

Preparedness Guidelines

Developing a Strategic Drought Preparedness Framework

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Table of Contents

I.	Chapter 1: 1	
	Section 1: Preface	1
	Section 2: Planning and Improving Upon the Past.....	3
	Section 3: Operations & Implementation	12
II.	Chapter 2: Pro Forma Agreements for Operational Partners	16
III.	Chapter 3: Annexes	17
	Annex 1: Review Preparedness Components of Contingency Plans	17
	Annex 2: Review of Preparedness Components of Community Action Plans	20
	Annex 3: Template of drought preparedness framework (Excel format)	20
IV.	Methodology.....	21
V.	Developing Priority Preparedness Actions	21
VI.	Works Cited	22

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Chapter 1:

National & ASAL County Drought Preparedness Framework

Section 1: Preface

Need for the guidelines

The **purpose** of this document is to support the NDMA, the county governments and their partners to **develop a comprehensive preparedness framework** at both the national and the county level (in each of the 23 ASAL counties). This guide will outline a means of identifying preparedness actions within broader contingency plans as well as how those actions can be prioritised. Highest priority is given to preparedness actions (short term) that reinforce development actions (long-term), and which help us end drought emergencies by realising the goals enshrined in Vision 2030.

Drought preparedness in this report will refer to the capacities needed to manage drought episodes effectively. Preparedness should be an **integral** part of **drought contingency planning** and is based on a sound analysis of drought risks. Drought preparedness actions occur before a drought. We can consider two categories of drought preparedness actions, those which:

- mitigate the negative consequences of drought
- prepare us to implement timely assistance during drought

The first category can consist of activities such as investing in strategic infrastructure, and the development of coordination and contracting arrangements. The second could include activities such as stockpiling equipment and supplies,

Drought preparedness actions are different than normal development or community development actions. Normal development or community development actions are much broader and while they may ultimately, in the long-run reduce an individual's exposure to or increase ability to cope with drought hardship, preparedness speaks to more immediate, short term capacities and limited to those useful to avoid or negotiate drought hardship. Clearly there is no hard line distinguishing a development vs preparedness action, but these definitions are useful. For example, investing in schools to educate children and allow them to find jobs elsewhere or to become competitive, viable commercial livestock keepers are **developmental** actions. Preparing storage, training on stock management, or food preparation so that schools can offer lunches to students during drought so that they will not drop out, are priority **preparedness** actions.

Vision 2030, EDE, and County Act and Drought Contingency Planning

In terms of county drought contingency planning, there are currently three guiding pieces of policy:

- Vision 2030
- Ending Drought Emergencies
- County Act

Government of Kenya strategy, policy and institutional change reflect a dynamic and evolving context in arid and semi-arid lands and also how we approach drought. Kenya's overarching policy directions are framed in the **Vision 2030** strategy. It envisions a Kenya to be a newly industrialising,

middle income country by 2030 - “a just cohesive society enjoying equitable social development in a clean secure environment.” The strategy is cognisant of Kenya's changing demography (youth and urbanisation) and emphasises progressive economic opportunities in trade, manufacturing, information and communication technology (ICT) and financial services. The policy refers to a need to transform rural poverty. It refocuses efforts to manage drought as integral to development prerogatives, not simply to cope with drought induced hardship or to maintain a status quo. The constitution also proscribes that this process should be driven by counties, to ensure government is relevant, accountable and connected to the people it should serve.

Vision 2030 also recognises the force and rate of change being driven by all young people including those from the arid and semi-arid lands. Its emphasis on economic transformation in part can be seen as recognition of a need to change to create and exploit the opportunities for 70% of the nation’s population that is under the age of 30 (Government of Kenya, 2014). Vision 2030 envisions a future for these young people different than that of their parents or grandparents. Their aspirations have been shaped by massive changes in communication technology, the internet, and transport networks (McDowell & Gitonga, 2013). Special considerations was given to ASAL regions in Vision 2030, to correct levels of poverty, unemployed youth, women and vulnerable groups. Applying Vision 2030 challenges us to rethink drought preparedness actions within this national vision of transformation and economic betterment.

Ending Drought Emergencies (EDE) is a ten-year programme to end drought emergencies by 2022. It seeks to facilitate: “...cooperation and synergy across sectors, actors, geographical areas, and levels of operation, so that programming is more coherent, coordinated and efficient. A common programming approach plays to the strengths of different agencies and instruments, and creates the possibility of layering or aggregating interventions that target the same or different population groups at different times and in different ways”. It priorities developmental investments that will deliver Vision 2030’s developmental agenda to drought-prone areas and along the way, will diminish vulnerability to drought and negative effects of climate change. County governments have both the political mandate and the resources to make a substantial contribution to the objectives of EDE through their County Integrated Development Plans (CIDPs), complemented by national mechanisms such as the Equalisation Fund. The custodian of the EDE programme is the National Drought Management Authority (NDMA). Contingency planning captures elements of CIDPs to manage drought crisis while reinforcing the objective of ending drought emergency. Drought

Box 1: Principles of planning and development facilitation at county level

- (a) Integrate national values in all processes and concepts;
- (b) Protect the right to self-fulfilment within the county communities and with responsibility to future generations;
- (c) Protect and integrate rights and interest of minorities and marginalized groups and communities;
- (d) Protect and develop natural resources in a manner that aligns national and county government policies;
- (e) Align county financial and institutional resources to agreed policy objectives and programmes;
- (f) Engender effective resource mobilization for sustainable development;
- (g) Promote the pursuit of equity in resource allocation within the county;
- (h) Provide a platform for unifying planning, budgeting, financing, programme implementation and performance review; and
- (i) Serve as a basis for engagement between county government and the citizenry, other stakeholders and interest groups.

relief must be linked to wider development objectives.

The **County Governments Act (2012)** gives effect to the “*objects and principles*” of devolution. It outlines important roles and functions of county governments and extends rights to citizens, including rights to participation, information, inclusion and protection. The principles of planning and development facilitation at county level serve to connect national planning frameworks with county and community priorities (Box 1). Contingency plans are then both the remit and responsibility of counties and another instrument to connect county development to national objectives. Part of this responsibility includes developing and implementing county level strategic plans to ensure Vision 2030 is realised in their counties. It also includes the responsibility to ensure those plans include contingency to manage threats to Vision 2030 in their county, by incorporating EDE into their CIDPs and embedding drought contingency as well.

Section 2: Planning and Improving Upon the Past

Identifying Relevant, Priority Preparedness Action

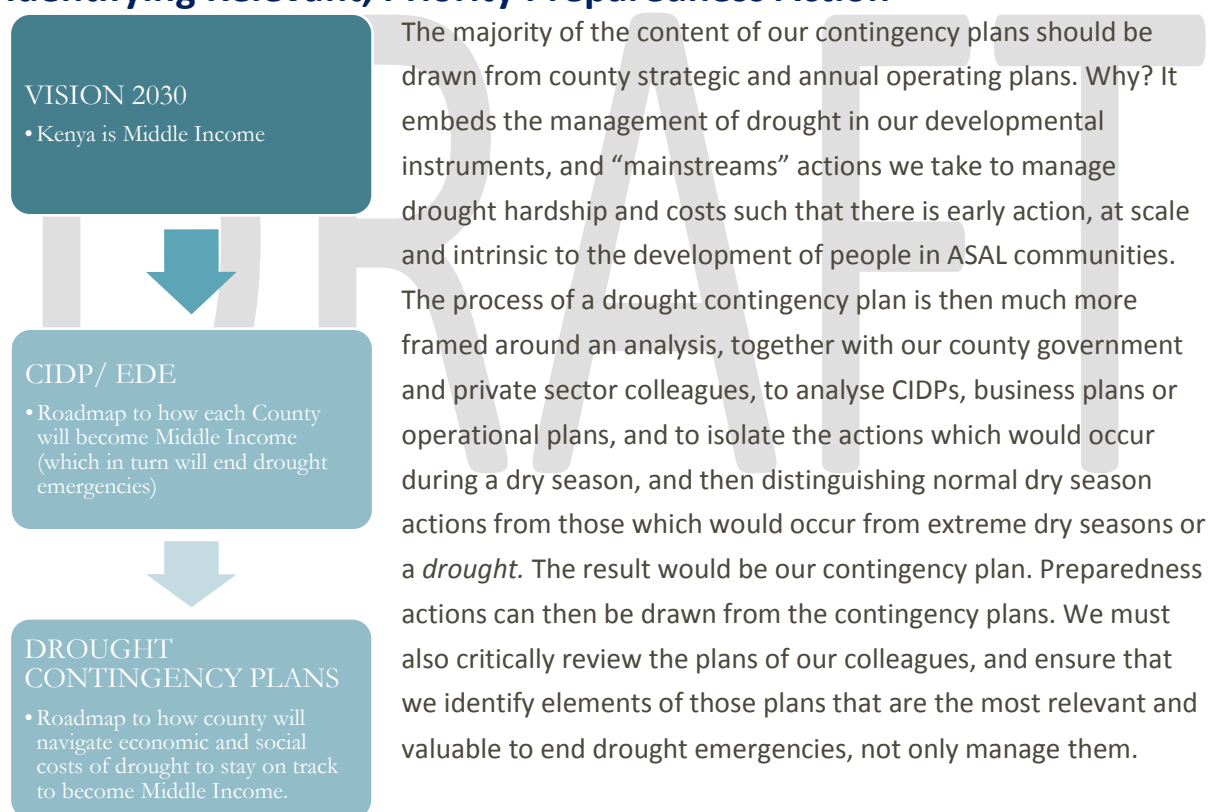


Figure 1: Linkages of contingency plans to county and national strategy and structures



Relevant Preparedness Actions

The starting point of drought preparedness planning should include an analysis of CIDP or business plans to highlight the most relevant contingency plans. Drought preparedness actions are drawn from our drought contingency plans to:

- mitigate the negative consequences of drought, or
- prepare us to implement timely assistance during drought

Appreciating drought preparedness and contingency plans as part of a county’s efforts to end drought emergencies, includes that we recognise their role to realise core strategic and development objectives described in Vision 2030 and CIDPs. Figure 1 illustrates those relationships.

Vision 2030 challenges us to make Kenya a middle income country that is equitable, peaceful with a clean, secure environment by 2030. CIDPs are then a roadmap of how each county will become equitable and middle income by 2030. The EDE complements CIDP roadmaps to middle income status in the ASAL counties, to make sure that county governments can navigate drought emergencies, and stay on track to become middle income. The logic is that once ASAL counties are *middle income* or developed, drought emergencies will have ended.

A Good Preparedness Action is Born out of a Good Contingency Plan

Relevant drought preparedness plans are ideally part of drought contingency plans which are a part of the CIDPs or strategic plans of business partners. Good preparedness actions are then a function of good drought contingency plans. What makes a good contingency plan?

A good, relevant contingency plan would analyse a CIDP to understand how drought events affect each sector’s contribution to the CIDP, or rather to the county becoming middle income. It would then prioritise those impacts and propose a set of measures to mitigate and manage the environmental factors driving drought conditions, as well as the economic and social consequences. The actions and approaches are most likely to be extensions of actions within the CIDP to manage dry seasons. It is much more effective to use our developmental and private sector instruments to manage drought crises. It ensures that energies and financial investments made during drought are aligned with our developmental goals and a key strategy to link our relief to development. It offers much greater value for money. Also, as basic services or businesses constantly respond to changing conditions – particularly the consequences of varying severity of dry seasons – contingency plans that are invested in our basic services and businesses mean we are acting “early” before and during a drought – and even if a drought doesn’t materialise.

Even if we are not yet thinking in these terms, many of our contingency plans contain precisely these elements. It is clear that county planners are cognoscente of these factors.

CIDPs are developed by sector and outline how the county government will promote economic growth and basic services to become middle income. It guides how a sector will grow and respond to changing conditions (including dry seasons). Importantly, within each sector’s planning processes are provisions to engage individuals and communities to ensure opportunities for participation and accountability. Where these processes of community engagement occur it can ensure that contingency plans reflect the voices of individuals and communities but also in a way which complements county level priorities, approaches and plans. We are just coming to terms with these new processes and in the meantime, we can link the sectoral elements existing in community action plans to sectoral county plans.

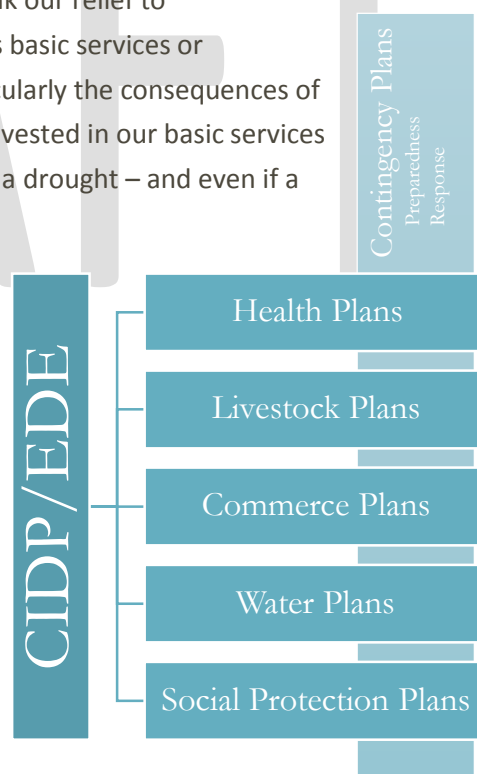


Figure 2 Contingency plans in relation the sectoral plans of a CIDP – which has incorporated the objectives of EDE

In addition, CIDPs contain plans for investments for developmental or economic growth. Some of those plans are also particularly relevant to mitigating the impacts of drought. These can be classified as preparedness or mitigation actions. Also, it is important to bear in mind that they may be planned for within existing budgets, and if so, if they are identified as a preparedness action, we could accelerate their implementation if there are concerns of an imminent drought. Where they are planned but not budgeted, as *drought preparedness* investments they could should be considered a priority for drought preparedness or contingency funding.

A drought contingency plan is *cut* from these individual sectoral plans – using guidance from each sector on how to manage dry seasons and how that should be modified to manage periods of drought.

Diagram 2 illustrates how contingency plans relate to CIDPs. It combines the individual actions from each sector to give us an overall vision of how these independent efforts, will collectively enable county governments to manage a drought crisis – and remain on track to realise Vision 2030.

More Relevant Preparedness Actions will Consider Critical Emerging Factors

So much of our understanding of the impacts of drought, which in turn guides drought contingency planning, is based on life in the ASALs 20 or 30 years ago. Now and in the future, our analysis and prioritisation of preparedness actions must relate to current socio-economic and demographic forces at play in the county:

- Our last census indicates that approximately 70% of Kenya’s population is under the age of 30 (Government of Kenya, 2015). Education, communication technology and the internet have transformed the aspirations of youth. Some youth plan to continue raising livestock but in more commercial ways. Many more plan to find jobs or start businesses in towns (McDowell & Gitonga, 2013).
- The rate of population growth is highest in the ASALs (Commission on Revenue Allocation, 2011) and some of the highest in the world (World Bank, 2015). It means that even our healthy, growing Kenyan economy is not able to create the jobs to meet the new numbers of young people entering the labour market (Escudero & Lopes, 2013). Becoming middle income will require growing business and business opportunities in line with population growth
- Urbanisation. By 2030, half of Kenyans will live in urban centres (Directorate of Urban Development, 2015). Approximately a quarter of the ASAL population lives in urban or large rural centres (Commission on Revenue Allocation, 2011). Sedentarisation, if not urbanisation is already pervasive in the ASAL counties.
- Changing face of poverty. Twenty-five per cent of the population ASAL counties are urban (Commission on Revenue Allocation, 2011) and another 25% to 40% of the rural population have few if any animals and few if any options for a better life (FEG, 2012), (FEG, 2012) (FEG, 2007), (Concern Kenya, 2013). Vision 2030 challenges us to learn from other newly industrialising countries. Globally, in terms of reducing poverty, of the 1 billion brought out of poverty over the last 30 years, 60% was attributed to economic growth and 40% to equity (Ravallion, 2013). Economic growth speaks to growing business, employment and middle income status. Equity means that the economic growth will see small livestock keepers, not just large, wealthy ones, exposed to new opportunities, recognising the transforming roles of women in society and the economy, that essential services such as health care and education are available to all as well as an ability to ensure the safety of those most vulnerable in communities.

- Community is changing and evolving. All of these changes are transforming our traditional ideas of community. People continue to move but now across Kenya and the world, families divide with children in towns or with relatives far away, women take on new roles, young people search for new opportunities.

So given all of these changes, what is a drought impact? Is a good drought preparedness action one which tries to maintain the world as it used to be or is it one which helps people in the ASALs in this period of transition? Does it try to sustain tradition and subsistence or is it aligned to traditional, subsistent people in a period of transformation? Does it talk to the aspirations of most people in ASAL counties who are under 30? Does it consider why large, commercial livestock keepers succeed in drought but small livestock keepers fail? What is the consequence of children forced to leave school when their parents can't afford to pay for increasing food costs? How does it change causes of illness or demand for health services, for sedentarised families? What are rational solutions for water supply in rural communities when most people may move to towns in the next ten years? Is a fuel efficient stove more important to a woman to manage drought or to see her daughter finish school? Drought remains the greatest threat to economic growth and well-being in ASALS but in changing and dynamic ways.



Identifying and Prioritising Preparedness Options

After reviewing CIDPs, annual operating plans or business plans, we will have put together planned, unprioritised preparedness or response actions. High priority preparedness options, whether a mitigation action or preparatory work for a response action, are the ones most critical to a successful contingency plan – or a plan which will reduce the negative consequences of the drought and will keep us on track to achieving our Vision 2030, EDE objectives. Prioritising preparedness options means we must prioritise the different actions or components of the overall county drought contingency plan.

- Part 1: Prioritise individual components or actions within the county drought contingency plan
- Part 2: From those priorities, identify and further prioritise the preparedness elements

Part 1: Prioritise individual components or actions within the county drought contingency plan

Part of the drought contingency plan should include a ranking or prioritisation of the individual elements of the plan. Prioritising actions should not imply a decision about what is done and what is not. The majority of actions that will be taken during a drought, will be from existing services or sectors – health, livestock, water, safety nets, etc. – that will *scale-up* from normal dry season conditions, meaning an enormous range of action will be done *de facto*. For the county, prioritisation of individual components of a contingency plan is a mix of clarity on which can have the most impact, but can also clarify which important actions are funded, partially funded and which are not funded. Additionally, NDMA will want to know which priority actions are partially or not funded – as NDMA may be able to help through the DCF.

High priority, actions for a drought contingency plan should meet a certain criteria. They should:

- specifically relate to drought (versus general development or development action necessary to manage dry season or life in an arid environment)
- Is part of the long-term developmental solution
- have evidence that it significantly reduces an impact of drought that actually occur
- have scale appropriate to the drought impact and
- be cost effective, and cost efficient

Table 1 illustrates how we might prioritise actions for a drought contingency plans. The idea is to develop a criteria of the most critical decision making factors, and rank different actions against it. In this table, we have suggested 5 different criteria: specific to drought, consistent with CIDP/Vision 2030, evidence of impact, scale or number of people benefitting from the action, practicality and value for money. Rankings like this are not a science and will be subject to bias, so it is important to make it a transparent process. In Table 1 we have used a scoring system where 5 is good and 1 is not good - please note that all scorings are illustrative – please decide for yourself what is good and what is not good!

Table 1: Prioritisation of Drought Contingency Actions

Action/Justification	Specific to Drought	Consistent with CIDP/Vision 2030	Reduction of Drought Hardship? Evidence/Level	Scale	Practicality	Value for Money
Water trucking to save a community from dying	5	1	1	2	3	1
Extending water supply to new settlement who spend large amounts of money to buy water in drought	5	5	5	3	2	4
GFD to reduce destitution and starvation	5	2	1	5	3	2
Support school lunches to avoid drought related spikes of dropouts	5	5	5	3	4	5
Vaccination of cattle to reduce livestock mortality in drought	2	4	1	5	4	1
Building bomas (fences with water storage) to support commercial offtake by small livestock keepers during drought	5	5	3	3	5	4

Explanation of Criteria:

Specific to drought: is the justification and action a response to an event which only happens during drought or one which more generally happens? It is a criteria to distinguish normal or development activities from drought specific actions.

Consistent with CIDP/Vision 2030: does the action and its implementation approach and modalities help build the economic and social growth described in CIDP and Vision 2030?

Reduction of Drought Hardship? Evidence/Level: Many actions currently in contingency plans are justified because they *reduce drought risk, or they will prevent someone from dying*. Is there real evidence to support those statements? More importantly, do those risks actually occur and if so at what level (i.e. ask the MoH if they have records of more people dying during a drought and if so,

how many more above the seasonal norm). If there is evidence that an action reduces drought hardship, to what degree? A big reduction or a small reduction in drought hardship?

Scale: Scale refers to the proportion of people *affected by drought* that will be assisted by the action. Again consider factors related to *Specific to Drought* i.e. not normal dry season hardship but specifically as a result of the drought.

Practicality: Draw on the experience of local experts. Has an activity proven to be feasible? Was it helpful? Is it subject to corruption or political interference?

Value for Money: This is a composite indicator which looks at the total cost, cost per beneficiary, cost compared to industry norms against the depth of benefit the action will bring (evidenced) and its scale.

Part 2: From those priorities, identify and further prioritise the preparedness elements Again, we remind ourselves that drought preparedness actions can

- mitigate the negative consequences of drought or
- prepare us to implement timely assistance during drought.

In both cases, they occur before the drought and are distinct from actions responding to drought conditions. A consideration does exist where an action is a preparatory action undertaken during a drought, but preparing for a next phase of drought i.e. the potential worsening of conditions.

High priority drought preparedness activities could be drawn from table 1, bearing in mind that table 1 contains preparedness activities together with response or recovery activities. Also, many activities in table 1 – will be a combination of preparedness and response activities. We can pull out the preparedness components of those contingency actions.

Table 2 provides examples of preparedness actions and how we might score them against a prioritisation criteria. The prioritisation is really a sub-set of the the criteria used in Table 1: total cost, practicality, scale, value for money. In Table 2 we have used the same scoring system where 5 is good and 1 is not good - please remember that all scorings are illustrative – please decide for yourself what is good and what is not good!

Table 2: Prioritisation of Drought Preparedness Actions

Action	Total Cost	Practicality	Scale	Value for Money
Mitigation Investments				
Extending water supply to new settlement who spend large amounts of money to buy water in drought	2	4	3	4
Repairing health facility, school water storage tanks and providing 15 new tanks	4	5	3	4
Build a clinic in a village	2	3	1	2
Build a meeting hall for the DRR committee to meet	5	5	1	2
Response Preparation				
Verifying the Safety Nets Register	5	5	5	5

Identifying water pumps to be repaired, identifying and specifying parts, preparing procurement documentation	5	5	4	5
Form mother's support groups for malnourished children	3	2	1	2

Explanation of Criteria:

Total Cost: what proportion of the total contingency resources is the action likely to consume? Less is better.

Practicality: Experience has proven that the resources, skills, finances, timing etc. are all realistic and available in the county. The activity is not overly affected by corruption or political bias.

Scale: bearing in mind that perhaps half of the county will struggle with drought impacts

Value for Money: a composite indicator which looks at the total cost, cost per beneficiary, cost compared to industry norms against the depth of benefit the action will bring (evidenced) and its scale.

Prioritisation: Preparedness Actions Requiring Additional Funding and Those Which Do Not
Clearly, actions which can be accommodated through a reallocation of existing sectoral budget lines should be implemented when we believe a drought is imminent. That will in turn reduce the number of actions requiring additional funding. Selecting one's for funding should consider the analyses done in Tables 1 and 2 above, and which can simply benefit the greatest number of people, with the greatest level of impact, for the lowest possible price. Very importantly is to consider budgets available or additional funds likely to be received from our limited county and NDMA Drought Management Contingency Fund resources. It may be necessary to implement lower priorities activities for cost reasons.

Prioritisation: Improving on the past?

A key element of drought contingency planning cycle includes monitoring and evaluation. We have chosen not to include monitoring and evaluation as a separate section. Rather we suggest to include it in the planning component! Too often we conduct monitoring or evaluation exercises which don't meaningfully influence how we do things. If we were to remove the label "M&E" and replace it with "improving on the past" – it mainstreams the purpose of M&E, into our preparedness planning. Successful preparedness plans and actions, must also be informed by the hands-on experiences of those charged with implementing these actions in the past.

A review of the priorities should include input from those who may have implemented similar actions in the past, as well as those who were intended to have "benefitted" from those actions in the past.

When do we prioritise?

Part of the contingency plans should include the kind of analysis illustrated in Tables 1 and 2. But, as we as the likelihood of a drought increases, we should revisit the contingency plan and make a final prioritisation. It means we must also be clear when a drought occurs. It requires that there is

consensus on how to differentiate from a normal dry season, or a period very dry season and a drought. We must also learn to tap into the seasonal climate and short term weather predictions of the Kenya Meteorological Services.

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Section 3: Examples of Priority Preparedness Activities (matrix)

The following examples of preparedness activities have been drawn from existing county contingency plans

County	Sector	Broad Areas of Intervention	Preparedness Action	Coverage	Unit	Units	total cost	Cost per Unit	Beneficiaries	Cost/ Beneficiary
Kwale	Water Supply	vulnerability mapping	Map Vulnerable Communities and make specific provision for water for them	county	mapping exercise	1	279,500	279,500	5,000	56
Isiolo	Water Supply	Rehabilitation of water points	repair water facilities	Rural Communities	communities	50	205,000,000	4,100,000	60,000	3,417
Marsabit	Livestock	preparedness for strategic water source supply	inventory of boreholes and status of different water sources, procurement and stock piling of fast moving spare parts for strategic water sources	Pastoral and Agropastoral livelihood zones	communities	254.7618	44,750,000	175,654	25,476	1,757
Baringo	Water Supply	stock piling of fast moving spare parts	purchase moving parts and preposition	Pastoral and agropastoral livelihood zones	communities	83	12,000,000	143,983	16,669	720
Samburu	Education	reducing school's droupouts in primary and secondary schools as a result of migration due to drought	expansion of existing boarding schools for children, payment of school fees for needy students	Agropastoral livelihood zones	schools	18	10,500,000	583,333	4,300	2,442
Mandera	Health & Nutrition	Supplies prepositioning	rapid nutritional assessments, procure and distribute anthropometric tools, conduct mobile immunization and vitamins supplementation	Pastoral and Agropastoral livelihood zones	communities	39	26,400,000	673,629	7,838	3,368

Section 3: Operations & Implementation

Ultimately, it's the quality of the implementation not the plan which is the benchmark of a successful preparedness. In this section, we will not introduce new approaches – each county and sector has its own norms – but we would like to highlight important elements both of those norms and from our recent experience.

Practical, workable and funded

Good plans include the 4 W's & 1 H – who, what, where, when, and how. They should also indicate costs and how those costs will be met. These are standard details in many planning processes – but they are often absent from preparedness plans of plans submitted for funding from the DCF.

Those plans should also be framed on past experience to ensure that they are grounded in a practical reality.

Lastly, and particularly for preparedness actions funded from the DCF, you may consider setting a funding ceiling. Without this kind of financial guidance, plans submitted to the DCF tend to be overambitious and in some cases unrealistic.

Mainstream Preparedness by Embedding Preparedness in Normal Operational Plans

The previous section provided guidance on how to approach, identify and prioritise preparedness actions. In this section, we look at options to turn our thinking, priorities and plans into action. Lifting preparedness and contingency plans off the pages of a shelved report into the mainstream of our work requires embedding drought contingency and preparedness plans in normal planning cycles and operations – not as a standalone. It also requires that we approach this together, incrementally and over time, exploiting individual opportunities, consolidating gains, and adding the next opportunity.

Engaging with CIDP, Urban, Natural Resource and Annual Operating Plans

Drought contingency and preparedness plans can be embedded in the five-year CIDPs and then revised, and updated in the Annual Operations planning process. While the next CIDP planning process is scheduled to begin in 2017/18, annual operational plans are due September 1st, each year.

In the next round of CIDP preparation, it will be essential to ensure that key sectors articulate strategic actions to end drought emergencies and manage periods of crisis in that document, as the CIDP in turn guides of drought contingency and preparedness plans. Encouraging the CIDP process to highlight priority actions or investments to end drought emergencies or manage drought crisis, is an opportunity not to be missed.

In the meantime, the preparation of each annual operational plan is a chance revisit how we propose to end drought emergencies and manage the next drought crisis. As contingency plans are built from the strategies, actions and approaches of how each sector proposes to manage extraordinary demands placed on the system during drought, we can continually revise those plans to

reflect evolving ideas and opportunities which may not have been included in the previous year's contingency or preparedness plans.

As annual operating plans are being prepared, it may be helpful to have NDMA staff participate in segments of planning which will most directly relate to ending drought emergencies or to managing drought crisis. Equally, it will allow NDMA staff to understand and better collate these sectoral actions and support the county to prepare cohesive, multi-sectoral contingency and preparedness plans.

Engaging in this process can also help us to influence the ten-year spatial plans long-term planning which will determine water catchment and water resource development and usage – factors critical to influence the nature of future drought. It can also help us to ensure a health balance between urban and rural land planning and usage to ensure a future for livestock keeping, which can remain an important economic drought management strategy in ASALs.

Links to the Legislative Branch of County Government

Engaging in these processes also provides an opportunity to inform and educate the legislative branch of government. As the County Assembly must approve annual operational plans each September, each year we have an opportunity to demonstrate how County developmental instruments can end drought emergency and manage periods of drought. Building these relationships in advance gives space to legislators to understand and consider this different approach, a space not available during a drought crisis. Additionally, it can potentially reduce political interference and bias during drought responses.

Links between Community their county CIDPs and Annual Operation Plans

Better, more responsive Contingency and preparedness plans will result from CIDPs and Annual Operation Plans which reflect and consider the views and priorities of individuals and communities. Generally, each sector within the County Government includes opportunities for engagement by citizens – whether it is water, education, health, or in the economic spheres. Those opportunities are not always well utilized. Often this has more to do with awareness, time constraints and does not necessarily reflect efforts to avoid participation or to exclude public participation or disinterest by the public.

For purposes of preparedness planning, our driving principle is to extend them from existing CIDPs and annual operational plans. It requires that community engagement should exist long before a drought and would have fed into and influenced both strategic and operational plans for each sector. On an ongoing individuals should be encouraged to exercise their right to participate in sectoral process of community engagement. Equally, as most sectors have already made provision for community engagement, it will be important to ensure we have the time and direction to comply with this aspect of our internal processes.

A second opportunity to have communities or groups of people supported with CBDRR, similar processes and CIDPs to feed into these sectoral planning processes. These processes generally result in some sort of a community action plan (CAP). Unfortunately, those plans tend not to result in

community action or action by the local government, nor a substantial change in conditions. CAPs plan “horizontally” or area based on the needs of an area which doesn’t fit well into most county planning processes which are vertical (sectoral or commercial). CBDRRs still have much to offer and make important contributions to contingency and preparedness planning. We must however better align these interests and priorities to existing processes and resource allocation mechanisms.

Preparing together with livestock sector businesses, other key private sector actors

While currently much of the contingency and preparedness planning focuses on government services, we are increasingly recognising a growing, and massive importance of the private sector as a vehicle to end drought emergencies and to manage periods of drought crisis. There are many opportunities we have to engage and support our private sector partners.

One of the most obvious and important for drought issues is livestock. The livestock sector is growing in terms of its economic value and in the number of animals sold in contrast to rhetoric about catastrophic livestock death or pastoralists who have lost all of their animals in drought. Ensuring the commercial livestock sector manages drought periods is crucial to the rural economies of ASAL counties. Government can support livestock based businesses by understanding how drought impacts on them – whether transporters, traders, fodder or water sellers, financial services, communication services, animal health service providers, or livestock keepers. Indirect government instruments – whether policing, taxation, tariffs for services can be as valuable as direct investments made by the government. It can also be valuable to ensure that smaller producers have equal opportunity to exploit commercial markets during drought. These direct and indirect instruments can be included in revised annual operating plans.

Similarly, we can also understand other commercial sectors – such as mobile money (for remittances or payments), financial services (savings, loans), and food traders are alternately affected or exploit periods of drought. Identifying indirect or direct instruments which can support these commercial services to better serve drought affected populations.

Preparedness actions and Safety Nets scalability

Safety nets, like other social protection measures, can end drought emergencies but it can complement measures which do, and add more value to other drought mitigation and response measures. Safety nets not only provide income for the poorest, but it is an important cash injection into limited rural economies. Including plans to scale up safety nets (in terms of coverage or amount) in contingency plans provides an opportunity to align the impact and potential value of these cash infusions with measures being taken by other sectors.

Cash safety nets is only one form of social protection, contingency plans also include other forms of social protection such as school lunches, public works and food aid (whether general food distribution or food for work). The better we can coordinate these investments, the greater the potential for impact.

Also, where contingency plans include support to the private or productive sectors (livestock in particular), we can factor in the economic value of safety nets disbursements to the local economy

as well as the purchasing power and resources available to individual households. Again, there is a potential to multiply the value of these other interventions.

Recommended Preparedness Procedures for finance, and procurement

In the recent past, NDMA has seen sound plans which have failed to translate into effective preparedness actions, due to fundamental problems complying with basic finance and procurement procedures.

For preparedness actions which will require additional funding – either through the County or to external sources such as NDMA’s DCF – should be accompanied by a procurement plan. That procurement plan must be consistent with the requirements of the Public Procurement Act, which guides how all procurements by the Government of Kenya.

Procurement plans should include specifications of equipment to be purchased (i.e. spec for generators, water equipment etc. to ensure the right thing is being purchased), pre-qualified suppliers can be established or utilised, quantities, transport and storage implications should be considered. The lack of proper specification has been one of the biggest obstacles to good planning and procurement with the result that in some instances that wrong supplies were procured and delivered.

Tax and VAT must be considered. For example, the EU funding (funds for the DCF for example) are tax exempt but there has been a conflict with KRA over VAT on supplies purchased with DCF funds. NDMA has resolve the issue but it is very slow and it is still without resolution. This will either mean that supplies should be budgeted to include VAT or a very slow process planned for.

It is important to factor in issues of timing into the procurement and operational plans.

Procurement, generally requires considerable time before the good are purchased and delivered.

The necessity of strict compliance with Public Procurement requirements, means to a heavy, detailed and at time complex procurement process. Delays can be even longer where suppliers must source goods from outside the country. These normal delays can be compounded by disbursements made through NDMA, where its procurement committee is not a standing one. That committee often delays to meet, simply due to commitments of NDMA staff in other activities.

For these reasons, procurement plans which are made long in advance, and where it can be incorporated into annual planning or procurement exercises, are essential for timely preparedness operations. Experience in the past of trying to procure outside of these cycles and in during periods of crisis, have led to delays and disappointment in terms of operations.

Procurement planning should also link into finance planning and reporting systems, and not see themselves as a standalone activity, but within the existing system.

Lastly, opportunities to plan for procurement at the county could lead to faster turn-around with benefits to local businesses. Currently, for NDMA purchases above KES 500.000 must be made through HQ.

Chapter 2: Pro Forma Agreements for Operational Partners

NDMA has not undertaken sub-contracting before. It presents a unique opportunity which perhaps should be explored. There is currently no contractual template. A review of the appropriateness of sub-contracting to operational partners would have to consider EU's position and policy on sub-contracting, as preparedness funds originate with them.

NDMA had expressed the need to solicit specialist support from the EU on this issue. The EU is positive about investigating this issue further.

This discussion would also be linked with addressing quality issues facing the current preparedness activities.

DRAFT

Chapter 3: Annexes

Annex 1: Review Preparedness Components of Contingency Plans

Based on an analysis of contingency plans from *Baringo, Marsabit, Isiolo, Mandera, Kwale* they vary in logic, clarity/precision, but also reflect the importance of a coherent preparedness framework.

Design and Content

Two key design and content issues emerged. Contingency plans were premised on a static analysis which has not captured a dynamic and changing environment and over-reliance on the drought cycle model.

The design of CDCPs is varied across counties in terms of structure and content, and they are generally very long (an average of 107 pages). Each contains considerable background information is available in other documents such as the CIDPs and ASAL policy to set the context / analysis which has led to the subsequent drought contingency actions. Additionally, that background and analysis does not capture pertinent/emerging issues such as demographic changes, urbanisation and evidence to support claims of impacts of climate change on livelihoods.

The Drought Cycle Management (DCM) approach has been utilized by all counties has been clearly helpful in developing drought scenarios and thinking through appropriate actions to respective stages. As contingency plans on this basis are developed/revised during the 'normal' periods to trigger actions during alarm, alert, emergency and recovery stages of a drought, it tends to emphasise short-term, repeated measures with a focus on emergency management, rather than large scale risk reduction or mitigation investments. Also it has been observed¹, that in application of contingency plans developed in this way, implementation does not tend to synchronise with specific stages of drought. It also conceives of discrete phases of a drought cycle, compartmentalizing response. DCM should be modified to integrate drought management cycle into sectoral development plans.

Specificity to drought events

Although vast knowledge-base on drought phases is well documented in the CDCPs, there is not a clear delineation between drought and aridity, or rather drought versus normal conditions of life in an arid environment. Activities that should form part of general ASAL development initiatives feature prominently as preparedness activities. In addition to this misunderstanding, it shifts focus from more important but perhaps less popular investments. For instance, livestock vaccination is a major 'preparedness' investment across all the counties. While a now popular drought responses, issues of animal health must be made relative to actual livestock morbidity and set within a wider livestock keeping regime or value chain. If livestock keepers are not paying for vaccinations – after twenty years or more of awareness of vaccination programmes – it may be reflect deeper

¹ UNSDR (2012) Drought Contingency Plans and Planning in the Greater Horn of Africa, UNON, Nairobi; ODI (May 2006) Saving Lives through livelihoods: Critical gaps in the response to the drought in the Greater Horn of Africa, HPG Briefing

developmental issues embedded in their livestock keeping system or market, or rather developmental issues.

Similarly, popular drought preparedness actions in the contingency plans include Community Led Total Sanitation, Integrated Management of Acute Malnutrition and High Impact Nutrition Interventions – are responses developmental issues, which need to be approached as such. It is in fact inappropriate to launch a developmental initiative for a community entering a period of one to two years of drought imposed hardship. It reinforces a main theme of this guideline, that drought preparedness actions should simply be the modification of normal and existing development actions (whether public or private) to changing conditions.

Evidence vs Status Quo

While contingency plans drawn by technical experts, there is a gap between actions based on evidence versus *popular wisdom* or traditional responses. Many of these issues share the lack of clarity between development issues faced by populations living in an arid environment versus actual drought crisis issues. Additionally thought, they seem to be embedded in the long-standing logic and rationale of humanitarian responses, without questioning their relevance to actual conditions in the county or to changing conditions in a county.

The ubiquity of livestock vaccination is a clear example. Not only do emergency livestock vaccinations not demonstrate any reduction in mortality of livestock², there is often little analysis of the range of factors which may be important to livestock health or mortality in a drought such as access to fodder or water. Also, in the changing wealth conditions in ASAL communities, vaccination expenses for large species (camel or cattle) may benefit wealthier members of the community, who might be able to manage a drought crisis anyway. The most vulnerable may only have a few goats or sheep. The rationale for the intervention is also premised on a traditional notion of pastoral communities, however modernity and changing socio-economic conditions is introducing a variant of the *tragedy of the commons* where wealthier, more connected and powerful individuals control access to key natural resources to the exclusion of poorer, smaller livestock keepers. More than animal health, equitable access to existing natural resources may be vastly more important. There needs to be an economic rationale as well as a rationale for a health intervention based on an analysis of the livestock keeping system.

Similarly, many emergency acute malnutrition related activities are evident in contingency plans. However, the seasonal increase in the prevalence of acute malnutrition (100% or a doubling of the prevalence) is greater than the additional increase from normal dry season to a “drought” dry season (from 0 to 40% perhaps – the data is notoriously uneven). It means that in epidemiological terms, there may be a greater justification to respond to seasonal increases in acute malnutrition than to mobilise an extra-ordinary response to manage the additional caseload brought on by

² Catley A. et al. (2009), Impact of Drought-related Vaccination on livestock mortality in pastoralist areas of Ethiopia, Overseas Development Institute, Blackwell Publishing, Oxford

drought. Again, it underpins a need for not only evidence, but a clear distinction between normal development issues vs extra-ordinary actions required in drought.

Practicality

Preparedness actions – and many of the actions in the contingency plans – are not accompanied by an operationalization framework. Implicit in many preparedness actions are that *if someone gives us the money, we will do it*. This factor is critical to differentiating mainstreamed, early drought action versus a wish list and turns a contingency plan into a realistic and useful tool. The types of drought conditions faced by most counties are regular and not of the scale to attract external resources. In other words, it will be rare that “wish lists” will receive funding. If preparedness actions were an extension of existing systems or actions – but modified to respond to changing conditions, it would provide a map of actual assistance which individuals could expect.

Private Sector

Any collaboration with the private sector – livestock traders, transporters, food merchants, private clinics, pharmacies, mobile money services, financial services or communications providers is non-existent from contingency plans, yet these are an overwhelmingly important determinant of the degree of drought hardship to be experienced, and the ability to cope with those conditions

Development, Drought and Resilience

While there is considerable confusion around the term *resilience* we appreciate how it has focused thinking on the ASALs on long-term development and transformation of conditions together with an acknowledgement that periods of hardship – including drought – must not only be managed but in ways which align with long-term developmental goals. Current preparedness actions from the contingency plans do not demonstrate this *resilient* approach. As observed in the discussion on drought cycle section, they focus on reducing the hardship within a certain phase of the drought – without linkages to longer-term goals.

Annex 2: Review of Preparedness Components of Community Action Plans

Based on an analysis of NDMA community action plans from Tula, Ngilai, Sololo, Takaba, Kwale, Lamuria, Laisamis, Narosura, Langoboya, Garba Tula and Red Cross community action plans from Isiolo and Samburu county, demonstrated a real awareness of communities on how they think they could better manage drought. Overwhelmingly though, the community actions plans, even though they are intended to manage or mitigate disaster risks, are simply community development plans. There is little distinction in their minds of the hardship imposed by poverty or seasonally due to drought and an emergency.

This is a telling and important insight in terms of development, but there is little which comes from these plans to guide preparedness investments.

Rather, as discussed in section 1, it is imperative that these priorities and perspectives should be connected into county sectoral planning and community engagement mechanisms (i.e. education, water, infrastructure, health etc.). Their voice should be heard in the process of CIDP planning as well as in the Annual Operation plan preparation. Also, in the context of county planning including drought contingency planning, it underscores that we avoid the polemic of bottom up versus top down. Rather, we need to recognise the value that both bring and that sound plans will benefit by greater engagement and collaboration between individuals, communities and their local County Government.

Annex 3: Template of drought preparedness framework (Excel format)

- Definition of information requirement
- Design of database to store the information

Methodology

- I. Audit: Carry out a desk study County Contingency, Community Action Plans, and Guidelines or documentation of planning, disbursement processes (including DCF).
- II. Review key GoK policies or strategy documents – Vision 2030, County Act, EDE, sectoral strategies, related cross-sectoral policies and CIDP where available
- III. Review NDMA/JICA/ECHO CBDRR meeting outcomes and deliberations on the future of CBDRR and similar processes within Kenyan drought contingency planning processes
- IV. Development of Criteria to prioritise preparedness investments which will include consideration of the following factors:
 - Congruency with Vision 2030, EDE, CIDPs, safety nets disbursements or national sectoral strategies
 - Complementarity of Community and County Priorities
 - Consistency with sectoral County Government operations/practises
 - Complementarity to private sector actions/investments
 - Relationship between preparedness actions (stockpiling equipment and supplies, investment in strategic infrastructure, development of coordination and contracting arrangements) and magnitude of assistance provided or number of people assisted during drought.
 - Value for Money: cost versus demonstrable value to coping during drought
- V. Interviews – by phone, skype or where feasible in person, with individuals familiar with the above processes

Developing Priority Preparedness Actions

Priority actions for inclusion in the report, will be considered across the main instruments of development and crisis coping:

- *Private sector (particularly commercial de-stocking – livestock feeds, vet services, etc.)*
- *Basic Services (health, safety nets, water)*
 - *Scalability / surge models*
 - *Service Provision*
- *GoK procurement*
- *County financial contribution*
- *Community-based Action*
- *Inter-county relationships*
- *Sub-contracting of NGOs*

Specifically, actions that those instruments could play will be defined relative to aspects of

- stockpiling equipment and supplies,
- investing in strategic infrastructure
- development of coordination and contracting arrangements

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