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IMPACT ASSESSMENT REPORT FOR THE REGIONAL INITIATIVE IN SUPPORT OF PASTORALISTS AND AGRO PASTORALISTS IN THE HORN OF AFRICA (RISPA)

OSRO/RAF/011/EC
CONTRIBUTION AGREEMENT No: DCI-FOOD 2010/250-711



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Final Report

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LIST OF ABBREVIATIONS AND ACRONYMS

ACTED	Agency for Technical Cooperation and Development
ALRMP	Arid Lands Resource Management Project (Kenya)
ALWG	Agriculture and Livestock Sector Working Group (Kenya)
ASAL	Arid and Semi-Arid Lands (Kenya)
ATF	Agriculture and Pastoral Task Force (Ethiopia)
AU	African Union
AU/IBAR	African Union / Inter-African Bureau for Animal Resources
CAP	(Inter-agency) Consolidated Appeal Process (UN)
CEN-SAD	Community of Sahel-Saharan States
COMESA	Common Market for Eastern and Southern Africa
CPP	Country Programming Papers
CRED	Centre for Research on the Epidemiology of Disasters
CSO	Civil Society Organization
DCI	Development Cooperation and Economic Cooperation Instrument
DG	Directorate-General (ECHO)
DRM	Disaster Risk Management
DRMFSS	Disaster Risk Management and Food Security Directorate (DRMFSS, Ethiopia)
DRR	Disaster Risk Reduction
EAC	East African Community
EC	European Commission
ECCAS	Economic Community of Central African States
ECHO	European Commission Directorate-General for Humanitarian Aid
ECOWAS	Economic Community of West African States
EU	European Union
EWS	Early Warning Systems
FAO	Food and Agriculture Organization (UN)
FEWS Net	Famine Early Warning System Network
FFS	Farmer Field School
FSNWG	Food Security and Nutrition Working Group (FAO, regional)
FSTP	Food Security Thematic Program (EC)
GoK	Government of Kenya
GPS	Global Positioning System
IBAR	Inter-African Bureau for Animal Resources
IDDRSI	IGAD Drought Disaster Resilience and Sustainability Initiative
IGAD	Inter-Governmental Authority on Development
IIRR	International Institute of Rural Reconstruction
ILRI	International Livestock Research Institute
IOC	Indian Ocean Commission
IP	Implementing Partner
IRCC	Inter Regional Coordination Committee
KLDF	Karamoja Livestock Development Forum (Uganda)
LoA	Letter of Agreement (FAO)
M&E	Monitoring and Evaluation
MoARD	Federal Ministry of Agriculture and Rural Development (Ethiopia)
MoU	Memorandum of Understanding
NGO	Non-Governmental Organization
OCHA	Office for the Coordination of Humanitarian Affairs (UN)
OSRO	Office for Special Relief Operations (FAO)
Oxfam GB	Oxford people for Famine Great Britain
PCDP	Pastoral Community Development Project
PFS	Pastoral Field School
PoA	Plan of Action (FAO)
PRRO	Protracted Relief and Recovery Operation (WFP)

R1, 2, 3	Result(s) 1, 2 or 3 or Result areas
RAF	Regional office for Africa (FAO)
RDD	Regional Drought Decision (ECHO)
REC	Regional Economic Communities
REGLAP	Regional Learning and Advocacy Project
RELPA	Regional Enhanced Livelihoods in Pastoral Areas (USAID)
REOA	sub-Regional Emergency Office for eastern and central Africa (FAO)
RPP	Regional Programming Papers
SADS	Southern African Development States
SDC	Swiss Agency for Development and Cooperation
SFE	Sub-regional office for East Africa (FAO)
TCE	Emergency Operations and Rehabilitation Division (FAO)
TCEO	Emergency Operations Service (FAO)
TCER	Emergency Operations Service, Reporting Unit (FAO)
TCP	Technical Cooperation Programme (FAO)
TCS	Technical Coordination System
TOR	Terms of Reference
TSS	Technical Support Services (FAO budget line)
UN	United Nations
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UN-ISDR	International Strategy for Disaster Reduction (UN)
VICOBA	Village Community Banks
VSF	Vétérinaires sans Frontières
VSF-B	Vétérinaires sans Frontières Belgium
VSF-G	Vétérinaires sans Frontières Germany
VSF-S	Vétérinaires sans Frontières Suisse
WFP	World Food Programme (UN)

EXECUTIVE SUMMARY

The Horn of Africa comprising Djibouti, Eritrea, Ethiopia, Kenya, Somalia, South Sudan, Sudan and Uganda covers approximately 5.2 million square kilometers with more than 65% of the land receiving less than 500mm of rainfall annually. This region is home to over 217 million people with diverse and rich culture, resources and opportunities which have enabled them to harness livelihoods over the years. However as the region is increasingly confronted by climatic, demographic, political, social and economic changes; new challenges and immense opportunities for the people and governments are emerging. The Region is subject to protracted crises caused mainly by frequent droughts, conflicts and insecurity, high human population growth, land pressure and high food prices, exposing the population to increasing levels of vulnerability. This is further aggravated by low investments over the years especially in the drought prone areas, unfavorable policies, poor quality and access to services and infrastructure.

Following the drought crisis of 2010-2011 in the HoA region, it was recognized that there was need for holistic and focused investment to enhance linkages between policy and practice for change and enhanced resilience among (agro) pastoralists. It was acknowledged that there were substantive actions that needed to be undertaken to consolidate the efforts made by communities, their traditional institutions, governments and partners aimed at reducing vulnerability among (agro) pastoralists. The FAO Regional Office HoA put together a proposal and submitted it to the European Commission's Food Security Thematic Programme (FSTP) for consideration.

It is out of this proposal that the Regional Initiative in Support of Pastoralists and Agro-pastoralists (RISPA) in the Horn of Africa (RISPA) project was funded through the signature of a standard *Contribution Agreement* between the European Union and the Food and Agriculture Organisation of the United Nations (FAO-UN), Agreement No DCI-FOOD/2010/250711. Other donor agencies involved included the Swiss Agency for Development & Cooperation (SDC) and ECHO. The FAO Regional Office and the Inter Governmental Authority on Development (IGAD), coordinated the implementation of this cross-border, regional policy and institutional support project across the Horn of Africa and in particular in the countries of Djibouti, Ethiopia, Somalia, Sudan, Uganda and Kenya.

The Project supported community action plans, government coordination structures and regional policies/ institutions in support of pastoral livelihoods in order to strengthen the resilience of agro-pastoral and pastoral communities and to diversify their livelihoods strategies and options. The following is a summary of the Project's objectives and expected results over a period of 3 years (November 2010- February 2014);

Overall Objective:

To contribute to a reduced vulnerability of (agro) pastoral communities in the Horn of Africa

Specific Objective:

To strengthen institutional and policy framework, affecting resilience of (Agro) Pastoral communities and the diversification of their livelihoods

Expected results:

1. Target Communities are better prepared for disaster through community planning and action.
2. Strengthened coordination of both development and humanitarian initiatives in (agro) pastoral areas from the community level through national levels to regional institutions;
3. Regional policies and institutions developed in support of pastoralist livelihoods.

Activities under **RESULT 1** focused on communities living along the border areas of Ethiopia, Kenya and Uganda. These target areas included the Karamojong cluster in Karamoja region in Uganda as well as Turkana and West Pokot in Kenya; the Somali cluster including Mandera (Kenya) and Liban zone of Somali regional state (Ethiopia); the Oromo cluster including Marsabit, Moyale (Kenya) in the South Omo zone of SNNPR and the Borana zone of Oromia regional state (Ethiopia). Activities under **RESULT 2** focused on Ethiopia, Kenya, Uganda and Djibouti. Under **RESULT 3** Ethiopia, Kenya, Uganda, Djibouti, Somalia and Sudan were included in order to allow their participation in the regional discussion.

A total of 12 NGOs, pastoral/agro-pastoral communities and community institutions (formal/traditional) implemented the project. Other implementing partners and stakeholders included: regional institutions such as the EAC and

COMESA; Government Departments in the respective project countries; National Coordination Forums; District Coordination Groups; Civil Society Organizations; Customary Institutions and Beneficiary Groups. Beneficiary groups comprised vulnerable pastoralists and agro-pastoralists selected by communities against set criteria, which included a minimum 50% membership of women and a 10% membership of the most vulnerable

This report is an output of an impact assessment of the RISPA. The Food & Agriculture Organization of the United Nations (FAO) Regional Office in Nairobi commissioned the Impact Assessment (IA), with a team of two consultants selected to carry out the IA in Uganda, Kenya, Djibouti and Ethiopia between February and March 2014. The report presents the relevance of the RISPA project to pastoral and agro-pastoral livelihoods in the HoA; its implementation performance; effectiveness in achieving expected results; efficiency; cross-cutting issues; impact; key issues/lessons learned from implementation and makes recommendations to be considered in future.

With regard to relevance of the RISPA to the HoA Region, the IA team notes that pastoralists make up a significant proportion of the human population in the HoA. They are considered to be among the most vulnerable and marginalized in the region¹. An initiative such as the RISPA, with objectives of addressing structural development issues of pastoralists and agro-pastoralists in the region, by linking community mobilization and capacity enhancement approaches such as CMDRR, PFSs and VICOPA, among others, to national and regional collaboration and coordination as well as regional and cross-border policy and institutional development to support them, is timely and indeed relevant to the needs of vulnerable communities in the region.

Project implementation performance (Organization & Management; Implementation Arrangements, Staffing, provision timely inputs to partners; M+E; lesson learning and sharing and working with other institutions was good, although there were initial delays due to the drought crisis and initial project implementation constraints.

Project effectiveness was assessed using the “*Project Effectiveness Scan Tool*”. Effectiveness was defined as the extent of delivery of expected results, addressing identified problems of targeted groups and beneficiaries. The tool looks at 6 aspects of the project: (i) Approval and Acceptance; (ii) Objectives; (iii) Implementation Capacity; (iv) Linkages /Coordination; (v) Knowledge Management and Learning and (vi) Achievement of results and objectives. Each of these aspects was broken down and scored based on the available information from project documents, observations, consultations with diverse stakeholders as well as the IA team’s own judgment. The scoring (See Scoring Matrix in Section 2.6 for more details) was from 0-4, with 0= too early to judge or difficult to tell from evidence; 1=Poor; 2= Satisfactory; 3=Good; 4= Very good. The IA team gave the RISPA a score of 2.87, signifying good effectiveness.

The IA team noted that FAO’s regional office’s presence through various of its representations in project countries as well as IGAD’s mandate in the member states in the region, coupled with a network of implementing NGOs and government ministries, communities and traditional institutions, is ideal for implementing such as a “complex” initiative, the overhead costs for such a Project are bound to raise concern with donors. Although a cost/benefit analysis and value for money audit were not within the remit of this assignment, the IA team is of the opinion that the achievements realized under the 3 RISPA result areas, if consolidated in a follow-up project, will far outweigh the costs of the Project. When a comparison is made between the *without-the-project* (assume provision of humanitarian assistance only) and *with-the-RISPA- project* scenarios (community capacity enhancement, new ways of working with communities, community mobilization, regional policy harmonization, cross-border peace-dividends, direct investments, etc., it is apparent that the Project benefits in the longer term are substantial.

It is the opinion of the IA team that cross-cutting issues of community participation and involvement; gender equity; involvement of youth and minority groups; ecosystem health; cross-border programming; poverty focus of the project and policy change, among others, were well integrated and incorporated in the design of the Project.

The Project’s impact was assessed using the “*Project Impact Assessment Matrix*” (See Annex 1) with the following variables being appraised:

¹ Cathy Watson & Mike Wekesa (2009): Review of the Oxfam Regional Pastoralist Programme for the Horn, Eastern & Central Africa (HECA) Region.

- 1) Achievement of expected impacts as per the logical framework of the project;
- 2) Observable and documented change in the lives and livelihoods (knowledge, skills and practice) of communities and community groups/institutions attributable to the project;
- 3) Evidence of better and improved coordination and collaboration among communities, community groups, CSOs, government ministries and regional bodies such as IGAD attributable to the RISPA;
- 4) Improved cross-border programming and collaboration among regional member states attributed to the Project; and
- 5) Pro-pastoral and agro-pastoral regional policy and institutional **change processes** attributed to the Project.

The IA team analyzed and assessed available evidence from stakeholder consultations, implementing agencies, government officers in relevant ministries across project countries, donors and from project documents and existing literature and concluded that the Project had a score of 2.5, which was rounded to good impact (Score: 0= too early to judge or difficult to tell from evidence; 1=Poor; 2= Satisfactory; 3=Good; 4= Very good). An extra year or two of implementation would have solidified and strengthened this impact even further.

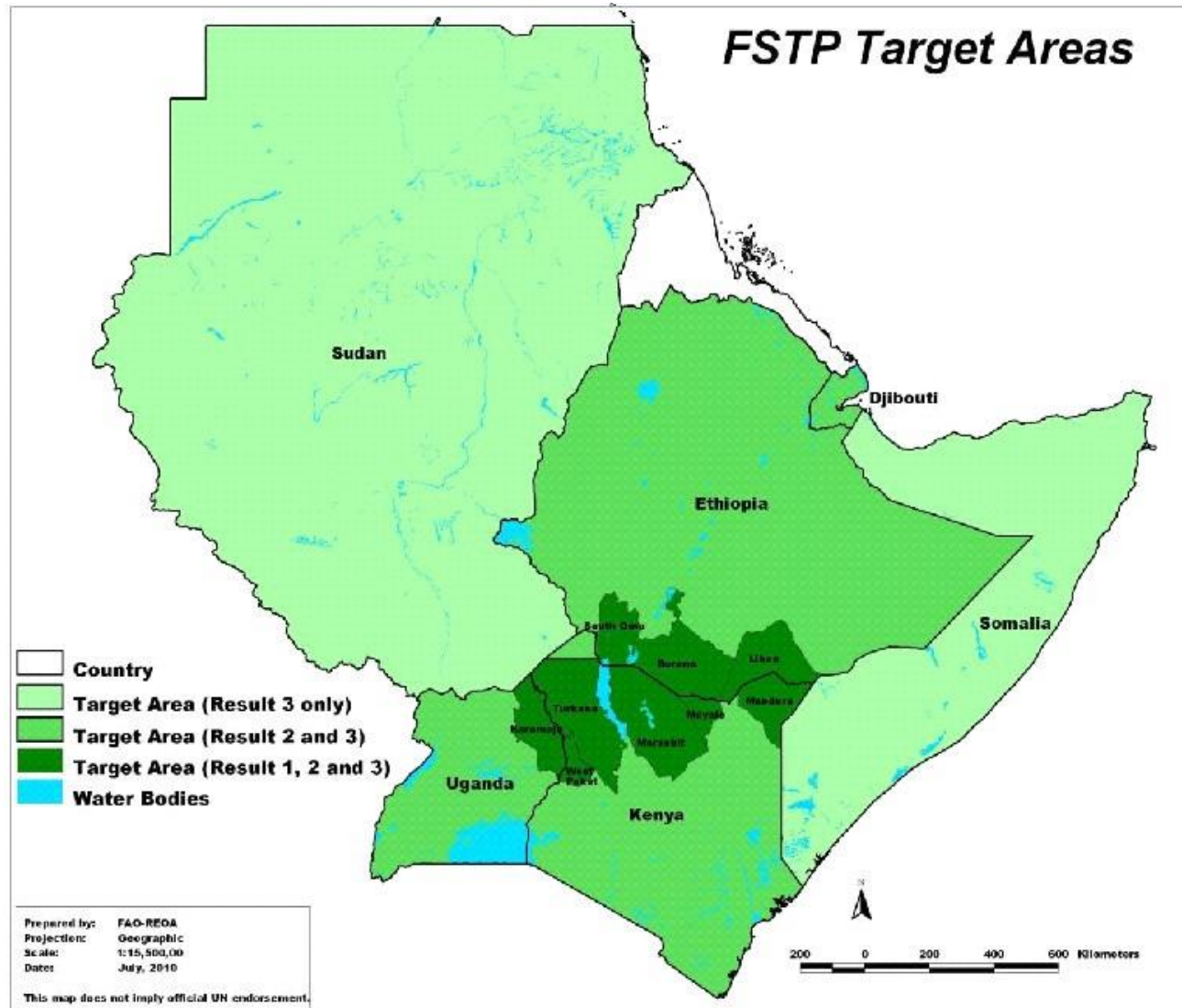
Many lessons have been learned from implementation of the RISPA project. These are summarized as follows:

- 1) The CMDRR, PFSs and VICOPA approaches carried out with communities and community groups/institutions by different implementing agencies in different locations of the project demonstrate that pastoral and agro-pastoral livelihood systems can be reinvigorated with communities themselves taking charge of their own development processes. They have also demonstrated that drought disaster resilience can be attained under certain circumstances, i.e. it is more cost effective to invest in early, timely and appropriate response than to wait to respond to humanitarian needs;
- 2) The potential for refinement, scaling up and adoption of CMDRR, PFSs and VICOPA initiatives, among others , is very high, within national extension programmes and cross-border work, particularly when seen under the previous “lens” of inability to reach pastoralist groups with services and support;
- 3) IGAD’s political will and enjoyment from development partner support, coupled with FAO Regional Office’s long presence on the ground in most of the project countries and its on-going relationship with different and diverse implementing partners provided the main thrust of RISPA’s success;
- 4) A regional project such as RISPA, cannot succeed without political goodwill from member states and a willingness to work together as exemplified by the Memorandum of Understanding on animal health between the governments of Uganda and Kenya;
- 5) Bringing about effective coordination and collaboration among different groups e.g. communities, CSOs, government ministries across countries as well as regional bodies is a daunting task that requires time and adequate resources, with harmonized policies on common cross border issues being building block for success.

The main recommendation hinges around the fact that the RISPA achieved **good impact**, within a short period of 3 years, considering the complexity of the Project and vastness of the Project Area, and that there is need to consolidate the **gains made**, i.e. the need to refine the three main activities – Community Managed Disaster Risk Reduction (CMDRR); the Pastoralist Field Schools (PFSs) and the Village Community Banks (VICOBAs), among others, with a view to scaling up; influencing their adoption within regional, cross-border, national and county/level government programming and service delivery frameworks, as well as documenting lessons learned for future replication by other agencies in the region. A suggested improved approach for IGAD/FAO to work more effectively with government ministries, agencies and institutions in IGAD member states to improve national and regional coordination and collaboration is made. The need for more regional, cross-border policy and institutional development and programming work is underscored in support of (agro) pastoralists, even though it is acknowledged that good progress was made in this regard under RISPA’s RESULT 3.

Issues of standards and guidelines, cost effectiveness and approaches must be documented, tried and tested. More engagement of member states in regional policy formulation and support as well as cross-border work, particularly in improving cross-boundary government security and presence along national and international boundaries is of paramount importance and worth investing in by member states in the region.

MAP OF HORN OF AFRICA



IMPACT ASSESSMENT FOR REGIONAL INITIATIVE IN SUPPORT OF PASTORALISTS IN THE HoA

1. INTRODUCTION

The Horn of Africa (HoA) is subject to protracted crises mainly caused by frequent droughts, conflicts and insecurity, high human population growth, land pressure and high food prices, exposing the population to increasing levels of vulnerability. This is further aggravated by low investments over the years especially in the drought prone areas, unfavorable policies, poor quality and access to services and infrastructure. Events such as drought, floods, conflicts and other human induced disasters have tended to be the focus of humanitarian responses including concepts and tools used in addressing the crises. However, given the characteristics that differentiate countries in protracted crises from other food-insecure countries – the breakdown or absence of governance, the presence of conflict or complex crises, types of aid flow, longevity of crisis – greater attention is necessary to ensure the application of available tools, coordination and conceptual frameworks in more holistic and integrated ways that focus on understanding and supporting community resilience and creating more sustainable and diversified livelihoods. This is especially true for (agro) pastoralist's communities, whose livelihoods are often severely disrupted in protracted crises, due to restricted access to key natural resources such as land for grazing and cultivation, water, salt licks, non-wood forest products; and lack of access to basic animal and human health and other social services driven by rapid urbanization and settlements along the grazing corridors.

The response to the crisis and famine of 2011 by governments, development partners, donors and technical and implementing partners was unequivocal. The structural causes needed to be addressed if commitments to ending drought emergencies were to be realized. This view was endorsed during a special summit by Heads of State in Nairobi in September around the same time in 2011, where IGAD Member States mandated and directed IGAD to spearhead the initiative to create and promote resilience of vulnerable communities in especially the arid and semi-arid lands (ASAL) in the HoA. It is noted that with the exception of Ethiopia and Uganda, IGAD member states have almost 80 per cent or more of their land classified as ASAL areas.

1.1 Disaster Risk Reduction in the Horn of Africa

National Governments, Regional Economic Communities (RECs), the African Union Commission (AUC), United Nations agencies, civil society organizations and other ISDR system partners in Africa have made concrete progress in setting up institutional frameworks, strengthening policies, and implementing programmes, projects and activities related to Disaster Risk Reduction since the First Session of the Global Platform, although it is recognized that gaps, needs and challenges still exist in the region, particularly in terms of weaknesses in early warning systems, inadequate coordination, and insufficient capacities and resources to translate policies and frameworks into practical tools and programmes for effective reduction of vulnerabilities and disaster impacts at national and community levels, in line with the Africa Regional Strategy and the Hyogo Framework for Action.

The most relevant recommendations from the Second Africa Regional Platform for Disaster Risk Reduction (DRR) were the following: National governments in Africa, with the support of regional and sub-regional intergovernmental organizations, technical institutions and international organizations, should integrate Disaster Risk Reduction into their development policies and planning processes, as well as into emergency response and recovery activities. But a recent assessment of government policies and strategies within the region revealed the following:

- There was still an overwhelming pre-occupation with drought and relief programs which curtail the development of effective long term development initiatives;
- Whilst Poverty Reduction Strategy Papers (PRSPs) commonly included the needs of pastoralists, key policies (inclusive of livestock, land and agriculture) were *"inconsistent with the needs and were not responsive to the uniqueness of the pastoral production system."*

The concepts of resilience capture both a need for transformation and an ability to manage periods of crisis by populations in the arid lands. It has also driven an awareness of a need to work differently in terms of what is done, how and with whom. The IGAD and governments are considering emerging opportunities to transform production in the ASALs but also for the large proportions of these communities who will pursue non-production based livelihoods and increasingly in the cities and towns of the ASAL region. The USAID, through their planned resilience knowledge management programme have based it on the conceptual and programmatic shift in the region. The DFID and ECHO are

investing in surge models to expand and contract basic services during crises². Concurrently, processes of decentralization are devolving authority and resources into local governments, at the same time as a more literate and connected rural population is demanding a greater role in local governance. Save the Children, OXFAM and the Red Cross movements have modified their strategic approaches to play a role complementary to a changing governance context as well as a changing livelihoods context³.

1.2 The Regional Initiative in Support of (Agro) Pastoralists in the Horn of Africa (RISPA)

It is under this backdrop that the Regional initiative in support of vulnerable pastoralists and agro-pastoralists in the Horn of Africa (RISPA) project was proposed. The project focuses on contributing to some of the understanding and tackling of some of the key bottlenecks identified over the years through various interactions and interventions with communities, their institutions and governments at national and regional levels. The bottlenecks are not limited to operation only but indeed to policy level hence the need to link community level initiatives to policy level processes at national and regional levels.

The Regional Initiative in Support of Pastoralists and Agro-pastoralists (RISPA) in the Horn of Africa project was funded through the signature of a standard *Contribution Agreement* between the European Union and the Food & Agriculture Organisation of the United Nations (FAO-UN), Agreement No DCI-FOOD/2010/250711 to the tune of about Euro 5 million over a three-year period. Other donor agencies involved included the Swiss Agency for Development & Cooperation (SDC) and ECHO. The FAO Regional Office and the Inter Governmental Authority on Development (IGAD), coordinated the implementation of this cross-border, regional policy and institutional support project across the Horn of Africa and in particular in the countries of Djibouti, Ethiopia, Somalia, Sudan, Uganda and Kenya. A total of 12 NGO implementing partners, together with pastoral and agro-pastoral communities, community institutions (formal/traditional) and government ministries/departments implemented the project between November 2010 and February 2014.

1.3 Impact Assessment of RISPA

A mid-term evaluation of the RISPA project was undertaken in early 2012 and coupled with IGAD becoming effectively involved in coordinating implementation, much needed changes in the implementation of the Project were realized. The RISPA project ended in February 2014 and the Project Steering Committee facilitated the execution of an impact assessment to establish if the intended impacts had been realized. The purpose of the assessment was to establish and document how the RISPA project had contributed towards strengthening institutional and policy framework, affecting resilience of (agro) pastoral communities and the diversification of their livelihoods. More importantly, how these contributions had reduced vulnerability of (agro) pastoral communities in the Horn of Africa. **The Impact indicators** measured CHANGES that have occurred as a result of project activities. These were both qualitative and quantitative, and related to the end result of the RISPA project on the lives of project participants (See Annex 1 for details).

The Impact Assessment sought to answer the following questions:

- a. How the project has helped to incorporate community needs into the national and regional planning and investment processes.
- b. Establishing whether community institutions including traditional ones are involved in community planning and action and how this is affecting investment decision making processes community ownership of projects, sustainability and resilience.
- c. The effect /impact of the increased buy-in, agreement and utilization of common approaches such as Community Managed Disaster Risk Reduction (CMDRR) and Pastoral Field School to facilitate planning and implementation and learning at community level.
- d. Evidence of increased alignment and linkages between Development and Humanitarian Partners and their initiatives.
- e. Establish if there is enhanced impact of programmes and investments due to inclusion of communities in the coordination for planning, accountability processes.
- f. Is there reduced wastage of resources as a result of duplication?
- g. Are the countries making good investment in development while fortifying the vulnerable communities as a result of the twin track approach promoted by the project Horn of Africa Plan of Action and IDDRSI that provides governments

² IGAD-FAO (February 2014) Partnership Programme Concept Note on Drought Resilience in the Horn of Africa

³ Ibid

and partners an opportunity to work in a coherent manner with communities to meet their development needs and manage emerging risks and disasters effectively?

- h. Establish whether there is increased understanding of dry land populations and livelihoods by the various actors, enabling governments and partners to effectively meet their needs and provide appropriate services.
- i. Evidence of increased investments and prioritization of the dry lands especially on basic services, infrastructure and security; as more and more information and evidences are availed to policy makers, community and government institutions.
- j. Establish if there is better coordination and networking by actors as a result of the IDDRSI strategy.
- k. Progress made by national governments on regional and continental policy frameworks policy such as the AU Pastoral Policy Framework, IGAD Regional Policy Framework on Animal Health Trade and Vulnerability among;
- l. Establish evidence of institutional strengthening and linkages resulting from the project's work with the various cadres of institutions, from community level, national and regional levels.

1.4 Scope of the Assessment

The Assessment was undertaken in Ethiopia, Kenya and Uganda and Djibouti. Sampling of CMDRR, PFS and VICOBA actors and field sites was agreed upon between the Impact Assessment Team and FAO.

Box 1: Purpose of this Impact Assessment

While activities implemented under RISPA and their contribution to the achievement of the 3 main results of the project are acknowledged and appraised, the focus of this impact assessment is at a higher level. The purpose is to find and assess the **change** that has occurred in the manner in which pastoral and agro-pastoral communities, county/national governments and regional institutions, particularly IGAD, now deal with issues of vulnerability, enhancement of sustainable and diversified livelihoods and resilience building attributable to the project. There is also change that has occurred in the lives and livelihoods of targeted beneficiaries. The project may also have contributed to the formulation and implementation of pro-pastoral and agro-pastoral policies and the development of institutions and support networks across the Horn of Africa Region. The impact assessment team has endeavored to find supporting evidence for these achievements, or lack of it, through the methodology described below. The main question to be answered by the impact assessment exercise was: *"Is there change in the lives and livelihood systems of target communities and households; in policies; legislation and institutions; as well as in investments aimed at reducing vulnerability and building resilience to droughts and other hazards that can be attributed to the implementation of the RISPA project?"*

1.5 Methodology

Two consultants (Omeno Suji – Social & Institutional Development Consultant) and Mike Wekesa (Food Security, Livelihoods & Disaster Resilience Consultant) from Beryl Consult Ltd. and Euro Africa Consult Ltd. respectively, were recruited through a competitive process to undertake the impact assessment. The consultancy commenced in late January and will end by March 31st 2014 (See itinerary in Annex 2). The consultants employed a methodology that was in line with that suggested in the terms of reference and included the following:

- Document review: The Consultants reviewed available documents;
- Briefing: In Nairobi, the consultants were briefed in detail about the objectives of the assessment and reached an agreement with FAO on the methodology and action plan to be used and executed;
- Data collection: A significant amount of time was spent by the consultants in the field (Uganda, Ethiopia, Kenya and Djibouti) to collect data and to hold consultative meetings with relevant stakeholders including donors, implementing partners, community groups and beneficiaries (See Annex 2 for list of people met/consulted during this assignment). Time was also spent on meetings with CMDRR actors in capital cities both before and after data collection in the field;
- Draft report and debriefing: Debriefing meetings were held with the relevant project officers through telephone conversations and no formal organized debriefing meeting was possible even though this had been planned for the 24th -25th of February 2014. This event has been pushed forward. This draft report has been prepared after discussions within and outside of the FAO Regional and Kenya Country Offices, with input from the other project countries and stakeholders;

- Final report: The final report will be prepared once input from different stakeholders is received, preferably, not later than 2 weeks after submission of this draft report to the FAO Regional Office.

1.6 Constraints faced during the Impact Assessment

Time constraints were experienced mainly due to the hectic travel schedule required and the many stakeholders to be consulted. Also, some areas such as Moyale were not accessible at the time of the impact assessment due to human insecurity and were therefore not visited although implementing partners were consulted via meetings in Nairobi and through telephone interviews. Apart from these, no other constraints were faced.

The facilitation and support the consultants received from FAO Regional and Country Offices in Nairobi and the cooperation from the donors-EU Delegation; SDC and ECHO as well as CSO partners and communities visited was very good.

2. OVERVIEW OF FINDINGS

This section of the report presents an overview of the findings of the Impact Assessment. It is acknowledged that although the focus of this report is to present the impacts of the Project, it is important to lay out the background to the project in terms of its relevance to identified problems and the target groups, implementation performance, effectiveness in achievement of expected results and efficiency in implementation of activities, among others.

2.1 Principles of cross-border and regional programming work

This impact assessment was guided by the principles of regional programming and cross-border work that are set out in text Box 2 below:

Box 2: Principles of Cross-Border and Regional Programming Work

1. The work is led by the jointly defined needs and priorities of the two (or more) communities concerned along the cross-border corridor, whatever these may be.⁴
2. The work concentrates on building institutional mechanisms which allow the needs and priorities of communities in border areas to be addressed in an integrated and holistic way (i.e. as if the border were not there). Cross-border activities that do not build institutions for long-term engagement add little value to cross-border and regional programming initiatives;
3. Cross-border and regional programming work has a clear sense of long-term strategy, with sustained support provided throughout the process;
4. Cross-border work is flexible and responsive to the unpredictable situations in border areas;
5. The work analyzes experience and documents lessons learnt on a continuous basis;
6. The work is not an isolated intervention, but part of a wider effort across the region to work more effectively in cross-border areas, in order to achieve goals and objectives beneficial to all the countries involved. In particular, it links to advocacy work with regional institutions, pursued through either national or regional-level channels;
7. Regional programming work must not duplicate initiatives that can and are effectively being carried out by national governments and institutions. Instead, it must be based on the fact that the leading institution(s) have a technical, institutional and political comparative advantage over individual countries working independently on common issues of interest. In the context of the Horn of Africa Region, such issues would include but not be limited to: conflict management and peace-building/control of proliferation of small arms; cross-border governance and administration; cross-boundary animal diseases; free movement of people, goods and services; disaster risk reduction and resilience building; natural resource management; traditional institutions, etc. These issues transcend national and international boundaries.

2.2 The IGAD-FAO Implementation Agreement for the RISPA Project

The IGAD-FAO RISPA Implementation Agreement came into effect on the 23rd October 2012 when the Executive Secretary of IGAD signed it. For RISPA, Result 3 – regional cross-border policy and institutional frameworks – is very important for addressing long-term structural development challenges facing (agro) pastoralists in the HoA region), with particular focus on reducing their long-term vulnerability to drought disasters. It is RESULT 3 that justifies the RISPA to be a credible regional project.

Under the letter of Agreement between the two parties, the following was agreed:

- a) That the FAO would provide a total of USD 736,785 to the IGAD to provide specific services in the implementation of activities under the RISPA;
- b) The purpose for which the funds provided by FAO under the Agreement would be used as follows:
 - Contribute to the organizational strategic objective 1: *Improved preparedness for, and effective food and agricultural threats to emergencies*. The main focus of the project was on policy and institutional capacity enhancement;

⁴ The assumption is that jointly planned and managed development work brings communities and governments closer together and can contribute to a more peaceful and stable environment.

- c) IGAD would deliver the following outputs:
 - ✓ Cross border programming supported;
 - ✓ Regional coordination strengthened and linked to national level coordination;
 - ✓ Institutional and policy frameworks strengthened and operationalized
- d) IGAD would undertake the following activities under RISPA project:
 1. Support the activities of the regional resilience and sustainability platform and initiative including meetings;
 2. Ensure that outputs of the Country Coordination Assessments are considered in the Country Programme Papers (CPPs) and linked to the regional resilience and sustainability platform;
 3. Facilitate cross-border planning meetings with national authorities (Ethiopia-Kenya and Kenya-Uganda) building on the cross-border community planning processes;
 4. Participate and co-Chair in the Regional Food Security and Nutrition Working Group and the Livestock and Pastoralism sub-group;
 5. Operationalize the IGAD Centre for Pastoralism and Livestock Development (ICPALD);
 6. Undertake policy dialogue meetings and exchange visits for the popularization of the African Union Pastoralism Policy Framework among member states.

A detailed description of the Services including technical and operational requirements, budget, work plan and timeframe, performance indicators and means of verification, as well as inputs to be provided free-of-charge by IGAD and FAO, if any, were set out in detail in the Annex to the Agreement. Under the Agreement, IGAD recognized that the receipt of funds from FAO was possible under specific terms of the European Commission, which were clearly reflected in the Agreement as required. With this Agreement in place, RISPA's implementation took a new shape with effect from 23rd of October 2012. It is noted that the time under which the Agreement was in force was short but good progress was made under RESULT 3 of the project.

2.3 Overview on project implementation

Over its life, the project facilitated and established strategic and appropriate partnerships with various stakeholders in order to enhance information flow and strengthen coordination. It supported coordination structures and mechanisms based on recommendations of the coordination baseline assessment (upon approval at national level) to ensure linkages with regional platforms. It focused on national and regional level coordination and promoted cross border collaboration and coordination. The project supported IGAD's Regional Platform and IGAD's Regional Drought Disaster Resilience and Sustainability Initiative (IDDRSI).

Various policies were identified and followed up, including the East African Community Livestock Policy, the IGAD Regional Policy Framework on Animal Health (in the context of Trade and Vulnerability) and the Africa Union's Policy Framework for Pastoralism in Africa. A review of Disaster Risk Management (DRM) Policies in Djibouti, Kenya and Uganda were also conducted. Assessments on informal cross border livestock trade were undertaken along the Ethiopia – Somalia, Kenya – Somalia and South Sudan – Uganda cross border market routes.

The objective of the regional assessments was to have an in-depth understanding of the issues related to informal cross-border livestock trade with the aim of developing policy options that would facilitate and enhance the cross border livestock trading without jeopardizing pastoral and agro-pastoral livelihoods or hurting the level of expected public revenue from the trade. A policy brief on traditional & community institutions was developed following a study on traditional institutions and their role in resource management and resilience. Improved engagement by traditional/community institutions on local level planning and investment processes increased in number due to exposure to the various community planning processes and participatory processes, particularly CMDRR, PFSs and VICOBAs.

The project contributed to the improved development and implementation of community managed disaster risk reduction (CMDRR) action plans, with linkages to local government authorities and partners for consideration, increasing effectiveness and enhanced capacity. It also enhanced its visibility at country and regional level through implementation of its communication and visibility plan, most notably with the e-newsletter that has wide readership in the region.

In the latter part of the project, significant focus went into consolidation of its achievements to ensure linkages with appropriate institutions at national level and with IGAD. Some of the focus areas included community cross border plans, regional Civil Society Organizations' (CSOs) representation and engagement with IGAD, dissemination of emerging policy issues (as documented in the policy briefs) and lessons learnt for consideration in the implementation of IDDRSI. It is

however, noted that this consolidation needed more time to be finalized and for full impacts of long-term outcomes and benefits to be secured.

2.4 Relevance of the RISPA Project

Pastoralists make up a significant proportion of the human population in the Horn of Africa (HoA) as shown in the table below. They are considered to be among the most vulnerable and marginalized in the region⁵. The Horn of Africa comprising Djibouti, Eritrea, Ethiopia, Kenya, Somalia, South Sudan, Sudan and Uganda covers approximately 5.2 million square kilometers with more than 65% of the land receiving less than 500mm of rainfall annually. This region is home to over 217 million people with diverse and rich culture, resources and opportunities which have enabled them to harness livelihoods over the years. However, as the region is increasingly confronted by climatic, demographic, political, social and economic changes, new challenges and immense opportunities for the people and governments are emerging.

The project was formulated in recognition of the fact that many of the issues pastoralists and agro-pastoralists face are common across national boundaries in the region, largely as a result of the mobility that underpins their livelihood strategies, crossing international and local borders.

Table 1: Approximate national and pastoral populations in selected countries in the Horn of Africa Region

Country	Total Population	Pastoral Population	Pastoralist Population as % of Total
Uganda	34.5 million	0.104	0.3%
Kenya	44.04 million	5.34 million	12%
Djibouti	0.818million	0.164 million	20%
Ethiopia	85 million	12 million	14%
Sudan	40 million	8 million	20%
Somalia	13 million	8 million	62%
TOTAL	217.36 million	33.61million	21.4%

Source: World Bank Country Reports; July 2013

Although significant positive changes with regard to the status of pastoralists and agro-pastoralists are taking place in several countries in the Horn of Africa Region, pastoralists and agro-pastoralists continue to be significantly marginalized economically, politically and socially across the region, and the mobility that underpins their livelihood strategies presents a challenge for both relief and development interventions. This mobility presents a number of challenges.

First mobility presents the challenge of conflict due to competition for scarce resources (water and pasture) the proliferation of small arms and light weapons in some of the pastoral areas is a challenge that threatens livelihoods

Second, pastoralists are not easy to reach, and hence dialogue and work with them (for example on censuses; disease control and provision of basic services) is expensive for governments and other agencies. Second, they occupy peripheral areas along national borders and it is sometimes unclear which side they belong to, since a common language is often spoken on both sides of the border – another challenge for national governments. Third, pastoralists' access to markets, trade, natural resources, goods and services, including veterinary drugs, may involve the crossing of international borders by both people and livestock. Fourth, ASALs are generally have limited infrastructure and frequently insecure, which can act as a disincentive for governments and other agencies to work there.

These factors, whilst making work with pastoralists all the more challenging, are also the reason why pastoral development work requires specific strategies to address the trans-boundary nature of their livelihoods and should be clearly distinguished from work with other livelihood groups in ASAL and other areas. The need for a regional, cross-border approach to many of the key issues facing pastoralists and agro-pastoralists is thus recognized by most stakeholders.

It is with this in mind that the impact assessment team opines that the RISPA project, with its objectives to reduce vulnerability through strengthening the institutional and policy framework in order to address issues affecting the resilience of pastoralists and agro-pastoralist communities, as well as the sustainable diversification of their livelihoods, is of great relevance to pastoral and agro-pastoral livelihoods in the region.

⁵ Cathy Watson & Mike Wekesa (2009): Review of the Oxfam Regional Pastoralist Programme for the Horn, Eastern & Central Africa (HECA) Region.

2.5 Implementation strategy, approach and performance

The project was implemented satisfactorily, particularly after its reformulation in February-March 2012, and after delays resulting from the drought experienced in the HoA between 2010 and 2011. The FAO used a selection process to choose 12 CSO implementing partners spread across the project area. (See Annex 5 for details of the implementing partners). The selection of implementing partners is considered to have been effectively and successfully done because most partners had the requisite capability to implement planned activities. This is an important lesson for future engagement. It is better to take time but end up with the right implementing partners. The strategy of using local institutions, communities, traditional institutions, government departments and ministries as well as 12 CSO partners not only provided the synergy in knowledge and experience but it spread the risk where implementation could have been affected if only few partners were involved. However, while this was commendable, they should have been brought on board immediately the project started and not one year later.

The Project Steering Committee (PSC) provided advisory support, although its performance could have been better, if all members played an active and effective role as expected. The PSC however, ensured that personal and organizational responsibilities and accountability were clearly established and understood throughout the implementation process. It also ensured the project's technical soundness, coherence and cost-effectiveness, with all relevant stakeholders and partners participating and presenting important milestones and documents e.g. the work plans, visibility plan, study reports, progress reports, etc. to the PSC for discussion and approval. The PSC also supported the Project's knowledge management, learning and lesson sharing activities, particularly where it was better placed to do so.

2.6 Effectiveness of the Project

The Impact Assessment team used the *"Project Effectiveness Scan Tool"* to assess the effectiveness of the RISPA project. Effectiveness was defined as the extent of delivery of expected results, addressing identified problems of targeted groups and beneficiaries. The tool was used to assess 6 aspects of the RISPA i.e.: (i) Approval and Acceptance; (ii) Objectives; (iii) Implementation Capacity; (iv) Linkages /Coordination; (v) Knowledge Management and Learning and (vi) Achievement of results and objectives. Each of these aspects was broken down and subjected to a scoring based on the IA team's judgment.

Table 2: Summary of RISPA's effectiveness in meeting expected needs of target groups

Aspect	Description	0	1	2	3	4	Comments
Approval & Acceptance	Project agreed with donor for funding				X		Earlier design caused delays; reformulation steered project in right direction from early 2012
	Project is accepted by recipient countries & communities					X	Project consistent with donors' strategies for countries in the region; pastoralists and agro-pastoralists' status and population demanded the project
	Project regional presence in all targeted countries				X		Somalia not initially included for field activities but one (Sheikh Veterinary School) put in belatedly; Somalia was not particularly impressed by this.
Project Objectives & Results	Relevance of project to the needs of target groups					X	Pastoral and agro-pastoralists need this kind of support; governments in the region need to work together to respond to regional issues appropriately and effectively.
	Project objectives realistic and logically linked in log-frame				X		Initially, not clear how PFS activities would bring out national & regional linkages without CMDRR; however it was later clarified that PFS operated on issues arising from the CMDRR. VICOBA and CBAHS; CMPB and other cross-border activities.
	Appropriateness of timing – came at the right time					X	Project inception came immediately after drought crisis in the HoA region. Coincidental but good timing.
	Adequacy of project duration to achieve expected results and			X			3 years for a regional programme of this nature was short. Policy processes are time consuming and take even

Aspect	Description	0	1	2	3	4	Comments
	objectives						more time when they are regional in nature hence the need for a longer term initiative to see the emergence of results.
	Scale of intervention in the region				X		Adequate for the first phase. Could be scaled up in future phases; project area large with diverse needs
Capacity to implement activities	Implementation capacity of FAO Regional Office				X		Very good network of sections; country offices; NGO partners; etc. good experience in region and subject
	Effective institutional/management arrangements				X		Greatly improved with time; good oversight, leadership and guidance from PSC
	Functional & Effective PSC (Support; Guidance; Advice, Accountability, etc.)				X		More active participation by some donors throughout the project could have encouraged more effectiveness
	Capacity to deal with regional issues; cross-border programming and national governments & stakeholders			X			Implementation Agreement with IGAD came late but raised project profile and effectiveness; IGAD enjoys legitimacy and has political influence on countries
	Choice of activities and reaching the “unreached”; community participation and mobilization				X		Implementation approach and process ensured good community participation and involvement; choice of CMDRR/HNRM/VICOBA and PFSs was strategic. Effective cross-border programming could have been demonstrated better; conflict over resources (synergy with CEWARN –peace dividend activities, etc.)
	Cross-border trade		x				This was one of the activities anticipated to be achieved by the project. However, there was no major improvement reported in this front.
	Project addressed cross-cutting issues of gender; environment; conflict; minorities; poverty; cross-border				X		Gender issues were in-built from the onset with clear targets already provided; youth; people with disabilities, etc. included; NRM and poverty were addressed within the capacity of the project.
Relations; Linkages & Coordination	Relationship with communities /community/traditional institutions – buy-in; support; cooperation; etc.					X	There is adequate evidence from participation and involvement in project activities (CMDRR, PFSs, etc.) to show that community commitment was strong.
	Working relationship of FAO with Implementing Agencies (CSO partners) in the Region					X	FAO Regional and Country offices have a history of working together with CSO partners and communities.
	Working relationship & coordination with national government ministries		X				This was probably the weakest link within the project’s working relationships with other stakeholders. Inadequate understanding of how government ministries; departments and agencies work; etc.
	Working relationship with regional bodies/ programs/projects/ research institutions, etc.				X		IGAD’s entry into implementation strengthened regional perspectives; but other regional/international institutions e.g. IIED; IFPRI, ILRI; EAC, etc. could have been involved more.
	Working relationship with national governments and donors (ECHO; SDC; EU)			X			Not strong link with Somalia and EU Somalia Office; more FAO Country Office involvement in each country could have strengthened this aspect.
	Overall interface of Community/County/National/ Regional level Coordination & Linkages				X		Great potential existed for better linkages and coordination but firm foundation has been established for better Commitment, Cooperation, Collaboration and Coordination (4Cs) across all these levels.
	Learning from implementation to steer the project to achieve results				X		Good aspect with support from the PSC; project reformulation early in the project’s life helped greatly.
Learning & Knowledge Management	Documentation and sharing of lessons and experiences					X	Very good documentation and reporting undertaken across the project; REGLAP/DLCI; IIRR and other project partners have done commendable work in this area.
	Cross-border learning/			X			This could have been stronger, particularly knowing

Aspect	Description	0	1	2	3	4	Comments
	exchange visits among communities/traditional institutions/formal institutions						that pastoralists and agro-pastoralists learn best when they see and hear success stories from peers. This aspect could have been done better by the implementing partners.
Achievement of project results and objectives	<u>Result1</u> : Target Communities are better prepared for disaster through community planning and action.			X			Community mobilization for participation; involvement and resource mobilization in project sites has been done; framework for training and support to CMDRR; HNRM; PFSs; VICOBA groups; etc. has been established and implemented. There is evidence that CMDRR and PFSs (through documented case studies) have enabled communities to be more prepared for disasters. But scaling up of success stories is the challenge here. Also more time required for building an evidence base.
	<u>Result 2</u> : Strengthened coordination of both development and humanitarian initiatives in (agro) pastoral areas from the community level through national levels to regional institutions		X				Achieving coordination from community level through national to regional level requires political clout and influence and institutions that have requisite authority over government ministries, departments and agencies. Often, this requires working with top ministry officials who will give instructions to lower cadre staff to participate effectively. This was a challenge for RISPA.
	<u>Regional 3</u> : Regional policies and institutions developed in support of pastoralist livelihoods				X		Good progress with the IGAD-led CPPs/EDE frameworks; slow progress with AU pastoralism policy; good buy-in into HoA Plan of Action; national IDDRSI platforms being established; Kenya has reviewed its drought management coordination structures to comply with implementation of EDE MTP II and has invested over 31 billion Ksh in ending drought emergency and a further 4 billion in the development of Northern Kenya for the plan period ⁶
	<u>Immediate objective</u> Strengthen institutional & policy frameworks for (agro) pastoralists				X		Good progress and potential based on current developments e.g. devolution in Kenya & IGAD taking a more proactive regional leadership role.
	Average Score for effectiveness	76/27=2.81					2.81 is close to 3, which is good performance

Score: 0= too early to judge or difficult to tell from evidence; 1=Poor; 2= Satisfactory; 3=Good; 4= Very good

2.7 Efficiency of the Project

FAO's Regional Emergency Office for Eastern and Central Africa (REOA) was responsible for the overall daily management of the project under the operational supervision of the Emergency Operations Service (TCEO) in Rome and the technical supervision of Animal Production and Health division (AGA) and the Sub-Regional Office for East Africa (SFE) in Addis Ababa in Ethiopia. The emergency and rehabilitation coordination units in each of the countries (in Ethiopia the Disaster Response and Rehabilitation Unit) in cooperation with the FAO representations carried out the daily management of the project at national level, whereas the daily management of Result 3 was carried out by the IGAD in cooperation with the FAO SFE office.

In terms of the RISPA's management structure, FAO instituted implementation arrangements which involved the following:

- At the regional level there was a full time project coordinator, a fulltime project officer, and a full time communications/M&E function;
- FAO strengthened its support functions to the project and in addition, a full time position of pastoral liaison officer to the IGAD Executive Secretary and Secretariat was posted; and
- FAO Ethiopia assigned a full time project manager to the project.

⁶ MTP II: VISION 2030 **SECOND MEDIUM TERM PLAN 2013 - 2017**

The above placements were in addition to existing FAO implementation capacity. The above new project management structure was developed after the mid-term evaluation proposed changes to the project's implementation arrangements.

With the above in focus, and without including other coordination mechanisms with national government ministries, departments and agencies, and unforeseen costs, it is apparent that implementation arrangements under such a structure could be very costly indeed, with high overhead costs on FAO's part. But cost is one part of the equation in looking to ascertain the efficiency of a project such as RISPA. The other part is to look at the immediate benefits or impacts of the project and the long-term sustainability of its outcomes by, for example, having a *"with-the-project"* and *"the without-project"* comparison scenarios. Or better still, a cost/benefit analysis or even a value for money audit, both of which were beyond the remit of this impact assessment.

Suffice it to say that this project should be viewed from its positive impacts that go beyond financial ones. In the first instance, the project covers a very large geographic location and requires an organization such as FAO to manage it properly. Secondly, experience shows that cross-border and regional programming is overly expensive. But *"it is a necessary evil"* that we will live with if we hope to address some of the endemic challenges affecting pastoralists traversing international borders in areas with very poor infrastructure, insecurity and inadequate communication systems.

All these has to be compared with the benefits of, for example, the potential of an emerging regional approach to addressing disaster risk reduction, resilience building, conflict management, natural resource management and utilization, cross-border implementation, regional livestock trade, etc. when specific policies and institutions have been established or influenced and implemented. In the end, it is probably safe to say that the long term benefits of RISPA will by far outweigh the costs involved, if the benefits of this project are consolidated through another phase in order to institutionalize approaches and consolidate activities, embedding them within national and regional institutional and policy structures.

Overall, the RISPA was an effective project. It has laid the foundation for future leveraging and linking of Community Resilience Actions to National and Regional Resilience Agendas. There are a number of cross border resilience building interventions which are managed at national level but require regional approaches e.g. cross-border participatory community planning and action; natural resources management and resource based conflicts; coordination and technical support; and knowledge and information sharing and animal production and health, among others. Future work can build on the gains and experiences from the RISPA and other interventions funded through disaster risk reduction and resilience programmes and projects among communities in the Horn of Africa.

Examples of such programmes include the ECHO-funded Disaster Risk Reduction (DRR) & Preparedness program since 2006 and the more recent Drought Risk Reduction Action Plan (DRAAP); the USAID-financed RELPA/ELMT; and the SDC-supported Regional Pastoral Field School Project (PFS), among others. These programs have supported community institutions and fostered cross border programming in support of harmonious utilization of natural resources, livestock health and marketing and information sharing.

3. IMPACT OF THE RISPA PROJECT

This section of the report contains impact that is attributed to the RISPA project based on available evidence. However, it is acknowledged that in matters of policy and institutional development, coordination and collaboration at regional level with many players in the arena and with diverse interests, attribution of immediate impacts to a single project such as RISPA, may not be an easy task. It is much easier to look at the policy and institutional **change processes** that were taking place and the role the project played in these than necessarily looking for the ultimate policy and institutional changes themselves. This is because first the RISPA project ended only about in December 2013 2 months ago and the full impact of its outcomes or results are yet to be seen. Secondly, some of the policy and institutional processes are still on-going e.g. the IDDRSI strategy and its implementation, which will take time. Nevertheless, it is still possible to identify and document some immediate impacts of the RISPA project and to impute future long-term impacts, where such impacts clearly emanate from the project's results and activities.

In this report, project impact is defined as: *"the wider intended or/and unintended effects that have resulted from the implementation of project activities with visible and tangible change in the lives and livelihoods of target households and communities, emanating from changed policies, legislation, institutional frameworks and investments, that have immediate and long-term benefits, thereby contributing to improving human development and living standards of targeted populations"*.

3.1 Impact of main project activities

The RISPA project adapted innovative approaches within the project cycle management which proved very successful due to their relevance, effectiveness, appropriateness and participative manner with which these approaches were implemented. It integrated different approaches which enhanced the value of the intervention and built synergy for achievement of expected results. The innovative approaches included conflict sensitive programming, Community Managed Disaster Risk Reduction, customary institutions integration, Pastoral Field Schools, Village savings and loans schemes, business development and Income Generating Activities (VICOBA), Early warning Systems and information, contingency and development planning, community managed ecosystem based planning, mutual resource sharing through reciprocal resource use agreements, civil society and pastoral networks, experience sharing and exposure tours, mainstreaming overarching and cross cutting issues into the project planning process, project monitoring and continuous documentation of lessons learned, best practices and evidence of change for dissemination.

The project implementation strategies focused on strengthening institutional and policy frameworks of communities through training, appropriate technology promotion, information and knowledge management and dissemination, community based planning, experiential learning and self-discovery, economic empowerment, inclusion, networking and lobbying. These innovative approaches aimed at addressing the challenges that affect the target communities livelihoods, self reliance and resilience building efforts. These challenges were addressed through community managed disaster risk reduction, community organization, sustainable resource use, diversified livelihood sources, early warning systems and information dissemination, coordination, early warning information and early response action, customary institutional framework integration, assets creation, community owned action learning-based problem solving mechanisms, experience sharing, contingency and long term planning /initiatives, as well as funds mobilization.

There is evidence from this Impact Assessment that the project has had positive impacts with potential for long-term effects on the lives, livelihoods, policies and institutions of (agro) pastoralists in the HoA Region.

The following descriptions are a demonstration of these impacts at different levels of the intervention logic (See Annex 1 of this report for detailed impacts):

Principal Objective: To contribute to reducing vulnerability of (agro) pastoral communities in the Horn of Africa

INDICATORS

1. National and regional and governments commitment to an improved and coordinated long term strategy which builds on the regional DRR policy work under Result 3 (Measured through a 10% increase in government and donor resources invested in the arid lands by the end of the project).

While it was not possible to establish the proportion of government and donor resources invested in arid lands by the end of the project, a number of things changed during the life of the project that imply increased investment in the arid lands in some of the countries. In Kenya for example the NDMA prepared its Ending Drought Emergencies (EDE) Medium Term Plan II (2013-2017), with a complete implementation framework and rolling budget, presented it to the Kenya Government and was accepted to be included in Kenya's Vision 2030's MTP II. This now means the plans will be allocated national resources from the exchequer. Further, following the implementation of the Constitution of Kenya 2010, more resources will be devolved to the counties especially the ASAL counties in equal measure as other counties – based on population as well as in the form of equalization fund to address historical marginalization of the areas.

In Djibouti and Ethiopia the regional programming paper (RPP) and the country programming papers (CPPs) have since been finalized and countries such as Kenya are using it for investment planning while in South Sudan and Uganda, the CPPs have undergone cabinet review and approval. This architecture is providing an opportunity for coordinated work within IGAD⁷ and together with partners.

2. Reduced vulnerability of target communities measured through a 10% improvement in terms of trade against the long term average by the end of the project.

The proportion of improvement could not be ascertained through the assessment process; however, the project was involved in promotion and implementation of the IGAD Regional Policy Framework on Animal Health in the Context of Trade and Vulnerability that reduced the vulnerability to disease of the livestock from communities in the border between Kenya and Uganda. The policy framework that was developed and ratified by the two governments was promoted as a basis for cross border programming among partners and governments. The RISPA project through the Policy Support Officer seconded to IGAD followed up to ensure official signing by IGAD to the *Resolution on Strengthening the Institutional and Policy Environment to Support and Empower the Livestock Dependent Poor of the IGAD Region*. The resolution outlines the commitments by the countries in ensuring that the livestock sector is promoted hence reducing vulnerability among the poor in the region. IGAD's main commitment is on facilitation and support to its members states to implement the Regional Policy Framework and creation of a dedicated livestock centre to support the emerging, poverty-focused policy processes and agendas. The livestock institution ICPALD is well underway and collaborated effectively with the RISPA Project on a number of initiatives including the IGAD Resilience Platform;

Specific Objective: To strengthen institutional and policy framework affecting resilience of (agro) pastoral communities and the diversification of their livelihoods.

INDICATORS

1. Increased cohesiveness of emergency and development interventions within the region (measured through discussions in joint coordination fora and joint missions).

A few examples of cohesiveness of emergency and development are shared below. The detailed treatment can be found under Result 3 below:

- a. Examples of cohesiveness of emergency and development interventions include the facilitation of East African Community Livestock Policy by the East African Community Secretariat with assistance from AU-IBAR and the ECTAD unit of FAO in Nairobi. Under collaboration between FAO and AU-IBAR on the RISPA project, it was agreed that the project would assist in validation of the policy in Kenya and Uganda as well as the regional level. The policy validation meetings were done in both countries with an aim of ensuring linkages with national level policies. Upon finalization of the national level validation, a regional meeting was held and a consolidated document prepared with inputs from the countries;
- b. An exchange visit by policy makers and key stakeholders to West Africa took place, under an IGAD-ECOWAS framework, with an aim of taking policy makers and traders from the IGAD region to see how issues of transhumance and trade were facilitated across borders by ECOWAS and its member states. The mission interacted with CILSS in order to exchange experiences and lessons on food security information management and early warning. This followed initial discussions between [CILSS and IGAD as facilitated by the Policy Officer](#) who represented IGAD at the 28th annual meeting of the Food crisis prevention network in the Sahel and West Africa (RPCA) held on 4-6 December 2012 in Ouagadougou, Burkina Faso. More follow up work was underway to promote this important policy framework for pastoralism in Africa at the end of the

⁷Through its divisions, specialized centers – ICPAC, ICPALD, ISTVS and programmes such as HIV, Peace and Security.

project;

- c. The policy review and assessment mainly on Disaster Risk Management has been undertaken in the region by the IGAD Livestock Policy Initiative. This provides a useful basis for onward policy discussion with IGAD and its member states. In addition, the Food & Nutrition Security Working Group (FSNWG), a coordination forum in the region that is now chaired by IGAD, forms a solid platform for regional partners to engage with IGAD and a chance for their concerns and recommendations to be taken up to the IGAD member states and to the African Union (AU) as appropriate.

2. Enhanced Linkages between local, national and regional institutions (measured through consultations on policy engagement)

A thorough discussion of the linkages are discussed under RESULT 3 below however highlights of these are given below:

- a) In 2009-2011, the USAID funded regional policy and institutional support project (PACAPS) provided COMESA with technical and advisory support from Tufts University, Boston, USA to integrate pastoralism and regional livestock trade in its plans, programmes and strategies because this was a missing link in COMESA. The IGAD, EAC, FAO, CSOs and national governments in the COMESA region (which includes some of the countries in the IGAD region) actively participated in this important process. There is great potential to realize its benefits, with the added advantage of bringing COMESA and the EAC on board, with respect to engagement in pastoral resilience initiatives;
- b) The Horn of Africa Plan of Action is active and is another avenue for regional policy and institutional discussion and change. The World Food Programme, FAO and other agencies initiated this forum and has had very good buy-in from other stakeholders;
- c) Conflict Management and Peace Building (CMPB) is another important common issue for regional member states that can be furthered through IGAD's CEWARN framework.

While many of these policies and institutional issues may go beyond the remit of the RISPA project, it is significant to note that the Project's active participation and in some cases, facilitation of specific processes, contributed to the progress made under the different policies.

Result 1: Target communities are better prepared for disaster through community planning and action

1. Community Managed Disaster Risk Reduction Activities

Community Managed Disaster Risk reduction (CMDRR) is a process of bringing people together within the same community to enable them to collectively address a common disaster risk and to collectively pursue common disaster risk reduction measures. *The CMDRR process mobilizes a group of people in a systematic way towards achieving a safe and resilient community/group. Its end is a dynamic community that equalizes power relations, binds the group cohesively in the process of making decisions, deals with conflicts, resolves issues, and manages individual and collective tasks through addressing and bouncing back from hazard events (See Annex 2 for details on the CMDRR process).*

The following example of a CMDRR community will illustrate the impact of the CMDRR process

1. Funan Gumbi – In Moyale Sub-District on the Kenyan side of the Kenya-Ethiopia Border

Funan Gumbi community is located about 25 km east of Rawan and 35km North of Turbi in Marsabit County. The community had lived here for 20 years before conflict arose with the Gabbra, forcing them to move and only returned to this current site in April 2009 from Rawan, Walda, etc. where they had been displaced to. The population now is about 140 households (800 people). The Implementing Partner carried out a seven - day training on CMDRR as an initial investment into the community. The training involved hazard identification and defining characteristics of all the hazards; identification of resources and gaps and coming up with a Community Action Plan (CAP).

The community prioritized hazards which included drought, conflict, bush encroachment, inadequate water, poor health facilities and no school for the children. Since then, the community has moved on in earnest to implement its CAP with support from the supporting organization and other stakeholders. As the Chair of the CMDRR Committee said, "A man will clean his house first before he goes to clean his neighbor's".

a) How practices and strategies have changed as a result of CMDRR interventions

First the training enabled them gain knowledge and the community members formed a CMDRR committee which provides the right leadership for community members to work together. They have implemented many interventions that are likely to make this community more resilient to drought.

Examples include:

- **Pan construction:** With cash for work support, the community has come up with a pan (1200m³) to harvest water purely for domestic use. They ration so that each household gets 40 liters per day. This would last the community 6-7 months into the dry season;
 - **Roof catchment:** A total of 23 households have constructed iron sheet roofed houses out of their own resources and the agency provided support in form of 14 - 5000liter plastic storage tanks for roof catchment water harvesting;
 - **Bush clearing:** With FFA from World Vision/WFP, the community cleared 1km x2km rangeland of invasive bush species. The community plans to fence off this vast area for selected animals during the drought. It further reserved 30kmx20km rangeland for dry/drought season grazing;
 - **Restocking:** The implementing partner supported a restocking intervention with 20 camels. Even with the severe drought in 2011-2012, only 2 died;
 - **Slaughter destocking:** Christian Community Services (CCS) had supported slaughter destocking between May and Sept 2011 at 25 sheep and goats per week for 20 weeks i.e. 500 sheep and goats @ 2000 per shoat. Five shoats were divided among 50 vulnerable households for meat; in this way, the seller got money, the vulnerable household got meat. They claimed they settled for slaughter destocking because of lack of market. They would have preferred to sell early and fetch more money. They also want to rebuild their herds and so will hold on to some of the livestock until the risk of losing them is imminent;
 - **Food voucher scheme:** CCS also supported a food voucher scheme for 40 households @ KES 3000 per month for 5 months;
 - **Conflict Management & Peace-building:** The community here has a joint peace committee with Turbi center and work closely. If conflict arises these committees are activated. No conflict has occurred since April 2009 because they have rangeland monitors on the ground watching over grazing land but also providing timely information on any suspicious activities from other tribes or from across the border in Ethiopia. Once such an activity is identified, the Community Based Conflict Early Warning and Response (CEWARN) is activated because the monitors pass the information to the CMDRR committee which in turn passes the information to the Turbi CMDRR committee, which mobilizes the government forces based at Turbi and jointly rush to the suspected site. Previously, the community used to lose 300-400 sheep and goats a year to raids and conflicts. Not anymore;
 - **Emergency Water Trucking:** CCS supported Emergency Water Trucking (EWT) for 90 households receiving 20 liters a day for three months; each trip brings in 10,000 liters and costs KES 20,000;
 - **School construction:** The community has completed 2 classrooms of the school and is planning to continue construction with support from stakeholders;
 - **Dispensary:** Not yet implemented but it is in the Community Action Plan.
- b) **Extent to which these households/communities are better to deal with a drought situation:** Asked whether the community was now more resilient to drought than before, the response was: "*It is only God who is resilient to everything*". But the CMDRR committee admitted they were better than before. They gave examples like having reserved 30kmx20km rangeland for dry season grazing, which can take 10000 cattle or 40000 sheep and goats for 6 months into the drought; the new dam and roof catchment storage tanks full of water; reserved grazing which has been cleared of bush, etc. They feel better placed to cope and even if relief aid would be required, it would be minimal.
- c) **Empowerment:** The community is empowered. The CMDRR committee is able to leverage funds from other stakeholders such as CCS and WVI-K and community members have taken the initiative to construct better houses using their own resources. The CMDRR committee now plans to harvest standing hay and store it for the drought period. It is a small community of about 800 people and they take care of each other well. Asked whether resilience was the same across all segments or groups in the community, the committee said

it was not because capacities of households were different e.g. herd size, asset levels, household composition, age, etc. The vulnerable are targeted to enlist their involvement and participation but also for sharing in the CMDRR process benefits.

d) Quantifying the benefits

It is possible to quantify some of these benefits from the CMDRR process.

- The construction of the pan with water lasting the community 6-7 months means that the community will not require emergency water trucking which is very expensive. For example if each household requires 40 liters a day, the community would need approximately 5000 liters every day for the 6 months. If the water is to be trucked, the 5000 liters would cost KES 10,000 per day. In 6 months, the cost of emergency water trucking would be KES 1.8m. This is the money that is saved as a result of the pan being in place. The 14-5000 liter roof catchment storage tanks in the community would harvest another 70,000 liters of water, reducing the need for emergency water trucking by 14 trips costing KES 140,000. These are substantial amounts considering a small community of 800 people;
- Bush clearing of an area of 1kmx2km has improved reserved grazing for selected animals significantly. The CMDRR committee estimated that the number of livestock to be "admitted" into this reserved grazing would double from 500 cattle to 1000 or from 2000 sheep and goats to 4000 (4 goats=1 cow). These animals would utilize this improved rangeland for up to 6 months without destroying the environment. Due to the improved range, the production of these animals and their body condition will still be high even during the drought. They will be strong to withstand the drought and provide breeding stock after the drought;
- The restocking of vulnerable households with camels means that probably by the next drought they will have calved at least twice, providing a very strong foundation for vulnerable families to rebuilt their herds in addition to having milk almost throughout the year;
- Slaughter destocking not only injected KES 1 million into the community, it also provided meat to vulnerable households during the 2011-2012 drought period;
- The food voucher scheme not only provided much needed food for vulnerable households for five months but also injected KES 600,000 into the local economy since the food was procured through local traders;
- The absence of conflicts or raids due to an effective conflict management and peace-building system at community level has saved 300-400 sheep and goats valued at over KES 1.2 million each year.
- Then there are those intangible benefits like training and knowledge gained by the community and the positive social capital formed as a result of working together cohesively. The capacity to leverage funds from other sources other than the implementing partner and the advocacy and negotiation skills developed cannot be quantified. Overall this community is a very good example of what the CMDRR process can do in terms of building the resilience of communities against droughts.

The RISPA project has many of such examples as illustrated above, spread across all the countries – Uganda, Kenya and Ethiopia. The CMDRR process has led to improved development and implementation of community managed disaster risk reduction (CMDRR) action plans, with linkages to local government authorities and partners for consideration, increasing effectiveness and enhanced capacity.

In common with other approaches, CMDRR helps communities strengthen physical assets for resilience (water development, pastures, animal health care etc.) but its "edge" may be in the emphasis it places on intangible assets (capacity-building in "soft" skills such as representative processes for community organization and planning) – as the means by which to ensure that interventions are demand-led, well-managed by the community and hence sustainable. Measuring the potentially far-reaching impacts of those "process" assets requires the development of robust monitoring systems to follow communities over a number of years.

If the capacities, long-term assets and livelihoods CMDRR promotes are successful and sustainable, then the approach could reduce the need for external relief assistance, lead to quicker recovery after the emergency, reduce suffering and save lives, whilst strengthening and improving rural livelihoods over the long-term. It can also provide empirical evidence for advocacy and policy change. CMDRR does much more than deliver short-term assistance (relief).

For example, the assessment team compared the cost of a CMDRR project with relief costs. The more successful CMDRR communities reported that they were resilient for 3-4 months longer than they would have been without CMDRR, so if those costs are less than 3-4 months of relief assistance, the approach would seem to be a good investment – even if only judged on those short-term benefits. Additional benefits would just strengthen the case. There is therefore a strong argument in support of CMDRR, particularly in communities where the approach has been more successful. However, where the results have been slower to emerge and communities have achieved less resilience, in the short run at least, it is not so clear that this is the best investment, particularly if the costs are actually higher than used in the analysis (cumulative over a number of recent projects).

Also if we compare for example CMDRR water projects (prioritized in Community Action Plans) with the costs of Emergency Water Trucking, evidence supports the finding that this component of CMDRR represents better “value for money” than relief only. The latter (relief), though, really misses the point of CMDRR – because CMDRR’s essence is long-term and focused on capacities.

2. Pastoralist Field Schools (PFS)

The project invested substantially in the process of designing, establishing, implementing and monitoring and evaluating this activity. PFSs have also been used as platforms for enhancing peace & reducing conflict, enhancing cross border trade and also cross border/cross community learning. The PFS process is presented in Annex 2 of this report. The following example will suffice:

Participatory impact assessments conducted in Borena and Guji zones of Oromiya region revealed that the PFSs have enabled pastoralists to identify and tackle their own problems, share experiences, and improve their livelihoods. They have also helped them to focus on pastoralists’ common problems on drought and food insecurity. Pastoralists are now working on how to cope with drought and hunger. PFSs are mainly set up to empower pastoralists with knowledge and skills to make them experts in their own context. This approach has enabled (agro) pastoralists’ lives to become more resilient and less vulnerable to disasters and shocks because communities have learned new ways of solving problems and to adapt to changes by sharpening their ability to make critical and informed decisions on their coping strategies. Among others, communities have learned better ways of self-organization and “experimentation” with new livelihoods options and ideas, thereby contributing to diversification of their livelihoods.

Many community members involved in PFSs have the following to say: *“The fact that we are organized as a group has empowered us because we got seed money and enabled us to share experiences, we have learned by doing useful activities to benefit our lives and livelihood strategies. We are trying out new things like fattening animals before selling in order to fetch much better prices. Previously we knew only children going to school, but now, we ourselves learn from PFS experts and from members. The PFS has motivated us to carry out self-assessment, to build social cohesion and social capital, to better manage our livestock and our farms and learning is experiential and practical. The PFS approach is all about improving our lives and livelihoods. In the past, there was no such group for learning to solve our problems. Now we learn about NRM, the effective use of our animals, we debate and then come up with agreed upon solutions. We work in small groups and this allows every member to actively participate. We are the designers, implementers and beneficiaries of the whole process”.*

On what changes members had made in terms of livestock management, knowledge, skills and attitudes, they claim to have had many changes. In the past, there was no preservation of hay, now members do preserve hay and have started fattening their animals using the range enclosures. Mobility is more organized than before and there is separation of lactating animals from non-lactating ones for better care. Animals are now sold in better condition. They used to sell more livestock during the dry season, but this was loss to them due to poor prices. Now they can hold onto the animals and keep care for them to survive drought and fetch better prices later.

On comparison with non PFS pastoralists within the same community, they think PFSs members are better prepared for hazards such as drought. For example the group in Kenchero PFS in Borena Zone southern Ethiopia has identified its problems and was working to minimize impacts of droughts. PFS members and families were in better hygiene, many non PFS members of the community envied them; they thought it was because of learning many new aspects on lives and livelihoods, which nobody taught them before. The PFS members come together every week have better opportunities to discuss problems and find solutions as a group. In the past, they only worked together when the government ordered them to do so. Now they see the importance of working together and they do it for their common good. They have

savings; they are fattening animals and are using crop residues to feed livestock, etc., with the main objective of reducing vulnerability to drought. The PFS members claim that although non-PFS members do some of these things, the activities of PFS members are more organized/ planned.

Generally, the knowledge and practice changes of PFS members before and after 50 learning sessions (one year of participation and involvement) are in the following areas:

- Selective treatment, i.e. feeding and healthcare to herd and selected animals (lactating, growing animals, etc.);
- Strategic selling of animals and products in order to fetch better prices; no distress selling anymore;
- Saving and credit;
- Fodder conservation;
- Thinking of and practicing other income generating activities – income diversification;
- Water development;
- Being empowered to solve our own problems instead of waiting for external support such as relief aid;
- Women participation in livelihoods improvement;
- Knowledge and practice in adapting to climate change;
- Household food security.

Box 3: Using PFSs as an extension approach for the “unreached (Agro) pastoralists in the HoA

Probably the most important benefit of PFSs lies in its potential to reach the often “unreached” pastoralists and agro-pastoralists, if the approach is taken up and used by local and national governments in the region, as a way of providing extension services to pastoralists. The conventional extension approach has over the years failed to reach pastoralists because it is based on sedentary outreach extension services model. A very good example is where the DANIDA NRM medium Term Assistance Programme (MTAP) in Kenya contracted the Water Resources Management Authority (WRMA) to build the capacity of Water Resource User Associations (WRUAs), to among other things, apply for and access funding from the Water Services Trust Fund (WSTF) for group development and for improving their water catchment areas. The WRMA was successful in the higher rainfall areas like Nanyuki, Kajiado, Nyeri and parts of Samburu because many WRUAs were reachable and were able to benefit from the funding. On the other hand, WRUAs from the arid pastoral areas of North Horr, Mandera, Garissa and Tana River had not even seen the training materials they were meant to be using in the capacity building programme, let alone being able to apply for the funding. The main reason given by the WRMA staff was that pastoralists were not available and interested. But the truth is that the approach for extension services used to reach the WRUAs was probably inappropriate and inadequate.

The PFS approach can also be effectively used in organizing and mobilizing pastoralists and agro-pastoralists to get more involved in devolved administrative structures; drought management and food security coordination structures at the village, ward and even county levels in Kenya, as has recently been revealed in a review by the National Drought Management Authority (NDMA) on coordination structures at the community level.

3. The Village Community Banks (VICOBA)

The VICOBA concept is explained in a text box in Annex 2 of this report.

VSF Germany, working in Kenya and Ethiopia, during the period 2012-2013, had targeted 1,997 HH beneficiaries. But by the end of the Project, a total of 2815 households had been supported. Out of these, 342 households directly created more income and diversified their assets through VICOBA and Pastoral Field Schools (PFS) activities. Indirectly, an additional 45 households, who learnt from the target groups, also started their own income generation by replicating VICOBA IGA and Fisheries schools activities. Demand from communities to give more support was overwhelming. This achievement was attributed to the trust communities developed in the VSF- G’s approaches and processes, which embraced new initiatives, affording groups, diverse livelihood options to make their own decisions on the kind of interventions to adopt such as PFS, VICOBA and Natural Resource Management. The interventions relied on accurate and effective EW information dissemination which made the communities to design disaster mitigation plans and early responses based on their contingency plans.

The RISPA project also supported 8 other VICOBA groups: 1 in Ethiopia (in Ocholoch with 20 members) and 7 in Kenya (in Kerech, Telesgaiye, Bilbura, Yaegalem, Hirgriam, Watalli and Baolo). The groups in Illeret joined their efforts and formed an umbrella VICOBA consisting of a network of 9 groups (of about 275 of whom 228 were women and were 47 men). The groups were trained on VICOBA concept and equipped with village savings and loans stationeries and equipment. They were also provided with different start up kits based on their proposals such as construction of food stuffs stores, grants for bulk assorted food stuffs, once off transport subsidies, matching funds to boost their businesses and grinding mills. They also received special trainings to ensure sustainability of their IGAs selection, planning and management, diversified livelihood and joint projects such as food stores and butcheries.

Also, to meet the objectives of communities, 6 PFS groups (2 in Ethiopia and 4 in Kenya) were supported. The four PFS groups in Kenya were Dura PFS (new), PFS group Telesgaye (one old), Lokwameri and Kambi Kenya (BMUs/Pastoral Fisheries school). In Ethiopia 2 new PFS groups, Ocholoch and Lokoro were established. Each PFS comprised of 30-45 members; with average of 25 males and 15 females. Four PFS master trainers were trained in the project (1 woman and 3 men) with 1 in Kenya and 3 in Ethiopia in 2012. However, on Kenyan side the PFS master trainer resigned.

To fill this gap, VSF-G engaged a PFS Master Trainer who conducted a ToT training for 8 project staff (2 women and 6 men) in Illeret. In addition, 16 members of the communities were trained as PFS facilitators (9 PFS facilitators in Ethiopia and 8 from Kenya) consisting of 4 women and 11 men for 21 days with assistance from FAO PFS experts. This helped to build capacity within the community and ensure quality control within the groups. FAO conducted two mentoring and learning sessions in Ethiopia for trained PFS facilitators. The groups were mentored on the PFS concepts and undertook lessons in specific areas of pastoralist interests such as animal health, dry lands farming, hygiene and preventive health care, conflict resolution, fishing and natural resource management. The lessons learnt were shared with their wider communities for replication. The groups were all legally registered in their respective countries.

To enable the groups actualize their learning and grow their income, they were supported with startup kits according to their proposals. The support requested by the groups and provided by the project included farm tools, dry lands food and fodder crops seeds, veterinary drugs to address animal health issues, labor opportunities through cash for work for NRM closures, fishing boats, fishing nets and special trainings on conflict resolution, beach unit management, fisheries production to diversify household income and strengthened food security, fishing policies, net making and hay making. During the project FAO provided technical backstopping to the PFS Facilitators and this ensured effective support of the PFS groups.

They were also trained on principals of CMDRR and contingency planning and mentoring of group members which improved their drought disaster risk reduction assessment capacities, contingency and preparedness planning, community organization, early warning information dissemination and response. The RISPA project supported the completion and review of contingency plans and facilitated the integration of community plans into sub-County/District and County levels in Kenya and at Woreda levels and Zonal levels in Ethiopia.

The communities were introduced to Holistic Resource Management (HRM) approach that integrates ecosystem based rangeland planning. The principle of HRM enabled the communities to understand, analyze their range potentials and develop their Holistic resource use and management plans relevant to their context. They established 4 core groups (1 in Kenya and 3 in Ethiopia) with membership of between 16 – 30 people and 20 field resource teams to spear head the sensitization and attitude change and facilitate the setting up of grazing plans, application of new grazing practices to ensure animal impact, mitigation of under grazing and over grazing, develop an Action Plan to implement the set activities.

This has resulted in the creation of several rangeland enclosures at community and household level, pasture reseeding and re-forestation. The composition of the NRM and DRR structures integrated customary institutions, gender, age and special categories consideration.

Several challenges were encountered during the project implementation. These included delay in project approval by the Ethiopian Government by three months. Heavy rains in October – November 2012 and March – May in 2013 made the movement and access to project sites very difficult. Staff turnover, especially of community mobilizers in Ethiopia and

project officers in Kenya trained in PFS resulted in capacity gaps and affected project implementation processes. The killing of a key Dasanach Ethiopia community member's son in June 2013 created a lot of tension which threatened the resource use agreement for about one month and affected access to the project sites for a while before the situation was put under control through local conflict management and peace building structures and government. The Dasanach community seasonal rite occasions "called Ndimi" lasted almost 6 months from September 2012 to April 2013 and this slowed down community participation in the project, consequently slowing down the implementation of some activities. The Kenya General elections in March 2013 resulted to scaling down of activities as staff was given time-off to take part in the general elections.

VSF-Gs initiative of accessing pastoralist and agro-pastoralist communities with new, innovative approaches to development (PFS & VICOBA) to build their resilience to shock, and diversify assets and incomes, and indirectly support extension services to pastoralists, has greatly encouraged the communities in designing their own development plans.

The above activities under Result 1 serve to underscore the change that is possible from the innovative processes of interacting with pastoralists and agro-pastoralists in a cross-border fashion and help them work together for the common good. These are positive activities that can be sustained by linking the groups to other service providers to grow them in the event that there will be no follow up to RISPA. A lot of work needs to be done to nurture these groups so that any shocks and stresses do not undermine their gains. But the key challenge in future is how to link these initiatives to more sustainable institutional systems and to support them on a larger scale to capitalize on economies of scale as the numbers of participants in groups and groups themselves increase.

Result 2: Impact of strengthened coordination of both development and humanitarian initiatives in (agro) pastoral areas from the community level through national levels to regional institutions

As for impact under Result 2, the focus was on strengthening coordination and capacity of pastoralists Civil Society Organizations to bring up community voice and learning and strengthen the capacity of traditional institutions. Experience now shows that coordination among CSOs themselves, although takes a lot of work to achieve, is easier than CSOs trying to coordinate with government departments or ministries.

Coordination from community, county/district and national to regional level for purposes of achieving a more structured and focused attention on policy engagement through CSOs had only satisfactory impact under RISPA's Result 2.

Lessons under Result 1 above have been ably and effectively documented by implementing partners and in particular by IIRR, RECONCILE and REGLAP (now DLCI). But engaging with government ministries and departments remained a challenge because of a number of factors, including little experience of CSOs and communities in engaging with government ministries and departments **on matters of policy change**. Poor knowledge about how government "bureaucracies" work and a host of other reasons, which need to be explored more in future, are responsible for these difficulties⁸.

For a start, to engage with a government department such as the Department of Veterinary Services in Kenya, there is protocol to be followed before a *Memorandum of Understanding* is agreed. Then there are departmental "quarrels" on whose mandate it is and why or why not this or that other department should be involved. Under RISPA there were issues in Kenya about why the Department of Livestock Production was not involved in the MoU between Kenya and Uganda on community based animal health and other cross-border issues, even though it was clear that cross-border natural resource management, water development, livestock marketing, etc. are largely rangeland management issues falling under the purview of the Department of Livestock Production.

To continue the argument, a CSO would have to deal with the top decision makers in the department because some of these things are not easily "delegated". Once this understanding has been established, individual officers to deal with this specific issue are identified and given responsibility. This becomes their "territory". They will be the ones with the details of progress of the process and no other officer(s) in the department (unless requested by the designated officer) will get involved. If this officer goes on leave, the other stakeholders will probably have to wait until the officer returns. In addition, for the DVS to travel outside the country on official duty s/he needs to obtain written permission from their

⁸ Monica Naggaga (Feb.2014): Personal Communication (Dryland Learning & Capacity Building Initiative –DLCI)

respective Principal or Cabinet Secretary and this takes time. Yet the DVS might be the only appropriate and effective holder of office to engage with on the issue.

Then there is the question of allowances, “*commonly known as facilitation*”, that are paid to government officers to be engaged in activities, including reimbursement of transport/fuel costs, in case of travel to far distances for events or functions, even for activities that largely fall under normal departmental duty. For these reasons and many others, engagement with government departments becomes “individualized” and “personalized”, making the policy and institutional engagement process for CSOs and other stakeholders a very slow process that calls for patience and endurance. It is slow and expensive and sometimes the process makes two steps forward and one step backwards, depending on which other officer, higher in the Ministry’s hierarchy, may be interested in the issue in question. The higher the level of office to be engaged with, the more the politics that comes into play and the more care needed to navigate in the “*murky waters*” of government bureaucracy. The CSOs and UN Agency partners, such as FAO, do not “get this” and find it difficult to understand why the process should be this way.

To make progress in this area, one must carry out a focused power analysis and then engage the influential “*drivers of change*” in those departments. They should even be recruited to influence things from the inside. Working with a critical mass of such people will even be better for faster engagement. Needless to say, more needs to be done in this whole area of engaging with national government ministries, departments and agencies.

Finally, it has to be strongly noted that the very successful activities and impact described in Result 1 above will have value because of their immediate benefits to households and communities, including formal and traditional institutions at that level. But their value will be much higher when they are linked to the more structural, policy and institutional change processes that are direly needed at the county/district, national and regional level in order to realize more lasting and long-term livelihood outcomes such as disaster resilience among (agro) pastoralists in the HoA region. Indeed this is the very justification for including community level activities under the RISPA project. Therefore, it is very important that they are not only seen to contribute to “upstream” change but that they provide evidence that they are doing so.

Result 3- Impact of regional policies and institutions developed in support of pastoralist livelihoods

The Inter Governmental Authority on Development (IGAD) in Eastern Africa was created in 1996 to supersede the Intergovernmental Authority on Drought and Development (IGADD) which was founded in 1986. The mission of IGAD is to assist and complement the efforts of the Member States to achieve, through increased cooperation: a) Food Security and environmental protection; b) Promotion and maintenance of peace and security and humanitarian affairs, and, c) Economic cooperation and integration. Recurrent and severe droughts and other natural disasters between 1974 and 1984 have caused widespread famine, ecological degradation and economic hardship in the Eastern Africa region; consequently, IGAD undertook a review of its strategy of 2011 – 2015 to ensure concerted efforts to these and related challenges in the region.

A new edition of the IGAD Regional Strategy (2011 – 2015) has been produced in response to the findings of a Mid-Term Review of the Strategy and takes into account new initiatives and frameworks such as the IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI) and Comprehensive African Agriculture Development Programme (CAADP). The Strategy provides a programming framework for guiding IGAD in delivering its mandate; considering that despite investment of substantial resources and energy in mitigating effects of drought, desertification and food insecurity, these factors continue to be critical threats to the region. Consequently, IGAD has adopted an integrated, multi-sectoral and multi-disciplinary approach in addressing these threats, and in ending drought emergencies thereby contributing more effectively to the attainment of a resilient economic development in the region, while enhancing food security and environmental protection, maintaining peace and promoting economic integration in the region.

The IDDRSI Strategy provides a roadmap for ending drought emergencies in the IGAD region recognizing the need for a comprehensive and holistic approach to combating chronic food and nutrition insecurity and while addressing the deep-seated poverty and environmental degradation to build the resilience of communities and households to the effects of droughts and other shocks in the region. The Strategy identifies 7 priority intervention areas, where the investments and actions necessary in building resilience are essential. These priority intervention areas include:

1. Ensuring equitable access and sustainable use of natural resources, while improving environmental management;
2. Enhancing market access, facilitating trade and availing versatile financial services;

3. Providing equitable access to livelihood support and basic social services;
4. Improving disaster risk management capabilities and preparedness for effective response;
5. Enhancing the generation and use of research, knowledge, technology and innovations in the IGAD region;
6. Promoting conflict prevention and resolution and peace building;
7. Strengthening coordination mechanisms and institutional arrangements for more organized, collaborative and synergistic action as well as improving partnerships to increase the commitment and support necessary to execute the objectives of the initiative.

To facilitate the implementation of the Strategy, the IDDRSI Coordination Platform was established to facilitate and coordinate the identification, prioritization and harmonization of regional interventions without necessarily duplicating nationally implemented initiatives but rather seeking to add value through strategic regional and cross-border programming; to propose common principles, policies and institutional set up of programmes; to mobilize resources and build up strategic partnerships; and to coordinate implementation of the interventions aimed at enhancing resilience especially in the ASAL. The Strategy provides a common framework that is elaborated in the Regional Programming Paper (RPP) and the Country Programming Papers (CPPs).

i) The IGAD-FAO RISPA Implementation Agreement

The collaboration between FAO and IGAD in the Region, which culminated in the signing of a Memorandum of Understanding and the impetus set by the renewed focus on the Horn of Africa due to the 2010-2011 drought, have provided a very strong platform for regional policy and institutional reform and the potential for regional states to work more closely on common issues of interest spanning from conflict management and peace-building; disaster risk reduction; climate change mitigation and adaptation; HIV and AIDS; Ending Drought Emergencies and resilience building among vulnerable livelihoods, e.g. for pastoralists and agro-pastoralists, in the HoA Region. Indeed the problems pastoralists face stem from structural development issues of neglect and marginalization, coupled with poor policies on land tenure and ownership, among others.

Regional and cross-border programming is vital to addressing the common issues above because they transcend national boundaries. They require a common, harmonized and coordinated regional approach that respects the national mandates, plans, strategies and aspirations of regional member states, but at the same time providing oversight and some kind of “peer review mechanism” under which member states report on progress made on the common trans-boundary issues.

The RISPA's Impact on the implementation of the IDDRSI Strategy

The project mid-term review's recommendation on increasing emphasis on coordination and policy level work in results 2 and 3 respectively provided the project with an opportunity to effectively support the IDDRSI process and platform foreseen. This has indeed been the case and the contribution has been well received and recognized by IGAD. The IGAD Executive Secretary in an interview described the project as “effectively contributed to the resilience agenda and one that IGAD has used as a stable level base upon which to build the resilience agenda”.

Although the FAO-IGAD partnership agreement reformed regional aspirations in policy and institutional reform in the HoA region and that significant impact under RISPA Result 3 has been realized with great potential ahead, the challenges ahead should by no means be belittled. For now, there is great goodwill among member states toward IGAD, largely because of the current Executive Secretary's personal style of engagement and influence, interest and effort, but also because every stakeholder realizes that without regional and cross-border programming accompanied by strong political goodwill from member states, the work of individual governments in dealing with household and community vulnerability issues of common regional interest will yield little. The example of the hitherto protracted civil war in Somalia and internal conflict in South Sudan shows that issues affecting one country will eventually affect the whole region.

ii) The RISPA's impact under RESULT 3

The RISPA project has contributed significantly to the following regional policy and institutional reform initiatives:

- a) The IGAD's RPP and IDDRSI strategies were of mutual benefit to IGAD and FAO through RISPA. The Implementation Agreement provided opportunity for IGAD to use some of the FAO/CSO/Government structures already established at national levels to promote its agenda on regional drought disaster resilience. At the same time, the Agreement also

strengthened RISPA's efforts in working with FAO country offices to engage with relevant national institutions in different countries in the region e.g. the National Drought Management Authority (NDMA) in Kenya, which is now tasked with Ending Drought Emergencies in Kenya, an initiative under IGAD's Regional Platform for EDE.

To emphasize this impact, the example of the NDMA in Kenya is given, where the Authority prepared its Ending Drought Emergencies Medium Term Plan II (2013-2017), with a complete implementation framework and rolling budget, presented it to the Kenya Government and was accepted to be included in Kenya's Vision 2030's MTP II. This is a remarkable example of the desired influence. Ideally, it now means that the EDE initiative in Kenya can be allocated national resources from the exchequer and can also be taken up by relevant County Governments in the ASALs of Kenya for implementation because the EDE initiative is a national government initiative. Other countries have made progress in various ways under the regional EDE initiative through their relevant government structures, translating the IGAD-led CPP process into implementable plans and strategies aimed towards EDE;

- b) The RPP and all the CPPs have since been finalized and countries such as Djibouti, Ethiopia and Kenya are using it for investment planning while in South Sudan and Uganda, the CPPs have undergone cabinet review and approval. This architecture is providing an opportunity for coordinated work within IGAD⁹ and together with partners;
- c) The East African Community Livestock Policy is another example. This policy was being facilitated by the East African community with assistance from AU-IBAR and the ECTAD unit of FAO in Nairobi. Under collaboration between FAO and AU-IBAR on the RISPA project, it was agreed that the project would assist in validation of the policy in Kenya and Uganda as well as the regional level. The policy validation meetings were done in both countries with an aim of ensuring linkages with national level policies. Upon finalization of the national level validation, a regional meeting was held and a consolidated document prepared with inputs from the countries;
- d) The project has been involved in promotion and implementation of the IGAD Regional Policy Framework on Animal Health in the Context of Trade and Vulnerability. The policy framework has been promoted as a basis for cross border programming among partners and by governments. This policy forms the basis for the MoU signed between Kenya and Uganda on cross border animal health coordination. The project through the Policy Support Officer seconded to IGAD followed up to ensure official signing by IGAD to the *Resolution on Strengthening the Institutional and Policy Environment to Support and Empower the Livestock Dependent Poor of the IGAD Region*. The resolution outlines the commitments by the countries in ensuring that the livestock sector is promoted hence reducing vulnerability among the poor in the region. IGAD's main commitment is on facilitation and support to its members states to implement the Regional Policy Framework and creation of a dedicated livestock centre to support the emerging, poverty-focused policy processes and agendas. The livestock institution ICPALD is well underway and collaborated effectively with the RISPA Project on a number of initiatives including the IGAD Resilience Platform;
- e) The Africa Union Policy Framework for Pastoralism in Africa has been on the table for some time. Securing, Protecting and Improving the Lives, Livelihoods and Rights of Pastoralist Communities is a key focus of the policy. An exchange visit by policy makers and key stakeholders to West Africa took place, under an IGAD-ECOWAS framework, with an aim of taking policy makers and traders from the IGAD region to see how issues of transhumance and trade were facilitated across borders by ECOWAS and its member states. The mission interacted with CILSS in order to exchange experiences and lessons on food security information management and early warning. This followed initial discussions between [CILSS and IGAD as facilitated by the Policy Officer](#) who represented IGAD at the 28th annual meeting of the Food crisis prevention network in the Sahel and West Africa (RPCA) held on 4-6 December 2012 in Ouagadougou, Burkina Faso. More follow up work was underway to promote this important policy framework for pastoralism in Africa;
- f) The policy review and assessment mainly on Disaster Risk Management has been undertaken in the region by the IGAD Livestock Policy Initiative. This provides a useful basis for onward policy discussion with IGAD and its member states. In addition, the Food & Nutrition Security Working Group (FSNWG), a coordination forum in the region that is now chaired by IGAD, forms a solid platform for regional partners to engage with IGAD and a chance for their concerns and recommendations to be taken up to the IGAD member states and to the African Union (AU) as appropriate.

⁹Through its divisions, specialized centers – ICPAC, ICPALD, ISTVS and programmes such as HIV, Peace and Security.

- g) In 2009-2011, the USAID funded regional policy and institutional support project (PACAPS) provided COMESA with technical and advisory support from Tufts University, Boston, USA to integrate pastoralism and regional livestock trade in its plans, programmes and strategies because this was a missing link in COMESA. The IGAD, EAC, FAO, CSOs and national governments in the COMESA region (which includes some of the countries in the IGAD region) actively participated in this important process. There is great potential to realize its benefits, with the added advantage of bringing COMESA and the EAC on board, with respect to engagement in pastoral resilience initiatives;
- h) The Horn of Africa Plan of Action is active and is another avenue for regional policy and institutional discussion and change. The World Food Programme, FAO and other agencies initiated this forum and has had very good buy-in from other stakeholders;
- i) IGAD's Disaster Risk Reduction Programme in the region, its Climate Prediction & Application Centre in Nairobi continue to be important and active avenues through which consultative processes can proceed and regional aspirations across member states galvanized for the common good of the vulnerable populations in the region;
- j) Conflict Management and Peace Building (CMPB) is another important common issue for regional member states that can be furthered through IGAD's CEWARN framework. For example, the Kenya government has an approved policy on Conflict Management and Peace Building that awaits discussion in Parliament through a Sessional Paper that will if approved become an Act of Parliament that creates the CMPB Council, with its associated Strategic Action Plan with the National Steering Committee acting as the Secretariat. Like the NDMA with its EDE mandate, the CMPB initiative will then be able to be allocated funds from the National Treasury and be sustained using government resources, with the political clout to engage with neighboring countries as appropriate. FAO's Country Office (RISPA) activities and those of the UNDP have been visible in this process.

While many of these policies and institutional issues may go beyond the remit of the RISPA project, it is significant to note that the Project's active participation and in some cases, facilitation of specific processes, contributed to the progress made under the different policies.

3.2 Summary of RISPA Impact under the 3 Results

Result 1: Community development plans have been prepared and shared with local governments and partners. Implementation of the plans was on-going at the time of the IA. Some plans have been consolidated into broader community plans and cross border plans for consideration at higher national governments and IGAD levels to inform the implementation of the Country and regional programming papers. Of importance are the processes used in coming up with these plans. Community participation and involvement has been very good and the selection of CMDRR, PFSS and VICOBA approaches for community mobilization is relevant and appropriate. Next step is to package, promote and market these approaches as viable extension methods for (agro) pastoralists in the HoA region. Change in knowledge, attitude and practice among communities and community institutions is evident on the ground;

Result 2: Coordination at national level has been supported through the project in Djibouti, Ethiopia, Kenya and Uganda. This has also been linked to the regional coordination through the Regional Livestock and pastoralism working group and the Food Security and Nutrition working group which are increasingly linked into the IGAD Drought Resilience Platform. However, a lot needs to be done in order to achieve impact in areas of national collaboration and coordination with linkages to the regional level. More joint cross-border programming could have provided more lessons for future projects. Strengthening and formalization of linkages between the various coordination mechanisms at national level to the regional level is important but not adequate time was available for the project to demonstrate evidence-based impact in this regard, except in few examples like with the National Drought Management Authority in Kenya and its Ending Drought Emergencies Programme based on IGAD's regional RPP. In addition, while involvement and possible representation of the CSOs in the IGAD Platform are important, not much movement had occurred in this direction.

Another successful activity under this result was the signing of the MoU on Cross Border Animal Health collaboration between Kenya and Uganda under the auspices of IGAD and its Policy Framework on Animal Health and Vulnerability. This is seen as a catalyst to the formalization of cross border collaboration in the IGAD region building on on-going discussions between countries. However, impact in terms of changed practice by the two countries is yet to be seen.

Result 3: The support to policy formulation and implementation has been effectively pursued through documentation and dissemination of various study findings and policy briefs; meetings to share various policies among partners; support to preparation of the MoU between Kenya and Uganda thereby promoting the IGAD Policy Framework on Animal Health and Vulnerability; support to the validation of the EAC livestock policy on Kenya and Uganda, etc. These have raised interest and profile of cross-border and regional programming among IGAD member states. This raised level of interest and profile in itself is a positive impact. But this must be sustained through constructive engagement with member states, providing empirical evidence on what programming frameworks and approaches are possible and can be adopted within government and national frameworks in the region. Suffice it to say that for now, there is a window of opportunity for regional policy and institutional reform that regional programs, including a possible RISPA II, can capitalize on to consolidate the gains made under the RISPA project as well as other similar and complementary programs in the region.

3.3 Integration of cross-cutting issues

The IA team reviewed and assessed the main cross cutting issues relevant to the RISPA project and these were as follows:

- a) *Cross-border natural resource-based conflicts:* The Project addressed this through conflict-sensitive programming where care was taken to ensure that investment in services or facilities along and across the borders did not cause conflict. In fact, the approach adopted by the project in cross-border programming sought to bring together communities across the borders to jointly share in planning, implementation and benefits of initiatives such as PFSs, animal health services and water development facilities, based on the Peace Dividend approach, where peace must be maintained by both or more communities depending on common resources for such a resource to be utilized effectively and efficiently. Also the project worked with local communities, particularly traditional institutions, to address any issues of violent conflict over natural resources (pasture and grazing). In Kenya, a conflict management and peace-building policy exists and is linked closely to IGAD's CEWARN mechanism, although this needs to be revitalized and operationalized more effectively;
- b) *Use of grazing and water resources across the international and national borders:* During drought periods, pastoralists will cross over to areas where water and pasture for livestock would be available regardless of international borders. This often has to be negotiated and agreed upon before movement is initiated. Again, working with traditional institutions and with relevant formal institutions such as peace committees ensured that the project contributed to the negotiations for natural resource use and management across borders. In 2011-2012, the severe drought necessitated the Turkana from north-west Kenya to move to parts of north eastern Uganda. The project, through ACTED and other stakeholders and partners, participated in these negotiations that allowed use of these resources and agreed upon instruments;
- c) *Gender equity:* This was inbuilt into the design of the project with a very clear number of beneficiaries (50%) targeted for both genders. Women have particularly been positively impacted through VICOBAs and are able to now earn their own incomes to improve household welfare and economies;
- d) *Ecosystem health:* Through CMDRR committees and PFSs, environmental management and conservation, particularly through proper grazing management approaches being re-introduced; clearing of invasive bush species such as *Prosopis juliflora*, establishment of enclosures where appropriate and the enforcement of deferred grazing through wet and dry season grazing patterns was observed and communities and households begun to respect the by-laws and regulations governing environmental management and utilization;
- e) *Participation of youth and minority groups in project activities:* These are often neglected or ignored groups but were clearly targeted to benefit from the RISPA project through involvement in PFS and CMDRR/VICOBA activities as well as gaining training in areas such as conflict management and peace-building skills development.

Overall, the result of integrating cross-cutting issues into project activities has been improved involvement, participation and quality of ecosystem products and services in the project area as exemplified through improved range condition and trend resulting from bush control and proper management of grazing regimes by pastoralists and agro-pastoralists themselves.

3.4 Sustainability of the Project's impacts in the long-term

We define sustainability here as the continuation of a project's goals, principles, and efforts to achieve desired outcomes. Sustainability is not guaranteeing continuity of the project by finding the resources to continue it "as is" beyond the funding period. It means making sure that the goals of the project continue to be met through activities that are consistent with the current conditions and development needs of the region, including the needs of both pastoralists, agro-pastoralists, Implementing Partners and Development Partners.

From the IA, it is possible that with a little more time at the community level, most activities including CMDRR, PFSs and VICOBAs will be sustained by community resources and initiatives. This is because the communities, community groups and institutions were involved and participated effectively in the activities. They have seen the benefits of the activities and will likely invest resources into going on with the activities. Activities under community, national and regional coordination and collaboration (Result 2) are the least likely to be sustainable because knowledge, attitude and practice change ought to happen, if new thinking and practice is to be sustained. It is possible that CSOs and government ministries and institutions will quickly forget the project outcomes and continue with "*business-as-usual*" because the attitude during implementation was that of "*participation by virtue of being in the respective and relevant office*" as opposed to participation because it was important to them and that they wanted to participate in transformative change among pastoralists and agro-pastoralists.

Sustainability of outcomes under Result 3 probably holds the highest promise if the outcomes are institutionalized. This is because the regional structures under IGAD, EAC, AU and COMESA are already in place and are unlikely to disappear any time soon. In addition, these regional institutions exist to provide added value to national activities and programmes and they are under obligation to justify their existence and are accountable to member states and development partners for results. Therefore there is some kind of "self-interest" on the part of these institutions to ensure that benefits and outcomes are sustainable. But much more important is the fact that the activities and outcomes of Result 3 aim to address the core of what ails pastoral and agro-pastoral systems in the HoA region- poor policies and negative perception of their production systems, with little or no political commitment to support livelihoods under these systems. Historical marginalization underpins investment in these areas and there is growing demand for pastoral lands to be used for other "more productive" purposes. If the pro-pastoral and agro-pastoral policies are properly formulated and institutions strengthened to entrench such policies within planning and programming frameworks, change will be inevitable because this will influence investment decisions and change general negative attitude towards pastoralists and agro-pastoralists.

Finally, it is important to point out that sustainability of the project outcomes will require the following to happen:

- Development of broad-based relationships/partnerships that foster collaboration both nationally and across the region;
- Involvement of all stakeholders – pastoralists, agro-pastoralists, community and traditional institutions, CSOs, government departments, regional bodies, politicians, community leaders and a core of supporters ("champions") of the principles and ideas of the project;
- Development of an outreach plan through lessons documentation, sharing and dissemination to a wider constituency to increase the potential for buy-in. This should be linked to evaluation of the project's success and to promotion and marketing of project outcomes and benefits;
- Communicate, .Share resources. Share expertise. Share successes.
- Include short and long-term sustainability goals.
- Set priorities for sustainability. What are the most important outcomes that you want to maintain?

The conclusion of the IA team with respect to sustainability is that 3 years for a project of this magnitude and complexity was too short and that for outcomes to be sustainable, a consolidation phase focusing on improved and strengthened regional policies and institutions to steer the process should be considered.

4. KEY QUESTIONS ADDRESSED AND LESSONS LEARNED

This section of the report deals with the specific questions that the terms of reference wanted answered. It also provides an overview of the lessons learned.

Below is a table that deals with the questions outlined in the terms of reference

4.1 Impact questions answered through the Impact Assessment exercise

	Question	Answer	Evidence/Examples
1.	How has the project helped to incorporate community needs into the national and regional planning and investment processes?	Through the development of community action plans through CMDRR, PFSs and VICOBA processes, the plans are consolidated and incorporated into national and regional planning	The RPP and CPPs have ended up in strategies such as Ending Drought Emergencies in member states. These are part of long-term visions of countries e.g. EDE MTP II in Kenya's Vision 2030 MTP II
2.	How have community institutions including traditional ones are involved in community planning and action and how this is affecting investment decision making processes community ownership of projects, sustainability and resilience?.	There is evidence that community participation and involvement has been strong and that communities and community institutions have developed community action plans. Out of the 50 community action plans envisaged by the project, 45 had been developed by end of 2013.	Community interviews during the Impact Assessment clearly showed their involvement and participation
3.	The effect /impact of the increased buy-in, agreement and utilization of common approaches such as Community Managed Disaster Risk Reduction (CMDRR) and <u>Pastoral Field School</u> to facilitate planning and implementation and learning at community level.	The testing of these approaches has demonstrated that they have a vital role in community and resource mobilization among pastoralists and agro-pastoralists. The need for standards and guidelines is strong and pastoralists and agro-pastoralists themselves really appreciate the approaches because they are inclusive, appropriate and relevant to their livelihood systems	National governments in Kenya and Ethiopia in particular are very keen to adopt these approaches as part of government extension service and outreach to pastoralists and agro-pastoralists who have not been reached through the conventions extension services not tailored to pastoral areas.
4.	Evidence of increased alignment and linkages between Development and Humanitarian Partners and their initiatives?	Very little evidence yet. Many development and humanitarian initiatives are still seen as separate by many stakeholders.	A reformulation of objectives to meet this outcome will be required in future programming
5.	Establish if there is enhanced impact of programmes and investments due to inclusion of communities in the coordination for planning, accountability processes.	It is too early to judge although evidence from successful CMDRR communities indicate increased capacity of communities to leverage funding from different sources and to undertake their own planning and implementation arrangements.	Devolution, decentralization and de-concentration of resources and planning from the center is taking root in many countries in the region but it is too early to know about improved programme impact due to inclusion of communities in planning.
6.	Is there reduced wastage of resources as a result of duplication?	It is not clear yet whether collaboration and coordination at national and regional levels is apparent. So there is no evidence of reduced wastage in resources resulting from duplication	A result such as this one can only be targeted as an objective in itself. It will not just happen because collaboration happened.
7.	Are the countries making good investment in development due to twin track approach promoted by the project Horn of Africa Plan of Action and IDDRSI?	No evidence available yet. Too early to judge	Same as above

	Question	Answer	Evidence/Examples
8.	Establish whether there is increased understanding of dryland populations and livelihoods by the various actors, enabling governments and partners to effectively meet their needs and provide appropriate services.	Considerable progress in documenting pastoral and agro-pastoral livelihoods and inclusion of their needs and livelihood systems in national planning documents and strategies. There is general concern in country populations about the chronic vulnerability of pastoralists. However, in Uganda and Ethiopia pro-pastoralist policies are difficult to promote; no political goodwill	Governments have come up with specific plans, ministries, directorates etc. to address pastoral and agro-pastoral issues in the ASALs. Kenya's devolution program and equalization fund seeks to address historical inequalities in investment in ASALs
9.	Evidence of increased investments and prioritization of the drylands especially on basic services, infrastructure and security; as more and more information and evidences are availed to policy makers, community and government institutions.	Clear evidence in increased budgetary allocation for infrastructure development; communication systems and human capacity development in some countries. The CPPs (EDE documents and strategies) promote climate-proofed infrastructure in Uganda, Sudan, Kenya and Ethiopia	There is steady and increased investment in the ASALs in most countries in the region. In Kenya, it is a constitutional right for ASAL populations to access water and sanitation, health, education and other basic services.
10.	Establish if there is better coordination and networking by actors as a result of the IDDRSI strategy.	There is better evidence. CPPs are aligned to RPP and IDDRSI strategy. Recent IGAD meeting in Kampala Uganda spent most of the time discussing Regional Platforms and strategies e.g. IDDRSI and how to coordinate better.	IGAD now establishing national IDDRSI platforms and representation to improve engagement and visibility.
11.	Progress made by national governments on regional and continental policy frameworks policy such as the AU Pastoral Policy Framework, IGAD Regional Policy Framework on Animal Health Trade and Vulnerability among?	There is evidence but progress is slow on the AU pastoral policy framework side. IGAD has steadily made progress but capacity limitations (staffing, low financial subscriptions from member states, etc.) and the danger of being overwhelmed with many partners and initiatives is real on IGAD's part.	Need to build IGAD's capacity and that of other regional institutions such as the EAC; AU and COMESA to also play a more active role. It should not only be left to IGAD. Kenya has under MTP II committed resources for domestication of the AU Pastoral Policy
12.	Establish evidence of institutional strengthening and linkages resulting from the project's work with the various cadres of institutions, from community level, national and regional levels.	Substantial evidence at the community level through CMDRR; PFSs and VICOBA training and capacity development among others. Formal and traditional community institutions are coming up but national and regional level capacity building work of the Project was limited.	Capacity building and institutional strengthening takes a long time and it is ambitious for a project such as RISPA to have hoped to achieve much in 3 years.

4.2 Lessons learned from implementation

The following lessons have been learned from implementation of the RISPA Project:

1. Effective operational coordination of a project such as RISPA and a lead agency for such coordination in a regional setting, with several member states participating with a wide and diverse number of stakeholders is critical for project effectiveness and efficiency. IGAD's entry into partnership with FAO through RISPA in 2012 turned the regional coordination component of the project around. Within a very short time IGAD provided the much needed impetus for regional activities to move forward. But the lead agency in such coordination must command the respect and credibility of member states, development and implementing partners and have legitimate authority. That is why IGAD became a very strategic partner of FAO in coordinating RISPA

activities. In future, such strategic partnerships should be worked out early in the design and planning of the programme so that implementation is not delayed;

2. Project “champions” may be required more often than not in projects such as this one that span across implementation, public relations, lobbying and advocacy, policy influencing, working with many institutions and agencies. Such projects require staffs with political, social and technical skills to navigate through the challenging tasks of having all stakeholders on board while keeping their eyes on achieving the goals and objectives of the Project. In both IGAD and FAO, this was apparent and the lesson is that careful selection of personnel is very important;
3. Knowledge of how government ministries, departments and agencies work is an important area of concern. It is different from working in Civil Society Organizations or even the private sector. Issues of public interest, which may mean little to a UN agency staff or someone from the private sector can mean a whole lot for a civil servant in a government ministry or department. When deploying staffs, especially focal points to work with national government institutions, care is required in ensuring that selection and placement is appropriate. As much as possible, such staffs should have worked in government and in positions that have enabled them to acquire the necessary skills to work with senior civil servants;
4. Effective donor support and participation in project implementation, e.g. through being a member of the Project Steering Committee and providing technical and advisory support for accountability, motivation, project steering and lesson learning is vital. It is more than simply providing the funds. Participation and involvement in planning, M+E, decision-making, etc. portrays a sense of commitment and interest and can go a long way in providing a good enabling environment for project management to excel in its performance. The Project Steering Committee (PSC) for RISPA is a good example of how a PSC can have a good oversight role and responsibility. The PSC was effective in its project steering role and provided good input in documentation and dissemination of lessons learned, particularly in situations where its members were the ones best placed to do so. Future projects should clearly articulate and facilitate Steering Committees to function effectively;
5. To be a lead agency in the implementation of a project such as RISPA, covering six countries with multiple types of implementing partners spread across all countries, specific characteristics are required. The agency must have a presence or representation in each country and maintain a good network of potential implementing partners with capability in dealing with issues pertaining to the goals and objectives of the project. The FAO Regional Office was the “ideal” agency for this role because of its ability to work through FAO country and sub-country offices, network with partners, provide requisite technical inputs and respected by stakeholders in its relevant area of expertise and competence. The management of such a complex project cannot be taken for granted and the choice of the lead agency can determine success or failure of the project;
6. Policy and institutional change processes take time because change is multi-faceted and change management is a very “delicate” process. It is important that when projects such as RISPA are negotiated with development partners, the complexities and intricacies involved need to be factored into the planning and design, and budgeting because it can be time consuming and costly. The benefits of such projects or programmes are often not merely immediate impacts, but in fact, are seen much more visibly in the long term. The RISPA project should have been at least 5 years to be able to realize its expected impacts to the full;
7. Building an evidence base through a robust M+E system that collects and analyses data and information on implementation and other aspects of the project, as well as documenting and sharing lessons learned in order

to influence policy change and enhance good or best practice in specific thematic or technical areas, is key for a project that aims to address long-term structural challenges that have been entrenched in systems and minds of people over many years. In addition, involving key senior policy makers and administrators in M+E field visits for them to see for themselves has a very powerful impact on their perceptions and can be instrumental in bringing about the desired change;

8. Cross-border programming and implementation across international borders is probably one of the most challenging and difficult undertakings in development and humanitarian work in the HoA region. Many agencies have attempted cross-border programming and implementation with only minimal results. The RISPA project provides very important lessons that enabled it succeed in many respects, where others did not. The following aspects underpin the design of RISPA's cross-border work:

- The targeted project sites were adjacent to each other and close to the international border. For example, Lokirama and Nakiloro are just 20km apart and proximity to international border is about 10km. Oropoi is 15km from Kamion in Uganda. The close neighborhood of target communities both in Turkana and Karamoja facilitated ease of access to communities and so linkages and implementation of interventions for both communities was not so difficult;
- Using the CMDRR process to expose internal and cross border challenges was a prerequisite for objective planning in order to address pressing problems. Organizing cross border joint meetings gave communities opportunity to acknowledge their challenges and create relationships and avenues for the effective implementation of activities. The Project supported communities to analyze their problems jointly and to come up with common agreeable solutions and action plans for joint implementation;
- A part from stakeholders consultative and review meetings conducted at county/district headquarters, about 90% of project activities were conducted onsite. This approach depended on the safety and appropriateness of the project sites. Through community leadership in project implementation, empowerment and ability to focus on project objectives was promoted at every site. From the review meetings, the resolutions passed by stakeholders were disseminated to influence project operations at specific sites.
- The RISPA project involved other development partners in its activities, particularly by publishing and making public problem and objectives analysis in community action and contingency plans. These were widely shared with other stakeholders and resulted in communities receiving support for their plans from a wide constituency of supporters, both within the project sites and across the borders. Such support had not initially been envisaged, enabling the Karamojong and the Turkana to work together harmoniously;
- One of the key strategies of the RISPA project employed in galvanizing community participation and involvement was the emphasis on community resource mobilization as a way of reducing community dependency on external assistance. This increased ownership of community action plans and contingency plans, making communities to take leadership of their own development and humanitarian affairs. This is usually crucial in the CMDRR process and greatly enhances community ownership and participation;
- The project reinvigorated the role of traditional and customary institutions with elders and respected women and youth undergoing training through the CMDRR; PFSS and VICOBA training processes, among others. These traditional institutions were becoming redundant because of political, social and environmental challenges. The process of reviving these structures through protracted negotiations and discussion, as well as capacity building enabled the institutions to play a key leadership and oversight role in the development and humanitarian interventions of the community. Previously, youth would plan livestock raids and execute them without the elders knowing but now, these raids have subsided because of the oversight role of the elders in the community.

It is clear from the above that successful cross-border programming and implementation depends significantly on the design and planning of the cross-border activities. The RISPA project seems to have gotten some aspects right and it is appropriate that these aspects were documented and shared with other interested stakeholders;

9. As noted by VSF Suisse in Mandera and Liben zone of the Somali region of Ethiopia, implementation of activities stemming from the use of CMDRR; PFSs and VICOBA community mobilization and capacity development approaches led to improved knowledge on disaster preparedness; enhanced group involvement in development activities and fostered a culture of saving among community members and groups. This was exemplified by the zealous participation of community members in these activities, with members continuing participation even after the project had ended. The lesson here is that pastoral and agro-pastoral communities have capacities to learn and adopt new ideas and technologies and that probably past extension services did not reach them effectively. Government and other extension services could incorporate these activities and approaches in their extension services for more effective outreach to the pastoralists and agro-pastoralists;
10. One important lesson learned during implementation of the RISPA project is the need to formalize agreements and sign them in the presence of many witnesses. This strengthens transparency and accountability on the part of the institutions that signed such agreements and assures other stakeholders of continuity of project activities. One good example is the MoU that was signed, with ACTED and FAO support, between the Director of Veterinary Services of Kenya and the Director of Animal Resources of Uganda. This MoU has become instrumental in initiating a cross-border animal health agreement between the Ugandan and Kenyan governments. It will provide an opportunity for a common and harmonized approach to animal disease control across the borders of Kenya and Uganda and may lead to replication across other international borders and bring about change in the status quo of animal health service provision, cross-border trade, movement of goods and services and many other important cross-border initiatives. The lesson is that such collaboration and partnership must always be put in writing and signed in the presence of many stakeholders because it improves chances for successful implementation of the protocol.

5. RECOMMENDATIONS

This section of the report presents the recommendations or suggestions the IA team has made for future consideration.

Clearly, there is only one recommendation that can be made after this impact assessment. The recommendation is that there be a follow up phase to the RISPA project for 4-5 years. Such a project would have the following components:

1. A partnership agreement between FAO regional office and IGAD; the African Union and the East African Community, with each of the regional bodies having an Agreement with FAO to implement specific components of a regional pastoral and agro-pastoral support programme in the same countries in which the RISPA project operated, but best on the comparative advantage of each regional body. The main reasoning here is for FAO to spread the risk across several regional institutions. If the EAC already has an infrastructure programme or a trans-boundary animal disease control project, it would be good for FAO to sign an agreement with the EAC, if the FAO is interested in the programs. It would also be good for FAO to sign an agreement with the African Union for the implementation of the Pastoralism Policy for Africa for example. For now, IGAD has very goodwill and respect from stakeholders but it also has capacity limitations and in case the current Executive Secretary is not there, then the story can change drastically and rapidly;
2. The three core community activities i.e. the CMDRR; PFSs and the VICOBAs should be fine-tuned, packaged, promoted and marketed for up-scaling through for example government extension services or other larger business entities such as the K-REP bank in Kenya, which still work very much with community groups in meeting their financial development needs. The approaches provide a unique avenue to reach pastoralists in a more respectful and dignified manner and allow effective participation, involvement and contribution from pastoralists and agro-pastoralists and their traditional and formal institutions. Issues of standards and guidelines, more along the SPHERE or LEGS guidelines, should be explored and a critical mass or number of trainers of accredited trainers or facilitators engaged to expand and replicate success stories;
3. Other community-based approaches should be explored, particularly the integration of conflict management and peace-building into natural resource based management across borders and across the region. In many border areas, such as Turkana County, violent conflict probably has the highest economic, social, environmental cost on pastoralists and agro-pastoralists when compared to drought disasters for example. In 2010, the then Ministry of Northern Kenya through the Minister, Hon. Mohammed Elmi formulated a very innovative approach to addressing conflict in Kenya and across its international borders. This was approved and dubbed the “*Naivasha Declaration*” but its components have not really been implemented in their entirety. It would be interesting to integrate this innovative idea into cross-border community level activities as it fits well with PFSs and CMDRR mechanisms;
4. Often, it is assumed that regional bodies such as IGAD, COMESA, EAC and the African Union have adequate capacity to engage in development along with other stakeholders in the region. But capacity assessments of these institutions reveal clear capacity gaps that need to be addressed for them to play their roles effectively. The programme should therefore have a strong component of capacity enhancement for participating regional bodies;
5. Lessons learned from the RISPA project and from others implemented in the region should be consolidated to inform the design of the new project. A key component of the new project should be the mobilization of targeted national strategic offices and institutions that have a big influence on regional programme implementation. A good example is the National Drought Management Authority in Kenya. Such institutions may bring in capacity to test out initiatives at the national level but with potential for cross-border implementation. For example, drought early warning systems, if effectively implemented on one side of the border, could also be implemented on the other side. National to national linkages between similar government institutions in different countries could also be encouraged and strengthened.

ANNEX 1: Impact Assessment Matrix for the RISPA Project (Nov. 2010 to Feb.2014)

Result	Expected Impact	Actual Impact based on evidence	Success Score	Reasons for Score
Result1: Target Communities are better prepared for disaster through community planning and action	Community needs/priorities in the national and regional planning and investment processes are considered due to RISPA Project	<ul style="list-style-type: none"> Evidence of communities with ability to prepare consolidated development /contingency action plans. 	3	Agencies working in the communities are spending more time with communities and using participatory methods to develop contingency and development plans ¹⁰ although not sustainably
		<ul style="list-style-type: none"> Effective and sustainable communication avenues created to provide information exchange with and among communities on opportunities emanating from aspects such as devolution & decentralization to support Community Action Plans (CAPs); 	2	<ul style="list-style-type: none"> During interviews with local district government chairman in Moroto - Uganda, there was acknowledgement that there is communication from the community up. The same is happening in Ethiopia through the ATF processes. But the processes are not institutionalized and so are not sustainable.
		<ul style="list-style-type: none"> Evidence to show that lessons from processes are being shared at local, national and regional levels to inform policy dialogues and decisions (policy & investment) therefore fortifying the communities' preparedness and resilience efforts; 	3	REGLAP has documented some of the lessons under Good Practice documents for sharing at national and regional levels. But local level learning is still weak
		<ul style="list-style-type: none"> XXX number of CAPs have been negotiated with relevant governments and partners for funding; 	3	CORDAID model communities in Kenya and Ethiopia have attracted funding ¹¹ ; VSF-B was also investing in some plans in Karamoja region in Uganda – especially livestock marketing infrastructure. However, the concept of cross-border was still reportedly weak.
		<ul style="list-style-type: none"> XXX number of CAPs were being implemented by end of Action 	3	Numbers could not be conclusively established but the CMDRR evaluation report discusses a number of successes in the model communities and concludes that “In all the communities visited, the CMDRR process has reinforced and restored certain systems, which are critical in dealing with the risk of drought”.
	Community formal/traditional Action Planning Institutions are given due consideration in programming and investment decision making	<ul style="list-style-type: none"> Evidence that traditional institutions and communities have been supported by the RISPA project to develop cross-border disaster contingency action plans; Evidence that community and traditional institutions are now being included and consulted by formal institutions with respect to programming and implementing activities; 	4	The project has enabled a “rediscovery” process wherein some institutions have been reinforced and are gaining recognition by the government while forming the basis for local negotiations with the community. For example, partners in Borena and Marsabit County

¹⁰ See CMDRR End of Project Evaluation Report pg. 22

¹¹ Ibid, pg. 23

Result	Expected Impact	Actual Impact based on evidence	Success Score	Reasons for Score
	processes; linked to mainstream programming/ investment institutions, thereby improving community ownership, sustainability and resilience.	<ul style="list-style-type: none"> • Evidence that community level traditional and formal institutions are linked to formal decision-making structures of participatory development planning and investment processes as a result of RISPA work; • Evidence of communities' capacity for self-organization and mobilization of local resources to invest in livelihoods and resilience building initiatives as a result of the RISPA project 		<p>worked with their chiefs to revive and strengthen the traditional natural resource management system.</p> <p>Rehabilitated rangelands were regulated utilizing traditional systems, and water points were regulated using the 'Aba Herega' system.</p> <p>Group savings and loans in parts of Kenya were patterned after existing "Merry Go Round" or the Hayuta system¹²</p>
	Increased buy-in, agreement and utilization of common approaches such as CMDRR and PFSs in planning; implementation and learning at community level in the respective countries due to outcomes of the RISPA Project	<ul style="list-style-type: none"> • Evidence of training of a critical mass of communities in CMDRR and PFSs supported by RISPA; • Communities and traditional institutions increasingly demanding training in CMDRR and PFS as a result of RISPA work; • National government and other agencies recognize usefulness of CMDRR and PFS in programming and are adopting the methods for planning and implementing CAPs; • Community groups, individuals and institutions as well as relevant government/CSO stakeholders are involved in cross-learning through organized learning events around CMDRR and PFSs in the different countries as a result of RISPA work 	2	<p>This happened at some level, there were cross-border learning visits (Kenya –Ethiopia) but the Evaluation report notes that the processes are not properly institutionalized.</p> <p>This might be an area to invest in going forward</p>
Result 2 Strengthened coordination of development & humanitarian initiatives in (agro) pastoral areas from the community level through national levels to regional institutions	Increased alignment and linkages between Development & Humanitarian Partners and their initiatives. Improved investments to reduce vulnerability of populations because of better working links of governments, IGAD & other partners based on CPPs and RPP/IDDRSI.	<ul style="list-style-type: none"> • Programming increasingly considers humanitarian and development initiatives as one continuum based on a one-program approach, where activities expand (during shock/stress periods such as drought) and contract when the shock or stress is over; • DRR initiatives increasingly being mainstreamed into programming and strategy documents of national and county/districts as a result of support from RISPA; • A more harmonized approach to DRR and resilience building is emerging across the Horn of Africa Region as a result of IGAD and Partners' work as a result of a harmonized approach through preparation of CPPs; EDEs and other programming documents aimed at community resilience building; • At least one representative body (representing NGOs, CSOs and traditional institutions) per country is engaging in coordination and consultative processes on (agro) pastoral issues with governments and donors at national level and are linked to the regional level; • At least three partnerships developed or strengthened to support information flow and coordination; • Three recommendations on coordination shared at national and regional level. 	3	<p>The national governments in all 4 countries are definitely redefining their engagements in DRR in the regions. ATF work in Ethiopia looks at both humanitarian efforts and development efforts by planning activities around commodity prices (development) and weather indicators (humanitarian). In Kenya the EDE planning process has started and is done under 4 or 5 clusters under the leadership of NDMA. In Djibouti, the Ministry of Agriculture is leading a sector group under a cluster that brings together NGOs and government agencies working in livestock and agriculture. In Uganda, there are many efforts that appear uncoordinated but focusing Karamoja Region. There is no comprehensive water plan for the region and yet water is critical for development – especially in Karamoja where the rainfall is low. "... The Ministry for Karamoja Affairs (MKA), the Ministry for Water and Environment (MWE), and the Ministry for</p>

¹² ibid

Result	Expected Impact	Actual Impact based on evidence	Success Score	Reasons for Score
				Agriculture, Animal Industries and Fisheries (MAAIF), are all promoting, albeit at differing levels of intensity, the need for large water investment projects that can support irrigated crop agriculture.
	Enhanced impact of programmes & investments due to inclusion of communities in coordination, planning and accountability processes, enabling communities to become real partners in enhancing diversification and resilience building of their livelihoods.	<ul style="list-style-type: none"> • Coordination mechanisms are emerging among communities and other actors from the community level to the regional level for the purpose of enhancing coordination of resilience building efforts, with support from the RISPA project; • National governments and counties/districts and development partners are more sensitive to DRR and are allocating more resources to addressing vulnerability of communities within and across national borders; • Linkage of community level formal/traditional structures to formal government structures at county/district, national and regional levels is resulting in improved participatory planning and implementation and community voice as a result of RISPA work; • Formal institutions of government, CSOs and other stakeholders are more responsive to community needs, requests and views and include community institutions and representatives in project cycle management, including accountability of their actions. 	2	Kenya and Ethiopia have a great chance of success if they build into devolved and decentralized systems. However, there must be deliberate coordinated effort to engage with ENTIRE communities. The structures to do this do not exist at the moment as CMDRR processes are generally project based involving not entire communities by only a few members. Uganda will require better coordination to ensure maximum impact. There are too many government-led efforts by different agencies in the Karamoja region. Here is another area worth investing in
	Reduced wastage of resources and improved aid effectiveness; coordinated and harmonized approaches in programming as well as alignment of stakeholder initiatives to national objectives and strategies via regional programming frameworks such as the Horn of Africa Plan of Action and IDDRSI, which provide opportunities to work with vulnerable communities in managing their own development and emerging risks/disasters	<ul style="list-style-type: none"> • Increasing number of joint programming frameworks aimed at more effective and efficient initiatives to improve livelihood and build resilience of vulnerable communities in relevant countries; • Evidence of inclusive participation of relevant stakeholders in preparation of county/national/regional programmes e.g. CPPs; HoA Plan of Action and EDE documents for addressing hazards and for building community resilience as a result of RISPA work; 	3	Good number of frameworks are beginning to emerge – IDDRSI, MoU on animal health, etc but coordination will be important
Result 3 Regional policies and institutions in support of (agro) pastoralist livelihoods	Increased understanding of dryland populations, enabling governments and partners to effectively meet their needs and provide appropriate services. This is	<ul style="list-style-type: none"> • Improving articulation of dryland population and development issues in county/district, national and regional frameworks, policies, strategies and plans with contribution of RISPA work; • Evidence that programming at all levels supports the diverse forms of livelihoods in the drylands in the region and to seeks to enhance these livelihoods, cautiously support their diversification and where possible 	2	A number of actors are recognizing the realities of pastoralist drop-outs and the attendant poverty and investing in alternative and value addition projects but all these are at project level in Kenya (CORDAID) and Uganda (IIRR)

Result	Expected Impact	Actual Impact based on evidence	Success Score	Reasons for Score
developed AND promoted	due to numerous deliberations on pastoralists, Agro-pastoralists, people who have dropped out of the pastoral system.	encourage alternative livelihood strategies;		
	Increased investments and prioritization of the drylands especially on basic services, infrastructure and security; as more and more information and evidences are availed to policy makers, community and government institutions.	<ul style="list-style-type: none"> Investments in drylands in the region are relevant, appropriate and effective and use efficient strategies to deliver services and to meet needs of dryland populations. Contribution of pastoralism and other livelihood strategies in the drylands to county/district, national and regional economies is acknowledged and factored into development programming and investments. 	3	The countries are fully aware of the needs of pastoral communities, and efforts being made to include these in national plans. Institutions already exist in all countries.
	IDDRSI strategy through the CPP and RPP have provided a common framework for planning and programming in the region; this enhances opportunities for increased coordination and networking along common themes and exchanges across themes as resilience spans across sectors.	<ul style="list-style-type: none"> Effectiveness of the IDDRSI and CPPs in providing a common planning and programming framework in the region; 	2	The IDDRSI framework is still new but has potential to be a very effective avenue for engaging in drought disaster resilience across the member states and via the cross-border programming approach. It is only now that the IDDRSI strategic framework is being rolled out to the respective countries through the establishment of IDDRSI national platforms.
	Policy harmonization and reflection on performance and progress by national governments on the basis of regional and continental policy frameworks such as the AU Pastoral Policy Framework, IGAD Regional Policy Framework on Animal Health Trade and Vulnerability, among others.	<ul style="list-style-type: none"> Evidence on performance and progress by national governments on the basis of regional and continental frameworks such as the AU Pastoral Policy Framework, IGAD's Regional Policy Framework on Animal Health, Trade and Vulnerability, among others. 	2	This is still lagging behind and many countries such as Uganda, Ethiopia and even Kenya now have not shown strong political commitment to support pastoral and agro-pastoral livelihoods, which has made policy harmonization e.g. on cross-boundary animal diseases; cross-border regional livestock trade; conflict management and peace-building; utilization of cross-border natural resources (pasture and water); etc. to be a very slow process.
	Institutional strengthening and linkages; the project has worked with various cadre of institutions, from community level, national and regional levels.	<ul style="list-style-type: none"> Evidence of the project having worked with various cader of institutions, from community level, national and regional levels. 	3	Traditional institutions, particularly in Ethiopia and Kenya worked very well with the RISPA project. Out of 50 targeted community action plans, 45 had been achieved at the end of 2013, clearly showing evidence of involvement and participation.

Box 1: Community Managed Disaster Risk Reduction (CMDRR) Process

CMDRR is a process of bringing people together within the same community to enable them to collectively address common disaster risks, and pursue common disaster risk reduction measures. It is a process that mobilizes a group of people in a systematic way towards achieving a safe and resilient community¹³. The CMDRR approach is a bottom-up community development strategy to increase resilience of participating communities and reduce their vulnerability.

CMDRR can be broken down into a number of distinct processes:

Participatory Disaster Risk Assessment and Analysis (PDRA&A). PDRA&A is the process of gathering all relevant data about the community and its individual members and use it to determine the nature and extent of risk by analyzing the characteristics of hazards, the degree of vulnerability and the capacity of the community/individuals to cope. The PDRA&A is done in the specific village and/or community, since each hazard affects different areas/communities differently. Participatory rural appraisal tools are used for effective community participation, for example: the hazard source-force tree, proportionate and pair-wise ranking, Venn-diagrams, social and resource mapping, storytelling, historical trends and vision mapping. The PDRA&A has the following four steps:

Step 1: Hazard Assessment:

Often people refer to a hazard as a disaster, but by using the following definition it is easier to differentiate the two: A hazard only becomes a disaster when it affects a community unable to cope with its effects. If the community is able to cope a hazard event will come and pass—without becoming a disaster. The objective of a Hazard Assessment is to clearly define the nature and behaviour of the hazard. A Hazard Assessment covers the following:

- Identification of all the hazards that the community is exposed to.
- Ranking the hazards in order of importance - based on frequency, scale of potential damage (geographically and in relation to the population affected), duration over which the impact is felt, etc.
- Analysis of each specific hazard to establish its distinct characteristics.
- Based on the characteristics of the hazard, information can be built up on risk management/reduction, as shown in the table below:

Step 2: Vulnerability Assessment

In a Vulnerability Assessment the location of people and assets at the time the hazard is likely to strike is assessed as the key determinant of their vulnerability—or degree of exposure. The assessment helps understand how different individuals/assets are exposed to varying degrees, and the underlying reasons for their location in unsafe areas.

It covers:

- ✚ Identifying the elements at risk divided into human elements (by gender, sex, socio-economic situation, etc) and non-human elements (productive assets and critical facilities).
- ✚ Deciding their level of vulnerability—considering the proximity of the elements at risk vis-à-vis the hazard.
- ✚ Analyzing why the element at risk is in that location.

The summary of the assessment will show vulnerability levels (high, medium and low) of various elements at risk in that specific community/location.

¹³ TECHNICAL BRIEF: Community Managed Disaster Risk Reduction (CMDRR) – CORDAID's Strategy for building resilient communities in dryland areas of East and the Horn of Africa Cordaid/REGLAP, June 2011

Step 3: Capacity Assessment

The community Capacity Assessment identifies the strengths and resources present or missing among individuals, households and the community to manage resources in times of adversity. Capacity is defined as the strengths and resources that are available to reduce risk levels and/or hazard impacts. They may include physical, social, institutional or economic means, as well as skilled personnel or collective attributes—such as leadership and management. Capacity also refers to strengths and resources that exist for coping with, withstanding, preparing for, preventing, mitigating, or quickly recovering from a disaster.

In the context of disaster risk reduction, capacities are analysed in terms of how strengths, attributes and resources can increase or decrease the disaster risk. Because the behavior of a hazard and the degree of vulnerability determine what capacity is needed to reduce disaster risk, capacities are analysed in relation to the hazard and vulnerability. In relation to hazards it is necessary to look at mitigation and prevention capacities, and in relation to vulnerability, it is the individual survivability and community readiness before and during a hazard event.

Step 4: Disaster Risk Analysis

Disaster Risk Analysis is a systematic process of consolidating the findings of hazard, vulnerability and capacity assessment to determine the risk levels for various elements at risk. It contributes to the community's awareness about potential disaster risks it was unaware of before, and enables the community to define their community action to reduce disaster risk. It is an essential precursor to decision-making in disaster risk reduction, as well as the formulation of development policies, strategies, plans, programmes and projects.

2. Developing Disaster Risk Reduction Measures

The disaster risk assessment and analysis only generates general recommendations on measures for hazard prevention, mitigation and vulnerability reduction. A second stage is necessary to select the best DRR strategy to deliver the DRR measures in the most efficient and effective way. The various strategic options need to be identified and subjected to criteria, including the communities' own capacity to implement it, the feasibility of the activities and the possibilities of partnership in implementation. The DRR measures are presented as development plans and contingency plans.

The Community Development Plan becomes the activities/interventions that are identified for implementation before the hazard event and focuses on addressing the root causes of the hazard and/or vulnerability. The objective of the development plan is to strengthen and increase the resiliency of the community to the hazard. This could include livelihood, health and education activities, or setting up systems and structures to get ready for hazard events.

The Contingency Plan entails an "analysis of specific potential events or emerging hazard situations that might threaten the community or the environment and establishes arrangements in advance to enable timely, effective and appropriate responses to such events and hazard situations" (IIRR, CORDAID, 2007). The Contingency Plan provides communities with a guide to what their operational needs are, and the actions needed to manage the hazard events to ensure that they do not turn into disasters.

Box 2: Pastoral Field Schools (PFSs)

A Pastoralist Field School (PFS) is essentially a “school without walls”, where groups of pastoralists learn through observation and experimentation within their own context. Using experiential and participatory learning techniques, participants are empowered, rather than advised what to do. The objective of a PFS is to improve the decision-making capacity of its participants and their wider communities, and to stimulate local innovation. It allows pastoralists to improve their management skills and to stimulate local innovation. It allows pastoralists to improve their management skills and to become knowledge experts on their own resource use practices.

A PFS will usually comprise of about 30 pastoralists (including elders, men, women and youths) who will meet regularly over a defined period of time (often between 1 and 2 years) and who make observations and experiments with their own livestock on the rangeland ecosystem. A trained PFS facilitator usually from or living in the community, will guide the learning process. The PFS approach is an adaptation of the Farmer Field Schools (FFS) that was developed by FAO in South East Asia in 1989. The FFS were a means of empowering farmers to develop their own solutions to problems that research and extension could not provide answers for. In 1995, the approach was applied in Eastern Africa, originally in agricultural areas. In 2006, ILRI, together with VSF B, embarked on a process of adapting the FFS approach to the pastoralist context in northern Kenya. Since then, numerous NGOs have taken up the PFS concept. The PFSs are of particular value in helping pastoralists to supplement their existing knowledge in facing challenges such as climate change and emerging diseases.

A PFS will build upon the existing traditional systems of knowledge transfers among pastoralist communities. As the PFS approach has been expanding in recent years, it has become evident that harmonization of PFS procedures and coordination among actors is necessary to ensure widespread quality in interventions.

Key points of information on PFS facilitators

- The PFS facilitator needs to be a locally selected resource person. In groups that are started up with external facilitators, a community facilitator should be identified soon after the initiation of the field school to allow them to gradually take over the facilitation role. Where appropriate, Community Animal Health Workers can make ideal facilitators.
- Field level PFS facilitators who lead the regular PFS learning sessions should be trained by a Master Trainer (i.e. specialist in the FFS/PFS approach) in order to ensure universal quality of the approach.
- Training of PFS facilitators courses should be a minimum of 3 weeks;
- Facilitators can handle a maximum of 3 schools concurrently depending on their workload. All PFS learning cycles should include frequent monitoring/mentoring visits by PFS expertise.
- If possible, it is useful to establish sufficient capacity for PFS within the government structures.

Pastoral Farmer Schools – Implementation of activities

- ✚ PFS group members should live within easy access of the learning site;
- ✚ Timing of sessions needs to be established based on the availability of both men and women;
- ✚ The participation of women, youth, the poor and social minorities should be encouraged where possible according to socially acceptable norms but not dictated by them;
- ✚ It is useful to encourage the participation of the groups of innovators and individuals who have positive influence in the community;
- ✚ Local knowledge and resources should form key points for identifying topics to be learned;
- ✚ PFS facilitators should receive some kind of motivation allowance, whether in kind or cash, agreed by the group and if possible tied to the local casual labor rate. The rate and mode of facilitators' allowances should be harmonized among the NGOs and other implementing institutions in the area (and if possible nationally/regionally);
- ✚ Director funding to groups for learning is preferable, as opposed to in kind support, in order to enhance ownership and develop financial management skills in the group. Any form of group funding should include an element of cost sharing by the group. The PFS learning grant should be standardized and harmonized across development actors. The group should be encouraged to register officially with local authorities, and have a bank account, if possible;
- ✚ The duration of PFSs should be scheduled at roughly 40 sessions spread over around 1.5 years, although this is dependent upon the selected learning topics and the prevailing climatic conditions;
- ✚ It is essential to gain the buy-in and support of PFS activities by the local authorities and the wider community.

Box 3: VILLAGE COMMUNITY BANKS (VICOBA)

Village community banks were initially started by women's groups in West Africa as a means of empowering them to manage their own funds

- ✚ Through the system, women mobilized group savings from which they took loans (similar to the round merry go round system)
- ✚ The system proved to be exceptionally successful in creating economic empowerment for women at the lower end of the pyramid and as such it was adopted by CARE and spread to a number of different countries in Africa.

What is a Village Community Bank?

Typically, a village community bank will have 20-30 members, a metal box with three locks, pass books, group stamp, different colored ledgers and different bowls for collection of group funds.

Start up of a VICOBA Group

Concept is introduced through a village meeting:

- a) Interested people register in fives to form a group of 20 – 30
- b) Minimum criteria:
 - Above 18 years of age;
 - Able to attend regular meetings;
 - Able to purchase shares;
- c) The group meets every week and receives training for the first three months
- d) The design of the training accommodates both the literate and illiterate members of the community, through use of picture codes, stories and illustrations;

Training of VICOBA Group Members

1. Group dynamics Group constitution
2. Savings and credit Group savings
3. Leadership
4. Conflict management
5. Design of business project Individual Business projects (According to local environment)

Saving through the VICOBA Group

During the training period each member is expected to contribute one to three shares at each session

- ✓ The group determines the size of each share but typically it would be between KES 50/- and 200/-
- ✓ The savings are kept in a box that has three different locks the keys for which are kept by three different members of the group while the box is safeguarded by another.
- ✓ Other contributions (through fines or visitors) include group health, livestock development, school and social funds (each group has a minimum of two such funds).

Loans through the VICOBA Group

After the training period, members set an agreed interest rate and are allowed to borrow up to three times of the amount they saved (based on a business plan and guarantee by other members of the group):

- Funds are paid back regularly after an agreed grace period
- Some organizations boost the group savings by providing a matching grant.
- At the end of each year, members meet to evaluate their performance and receive a financial report. They have an option of whether to continue or to share the dividends and breakup.

General benefits of the VICOBA concept

- Access to Income: Through access to credit, group members are able to invest in income generating activities including agriculture, trading of goods, livestock, food stalls, clothing.
- Empowerment: Due to regular meetings and training, members become empowered and commonly become active members of the community and are known to take up leadership positions.
- Safety net: The social, health and education fund provides a means for members to address immediate cash needs.

ANNEX 3 - TERMS OF REFERENCE FOR THE IMPACT ASSESSMENT

BACKGROUND

The Horn of Africa is one of the most food-insecure regions in the world. Climatic hazards dominate the disaster risk profile of Sub-Saharan Africa affecting on average around 12.5 million people per year. Over 70 million people (45% of the total population) in the Horn of Africa live in abject poverty and face not only food shortages but are also exposed to recurrent shocks. The situation is compounded by global climate change which is expected to significantly affect the frequency and intensity of hazard occurrence in Sub-Saharan Africa. Climate change could also exacerbate existing vulnerabilities and create additional ones, such as decrease in water availability, agricultural yields and suitable land for pasture all of which will threaten the viability of traditional livelihoods. Whereas there are interventions to mitigate the stated challenges, recent assessment of government policies and strategies in the Horn of Africa region, reveal that drought and relief programmes aimed at addressing the challenges may curtail the development of effective long term initiatives. Also, whilst Poverty Reduction Strategy Papers (PRSP) in the affected countries commonly includes the needs of the pastoralists, the policies are inconsistent with these needs and are certainly not appropriate or measured taking into consideration the uniqueness of the pastoral system.

More specifically, in the arid and semi-arid areas of the Horn of Africa, with pastoralism and agro-pastoralism being the primary source of livelihood, the pastoral production system faces complex problems. Especially since more frequent and more severe shocks have occurred in the region in recent years. The UNDP Human Development report 2007/2008 estimated that on present trends, the area affected by drought will double by the end of the century from 25 per cent to 50 per cent. While the number of drought periods may not significantly increase, they are likely to last longer, making the recovery period from the shocks take much longer, especially for the replenishment of water resources and herd reconstitution. The increased vulnerability of affected pastoralists over the years has amplified the extent and severity of shocks like drought, floods and diseases, thereby tipping large numbers of people into chronic food insecurity. This vulnerability is caused by a wide variety of complex and interacting factors like decreasing livestock holdings per capita, social change, marginalization of pastoralists in a regional and national context, conflicts, insecurity issues, trade bans and increased land pressure etc.

The RISPA Project

To address the existing gaps, the “Regional Initiative in Support of Vulnerable Pastoralists and Agro-pastoralists (RISPA) in the Horn of Africa project” is funded through the signature of a standard Contribution Agreement between European Union and Food and Agriculture Organisation of the United Nations (FAO-UN), Agreement No. DCI-FOOD/2010/250711.

This Action supports community action plans, government coordination structures and regional policies and institutions in support of pastoral livelihoods in order to strengthen the resilience of agro-pastoral and pastoral communities as well as diversification of livelihoods in 6 countries in the Horn of Africa: Ethiopia, Djibouti, Kenya, Somalia, Sudan and Uganda.

The Action has the following **objectives**:

Overall Objective:

To contribute to a reduced vulnerability of (agro) pastoral communities in the Horn of Africa

Specific Objective:

To strengthen institutional and policy framework, affecting resilience of (Agro) Pastoral communities and the diversification of their livelihoods

Stakeholders and beneficiaries

Key partners and stakeholders included IGAD, RECs, COMESA, EAC, Government departments, National Coordination Forums. Also District Coordination Groups, Civil Society Organizations, Customary Institutions and Beneficiary Groups are included. Beneficiary groups comprised vulnerable (Agro) Pastoralists selected by communities against set criteria, which included a minimum 50% membership of women and a 10% membership of the most vulnerable.

Sustainability

In order to ensure the sustainability of the project, the proposed interventions have been tailored to respond to the needs of the governments and regional institutions in order to provide a sound basis for the development of the (agro)-pastoralist sector. Furthermore, the devolution of responsibilities to national structures was expected to contribute greatly to the sustainability of the intervention.

Implementation and management arrangements

The project was implemented for 36 months. All project activities were coordinated, planned, overseen and monitored by FAO. FAO's Regional Emergency Office for eastern and central Africa (REOA) carried out the overall daily management of the project under the operational supervision of the emergency operations service (TCEO) in Rome and the technical supervision of Animal Production and Health division (AGA) and the sub-regional office for Eastern Africa (SFE) in Addis Ababa in Ethiopia. The emergency and rehabilitation coordination units in each of the countries (in Ethiopia the Disaster Response and Rehabilitation Unit) in cooperation with the FAO representations carried out the daily management of the project at national level, whereas the daily management of **RESULT 3** was carried out by the IGAD-LPI project management team in cooperation with the FAO SFE office. In addition some activities were contracted out to implementing partners and coordination platforms, both at regional and national levels.

A project steering committee PSC was established at regional level comprising key stakeholders, including FAO, EC and SDC (as observer members), IGAD, NGO partners, UN Agencies (UN-ISDR, UNDP, WFP, UNICEF) and representatives from pastoral communities.

The Project Steering Committee remains an important institution that enables the project to inform and advocate for policy, practice and investment change in the region through its rich membership that spans from implementation and advocacy through REGLAP, national governments providing policy and investment direction at national level, donors who fund the various initiatives in the region advocating for positive change and IGAD who pull everything together through coordination and networking.

Monitoring of the project progress was carried out by FAO and focused on upward accountability (i.e. towards the EC, government agencies, development partners and the society at large) and downward accountability (i.e. towards project beneficiaries and primary stakeholders). Monitoring was done against indicators identified in the project's logical framework.

Project's Expected Results

Result 1:

Target Communities are better prepared for disaster through community planning and action.

Result 2:

A strengthened coordination of both developmental and humanitarian initiatives in the (agro) pastoral areas of the community through to national levels and regional institutions;

Result 3:

Regional policies and institutions developed in support of pastoralist livelihoods.

Target Areas

Activities under **RESULT 1** focused on communities living along the border areas of Ethiopia, Kenya and Uganda. These target areas will include the Karamojong cluster in Karamoja region in Uganda as well as Turkana and West Pokot in Kenya; the Somali cluster including Mandera (Kenya) and Liban zone of Somali regional state (Ethiopia); the Oromo cluster including Marsabit, Moyale (Kenya) in the South Omo zone of SNNPR and also the Borana zone of Oromia regional state (Ethiopia).

For **RESULT 2** the focus countries were Ethiopia, Kenya, Uganda and Djibouti.

Under **RESULT 3** Ethiopia, Kenya, Uganda, Djibouti, Somalia and Sudan were included in order to allow their participation in the regional discussion.

R1: Target Communities are better prepared for disaster through community planning and action

Purpose: To build on existing institutions and plans at community level as the basis for empowering communities to prepare consolidated development /contingency action plans. The communities shall be informed of the opportunities (such as provided by devolution and decentralization) to support the implementation of the action plans. Lessons derived from such processes shall be shared at local, national and regional levels to inform policy dialogues and decisions (policy & investment) therefore fortifying the communities' preparedness and resilience efforts.

Indicators:

1. By the end of the action, at least 50 percent of targeted traditional institutions and communities have developed disaster preparedness action plans considering cross border dynamics.
2. By the end of the action, 50 percent of the plans are negotiated with relevant governments and partners.
3. Twenty five percent of community plans are implemented.

Expected Impact under Result 1

- a. The consideration of community needs and priorities in the national and regional planning and investment processes. The IDDRSI process has enabled countries to develop their Country Programming Papers (CPPs), and IGAD prepared its Regional Programming Paper (RPP) considering the cross border and regional issues emerging from the CPPs. These are instruments that will inform the programming and investments by governments and partners; the community plans therefore find an entry point into the national and regional programme and investment decision making processes.
- b. Community institutions including traditional ones which emerge as structures that are involved in community planning and action will be given the due consideration in the programming and investment decision making processes giving communities opportunities and in linkages to mainstream planning, programming and investment institutions, contributing to increased community ownership, sustainability and resilience.
- c. Increased buy-in, agreement and utilization of common approaches such as Community Managed Disaster Risk Reduction (CMDRR) and [Pastoral Field School](#) to facilitate planning and implementation and learning at community level. This will ease consolidation of plans across communities, counties and countries since common tools are utilized. PFS was increasingly appreciated by the governments in Ethiopia, Kenya and Uganda through outcomes of work supported by ECHO, SDC and EU.

R2: Strengthened coordination of both development and humanitarian initiatives in (agro) pastoral areas from the community level through national levels to regional institutions

Purpose: To bridge the divide that exists in terms of coordination with regards to initiatives (development and humanitarian), levels of coordination (local, national and regional levels), actors (community CSOs, NGOs, donors, governments) and information and knowledge management gaps. This result sought to establish a baseline on the existing coordination mechanisms and systems in the region with a view to recommending options for consideration by governments and IGAD towards enhancing coordination of resilience building efforts.

Indicators:

1. At least one representative body (representing NGOs, CSOs and traditional institutions) per country is engaging in coordination and consultative processes on (agro) pastoral issues with governments and donors at national level and are linked to the regional level.
2. At least three partnerships developed or strengthened to support information flow and coordination.
3. Three recommendations on coordination shared at national and regional level.

Expected Impact under R2

- a. Increased alignment and linkages between Development and Humanitarian Partners and their initiatives. The humanitarian & Development partners are jointly discussing with governments and IGAD resulting into increased consolidation of short, medium and longer term investments and interventions therefore, enabling vulnerable population access opportunities to break the cycle of vulnerability. The alignment goes a long way in informing organizations' programming ensuring that they are linked and duly aligned to the CPPs and RPP. FAO for example ensuring the alignment of its country level Country Programming Framework (CPF) to the CPPs and its Regional Hunger Free Horn of Africa Initiative with the RPP and IDDRSI.
- b. Enhanced impact of programmes and investments due to inclusion of communities in the coordination for planning, accountability processes. When communities become part of the planning and implementation processes through Community Planning and Action initiatives promoted by this project, they become real partners to enhance the effect on any initiative.
- c. Reduced wastage of resources as a result of duplication and skewed humanitarian; making good investment in development while fortifying the vulnerable communities. The twin track approach promoted by the project Horn of Africa Plan of Action and IDDRSI provides governments and partners an opportunity to work in a coherent manner with communities to meet their development needs and manage emerging risks and disasters effectively.

R3: Regional policies and institutions in support of pastoralist livelihoods developed AND promoted

Purpose: This result is premised on the fact that resilience of a population is influenced by the policies which determine decision making and investment processes. It acknowledges the role of strategic institutions in policy implementation.

It seeks to assess the existing policy landscape and its bearing on pastoralists' resilience in the region. Secondly, it seeks to link the institutions at local, national and regional levels while focusing on strengthening them as feasible and relevant in delivering strategic outputs. Finally the result ties in and indeed leverages the investments and actions under Results 1 & 2 by bringing the lessons, evidences and experiences (including those from other partners) to bear on policy dialogues and investment decisions at local, national and regional levels.

Indicators:

1. Increased engagement of institutions in (agro) pastoral relevant policy processes in support of Disaster Risk Management and linkages at national, and regional level by the end of the project
2. A regional network for pastoral institutions and associations is promoted and linked to regional institutions including IGAD platform by the end of the project.
3. AU Pastoralists policy Framework roll out supported

Expected Impact

- a. Increased understanding of dryland populations, enabling governments and partners to effectively meet their needs and provide appropriate services. This is due to numerous deliberations on pastoralists, Agro-pastoralists, people who have dropped out of the pastoral system.
- b. Increased investments and prioritization of the drylands especially on basic services, infrastructure and security; as more and more information and evidences are availed to policy makers, community and government institutions.
- c. The IDDRSI strategy through the CPP and RPP have provided a common framework for planning and programming in the region; this enhances opportunities for increased coordination and networking along common themes and exchanges across themes as resilience spans across sectors.
- d. Policy harmonization and reflection on performance and progress by national governments on the basis of regional and continental policy frameworks such as the AU Pastoral Policy Framework, IGAD Regional Policy Framework on Animal Health Trade and Vulnerability among.
- e. Institutional strengthening and linkages; the project has worked with various cadre of institutions, from community level, national and regional levels.

The critical change was to be seen when the institutions are not only performing optimally delivering as per their comparative advantage but are linked to leverage their contributions to resilience of the communities in Horn of Africa. Institutions targeted by the project included;

1. Traditional/community institutions undertaking community planning and supporting actions at community level through institutions such as PFS, Resources Management Committees;
2. Local level government institution which link up with traditional/community level ones, considering their plans in planning and investments;
3. National level coordination mechanisms that pull the local level plans, experiences and lessons learnt and link to the regional IGAD Sheikh Veterinary School (ISTVS), IGAD Centre for Pastoral and Livestock Development (ICPALD) and IGAD platform teasing out issues of cross border and regional nature for consideration and uptake.

The Impact Assessment Process

The RISPA project ends in February 2014 and the Project Steering Committee would like to undertake an impact assessment to establish if the intended impacts have been realized. The assessment should assess the achievement of the stated and newly developed impact indicators from a review of project documents and reports

The Impact indicators should measure CHANGES that occur as a result of project activities. Impact indicators can be qualitative or quantitative, and should relate to the end result of a project on the lives of the project participants.

Purpose of the Assessment

The purpose of the assessment is to establish and document how the RISPA project has contributed towards strengthening institutional and policy framework, affecting resilience of (agro) pastoral communities and the

diversification of their livelihoods. More importantly, how these contributions have reduced vulnerability of (agro) pastoral communities in the Horn of Africa.

The Impact Assessment should answer the following questions

- m. How the project has helped to incorporate community needs into the national and regional planning and investment processes.
- n. Establishing whether community institutions including traditional ones are involved in community planning and action and how this is affecting investment decision making processes community ownership of projects, sustainability and resilience.
- o. The effect /impact of the increased buy-in, agreement and utilization of common approaches such as Community Managed Disaster Risk Reduction (CMDRR) and Pastoral Field School to facilitate planning and implementation and learning at community level.
- p. Evidence of increased alignment and linkages between Development and Humanitarian Partners and their initiatives.
- q. Establish if there is enhanced impact of programmes and investments due to inclusion of communities in the coordination for planning, accountability processes.
- r. Is there reduced wastage of resources as a result of duplication?
- s. Are the countries making good investment in development while fortifying the vulnerable communities as a result of the twin track approach promoted by the project Horn of Africa Plan of Action and IDDRSI that provides governments and partners an opportunity to work in a coherent manner with communities to meet their development needs and manage emerging risks and disasters effectively?
- t. Establish whether there is increased understanding of dryland populations and livelihoods by the various actors, enabling governments and partners to effectively meet their needs and provide appropriate services.
- u. Evidence of increased investments and prioritization of the drylands especially on basic services, infrastructure and security; as more and more information and evidences are availed to policy makers, community and government institutions.
- v. Establish if there is better coordination and networking by actors as a result of the IDDRSI strategy.
- w. Progress made by national governments on regional and continental policy frameworks policy such as the AU Pastoral Policy Framework, IGAD Regional Policy Framework on Animal Health Trade and Vulnerability among;
- x. Establish evidence of institutional strengthening and linkages resulting from the project's work with the various cadres of institutions, from community level, national and regional levels.

Scope of the Assessment

The Assessment will be undertaken in Ethiopia, Kenya and Uganda and Djibouti. Sampling of CMDRR, PFS and VICOPA actors and field sites will be defined by the assessment team in consultation with FAO.

Methodology

The assessment shall entail deskwork, meetings with head office FAO staff, meetings with key stakeholders as well as field visits to a representative sample of CMDRR field sites and country field offices. Data will be collected from available documentation and interviews with key informants (persons and institutions).

The following provisional methodology is proposed:

1. Desk review of relevant documents
2. Briefing session with the FAO Sub-regional Emergencies Office, IIRR, NDMA in Kenya, Coopi, ACTED, VSF-B, VSF-Swiss, VSF-G, CORDAID and ECHO clarifying objectives of the study
3. Field data collection in project sites of the three different countries. Data collection at field level could comprise of a range of techniques including focus group discussions and key informant with project beneficiaries

4. Key informant interviews with key partner organizations' undertaking CMDRR interventions in each country, both at field and country office level.
5. Key informant interviews with RISPA and IDDRSI implementing officers and agencies
6. A debriefing meeting to present and validate key findings and recommendations with FAO and other key partners

The consulting team will be expected to elaborate on an appropriate methodology as part of the offer to the request for services.

Composition of the Assessment Team

The assessment will be carried out by a team of 2 consultants hereby referred to as the "Team" and contracted by the FAO hereon referred to as "The Contractor". The Team will be expected to have over 10 years of practical experience in emergency preparedness and response in the HoA and be fully conversant with impact assessment tools of donor funded projects.

The ideal consulting team should have solid expertise and experience in the following areas:

1. At least 10 years of practical experience in emergency preparedness and response to drought in the HOA
2. Proven experience conducting impact assessments and evaluations in the Horn of Africa
3. Strong knowledge of agro-pastoral dryland livelihood systems and community programming
4. Proficiency in English both written and oral with strong communication and report writing skills

Provisional Work Plan

The IA is envisaged to be undertaken in a maximum period of 2 months, commencing in mid-December 2013 to mid-February 2014.

1. *Document review*: The Consultant/s will be expected to review available documents. This will be finalized in the first 5 days prior the briefing in Nairobi.
2. *Briefing*: There will be a briefing session for consultants in Nairobi about the objectives of the assessment and to finalize the methodology
3. *Data collection*: It is expected that a period of approximately 33 days (10 days in Uganda, 10 day in Kenya and 13 days in Ethiopia) will be required in the field. Several days will be set aside for meetings with CMDRR actors in capital cities both before and after data collection in the field
4. *Draft report and debriefing*: The team will be expected to provide a debriefing session at the conclusion of the field work. After gathering feedback, the consultant/s will submit a draft report for final review and comment.
5. *Final report*: The final report is due 14 days after the field work has been completed and must be done by February 28th, 2014

Deliverables

The main output of the assessment will be a report that provides project beneficiaries, partners and stakeholders with detailed information on the central question mentioned above, conclusions and recommendations regarding the way forward.

The consultants will be expected to fulfil the responsibilities mentioned below:

1. Desk review of relevant documents prior to field data collection
2. An inception report outlining in greater detail the design and methodology for the assessment
3. Presentation of the summary of findings at a debriefing session in Nairobi
4. Preparation of draft final report incorporating feedback
5. A final report documenting and describing the mission, findings, conclusions and recommendation.

ANNEX 4- APPROACH AND ITINERARY FOR RISPA IMPACT ASSESSMENT TEAM

APPROACH AND METHODOLOGY

1. Desk review of relevant documents

The reports for review included impact assessment undertaken for Pastoral Field schools and Community Managed Disaster Risk Reduction, RISPA project document, PFS baseline reports, PFS case studies, CMDRR case studies and training reports, mid-term evaluation report, steering committee terms of reference among others. This was a continuous exercise throughout the assessment as more reports and documents become available.

2. Contracting and Briefing sessions with FAO REOA

This was planned as a one-day exercise basically to receive documents – soft and hard copies from the REOA offices and finalize any logistical and contractual issues.

3. Briefing Sessions and interviews with stakeholders

Stakeholders and partners of the RISPA project include the Nairobi-based offices of IGAD, EU, SDC, ECHO, respective government focal departments and partners (ACTED, COOPI, IIRR, VSF-B, VSF-Suisse, VSF-G, DCLCI among others, to obtain information and feedback on contribution and impact of the project

4. Travel to Ethiopia (Addis Ababa and Somali Region)

- a) Facilitated partners' meeting organized at country level in order undertake Focus Group Discussions (FGDs) to complement findings individual interviews;
- b) Field data collection in project sites. Data collection at field level comprised of a range of techniques including focus group discussions and key informant interviews with selected project beneficiaries; key partner organizations' undertaking CMDRR interventions in Ethiopia and Kenya, both at field and country office level;
- c) Key informant interviews with RISPA and IDDRSI implementing officers and agencies;

5. Travel to Uganda (Kampala and Karamoja Region)

- a) Facilitate partners' meeting as organized at country level in order to undertake Focus Group Discussions (FGDs) to complement findings individual interviews;
- b) Field data collection in project sites. Data collection at field level comprised of a range of techniques including focus group discussions and key informant interviews with selected project beneficiaries; key partner organizations' undertaking CMDRR interventions in Uganda, both at field and country office level;
- c) Key informant interviews with RISPA and IDDRSI implementing officers and agencies

6. Travel to Djibouti (IGAD offices, and communities)

- a) Facilitate partners' meeting as will be organized at country level in order to undertake Focus Group Discussions (FGDs);
- b) Field data collection in project sites. Data collection at field level comprised of a range of techniques including FGDs and key informant interviews with selected project beneficiaries; key partner organizations' undertaking CMDRR interventions in Djibouti, both at field and country office level;
- c) Key informant interviews with RISPA and IDDRSI implementing officers and agencies
- d) Consultation with project officers at IGAD headquarters

7. Compilation of draft Assessment Report (both consultants)

This will involve compilation and drafting of report based on findings of policy review and field visits as well as developing a presentation to FAO and partners.

8. Debriefing meeting with FAO and key partners

This one-day debriefing with FAO and key partners will include presentation and taking on of feedback to enrich the report

9. Finalization of report

10. Submission of Final Assessment Report

2. PROPOSED TIMEFRAME

The following timeframe outlines the different activities carried out under this assignment.

Date	Activities	Deliverables	Venue
27 th /01/2014	Desk review of relevant documents (On-going)	INCEPTION REPORT	Nairobi
28 th /01/2014	Contracting and Briefing sessions with FAO REOA	Contract and Logistics	Nairobi
29 th Jan-7 th /02/2014	Briefing Sessions and interviews with stakeholders		
9 th -14 th /02/2014	Travel to Ethiopia (Addis Ababa and Somali Region)	Interviews and FGDs	Addis/ Regions
15 th Feb 2014	Travel to Nairobi		
16 th -21 st /02/2014	Travel to Uganda (Kampala and Karamoja Region)	Interviews and FGDs	Kampala/Regions
22/02	Travel to Nairobi		
23 rd -28 th /02/2014	Travel to Djibouti (IGAD offices, and communities)	Interviews and FGDs	Djibouti/Regions
1 st March 2014	Travel to Nairobi	Back to base	Nairobi
3 rd -7 th /03/2014	Compilation of draft Assessment Report, working with 2 nd consultant	Summary findings	Nairobi
Between 12 th & 25 th /03/2014	Debriefing meeting with FAO and key partners	Draft Report	Nairobi
Between 25 th & 30 th /03/2014	Finalization of report	Comments on report	Nairobi
31 st /03/2014	Submission of Final Assessment Report	Final	Nairobi

3.0. DELIVERABLES

1. Desk review of relevant documents prior to field data collection
2. An inception report outlining in greater detail the design and methodology for the assessment
3. Presentation of the summary of findings for debriefing session and presentation during project closure meeting
4. Preparation of draft final report incorporating feedback
5. A final report documenting and describing the mission, findings, conclusions

ANNEX 5- IMPLEMENTING PARTNERS AND THEIR ROLES AND RESPONSIBILITIES IN RISPA

Kenya and Regional	Base (Location)	Type of involvement
COOPI	Nairobi, Kenya	Engaging communities and developing a framework for Action; cross-border activities; development of CMDRR plans with communities; establishment of PFS groups.
Kachaimeri Pastoral Field School	Turkana, Kenya	Mobilizing their communities, undertaking PFS pilots, learning and sharing to inform action at community and policy level process
Kaloteger Pastoral Field School	Turkana, Kenya	Mobilizing communities, undertaking PFS pilots, learning and sharing to inform action at community level and policy processes
Nabuin Pastoral Field School	Turkana, Kenya	Mobilizing their communities, undertaking PFS pilots, learning and sharing to information action at community level and policy processes
Napeikar Pastoral Field School	Turkana, Kenya	Mobilizing their communities, undertaking PFS pilots, learning and sharing to inform action at community level and policy processes
Natuntun Pastoral Field School	Turkana, Kenya	Mobilizing their communities, undertaking PFS experimentation, learning and sharing to inform action at community level and policy processes
RAFID	Nanyuki, Kenya	Incorporating Human and Natural Resource Management into PFS through working with two PFS groups in Turkana
RECONCILE	Nakuru, Kenya	Undertake studies, assessment of traditional institutions and governance systems in the Horn of Africa Region
Rift Valley Institute	London, United Kingdom	Assessment of informal cross-border livestock trade in the Horn of Africa
VSF -Suisse	Nairobi, Kenya	Baseline information, CMDRR, VICOPA, PFS training, planning and implementation; M+E; learning with communities and partners
VSF-Germany	Nairobi, Kenya	Baseline information, CMDRR, VICOPA, PFS training, planning and implementation, M+E, learning with community and partners. NRM planning, mapping of traditional institutions, link to pastoral Civil Society Organizations.
VSG Belgium	Brussels, Belgium	Carry out baseline surveys, training on the CMDRR approach, Support/facilitation/train in the preparation of development of contingency plans; constitution of PFS groups and VICOPA groups; support to livelihood diversification activities; support/facilitation for funding mobilization for implementation of contingency plans; support to on-going documentation of best practices and lessons learnt; support to integration of disaster awareness in educational curriculum for ASALs; promote the integration of project outcomes into policy development and disaster risk reduction.
Uganda	Base	Involvement
ACTED	Kampala, Uganda	Conduct baseline surveys; mobilization; sensitization; identification; identification and registration of the beneficiaries/members; facilitation of community disaster management plans; formation and training of Pastoral Field Schools (PFSs); formation and trainings of VICOPA/VSLA in each of the selected communities, and facilitating exchange field visits.
IIRR	Kampala, Uganda	<ul style="list-style-type: none"> • Build capacity of partners in CMDRR & Community Managed Watershed Management (CMWSM); • Support and mentor partners implementing Agro-Pastoral Field Schools (APFS) to mainstream CMDRR and CMWM as core tools for developing Action Plans; • Pilot Integrated Watershed Management in five selected watersheds; • Establish a Community Based Early Warning system (CBEWS) for better drought preparedness in selected APFS communities of Kotido district;

		<ul style="list-style-type: none"> • Collate and document emerging lessons and good practices of mainstreaming CMDRR, CMWM and CBEWS in the APFS in Karamoja, northern Uganda
Ethiopia	Base (Location)	Type of involvement
Pastoralist Concern	Addis Ababa, Ethiopia	Baseline information collection, CMDRR training and support on Natural Resource Management and traditional institutions' engagement
IIRR	Addis Ababa, Ethiopia	Baseline
Managing Risk for Improved Livelihoods	Addis Ababa, Ethiopia	Study on cross-border informal trade
Government Ministries, Depts. Agencies (MDAs)		
Kenya		
Department of Vet. Services	Nairobi	Community Animal Health Services and Government policy harmonization; cross-boundary diseases; cross-border livestock trade;
Department of Livestock Production	Nairobi	Livestock marketing & trade; cross-border trade in livestock and livestock products; CMDRR support mechanisms; LEGS training; IGAD Livestock Policy Initiative; Horn of Action Plan
National Drought Management Authority (NDMA)	Nairobi	Main partner on Ending Drought Emergencies in Kenya under IGAD's DRR/IDDRSI region platform

ANNEX 6- PEOPLE MET AND CONSULTED DURING THIS ASSIGNMENT

	NAME	ORGANIZATION	POSITION/STATION
1.	Ahmed H. Ali	KRDP – ASAL DM – Nairobi (CMDRR)	Techn. Officer (DM); 0722 288 241
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33.	H.E M.Y. Omer	Pastoralist Affairs Standing Committee	Chair, House Committee, Ethiopia
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ANNEX 7- LITERATURE REVIEWED OR REFERENCED

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