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June 2013

Horn of Africa Joint Planning Cell
Annual Report

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September 2011 - June 2013

Acknowledgments

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Acronyms

AGIR (Sahel)	Alliance Globale pour l'Initiative Resilience (Sahel)
ASAL	Arid and Semi Arid Lands
AU-IBAR	African Union's Interafrican Bureau of Animal Resources
CGIAR	Consultative Group on International Agricultural Research
CPP	Country Program Paper
HoA	Horn of Africa
IDDRSI	IGAD Drought Disaster Resilience and Sustainability Initiative
IGAD	Inter Governmental Authority for Development
JPC	Joint Planning Cell
KLDP	Knowledge Learning and Dissemination Program
NDMA	National Drought Management Authority
OFDA	Office of U.S. Foreign Disaster Assistance
PRIME	Pastoralists Areas Resiliency Improvement through Market Expansion
PSNP	Productive Safety Net Program
RAIN	Revitalizing Agricultural/Pastoral Incomes and New Markets
REGAL AG	Resilience and Economic Growth in the Arid Lands–Accelerated Growth
REGAL IR	Resilience and Economic Growth in the Arid Lands–Improving Resilience
RPP	Regional Program Paper
SHAPE	Sustainable Humanitarian Assistance Program for Ethiopia
WEAI	Women's Empowerment in Agriculture Index

1.0 Executive Summary

Following the devastating 2010/11 drought in the Horn of Africa, African leaders came together to discuss how to end future drought emergencies across the region. Two regional summits, held in late 2011, pushed forward several initiatives that aligned the Governments of the Horn of Africa countries, the IGAD Secretariat and Development Partners behind efforts to build resilience to future drought disasters. First, the member states developed their national strategies. Ethiopia and Kenya have the most comprehensive strategies with national budgets about to be allocated against the proposed activities. Second, the IGAD secretariat formulated the IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI) which was subsequently endorsed at the February 2013 IGAD General Assembly. Third, development partners established a Global Alliance for Action for Drought Resilience and Growth to better coordinate, harmonize and align program investments and policy.

Concurrent to these initiatives, USAID has refined its own thinking on resilience, which it now defines as "the ability of people, households, communities, countries, and systems to mitigate, adapt to, and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth". With encouragement from top management, USAID developed a planning framework for achieving resilience. Under this framework, humanitarian relief and recovery programs are no longer conceived of as an end in themselves, but as a foundation and platform upon which new and existing resilience and development investments need to build. To achieve improved resilience at national and regional levels under this framework USAID aims for three results:

1. increased adaptive capacity to resist shocks, such as drought;
2. improved ability to address and reduce risk;

IGAD Ministerial and High Level Development Partners Meeting, Nairobi, Kenya April 2013

3. improved social and economic conditions of vulnerable populations.

USAID has developed three key mechanisms to ensure consistent resilience results.

Three Joint Planning Cells were established in the Kenya, Ethiopia and East Africa Missions. These cells institutionalize change. They also ensure that integrated teams of humanitarian relief and development experts work together on joint problem analysis and objective setting, coordinated planning, ensuring humanitarian and development projects and programs are linked through layering, integrating and sequencing and finally that robust learning occurs across the agency and with development partners.

The Global Alliance, established at the April 2012 IGAD Ministerial and high level development partners meeting in Nairobi, is charged with articulating and institutionalizing a common vision of improved communication, coordination, and collaboration within and between its member organizations to increase aid effectiveness in drought-prone areas. The Global Alliance now has two arms. The Horn of Africa arm is currently led by USAID. The second arm, led by the European Union, for the Sahel, was launched in December 2012.

USAID published its policy and program guidance for building resilience to recurrent crisis in 2012. Primarily aimed at USAID staff, the guidance may be utilized by any agency to reduce chronic vulnerability and promote more inclusive growth in areas of recurrent crisis.[1]

This report primarily describes the activities and achievements of USAID/East Africa, USAID/Ethiopia and USAID/Kenya on implementing the Horn of Africa (HOA)

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1 Published December 2012 (Downloaded May 2013) http://transition.usaid.gov/resilience/USAIDResiliencePolicyGuidanceDocument.pdf

Resilience and Growth Action Plan. Each USAID mission received additional funding from 2011 for resilience related activities. This new funding totalled $178 million over a five year period and allowed a further $451 million of program activities to be leveraged from other USAID programs. The goal of the Horn of Africa Joint Planning Cells is to directly benefit 10 million people and reduce the region's emergency caseload by 1 million people during a drought of 2011 magnitude within 5 years.[2]

Key lessons over the past year include the importance of strong leadership and the high level support required to establish joint planning cells. Establishment of common frameworks for building resilience involves relatively high transaction costs in terms of staff time and commitment. However once the framework is agreed, the modalities of program design become easier. The close involvement of senior national staff and support to government and NGO partners are an integral part of ensuring success.

Sections 5 to 7 of this report describe the activities of each mission in detail. Section 8 of the report describes activities and approaches for two cross cutting issues, gender and monitoring and evaluation. Overall, the procurement timeline for new programs is on track and the Missions are delivering on a commitment to do business differently. The new programs support the seven priority intervention areas of the IDDRSI Strategy and the Country Programme Papers for building resilience. While the first year of activities has revolved around the process of design and procurement, several results are note worthy, these include the following:

- USAID multi-year commitments to help build the capacity of the IGAD Secretariat, in particular IGAD's Drought Resilience Unit to implement IDDRSI have been effective;
- Back stopping support and funding to the 'Technical Consortium for Building Resilience to Drought in the Horn of Africa[3]' has been effective in moving the country program paper process forward and is appreciated by national governments and development partners;
- Allowing multiyear funding for emergency programs by senior managers in USAID/Washington and the field, has been a big step forward in Resilience programming and implementation;
- The development and institutionalisation of 'Crisis Modifiers' that allow development programs to re-organize budgets and draw upon emergency funds to respond to emergencies with quick livelihoods interventions. For example emergency de-stocking, animal health, fodder supply and water provision;
- USAID Kenya's design and layering of a series of programs across nine dryland Counties focusing on community resilience building. The programs are aligned to Kenya's newly established National Drought Management Authority (NDMA) and USAID ensures all the implementing partners regularly meet to refine their resilience orientated activities;
- Formation of novel donor coordination mechanisms in Kenya, Ethiopia and at the IGAD regional level, that bring together both humanitarian and development partners has increased coordination and communication;
- In Ethiopia, allowing the successful humanitarian funded 'Revitalizing Agricultural/Pastoral Incomes and New Markets' (RAIN) program' to be extended to ensure the new development funded 'Pastoralists Areas Resiliency Improvement through Market Expansion (PRIME) Program' follows on smoothly;
- Building on a solid foundation of best practices determined from numerous impact assessments carried out since 2006;
- Initiating a comprehensive range of programmes to support individuals and households, particularly youth, transitioning out of pastoralism to find new sources of livelihoods;
- Fully integrating gender equality and female empowerment in each of the activities in Kenya, Ethiopia, and at the Regional level; and,
- Formulating methodologies for monitoring and evaluation of resilience building activities and beginning to gather evidence at a number of different levels -- global, regional, and national -- to ensure that lessons are tracked and learned.

Over the past year Joint Planning Cells in the Horn of Africa have successfully combined humanitarian, post disaster recovery, disaster risk reduction and development approaches into program design. These programs are now getting established. Partners have been trained, communities engaged and selected, local authority approval and engagement sought and baseline studies completed. The stage is set for the programs to begin to deliver results that support IGAD's IDDRSI and the goals of the national strategies for ending drought emergencies. The priority for the next six months will be to continue high level coordination and collaboration and ensure that good policies are put into place. To ensure good baseline data is recorded with national authorities, effective indicators are selected and a monitoring and evaluating / mutual accountability framework for the resilience agenda for the Horn of Africa has been agreed upon by Missions.

2 This indicator will be 'normalized' by severity of drought using the Normalized Difference Vegetation Index (NDVI) to put future humanitarian assistance caseloads in 2011 drought severity terms.

3 USAID funded the Consultative Group on International Agricultural Research (CGIAR) and FAO's Investment Centre in Rome to form a 'Technical Consortium'.

2.0 The African Union and IGAD Call for Change

The frequency, severity and impact of droughts in arid and semi arid lands of the Horn of Africa has been increasing for the past decade (see text box 1 – Cost of Drought in Kenya). The responses to these droughts and other disasters has primarily been focused on measures for disaster preparedness and humanitarian action. Over many years, nearly continuous support has been planned and implemented through recurrent short-term emergency mechanisms. Following the devastating 2010/11 drought that affected over 13 million people and led to a declaration of famine in Somalia, African leaders called for new strategies to end drought emergencies. These new strategies were to focus on addressing the root causes of vulnerability to drought disasters. In recognition that the problem had both a national and regional dimension, a summit of Heads of State from the East Africa and IGAD regions was held in Nairobi, in September 2011. The Heads of State requested the IGAD Secretariat formulate a resilience and sustainability strategy and report back in six months. Furthermore, they called upon member states to develop policies and strategies to facilitate investments that build resilience to future climatic and economic shocks.

A series of workshops and conferences followed the Summit. The IGAD Member States endorsed the formation of an IGAD Regional Drought Resilience and Sustainability Platform and formed a Platform Steering Committee 25th November 2011. The same meeting endorsed an IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI) and formed an Interim Steering Committee for the same.

Box 1: **The Cost of Drought in Kenya**

According to the Kenya Post Disaster Needs Assessment (PDNA) report (2012), the overall effects of the 2008–2011 drought in Kenya have been estimated at KShs. 968.6 billion (US$12.1 billion). This figure includes destroyed physical and durable assets worth KShs. 64.4 billion (US$805.6 million) and another KShs. 904.1 billion (US$11.3 billion) of losses in income flows across all sectors of the economy. Appropriate management of drought is therefore critical to the country's development.

Source: PDNA (GOK, 2012) http://www.gfdrr.org/sites/gfdrr.org/files/Kenya_PDNA_Final.pdf

Following the summit, IGAD member states began to develop 'Country Program Papers' (CPP) for ending drought emergencies based on a common framework, which IGAD has used to formulate a 'Regional Program Framework' or Paper (RPP).

In April 2012, the IGAD Secretariat presented its report to a joint IGAD Ministerial and high level development partners meeting in Nairobi. While most of the CPPs and RPP were still in draft form, the meeting reaffirmed the roles of the IGAD Regional Platform and Ministers called for the member states to support the platform. They also called on development partners to establish a Regional Development Partners' Group for Drought Resilience and Growth, and a Global Alliance for Action for Drought Resilience and Growth to better coordinate, harmonize and align program investments and policy.

Following the April 2012 Ministerial meeting, IGAD finalized its RPP and incorporated it into the IGAD Drought Resilience and Sustainability Initiative (IDDRSI) which was presented to and endorsed by the IGAD General Assembly in February 2013. IDDRSI is seen as the 'road map' for ending drought emergencies in the Horn of Africa and IGAD has already formulated its first annual action plan 2013.

At national level the CPPs for Ethiopia and Kenya have been validated and finalized. In Kenya, in addition to the CPP, a sessional paper on the National Policy for Sustainable Development of Northern Kenya and Other Arid Lands was formulated and eventually approved by Parliament in December 2012 (see section 6.4). The Ethiopian CPP is finished and awaiting final approval by parliament. The CPPs in the other IGAD member states are still at various stages of being finalized.

3.0 Doing Business Differently

The human and economic toll of the 2011 drought in the Horn of Africa was a stark reminder for the international community of the consequences of resource degradation, reduced access to and competition over range land resources, climate change, weak governance, and a history of marginalization and under investment in the dry lands. Top management from USAID and other donors and international organizations visited the region and noted the imbalance between the resources coming in year after year to respond to recurrent emergencies, and the relatively meagre resources dedicated to long-term sustainable development in the drylands. Determined to do business differently, USAID supported a series of learning events following the September 2011 IGAD Heads of State Summit. USAID funded the Consultative Group on International Agricultural Research (CGIAR) and FAO's Investment Center in Rome to form a 'Technical Consortium for Building Resilience to Drought in the Horn of Africa'. This Consortium produced a series of technical papers that reviewed the root causes of vulnerability and poverty in drylands and the options for facilitating inclusive economic growth in drought prone areas.

Starting in September 2011, the USAID missions in Kenya, Ethiopia and East Africa established a HoA Joint Planning Cell (JPC) to identify new ways of utilizing humanitarian and development assistance around the shared aim of building resilience among chronically vulnerable populations. (Sections 5 to 8 of this report provide a more detailed description of this process.)

The missions worked together and developed a shared framework for building resilience between USAID's humanitarian relief and development experts. The framework was based on analysis and understanding of the dynamics of change in pastoralist livelihood systems. Once agreed to, the possibilities for layering, integrating, and sequencing a wide range of existing humanitarian and development efforts with new investments around the shared aim of building resilience became clear.

Box 2: **Resilience and Value for Money**

The shift in emphasis from emergency responses to building resilience as advocated by USAID and its partners has been shown to provide good value for money. The World Meteorological Organization (WMO) and the United Nations International Strategy for Disaster Reduction (UN/ISDR) estimate that "one dollar invested in disaster preparedness can save seven dollars' worth of disaster-related economic losses."* Thus investing in resilience programming that reduces exposure to risk is significantly more cost-effective than post-disaster responses.

* World Meteorological Organization (WMO). 2009. Fact sheet #1 Climate information for reducing disaster risk.

USAID/Jennifer Maurer

Samburu, Kenya

"The question we should ask ourselves is what is happening in the most vulnerable areas on the ground? It is clear we are not doing enough. We have to reverse the way things work now—we are still spending more on humanitarian aid than prevention. That has to reverse. Since 2002, the U.S. spent $11.2 billion on humanitarian aid in the Horn of Africa—chasing the problem after the fact. We want to reverse that, put it into prevention. We need to reverse the equation from reaction to prevention and make sure that whatever we do drives results."

RAJIV SHAH, ADMINISTRATOR, UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

WASHINGTON, April 27, 2012

Concurrent to this joint planning cell process in USAID missions, USAID Washington engaged its development partners at the highest levels. Awareness and interest in strengthening a resilience-based approach became a global consensus. USAID's Administrator Rajiv Shah played a key role encouraging his counterparts to participate in a high level meeting of IGAD Ministers, other African leaders and donors to discuss drought resilience in the Horn. This meeting was held Nairobi in April 2012 and laid out a roadmap for building resilience and growth. The participants agreed to establish a 'Global Alliance for Action for Drought Resilience and Growth' to allow Humanitarian and Development Partners to better coordinate, harmonize and align programme investments and policy.

There are many definitions of resilience -- USAID has defined resilience as "the ability of people, households, communities, countries, and systems to mitigate, adapt to, and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth."

In 2011 USAID developed a planning framework for achieving resilience. Under this framework humanitarian relief and recovery programs are no longer conceived of as an end in themselves, but as a foundation and platform upon which new and existing resilience and development investments need to build. To achieve improved resilience at national and regional levels under the framework USAID aims for three results:

1. increased adaptive capacity to resist shocks, such as drought;
2. improved ability to address and reduce risk; and,
3. improved social and economic conditions of vulnerable populations.

With these clear aims, USAID developed three key mechanisms to ensure consistent resilience results.

3.1 The Joint Planning Cell Mechanism

Building resilience requires an iterative process in which development and humanitarian assistance are well-coordinated throughout the planning, project design, procurement, and learning process. USAID is institutionalizing change by ensuring that integrated teams of humanitarian relief and development experts work together through 'Joint Planning Cells', better understanding each other's strengths and constraints. This process is being piloted in selected USAID missions in the Horn of Africa - Kenya, Ethiopia and East Africa. A similar process has been initiated in Sahelian countries in West Africa.

These Joint Planning Cells undertake four key tasks:

1. *Joint problem analysis and objective setting so teams have a common understanding of the underlying causes of recurrent crisis.*
2. *Intensified, coordinated strategic planning around resilience to ensure that risks, vulnerabilities, and probable humanitarian needs have been anticipated when deciding on development strategies.* Development assistance is often not designed in a way to maximize and sustain gains achieved during humanitarian response. Disaster response is not always focused on reducing vulnerability. Recognizing the interdependence of these activities, development and humanitarian assistance experts must undertake coordinated strategic planning efforts that define long-term investments to build resilience.
3. *Mutually informed project designs and procurements to enable the layering, integrating, and sequencing of humanitarian and development assistance. For example:*
   a) USAID Kenya has strategically layered new development funded resilience and economic growth investments in Kenya's arid lands on top of existing, humanitarian funded World Food Program Food for Asset programs.
   b) In Ethiopia, USAID's 'Feed the Future' development assistance funded Pastoralists Areas Resiliency Improvement through Market Expansion (PRIME) Program will sequence from the successful humanitarian funded Revitalizing Agricultural/Pastoral Incomes and New Markets (RAIN) program. In fact, humanitarian funds will be used to extend RAIN

activities by 12 months until February 2014 to allow RAIN to expand activities into additional chronically vulnerable areas in the Somali and Oromia regions until PRIME can take over and to allow PRIME to expand to non RAIN areas.

c) The new USAID Kenya Arid Lands Disaster Risk Reduction – WASH Program is now being jointly funded by integrated humanitarian and development investments.

4. *Robust learning, to develop the appropriate indicators, make midcourse corrections, and share lessons learned across the Agency and with external partners.* The Joint Planning Cells specifically focus on areas where chronic poverty intersects with shocks and stresses to produce recurrent crises and undermine development gains. USAID emphasizes identifying lessons learned and capturing the successes and challenges of employing new approaches (see section 7).

3.2 The Global Alliance Mechanism

The new Global Alliance for Action for Drought Resilience and Growth in the Horn of Africa, endorsed by IGAD in April 2012, aims to work with local leadership to change the way the international community does business and put resilience at the heart of development efforts. The Global Alliance is charged with articulating and institutionalizing a common vision of improved communication, coordination, and collaboration within and between its member organizations to increase aid effectiveness in drought-prone areas. Membership includes all the major international development agencies and international finance institutions.

While conceived in the Horn of Africa, the Global Alliance now has two arms. The Horn of Africa arm is led by USAID. The second arm for the Sahel, formed in June 2012 and launched in December 2012 in Ouagadougou, Burkina Faso, is led by the European Union. The Sahel initiative, is called Alliance Globale pour l'Initiative Resilience (AGIR-Sahel) and seeks to ensure that the people in the Sahel can better cope with future droughts.

USAID

High table at the IGAD Ministerial and High Level Development Partners Meetings, Nairobi, Kenya April 2012

Over the past year, the Global Alliance for the Horn of Africa has supported the completion of IGAD member states Country Program Papers. These enable development partners, including USAID, to closely align programs and funding with plans developed and owned by governments of drought-affected areas. In November 2012, Global Alliance members visited Ethiopia and Kenya and supported a process of review of national plans by the private sector and civil society stakeholders.

3.3 USAID Policy and Program Guidance Mechanism

The third USAID resilience mechanism is policy and program guidance for building resilience to recurrent crisis. The guidance is primarily aimed at USAID staff, but can be utilized by any agency to reduce chronic vulnerability and promote more inclusive growth in areas of recurrent crisis.

Figure 1 presents a conceptual framework for building resilience that distills USAID's approach. At the core of the policy framework is the idea that recurrent crisis is most likely found in places where chronic poverty and exposure to shocks and stresses intersect. Efforts to build resilience need to focus on these areas, where there is often low capacity to manage shocks.

To increase resilience, communities need both adaptive capacity and the ability to address and reduce risk. Adaptive capacity is the ability to quickly and effectively respond to new circumstances which includes ensuring that social systems, inclusive governance structures, and economic opportunities are in place. While the components of adaptive capacity are numerous and wide-ranging, USAID places a priority on the five displayed in the conceptual framework.

i. economic opportunities;
ii. livelihood strategies;
iii. nutrition and health services;
iv. environment, water, sanitation and management; and,
v. access to education.

Equally important is an ability to analyze and reduce risk through preparedness, mitigation, prevention, and protection. USAID places priority on the following areas to reduce risk:

i. access to risk assessment tools;
ii. early warning systems;
iii. reducing drivers of conflict;
iv. disaster risk reduction; and,
v. social safety nets and financial protection.

The resilience policy places strong emphasis on supporting functioning institutions of good governance and democratic accountability which are seen as essential to developing a country's adaptive capacity and its ability to address and reduce risk. Good governance requires institutions and processes that are transparent, accountable, and responsive to the people they serve and that promote positive state-society relationships (including a strong civil society and a vibrant private sector). Furthermore, good governance is crucial to prevent and mitigate conflict which plays a detrimental role in many of the communities where a resilience approach is needed, but where it commonly blocks sustainable progress.

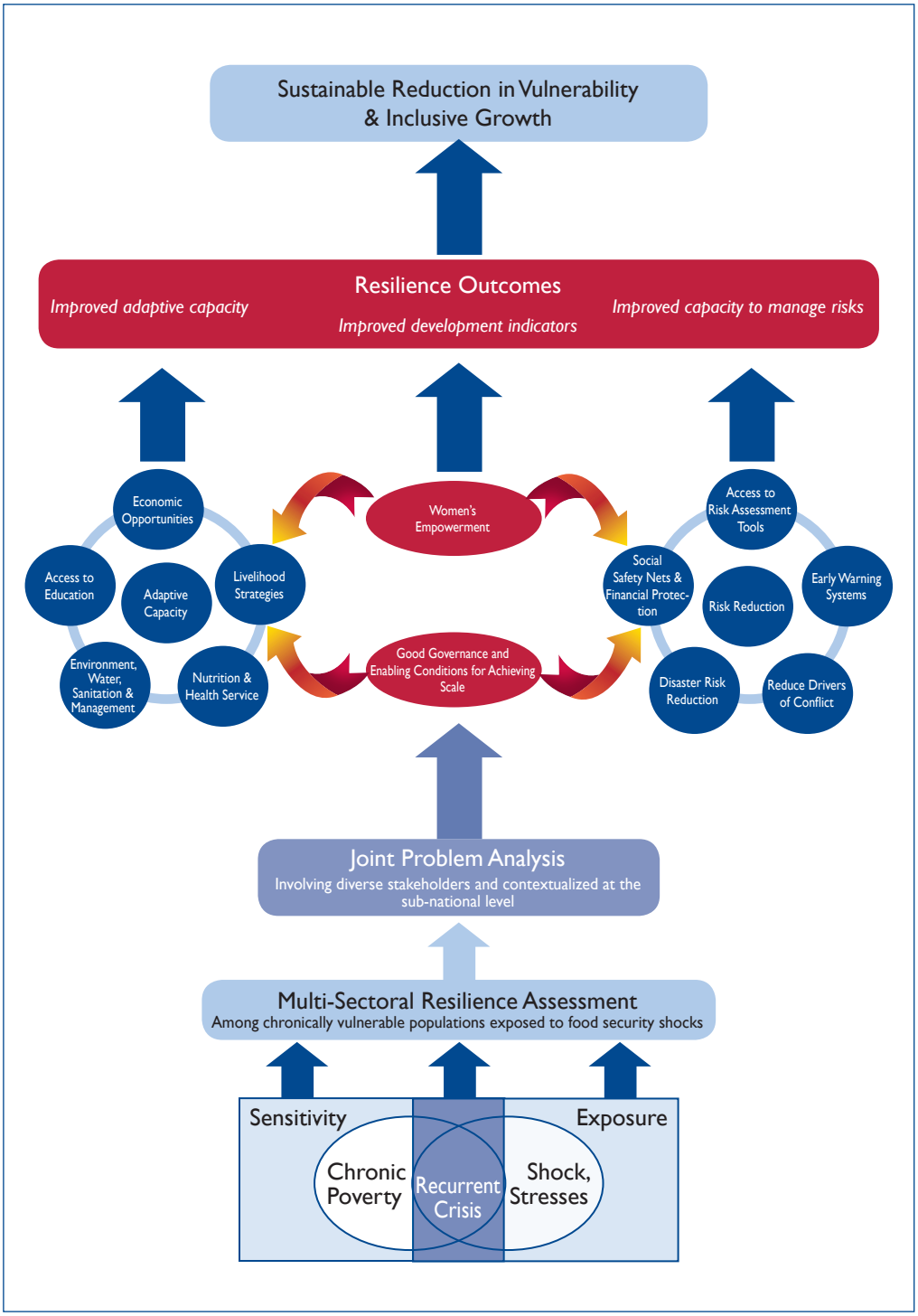


Figure 1: Conceptual Framework for Building Resilience

Research shows that shocks due to disasters reinforce and perpetuate gender inequality, as shocks can disproportionately affect women's access to income, assets, and other resources. As there are significant differences in how women cope with shocks as opposed to men, USAID policy advocates approaches that systematically and visibly reduce key gender gaps and ensure that women have access to the tools, resources, and opportunities to lead and participate.

The components of the conceptual framework are meant to guide USAID's work rather than comprise a checklist.

The guidance document accepts that every context will require a tailored approach, and USAID's specific contributions to building resilience will be adapted in a way that aligns and complements country and regional plans and works to strengthen the country enabling environment through support for appropriate policies and reforms. The policy document further states that USAID's approach focuses on close coordination with other partners, including other U.S. Government agencies, international donors, nongovernmental organizations, civil society, and the private sector.

4.0 The Horn of Africa Joint Planning Cell

USAID

Turkana woman waters her crops

The Joint Planning Cell (JPC) for the Horn of Africa is a group from the East Africa Mission, USAID/Office of U.S. Foreign Disaster Assistance (OFDA), USAID/Food for Peace (FFP), and the Kenya and Ethiopia Missions. It meets on a regular basis to develop and plan for a set of new programs for resilience as well as better coordinate existing programs. In early 2012, a joint approach, and mission-specific action plans were approved by USAID Washington and in April 2012, Administrator Shah publicly announced a significant funding commitment to support this strategy.

USAID's Horn of Africa JPC response is coordinated through the US Government's Global Hunger and Food Security Initiative, known as Feed the Future, along with the Bureaus for Food Security, Africa and Democracy, Conflict, and Humanitarian Assistance, working with key African partners and other development and humanitarian agencies in the region. With highest level support within the Agency, the three missions received additional financial year 2011 funding and their regular Feed the Future budgets for 2012 were increased for the resilience agenda, with the expectation that this increase in budget would continue. Over the five year period 2011-16 Ethiopia will receive an extra $76 million for its joint planning cell programs and leveraged $216 million of inputs from existing USAID programs. Over the same period Kenya will receive an extra $84 million for joint planning cell programs and leveraged $210 million of inputs from existing USAID programs. The East Africa Mission joint planning cell will receive $18 million in new funding and leveraged $25.5 million of inputs from existing USAID programs.

The goal of the Horn of Africa Joint Planning Cells is to directly benefit 10 million people and reduce the region's emergency caseload by 1 million people during a drought of 2011 magnitude within 5 years. Over the past year, USAID/East Africa, USAID/Ethiopia and USAID/Kenya have made significant progress on implementing the Horn of Africa (HoA) Resilience and Growth Action Plan.

The procurement timeline for new programs is on track and the Missions are delivering on the commitment to do business differently. Design and procurement teams within USAID have done a heroic job of getting the new JPC implementing instruments on board in much shorter procurement timeframes than normal circumstances. Both Kenya and Ethiopia have launched several new procurement efforts with these increased funds which are described in sections 5 and 6.

One of the major aspects in the Horn of Africa JPC program has been the high level of commitment by the humanitarian and development sides of USAID to not only work together but to actively put aside territorial interests to achieve resilience results. USAID's Emergency Programs (OFDA and Food For Peace) have been extraordinary in the way they have worked within their short-term emergency mandate to provide a pathway for longer term development programs to come on board and take ownership of programs in the ASALs. OFDA advocacy and funding of innovations such as the 'Crisis Modifier' within the JPC programs shows leadership and technical understanding of the needs within the ASAL communities (see text box 7). Allowing multiyear funding for emergency programs by senior managers in Washington and the field, is also a big step forward in Resilience programming.

USAID/Ethiopia hosted the first Horn of Africa JPC Field Management and Partners Meeting in Addis Ababa in February 2013. The meeting marked the one year anniversary of the approval of the Horn of Africa JPC Strategy. Two field visits were organized to assess and learn from some of the ongoing resilience activities funded by USAID/OFDA Ethiopia in Borena Zone (southern Ethiopia) and the Somali Region of Ethiopia. The Borena team visited an export abattoir (slaughter house), feedlot and fattening operations, improved communal rangelands, water rehabilitated sites, Income Generation Groups and livestock market centers. The Somali team visited Jijiga livestock market center, the Somali micro-finance, an Islamic sharia compliant financial service provider, and newly developed water sites using a high tech satellite imagery and radar technology. The team also visited Somali Region Research Center and Jijiga University. Both teams held discussions with Regional Government officials to understand and dialogue on Government policies and perspectives on pastoral livelihoods and resiliency.

4.1 Priority Intervention Areas

The Drought Disaster Resilience and Sustainability Initiative (IDDRSI) presented and endorsed at an IGAD General Assembly in February 2013 builds upon the Member States' Country Program Papers for ending drought emergencies. The IDDRSI Strategy and the Country Program Papers identify six priority intervention areas. These form the basis for the IDDRSI annual action plan for 2013. USAID's resilience building projects and programs, formulated through the JPCs, are designed to complement the seven priority areas:

HoA JPC conducts a joint field visit in Ethiopia

1. Natural Resource and Environment Management
2. Market Access, Trade and Financial Services
3. Livelihood Support and Basic Social Services
4. Pastoral Disaster Risk Management, Preparedness and Effective Response
5. Research and Knowledge Management and Technology Transfer
6. Conflict Prevention, Resolution and Peace Building
7. Coordination, Institutional Strengthening, Partnerships and Resource Mobilization

Table 1 shows how the USAID programs support one or more of the priority intervention action areas for the region and countries. The following sections of the report describe USAID resilience programs by region and country.

4 Communique of the General Assembly IGAD platform for Drought Disaster Resilience and Sustainability in The Horn Of Africa, 23 February 2013 (downloaded May 2012) http://www.igad.int/index.php?option=com_content&view=article&id=572:communique-of-the-general-assembly-igad-platform-for-drought-disaster-resilience-and-sustainability-in-the-horn-of-africa&catid=47:communique&Itemid=149

Table 1: Contribution of Joint Planning Cell Activities/Programs to IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI), Priority Intervention Areas

	IDDRSI Priority Intervention Areas						
Joint Planning Cell Projects and Programs	1	2	3	4	5	6	7
ETHIOPIA							
The Pastoralists Areas Resiliency Improvement through Market Expansion (PRIME) Program	✓	✓	✓	✓	✓		✓
Livelihoods Integration Unit (LIU) in the Ministry of Agriculture				✓	✓		✓
Land Administration and Nurture Development Program (LAND)	✓					✓	✓
Water , Sanitation, and Hygiene Transformation for Enhanced Resilience Program (WATER)	✓			✓			
Building Resilience Project in Gode Zone, Somali Region	✓	✓	✓				
Revitalizing Agricultural/Pastoral Incomes and New Markets (RAIN) program extension known as RAIN +	✓	✓	✓				✓
Productive Safety Net Program (PSNP)	✓		✓				✓
Governance and Conflict Prevention (SIPED2) designed but not contracted						✓	✓
Work Force Development designed but not finalised			✓				
Knowledge Learning and Dissemination Program (KLDP)	✓	✓	✓	✓	✓	✓	✓
KENYA							
Resilience and Economic Growth in the Arid Lands–Improving Resilience (REGAL-IR)	✓	✓	✓	✓	✓	✓	✓
Resilience and Economic Growth in the Arid Lands–Accelerated Growth (REGAL-AG)		✓	✓				
World Food Program Cash and Food for Assets Program			✓	✓			✓
APHIAplus Integrated Marginal Arid Regions Innovative Socialized Health Approach		✓	✓				
Kenya Arid Lands Disaster Risk Reduction – WASH Program	✓		✓	✓			✓
Northern Rangelands Trust	✓		✓	✓		✓	✓
EAST AFRICA REGION							
IGAD Secretariat Support					✓		✓
Technical Consortium for Building Resilience to Drought in the Horn of Africa					✓		✓
Animal Health Control across the IGAD Region		✓	✓		✓		✓
Regional Resilience Knowledge Management and Learning (planned awaiting contracting)					✓		
PEACE III program (planned awaiting contracting)						✓	

Pastoralist Girls School, Kalacha, Kenya

5.0 Joint Planning Cell Support to the IGAD Region

USAID

Dr. Shah provides remarks at IGAD Ministerial and High Level Development Partners Meeting, Nairobi, Kenya April 2012

The majority of JPC resources have focused on national level programs in Kenya and Ethiopia. Regional support from the East Africa Mission and Washington has primarily been used to strengthen the IGAD Secretariat and provided technical support to IGAD member states as they developed their own strategies to end drought emergencies.

USAID East Africa's JPC aims to link up regional governance, cross border security, trade facilitation, knowledge management and innovation to improve social stability and economic growth in dryland areas. It has worked at three levels over the past 15 months to build the capacity of the IGAD Secretariat; to support IGAD member states to design strategies for ending drought emergencies; and, thirdly, to improve animal health control across the IGAD region. The East Africa JPC continues to design new programs, notably a multiyear, resilience knowledge management and learning platform. Furthermore, a senior regional JPC coordinator will be hired to work across the three Missions of Kenya, Ethiopia and East Africa. USAID/Washington committed to supporting the missions with an interim JPC coordinator.

The JPCs support ongoing coordination and discussion on how to build the resilience of African communities and nations to disaster and how to adapt to a changing climate. For example, the USAID Kenya mission and OFDA provided partial support to the United Nations Office for Disaster Risk Reduction - Regional Office for Africa (UNISDR AF) to convene the Fourth Africa regional platform for disaster risk reduction. Over 250 participants from 45 African countries and partners gathered in Arusha in February 2013 for this event.

5.1 Support for Building Capacity in the IGAD Secretariat

USAID has committed US$1 million per year over four years to build the capacity of the IGAD Secretariat, in particular IGAD's Drought Resilience Unit to implement IDDRSI. IGAD is hiring additional professional staff to help improve their financial and human resource management systems, which encourages other development partners to invest in IGAD's work. USAID is aligning its investments with IGAD's existing 'Institutional Strengthening and Action Plan (ISAP)'.

USAID funds allowed IGAD to consult with member states and other stakeholders prior to the launch of the IDDRSI strategy and workplan in February 2013. The long-term commitment from USAID allows IGAD's drought resilience team to plan future support to member states, such as Somalia and South Sudan, who are still finalizing their Country Program Papers. USAID also provides funds for the team to bring partners together to discuss key issues such as regional monitoring and evaluation plans. In addition, USAID supports program activities of IDDRSI in knowledge management.

A donor working group on Technical Assistance to IGAD for Resilience met twice in 2012, to promote coordination and effectiveness. USAID encouraged the formation of this group, which is co-chaired by USAID and the German Society for International Cooperation (GIZ). The group includes government representatives working in East Africa from Denmark, Sweden, Norway, Finland, Germany, Italy, Switzerland, the EU, the World Bank, the African Development Bank, FAO, WFP, and UNDP.

USAID is currently finalizing a regional conflict management program called 'PEACE III. This program will build on previous conflict resolution programs and complement IGAD's Conflict Early Warning and Response Mechanism (CEWARN).

5.2 Technical Support for IGAD and its Member States

USAID/East Africa supports a $2 million grant from USAID/Washington to the 'Technical Consortium for Building Resilience to Drought in the Horn of Africa'. The consortium, hosted by the International Livestock Research Institute, is a joint program of the Consultative Group on International Agricultural Research (CGIAR) Centres and the FAO Investment Centre in Rome. The consortium brings together relevant research and academic organizations, including NGOs, to strengthen the knowledge base for resilience programming. The consortium completed technical briefs that bring together knowledge and best practices relevant to each of the six common priority intervention areas in the country program papers for ending drought emergencies (CPPs). These are now publicly available[5]. Using consultant support and joint review workshops, the Consortium has provided technical support to IGAD and the member states to prepare the CPPs and the IDDRSI regional program paper (RPP). In November 2012 the Global Alliance and its members, along with IGAD and the Governments of Kenya and Ethiopia affirmed the value of the role played by the Consortium and the need for it to continue to support the resilience agenda in the Horn of Africa.

The Consortium is increasingly seen as an innovative partnership linking demand driven research to investment planning for the drylands. For example, it has been asked by the FAO's sub-regional office to assist with the evidence base for IGAD's Regional CAADP compact. In the coming months, the Consortium will host a process to further develop and refine decision making tools that will help prioritise country and regional interventions that build resilience.

5.3 Animal Health Control across the IGAD Region

To increase the volume of regional trade in livestock, USAID provided a $2.5 million grant to the African Union's Interafrican Bureau of Animal Resources (AUIBAR) to harmonize animal health procedures across the IGAD region. It is expected that this grant will be part of a longer term commitment to animal health. Threats of disease outbreaks and movement controls currently hinder trade both within and from the region. The program stresses national ownership of the procedures and includes a strong capacity building component.

The program recently agreed on 'Standard Methods and Procedures' for peste des petits ruminants (PPR), one of nine serious trade-related diseases that have been prioritized. In early 2013 experts from across the region comprising the Chief Veterinary Officers and Directors Veterinary Diagnostic Facilities, visited the United States to learn how U.S. disease control and traceability systems areas might be adapted for the Horn of Africa. AU-IBAR will shortly contract technical institutions to provide extensive management and technical training to senior animal health officials across the region.

USAID/Jennifer Maurer

Camels watering at the rehabilitated springs in Kalacha, Kenya

5 : http://cgspace.cgiar.org/handle/10568/25209

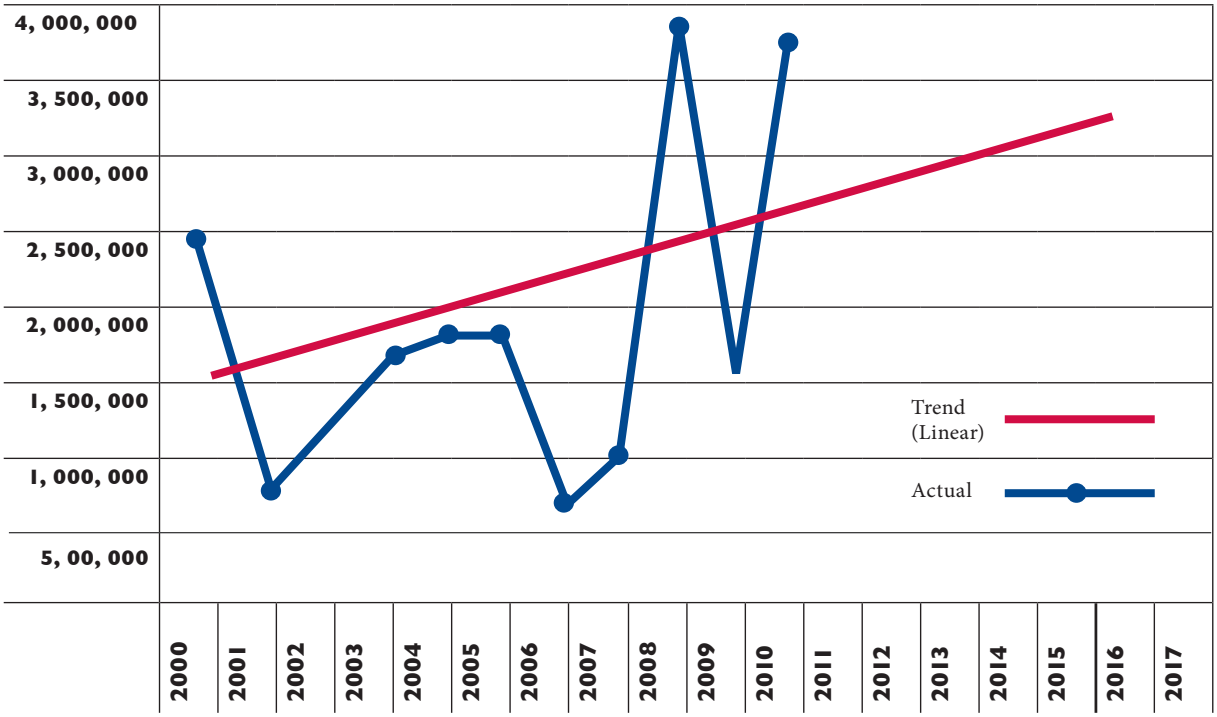
6.0 **Kenya:** Joint Planning Cell Programs and Activities

The 2010/11 drought reinforced a growing realization within USAID that the costs of humanitarian interventions in dryland areas were increasing annually and there was no credible plan to reverse this trend (refer to figure 2).

The Kenya JPC, comprised of six individuals, worked intensively to draft a strategic framework for risk reduction, building resilience and strengthening economic growth in late 2011. The framework took account of trends, opportunities, challenges, Government of Kenya policy, and USAID's comparative advantages. The framework became the basis for USAID's Kenya Drylands Action Plan. Under this plan USAID Kenya will spend US$84 million of additional funding between 2011 and 2016. There are four focus areas in the plan: institutions and governance, risk reduction, focused resilience and targeted growth. Programs developed to support these focus areas are described below.

The Kenya JPC layered programs such that they will leverage and link resilience related activities. Using this method over $210 million of funds were leveraged from existing programs. The basal layer primarily works to reduce risk and improve resilience across nine dryland counties. A second layer of programming is focused on resilience building at the community level in five of the nine counties and the third layer of program targets economic growth in the two of the five counties. This so called 9-5-2 approach already provides a forum for regular planning and cooperation meetings between USAID Kenya implementing partners. The meetings regularly invite Kenya's National Drought Management Authority (NDMA) and other key stakeholders, including FAO, to discuss topics of common interest. In March 2013, the World Food Program (WFP) hosted a field trip to Turkana (one of the poorest and most food insecure counties in Kenya) for the JPC and its implementing partners. The team which was accompanied by the NDMA, held a series of meetings with county authorities and other stakeholders. The main objective of the mission was for the implementing partners to learn and explore areas of layering and partnership. The layering process will ensure expansion and value addition to the existing WFP's Food for Asset activities and thereby contribute to sustainability and resilience.

Figure 2: No. in Need of Food Assistance in Kenya 2001-11: Actuals and Trend for Long Rains Assessment (August)



6.1 Focus area 1: Risk Reduction and Resilience

The WFP received $40 million in 2012 to work with communities to create assets that reduce and manage the worst effects of drought. The work, started in nine dryland counties, included strategic water resource development (water pans/dams, bunds to support rain-fed maize production, small-scale irrigation, fodder production) while supporting local project committees and county authorities. In 2012, 950,000 people benefited from Cash and Food For Assets (C/FFA) Projects. Gender targeted livelihoods diversification and gender balance in asset creation activities were stressed by the program. USAID is committed to funding this activity till 2014 and aims to reduce risk and improve resilience for 30% of communities in dryland areas.

Working in the same nine counties as WFP, the $50 million, five year, APHIAplus Integrated Marginal Arid Regions Innovative Socialized Health Approach (IMARISHA) program is led by the African Medical Research and Education Foundation (AMREF). The program has a resilience building component supported by Land O'Lakes. Land O'Lakes works with vulnerable groups particularly women and youth to enhance their access to income generating and economic strengthening activities, e.g. bee keeping and livestock production, particularly improved fodder production with small scale irrigation as well as community based animal health delivery.

6.2 Focus area 2: Focused Resilience Building

USAID's flag ship initiative for building resilience in Kenya is the US$45.5 million, five year, Resilience and Economic Growth in the Arid Lands – Improving Resilience (REGAL-IR) program. The program utilized development funds but builds on the work of the emergency funded Arid and Marginal Lands Recovery Consortium (ARC) Program implemented from 2009-12. Although ARC was emergency funds its goal was to sustain access to food in vulnerable rural communities through enhanced resilience to shocks.

REGAL-IR was contracted in August 2012 and is led by the NGO African Development Solutions (ADESO). The program, while still in an establishment phase, has completed a series of scoping missions in the five target Counties (Garissa, Isiolo, Marsabit, Turkana and Wajir. These counties were selected because they had the highest number and percentage of households in need of food assistance during the 2011 drought. The REGAL-IR program is utilizing a community-owned strategic planning process known as Participatory Learning, Planning and Action (PLPA). The process empowers communities by making local stakeholders responsible for mapping local resources, identifying opportunities and threats, and prioritizing their own development needs. This community engagement leads to the formulation of Community Development Action Plans. These are expected to primarily address issues such as diversification of livelihood opportunities, community management of natural resources, improving market access, conflict resolution, disaster risk reduction and improving nutritional outcomes. In March and April 2013, several inception workshops and training exercises were carried out for partners and stakeholders. The program aims to benefit over half a million people in coming years and places strong emphasis on supporting youth and gender equity. The program will link closely with WFP's asset development work in the five counties and is likely to partner with other USAID-funded initiatives, such as the Northern Rangeland Trust, to address both natural resource management, conflict and livelihoods diversification issues.

Box 3: Sidai Africa Ltd, a REGAL IR Implementing Partner

Founded in 2011 with support from the Bill and Melinda Gates Foundation, Sidai Africa Ltd is a registered company. By 2015 it aims to have established a network of at least 150 franchised and branded Livestock Service Centres in Kenya. Each franchise will provide quality animal husbandry and health goods and services to farmers and pastoralists.

Sidai aims to build a brand farmers can trust by only working with qualified people, purchasing quality products for the network and revolutionizing the way livestock services are provided to farmers. In one year 28 Sidai Livestock Service Centers have already been established in the remote North-East as well as the Rift Valley and east of Mt Kenya. Sidai recently joined REGAL-IR as an implementing partner.

The franchise helps suppliers improve margins to help grow their businesses. So they can employ extension staff and offer on-farm services and increase customer numbers. Sidai places strong emphasis on trying to shift animal health practice to preventing disease by promoting vaccine use.

In recognition of the likely occurrence of drought or other shocks during the program period, REGAL-IR has access to up to US$4 million of emergency funds as a 'crisis modifier'. Once triggered, crisis modifier funds can be rapidly utilized to reduce the impact of any emergency.

In December 2012, USAID Kenya launched a new water management program, designed to improve water utilization and quality. The program, known as the Kenya Arid Lands Disaster Risk Reduction – WASH Program, will assist water user associations at community level to manage water catchments and support efforts to improve drinking water quality and availability. This initiative is a true example of the joint planning cell approach. It is equally funded by USAID emergency relief and development funds to the tune of $8 million. The two year program receives an additional $1.83 million in matching funds from the implementing partner, the Millennium Water Alliance. The Millennium Water Alliance and its partners have already completed mobilization, mapping and site selection.

The Northern Rangelands Trust is a USAID funded initiative that has successfully established 26 wildlife conservancies in dryland areas. Each conservancy is managed by local communities and qualified managers. These conservancies have brought peace, land demarcation, tourist revenue and new technologies to local communities. They are seen as a key entry point for further natural resource management work and as such have been included in the groups to discuss 9-5-2 layering.

6.3 Focus area 3: Strengthening Economic Growth

USAID Kenya has good experience with value chain development in drylands. The three year (2010-13) Kenya Drylands Livestock Development Program (KDLDP) has been helping pastoralist households in northeast Kenya overcome the many obstacles to achieving both economic and food security. This program builds the resilience of pastoralist communities to drought by creating new jobs in the livestock value chain, encouraging value adding activities such as processing of camel meat and milk, jewelery-making from camel bones, and increasing opportunities for marketing and trade. For example, text box 5 describes the establishment of the Community Owned Financial Initiative, which is Kenya's first Sharia compliant savings and credit cooperative.

Building on KDLDP, in August 2012, USAID contracted a JPC-designed program called Resilience and Growth in the Arid Lands-Accelerated Growth (REGAL-AG) that aims to increase economic growth in two counties by improving the inclusiveness and competitiveness of livestock value chains. The program costs $20 million, lasts five years and is being implemented by ACDI/VOCA and its partners. The program will focus its work at the community level to improve their livestock productivity, add value to livestock products and increase access to markets. While the program is refining its workplan and training staff, it has completed the first of several value chain studies and a feedlot assessment.

Box 4: Usaid Supported - Community Owned Financial Initiative

The formation of the Community Owned Financial Initiative was facilitated by USAID's Kenya Drylands Livestock Development Program working in collaboration with the then Ministry of Co-operative Development and Marketing. This drylands program builds the resilience of pastoralist communities to drought by creating new jobs in the livestock value chain, encouraging value adding activities such as processing of camel meat and milk, jewelery-making from camel bones, and increasing opportunities for marketing and trade.

The new cooperative derives its mandate from the Co-operative Societies Act of 2004 and is Kenya's first Sharia compliant savings and credit cooperative to be recognised. It is seen as a potential model for refining and scaling up.

This breakthrough is important because the coop allows pastoralists and lower-income individuals and groups' access to financial services to promote their development. It addresses the key challenges faced by pastoralists, which include limited access to finance, fear of loans, lack of collateral, absence of risk management strategies, and low entrepreneurial capacity.

View the COFI website http://www.cofisacco.com/cofi.php?about

6.4 Focus area 4: Institutions and Governance

The Kenyan JPC's main deliverable over the past year is policy related. The Technical Consortium, with support from USAID, assisted Kenya to formulate a country program paper for ending drought emergencies. Timely production of the paper allowed the newly gazetted National Drought Management Authority (NDMA) and the former Ministry of Northern Kenya and Other Arid Lands to link the paper to a number of key policy papers notably Kenya's Vision 2030 Strategy for Development

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Market day at the Merille Livestock Market, Kenya

of Northern Kenya and Other Arid Lands. In addition to the Country Program Paper, a Sessional Paper on the National Policy for Sustainable Development of Northern Kenya and Other Arid Lands was approved by Parliament in December 2012. All these papers and in particular the CPP, subsequently informed the Government of Kenya's Medium Term Plan, 2013-2017 for Drought Risk Management and Ending Drought Emergencies. The plan details programs to be funded, policies to be changed and monitoring, evaluation and coordination mechanisms over the next five years. The plan forms the basis of a new social contract between central Government and dryland areas at a key stage in Kenya's constitutional development. The plans will be allocated a budget in June 2013.

Another key deliverable in Kenya has been the formation of the 'Arid and Semi Arid Lands (ASAL) Donor Group'. The group brings together, both humanitarian and development partners. The group is chaired by European Union and co-chaired by USAID with FAO acting as secretariat. The secretariat role includes compilation of donor funding and activity across ASAL areas. The group aims to align and co-ordinate resilience support in ASAL areas and to present a coordinated and harmonised developmental response to the government of Kenya especially on investment and policies for the ASAL The NDMA has met with the group several times. Terms of reference of the group have been agreed and these include development partners working together for joint planning, implementation and monitoring of initiatives in ASAL areas.

7.0 **Ethiopia:** Joint Planning Cell Programs and Activities

In 2011 USAID Ethiopia had a strong portfolio of effective, evidence-based humanitarian and development programs. These were built on a solid analysis of the state of pastoralism in Ethiopia's drylands. USAID had invested in knowledge management, learning and coordination in 2006 through the Pastoralist Livelihoods Initiative. By 2011 over 15 impact assessments had been conducted and key lessons disseminated (see text Box 7). This learning process and long experience of managing risk and vulnerability in Ethiopia meant that embracing a joint planning cell approach was not difficult. The USAID Ethiopia team could build upon existing programs funded through USAID's Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA), such as the Productive Safety Nets Program (PSNP) and Revitalizing Agricultural/Pastoral Incomes and New Markets (RAIN).

Ethiopia's JPC has been able to strengthen or extend existing programs, expand new programs to include pastoralist components and design new commitments. While the JPC continues to emphasize disaster risk reduction, improved adaptive capacity and good governance, new initiatives in dryland areas revolve around supporting the productivity and market access of those pastoralists who can make a living from their livestock in addition to helping those households who are transitioning out of pastoralism to find alternative livelihoods.

To build on the success of its knowledge management USAID Ethiopia's JPC has designed and will soon contract a cross cutting Knowledge Learning and Dissemination Program (KLDP).

To coordinate and align development partners, USAID Ethiopia is a co-chair, under the leadership of the Government of Ethiopia, of the Pastoralist Areas Livelihoods Technical Working Group. This group falls under the Rural Economic Development and Food Security Committee. The working group has similar terms of reference to Kenya's newly formed ASAL donor group but is more embedded in government structures.

Other programs designed by the JPC are grouped under four key objectives which all support IGAD's priority action areas and are as follows:

Box 5: **PRIME's Goals**

The Pastoralists Areas Resiliency Improvement through Market Expansion (PRIME) Program aims to:

1. Improve productivity and competiveness of livestock and livestock products;
2. Enhance pastoralists' adaptation to climate change;
3. Strengthen alternative livelihoods for households transitioning out of pastoralism; and
4. Ensure enhanced innovation, learning and knowledge management.
5. Nutrition is a cross cutting activity to reach households with improved access to livestock products, diet diversity and behavior changes messaging.

The program recently used six different tools to convene "talking shops" to gather value chain knowledge, lessons learned and best practice from previous value chain projects. As a result the program has identified seven focus value chains:

- Livestock
- Financial Services
- Employment/Labor
- Dairy
- Animal Health Inputs & Extension Services
- Agricultural Inputs & Extension Services
- Renewable Energy for the micro/household level

Newly drilled bore hole in Somali Region in Ethiopia

Prime will utilise and adapt novel tools such as the Emergency Market Mapping and Analysis (EMMA) Toolkit for this work. In the effort to improve productivity and market access for pastoralists, key players from production to processing to retailing will come together to agree on the demand, production parameters, growth, centers of excellence, competitive advantages, consumer trends, bottlenecks and incentives driving the value chain.

7.1 Increased Economic Opportunities

One of USAID Ethiopia's main resilience building programs is the five year, $53 million, Pastoralists Areas Resiliency Improvement through Market Expansion (PRIME) Program. Contracted in October 2012 and led by the NGO Mercy Corps, the program aims to reach 250,000 households in 3 regions of Ethiopia. The program has established offices, recruited and deployed key personnel and technical teams. The program has four objectives: to help pastoralists improve their productivity, adapt to climate change, gain alternative livelihoods and manage knowledge and innovation. In terms of improving production and gaining new livelihoods, fifteen markets have been reviewed and seven value chains identified for detailed assessment (text box 6).

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Women pastoralist selling goats on market day in Merille, Kenya

PRIME contains several key innovations, firstly the JPC has ensured a smooth transition from humanitarian to development funding for PRIME, by extending funding for the Pastoralist Livelihoods Initiative and RAIN programs[6] until PRIME is established. Secondly, PRIME will link directly with the Productive Safety Nets Program (PSNP) investments in the region, leveraging the robust work of a national level safety-net and resilience-building effort. Finally PRIME has access to crisis modifier funds for when the next emergency occurs.

USAID's experience in developing women's participation in programs through an action oriented approach that has proved successful has been integrated into planning PRIME.

The JPC is finalising, using joint humanitarian/development assessment, the design of a new initiative called 'Work Force Development' to provide for people, particularly youth, transitioning out of pastoralism, with little capacity to adopt new livelihoods or gain formal employment. This initiative is due to commence in late 2013 and will also be integrated into PRIME.

7.2 Strengthening Institutions, Governance and Social Accountability

The JPC is providing $6.8 million over three years to the Livelihoods Integration Unit (LIU) to assist the Ministry of Agriculture's Disaster Risk Management and Food Security Sector (DRMFSS) to improve its capacity to anticipate and manage shocks and disasters in a timely manner. These funds will build upon previous work by the unit that collected Household Economy Analysis (HEA) baseline data and produced the Atlas of Ethiopian Livelihoods. In this new phase, LLC Kimetrica will support the unit's capacity to analyse complex baseline data to allow improved tracking and reporting on trends in rural incomes, early warning and disaster risk preparedness. This includes the integration of improved climate change decision-making models.

6 USAID provided an extra $3.8m of humanitarian funds to extend RAIN through to the start of the PRIME Program.

Box 6: **USAID Pastoralist Livelihoods Initiative**

The USAID Funded Pastoralist Livelihoods Initiative led by Tufts University completed over 15 impact assessments (2006-11). The knowledge and best practice guidance developed from this work has produced:

- Development and institutionalisation of 'Crisis Modifiers' that allow development programs to re-organize budgets and draw upon emergency funds to respond to emergencies with quick livelihoods interventions. For example emergency de-stocking, animal health, fodder supply and water provision.
- Adoption of Livestock Emergency Guidelines by the Government of Ethiopia
- Demonstrated 44:1 benefit to cost for commercial de-stocking in pastoralist areas and evidence the commercial destocking catalyzes expanded markets for Pastoralist livestock.
- Built on evidence from global livestock research that USAID's action oriented approach encouraged poor women became to leaders and rapidly changed their communities *(see Capacity Building Helps Pastoral Women Transform Impoverished Communities in Ethiopia: D. Layne Coppock, Solomon Desta, Seyoum Tezera, Getachew Gebru. Science Vol 334, 9 December 2011 AAAS)*
- The nutrition study, 'Milk Matters' funded by OFDA, demonstrated the importance of milk production in combating child malnutrition in dry seasons and droughts
- Somali Regional government published a good practice guideline for water development: to improve borehole management, rangeland management, reduce water trucking and assess cost benefit of irrigation programs.

7.3 Improved Security Conditions and Conflict management Capacity

A new phase of the Strengthening Institutions for Peace and Development (SIDEP II) program has been planned. (see text box 8) Once contracted, this US$18.4 million program will establish and strengthen partnerships between government structures, officials and local communities to better understand and collaboratively address the issues, including access and use of natural resources which can lead to violent conflict and ensure that development interventions are conflict sensitive and managed under the guise of 'good governance'. The JPC contribution is $7 million, over five years. This program is now in the procurement phase.

7.4 Sustainable Natural Resource Management

Security of land tenure and respect for customary land rights have been shown to be key issues in Ethiopia over the past decade (ref). The JPC is providing an additional $3.5 million to the Land Administration to Nurture Development (LAND) project. The project has just started and will assist the Government of Ethiopia to develop effective land and water administration systems, policies, proclamations and regulations that will promote investment in agriculture, pastoralism and other rural enterprises.

Access to and utilization of water for rangeland management and sedentary agriculture are central to the sustainable development of dryland areas. In past crises, humanitarian water responses emphasized rehabilitation of water sources and water trucking. With the advent of the JPC and USAID's resilience agenda, a direct link is being made between those areas that are most at risk if water shortage occurs and hence humanitarian response and longer term water resource development plus the effective environmental management of those water resources. USAID plans to build on state of the art water survey technologies to assess existing pastoral groundwater water resources accurately and to facilitate the effective, equitable and productive use of those resources.

This work will be closely linked to utilisation of the good practice guideline for water development adopted by the Somali Regional State Government.

In partnership with Radar Technologies International (RTI), the project combines remotely sensed satellite data with ground radar and other sources of hydrogeological information to develop GIS maps of potentially high yielding wells in an area of 41,000 km2.

USAID has provided $2.2m of humanitarian funds to Save the Children to support its Building Resilience

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Women livestock trader completing a sale of goats at Merille Market, Kenya

Project in Gode Zone, Somali Region till 2014. The project complements the Sustainable Humanitarian Assistance Program for Ethiopia (SHAPE) implemented by Global Communities in Gode Zone. SHAPE included the development of Asset Building Groups. Each group consists of up to 80 members of a community that engage in a business venture that benefit from increased collective productive capacity and bargaining power. Over the past months, the Building Resilience Project has conducted participatory natural resources mapping for 13 project sites, and has supported cash-for-work natural resource rehabilitation activities, including prosopis clearing, grazing land rehabilitation and water scheme rehabilitation, for over 1700 beneficiaries. The program also supported a vaccination campaign which helped treat and vaccinate over 100,000 livestock against parasites, tryposonomosis and infectious diseases. USAID humanitarian funds have been allocated to the project till 2014 and it is planned that it will then be able to sequence into a development funded program.

USAID support to the Productive Safety Net Program (PSNP) is implemented by Save the Children Federation, in coordination with the local/regional/federal government, in five pastoral areas of Somali region and one woredas of Borena zone in Oromiya region. In 2012, the organisation received $14.8 million worth of food aid. Food transfers were made to 135,226 chronically food insecure beneficiaries and to support public work activities such as rangelands management that improve the pasture conditions and facilitate regeneration of pastures for livestock grazing. It also implemented activities to increase water supply hence reducing distances travelled by women, including building water structures to retain water for 2-3 months beyond the rainy season, as well as permanent water sources.

The JPC is designing a $15.5 million, three year WASH project in the pastoral areas of Afar, Oromiya, Somali and the Southern Nations and Nationalities and People's Region (SNNPR).

In March 2013, USAID/Ethiopia awarded the Land Administration to Nurture Development (LAND) project to Tetra Tech. The JPC contribution of $2.78 million is to support pastoralists land tenure, access to grazing lands and land ownership.

8.0 Cross cutting issues

8.1 **Gender**

Female empowerment and gender equality is a core component of the joint planning cell efforts in the Horn of Africa, and is widely recognized as integral to the success of joint planning cell programs to achieving development and humanitarian objectives more broadly. In line with this recognition, a joint State Department/ USAID gender team visited the region in October 2012. Findings and recommendations from this review for implementation of joint planning cell efforts in USAID/ Ethiopia, USAID/Kenya and USAID/East Africa are currently being integrated into the various programs.

USAID has designed new programs in the Horn of Africa that use an integrated approach and which have an opportunity to fully integrate gender equity and female empowerment in each of the activities in Kenya, Ethiopia, and at the Regional level. The approaches of both the PRIME project in Ethiopia and the REGAL projects (AG and IR) in Kenya use integrated models that address the complexities and realities of pastoralist life today such as the Women's Empowerment in Agriculture Index (WEAI). The WEAI measures the empowerment and inclusion of women and increases understanding of the connections between women's empowerment, food security, and agricultural growth. The index is a significant innovation in its field[7]. Multiple activities target people at different stages: those continuing to live as pastoralists, those moving out of pastoralism, and those who have already left the pastoralist life. Further, the programs seek to address issues, challenges and needs of actors at all levels of the value chain.

Sufficient technical skills related to gender gaps and gender relations are necessary for successful program implementation. Several observations of the team in

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Gender focused discussion in Kalacha Market, Kenya

7 The Women's Empowerment in Agriculture Index Manual and Questionnaire (downloaded May 2013) http://www.ifpri.org/publication/womens-empowerment-agriculture-index

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Women group at Merille, Kenya

both Ethiopia and Kenya suggested that field-level staff of partners or sub-contracted organizations would benefit from additional gender training and/or gender coaching or mentoring, and additional consideration should be given to hiring gender experts.

8.2 Monitoring and Evaluation

Monitoring and evaluation is key to the success of the resilience program planning and implementation. USAID's 'Policy and Program Guidance on Building Resilience to Recurrent Crisis'[8] recognizes that the resilience approach and the formation of joint planning cells requires significant investments of time, human and financial resources. The policy states that until proof of concept is shown, USAID will only invest in a small but diverse set of focus countries. The diversity of these countries (in the Sahel and Horn of Africa) will allow the organisation and its partners to gain experience in variety of circumstances that will contribute to this evidence base. Furthermore, USAID's multiyear strategic planning process, the Country Development Cooperation Strategy (CDCS) requires that USAID missions base country strategies on evidence and analysis drawn from relevant studies and data.

USAID is gathering its evidence at a number of different levels. At the global level, USAID jointly funded, with the FAO and the WFP, an expert consultation on resilience measurement for food security. Held in FAO, Rome in February 2013, the consultation demonstrated that there are several resilience measuring models being developed. The meeting established a technical working group to provide evidence and produce guidance on and good practices for measuring resilience. The USAID funded Technical Consortium and IGAD's drought resilience unit staff are part of this technical working group. Furthermore, the Global Alliance offers an excellent opportunity for the development partners to work on common resilience measuring models and indicators.

Concurrently USAID's East Africa mission and Technical Consortium are supporting IGAD as it formulates a practical monitoring system for the region.

8 Published December 2012 (Downloaded May 2012) http://transition.usaid.gov/resilience/USAIDResiliencePolicyGuidanceDocument.pdf

At the national level USAID Ethiopia, with support from Washington, has contracted the International Food Policy Research Institute and the Government of Ethiopia Central Statistics Agency to carry out a population baseline survey. This started in May 2013. USAID funded resilience programs are being asked to use common indicators including those of the 'Feed the Future' initiative.

In Kenya, USAID/Washington supported the mission to undertake a population baseline survey through the USAID/Washington FEEDBACK project. Similarly Kenyan resilience programme implementing partners are being asked to utilise common indicators, including those of the Feed the Future initiative. The ASAL donor group is engaging with the National Drought Management Authority (NDMA) to formulate a monitoring and evaluation system for all donor funded projects and NDMA initiatives. USAID Kenya plans to second staff into the NDMA to assist it in the development of this system.

Ultimately the objective is to measure resilience-related processes and outcomes including, but not limited to household, community and systems-level (social, ecological, economic) adaptive capacity, social capital/social networks, risk management and reduction strategies, perceived shocks, and responses to shocks. For example, diversity of livelihood strategies, assets, and social networks; propensity for household savings; and financial opportunities may, as part of a set, provide insight into increased adaptive capacity. More traditional development indicators – such as those related to income, food security, and nutrition – will also be critical, as will versions of these indicators that reflect the distinct nature of resilience investments (see topline indicators below). The Women's Empowerment in Agriculture Index (WEIA) will be used alongside gender disaggregated indicator to gauge the centrality of gender and social inclusion to resilience.

The Horn of Africa and Sahel JPCs have agreed upon a limited set of top-line indicators of resilience-related livelihood outcomes and impacts as summative measures of the results of JPC efforts. These include[9]:

- Reduction in humanitarian assistance needs, normalized by severity of drought (using NDVI). The means through which these needs are determined are not fully consistent between countries or over time. As such, it should not be used as a standalone measure.
- Depth of Poverty (DoP) as contextual complement to Feed the Future's (FTF) poverty prevalence measure to allow the full(er) impact of resilience efforts focused on chronically vulnerable populations and areas to be captured in poverty reduction terms.
- Moderate to severe hunger which is already a required-if-applicable FTF economic resilience indicator derived from the Household Hunger Scale (HHS).
- Global Acute Malnutrition (GAM) as a contextual complement to FTF's stunting measure that reflects the fact that persistently high acute malnutrition – even in good seasons and years – is a distinct nutritional feature of the arid and dryland areas USAID's resilience efforts in the Horn (and Sahel) have targeted.

: USAID/Jennifer Maurer

Kalacha DIDA Spring Rehabilitation site, Kenya

USAID/Jennifer Maurer

USAID's livestock specialists hold discussions with women livestock trader in Kalacha Market, Kenya

9 All 4 indicators can be derived from FTF/FFP baseline data or secondary data. No additional data are required.

9.0 Lessons Learned and Way Forward

Most of the lessons arising from the formation of the joint planning cells and the Global Alliance relate to process. The knowledge management and learning programs that will assess impact and advise on best practice have yet to gain traction as most of the new programs, designed by the joint planning cell are still getting established.

The establishment of the JPCs has required relatively high transaction costs in terms of staff time and commitment. New kinds of incentives are required for humanitarian and development workers to move beyond their existing stovepipes or silos. For them to do so requires strong leadership and guidance. Kenya learned that the JPC should comprise a small group of selected technical experts. Individuals need to be encouraged to leave their departmental hats to one side and adjust their time commitments for some serious planning. Annual performance plans and deliverables need to be adjusted accordingly. Field missions, to carry out joint assessments, proved to be particularly useful in building bridges between humanitarian and development thinking. It is important for each joint planning cell to agree a common framework for building resilience. This common framework will vary according to local field conditions, and the policy and governance environment. However once the framework is agreed, program design become easier.

In summary the key lesson is not to underestimate the transaction costs and leadership required at the start of a joint planning process. Joint planning cell establishment is an innovative process that can be used in many different contexts. Although in the Horn of Africa, JPCs have been launched as a new program with increased funding, the JPCs as a process can be used within any context. For example, joint planning cells could be used to support local governance and devolution in Kenya.

The JPC remains an ongoing process, focused on new ways to promote resilience in the most vulnerable areas through sequenced, layered, and integrated humanitarian and development programs. Moving forward, the Ethiopia joint planning cell plans to target additional chronically vulnerable areas and expand the number of jointly-funded/integrated resilience programs whilst utilising the crisis modifier mechanism. The idea of all stakeholders coming together to jointly plan, program and implement is a very powerful tool.

Recent experience of resilience program implementation suggests that USAID is on a learning curve with joint planning cells. Implementing partners also find it challenging to shift between relief/recovery work and development work. The need to support implementing partners to transition between the two approaches needs to be factored into inception phases and program start up.

The importance of high level buy in has been consistently cited during interviews carried out in the preparation of this report. The role of the Global Alliance in incentivising and encouraging coordination and collaboration of development partners at national level should not be underestimated. It is important for USAID/Washington to maintain momentum on the Global Alliance and the leadership that it provides the field.

The role of the CGIAR/FAO Technical Consortium in accelerating the development country program papers was noted. There is a suggestion that the Technical Consortium could become a much more important tool for the region if it has expanded support from other Global Alliance members. Another thought is to have the Technical Consortium become an integral part of the IGAD IDRISSI Steering Committee, if they are not already on the committee, to become more formally engaged with IGAD.

USAID/Jennifer Maurer

Livestock trader buying camels in Merille Market, Kenya

Making an entire sector, system, or nation more resilient requires a complex level of engagement with host country partners that are able to exercise key state functions and demonstrate the political will for reform in areas where structural problems commonly interfere with or undermine resilience. Engagement with these complex systems requires senior national staff who are comfortable engaging with senior policy makers. Both the Kenya and Ethiopian JPC management very much appreciated the critical contribution to success the national USAID staff had made in engaging with government on policy issues. Related to this observation it is worth commenting on the pace of change. Policy and legislative change in Africa is relatively slow. It is important to be realistic about what can be achieved within a given timeframe. Deadlines that are established remotely risk alienating local actors when local ownership is a vital part of building resilience.

Over the past year HOA JPC has successfully combined humanitarian, post disaster recovery, disaster risk reduction and development approaches into program design. These programs are now getting established. Partners have been trained, communities engaged and selected, local authority approval and engagement sought and baseline studies completed. Development partners have geared up their coordination and collaboration. The stage is set for the programs to begin to deliver results that support IGAD's IDDRSI and the goals of the national strategies for ending drought emergencies. The priority for the next 6 months will be to ensure good baseline data is recorded with national authorities, effective indicators are selected and a monitoring and evaluating/mutual accountability framework for the resilience agenda for the Horn of Africa is agreed.

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