan has not surprisingly predicted that groundwater potential exists throughout much of northern Kenya's arid and semi arid lands.[23] The National Master Plan mapping indicates the 'groundwater resources potential for development' in the Lotikipi Basin as amounting to 20 – 100 mm/year, which on average is much lower than the figure of 96 mm/year derived from the RTI/UNESCO data. Other semi-arid lands in northern Kenya are predicted to have comparable potential.

The water discovery announcements suggested a wealth of new opportunities in prospect for the local people, but the reality may be very different. Whereas private property ownership is protected by the Constitution, water resources are vested in the nation. National resource exploitation calls for sensitive management, especially in considering the effects on local people and their expectations in terms of benefit sharing. RTI/UNESCO reported that the Turkana aquifer water resources could form a water reserve for the national population of 41 million people for 70 years (RTI, p.60). The RTI/UNESCO report will reinforce already prevailing fears that the area's new found resources are destined to be removed from the area, as has happened in the past, for instance with Turkwel dam's hydropower.[24] To avoid potential conflict, the national benefits from any resource development must prioritise the people local to the resource, and with the recent devolution of government to the Counties, there is now real potential to achieve this. The same priority needs to apply to the oil finds in Turkana. The expectations need to be reasonable though, as otherwise the developers will go elsewhere.

RTI/UNESCO announced that the Turkana aquifer water resource discoveries increase Kenya's water resources by 17% from 20.2 to 23.6 BCM/year. By contrast the 2030 National Water Master Plan has determined Kenya's water resources to be 76.61 BCM/year, i.e. more than 3-times the UNESCO figure. Based on these figures, the RTI/UNESCO Turkana aquifer find is not as significant a proportion of the national water resource as has been claimed. It is worth noting that the 2030 National Water Master Plan's country-wide groundwater resource was almost 100-times the figure estimated by the same Master Plan team in 1992. The reasons for such a dramatic increase are unclear, perhaps attributable to definitions and yield methodology. But, as planning decisions are being made on the basis of available data, the information needs to be accurate. RTI/UNESCO has recommended that their remote sensing study technology be extended to the entire country. Provided the concerns about verifiable methodology and recharge are first addressed in Turkana County, this is a sensible suggestion, as the Turkana water resource needs to be contrasted with water resource availability throughout the country, and regionally, taking into account costs of exploitation and conveyance, and the risks. Only then can planners decide the national priority to attach to this particular water resource.

20 Al-Kahtani, Safar and Sobbhy M Ismaiel, Groundwater management in the Kingdom of Saudi Arabia: A case study of Al-Wajid Aquifer, December 2010.
21 MALDM: Range Management Handbook of Kenya, Vol II, 9, Turkana District, Ministry of Livestock Development and Marketing, Republic of Kenya, Nairobi, 1994.
22 Oxfam: Personal Communication from Brian McSorley, November 2013.
23 Nippon Koei / JICA Study Team: The Project on the Development of the National Water Master Plan 2030 (the Master Plan), Interim Report, for the Ministry of Water and Irrigation, Kenya, dated April 2012. See also "Workshop on Progress Report 4", dated August 2012.
24 The notable example is the Turkwel gorge dam, whose powerlines feed not locally, but to Kenya's far away cities.

The RTI Report commissioned by UNESCO correctly recommended aquifer protection through 'gazetting'. Under the Water Act, WRMA has the authority to declare protected water catchment areas. Such aquifer protection would include attention to the surface catchment areas to sustain and enhance recharge to the aquifers. Otherwise, with on-going land degradation and development, there is instead escalating surface runoff and diminishing infiltration, increasing surface evaporation, and diminishing recharge. All Turkana's aquifers will also need to be protected from contamination, either from surface pollution spillages, or from agricultural chemical contamination, or through oil drilling operations that might encroach into these aquifers.

Irrigation potential and pitfalls

Irrigation water requirements are seen as the most important factor in Kenya's water planning; today accounting for 65% of Kenya's current water usage, and forecast to increase to over 80% by the year 2030.[23] Kenya has ambitious plans to increase irrigation 600% nation-wide, with over 80% of the schemes being in arid and semi arid lands (ASALs). This irrigation expansion policy is being emulated in other countries: Neighbouring Ethiopia planned that commercial farmers would produce food on 900,000 hectares of land within five years, but these plans have encountered difficulties, with only 10,000 hectares achieved to date.[25]

With crop agricultural development such an important aspect of government policy, a sustainable water supply will be fundamental to its success. The newly announced Turkana aquifers have raised considerable expectations for crop production in the Turkana area, even though the agricultural water needs in arid and semi-arid environments are exceedingly high as the potential evapotranspiration rates exceed rainfall several times over. The National Water Master Plan has calculated that in the Turkana area, the average supplementary irrigation water requirement for crops is about 20,000 m^3 per hectare per annum, although this is based on the water requirement of what the Master Plan calls a 'typical cropping pattern.' In stark contrast, in parts of Kenya's highlands, the equivalent crop supplementary water requirement for crops is zero, and no supplementary irrigation is required.

Whilst water is the main challenge facing crop development in Turkana, soil considerations are equally important, as stated by RTI/UNESCO. Due to the high temperature and evaporation rates, arid land soils are vulnerable to salinization, which destroys agricultural potential.[26] To avoid this, adequate good quality flushing water and good drainage are needed.

A recent study commissioned by FAO has identified the potential to increase the present irrigated areas in Turkana County from 2,666 hectares to 16,600 hectares, thereby not only meeting the County's food needs, but achieving a food surplus to export beyond the County.[27] The FAO study was investigating riverbank schemes along the Kerio and Turkwel rivers. The FAO study has however found that these schemes are not sustainable without massive financial subsidies. The irrigation scheme infrastructure typically only lasts three years, for several reasons, including destruction by floods,[27] and in some cases attributable to poor design.[28] The water resource availability assumptions by the FAO team may be optimistic, and it should be noted that the Turkwel and Kerio rivers serve as an important indirect recharge mechanism through riverbed infiltration into the ground water. The water removed by upstream irrigation schemes will no longer be available to indirectly recharge the alluvial aquifers downstream, and will reduce water availability to sustain riparian vegetation zones. Put into a different perspective, the water needed to irrigate 16,600 hectares in the arid lands is equivalent to the basic water need[29] of a human population of over 36 million people. It should also be noted that gravity water feed design considerations require these irrigation schemes to be built within or through the riparian zone adjacent to the rivers. Indigenous riparian forest is being cleared with local climate consequences, and irrigation canal offtakes are serving as conduits for destructive floodwaters. Because of the sustainability issues of riverbank irrigation schemes, some NGOs have shifted focus, instead adopting small-scale borehole-based drip irrigation schemes located away from the rivers. These projects must also deal with a different range of sustainability issues.

All the above considerations serve to reinforce the challenges facing large-scale crop production in Turkana. Because of the uncertainties and unavoidable large supplementary water requirements for crops grown in the drylands, the crop production costs are very high, as noted by FAO, and economics is a determinant in deciding whether implementation is advisable.

"The newly announced Turkana aquifers have raised considerable expectations for crop production in the Turkana area, even though the agricultural water needs in arid and semi-arid environments are exceedingly high as the potential evapotranspiration rates exceed rainfall several times over."

25 Bloomberg News, Ethiopia push to lure farm investment falters on flood plain, 25th November 2013.
26 FAO, Corporate Document Repository: Socio-economic considerations in reclamation and management of salt-affected soils. Also Land and environmental degradation and desertification in Africa: "The magnitude of the problem".
27 Ocra Consultants Ltd., Opportunities and Threats of Irrigation Development in Kenya's Drylands, Volume VI, Turkana County, 2013, study commissioned by FAO and funded by EU.
28 Personal observation.
29 Basic human need = 25 Litre/cap/day (Legal Notice N.171, The Water Resources Management Rules 2007, Kenya Water Act).

Siltation along the River Turkwell / Sean Avery

Trans-boundary water resource opportunities

Meanwhile, close by, a vast trans-boundary surface water resource exists in the form of Ethiopia's Omo River, which empties into Kenya's Lake Turkana. This river discharges 17 BCM/year, an amount that is 5-times the, as yet, uncertain renewable yield forecast by RTI / UNESCO for the Turkana aquifers. The Omo River on its own discharges almost as much water as all of Kenya's perennial rivers combined. This water resource is being developed by the Ethiopian Government, which is planning over 450,000 hectares of irrigated commercial agricultural development not far from the Kenya border.[30] The Lower Omo agricultural development plans are steeped in controversy,[30] including human rights abuse accusations,[31] but the Omo River is a trans-boundary resource, and Ethiopia plans over 200 kilometres of irrigation canals running all the way to the lake. So far, there is no mention of benefit sharing with Kenya. The Lotikipi aquifer lies beneath the Lotikipi Basin, another trans-boundary basin, in this case flowing north into South Sudan.

The way ahead

In Kenya's remote areas, the key issue is often the cost of extracting and distributing underground water resources effectively and maintaining the associated infrastructure. Rivers are seasonal, and runoff is flashy and violent, which makes surface water resources challenging to economically harness. The Turkana aquifers are some years away from being proven, the recharge estimates seem too high, and the deep water aquifer quality is uncertain. In addition only about 10% of the groundwater recharge can be considered sustainable yield for development.[23] Meanwhile, population pressure in the Turkana area requires urgent government investment now. Water resource availability is considered critical, and the Government is taking its own studies forward on the aquifers. There are boreholes being successfully drilled downstream from Lodwar, and in May 2014, the Water Resources Management Authority launched the mapping of the Turkana and Marsabit aquifers, an exercise that is expected to take a year to complete. Kenya already has an on-going need to manage its existing resources more effectively, which means urgently adopting water conservation measures throughout the nation.

FAO has warned that: 'Africa's natural resource base is being degraded and destroyed at a rate which will soon make food and agricultural production unsustainable'. Some countries are mining their groundwater aquifers to near destruction, and instead having to source food from abroad. These are typical costly consequences of poor resource management. It would make more sense for Kenya's existing highland rainfed crop production systems to be optimised first before relying on developing costly alternatives based on groundwater resources and flashy rivers

30 Avery, Sean (2013). The impact of hydropower and irrigation development on the world's largest desert lake. What future for Lake Turkana? African Studies Centre, University of Oxford http://www.africanstudies.ox.ac.uk/what-future-lake-turkana

31 Human Rights Watch, 2012. What will happen if hunger comes? Abuses against the indigenous peoples of Ethiopia\s Lower Omo Valley?

in the drylands. It also makes sense to renew support towards integrating the all-important livestock sector, which has been shown to be more economically productive in arid lands than for instance irrigated sugar plantations.[32] As far back as 1994, Kenya's Range Management Handbook warned that 'irrigation schemes on the Kerio and Turkwel rivers definitely have an impact on the pastoral economy' (p.81).[21] Aside from technical and economic sustainability questions, the historic irrigation schemes invariably selected sites that were already prime pastoral grazing areas, which creates conflict and destroys valuable riparian forests.

The large-scale crop development that is envisaged in the arid lands based on the recently reported ground water resources needs to be approached with caution. It would take time to establish, and will need to be thoroughly tested. A recent FAO study in Turkana County has shown the huge financial subsidies and human energy needed to sustain irrigated crop production in the drylands. The progress with the crop development ambitions in neighbouring Ethiopia suggest that optimistic goals will need to be tempered with realism, with contingency measures being sustained in the interim development / testing period. Water that is abstracted upstream for irrigation will reduce the water available to recharge dependant aquifers and lakes downstream, and thus requires very careful consideration before there is irreversible damage to productive ecosystems. Destruction of these ecosystems destroys the associated micro-climates, and this contributes to accelerating climate change.

There is a lot of valuable experience across the African continent to guide the sustainable and integrated development of Kenya's drylands. Pastoralism remains an economic pillar in modern Turkana County.[33] Experience indicates exciting prospects where crop development is carefully integrated with livestock production, and also suggests the best approach is community level commercial crop agricultural development, rather than the centrist large-scale systems that have failed in the past. Agricultural development policies that promote 'land grabbing' by outside commercial developers are known to displace people, and lead to local opposition, and are unsustainable.[34]

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Inlet along the River Turkwell / Sean Avery

32 Behnke, Roy and Carol Kerven, Counting the costs: replacing pastoralism with irrigated agriculture in the Awash Valley, north-eastern Ethiopia, Working Paper No.4, IIED, March 2013.

33 DLCI meeting with the Deputy Governor of Turkana County in Lodwar, in September 2014, also Turkana County Government's County Integrated Development Plan (CIDP) 2013-2017.

34 The Oakland Institute, World Bank's Bad Business in Kenya, a Kenya Doing Business Fact Sheet http://www.oaklandinstitute.org/worldvsbank-day-action-resources

Index Based Livestock Insurance: The next steps and why government support is needed

By Abdikarim Daud and Peter Mbiyu, Kenya Markets Trust[35]

Building a thriving market-based livestock insurance sub-sector in Kenya is not a straightforward endeavour. An article in REGLAP Journal 4, which detailed the progress being made in northern Kenya with Index Based Livestock Insurance, concluded that IBLI will not be entirely commercially viable without subsidy support for product development, knowledge transfer and even product premiums. The need for government involvement is explored further in this article.

Livestock in Wajir / KMT

Moving from relief towards resilience

Private insurance taken out by pastoralists to help them rebuild their herds in the event of livestock mortality through drought is a relatively new undertaking in northern Kenya, and has had little government involvement to date. Governments have tended to alleviate the effects of drought by providing post-disaster relief. This sort of aid can discourage alternative disaster mitigation programmes, such as insurance, which can provide more efficient financial solutions and can reduce the magnitude of losses from future events: recipients become dependent on relief measures rather than taking preventative steps themselves—'the Samaritan's dilemma'.[36] Although social safety net programmes serve as important support mechanisms to the most vulnerable and poor in the population, it is also important to avoid dependency where there are opportunities available that can help people develop resilience.

Index Based Livestock insurance (IBLI) is an innovative approach that is aimed at cushioning livestock owners from risks such as drought. Although not appropriate for all livestock owners (there are a considerable number of people who own too few livestock units to make extensive livestock production viable), there are many livestock owners in Northern Kenya that own viable herds, who would be able to pay the insurance premiums, and for whom the product could be a viable risk management mechanism. The pilot stage of IBLI has shown considerable potential, but there is now a need for government involvement to make it possible for more people, with capacity, to buy livestock insurance.

Addressing systemic risk through a risk-sharing framework

One central argument for government intervention in the provision, administration, and oversight of livestock insurance programmes involves the presence of systemic risk in the sector (that is, risk that affects a large number of herders simultaneously). The systemic component of livestock risks can generate major losses in the portfolio of insurers, making it impossible for a single or pool of reinsurers, to cover such a large liability, thereby constraining the growth and sustainability of the sector. The argument follows that, because private reinsurance markets may not be able to absorb the catastrophic risks associated with livestock, the government should assume the role of a reinsurer of last resort. The government is assumed to have "deeper pockets" than private reinsurers and thus be better able to provide the capital necessary to finance such systemic risks.

The systemic risk argument for government support is persuasive, but for reinsurers that have an international portfolio, risks can be spread and diversified across different sectors. National government involvement could be better targeted at establishing a risk-sharing framework for the industry—a framework that would help spread the risks across all the players. Such a framework would include multiple layers of risk absorption:

a. *Self-insurance:* a certain minimum percentage of the losses to be retained by the owners of livestock.
b. *Underwriter insurance:* from the minimum per cent of self-insured loss up to a certain limit of the losses suffered by the owner of livestock, the insurance companies to take over.
c. *Catastrophic insurance by the Government (National/ County).* The Government intervenes beyond certain limits of the losses (catastrophic levels) to further cushion the underwriters. This should not be considered through a safety net programme, but rather through risk sharing method with the insurance companies.

35 This article has been compiled with information drawn from research carried out by Kenya Markets Trust (a non-profit organisation that seeks to transform the performance of key markets in Kenya). Kenya Markets Trust is engaged in Extensive Livestock Programming in Northern Kenya and other parts of the country.

36 The Samaritan's dilemma hinges on the idea that when presented with charity a person will act in one of two ways: using the charity to improve their situation, or coming to rely on charity as a means of survival. (Wikipedia)

Grazing livestock in Wajir / KMT

Providing information support for livestock insurance

In developing countries a further impediment to the provision of livestock insurance is the lack of information support. Data is required for all aspects of the insurance product: product design, marketing, and for determination of payments. It is too costly for individual insurance companies to be able to collect and analyse the required data at a significant scale. The Government needs to create public goods, such as agricultural and weather databases and livestock risk models, providing domestic insurers with reliable data and quantitative tools to better assess their catastrophe risk exposure and thus design sound insurance products. This is an important opportunity for government participation in making data available to underwriters at an affordable cost.

Any data collection process needs to be transparent, subject to strict protocols, and handled by an impartial third party. Unfortunately, in Kenya this is not usually the case. Rainfall data has been collected for decades using manual rainfall gauges, which expose the data to erroneous reporting; and the collection of livestock census and ownership data is also not always conducted as it should be, usually because of lack of financial and human capacity in statistical departments. Lack of historical data can prevent the proper modelling of the underlying risk, leading to the incorrect pricing of livestock insurance products.

Within IBLI specifically, index data on forage availability collected by satellite is one way of getting information for cross checking livestock mortality information. Sometimes it is necessary to pull together other sources of information and data to give more strength to the satellite images. The state National Drought Management Authority collects regular data on forage availability, the patterns of rain and the body sizes of livestock, whilst the Kenya Meteorological Service provides information on the weather and climate. The pulling together of these critical sets of information can help in making important scientific decisions on the levels of drought, and hence is a key pillar to index based livestock insurance.

Overcoming the lack of an insurance culture

A commonly cited reason for the low demand for agricultural insurance in developing countries is the limited understanding of its benefits. Insurance is often viewed as a non-viable investment because premiums are collected every year but indemnities are paid much less frequently. The general population perceives insurance—particularly agricultural insurance, which, by definition, pays only when infrequent events occur—as the privilege of the rich. A unique additional challenge also exists in Northern Kenya where a majority of the population are Islamic, and insurance products need to be Sharia compliant. Market actors with compliant products are already in the market, but are limited, leading to lack of competition. The Government, in collaboration with other technical institutions, could provide technical support in outreach and design of specific insurance products by establishing collaborative research initiatives.

"The systemic risk for insurers within the livestock sector in the ASALs is due to the huge climatic risks. To promote entry of more insurers the government could consider sharing the risk with the insurers in the early stages of growth, before a critical mass has subscribed and therefore the spread of the risk is greater."

Wajir elder receiving a payout in the first ever sharia compliant insurance payout / KMT

Although livestock keepers tend to be very aware of their production risks, they often underestimate the likelihood or severity of catastrophic events. Government and development partners can play an important role in providing awareness and education programmes, and in supporting the marketing and promotional programmes of the private commercial insurance sector. Public education to increase the level of awareness about insurance in the target areas requires significant resources to help increase uptake. Government can play a significant role in this area together with the Insurance Regulatory Authority (IRA), Association of Kenya Insurers (AKI) and insurance companies, through marketing and training. The government could also use its extension system to facilitate outreach and education to enhance the insurance culture. This will lower the transaction costs for the underwriters and promote growth of the sector.

Insurance is not an easy product to sell even in relatively mature markets; it requires a good network of sales agents who can explain the product to the customer, do the documentation and file the claims when the incidents occur. Such a network of agents does not exist in Northern Kenya at the moment. Additional incentives may be required from government, such as promoting communication infrastructure e.g. mobile telephone networks and roads.

Developing a regulatory framework

The regulatory frameworks governing insurance markets in Kenya are currently underdeveloped, with no specific regulations and guidelines on micro-insurance and IBLI. As a result, regulatory overlay may inhibit increased penetration of insurance, including livestock insurance. Innovative insurance products, such as index-based livestock insurance or parametric (weather-based) insurance, require an effective, enabling, regulatory framework.

Government must also carefully analyse the fiscal implications of any government sponsored insurance programmes, whose costs may not be sustainable in the long term. Subsidies on livestock insurance premiums should be carefully considered because they can distort price signals and provide inappropriate incentives to livestock herders to take beyond reasonable risk. A survey by the World Bank concludes that premium subsidies are not a prerequisite if livestock herders are to purchase voluntary livestock insurance.[37] Where subsidies are offered, planners should carefully identify which beneficiaries, livestock sectors, and regions to target; and whether the subsidies will be provided for a limited period or phased out over time once insurance takes off and achieves a critical presence in the market.

Government support is now crucial to further stimulate the growth of the emerging market-based livestock insurance sector in Kenya. Support is needed to help ease the barriers to entry (particularly on the information requirements), and to stimulate the involvement of more insurers by helping to spread the risks and establish a regulatory framework. Government supported public awareness campaigns can target livestock owners, address misunderstandings about insurance, and help those with viable herds to see insurance as an alternative resilience building strategy in the drylands.

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37 Source: Government Support to Agricultural Insurance Challenges and Options for Developing Countries; 2010 World Bank

Measuring resilience with governments taking the lead

By Catherine Fitzgibbon, independent consultant

It is essential for governments and agencies to be able to measure resilience effectively so they can recognise how and when resilience has (or has not) been built as a result of specific policies or programming. Measurement is also necessary for assessing progress towards achieving resilience - either over time, or between target groups or populations. This article looks at some of the issues and challenges involved.

There are very few practical monitoring frameworks for measuring resilience. Reasons include: the practical complexities of effective data collection in the drylands; the on-going debates over whether resilience measurement needs to be contextual or universal; and the problem of defining the very multifaceted concept that is resilience- and therefore identifying exactly what to measure. The DLCI/REGLAP Technical Brief *'Progress to date with measuring resilience in the Horn of Africa'* (March 2014) reviews the very practical efforts of three international agencies to measure resilience.[38] UNDP's Community Based Resilience Analysis (CoBRA), FAO-WFP-UNICEF's Mixed Methods model, and Mercy Corps/TANGO's Resilience Determinants Analysis (RDA) approach have each been piloted over the last year or more in the HoA. The Technical Brief provides summaries of the three models, with the CoBRA methodology also being explained in detail in Edition 4 of this REGLAP/DLCI journal series. The brief highlights the on-going challenges of resilience measurement and includes some valuable suggestions on the way forward, including the important role that governments can play. This article summarises the key issues and the recommendations made.

Some practical challenges in measuring resilience

A number of resilience frameworks have emerged in recent years, including an ILRI Technical Consortium framework that contains over 100 potential variables or indicators. The practical difficulties involved in collecting the level and types of data that this type of framework requires cannot be understated. Data collection has always been problematic in the arid and semi-arid lowlands of the HoA, where low population densities mean national data sets often use very small unrepresentative sample sizes. (A single small data set may exist to measure a variable for the entire ASAL area, e.g. maternal health figures for the ASALs in Kenya are based on a sample of 97 households[39].) The high costs of undertaking regular, quality data collection is a critical factor that is rarely taken into account by those creating 'ideal' monitoring frameworks with large numbers of indicators.

Another practical constraint is that certain issues critical within resilience are extremely difficult to measure. Examples include peace/security, governance, and women's empowerment - factors that influence decision-making and risk-taking, but which may be psychological or cultural in nature and therefore hard to quantify. A further data collection problem in 'disaster' affected areas is that variables can move both up and down very quickly as a result of shocks and hazards. Thus data is often highly skewed, making long-term trends hard to establish. There is an acute need for more robust longitudinal panel data.

Universal or contextual

An on-going issue within debates on resilience measurement is the extent to which resilience is a universal or a locally contextual concept. A resilient household in one area may look very different to one in a different context or environment, and therefore the same set of indicators cannot be used to measure resilience everywhere. For example in Karamoja, Uganda, a household is considered resilient if it has over 10 cattle; whereas in Marsabit, Kenya a resilient household is deemed to require over 200 shoats and 50 camels or cattle to be resilient.[40] The difference is due to the factors that make each household resilient being dependent on the nature and scale of the shocks/hazards they face, and the livelihood strategies they employ. The resilience indicators selected for measurement must therefore be different for each location, but the counter argument is that without universal measures of resilience it is impossible to compare progress between and across populations.

To be able to compare resilience regionally it might be helpful to consider the approach taken by Millennium Development Goals (MDGs). Each MDG represents a single impact indicator (e.g. MDG4 the reduction of child mortality), as an ideal end state, and one that can be used to compare countries and motivate action. Although the factors underlying child mortality are contextually specific in each country, and different interventions and strategies are required to tackle them, a causal analysis used to develop the right interventions will lead to the same end result. The process requires the development and monitoring of locally specific process indicators that do not need to be measured in all locations: For instance you would not measure the incidence of malaria in a non-malarial area. The identification of universal and contextually specific indicators for resilience could be done in much the same way.

Definition issues

The review of the UNDP Community Based Resilience Analysis, FAO-WFP-UNICEF's Mixed Methods model, and Mercy Corps/ TANGO's Resilience Determinants Analysis approach identified a number of outstanding definition problems in measuring resilience.

Identification of a 'resilience threshold' - The focus of all the models was the identification of the key factors or variables that make households (or communities) more resilient—for example household income and asset levels, levels of education etc. But none of the models attempted to describe in practical terms what level (or threshold) of attainment of the key factors a household would have to have attained in order to be considered 'resilient'.

38 http://www.disasterriskreduction.net/east-central-africa/dlci/studies/en/
39 Demographic Health Survey (DHS) Kenya 2009 – this was due to only one administrative district (North-Eastern) being exclusively arid/ semi-arid and pastoral.
40 http://www.undp.org/content/undp/en/home/librarypage/environment-energy/sustainable_land_management/CoBRA/

Consequently there is no way to quantify the specific number/ or proportion of households in a target group/location that have achieved an acceptable level of resilience. This 'threshold' issue will require additional work within the development of resilience measurement models as policy makers need to understand when households have passed some 'resilience threshold' in order to track trends in the proportion of a population that can be assessed as above this threshold.

What does resilience look like? - Many of the challenges related to measuring resilience stem, in part, from the overuse and multiple interpretations of the term. Better resilience measurement frameworks can support an improved understanding of the term by setting out key variables and parameters that in effect define what resilience should look like once achieved. A key value of the three practical attempts to measure resilience is what they say about the important factors or variables that determine resilience, many of which were defined by communities themselves. Developing clarity around the metrics that define resilience will be a great help in informing improved programming and policies.

Resilience as the end impact or outcome - It is necessary to define resilience as an end impact or outcome so that practical measurement frameworks can emerge. The impacts and outcomes identified may not cover every conceivable aspect of resilience but they must be acceptable to the majority of stakeholders. The development of specific, universal and more locally contextual indicators can then be delegated to appropriate specialist agencies, with the potentially infinite number of variables that could be measured cut down into more manageable shortlists.

Taking resilience from theory to reality

Resilience is multi-dimensional and can only be achieved through the co-ordinated efforts of a wide range of stakeholders at multiple levels. In the same way, efforts to measure resilience should also be part of a co-ordinated and multi-sectoral approach. At a national level, Governments should take the lead in developing consensual definitions and a monitoring framework for resilience. Both the definition and the framework will need to be practical, and may not please everyone. The Government agency or department designated with this task must be capable of true cross-sectoral co-ordination and inclusive holistic thinking to avoid the natural bias that may occur in definitions, measurement tools and ultimately interventions.

Individual agencies (or even individual ministries) need to recognise that they cannot build resilience alone, and nor should they attempt to measure it alone. The best efforts of even the biggest NGOs can, at most, only contribute to the achievement resilience. Consequently in understanding resilience as a bigger issue, through being involved in wider or higher-level resilience monitoring, they can start to recognise the potential extent of that contribution. This in turn may enable them to critically examine the value of their more sectorally specific work. Often an agency's work may be beneficial in and of itself, but it may actually be doing very little to build resilience. For example the construction of water points could be considered a key activity in building resilience, but it may be that the creation of water points results in conflict and insecurity, thereby undermining resilience. Agency level monitoring of standard water and sanitation metrics may not identify this, but the bigger picture of a resilience framework will.

Governments should take the lead in establishing national (and sub-national) frameworks that their own line ministries and other actors can use to assess the actual and potential contribution of their work. Impact level resilience indicators are likely to be meta/ human development type indicators- such as increased incomes, peace and security, reduced malnutrition etc. As a condition of funding all 'resilience-building' interventions should demonstrate to government authorities precisely how their actions will contribute towards achieving these changes. Such a "joined up" approach to monitoring will then ensure effort and investment is focused in the areas of greatest weakness or vulnerability.

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The crux of the measurement problem is to identify the optimal minimum number of indicators which together fully reflect the holistic nature of resilience. Some critical issues, such as women's empowerment, are extremely difficult to measure / Kelley Lynch, Mercy Corps, USAID

How do pastoralists become displaced in relation to droughts—and what can be done to prevent it?

By Justin Ginnetti, the Internal Displacement Monitoring Centre[41] and Travis Franck, Climate Interactive[42]

Given that pastoralism is an inherently mobile livelihood, many have questioned whether pastoralists can become displaced in relation to droughts. The Internal Displacement Monitoring Centre (IDMC) and the United Nations Special Rapporteur on the Human Rights of Internally Displaced Persons have concluded, after months of legal research and after having consulted with pastoralist communities, that pastoralists can indeed become displaced.[43]

Drought-related displacement of pastoralists is a multi-faceted phenomenon. The drought itself is one of many factors that determine whether displacement will occur. What IDMC's research found is that the viability of the livelihood is the crucial factor for determining displacement: pastoralists become displaced when pastoralism ceases to be a viable livelihood strategy. If pastoralists' livestock holdings decline and fall below the critical threshold necessary to support a mobile pastoral existence they are effectively displaced, even if they remain in their traditional grazing areas.

In order to measure the scale of pastoralist displacement and to improve the understanding of the drivers of displacement, IDMC and Climate Interactive have built a pastoralist livelihoods and displacement tool for the Horn of Africa (HoA). Based on a system dynamics model, this interactive, real-time tool incorporates climate, environmental, economic and human variables. It can be used to:

- Simulate the impacts of droughts and floods on pasture quality/productivity and livestock health, and measure the knock-on effects on pastoralist livelihoods;
- Assess the scale and patterns of internal and cross-border displacement associated with past and future droughts in the HoA region;
- Prepare for humanitarian responses prior to forecasted droughts or floods; and
- Evaluate scenarios of climate change impacts, as well as humanitarian and development interventions, on pastoralist income, food security, displacement and resilience.

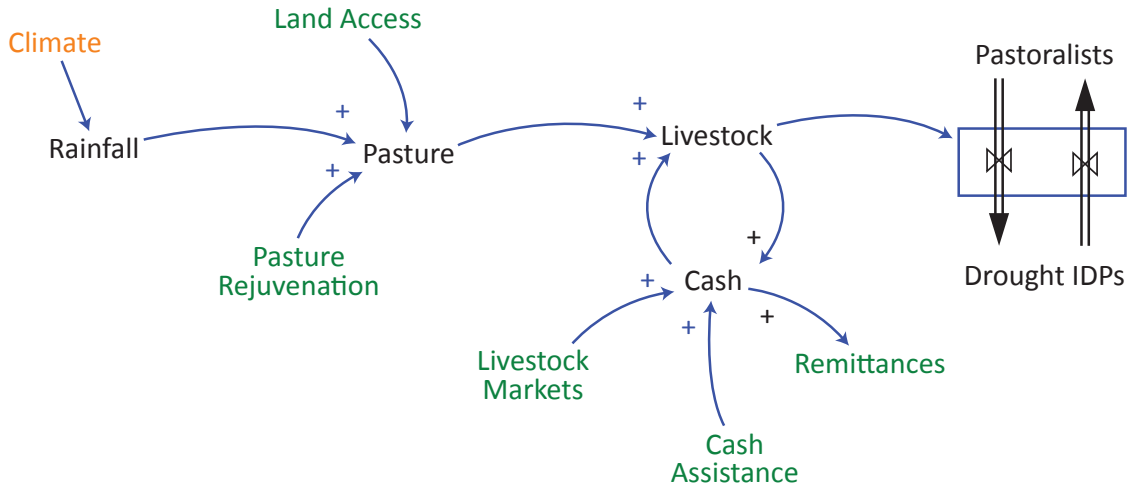
Work on the model began in 2012, when IDMC decided to address one of the evidence gaps that had been identified in the IDMC's Global Estimates report on drought-induced displacement. The estimation methodology used in Global Estimates was not well suited to assessing drought-induced displacement because of the complex, multi-causal and often delayed impact of droughts on displacement outcomes.

After extensive consultation with researchers and practitioners, IDMC concluded that a methodology based on a dynamic systems model would be the best way to assess displacement associated with droughts or other slow-onset disasters/hazards. A system dynamics-based methodology would be able to incorporate the complex interactions between the variables, and the feedback loops within the environmental and human spheres, and it would be able to explain how a slow-onset hazard such as a drought could induce a pastoralist livelihood crisis, which in turn could precipitate a displacement outcome.

The Pastoralist Livelihoods and Displacement Simulator

To build the model IDMC began a partnership with Climate Interactive, a well-regarded NGO that specializes in system dynamics-based problem analysis and the development of real-time decision-support tools customized to suit the needs of policymakers and other stakeholders.

Figure 1: High-level diagram of displacement dynamics

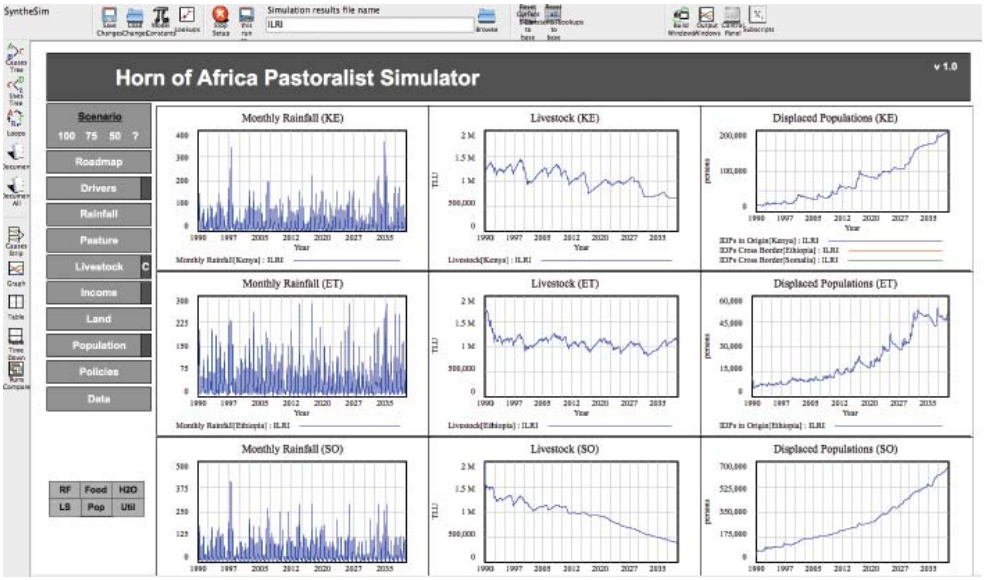


41 IDMC is a leading international body monitoring internal displacement worldwide. By providing free access to information on internal displacement, IDMC raises awareness of the plight of people who have been forced to flee their homes as a result of conflict, violence, and disasters.

42 Climate Interactive is a US-based non-profit that uses cutting-edge analytic techniques to help government, business and civic leaders see the impacts of their decisions. These, easy-to-use, tangible, scientifically-grounded tools help leaders manage their systems to create the future they want.

43 IDMC, 2014. On the margin: Kenya's pastoralists. http://www.internal-displacement.org/assets/publications/2014/201403-af-kenya-on-the-margin-en.pdf

Figure 2: Screenshot image of the Pastoralist Livelihoods and Displacement Simulator



Based upon inputs from experts from FAO, IFRC, IGAD, IOM, IUCN, ILRI, UNFPA, REGLAP, the University of Nairobi, the Kenya Red Cross Society, Tufts University's Feinstein International Center, as well as pastoralists themselves, IDMC and Climate Interactive developed a conceptual model of drought-induced displacement (Figure 1), and an interactive simulation tool (see Figure 2).

The model captures the key drivers of drought and flood-induced displacement (e.g. rainfall, pasture availability and quality, livestock numbers) and reports the amount and rate of displacement under different scenarios. As such, it provides a quick, transparent and interactive way for communities and policymakers to test strategies for preparing for droughts and floods.

Geographical and temporal scope

After piloting the model in Kenya's North Eastern Province, IDMC and Climate Interactive have expanded the simulator to encompass more of northern Kenya as well as internal and cross-border displacement within bordering regions of Ethiopia and Somalia. The model can be used to analyse both short-term (0-5 years) and long-term (50-year) effects of climate and environmental changes, demographic trends, development and adaptation policies, and humanitarian interventions.

The question of data

One of the most challenging aspects of building the model and extending it into Ethiopia and Somalia was obtaining high quality data. In some cases the data simply did not exist, sometimes the data existed but was not made available, and in other instances the data was incomplete, out-dated or not entirely credible. As a result some parts of the model are more robust than others. For example, we obtained dekadal rainfall data for the entire region from FEWS NET and its partners. After deriving pasture area from government maps, and using academic studies on the grassland productivity in response to weather, we were able to produce a model of pasture productivity in which we are relatively confident.

Modelling livestock population dynamics in response to changing pasture conditions was more of a challenge since monthly (and sometimes annual) livestock population data are much more scarce in pastoral areas. We calibrated livestock population by triangulating actual livestock population data, reported livestock birth and death rates (in response to different climate conditions) as well as market price data.

Finally, the pastoralist population data was also difficult to estimate. Kenya's 1999 and 2009 census data are contested, for example, and the most credible population figures for Somalia were even more complicated. As a result, we had to develop our own dynamic population models for each of the regions included in the model.

Project impact and next steps

In May 2014, IDMC launched the simulator, and a study based upon it,[44] at the Nansen Initiative consultation on cross-border displacement in the context of disasters. At the event, government officials used the simulator to understand the scale, scope and patterns of past and future drought-related displacement. After using the simulator to explore the effects of different land use and food assistance policies, the main question from the representative of Kenya's National Drought Management Authority was: *"How quickly can you get your model running on the NDMA's computers?"* The installation is quite easy, however staff capacity and high level buy in is needed, as well as continued work on improving data estimates and adapting them, as well as capacity for interpreting and using the results.

National governments, regional institutions, the UN, think tanks and consortia of humanitarian actors have invited IDMC and CI to customize the model for specific applications, such as county-level development planning, drought risk management and early warning. By providing a common/unified conceptual framework and transparent evidence base, IDMC and CI believe that the simulator can serve as a vehicle to facilitate dialogue and joint planning among these different sets of stakeholders and chart a pathway toward a more resilient future for this region.

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44 IDMC and Climate Interactive, 2014. Technical Paper: Assessing drought displacement risk for Kenyan, Ethiopian and Somali pastoralists. http://internal-displacement.org/assets/publications/2014/201405-horn-of-africa-technical-report-en.pdf

Putting pastoralism into numbers: Addressing the need for better data on the magnitude of the pastoralist sector in Kenya

By Helen de Jode and Vanessa Tilstone[45]

Two workshops held recently in Kenya and Ethiopia presented the findings of the DLCI study report 'Counting Pastoralists in Kenya'.[46] Based on the Kenyan workshop presentations and the report, this article highlights the urgent need for better methods to assess the pastoral system, why improved data collection methodologies would more accurately assess the pastoralist sector in Kenya, and what opportunities are available to achieve this.

Booming interest, busted datasets

Building resilient livelihoods for pastoralist dryland communities is now the central thrust of a great many initiatives in Kenya—whether focused on climate change adaptation, humanitarian disaster response or long term development planning. At the same time there is marked change in perspective from previous decades in terms of how to achieve this, with pastoralism now being seen as less of a 'problem' and more as an 'asset' at least by the academic community.

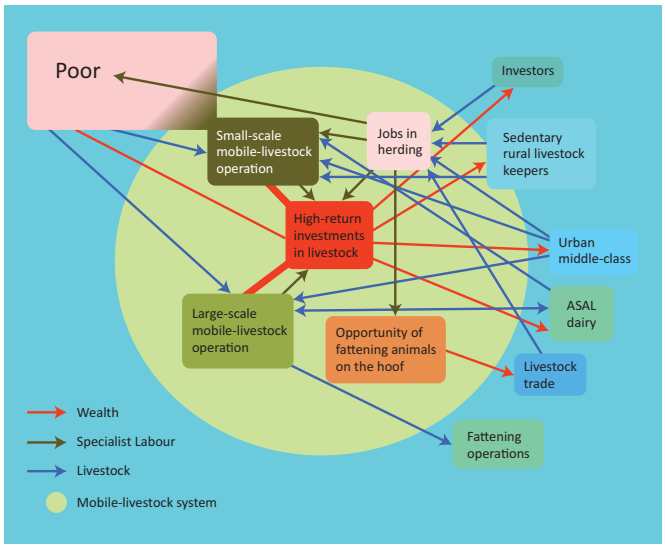
The valuable contribution of livestock to local livelihoods and the wider national economy of Kenya is recognised in the 2012 ASAL Policy, which defines pastoralism as 'an animal production system specialised in taking advantage of the characteristic instability of rangeland environments.' The importance of protecting dryland livelihoods is also highlighted in the Kenyan Constitution. The value of pastoralism is not accepted across all sectors of government however—many would still prefer to transform dryland areas into alternative economic sectors—and there is still a lot of catch-up to do with the scientific understanding, particularly among some humanitarian and development organisations.

In Kenya, the development agenda is undermined by a fundamental lack of good quality data on the pastoralist sector. Existing data sets fall short of representing pastoralism's scale and value within local economies. For policy making to be based on an understanding of the true costs and benefits of transformation initiatives (such as changes in land use), this information gap needs to be addressed.

Keeping data gathering abreast of the changes

Traditional definitions of pastoralism used in data gathering exercises frequently include the percentage of household income obtained from livestock (>50% rule) and mobility-based definitions focused on what people are (e.g. nomadic/semi-nomadic) rather than what they do (their strategies of livestock production). These definitions no longer capture the pastoral system as it exists now: people who herd in an extensive production system (i.e. are mobile) may not necessarily own the animals they herd, and those people who do own animals are not necessarily mobile/engaged in herding. With this ownership/management gap it is no longer useful for data collection methods to try and measure the proportion of households who are 'pastoral.' The mobile-livestock system now incorporates a large number of stakeholders, as shown in Figure 1 below:

Figure 1: The current pastoral system in some areas[47]



The analysis of the best available data sets in Kenya for the DLCI 'Counting Pastoralists' study reveals that livestock holdings tend to be under-represented. The datasets overlook the livestock ownership-management gap and the issue of mobility, and focus on a household based approach that can hide pastoralism. Gathering data on pastoralists has always been difficult: people in pastoral areas have never wanted to count or report their livestock to officials, and what is 'their' livestock' is often very complex—with lending and looking after other people's livestock still very common. Besides, with data collection often being in the context of relief programmes, under-reporting livestock holdings happens almost 'by design'.

Findings from the best available datasets in Kenya

The DLCI Counting Pastoralists study identified four datasets through which it was possible to generate an indication of the current pastoral sector in Kenya. These included the Hunger Safety Net Programme (HSNP) 2012-13 baseline that covered four counties; the Index Based Livestock Insurance (IBLI) purposive sample of households in Marsabit 2009-13; the Household Economic Approach (HEA) in 3 counties 2011-12; and the National Drought Management Authority (NDMA) monthly surveys since 2006, which was potentially the most complete. Yet even with triangulation of the four datasets, there are a number of ways in which 'pastoralism' has been under-represented:

45 Based on a review and summary brief.
46 http://www.disasterriskreduction.net/east-central-africa/dlci/documents/detail/en/c/4059/
47 From workshop presentation, July 2014

1. *The assumption that ownership and management are the same:* Asking the question 'how many pastoralists?' is getting in the way of analysis. What matters is not whether the owners are pastoralists but whether the livestock itself is managed in a mobile system.
2. *The definition of household:* registering sub-units of households as discrete either due to polygamy or splitting of households misrepresents herd size, mobility and income
3. *The focus at the scale of the household:* Crucial economic functions in pastoral systems take place above the household level in extended families and support networks.
4. *Income analysis that ignores annual herd growth:* Herd growth should be included in measuring livestock-based income (e.g. in order to define pastoralism).
5. *The pastoral development legacy:* Decades of adverse policies and interventions can make households reluctant to classify themselves as livestock owning or mobile.

Despite these constraints, using these datasets it became clear that pastoralism is still the major income source in the Kenya's ASALs. The number of households depending on pastoralism has not collapsed, as many humanitarians and government would have one believe. Although the NDMA data has some challenges its aggregate trends are instructive (see Figure 2 below).

Immediate opportunities

To improve data collection in the drylands it is necessary to identify much more appropriate methods that are not going to illicit meaningless data. There are a number of existing opportunities that could provide more accurate information if they took some of the issues highlighted above into account. In Kenya, data collection processes that are on-going, and that can take on these issues, include: the plans for a new HSNP baseline in 2015; the on-going review of the NMDA monthly early warning data; the new agricultural census currently being planned; the on-going livelihood zoning process; and the forthcoming county level livestock censuses – e.g. Wajir. There are a number of issues that will still need to be addressed for these opportunities to be maximised:

1. *Secure the capacity for ASAL data analysis:*

It is necessary to ensure there is representative basic data for planning before embarking on complex resilience-measurement tools. This could draw upon the many years of experience with participatory methods, especially *participatory mapping,* to generate useful sampling frames; and the experiences with surveys that produce 'participatory numbers'. Sampling methods designed to effectively reach mobile populations might be of help especially if stratification is made more sensitive to the logic and constraints of pastoral strategic mobility.

2. *Monitor and publicise the limits of data supply:*

The limits of existing and new data sets with regard to satisfying the demand for data on the magnitude of pastoral systems should be monitored and published by a central agency (NDMA could be such agency, in partnership with Kenya National Bureau of Statistics). Survey designs that are known to compromise the utility of the data with regard to pastoral systems should be replaced or complemented.

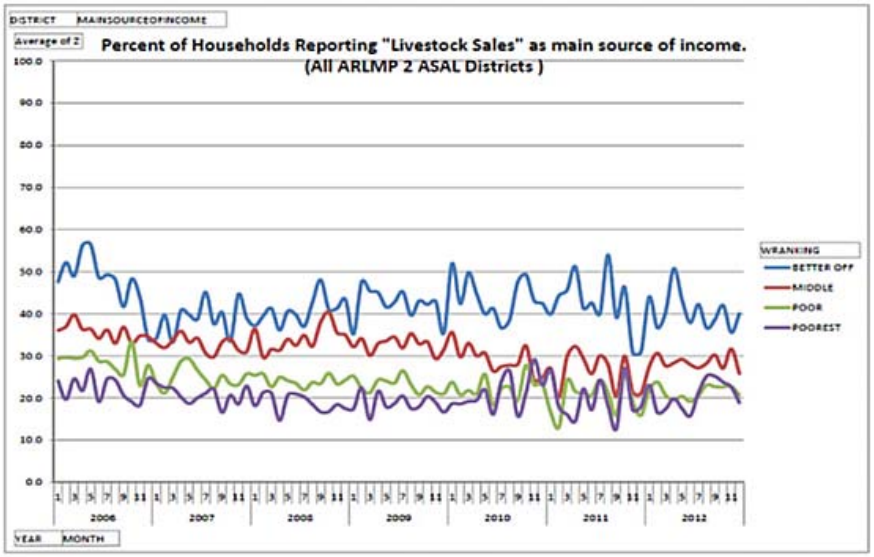
3. *Make data widely accessible especially to counties:*

Data need to be representative of well-defined administrative areas and commensurable across geographically partial data sets: Ultimately, there is a need for more specialised and broader supply. The county level is now getting interested in collecting their own data, and it is important that this is done robustly, in ways that allow for review and discussion and that can be compared across counties. The on-going livelihood zoning process might offer an entry point for feedback from the grassroots.

4. *Develop cases studies in selected counties to explore specific issues of relevance:*
   - The population dynamics within groups that are running the mobile-livestock system (movement in and out);
   - The proportion of income hidden in annual herd growth;
   - Areas of humanitarian work where inadequate assumptions in data collection and analysis (e.g. assuming division and isolation of production systems) may have direct negative impact on resilience (e.g. breaking down interactions and therefore creating division and isolation between producers).

There is much work to be done and many actors need to be involved in understanding current pastoral systems, however without basic and meaningful data on pastoralism, planning for sustainable development in the drylands will be severely constrained.

Figure 2: NDMA Time series data *(Source: FAO)*



Capturing benefits whilst safeguarding livelihoods: The debate over LAPSSET

By John Letai, Pastoralist Policy Research Advocacy and Resource Tenure and Michael Tiampati, Pastoralist Development Network of Kenya

The LAPSSET project will have a huge impact on the pastoralist communities of northern Kenya. This article introduces some of the challenges ahead and the likely support needed.

The LAPSSET project in brief

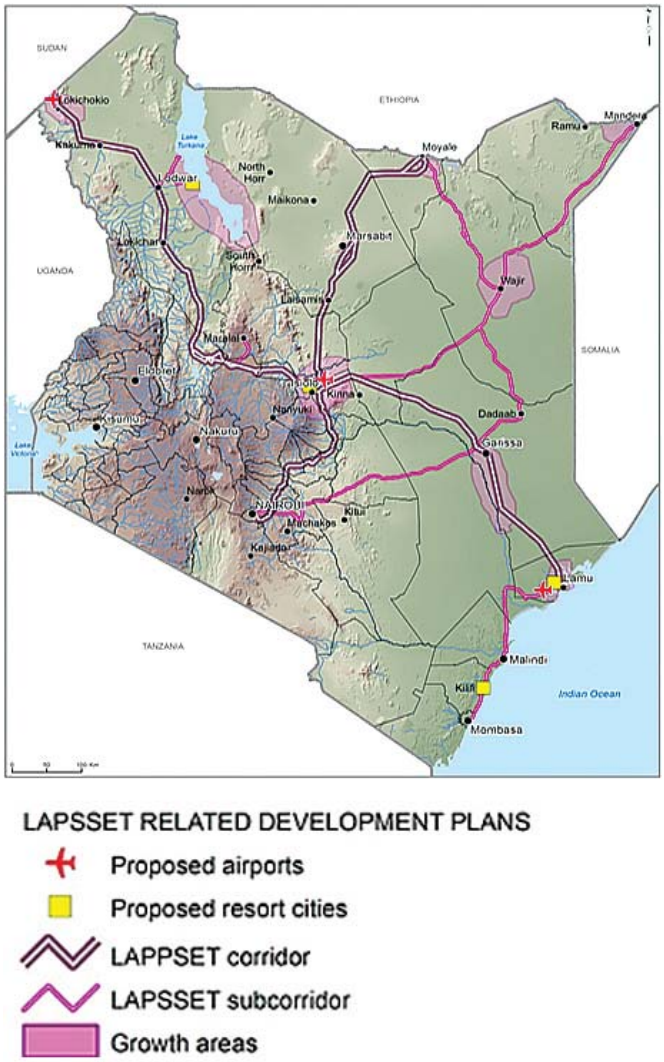
The Lamu Port-South Sudan-Ethiopia Transport (LAPSSET) Corridor project is a major infrastructure development project that will run from the Kenyan coast to South Sudan and Ethiopia. A crucial Kenya Vision 2030 flagship project, LAPSSET forms Kenya's second Transport and Economic development corridor, consisting of a 1,710km long railway line, an 880km dual carriageway and a 2,240km long oil pipeline.[48] It is expected to transform the Horn of Africa economies through increased trade, integration and inter-connectivity, and is set to have huge impact on the lives of more than 100 million people in the three countries.[49]

At the international level the project is expected to create new access and links with neighbouring countries to foster regional economic development through trade facilitation; while at the domestic level the creation of substantial job opportunities that cover not only direct jobs related to the Port operation but also indirect jobs through agriculture, fishery, manufacturing, logistics, transport, trade, livestock, commerce—among others—will be realised. Rapid economic development is anticipated across all economic growth areas identified along and connected with the LAPSSET Corridor, as well as increased international tourism in Lamu, Isiolo and Turkana through new airports.

The LAPSSET project constitutes part of Kenya's long-term development plan and is projected to boost Kenya's GDP by at least 3 per cent when completed, at an estimated cost of US $16,964 million.[50] LAPSSET is as an extremely ambitious project with multiple elements rolled up within it in order to transform the region and open up markets. It represents one of the largest projects ear-marked to traverse pastoralist lands in recent history and each one of the multiple elements of the scheme potentially carries a significant price tag for the pastoralist communities of the region.

The different components of the LAPSSET project are at various stages of implementation. The construction of the Port in Lamu was launched on 2nd March 2012 and is ongoing. An airport in Isiolo is complete but not yet operational, and the road linking Isiolo with Moyale on the Ethiopian border has been constructed in sections and is 70% complete. Sites for the construction of a proposed hydro dam development on the Tana River have been identified, as well as locations for proposed additional airports in Lamu and Turkana and the proposed resort cities in Lamu, Isiolo and Turkana. Large-scale irrigation sites in the Tana Delta have been proposed though implementation is yet to take place. The construction of the oil pipeline from South Sudan to Lamu has also commenced, as well as regional highway projects. A meat processing plant has also been constructed in Isiolo near the resort city but is not operational.

Figure 1: Map showing LAPSSET development plans (Source: ILRI)



48 Vision 2030 LAPSSET Secretariat presentation during a pastoralist community forum on the LAPSSET in Isiolo, 2013
49 Kanyinke Sena International Working Group on Indigenous Affairs Report on the situation of Indigenous Peoples along the LAPSSET corridor in Kenya 2012.
50 Vision 2030, *ibid*

The implications for Kenya's pastoralist communities

A very real challenge for LAPSSET planners will be to realise its transformative prospect—in terms of regional integration, wealth and opportunities—whilst also safeguarding the environment and the rights and livelihoods of those for whom the project may have an adverse impact. LAPSSET will go through an area that has never been developed before: The resident communities along the LAPSSET transport corridor in Kenya include the Awer and Sanye hunter-gatherers, the Orma, Wardei, Somali, Samburu, Borana and Turkana pastoralists, as well as pastoral-fisher communities that include the Ilmoolo. These communities are among the most excluded from the socio-economic and political fabric of Kenya, and probably the least well equipped to respond to the new set of challenges that the LAPSSET transport corridor portends. They will need support to help realise the benefits of the new developments and limit the negative impacts.

The concerns of pastoralist communities include: potential land grabs; livelihood disruption due to the blocking off of migratory routes and grazing areas; and the loss of crucial fall back zones for pastoralists during drought. Other expected challenges associated with the project include an increase in resource conflict, an increase in level of vulnerability with many people dropping out of pastoralism, and even a collapse of cultures and traditional lifestyles. While the pastoralists are not averse to development projects that spur economic growth and improve the wellbeing of the Kenyan population, the communities here are concerned about the approaches adopted in the conceptualization and the implementation of the LAPSSET project, and the lack of consultation as part of the process.

With pastoralist communities likely to lose huge chunks of grazing lands, territories and resources, a consultative process is required where all stakeholders are brought on board and involved in decision-making, as this action will impact on their livelihoods. Currently awareness creation and education is lacking and pastoralists are just observing while activities unfold around them. Potential benefits highlighted by the Vision 2030 Secretariat are the development of: abattoirs, disease free zones, infrastructure to serve pastoralists' seasonal migratory routes, and the protection of wildlife corridors through underpasses and bridges, but there is little evidence of these initiatives on the ground.

What safeguards are currently in place?

Preparatory studies have classified the LAPSSET environment as being rich in both natural and socio– cultural resources. In this regard, an environmental impact assessment (EIA) report has to be prepared for the project, as well as an examination of the existing environment – *physical, biological, socio-cultural, economic – including mangrove forests, cultural environment, fisheries, wildlife, and coral reefs*. The report should cover: identification of applicable legislative/regulatory regimes, potential project impacts, the development of mitigation measures and preparation of a monitoring plan.

Like any mega project cutting across peopled landscapes, the LAPSSET plans to generate a Resettlement Action Plan (RAP) for project-affected people. In this regard, LAPSSET proposes that plans shall be put in place to empower pastoralist communities on the diversification of their livelihoods, development of livestock tracking technology to reduce cattle rustling, and empowerment of fisher communities to fish further offshore by providing boats and constructing fishing ports in Lamu and Turkana. Other measures include HIV/Aids awareness to be incorporated during the construction phase, and the establishment of an Oil Spill Response Action Team in collaboration with Kenya Ports Authority. All future works to be carried out shall include Environmental Impact Assessment procedures, e.g. stakeholder consultations and demarcation of the LAPSSET corridor. All these are very good propositions from LAPSSET but the worry is that they may not be realised, judging by the history of past development interventions.

The Constitution of Kenya provides protection for communities, and by article 66 (2) enjoins Parliament to enact legislation ensuring that investments in property will benefit local communities and their economies. Other safeguards include: the powers of self-governance to the people and enhancement of their participation in the exercise of the powers of the state and in making decisions affecting them [article 174 (c)]; recognition of the right of communities to manage their own affairs and to further their development [article 174 (d)]; protection and promotion of the interests of minorities and marginalised communities [article 174 (e)]; and the right to equitable sharing of national and local resources [article 174 (g). The Bill of Rights (Chapter 4), as well as articles 42 and 69 (1) (E), mandate the state to protect genetic resources and biological diversity, and article 69 (1) (f) mandates the state to establish systems of environmental impact assessment, environmental audit and monitoring of the environment among others.

The government of Kenya has indicated that it is sourcing funds to compensate those communities who will be displaced by the project, however communal ownership of land is complicating the compensation process. In Isiolo County, for example, the County Council holds land in trust on behalf of the local communities. The process of identifying who the real owners of these lands are is complex as individual land ownership documents are lacking.

From an interview with 84 year old Paranae Leseenkei, a Samburu Elder from Kipsing

I don't understand the evil befalling our land; we keep losing it to the Government and no explanation is given. Before Independence we use to graze our animals all the way to Meru during the dry seasons and back. Immediately after Independence we lost all that land leading towards Kuta along the current Isiolo-Nanyuki road. Later we lost the maili saba – Kipsing corridor to the Livestock Marketing Association (LMD) that used to graze animals that are supplied to Kenya Meat Commission (KMC). However in the 1980s we came back to this Kipsing portion of the land after the collapse of LMD. When we were moved from this area for LMD we lost a lot of animals as a result of the 1974-75 drought. We had nowhere to go as all the migratory corridors were closed and occupied by LMD who used guns to drive us away. Now I understand the Government is back, wanting to take back the land. This is terribly worrying and I don't know what to do. There is increasing drought every two years. This is a place that rescues our livestock as we graze along the hills and water them in the Ngarendare River. If this place is taken away from us this will be our dead-end as we will lose our livestock, our heritage and culture. I wish I will live to see the future of a Samburu without livestock.

There is a fear that the actual owners of the land may not benefit from the compensation, and if they do then the political elite may take advantage. Under the Constitution it is mandatory for the government or any other stakeholder to get consent from the local communities before commencing any project. It also proposes that residents will be compensated for the acquisition of their land, but in situations like that of Isiolo[51] the local council/ county government can acquire the land title and make money from leasing out the land and charging rates, further complicating the whole issue of community land ownership.

What needs to be done to ensure pastoralist communities will benefit from LAPSSET?

Although the conceptual design includes an element of local community engagement, discussions with communities indicate that very few consultations have been carried out. Local leaders including members of county assemblies (MCAs) do not understand the rationale of LAPSSET and see it as any other government project that is being imposed on them with little local government consultation. To realise pastoralist communities' rights and benefits within the LAPSSET project, communities, CSOs, pastoralist leaders and County Governments need to become better organised, educated and well informed, so as to find ways of engaging with the government in a more consolidated approach, rather than through ad hoc mechanisms.

There is a need for:

1. *Constructive, focused engagement* with the national government seeking guarantees on recognition, respect and protection of rights along the LAPSSET corridor; while building enabling structures that will ensure the full and effective participation of communities, local government, CSOs and pastoral leadership in all processes related to the LAPSSET project and the protection of their lands, livelihoods and resources.
2. *Clarity and resolution of land tenure* issues along the LAPSSET corridor, recognising and respecting traditional land ownership, management and access.
3. *Effective, reliable and lasting conflict prevention and management systems* that build on existing mechanisms and on-going peace initiatives between communities and counties along the LAPSSET corridor.
4. *Participatory resettlement and compensation plans* as well as safeguards for the communities' livelihoods, cultures and ecologies as prescribed in the Constitution of Kenya and other international Conventions that Kenya has ratified.
5. *Participatory environmental and social impact* assessments of the whole scope of components of the LAPSSET corridor project and design strategies to mitigate negative impacts on pastoralist cultures and traditions and the environments that make the cultures thrive.

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Mobility is an important component of pastoralist production system / John Letai

51 The land in Isiolo county still falls under "the Trust Land Act Cap 288 of the Laws of Kenya and as outlined under Article 51 of the Old Constitution" as the Community Land Bill is yet to be enacted by parliament and when enacted into law time will be needed to operationalize it and define the land ownership models taking into consideration the diversity of people living within Isiolo County.

Uwajibikaji Pamoja - Giving voice to enhance accountability in Kenya's ASALs

By Nicolas Seris, Coordinator of the Humanitarian Aid Integrity Programme, Transparency International Kenya

With so many humanitarian agencies operating in the ASALs of Kenya, recipients of aid often struggle to raise corruption complaints effectively. This article introduces Transparency International Kenya's recently launched county-level Integrated Complaints Referral System, which will ensure complaints are both heard and acted upon. The article builds on a previous article in 2012 in REGLAP's 3rd Journal on the Humanitarian Aid Integrity Programme.

Transparency International (TI) has long held the view that the most damaging impact of corruption is the diversion of basic resources from poor people. Corruption in humanitarian aid is the worst form of this as it deprives the most vulnerable, the victims of natural disasters and conflicts, of essential life-saving resources. TI-Kenya has been implementing a Humanitarian Aid Integrity Programme (HAIP), to improve transparency and accountability in humanitarian operations in Kenya since 2010. In 2011, TI-Kenya, in partnership with line government ministries, UN Agencies, and international and local humanitarian organisations, conducted an integrity analysis of the 2011 drought response in Kenya.[52] The Food Assistance Integrity Study[53] highlighted that investing in accountability mechanisms and processes not only improves programming, but also is critical in capturing the concerns of beneficiaries and increasing the capacity of communities to exercise their rights and entitlements. Effective accountability mechanisms at the grassroots levels also enhance people's participation in design and implementation of humanitarian aid programmes, thus enhancing sustainability.

Low reporting of corruption

Although people in Kenya increasingly consider corruption as one of the main impediments to sustainable development, reporting of corruption cases is generally low. This is the case firstly, because most people don't know where to report corruption; and secondly because people believe that no action will be taken to resolve their complaints even if they are reported. In the Humanitarian Aid sector agencies have accountability systems in place, but their complaints' response mechanisms are mostly set up for their own operations; therefore if someone has a complaint about services or aid delivered by one organisation, he/she can only complain to that same organisation. Complainants may also be blocked because:

1. Often people don't know the organisation providing the aid or service they have grievances about. As a result, complaints are often cast to another organisation, and never referred to the actual organisation concerned, as there are rarely any referral systems between organisations.
2. People may have no access to or may live too far from the place where they can express their concerns.
3. Gatekeepers within the organisation may impede action.

Uwajibikaji Pamoja: An integrated referral complaint mechanism at the county level

One of the key recommendations of the Food Assistance Integrity Study was to *'consider coordinating complaint and accountability mechanisms more effectively between agencies at the community level to avoid multiple reporting structures for beneficiaries, and enhance community ownership'. Uwajibikaji Pamoja* is the Kiswahili for 'accountability together' and is a joint effort of TI-Kenya and partner agencies in implementing this recommendation and to serve as a one-stop point for people to file their complaints regardless of the organisation concerned.

Uwajibikaji Pamoja enables members of the public and organisations to submit and refer complaints concerning aid and service delivery to the relevant public and non-public authorities at county level, through a toll-free SMS line number and designated email address. People with no access to a mobile phone, or the internet, may also visit the nearest office of a partner organisation participating in this mechanism, or speak to any of their field staff to lodge their feedback or complaint. The walk-in option also allows people who cannot read or write to report their cases.

The system works as follows:

- All complaints are fed into the web-based system and referred to the organisation concerned.
- Complainants receive a tracking number by SMS and a notification each time any update or progress is made in addressing their complaint.
- If no action is taken or response given after a defined period of time, the concerned organisation receives a reminder by email from the convener of the Integrated Complaints Referral Mechanism, who will have been notified to follow up.
- The system also generates data and reports regarding the type of complaints received per geographical area, sector, age group or gender, thus informing policy and decision makers of trends at the county level.
- All complaints are confidential and feedback is sent within seven days.

Uwajibikaji Pamoja seeks to ensure that people's feedback and complaints are heard and acted upon by all aid and service providers at the county level.

Partners and pilot counties in Kenya

Uwajibikaji Pamoja was launched in April 2014 in Turkana County and will be rolled out in West Pokot and Wajir counties respectively at the end of July and early September 2014. This initiative is being implemented in partnership with aid and service delivery oriented agencies at the county levels. In Turkana County, a partnership agreement has been signed with the County authorities, the National Drought Management Authority, the Kenya National Commission on Human Rights,

52 See REGLAP Journal 3: http://www.disasterriskreduction.net/east-central-africa/dlci/documents/detail/en/c/2567/
53 http://www.transparency.org/files/content/pressrelease/2012_TIKenya_FoodAssistanceIntegrityStudy.pdf

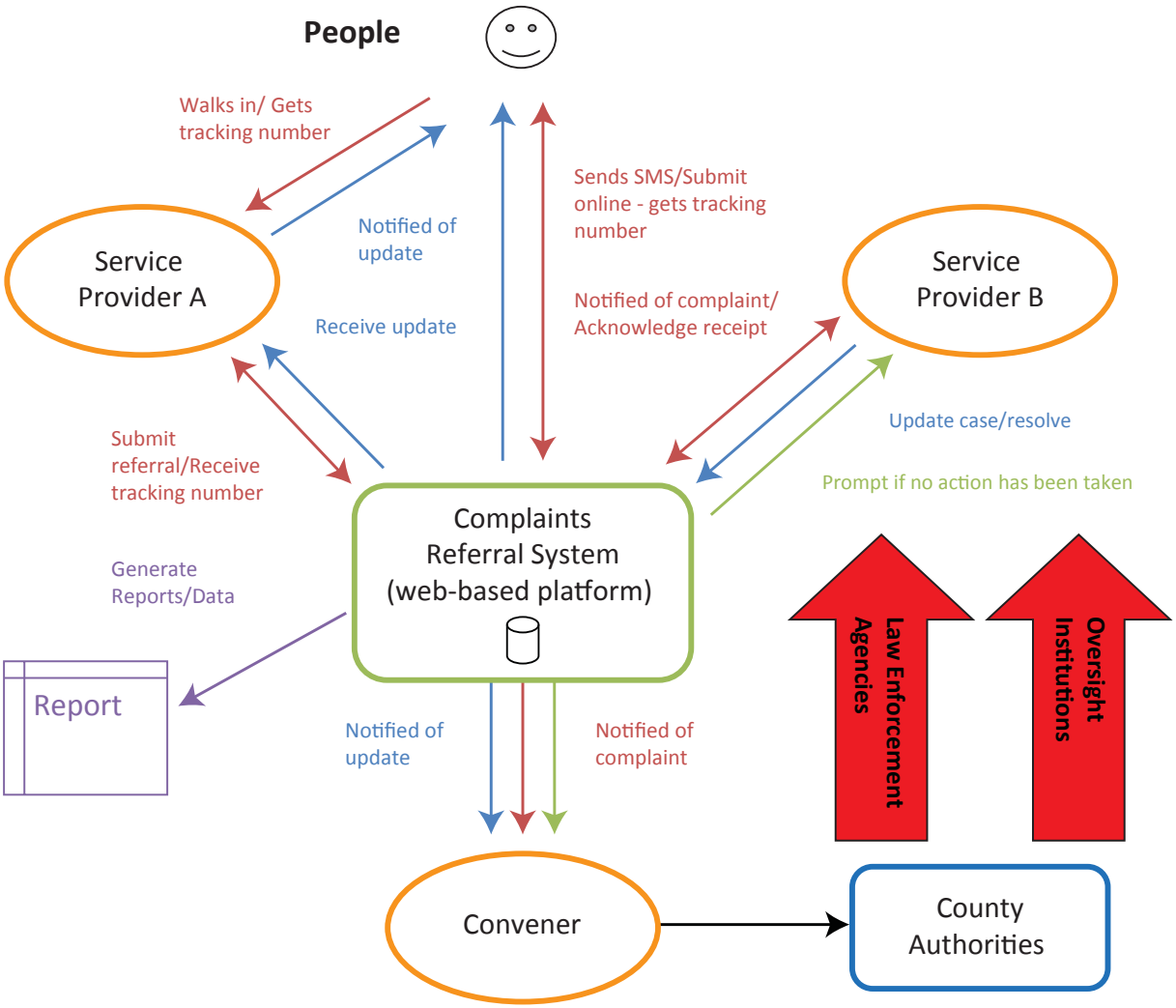
African Development Solutions (Adeso), The Catholic Diocese of Lodwar, HelpAge International, OXFAM, The International Rescue Committee (IRC), Lokichoggio Oropoi Kakuma Development Organisation (LOKADO), Save The Children International, Turkana Development Organisations' Forum (TUDOF), Turkana Women Advocacy and Development Organisation (TWADO), World Vision and Transparency International Kenya. Similar partnership agreements will be signed with relevant Government/ county government institutions, international humanitarian, faith based and local organisations operating in West Pokot and Wajir counties. At the county level, partners jointly ensure the implementation of the project through monthly coordination meetings. A steering committee that is representative of the partnership exercises oversight over the work of the system's conveners in each of the three counties.

Dissemination and marketing strategy

The dissemination and marketing strategy is a key element in the success of this initiative and is structured around four components:

1. *One phone number and one system for all complaints:* Instead of the existing unclear multiplicity of channels for people to report complaints and feedback, all partner organisations will use and market just one number and one reporting system. This is advertised through brochures, posters, stickers and websites.
2. *Information and communication campaign at the county level:* Posters, leaflets, stickers and other visual communication materials are displayed in public places (schools, administrative centres, public boards, market places, etc.) in all locations targeted by the programme. The campaign also uses community radio stations to broadcast information spots in vernacular languages, thus informing people about their rights and mechanisms to report complaints and feedback.
3. *Public meetings and direct engagement with citizens at the grassroots level:* TI-Kenya and its partner organisations, through their daily field activities, are constantly engaging with citizens and raise awareness regarding where and how to report cases.
4. *Publicising the integrated complaints response mechanism and sharing lessons learned through multi-stakeholders' coordination forums and platforms:* TI-Kenya and its partners utilise government and non-state actors-led coordinating forums and platforms to market the system and share success stories and lessons learned.

Figure 1: A schematic view of the integrated complaints referral system



It is foreseen that in the medium/long term, the implementation and management of the integrated referral system will be handed over to stakeholders in each of the counties. Current partners in each county including the County Government, National institutions' partners such as the NDMA and KNCHR as well as International, National and Local non State actors will agree on the modus operandi and management of the integrated system, including roles and responsibilities of the different parties, to ensure that the integrated complaint mechanism remains independent and inclusive.

This initiative gives the people of Kenya a voice to demand better services, and ultimately ensures that aid resources are used effectively for their intended purposes.

Quality services and accountability from the Government and non-governmental agencies is the right of every citizen, and requires that people are able to engage in providing feedback on the quality of aid services and aid they receive to all service providers.

For further information see:

- Free SMS number: 22128
- Integrated Complaint Referral Mechanism website: http://haipcrm.com/index.php
- Transparency International Kenya website: http://www.tikenya.org
- Contact person: Nicolas Seris, Humanitarian Aid Integrity Programme Coordinator; nseris@tikenya.org

Ms. Ikal Angelei, TI-Kenya Board Director, delivers a speech during the Uwajibikaji Pamoja launch ceremony, Turkana County / Collins Baswony, TI-Kenya

European policies on pastoralism in East Africa

By Koen van Troos, CELEP, Education and Policy Co-ordinator, VSF Belgium, Brussels

This article looks at the important work of CELEP over the past five years in raising awareness about pastoralism within the European Union, and its on-going role.

Pastoralists in East Africa experience the impact and the consequences of European policies on a daily basis. Through either its domestic or external policies—including trade, development and humanitarian policies—the European Union (EU) and its member states have had, and continue to have, a big impact on pastoralists and their livelihoods in the African drylands. Development and humanitarian aid can affect pastoralists in a positive way and improve their way of life, but it can also affect them in a negative way. A constant effort is needed to provide good information on the best approach to decision makers and functionaries of EU institutions and their member states. Experts from research institutions, non-governmental organizations and civil society representatives can all help with developing policies that are better adapted to the needs of pastoralists in the East African drylands. It is within this broader framework of support that the Coalition of European Lobbies for Eastern African Pastoralism (CELEP) was created.

The Coalition of European Lobbies on Eastern African Pastoralism (CELEP)

Since 2009, European and African organisations have been working together in CELEP to influence European policies to explicitly recognize and support pastoralism in the drylands of Eastern Africa. CELEP is an informal coalition of 24 European member organisations and 7 partner organisations in East Africa. In its activities the Coalition focuses mainly on four issues related to pastoralism including: (i) the recognition of pastoralism as a valuable and viable livelihood system; (ii) the crucial role of mobility; (iii) pastoralist access to and effective governance of natural resources; which is itself crucial for successful climate change adaptation and climate resilient growth in arid and semi-arid lands (iv).

European CELEP members include international non-governmental organisations and research institutes. This provides insights from the ground from a more practical and technical point of view, as well as the provision of scientific evidence around pastoralism. The African partners are mostly coalitions of pastoralist organisations and regional lobby networks, assuring legitimacy of the work done by CELEP and enhancing the capacity of the network to pursue its lobby objectives. As European development and humanitarian policies are being increasingly defined by local delegations, the role of the African partners in influencing European policies is becoming increasingly important. This dual structure, with on the one hand European members and on the other African partners, was chosen due to the primary target of CELEP, namely European policies and not domestic African ones. As a European member coalition, CELEP lacks the legitimacy to influence African domestic policies directly.

The CELEP Secretariat is managed by a focal point, elected during the annual meeting. The current focal point is VSF-Belgium, following in the footsteps of Cordaid, who initiated CELEP and held the focal point position from 2009 to 2013. CELEP is also a communication platform and fulfils this function through two important tools: the CELEP website (www.celep.info) and a google group. On the website, relevant information and policy documents are shared concerning pastoralism in Eastern Africa. Through the google group, information and analysis is shared on a regular basis by all of the members and partners.

Europe and pastoralism in East Africa

Pastoralism in East Africa is at the crossroads of many different thematic foci, such as food security and nutrition, climate change, and conflict mitigation. Specific measures concerning pastoralists within these thematic areas and development sectors are needed so that the EU and its member states can develop a coherent approach towards pastoralism. So far, this coherent approach seems to have been lacking, and the potential of (semi-) mobile livestock keeping in the region has not been fully recognised by European development and humanitarian policies. Within EU institutions, views on pastoralism seem to be mixed, and significant differences exist between Brussels based institutions and local delegations. The European Commission has however recently reconfirmed its commitment to designing a technical note on pastoralism that would set a clear framework for pastoral development in the African drylands. CELEP is following up on this and hopes to provide input so that the document may lead to a fully coherent EU approach towards pastoralism in Africa.

CELEP also aims to continue to inform the European institutions in Brussels and in the field on existing best practices; national, regional and continental enabling frameworks (such as the African Union Policy Framework on Pastoralism); and to push forward the inclusion of pastoralism in Country Strategy Papers and Multi-annual Programmes. There is a constant need to continue to undertake this work in order that Europe sends just one message as its position regarding pastoralism in the African drylands. The newly elected parliament and appointed commission will provide new entry points to advance this specific agenda.

Major CELEP accomplishments

European policies are now increasingly aware of the importance of pastoralism in the East African drylands. This is in part due to the work that CELEP has been doing for the last 5 years. Some of the accomplishments of CELEP have had a major impact on European policies and continue to offer entry points for European advocacy and lobby actions in favour of Eastern African pastoralism. One of these has been the adoption of a resolution in the European Parliament on Famine in East Africa. This followed extensive work carried out by the first focal point, Cordaid, with Dutch MEP Thijs Berman, who was invited to Kenya by CELEP several months prior to the adoption of the resolution. The resolution urges the European Commission (EC) to increasingly link relief, rehabilitation and development (LRRD) following the recurring crises in the Horn of Africa; and urges the EC to support projects and programmes on prevention capacities and projects for famine and drought early warning systems. The resolution also makes more general recommendations to the European Parliament: stressing the need to increase the proportion of European official development aid (ODA) going to pastoralism and to better integrate pastoralism into European development policy. The resolution marks an important step forward and is a useful document for advocacy purposes.

Another highlight of the work of CELEP has been the adoption of a resolution on 'the social and environmental impact of pastoralism in ACP countries'. This resolution was adopted by the Joint Parliamentary Assembly (JPA) of EU and ACP countries, where the JPA EU-ACP, members of parliament from the EU, Africa, the Caribbean and Pacific countries come together to discuss issues related to development policies. CELEP members and partners were asked to contribute to a resolution on pastoralism. Prior to the adoption of the resolution, several issues related to pastoralism were explored during presentations at the European parliament, and through bilateral meetings with some of the African partners of CELEP and European members of parliament. Eventually, the resolution was adopted at a meeting of the JPA ACP-EU in November 2013 in Addis Ababa, Ethiopia. The resolution is not binding as such, but can be considered as another important step forward to support and explicitly recognize pastoralism in East Africa with both European and African MPs adopting it. Pastoralist civil society groups can also make use of it as a basis for engaging with EU-officials and national government officials towards more effective support to pastoral livelihoods.

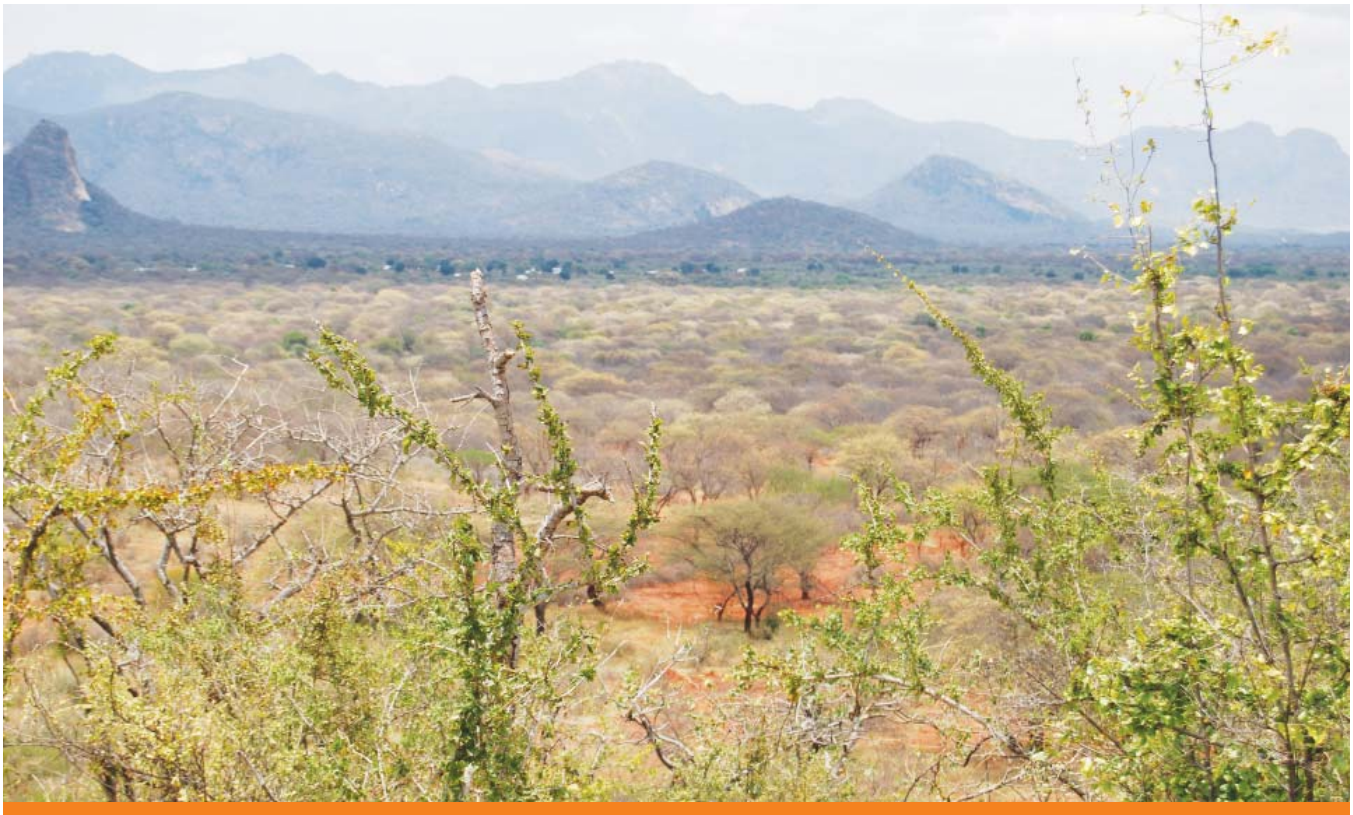
Apart from these accomplishments, CELEP has carried out many other lobbying activities to raise awareness on pastoralism in East Africa. Meetings were organised between EU-officials and African partners, trainings for EU staff have been given, and European members have also requested their national governments to increasingly consider pastoralism when designing national development policies, or when contributing to the design of European development policies.

EU pastoralism policies and CELEP: What's next?

As a new wind blows through the European institutions following the election of a new parliament and the appointment of a new Commission, there is a clear need for CELEP to re-engage with the new officials and raise awareness on pastoralism in East Africa. As stated in the above, the European Commission is developing a technical note on pastoralism. This technical note will set out the main lines of argument for the EU position on pastoralism for years to come. It will be used both at the Brussels level as well as at the delegations' level. CELEP is hoping to be involved in the process of drafting this technical note as much as possible, and will consult its network for input. CELEP will also continue to stress the need to have a more comprehensive approach towards LRRD and to improve collaboration and communication between departments responsible for humanitarian and development aid.

The role of the parliament in EU legislation concerning development policies has grown tremendously in the past decades and the newly elected deputies have a large part to play; especially in the further development of the newly adopted and approved EU budget lines for development such as the Development Cooperation Instruments. The parliament also has the right to interrogate the Commission on its position towards pastoralism in East Africa. CELEP will therefore continue to look for European deputies interested in the cause and will work with them suggesting amendments in reports, written declarations in parliament, and questions to the Commission—while further expanding the input from east African partners.

For more info contact: k.vantroos@vsf-belgium.org
CELEP: www.celep.info
Berman resolution on the Horn of Africa:
http://www.europarl.europa.eu/sides/getDoc.do?pubRef=-//EP//NONSGML+TA+P7-TA-2011-0389+0+DOC+PDF+V0//FR
Resolution of the JPA of ACP-EU on the social and environmental impact of pastoralism:
http://www.europarl.europa.eu/intcoop/acp/2013_addis/pdf/101.526_en.pdf
European confederation for relief and development:
http://www.concordeurope.org



A dryland landscape in Takaba, North Eastern Kenya / K. Relleen Evans, CARE

Critical elements in enhancing voices from the drylands

By Sarah Gibbons, Independent Consultant[54]

The new discourse on dryland resilience in the Horn of Africa (HoA) has seen not only a significant variation in the understanding of resilience but also an agenda led by state-dominated frameworks and international actors. For dryland citizens to influence this discourse they need both the means and opportunities to effectively exercise their voices in policy and practice discussions, in order that they reflect local priorities and work towards a common community-owned vision. This discussion piece reflects on the challenges and opportunities for raising dryland citizens' voice in the region.

What is Voice?

Voice refers to both the capacity of people to express their views, and the ways in which they do so, through a variety of formal and informal channels and mechanisms. It can be understood as the means by which people communicate their interests and demands in ways that generate respect and response. Voice is considered effective if it is:

a) Informed – based on sound information and evidence;
b) Collective – representative of a number of groups;
c) Targeted – addressing the right audience, with the right message, at the right time;
d) Legitimate – representative of the view of the constituents it claims to be speaking for;
e) Relevant – addressing the practical and strategic needs of the target group.

Voice and accountability are often considered together, and are closely linked concepts, but they are not the same. Voice concerns people expressing their opinions, while accountability is about the account-giving relationships between two actors, where one makes decisions that impact on the other. 'Raising voices' alone is not enough to ensure that local citizens affect change; accountability mechanisms must also be in place to enable local voice to be heard and for it to be responded to. Achieving this requires considerable work to empower local citizens, and also work on strengthening the enabling institutional environment so it is more receptive and responsive to citizens' voice.

Why enhance Voice?

Voice and accountability matter for effective development for a number of reasons. Firstly a lack of voice and accountability impacts on poverty: enhancing voice and accountability can lead to a reduction in poverty and the securing of human rights. Secondly, voice is an important building block for accountability: by speaking out directly or through other channels the poor have the chance to see their views reflected in policies. Thirdly it is recognised that voice and accountability, through improved governance, can lead to other developmental outcomes such as sustainable development.[55]

The status of dryland citizens' voice in the HoA – challenges and opportunities

Pastoralist communities in the drylands of the HoA have long organised themselves in order to achieve and advance their collective aims, and to voice their demands within and amongst their communities. Pastoralist customary institutions have historically played a strong, largely[56] legitimate role in representing their members and in engaging across community groups. As the influence of the State has increased however, the interface between these representative institutions and the formal government system has been lacking; driven by historical, political and geographical constraints that have kept dryland communities marginalised from policy processes and debates.

Efforts made to strengthen the engagement of dryland citizens with the State have been predominantly focused on organising pastoral civil society organisations, and networks, at national levels to speak on behalf of all pastoralist citizens. In Kenya, pastoral civil society organisations have been instrumental in the formulation of pastoral-friendly national policies and institutions, but as with other networks across the region they have struggled to sustain themselves, maintain clear linkages with dryland citizens, and represent the diverse interests of evolving dryland communities. Institutions that lose their direct links to constituents, responding more to donor priorities, will limit their legitimacy to represent, and their capacity to support civic action.

Despite these challenges, the new focus on the dryland areas for investment and economic development makes it imperative that there are continued efforts towards the inclusion of dryland citizens' voice in decision-making. This will ensure that agendas are set and implemented that not only meet the needs of diverse dryland citizens, but also avoid maladaptive developments that can further deepen the vulnerabilities of dryland communities.

A number of factors have a critical influence on strategies and priorities for enhancing dryland citizens' voice in the region. Some are opportunities, some challenges. They include:

a) *Policies on Pastoralism.* The past 5 years have seen increased attention given to pastoralism and dryland livelihoods in national and regional policy making. The African Union (AU) released the 'Policy Framework for Pastoralism in Africa' in 2010, while 2012 saw the development of the 'IGAD Drought Disaster and Sustainability Initiative' (IDDRSI). In Kenya the 'National Policy for the Sustainable Development of Northern Kenya and other Arid Lands' was approved by Parliament in 2012, and a draft 'Rangeland Management and Pastoralism Policy' was produced in Uganda in 2012. These shifts in policy formulation have not been matched by changes in policy practices, however; and many dryland citizens are not actively engaged in these policy processes, lacking awareness about their formulation and the capacity to engage in policy implementation.

54 This article was written as part of developing a strategy for DLCI on promoting community voice.
55 O'Neill, T., Foresti, M. and Hudson, A. (2007) 'Evaluation of Citizens' Voice and Accountability: Review of the Literature and Donor Approaches'. London: DFID.
56 They have invariably mainly represented the views of men in these patriarchal societies.

b) *Decentralisation.* The shift towards more devolved systems of governance across the region provides an enabling environment for dryland citizens to more effectively engage in the policy decisions that affect their lives. Equally however, decentralisation can also enable the capture of resources by local elites, or the corruption and mismanagement of local resources. For these opportunities and challenges to be met and addressed, local government must be in touch with its citizens, and have mechanisms in place for them to be able to participate, demand and monitor; and for governments to then meaningfully respond, in a timely manner.

c) *New opportunities for engagement.* New structures within government and civil society networks and alliances are increasing mechanisms for dryland communities to come together, and opening up opportunities for engagement with formal government. These opportunities may require the involvement of new forms of 'elites' who have access to political channels, but who remain representative of their populations.

d) *Existing CSO Networks and CSOs at a National and Regional Level.* Despite mixed results by CSOs and CSO networks at national and regional levels in promoting voice, they remain committed proponents for drylands citizens' engagement, and essential partners for any efforts towards enhancing citizens' voice.

e) *Heterogeneous communities.* Societal changes in the drylands are resulting in increased diversity within local communities, and changes in who are defined as pastoralists. This diversity requires more nuanced approaches to representation, taking into consideration who has legitimacy and whose voices are consistently not heard. Ensuring inclusivity of voice for the diversity of dryland dwellers, within representative organisations and forums, will be critical to ensure continued legitimacy and the ability to support benefits for all, rather than the powerful few.

f) *The importance of context.* The space and opportunity for strengthening citizens' voices varies significantly across national contexts in the region. Space exists at different levels and through different processes. Strategies for strengthening community voice will need to understand these differences and opportunities, and design mechanisms that support the participation of citizens' voices into the most appropriate processes, and at the most appropriate levels.

Strengthening voice and accountability:
Strengthening voice and accountability tends to rest on a fundamental assumption that increased civic awareness will lead to increased civic action through the exercising of voice. Its roots are in the provision of information; with citizens who are more informed and aware of laws, policies and rights being more active in demanding, negotiating and voicing their opinions within public processes. For the drylands however, as with many other remote marginalised communities, this assumption is too simplistic. Blockages exist, shaped by years of marginalisation that constrain the extent to which information leads to increased awareness, and increased awareness to subsequent increased action, as shown in Figure 1 below.

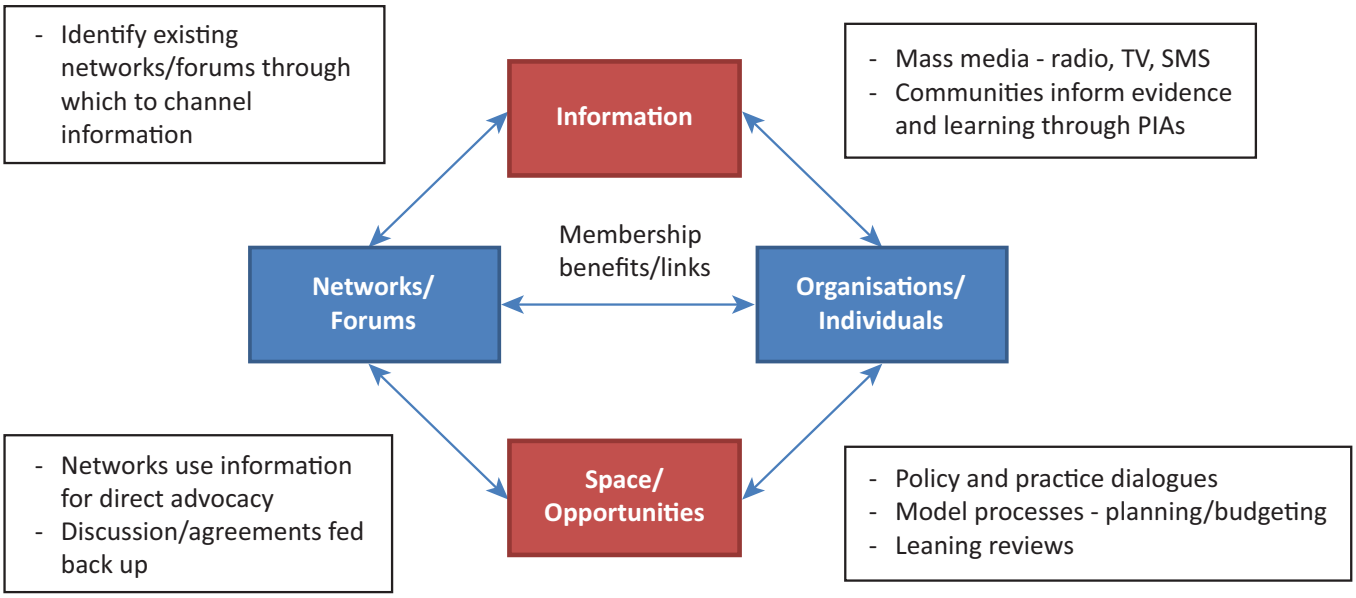
The provision of information alone does not guarantee changes in levels of awareness. Consideration must also be given to the usability and suitability of the information by local audiences, and to the processes of interpretation and reflection that may be required for this information to make sense. Similarly, a number of factors affect the ability of citizens to translate awareness and knowledge into action, with power playing an important role in determining the ability of citizens to influence. It can determine whether a citizen is given audience, whether her voice is heard, and whether this results in action and response.

An alternative approach recognises a broader range of areas for enhancing the voice of drylands citizens. These are presented in Figure 2 below:

1. *Information* - providing information/evidence/analysis to citizens, and their representative institutions, to enable them to express and advocate for their rights more effectively; or represent their interests in an informed manner with public and private sector actors.
2. *Organisation* - strengthening the abilities of organisations/associations to reach and represent citizens at various levels. These are most commonly civil society organisations, associations or parliament.
3. *Networking* - linking organisations/associations to create a stronger voice and enable them to reach audiences at higher levels.
4. *Space/opportunities* - creating and accessing the channels through which citizens raise voice, either directly or through representative organisations. Promoting policy space where communities can voice their demands, and interests, or learning spaces where they can influence evidence/best practice development, and indirectly, policy formulation.

Figure 1: Blockages in the process of information to action

Figure 2: Framework for strengthening effective voice in the drylands.



Different actors will have different roles to play in supporting the various aspects of this framework to build active citizens and civic action. "Channels for voice that can generate respect, response and accountability from those in power are highly diverse: shaped by location, clan, gender, age and status" (IDS, 2009)[57]. Both, citizens as well as their representative organisations, need to be supported. To date more emphasis has been on the creation or strengthening of civil society networks and organisations (shown in blue). Whilst these organisations have an important role to play in enabling collective voice and action, navigating power dynamics, and supporting representation at higher levels, greater focus is also required on supporting *civil society* and *civic action*, rather than purely on *civil society organisations*. Emphasis should be given to organisations and networks that already exist and self-organise, whether within customary systems or more formal unions, and to their abilities to connect with dryland citizens, represent them, and facilitate their linkages into policy and practice processes. Often what they lack is relevant and appropriately packaged *information and skills* on rights and opportunities to engage, on advocacy strategies, and on evidence. In addition, unless public participation is clearly promoted, citizens and organisations often lack the space to interface with government and other service providers to voice concerns and opinions.

Recommendations

At present, work to enhance citizens' voice and accountability is sporadic, uncoordinated and disjointed. Given the historical processes of exclusion, this means that dryland communities are, in many places, still far from being active players in decision-making about their development. The following recommendations are targeted at strengthening commitment to support greater dryland citizen engagement; and stronger, accountable, and more transparent governance systems:

- *Coordinate efforts on civic awareness.* Some programmes and processes exist across the region with the aim of providing civic education and information to citizens, although few reach remote dryland areas. The lack of coordination amongst these programmes has the potential to lead to confusion amongst citizens, the duplication of efforts, and a failure to promote the sustainability of citizen awareness. More partnership is needed across these programmes, and with government agencies—which are responsible for providing information on rights, public processes and sectoral guidelines—by developing standardised materials and a means to disseminate and analyse.
- *Ensure information is made available in forms that are useful and appropriate to citizens.* ICT advances have opened access to previously remote, inaccessible locations. Links should be made with mass media technologies for the dissemination of information to wide-scale local audiences, whilst pressing for their expansion to those areas not yet reached.
- *Consider the strategies used for strengthening the capacities of civil society.* Attention should be given to identifying and engaging with self-organising, representative and inclusive organisations that bring citizens together and can legitimately speak on their behalf. These need not be solely 'advocacy-focused' but associations and groups that form to achieve a collective aim—such as traders unions, resource user associations, teachers unions etc. Support should be given to enhancing their access to information and skills, and their ability to represent and interface with government and service providers.
- *Support the provisions made for public participation and engagement in government legislation* as a way of modelling the mechanisms for enhanced citizen voice and accountability, and developing learning and awareness on its value. The transition to devolution in Kenya is one such example where actors can partner with county governments to strengthen and inform their strategies for public participation.
- *Model citizen engagement and accountability in one's own programmes.* Donors and international actors need to ensure they are demonstrating the opportunities and value of enabling citizen voices in the development, implementation and monitoring of their own programmes. All too often

57 Brocklesby, M.A., Hobley, M. and Scott-Villiers, P. (2010) 'Raising Voice: Securing a Livelihood: The Role of Diverse Voices in Developing Secure Livelihoods in Pastoralist Areas in Ethiopia', IDS Working Paper 340.

participation is limited, and feedback lacking, as was the case in the IDDRSI process. Modelling transparent and accountable programming in all forms of development and service delivery will serve as a form of advocacy, and provide learning for the establishment of effective accountability systems.

- *Ensure that the different elements of voice are sufficiently addressed.* Only focusing on one aspect while the others are not addressed will have a limited impact.

The Dryland Learning and Capacity Building Initiative's (DLCI) strategy for 2014-2018 puts emphasis on placing dryland dwellers at the centre of their own development. Once funds are secured, it intends to work on enhancing dryland citizens' voice in policy and practice processes. Its focus, within this will be on the provision of *information* and the facilitation of *space*; based on its niche and experience, and the emerging opportunities and challenges within the region. The provision of information has been a central focus of DLCI's previous work, as has advocating for space for citizens' voice in policy processes. It will build upon these, tailoring information to local audiences in conjunction with partners, continuing to lobby for the inclusion of local voice in policy and practice, and facilitating the creation of, or access to, space as a model for successful voice and accountability. It will develop strategic partnerships with others supporting voice initiatives to enable this work, and promote attention to the other elements of voice to ensure they are being sufficiently addressed.

Anyone interested in collaborating on promoting community voice should contact:
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A meeting of pastoralists in Southern Ethiopia / Save the Children

Optimising the potential of social protection in the drylands

By Jeremy Lind, Institute of Development Studies, Brighton, UK

This article looks at the spread of social protection programming in pastoral areas of the Horn of Africa, and details some of the challenges in tailoring social protection to the specific social and livelihood conditions present in the drylands. On-going challenges include the difficulties in targeting assistance to those in greatest need and the need for more government policies on social protection.

Interventions need to consider the strength and functioning of informal support networks / Kelley Lynch, Save the Children

In recent years donors, aid agencies and governments in the Horn of Africa have sought to expand access to social protection in dryland and pastoral areas. While many may associate social protection with large-scale social safety nets, social protection also includes social security, insurance (including market-based insurance targeted to the poor), and labour programmes. Given existing high levels of poverty and vulnerability in many pastoral areas of the Horn of Africa, large-scale safety nets may well be needed for the foreseeable future in these areas. Yet, the full potential of social protection can only be realised if it is accompanied by complementary measures to address the lack of infrastructure and basic services more widely, as well as the insecure land rights and lack of economic opportunities that predominate in pastoral areas. Implemented in isolation of wider efforts to address these developmental shortcomings, large-scale safety nets will not have broader transformative effects in these areas.

The spread of social protection in drylands

Over the past decade social protection programmes and projects have mushroomed across the region, ranging from localised, highly innovative initiatives such as weather-indexed insurance for herders and farmers in northern Kenya and southern Ethiopia, to some of the largest safety net programmes of their kind in sub-Saharan Africa, notably the Productive Safety Net Programme (PSNP) in Ethiopia. Many of these began as alternatives to perennial emergency food aid distributions, which had done nothing to stem the tide of worsening vulnerability or to help people rebuild their livelihoods.

The earliest examples in the region include Ethiopia's PSNP, which was introduced in highland (agrarian) regions in 2005, and the Cash Transfer for Orphans and Vulnerable Children in Kenya, which was piloted in 2004 and rolled out more widely in 2007. Lowland areas of Ethiopia, including Afar and Somali Regional States, were not included when the PSNP was launched in 2005 due to the need for a separate programme design that recognised the unique livelihood and socio-economic context of the pastoral areas. In 2008 the Hunger Safety Net Programme pilot began in northern Kenya. The Household Income Support Programme within the Northern Uganda Social Action Fund (NUSAF – Phase II) began in 2009. FAO began its Cash for Work Programme in South Central Somalia in 2007, but scaled up widely from 2011. The same year a Public Works Programme was rolled out under a larger multi-agency Rapid Impact Emergency Project (RIEP) in South Sudan. Alongside these examples of larger programmes,

a panopoly of localised NGO efforts to experiment with cash and vouchers (for seeds and veterinary care, etc.) were carried out, mostly after 2003/2004. At the time, these were promoted as alternatives to food aid distributions.

Although social protection programmes and projects are multiplying, their coverage is still patchy in pastoral areas. General food distributions still dwarf the budgets of existing programmes and projects, which are largely funded by donors. There are promising signs though, with the early pilots now giving way to larger, government-run programmes; the notable examples being the PSNP and Social Assistance Grants for Empowerment (SAGE) in Uganda. Across the region, the emphasis at the moment is on scaling up existing programmes as well as Treasury support. The HSNP is set to expand greatly, nearly doubling its coverage, as it is brought under Kenya's new National Safety Net Programme. In Djibouti, UNICEF's conditional cash transfer programme is now being taken on by the Djibouti government. Even in Somalia, with a lack of functioning central government, NGOs want to scale up temporal, responsive programmes to be more long-term and predictable.

Challenges in tailoring social support in pastoralist areas

For both donors and governments dryland areas present a number of specific challenges for social protection initiatives:

Lack of basic services: The design of social protection programmes is predicated on a set of assumptions of how society and households function, as well as the existence of infrastructure and structures that can support delivery. Many programmes were formulated for implementation in agrarian contexts, where basic government structures are more present, and infrastructure is in place to deliver assistance (i.e. roads, telecommunications, schools, health centres, and banks). Unfortunately such infrastructure and basic services are missing in many pastoral areas. Investment in infrastructure and improved access to basic services is necessary to improve the effectiveness of social protection in pastoral areas. Basic needs of adequate water, health care and access to education rank amongst the highest priorities for people in pastoral areas.[58]

The diversity of livelihoods: A further challenge is the diversity of livelihoods that now exist in pastoral areas. Although livestock-keeping remains the predominant way that many people make a living in the drylands of the Horn, other diverse types of livelihood are present in these areas including flood retreat farming, irrigated agriculture, hunting and gathering of natural products, marketing and trade, and even fishing. Indeed, livelihood diversification in these areas is newly important in a context in which populations are increasing and access to key natural resources is diminishing. While some social protection approaches are suited to dryland areas, a blanket prescription of social protection measures and approaches will be less helpful than identifying the appropriate mix and balance of interventions that fit the livelihoods and livelihood situations apparent in any particular setting. Some of the factors to consider in determining the suitability of particular interventions include an area's proximity and connectivity to larger domestic and export markets, the existence of alternative livelihood activities, land uses, agro-ecology, security, social organization, and the strength and functioning of informal support networks.

Social protection, as with other services, has to be delivered in different ways for pastoral populations, and different instruments have their own challenges, such as index-based livestock insurance, which remains a difficult sell for many livestock owners.

Extensive training needs: Labour programmes must be an important part of the social protection mix in pastoral areas. Basic and higher education, vocational skills training, work placements and apprenticeships are all needed for the growing population of young people in dryland areas that see no future in livestock keeping, as well as for people wanting to add value and develop the livestock economy. So far, there have been few efforts to design and implement labour programmes focussing specifically on pastoral areas. Further, the effectiveness of these programmes to date is quite mixed, even when they have been implemented in large towns and rural areas where there are relatively high levels of infrastructure and access to basic services. Much more monitoring and evaluation is needed to establish the impact of different social protection programmes in pastoral areas: Evaluation work measuring short-term impact should be matched with longitudinal research examining their impact on diversification,[59] as well as transitions for particularly vulnerable groups into alternative livelihoods and other productive work.

Useful works programmes: Public works programmes are gaining in popularity throughout the region, including in pastoral areas, both as a way to move vulnerable groups (particularly young people) into productive work as well as to establish needed infrastructure for communities. The effectiveness of these programmes in pastoral areas is both a matter of design and implementation. Some programmes have been criticized for promoting inappropriate projects. The timing of public works in some places has not accounted for the need for pastoral mobility. Further, tension between members of the community now depending on sedentary activities and pastoralists have been found to have increased due to programmes that build assets on lands that were previously governed by communal tenure.[60] However, public works programmes can create useful infrastructure to generate economic value from herds and crops. In the Ethiopian lowlands, road building through the PSNP has been widely welcomed by communities; as has the construction of classrooms and schools, health clinics and housing for community health workers and educators.

Key issues when providing social support for pastoralists

Programme targeting: A fundamental challenge for social protection programmes is the very different social dynamics now present among pastoralists, which test core assumptions in programme targeting.[61] Eligibility criteria for inclusion in safety nets programmes are usually based on measurable indicators, such as the frequency and length of a household's food shortage as well as their assets and income; alongside other specific

58 McPeak et al., 2012: 162 in Morton, J. and Kerven, C. (2013) 'Livelihoods and basic service support in the drylands of the Horn of Africa.' Technical Consortium, a partnership between CGIAR and the FAO Investment Centre. Available online: http://globalallianceforaction.com/docs/Livelihoods%20and%20basic%20service%20support.pdf (Accessed July 25 2013).

59 Morton and Kerven, 2013.

60 Ngigi, S., Wanjiku, M., Wambua, F., Karuti, S., Home, P. and Njigua, J. (2011) 'Food For Assets Impact Evaluation Report (PRRO10666).' World Food Programme. Nairobi.

61 Sabates-Wheeler, R., Lind, J., and Hoddinott, J. (2013) 'Implementing social protection in pastoralist areas: how local distribution structures moderate PSNP outcomes in Ethiopia.' World Development 50: 1-12.

vulnerability indicators such as disability, age and the number of dependents in a household. Most programmes require extensive community consultation in targeting processes to identify and verify client lists. In many pastoral areas, there is pressure for sharing programme benefits more widely amongst all community members, regardless of their vulnerability or wealth status. An evaluation of food-for-work and cash-for-work programming in Somali Region of Ethiopia argued for universal coverage, including the non-poor: 'Communities usually argue that drought impacts on all wealth classes. While the more wealthy may be left with more animals after a drought, the burden on them is always there, due to their social obligation to assist the poor and for this reason they should be part of a distribution programme.'[62]

Targeting challenges were apparent in the PSNP rollout in Somali and Afar Regions. It was the first large-scale national social protection programme in the region that was introduced in pastoral settings. Notwithstanding the programme's positive impact on reducing the food gap for some chronically food insecure households in Somali and Afar, many better-off households have been targeted. In fact in both regions, the poorest decile of households as measured by livestock holdings were the least likely to receive PSNP support. In both regions, wealthier households are as, or more, likely to participate in the PSNP as are poor households.[63] Further, the programme up to now has been unable to overcome the gendered nature of distribution channels. Although formal structures include women, women's de facto participation in targeting is limited. Clan leaders often play a more important role in targeting in many areas yet they do not widely consult women. When women attend targeting meetings, their voices are rarely taken into account.

One of the lessons from implementation of the PSNP in pastoral areas has been under-coverage. In many *woredas* where the programme is implemented, the scale of need far outstrips the implementation resources that are available, resulting in the exclusion of many who are only marginally better off. Not surprisingly in these circumstances, dilution of transfers has been common as they are shared more widely within communities. This, in turn, undermines the programme's theory of change, which is predicated on targeted households receiving a certain level of assistance that will enable them to eventually exit the programme.

Vulnerability alongside growth: A further challenge relates to the vulnerability and poverty that seems to be worsening in dryland areas while economic growth abounds, commercialisation processes gallop apace, and the region's remote pastoral areas become increasingly tied into wider systems of market activity, trade and investment. A regional trade is booming in livestock and meat, spurring local initiatives such as the emergence of private abattoirs in pastoral areas of Somalia and Somaliland, as well as a diversity of marketing and service provision relationships. Pastoralists are organising themselves to supply milk to the populations of fast-growing small towns and cities such as Nairobi, Addis Ababa, and even London. In eastern Ethiopia, camel milk is collected from pastoral producers and flown to the Gulf. This changing context is affecting the nature, extent and distribution of vulnerability, with vulnerability a moving target that emerges from the complex rural dynamic of which increasing commercialisation, investment and trade is a part.

Despite pastoralism's contribution to national economies, government investment in social protection, while growing in some cases, is lacking across the region as a whole. There are some examples of significant government spend on social protection, including Ethiopian Treasury support to the PSNP covering about 8.4% of the programme's costs. Since 2005 the Kenyan Government has greatly increased its spending: Between 2005 and 2010, social protection expenditure in Kenya rose from US$390 million to US$668 million, mostly due to increases in spending on the contributory programmes, the civil service pension, and safety nets.[64] Most government spending on social protection is channelled to the civil service pension whereas most funding from development partners is for safety nets. Uganda, heavily donor dependent overall, spends a majority of its funds on its civil service pension as well.

Running ahead of policy: With the accelerating pace of change, and the funding impetus still coming from development partners rather than governments, some observers have cautioned against social programming running ahead of the formulation of government policy and institutional development. It is argued that policies developed from donor-funded pilots can be ineffective because they can sprout in a policy vacuum with no overarching strategy.[65] The new focus in many countries on putting social protection policies in place is a positive development. Establishing a policy and institutional framework for social protection is a necessary step toward encouraging national governments in the region to allocate greater public spending for long-term social assistance programmes.

Optimising social protection within wider development planning

The argument for social protection in pastoral areas of the Horn of Africa is that they exhibit widespread and deep poverty, and populations in these places are exposed to considerable risk and uncertainty. Given the lack of alternative livelihoods outside of pastoralism in many drylands and persistently high levels of vulnerability, predictable safety nets will be needed in pastoral areas of the Horn for the foreseeable future. The impact of discrete cash and food transfer programmes alone, implemented in isolation of wider efforts, remain questionable however. This is not to diminish the importance of unconditional assistance for certain categories of the poor who are especially vulnerable—¬such assistance must continue to be an important component of social protection systems in pastoral areas—but minimal direct transfers provided through safety nets will not

62 Van den Boogaard, R. (2006) 'Experiences of targeting resource transfers and interventions to pastoral and agro-pastoral communities: Horn of Africa and Ethiopia.' Save the Children UK and Save the Children USA. Addis Ababa.

63 Sabates-Wheeler, R., Lind, J., Handino, M., Hoddinott, J., Tefera, M., Bekele, G., and Simma, F. (2011) 'The implementation of the Productive Safety Net Programme in Afar, Somali and selected lowland woredas in Oromiya.' Report to the PSNP Donor Coordination Team. October 15, 2011. Addis: World Bank; Lind, J., Hoddinott, J., Tefera, M., Flintan, F., and Yohannes, Y. (2013) 'The implementation of the Productive Safety Nets Programme in the Ethiopian lowlands, 2012: programme performance report.' Report to the PSNP Donor Coordination Team. October 31st, 2013. Addis Ababa: World Bank.

64 Republic of Kenya (2012) 'Kenya social protection sector review.' Ministry of State for Planning National Development and Vision 2030.

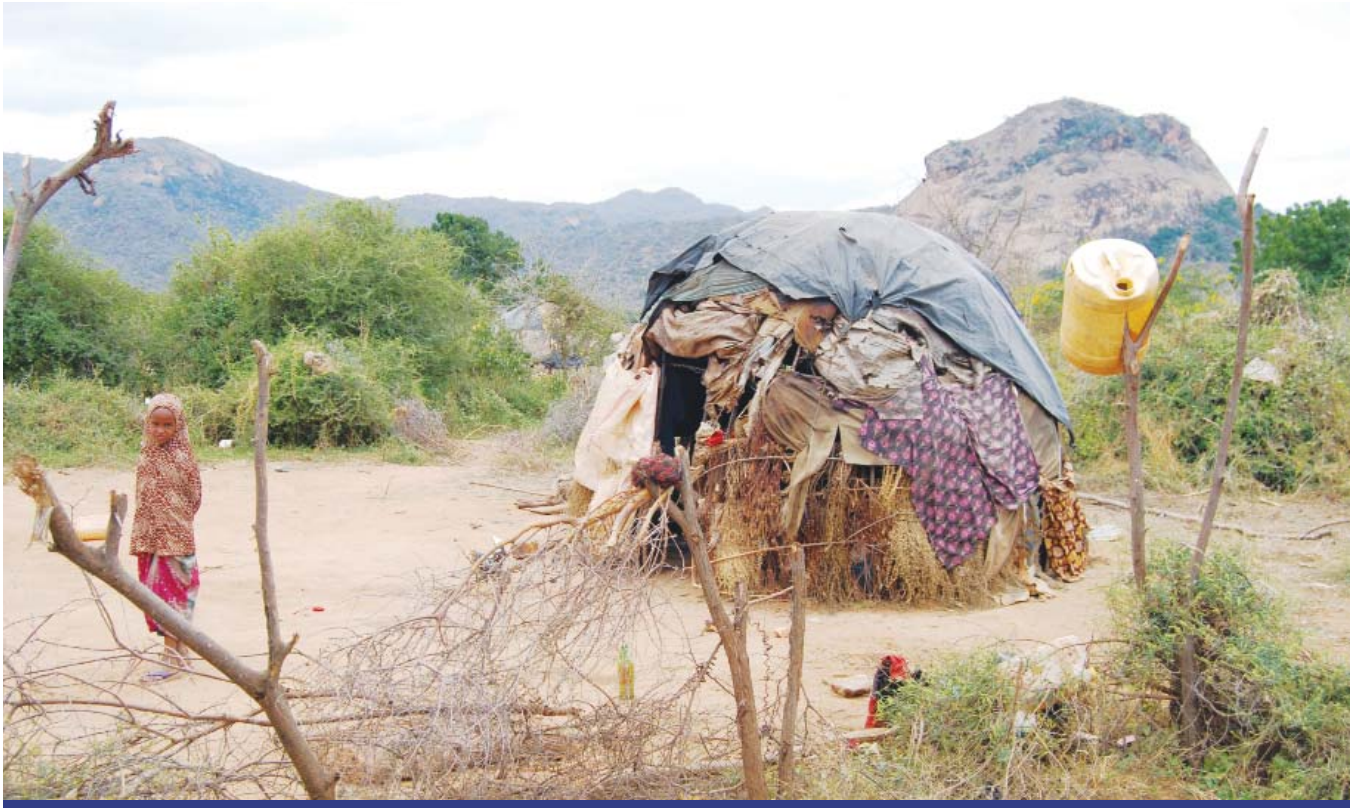
65 Devereux, S. and Getu, M. (eds) (2013) 'Informal and formal social protection systems in sub-Saharan Africa.' Addis Ababa: OSSREA and Fountain Publishers.

deliver opportunities for the destitute to shift into alternative livelihoods.[66] Many cannot return to pastoralism, either because they do not want to and/or because there is no possibility they can acquire the minimal level of assets needed to engage in more profitable forms of livestock marketing and trade that are now emerging.

The implication is that social protection cannot be a standalone venture. Indeed, most social protection specialists would emphasise that it was never intended to be. As it has gained purchase in donor circles, however, it has sometimes been promoted without giving sufficient heed to other complementary foundations of development—such as education, governance, land rights, infrastructure and economic empowerment. With social protection now embedded in the landscape of dryland development in the region, planners must shift their focus to how it joins up with complementary efforts—if any—in these other areas.

Targeting is always challenging, and there is often a trade-off between coverage and level of transfer that needs to be carefully considered. In Ethiopia's lowlands, the prospects for PSNP beneficiaries to graduate from the programme are diminished by the fact that transfers are distributed so widely, with the implication that many more people are benefitting from the programme but receiving smaller transfers. One lesson to draw from this experience is that targeting greater levels of assistance to a small proportion of the food insecure population in dryland areas is unworkable. For programmes that involve direct transfers of food and cash to households, planners must find another targeting model that will accommodate the widespread sharing that often occurs (i.e. make sure that formal social protection systems fit with existing traditional social protection/welfare mechanisms that function in drylands).

While governments and their development partners continue to seek the right mix of social protection programming for drylands, now is the time to begin thinking about how to enjoin social protection measures with wider development planning and investment. Social protection is not a panacea for realising lofty ambitions of growth and transformation of the drylands. Yet it can and should address vulnerabilities that prevent a substantial part of the population in these areas from benefiting from the economic changes that are sweeping the Horn of Africa.



A traditional mobile house in Takaba, North Eastern Kenya / K. Relleen Evans, CARE

66 Behnke, R., Devereux, S., Teshome, A., Wekesa, M., and White, R. (2007) 'Piloting the Productive Safety Net Programme in pastoral areas of Ethiopia.' Revised Programme Proposal, March 2007. Addis Ababa.

The renewed DRR strategy of ECHO in the Horn of Africa

By Sylvie Montembault, Regional DRR advisor, ECHO

With the food security situation continuing to deteriorate in Northern Kenya and South–Central Somalia it is often not clear what exactly has changed since the 2011 drought crisis, and the subsequent demands for international aid actors and national/regional governments to work together under a resilience banner. This article looks at the role of ECHO and how it proposes to change its approach to Disaster Risk Reduction.

The challenges of recurrent drought

The 2011 drought and its dramatic effects in the drylands of the Horn of Africa led to:

- The realisation that the international development and humanitarian system, together with national governments, had failed to prevent starvation and livelihood losses despite the predictability of the crisis;
- A commitment from various actors towards "doing business differently", i.e. aligning collective actions with communities, local and national governments, regional institutions, as well as aid organisations (humanitarian and development) and donors, in order to boost resilience in the HoA and addressing the underlying causes of vulnerability and under-development.

Today, over 1 million people in Somalia face acute food insecurity. This brings the total number of people in need of humanitarian assistance or livelihood support in the region to over 3 million. An estimated 1.5 million people are acutely food insecure in Northern Kenya, and will require immediate food assistance over the next 6 months from September 2014, according to the latest long rains assessment. Although some very positive steps have been taken to address the chronic causes of recurrent drought related disasters, resilience is a long-term process. It is also important to be able to respond to emergencies in an efficient and effective way by translating early warning into early—but informed—actions. Despite high level political commitment both at international and national levels, the long-term nature of the resilience building process, and the inter-related difficulties of multiple stakeholders and multi layered strategies, need to be taken into account.

DG ECHO established their DRR programmes in the Horn of Africa in 2006, with a specific focus on drought. These programmes have sought to build up resilience in communities that are particularly vulnerable to drought so they can cope better when rains fail. So far the Commission has invested €90 million across Ethiopia, Uganda, Kenya and, to a lesser extent, Djibouti. Programmes have also encompassed cross-border actions (Uganda-Kenya, Kenya-Ethiopia and Ethiopia-Somaliland) and operations of a regional nature—focusing on coordination, learning, technical back stopping, capitalization and advocacy.

Towards a global alliance

Beyond ECHO, the Governments of the IGAD Member States have more recently agreed to work together on an initiative to 'End Drought Emergencies in the Horn of Africa' by building sustainable livelihoods. Development Partners have welcomed the initiative and many have allocated additional funding to support it. The initiative by IGAD and its Member States is being operationalized through the development of a number of key documents, notably the IGAD Regional Programmatic Paper (RPP) and the Country Programmatic Papers (CPPs).

All major donors, including the EU, have committed themselves to a "Global Alliance for Action for Drought Resilience and Growth" in the Horn of Africa, targeted at boosting coordination and leading to more collective and efficient action for resilience. Despite growing investment in resilience in the Horn of Africa, with some 1.2 billion USD pledged by donors to date[67] (including the EU, World Bank, the AfDB, USAID and others), evidence of the adequate and appropriate use of these resources to build resilience in the drylands of the Horn of Africa is yet to be seen, with some of the critical building blocks to development: education, governance, land rights and infrastructure e.g. major roads etc. showing few signs of change.

The ECHO response

With its wealth of experience and learning on DRR programming in the Horn of Africa, DG ECHO has been on the front line in defining and influencing the resilience agenda. A key element is enhancing multi-stakeholder and cross sector partnerships. For DG ECHO it is also crucial to ensure that interventions undertaken, or advocated for, are based on a common understanding of risk; including the root causes of vulnerability, and emerging trends and opportunities in dryland areas. Civil society and academia need continuous support to build this body of knowledge and inform decisions on appropriate interventions to fund. It is also important that verifiable resilience outcome indicators for determining "good practice" are developed for enhancing resilience in various contexts. In all these necessary areas of investment DG ECHO has a privileged role to play, building on learning from seven years of investment in Drought Risk Reduction in the region.

At another level DG ECHO also sees it as being critical to acknowledge that humanitarian aid cannot be left outside of these comprehensive approaches, integrated solutions and 'sustainability of resilience' objectives. It is crucial, whilst respecting the limits of humanitarian action based on the core principles of neutrality, impartiality and independence, that humanitarian actions engage with states, governments and governance at local and national levels and advocate for long-term solutions that benefit the most vulnerable. Here again, ECHO, guided by the EU resilience communication,[68] can drive forward an agenda and force humanitarian actors to rethink the way they do business.

67 Agnes Atyang and Sarah Standley for REGLAP (March 2014) 'From Commitment to Action: Are donors meeting their pledges to build resilience in the Horn of Africa?'
68 http://ec.europa.eu/europeaid/what/food-security/documents/20121003-comm_en.pdf

ECHO's new DRR strategy in the Horn of Africa is therefore twofold:

1. **To mainstream DRR in all ECHO funded actions at country level under the new banner of resilience.** It is critical for ECHO to keep a strong emphasis on Emergency Preparedness and Response in its programming, and to demonstrate how it can contribute to building the abilities of communities to cope with emergencies. This implies, risk informed programming, integrated programmatic approaches and partnership, conflict sensitive programming, and creative and evidence informed programming.

   Because humanitarian and development work has been on going for many years in most of the chronic emergency contexts, often with mixed results, it is critical that programmes now look at doing things differently. Understanding the complexity of the context—and linking this to adequate development programmes—requires that adequate research be done to fill gaps in knowledge and understanding, with creative minds required to find solutions. ECHO needs to build on the wealth of learning/experience on DRR programming and existing policy and guidance when deciding about activities to be funded.

2. **Learning and advocacy to remain key under the resilience agenda.** For resilience building to achieve positive and sustained outcomes for vulnerable communities it will be necessary to create and maintain an enabling environment, in which progress is made to both strengthen and enhance policy and strategy commitments; and government, civil society and development partners knowledge, capacity and skills is built.

   Shortcomings on the part of national and international actors continue to preclude a coordinated humanitarian response that could make a major contribution to strengthening livelihood systems in the drylands, and identify alternative livelihood strategies. It is critical for humanitarian and development organisations to recognise that many communities, and particularly pastoralist communities, are changing rapidly.[69] There is a great deal of livelihood diversification and urbanization in many drought-affected areas; and consequently, in order to remain relevant to changes in pastoralist communities, international organisations must first understand the changes and the aspirations of the people.

At the regional level, ECHO will give specific attention to:

(i) The on-going work on resilience programming in Ethiopia, Kenya and Somalia as the basis for cross-country learning;
(ii) The commitment of the Red Cross Movement and INGOs to do business differently; and
(iii) DLCI (formerly REGLAP) as it evolves at the regional level.
(iv) The development of resilience measurement approaches.

It is hoped that beyond the first political commitments, development actors, including the EU institutions and EU Member States, will quickly take a more pro-active leading role to address the on-going crisis—building on the learning that ECHO and its humanitarian partners have helped document. In the longer run it is critical that the emergency response is systematically factored into the resilience agenda.

Humanitarian actions must engage with states, governments and governance at local and national levels, for long-term solutions that benefit the most vulnerable / Kelley Lynch, Mercy Corps, USAID

69 Changes in the Arid Lands, The expanding rangeland: Regional synthesis report and case studies from Kenya, Ethiopia and Somaliland, SCT, IFRC, OXFAM, Norwegian Red Cross, December 2013;
Community-Based Resilience Analysis (CoBRA) Conceptual Framework and Methodology, UNDP, April 2014;
"Counting pastoralists" in Kenya, Saverio Krätli and Jeremy Swift, DLCI, April 2014.

From Commitment to Action: Are donors meeting their pledges to build resilience in the Horn of Africa?

By Agnes Atyang and Sarah Standley, independent consultants

In 2013 DLCI conducted a review[70] of levels of funding for resilience following the 2011 drought in the Horn of Africa. This article summarises the major findings; highlights the donor initiatives that appear to be moving in the right direction; and suggests how IGAD, its member states and all development partners might take forward their promises to take action to end drought emergencies. Although there are many new projects starting, the key findings and recommendations are still relevant.

A call for action

The 2010/2011 drought in the Horn of Africa (HoA) highlighted the fact that the region has received minimal funding from the international community over the last 20 years to address the underlying causes of vulnerability.[71] The bulk of the international effort and finance has been focused on costly emergency drought response measures that are often late, and in many cases are detrimental to longer-term development efforts. The severity of the drought saw renewed reflection on humanitarian action in dryland areas, and a new focus on building resilience to drought in order to end the repeated cycles of humanitarian crises.

At the Nairobi Summit in 2011, development partners and member states of the Intergovernmental Agency for Development (IGAD) supported a regional initiative to 'End Drought Emergencies' (EDE)—later termed the IGAD Drought Disaster and Sustainability Initiative (IDDRSI). The overall objective was to reduce drought/disaster risks and improve livelihoods in the HoA using an integrated programming framework at national and regional levels—shifting the balance from humanitarian aid to development/resilience-building. All governments, donors and implementing agencies in the region have subsequently adopted 'resilience-speak' in their communications, and strategies now commonly call for DRR and adaptation to be mainstreamed, and for long term investment to tackle the underlying causes of vulnerability. The question remains, however, to what extent has this paradigm shift resulted in a change in practice, and to what extent is it really just business as usual?

A DLCI study

A DLCI study, conducted in late 2013, decided to review the status of funding in the Horn of Africa to determine how this corresponded with sustainable development needs in the drylands and the critical issues for impacting on resilience. In particular it aimed to:

- Determine what/who is being funded, and what/who has been left out, and why;
- Analyse the implications of these decisions on building resilience in the drylands based on the evidence gathered so far (2008 to date).

The study focused predominantly on Uganda, Kenya and Ethiopia (the REGLAP/DLCI focal countries) with reference to other IGAD countries where possible.

It was recognised from the outset that determining the funding provided by different donors specifically as a response to IDDRSI would be a challenge: IDDRSI is not a programme but more a guiding framework. It was hoped however that the analysis could at least illustrate the extent to which funding has shifted since the commitment made by IGAD and development partners to 'do things differently'. More than ten donor and development partners were invited to engage in the stakeholder consultations. These included:

- United States Agency for International Development (USAID),
- UK Department for International Development (DFID),
- Danish development agency (DANIDA),
- German Development Cooperation (GiZ),
- Swiss Agency for Development and Cooperation (SDC),
- Italian Development Cooperation (CIS),
- World Bank (WB),
- African Development Bank (AfDB),
- Japan International Cooperation Agency (JICA),
- European Commission (Development Cooperation – EuropeAid [DEVCO])
- World Food Programme (WFP)
- IGAD Centre for Pastoral Areas and Livestock Development (ICPALD) and other IDDRSI staff

Overview of study findings

A key challenge in probing what is being financed as part of resilience building is teasing out what exactly funds are being used for. Most activities are broadly categorised as rural development, diversification of livelihoods, pastoral and agriculture development, or sometimes 'resilience-building activities'. Without knowing the details it is difficult to determine specifically what resilience component is being funded. It is also a challenge to determine what is informing funding decisions, beyond donors' strategic and regional plans.

70 Study: http://www.disasterriskreduction.net/fileadmin/user_upload/drought/docs/Funding%20study%20March%202014.pdf and brief http://www.disasterriskreduction.net/fileadmin/user_upload/drought/docs/DLCI%20Summary%20Brief%20on%20Resilience%20Funding_March%202014.pdf

71 Kellett, J. and Caravani, A. (2013) 'Financing Disaster Risk Reduction: A 20 year story of international aid. Global Facility for Disaster Risk Reduction/Overseas Development Institute'.

Education is a transformative issue that needs funding / Kelley Lynch, Mercy Corps, USAID

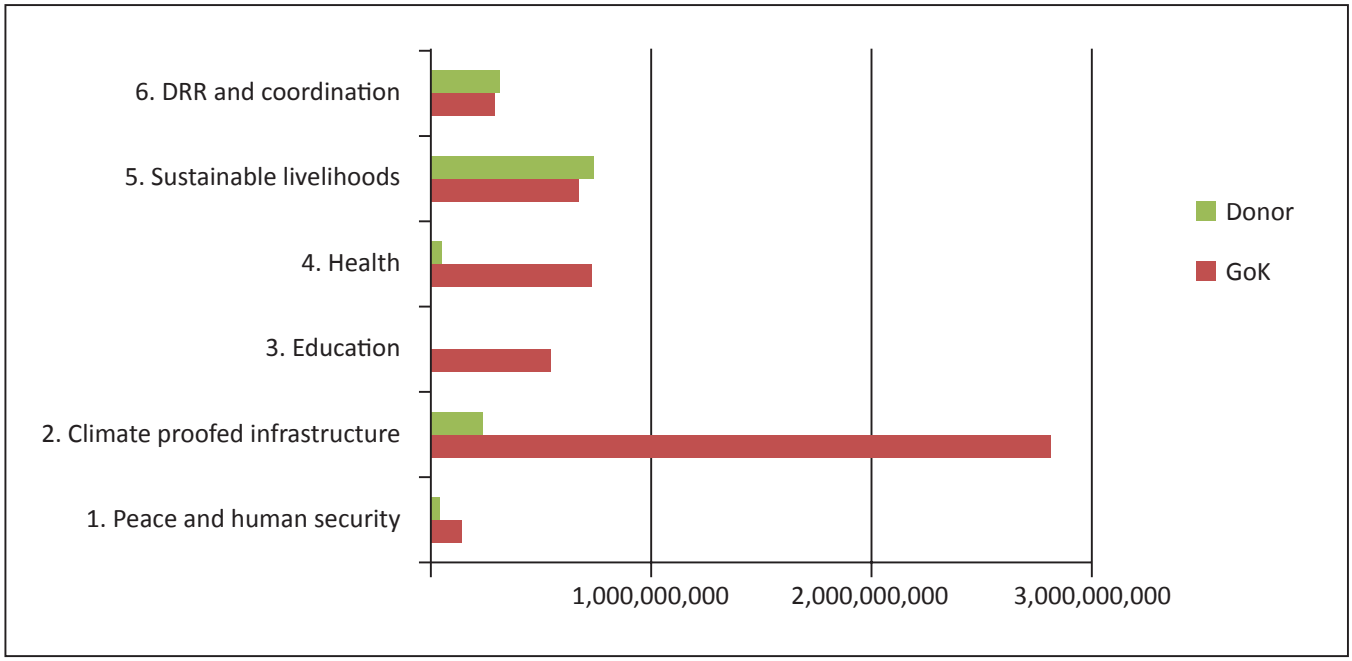
The findings indicated that many of the projects that are currently being implemented in countries of the HoA are not responding well to the call for change in the way aid is provided. Although funding decisions are now conceptualised around the general principles of resilience—principles that have been internalised through organisational strategies and concept notes—it is clear that much of the narrative has not been reflected in project outputs. There has been no major increase in long-term development funding, despite an agreement that the provision of key infrastructure and basic services in the drylands is an essential foundation for building resilience. Short-term funding is still being directed at the same 'traditional' interventions, with very little being provided to address critical and transformative issues. Many projects remain small-scale, working with limited numbers of beneficiaries, and targeting nutrition, livelihood diversification or water and sanitation (WASH) activities. Few projects appear to provide substantial funds to address the critical issues of education and health; and transformational factors, such as good governance and land rights, and peace building are still rarely considered under a resilience agenda.

There are, however, a number of projects that do appear to have made a paradigm shift: StARCK+ (featured earlier in this journal) in Kenya is aiming at sustainable institutional changes: working closely with government ministries and County administration to model participatory, adaptive planning within institutionalised government planning cycles. Likewise it appears that DFID's BRACED programme, once implemented, could be a model for change: its heavy focus on knowledge management and institutional strengthening should see the evidence from smaller interventions feeding into longer term, systemic policy change. USAID's PRIME programme in Ethiopia is working closely with the private sector to stimulate more sustainable investment, and is connecting rural and urban communities across heterogeneous dryland populations—thus targeting both vulnerable groups as well as wealthy, commercial stakeholders operating within the same system.

Many of the stakeholders interviewed by the study confirmed that resilience-building activities are typically implemented at the community-level and involve communities in the planning process. Although whether this involvement is sufficient to empower communities to help direct policy in the future is questionable, given the short term funding of many interventions and the limited funding to local CSOs who live and work in communities, so have the necessary understanding and relationship with them to make this work. Multi-sectoral programming is also being prioritised, and implemented through a variety of sector-based organisations. Water-shed/landscape level planning is becoming important, as is the need for longer-term project cycles. The challenging social, political, economic and environmental contexts in the HoA remain a limiting factor however: projects are still short in duration, usually around 2-3 years and this is unlikely to change for these locations that are viewed as politically, economically (or otherwise) 'high-risk'.

The study findings support the Kenyan ASAL Donor Group's comparative estimates of government/donor spending by sector, as presented in Figure 1: factors which address the underlying causes of vulnerability are still underfunded by donors, despite the agreement to jointly prioritise these issues well in-advance of disasters occurring.

Figure 1: Donor contribution (in US Dollars) to the pillars of the Kenya Ending Drought Emergencies Country Plan in 2013[72]



Outstanding needs

Moving forward, several donors have made plans to refocus and increase support for resilience building in the drylands during 2014. The EU plans to provide additional funds for resilience-enhancing activities in the Eastern Horn (see article by ECHO in this journal). With more than USD $134.5 million (€100 million) set to be operationalized under the SHARE framework alone in Kenya and Ethiopia (among other countries in the HoA), increased funding of nutrition, livelihoods, water provision and management activities are expected to speed-up achievement of national and regional priorities. Similarly, USAID is expanding its resilience programme and Germany plans to publish new pledges.

But it is clear that the current funding gaps that exist for the sectors of health, security and education, urgently need to be addressed by all donors. Governance, land rights, cross-border and watershed approaches in projects targeting rural livelihoods also need prioritising: including these issues in project documentation or in project planning meetings is simply not enough. These vital principles of resilience must be tracked throughout project implementation, from start to finish, through effective M&E systems and good communication and cooperation between all donors, partners and recipients of the funding.

DLCI proposes the following seven recommendations for IGAD, its member states and all development partners as a way forward:

1. Ensure that **the resilience agenda is broadened outside of the food security sector** to make sure it encompasses education, governance, 'voice,' and land rights.
2. **Donors** planning to refocus and increase support for resilience building in the drylands **must do more to enhance multi-stakeholder and cross-sector partnerships.**
3. Ensure interventions undertaken or advocated for are **based on a good understanding of emerging trends and opportunities in the drylands areas;** otherwise they will undermine rather than build resilience of communities or contribute to the litter of misconceived projects. Civil society needs support to build this body of knowledge to inform decisions on appropriate interventions to fund, and also to support acceptance of new innovations by the development community.
4. **Support government and local decision-making institutions to become more inclusive, networked and transparent,** if vulnerable communities are to benefit from the resilience efforts. Civil society needs support to engage with governments and IGAD to ensure that accountability and monitoring mechanisms are in place.
5. **Ensure support to IGAD is enhancing its ability to provide technical and financial guidance to member states.** This is vital to maintain the trust and authority given to IGAD to lead the resilience agenda.
6. **Evaluate, document and disseminate lessons from development success and failures,** thereby avoiding repeated mistakes and obtaining better value for money. Lessons learned should also inform improved design of activities; especially long-term interventions such as the delivery of education services which are known to play a major role in household and community resilience.
7. **Develop verifiable evidence of resilience outcomes to determine 'good practice'** for enhancing resilience in its various components and contexts. Investments tied to these indicators should be collaborative, harmonised and consistent, and thereby contribute to longer-term sustainability and resilience.

If all the governments, donors and implementing agencies in the HoA who pledged to change direction following the 2010/11 drought are able to follow up their commitments in this way, the impact of drought in the future on the vulnerable communities in the HoA is likely to be much reduced.

72 EC (2013) Resilience in Kenya- towards joint strategy, joint programming and joint M&E: ECHO perspective, presentation for the ASAL Donor Meeting, August 1st, 2013, GIZ office.

Doing things differently to End Drought Emergencies in Kenya

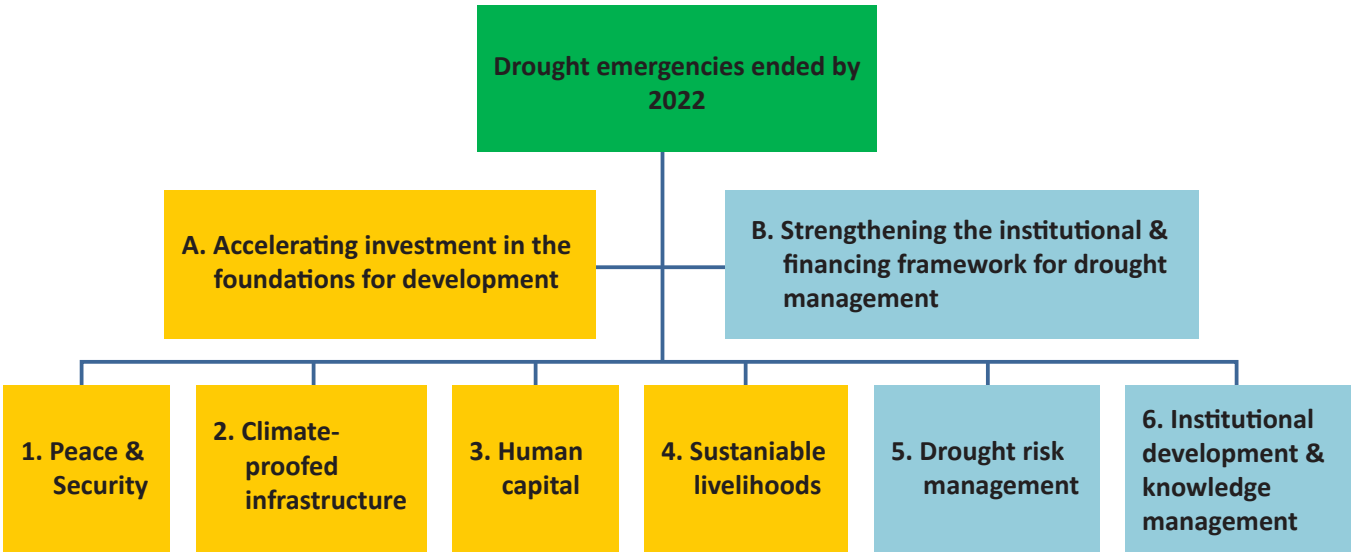
By Paul Obunde, Planning and Policy Manager and Izzy Birch, Technical Advisor, National Drought Management Authority

Government policy towards drought management in Kenya has undergone a fundamental shift in recent years. Rather than reacting to the effects of droughts as they arise, it now seeks to reduce vulnerability and risk through sustainable development in drought-prone areas. This shift is also informed by the high cost of drought that has serious implications on the economy: For example between 2008-2011 it was estimated that Kenya lost US$ 12.1 billion due to drought.[73] The shift in policy is based on two assumptions: that the disasters that arise during droughts are largely avoidable, and that droughts now have a greater impact than they did in the past because underlying developmental challenges—such as chronic poverty, inequality, insecurity, environmental stress and climate change—are not being adequately addressed. The change in policy is also an attempt to overcome the artificial divide between development and humanitarian practice that has long undermined development in these areas.

The new policy seeks to end drought emergencies by 2022 and is being implemented through the Ending Drought Emergencies (EDE) initiative under the leadership of the National Drought Management Authority (NDMA) in the Ministry of Devolution and Planning. EDE commitments are now an integral part of the national development plan (Kenya Vision 2030). They constitute one of the sector plans within the 2nd Medium Term Plan for 2013-17, and are recognised as one of the foundations for national transformation. The commitments are also aligned with the National Policy for the Sustainable Development of Northern Kenya and other Arid Lands (the ASAL Policy) and operationalise some of its key commitments. In addition, the new policy direction is in line with IGAD's wider Drought Disaster Resilience and Sustainability Initiative (IDDRSI) aimed at ending drought emergencies in the region.

Policies and plans still need turning into tangible investments on the ground however. This is being done through the development of an EDE Common Programme Framework (CPF), which is at an advanced stage of finalisation and adoption by relevant stakeholders. The draft CPF has six pillars (see Figure 1), each of which has an investment strategy and a number of result areas to which the national government, the county governments and development partners are all aligning their resources. The frameworks have been developed over a one-year period in consultation with relevant ministries, county governments and development partners.

Figure 1: EDE Framework



73 Republic of Kenya, (2012) 'Kenya Post-Disaster Needs Assessment: 2008-2011 Drought'

The EDE process has been a huge undertaking: the definition of pillars, working groups and the development of strategies has been complex and time consuming, but it has led to increased clarity and prioritisation of the measures that need to be undertaken to achieve transformation. The pillars are each highly complex and involve multiple sectors and actors.

The EDE process aims to strengthen cooperation and synergy across sectors, actors, geographical areas and levels of operation (community, county, national and regional), so that programming is more coherent, coordinated and efficient. A common programming approach plays to the strengths of different agencies and instruments. It allows the layering of interventions that target the same or different population groups at different times and in different ways, and it provides a way of bridging previously separate disciplines.

Although many of the strategies outlined in the frameworks are not new, they identify and prioritise strategic cross-sectoral activities that will bring transformation to these areas and promote renewed energy and focused action by all. For example, the artificial divide between 'humanitarian' and 'development' practice makes little sense in areas such as the arid and semi-arid lands (ASALs), 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 likely longer-term impacts of climate change, it is clear that the most appropriate and cost-effective approach is one that attempts to understand and respond to these unpredictable and inter-related risks in a holistic and integrated manner. This is what the EDE initiative seeks to do.

For more information about the EDE initiative, please contact the EDE Secretariat at the National Drought Management Authority, email: edesecretariat@ndma.go.ke
The draft Common Programme Framework is available to download at: www.ndma.go.ke

Drylands Learning and Capacity Building Initiative for improved policy and practice in the Horn of Africa (formerly REGLAP)

DLCI is an independent resource organisation registered in Kenya that aims to improve policy and practice in the drylands of the Horn of Africa via knowledge management and capacity building support to communities, CSOs and governments. DLCI grew out of the Regional Learning and Advocacy Programme for Vulnerable Dryland Communities (REGLAP), a consortium of organisations that supported regional ECHO partners to document and share their experiences on DRR and advocate on critical issues for dryland resilience building.

REGLAP operated from 2008 to 2013, when it carried out a strategic review and planning exercise to reflect on its niche, structure, home and geographical focus. The exercise concluded that REGLAP should become an independent resource organisation, with the goal of strengthening knowledge management and capacity building of dryland citizens to engage in policy processes. It also recommended that the new organisation should formalise its collaboration with other dryland advocacy and research organisations, and expand its links to other countries in the IGAD region.

Thus DLCI started its operations in January 2014 supported by ECHO and SDC and now is fully operational, guided by a technical committee largely made up of people from the drylands. During its establishment it decided to initially focus on activities in Kenya, the learning from which it will share with other countries in the region in the near future.

DLCI is currently promoting integrated and evidence-based approaches for improved resilience with a range of government organizations, NGOs, CSOs and international organisations on:

- Improved education quality and approaches for the drylands
- Water and irrigation planning
- Integrated and land use planning
- Improved dryland data collection
- Strengthening community voice

Information on the progress of these activities can be found in DLCI's quarterly bulletins, which can be found on the DLCI webpage alongside other information on DLCI and REGLAP
www.disasterriskreduction.net/east-central-africa/dlci and soon www.dlci-hoa.org

DLCI has recently developed partnerships with IIED and Tufts University on knowledge management and is seeking funds to develop its community voice work in partnership with other organisations.

For further information, feedback on this journal and suggestions for the future, please contact:

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Drylands Learning and Capacity Building Initiative

This Journal was funded by the European Commission Humanitarian Aid and Civil Protection Department (ECHO) and the Swiss Agency for Development and Cooperation (SDC).

Humanitarian Aid and Civil Protection

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Copies of this journal and other DLCI/REGLAP outputs can be accessed at:
http://www.disasterriskreduction.net/east-central-africa/dlci/
and soon on www.dlci-hoa.org