



**CROSS-BORDER INTEGRATED PROGRAMME  
FOR SUSTAINABLE PEACE AND SOCIOECONOMIC  
TRANSFORMATION: MARSABIT COUNTY, KENYA  
AND BORANA AND DAWA ZONES, ETHIOPIA**

**Framework Agreement**

*PK JMC HA JW*

5



## Table of Contents

<b>EXECUTIVE SUMMARY .....</b>	<b>8</b>
<b>1. BACKGROUND .....</b>	<b>12</b>
1.1 Inception of the Cross-Border Programme.....	12
1.2 Geographic Coverage .....	13
1.3 Development Challenges .....	13
1.3.1 Poverty and Conflict .....	13
1.3.2 Gender Inequality .....	14
1.3.3 Youth and Development .....	14
1.3.4 Mobility, Migration and Displacement.....	15
1.3.5 Water, Sanitation and Hygiene (WASH).....	15
1.3.6 Health, Nutrition and HIV .....	16
1.3.7 Education .....	17
1.3.8 Pastoralism.....	18
1.3.9 Climate Change and Livelihoods.....	18
1.4 Development Opportunities.....	19
1.5 Theory of Change .....	20
<b>2. PROGRAMME DESCRIPTION .....</b>	<b>21</b>
2.1 Goal .....	21
2.2 Overall Objective.....	21
2.3 Specific Objectives .....	22
2.3.1 Conflict Resolution and Peace Building.....	22
2.3.2 Improved Environment and Natural Resource Management.....	22
2.3.3 Market Access, Trade and Financial Services .....	22
2.3.4 Livelihoods support and Basic Social Services .....	22
2.3.5 Disaster Risk Management, Preparedness and Response.....	22
2.3.6 Research, Knowledge and Technology Management, and Monitoring and .....	22
2.3.7 Coordination, Institutional Strengthening, Partnerships and Resource .....	22
2.3.8 Summary Table: Objectives, Priority Outputs and Indicative Budget.....	23

PK      JMK      HA      Jw



2.4 Outcomes .....	24
2.4.1 Peace Building .....	24
2.4.2 Resilience and Development .....	24
2.5 Programme Strategy .....	25
<b>3. GUIDING PRINCIPLES.....</b>	<b>26</b>
3.1 Programme Approach and Scale.....	26
3.2 Country Ownership.....	26
3.3 Equity and equality .....	26
3.4 Resource Mobilization:.....	27
3.5 Cross Cutting Issues .....	27
<b>4. INSTITUTIONAL ARRANGEMENTS AND PROGRAMME IMPLEMENTATION .....</b>	<b>28</b>
4.1. Country Management Systems .....	28
4.2 Role of the UN.....	28
4.3 Annual Work Plans.....	29
4.4 Joint Steering Committee (JSC) .....	29
4.5 Joint Technical Committee (JTC).....	29
4.6 National Steering and Technical Committees .....	30
4.7 Joint Implementation Systems (JIS) .....	31
4.8 Organogram .....	31
<b>5. MONITORING AND EVALUATION .....</b>	<b>32</b>
5.1 Within the Annual Cycle .....	32
5.2 Reporting .....	32
5.2.1 Annual Review Report.....	32
5.2.2 Annual Programme Review:.....	32
<b>6. SUSTAINABILITY PLAN / EXIT STRATEGY .....</b>	<b>33</b>
<b>7. RISK ANALYSIS AND MITIGATION PLAN.....</b>	<b>34</b>
7.1 Risk Management Matrix .....	35
<b>8. BUDGET FRAMEWORK: DETAILED AND SUMMARY .....</b>	<b>35</b>

PK  
H-A  
JW



## ABBREVIATIONS AND ACRONYMS

AIDS	Acquired Immunodeficiency Syndrome
AWD	Acute Watery Diarrhea
AWP	Annual Work Plans
CIDP	County Integrated Development Plan
CPP	Country Programme Papers
DRMC/ENCU	Emergency Nutrition Coordination Unit
EDHS	Ethiopia Demographic and Health Survey
EU	European Union
FGC/M	Female Genital Cutting/Mutilation
GAM	Global Acute Malnutrition
GIS	Geographic Information System
GTP	Growth and Transformation Plan 2
HIV	Human Immunodeficiency Virus
IDDRSI	Drought Disaster Resilience and Sustainability Initiative
IDPs	Internally Displaced Persons
IGAD	Intergovernmental Authority on Development
JIS	Joint Implementation System
JSC	Joint Steering Committee
JTC	Joint Technical Committee
LAPPSET	Lamu Port-South Sudan-Ethiopia-Transport
MoFPDA	Ministry of Federal and Pastoral Development Affairs
MoU	Memorandum of Understanding
MPTF	Multi Partner Trust Fund
OVCs	Orphans and Vulnerable Children
PLWD	Persons Living With Disability
PMTCT	Prevention of Mother to Child Transmission
PPRs	Programme Progress Reports

*PK Amic*

*H.A. fu*



RBA	
RPP	Regional Programming Papers
SDGs	Sustainable Development Goals
SGBV	Sexual and Gender Based Violence
SNNPR	Southern Nations Nationalities and People's Region
STIs	Sexually Transmitted Infections
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNOCHA	United Nations Office for the Coordination of Humanitarian Affairs
WASH	Water, Sanitation and Hygiene

PK  
JMK  
fw  
H-A



**Programme Title:** Cross-Border Integrated Programme for Sustainable Peace and Socio-Economic Transformation: Marsabit County, Kenya, and Borana and Dawa Zones, Ethiopia

**Programme Number:**

**Lead:** Government of the Republic of Kenya; and Government of Federal Democratic Republic of Ethiopia

**Implementing:** Regional and County Governments, and Line Ministries

**Supporting:** IGAD, UN Country Teams and Development Partners

**Start Date:** 22 June 2017

**End Date:** 22 June 2022

**BRIEF DESCRIPTION**

The Governments of the Federal Democratic Republic of Ethiopia and of the Republic of Kenya, (hereafter referred to as “the two Governments”) in cooperation with the Intergovernmental Authority on Development (IGAD), and UN Country Teams of Ethiopia and Kenya, initiated this Cross-border programme for conflict prevention and sustainable development in Marsabit County, Kenya and Borana/Dawa Zones, Ethiopia. The objective of the programme is to reduce vulnerability and increase the resilience of communities affected by conflict and other recurrent shocks and to economically empower the communities through a judicious mix of socio-economic transformative programmes. The five-year programme is a response to the Memorandum of Understanding (MoU) signed by the two Governments in the border town of Moyale on 7 December 2015 to promote sustainable peace and socio-economic development in these cross border regions.

**KEY PROGRAMME OUTPUTS:**

1. Strengthened conflict resolution and peace building mechanisms;
2. Improved environment and natural resource management;
3. Enhanced market access, trade and financial services;
4. Improved livelihoods support and basic social services
5. Strengthened disaster risk management, preparedness and response;
6. Enhanced research, knowledge and technology management, and monitoring and evaluation; and
7. Strengthened coordination, and institutional arrangements, partnerships and resource mobilization.

The programme is organized around the following major principles: (1) *Programme approach, country ownership, equity, sustainability and common resource mobilization strategies; and (2) Cross cutting issues will be reflected in the programme considering relevant aspects of gender equality and women's empowerment, youth, children and the physically challenged issues, environmental sustainability, humanitarian response, inclusiveness, rights and social protection.*

The programme will also ensure adherence to institutional arrangements and programme implementation systems as agreed upon by both countries.

**RESOURCE REQUIREMENTS:**

Total resources required as per framework budget (USD): 550,000,000

Total resources pledged:

Resources pledged, committed and indicated by the national, county and regional governments, the UN and partners, is currently estimated to approximately USD 100 000 000 or ~20% of the budget requirements.

Resource allocation will be formalized through financing agreements, signed with respective funder, against this framework, prioritized activities and identified budget.

Further resource mobilization will be done against this framework agreement to fully resource the programme.

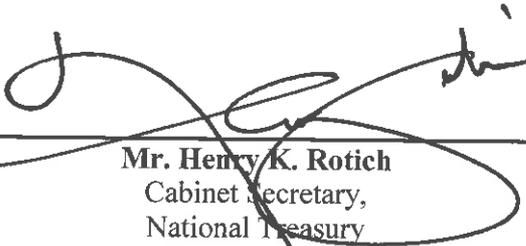
PK JMK JPO H-A



**CROSS BORDER INTEGRATED PROGRAMME FOR SUSTAINABLE  
PEACE AND SOCIO-ECONOMIC TRANSFORMATION:  
MARSABIT COUNTY, KENYA & BORANA AND DAWA ZONES,  
ETHIOPIA**

**Framework Agreement**

On behalf of the Government of the  
Republic of Kenya



---

**Mr. Henry K. Rotich**  
Cabinet Secretary,  
National Treasury

Date: 22<sup>nd</sup> June 2017.

On behalf of the Government of the  
Federal Democratic Republic of  
Ethiopia



---

**H.E. Kassa Teklebrhan**  
Minister,  
Ministry of Federal & Pastoralist  
Development Affairs

Date: 22<sup>nd</sup> June 2017.

On behalf of the  
United Nations System,  
Kenya



---

**Mr. Siddharth  
Chatterjee**  
Resident Coordinator

Date: \_\_\_\_\_

On behalf of the  
United Nations System,  
Ethiopia



---

**Ms. Ahunna Eziakonwa**  
Resident Coordinator

Date: 22 JUNE 2017

On behalf of the  
Inter-Governmental  
Authority on Development

---

**H.E. Amb. (Eng.)  
Mahboub Maalim**  
Executive Secretary

Date: \_\_\_\_\_





## EXECUTIVE SUMMARY

### Programme Title

Cross-Border Integrated Programme for Sustainable Peace and Socioeconomic Transformation: Marsabit County, Kenya, and Borana and Dawa Zones, Ethiopia.

### Programme Overview

The Governments of Kenya and Ethiopia, in partnership with IGAD and the UN Country Teams of Ethiopia and Kenya, have initiated a cross border programme to jointly address the challenges of security and development in the cross-border regions of Marsabit County in Kenya, and Borana and Dawa zones in Ethiopia. This cross-border region is characterized by conflict, underdevelopment and chronic poverty. This is a region that is home to communities that do not always see themselves homogenous and are further separated by administrative boundaries. Both governments have recognized that the solution to endemic conflict and poverty is to simultaneously address the challenges to peace and development from the perspective of "One Cross-Border Area" and "One Programme." This approach demonstrates - at the highest levels - a clear commitment to change the narrative of the endless cycle of emergencies by focusing on the humanitarian and development nexus in order to build resilience, enhance livelihoods and sustain development.

The transformation of the cross-border region requires a judicious mix of socioeconomic programmes that systematically address obstacles to development and build on opportunities for peace and prosperity. This transformative process is premised on Kenya's Vision2030 and Ethiopia's Growth and Transformation Plan (GTP2), and builds on the Special Status Agreement signed in 2012 by both governments. As both governments strive to reduce poverty and increase levels of development, there are global platforms such as the Sustainable Development Goals (SDGs) that provide a road map to achieving development outcomes. There are also regional policy frameworks established by the Intergovernmental Authority on Development (IGAD) to end drought emergencies in the Horn of Africa.

Following extensive consultations, a Memorandum of Understanding was signed in the presence of H.E. Uhuru Kenyatta, President of the Republic of Kenya, and H.E. Hailemariam Desalegn, Prime Minister of the Federal Democratic Republic of Ethiopia, on 7 December, 2015 in the border town of Moyale. The MoU was signed in the presence of Kenya and Ethiopia government officials, cross-border community members, the IGAD Executive Secretary, the United Nations from Kenya and Ethiopia, and Development Partners.

The MoU has led to a **Programme Framework** that is based on extensive cross-border consultations and high level meetings throughout 2016 in order to agree on programme priorities, guiding principles and institutional arrangements. This Programme Framework focuses on seven prioritized output areas that will be embedded in programmatic approaches and detailed in "living" annual work plans that will be adjusted to reflect the dynamic and complex nature of this cross-border and area based programme.

PK JNL H. K. Jw Rm



## Goal

To transform the region into a prosperous and peaceful cross-border area with resilient communities through capacity building programmes, strengthened livelihoods and cross border trade; aimed at reducing poverty, inequality, low education levels, inadequate access to health and sanitation; unemployment, especially among the youth; and sustainable and effective utilization of the resources of the region.

## Objective

There is one overall objective that integrates both short and long term as follows:

To reduce vulnerability and increase the resilience of communities affected by conflict and other recurrent humanitarian shocks, and economically empower communities through transformative socioeconomic programmes.

## Specific Objectives

There are seven specific objectives that derive from the two main objectives as follows:

1. To identify and address the root causes and impact of cross-border and inter-ethnic conflicts and build the capacities of peace committees; strengthen early warning and early response systems; reviving traditional conflict resolution mechanisms; and the voluntary repatriation and reintegration of displaced communities.
2. To build the capacities of cross-border communities to improve the environment and effectively protect, restore, manage and harness the natural resources in the region against the backdrop of climate change, recurrent drought and extreme weather events.
3. To realize the full economic potential of the cross-border region through enhancing access to local, regional and international trade opportunities for livestock, goods and services through infrastructure development, trans-boundary livestock health and enhanced border management.
4. To build sustainable and diversified livelihoods in the cross-border region through boosting production and productivity, and ensuring equitable access to quality social services - health and education - and other safety nets.
5. To ensure cross-border capacities for early warning, preparedness, mitigation and response to disasters.
6. To build applied and adaptive learning systems for purposes of knowledge management and communication, and monitoring and evaluation through national and regional systems.
7. To strengthen institutional support and coordination through partnerships, capacity building and resource mobilization.

## Programme Outputs

There are the seven prioritized output areas that derive from the specific objectives as follows:

1. Strengthened conflict resolution and peace building mechanisms
2. Improved environment and natural resource management
3. Enhanced market access, trade and financial services

PK JML X-D ho

Paul



4. Improved livelihoods support and basic social services
5. Strengthened disaster risk management, preparedness and response
6. Enhanced research, knowledge and technology management, and monitoring and evaluation
7. Strengthened coordination, and institutional arrangements, partnerships and resource mobilization

### **Outcomes**

The overall and specific objectives, as well as the programme outputs will contribute to two outcomes as follows:

1. Cooperation and trust established between the cross-border communities for the mitigation and management of violent conflicts.
2. Prosperous, healthy, peaceful and resilient communities that utilize resources in a sustainable, equitable and effective manner.

### **Programme Strategy**

With the Governments of Kenya and Ethiopia developing, leading and implementing this cross-border programme, communities will remain at the heart of the interventions through customized and fit for purpose solutions to the development challenges identified. At community level, stakeholder identification and analysis form the foundation for participatory planning processes, capacity building and effective programme implementation. Cross-border coordination mechanism will be key for the success of the programme, and the use of partnerships, specifically with the United Nations in Kenya and Ethiopia, IGAD, and key development partners will contribute to effective programme implementation through technical and funding support.

### **Geographic Coverage**

1. Kenya: Marsabit County
2. Ethiopia: Oromia Region - Borana Zone, and Somali Region - Dawa Zone

### **Guiding Principles**

The cross-border programme will be implemented under the following principles clustered into two sections:

1. Programme approach, country ownership, equity, sustainability and resource mobilization: These are principles that both governments will use to frame and engage in strategic programme planning and resource mobilization.
2. Cross cutting issues will be reflected throughout the implementation of the programme taking care to plan for and review relevant aspects of gender equality and women's empowerment, youth, children, environmental sustainability, humanitarian response, inclusiveness, rights and social protection.

PK

JNIC

H-A Jno

Fine



## **Institutional Arrangements and Programme Implementation**

The cross-border programme will rely on a set of arrangements as follows:

1. The use of country-level systems and procedures for the management and disbursement of funds for the programme.
2. In addition to country-level funding systems, the United Nations will propose potential modalities for basket funds such as the Multi Partner Trust Fund (MPTF).
3. Programme implementation will be undertaken by the county and regional governments in close coordination with line ministries and technical counterparts.

## **Programme Parties**

The cross-border programme parties include:

1. **Principal:**
  - a. Government of the Republic of Kenya; and
  - b. Government of Federal Democratic Republic of Ethiopia
2. **Implementing Agencies:**
  - a. Kenya - Marsabit County;
  - b. Ethiopia - Oromia and Somali Regional States Governments; and
  - c. Kenya and Ethiopia National Governments - Line Ministries
3. **Supporting Partners:** UN, IGAD and Development Partners

## **Duration and Indicative Budget**

The governments of Kenya and Ethiopia have jointly developed this Programme Framework, which will form the basis of a five-year, multi-thematic, outcomes and results based programme from **2017 to 2021** at an estimated cost of **USD 544,437,991**

*FX* *mic* *H.A* *po*

*Evel*



## 1. BACKGROUND

### *1.1 Inception of the Cross-Border Programme*

The sovereign boundaries of most African countries were artificially carved out during the colonial era without due consideration given to the socioeconomic and cultural links of communities who live in these regions, and subsequently separating the same ethnic groups along these administrative lines. In Kenya, historic colonial and post-independence policies deliberately marginalized the "northern frontier". Concurrent peace and development challenges in southern Ethiopia, coupled with the distance of these border communities from decision-making centres and capital cities of Nairobi and Addis Ababa ultimately resulted in widespread underdevelopment in the borderlands.

In the Marsabit, Borana and Dawa cross-border area, there are the Borana, Gabra, Somali, Burji, Sakuye, Gardi and numerous other communities that live on both sides of the border. Relations and links between communities from the same ethnic groups have continued to flourish through local trade, traditionally-bound natural resource management and participation in social and cultural activities. However, these social systems have been eroded over time due to key geopolitical factors; underdevelopment and poverty; inter-ethnic conflicts; and the severe effects of extreme weather events. These factors are exacerbated by the growing scarcity of natural resources and population growth; and result in displacement and cycles of vulnerability to humanitarian emergencies.

Following decades of marginalization, Ethiopia and Kenya embarked on decentralized and devolved systems of governance respectively in a bid to promote development and empower local communities from these marginalized areas and indeed throughout the two countries. Ethiopia has, since 1991, introduced a system of nine ethnically-based regions and two administrative regions under the Regionalization Framework; while Kenya devolved political power and financial resources to 47 county governments in 2013 following the promulgation of the 2010 Constitution of Kenya.

With decentralization and devolution policies in place, the need for cooperation between economically and culturally linked border regions has emerged as one of the most important area based development strategies for strengthening regional cooperation that promotes peace and sustainable development. Support for cross-border cooperation in the Horn of Africa gained momentum in late 2014 with a joint pledge of political and financial support from the former UN Secretary General, the World Bank Group President, President of the Islamic Development Bank Group and the Intergovernmental Authority on Development (IGAD). This pledge comes alongside government and private sector initiatives that will open up the region's economies through projects such as the Lamu Port-South Sudan-Ethiopia-Transport (LAPSSET) corridor and the Lake Turkana Wind Power Project.

Shored up by these developments, the governments of Kenya and Ethiopia embarked on the development of a conceptual framework for peace and sustainable development in the cross-border area of Marsabit county and Borana and Dawa zones, which culminated in an historic signing of a Memorandum of Understanding on 7 December, 2015. The MoU demonstrates

AK JWC H.A. Joo Ruel



clear government commitment at the highest level in Kenya and Ethiopia to lead and drive the process of resilience building, and sustainable development in Marsabit, Borana and Dawa.

This MoU strengthens country-specific development plans such as Kenya's Vision 2030 and Ethiopia's Growth and Transformation Plan (GTP2), as well as the ongoing Special Status Agreement (2012) that focuses on trade, investment, intellectual property rights, infrastructure, food security and sustainable livelihoods. This level of cross-border cooperation within a shared geographical area creates additional opportunities for local capacity building, tourism, clean energy, safe cross-border mobility, and peace and conflict management.

IGAD has also launched key policy initiatives on ending drought emergencies through the Drought Disaster Resilience and Sustainability Initiative (IDDRSI), Country Programme Papers (CPP), and Regional Programming Papers (RPP). These policy frameworks will complement the cross-border programme and contribute to broad resilience outcomes in the Horn of Africa.

The UN Country Teams of Kenya and Ethiopia will support the MoU and Programme Framework through governance and technical support in harmony with the United Nations Development Assistance Framework (UNDAF) under the rubric, "Delivering as One."

Finally, the European Union is working closely with key Horn of Africa governments, IGAD, the UN and Civil Society organizations to support four key cross-border clusters, which do not include the Marsabit, Borana and Dawa cross-border region. However, technical and synergies will be maximized and catalytic funding may be provided for effective implementation and economies of scale in the Marsabit, Borana, and Dawa regions.

## ***1.2 Geographic Coverage***

Kenya and Ethiopia share a long and porous border stretching over a distance of 861 Kilometres. This border traverses Turkana, Marsabit, Wajir and Mandera counties in Kenya and the SNNPR, Oromia and Somali regions in Ethiopia. Marsabit County shares the longest section of the border with Oromia region - Borana zone, and Somali region - Dawa Zone. The cross-border programme interventions in will cover Marsabit county in Kenya, and Borana and Dawa zones in Ethiopia.

**Figure 1: Map (attached) Annex 1**

## **1.3 Development Challenges**

The Marsabit, Borana and Dawa cross-border region will require radical policy prescriptions to address the issues of poverty and cycles conflict and emergencies. At the heart of this approach is the need to solve immediate problems, sustain the intervention and eventually scale the activities up to a level that will bring about sustainable development.

### **1.3.1 Poverty and Conflict**

Decades of marginalization, coupled with the effects of climate change, have turned this cross-border region into one of insecurity and underdevelopment. Almost all development indices of these regions are significantly lower than respective national averages. An estimated 56 per cent of the Borana and Dawa pastoralist households in southern Ethiopia are considered to be

*PK* *DNIC* *H.A* *ho* *Rune*



dynamically poor, which refers to the condition of being in a poverty trap<sup>1</sup>. In Marsabit, the poverty level stands at 83 per cent; with women on both sides of the border bearing the heaviest burden of poverty<sup>2</sup>. This region suffers from high levels of food insecurity, degraded natural resources, poor infrastructure, limited social services, social exclusion and high rates of unemployment especially among the youth.

Conflict and poverty are inextricably intertwined; exacerbated by ethnic and religious tensions; high levels of illiteracy; competition for scarce natural resources; land access, ownership, reform and in-country demarcation; transnational criminal activity; inadequate policing and state security; the collapse of traditional governance systems; and wider geopolitical interests. Over the years, there have been incidents of violent conflicts that have resulted in death, loss of property and displacement.

### 1.3.2 Gender Inequality

Underdevelopment, poverty and prevailing socio-cultural perceptions are major drivers of continued gender inequality in this cross-border region. Women and girls remain largely marginalized from their own development and full participation in social, political and economic realms, which contribute to stable and just societies, economic growth, and improved quality of life at household and community level. Although women are often dynamic leaders and agents of change, their participation in decision-making and peace building is evidently low in the region. Other forms of gender inequality include Sexual and Gender Based Violence (SGBV), Female Genital Cutting/Mutilation (FGC/M) and early girl-child marriage, which are all prevalent in the cross-border region. Boys and girls face significant challenges to access education; especially pastoralist boys who are often on the move in search of pasture and water for livestock. This has a knock-on effect of a youthful population with limited education that is marginalized from livelihoods opportunities, as well as public leadership and governance.

### 1.3.3 Youth and Development

The global youth population bulge and demographic dividend is equally experienced in the cross-border region. The endemic poverty, lack of employment opportunities and limited capacity building and life skills programmes mean that many young people are constantly in search of livelihood opportunities and this is true throughout the Horn of Africa.

High levels of unemployment, poverty and lack of appropriate engagement exponentially increase the risk of social tensions and potential radicalization of youth. This is because recruiters into terrorist groups such as *Al-Shabaab* and other organized militia and criminal groups use high levels of inequality, economic deprivation, unemployment, under-employment, poor governance, social injustice, pervasive land issues, and poverty to recruit young people. It is understood that unemployed and disenfranchised youth are susceptible to the ideologies of such militant groups. If youth in the cross-border areas continue to be disengaged from peace building and development, the high levels of marginalization, conflict, underdevelopment and

---

<sup>1</sup>Wassie Berhanu (2005), "Pastoralism and Livelihood Diversification", Unpublished PhD Thesis, University of Manchester, UK.

<sup>2</sup>Marsabit County (2015) Revised County Integrated Development Plan, 2013-2017. Nairobi: Author.

PK     JMK     H-A     Ho

Ruel



poverty will render them ever more vulnerable to recruitment and conscription into such groups.

#### **1.3.4 Mobility, Migration and Displacement**

Population mobility in this region includes both human and livestock mobility as a way of life and this will always be a feature of the Marsabit, Borana and Dawa cross-border region. Unregulated mobility presents its own set of challenges. For example, international health regulations list communicable and zoonotic diseases of public health concern and these thrive when there is unregulated cross-border movement and weak border management systems that inhibit transparent and active disease surveillance.

This cross border region also forms part of what is referred to as the *southern migratory route* and it is the case that conflict and insecurity, coupled with porous borders and disputed boundaries form the perfect smoke screen for transnational criminal activities including trafficking in arms and drugs. Irregular migration in the form of human [sex] trafficking and smuggling is rampant as [young] people move in search of alternative livelihoods. The primary directional flow of this route is South Africa and major cities and capitals in Kenya and Ethiopia are often prime transit or destination locations for trafficked and smuggled persons. In this region, labour migration is also not monitored or regulated and potential for exploitation - especially child labour - is high. Cross-border informal trade is unregulated and women traders remain the most vulnerable; trading under the constant threat of harassment, extortion and exploitation.

Finally, Kenya and Ethiopia host the largest populations of refugees in Africa and have done so for more than three decades. There are also significant numbers of Internally Displaced Persons (IDPs) who are primarily displaced as a result of drought but occasionally conflict. There is a current case load of 4,000 Kenyan refugees in Ethiopia following deadly clashes in Marsabit in 2006. These families are unable to return despite relative peace because their family property was destroyed and land seized during the unrest. Their durable solutions will remain a priority of this programme.

#### **1.3.5 Water, Sanitation and Hygiene (WASH)**

Access to basic services such as clean water remains a significant challenge. More than 60 per cent of the households in Marsabit, for example, use boreholes, springs and open wells as their main source of water and only four per cent have access to piped water. Sanitation is equally poor and only 34 per cent of rural households have a latrine; leaving most of the community members to practice open defecation. Sanitation and hygiene have not been given adequate attention in urban development planning in Marsabit. The serious deficiencies in sanitation services, the inadequacy of sewerage infrastructure, open defecation in urban areas and poor control of industrial and commercial waste have created dangerous health problems including disease outbreaks.

Water supply is the first priority in Borana zone as the coverage is below 50 per cent. Sanitation coverage is also very low - at 20 per cent - compared to agrarian areas. More than 80 per cent of people residing in rural areas in Borana practice open defecation. This is also observed in most of the urban areas in Borana and Dawa. Households in Borana depends on

PK JWL H-A Jw

Rush



traditional dug wells (ellas), ponds and motorized boreholes for their domestic water use as well as livestock watering. Water is in short supply in the towns and the drought puts pressure on motorized boreholes, which are the only sources of water supply, and the need for maintenance and rehabilitation is high.

The low coverage of water supply and poor sanitation in this cross-border area has resulted in frequent disease outbreaks, especially cholera / Acute Watery Diarrhea.

Water for human consumption goes hand in hand with water for livestock consumption. Indeed, water for livestock is one of the primary causes of conflict, when water resources are scarce. Therefore, WASH challenges in this region include those faced by communities when livestock do not have adequate water.

### 1.3.6 Health, Nutrition and HIV

The cross-border region has inadequate primary, secondary and tertiary health facilities. On the occasion that there are health facilities, there are human resource capacity gaps for effective health systems strengthening. In Marsabit, for example, only 36 per cent of all births take place in health facilities. Additionally, with strong cultural and religious practices in the region, access to contraceptives is low at only 8.3 per cent of married women. Malaria accounts for almost 45 per cent of morbidity and mortality in Marsabit and under-one year immunization coverage stands at 63.6 per cent.

Under nutrition and malnutrition are significant problems in the cross-border region with rates of wasting at 16.3 to 20 per cent, and 27 per cent in Marsabit County and Somali region respectively, and 3,434 children with acute malnutrition in Borana zone<sup>3</sup>. The pastoralist child population is especially vulnerable to stunting, disease, impaired mental development and death. The biannual nutrition survey conducted by Oromia DRMC/ENCU in 2015 in the cross-border woreda of Miyo in Borana, indicated a higher rate of underweight (32%) in children <5years which very high as compared to the Oromia region rate of underweight(22.5%) according to the 2016 EDHS. Although the Borana community gives priority to child feeding, the monthly nutritional screening from Borana zone is still high and the monthly screening report shows children < 5 years have an average of 5.5% GAM rate. Moreover, maternal under nutrition is more prevalent whereby nearly 50% of pregnant and lactating women is identified by the monthly screening as reported from Miyo Woreda. The maternal under nutrition has serious impact in newborn mortality and contributing to the highest stunting in the region at 36.5%.

In the cross-border sub-counties, zones and Woredas of both countries, health risk assessments, early warning and response systems have commendably responded to outbreaks of cholera and Acute Watery Diarrhea (AWD) in 2016 but are still relatively weak and pose a risk for future outbreaks and ongoing malnutrition. The AWD outbreak that occurred in November 2015 in Moyale Town continued throughout 2016 and more than 409 AWD cases were treated. Control of such outbreaks will continue to be difficult if cross-border coordination systems are not strengthened.

---

<sup>3</sup>Kenya Demographic Health Survey, 2014

PK JNK H.D. J.W. Paul



Outreach and action on HIV and AIDS is increasingly important with Kenya listed as one of the six HIV "high burden" countries in Africa. Although the prevalence and incidence of HIV is lower in Ethiopia, AIDS still stands as the seventh leading cause of mortality. In Ethiopia Since 1990, more than 90% reduction in new HIV infection has been recorded. Survival of HIV-positive individuals has substantially improved. At present, about 70% of HIV-positive people in the country know their status and 65% are on treatment. With determined focus to end AIDS as public health threat in 2030, the health sector has intensified inter-sectoral collaboration, mayoral forums and expanded media campaign. In partnership with key stakeholders, the Ministry of Health recently launched HIV Catch up Campaign to accelerate testing the right people and link all positives to treatment.

Both countries share concerns about access to Prevention of Mother To Child Transmission (PMTCT) for pregnant and lactating mothers. Marsabit County health data indicates that 76 per cent of pregnant women living with HIV do not deliver their babies in health facilities and this low percentage is more stark because only 36 per cent of all births take place in health facilities. Additionally, with strong cultural and religious practices in the region, access to contraceptives is low with 8.3 per cent of married women accessing family planning methods. According to the National Health Management Information System in Ethiopia, the national HIV prevalence among women attending Ante-Natal Care is two per cent Borana and Dawa zones. The percentage of women who deliver in health facilities stands at 50 and 11.6 per cent in Borana and Dawa respectively. With Borana doing better in this regard, data indicates that 49 per cent of women uptake contraceptive services compared to 7.8 per cent in Dawa. However, the statistics in Marsabit, Borana and Dawa remain low when it comes to HIV and maternal health.

Both Kenya and Ethiopia share concerns about social safety nets for Persons Living With HIV and AIDS (PLWHA), as well as other vulnerable groups of the society including those chronically ill, the elderly and Persons Living With Disability (PLWD). Issues of cross-border mobility, trade and transport corridors increase vulnerabilities to HIV and Sexually Transmitted Infections (STIs) especially amongst adolescent girls and young women (15 - 24 yrs) linked both to early sexual debut at 55 per cent and "survival and transactional" sex in situations of extreme poverty.

### 1.3.7 Education

Despite remarkable achievement in the expansion of education and gains in enrolment in most parts of Kenya and Ethiopia, the enrolment is still far below the national average in the pastoralist areas, including Marsabit county, Borana and Dawa zones. Large numbers of school-aged children remain out of school; and many who have enrolled do not complete their studies. These are clear indications of a persistent chasm between the educational development of pastoralist communities and of the general population.

The literacy rates for Marsabit County are at 30 per cent respectively; while the literacy rate in Borana and Dawa zones stands at slightly more than 10 per cent. The pastoralist nature of the target communities greatly influences enrollment more so with protracted drought that causes families to move deep into the hinterland in search of water and pasture and rendering too far the distances to nearest schools for boys and girls. Existing school facilities are not adequately equipped both in terms of learning materials and WASH. Orphans and Vulnerable Children

PR JMC H-10 Jw Paul



(OVCs) are especially at high risk of not accessing education, as well as girls, who are subject to harmful cultural practices including Female Genital Cutting/Mutilation (FGC/M) and early marriage, where 11 per cent are married before the age of 15 years and 42 per cent before the age of 18 years. These rates are significantly higher than the national averages in both Kenya and Ethiopia.

Across the board, protection of children from violence, abuse and exploitation through social services in this cross-border region is weak, and children and families seeking child protection related services have to travel out of the county, zone or province.

### 1.3.8 Pastoralism

Pastoralism is the dominant economic activity and the main source of livelihood for the majority of the population in the Kenya-Ethiopia cross-border area. Pastoralism is a system of production and resource management that exploits the meager and scattered rangeland resources of dryland ecosystems in order to sustainably feed an ever-increasing human population in these fragile environments. It is a way of life that is practiced in dryland environments where climatic conditions cannot offer sufficient support for alternative crop-based livelihoods.

According to the Marsabit County Integrated Development Plan (CIDP) 2013-17, over 60 per cent of the population derive their income from agriculture, of which 98 percent is from pastoralism. In Borana Zone more than 70 per cent of household income is derived from pastoralism. Despite their significant economic potential, pastoralists still remain among the poorest segments of the population in both countries due to historic marginalization and are often subject to humanitarian crises, due to their high levels of vulnerability to drought, poor human and livestock health, and lack of security in mobility.

### 1.3.9 Climate Change and Livelihoods

The impacts of climate change and its interaction with other driving forces of livelihoodsvulnerabilityis a subject of critical concern in pastoralist areas. Climate change induced erratic rains, combined with the worst El Niño phenomenon of the past 50 years, have recently wreaked havoc on the pastoral and arid and semi-arid regions of Ethiopia and Kenya. Erratic rain patterns and prolonged drought have resulted in a decline in the availability of water and quantity and quality of forage. As a result, UNOCHA estimates 5.6 million people in Ethiopia and 2.7 million Kenyans need immediate humanitarian assistance<sup>4</sup>. Climate-induced crises and resultant abject poverty are exacerbated by a number of stressors mentioned in earlier paragraphs. Climate-induced shocks such as recurrent drought and other multi-hazard and extreme weather events, along with other driving factors of pastoralist poverty have triggered a variety of local adaptation response mechanisms among the pastoralists, one of which is a shift on on-pastoralist livelihoods. This, unfortunately, includes increasing pastoralist participation in low-return and environmentally harmful activities such as opportunistic dry land cultivation and charcoal burning. A study conducted in the Borana zone shows that the largest proportion of these non-pastoralist adaptation measures have managed to convert part of their livestock capital into relatively high return, urban-based investment ventures, which is a desirable risk

---

<sup>4</sup> UNOCHA, Horn of Africa: A Call for Action. February 2017.

PK MIC H-A Jho Paul



management option. However, the wider underdevelopment and poverty makes it difficult to transform the risk management option into one that brings about resilience and prosperity. This programme is designed to strengthen cross-border cooperation and provide a structure for governance of the ecosystem. This will in turn minimize pressure on natural resources for conflict prevention and disaster reduction, through knowledge-based policy interventions, technology transfer, investment in key livelihoods intervention and monitoring of the health of the ecosystems.

#### ***1.4 Development Opportunities***

Despite the challenges faced in the cross-border region, it is clear that there are opportunities that can be tapped into to address underdevelopment challenges described in the previous sub-headings. It is important to underscore that development opportunities that can be enjoyed only after peace is established. Additionally, development in this region will be both national (mega-projects) and community in scope with a focus being the community and area based development as key.

Informal cross-border trade between the border communities generates tremendous revenue for Kenya and Ethiopia. If cross-border trade is formalized and institutionalized, it could generate even more revenue for both regions. The growing urban population, the rising disposable incomes in Ethiopia and the LAPSSET corridor will see the region's economic potential grow even faster through enhanced trade, connectivity and efficient movement of people, goods and services. Linked to this theme is the resultant infrastructure and systems development to increase market access and financial services.

The cross-border region is home to diverse cultures, heritage and historical and geological sites. With proper planning, the region can benefit from tourism, especially if the cross-border regions come up with a coordinated tourism policy that builds on comparative advantages and complementarities.

The recent government and private sector investment in the Lake Turkana Wind Power project in Marsabit indicates a proactive move towards clean and renewable energy. Biogas and solar energy also offer great potential. Investing in clean and renewable energy will have positive impacts on the environment, health and the biodiversity of the region while meeting the local and national needs.

As emphasized, the envisioned changes cannot take place without peace and the resolution of existing conflicts. The local communities have shown that they have the knowledge, skills and talent that can be useful in the design of the roadmap to peace and development. With further training and proper facilitation, as well as better engagement through various models such as volunteerism, peace committees can be even more effective instruments of peace building and social cohesion.

The broad issues related to capacity building pose an opportunity for the successful implementation of the cross-border programme. Capacity building is at the core of the success of every investment because it strengthens both governance and accountability for delivery of outputs and sustainability of the action.

PK 2011

H.A. Jw

Ben



### *1.5 Theory of Change*

The five-year cross-border programme is built on a theory of change that seeks to bring about sustainable peace and development within the framework of devolved and decentralized governance. The programme strategy hinges on the establishment of peace and prevention of conflict as a pre-cursor for socioeconomic transformation and sustained development. **If** communities in the cross-border area of Marsabit County of Kenya and Borana and Dawa Zones of Ethiopia are supported to agree on peacemaking and establishment of trust building mechanisms through peace committee members, capacity building programmes, sensitization and cultural exchange programmes and traditional conflict resolution mechanisms, **then** cross-border and inter-communal conflicts will be reduced and they will be less likely to engage in violent conflict. **If** this is further entrenched by a process of interdependency and mutual sharing of institutional infrastructure, social services, **then** co-existence will be peaceful, durable and productive. **If** the socioeconomic conditions of the communities who live in the region is improved through alternative forms of livelihoods, **then** communities will build ties around these livelihood projects, efficient use and maintenance of community infrastructures and cooperate to better access and utilize available natural resources rather than fighting over scarce resources.

The programme approach is one that is anchored on governments' leadership; county, regional and zonal administration for implementation; and full inclusion of and participation by the cross-border communities who have a primary stake in the stability of their region.

The cross-border programme will be sustained largely through domestic resource mobilization by the governments that will unlock the potential of human and material resources of the target region; with auxiliary support from the UN, IGAD and Development Partners. The Private Sector and Philanthropies will also be mobilized to lend expertise and resources to support the programme. Local governance provides an enabling and complementary approach to macro-economic development; while national governments will assess existing capacities to facilitate and regulate the framework, wherein other actors can contribute to sustainable peace, development and support for delivery of goods and services.

These approaches will be strengthened through coordination, partnerships, institutional capacity building, research, communication and knowledge management; guided by gender responsive, rights protection and environmental sustainability. Success of the inter-connected elements of this complex programme will be dependent on community willingness to embrace peace and development; governments' facilitation of an enabling policy and operational environment; and the commitment by governments and all supporting partners to mobilize financial resources required to unlock the full potential of the Marsabit, Borana and Dawa cross-border area.

PK 2/11/12

H-A ju

Rue



## 2. PROGRAMME DESCRIPTION

The Marsabit County, Borana and Dawa zones cross-border programme is premised on the ability to build lasting peace and prevent the reoccurrence of conflict that is endemic in the region. Conflict in this region is multi-dimensional and will require a systematic and multi-stakeholder approach to establish root causes and appropriate solutions.

As a government led, driven and implemented cross-border programme, there is every potential for sustainable results if all leading, implementing and supporting partners are able to identify prioritized and output based areas of focus. This cross-border programme undertook two preliminary activities namely: participatory action research and GIS mapping to establish community priorities and understand the geographic positioning of key resources in the region.

Seven priority output areas were identified as follows:

1. Strengthened conflict resolution and peace building mechanisms strengthened
2. Improved environment and natural resource management
3. Enhanced market access, trade and financial services
4. Improved livelihoods support and basic social services
5. Strengthened disaster risk management, preparedness and response
6. Enhanced research, knowledge and technology management, and monitoring and evaluation
7. Strengthened coordination, and institutional arrangements, partnerships and resource mobilization

These priority outputs have given rise to seven strategic objectives and a detailed and costed list of 200 indicative activities that have been jointly discussed and agreed upon at joint technical level. The indicative activities enable both governments to understand budget implications per priority output and adjust as required during the detailed, annual work planning process. Therefore, every year will see a clarified and sequenced articulation of indicative indicatives dependent on key variables including resources mobilization, and monitoring and evaluation.

Additionally, the seven priority output areas will require a programmatic strategy in order to finesse and the area based and cross-cutting aspects of five-year programme. This will be clarified during the detailed, annual work planning process.

### 2.1 Goal

To transform the region into a prosperous and peaceful cross-border area with resilient communities through capacity building programmes, strengthened livelihoods and cross border trade; aimed at reducing poverty, inequality, low education levels, inadequate access to health and sanitation; unemployment, especially among the youth; and sustainable and effective utilization of the resources of the region.

### 2.2 Overall Objective

To reduce vulnerability and increase the resilience of communities affected by conflict and other recurrent humanitarian shocks, and economically empower communities through transformative socioeconomic programmes.



This objective takes an approach that can be divided into; a) immediate and intermediate; and b) longer term and sustainable.

### **2.3 Specific Objectives**

There are seven specific objectives that derive from the two main objectives and inform the priority outputs as follows:

#### **2.3.1 Conflict Resolution and Peace Building**

To identify and address the root causes and impact of cross-border and inter-ethnic conflicts through building the capacities of peace committees; strengthen early warning and early response systems; reviving traditional conflict resolution mechanisms; and the voluntary repatriation and reintegration of displaced communities.

#### **2.3.2 Improved Environment and Natural Resource Management**

To build the capacities of cross-border communities to improve the environment and effectively protect, restore, manage and harness the natural resources in the region against the backdrop of climate change and recurrent drought.

#### **2.3.3 Market Access, Trade and Financial Services**

To realize the full economic potential of the cross-border region through enhancing access to local, regional and international trade for livestock, goods and services through infrastructure development, trans-boundary livestock health and enhanced border management.

#### **2.3.4 Livelihoods support and Basic Social Services**

To build sustainable and diversified livelihoods in the cross-border region through boosting production and productivity, and ensuring equitable access to quality social services - health and education - and other safety nets.

#### **2.3.5 Disaster Risk Management, Preparedness and Response**

To ensure cross-border capacities for early warning, preparedness, mitigation and response to disasters.

#### **2.3.6 Research, Knowledge and Technology Management, and Monitoring and Evaluation**

To build applied and adaptive learning systems for purposes of knowledge management and communication, and monitoring and evaluation through national and regional systems.

#### **2.3.7 Coordination, Institutional Strengthening, Partnerships and Resource Mobilization.**

To strengthen institutional support and coordination through partnerships, capacity building and resource mobilization.

PK JMC

H-A Jus

Revel

f

### 2.3.8 Summary Table: Objectives, Priority Outputs and Indicative Budget

Strategic Objective and Output Area	Output Summary and Budget 2017 - 2021	Indicative Activities
<p><b>Objective 1</b> To identify and address the root causes and impact of cross-border and inter-ethnic conflicts through building the capacities of peace committees; establishing early warning and early response systems; reviving traditional conflict resolution mechanisms; and the voluntary repatriation and integration of displaced communities</p> <p><b>Conflict Resolution and Peace Building</b></p>	<p>1.1 Capacity building and institutional support, Conflict Prevention &amp; Resolution, sustainable peace (including youth, women, peace committees, IDPs) 1.2 Peace building and mediation mechanisms 1.3 Conflict Early Warning and Response mechanism 1.4 'Do no Harm' and conflict sensitive development for sustainable peace and social cohesion</p> <p>USD 6,174,617</p>	<p>22</p>
<p><b>Objective 2</b> To build the capacities of cross-border communities to effectively protect, restore, manage and harness the natural resources in the region against the backdrop of climate change and protracted drought</p> <p><b>Improved Environment and Natural Resource Management</b></p>	<p>2.1 Water resources development and management 2.2 Pasture and land management 2.3 Securing equitable access to natural resources 2.4 Environmental management in collaboration with private sectors 2.5 Climate change mitigation and adaptation activities</p> <p>USD 35,128,625</p>	<p>11</p>
<p><b>Objective 3</b> To realize the full economic potential of cross-border region through enhancing access to local, regional and international trade opportunities for livestock, goods and services through infrastructure development, trans-boundary livestock health and enhanced border management</p> <p><b>Market Access, Trade and Financial Services</b></p>	<p>3.1 Transport and market development 3.2 Facilitate cross border livestock mobility 3.3 Develop, harmonize and secure financial services 3.4 Trans-boundary pest and disease control &amp; SPS measures and standards 3.5 Promote and support regional trade, investment and infrastructure 3.6 Improving Immigration and border management services to facilitate trade and border management</p> <p>USD 35,844,091</p>	<p>35</p>
<p><b>Objective 4</b> To build sustainable and diversified livelihoods in the cross-border region through boosting production and productivity and equitable access to quality social services - health and education - and other safety nets</p> <p><b>Livelihoods Support and Basic Social Services</b></p>	<p>4.1 Income Diversification and alternative livelihood 4.2 Livestock production, productivity &amp; health 4.3 Agriculture production and productivity 4.4 Equitable and adequate access to quality social services and safety nets</p> <p>USD 395,115,976</p>	<p>80</p>

*PR JMC*

*H-T JMC*

*PR*



<b>Objective 5</b> To ensure cross-border capacities for early warning, preparedness, mitigation and response to disasters <b>Disaster Risk Management, Preparedness and Response</b>	<b>5.1</b> Early warning (vulnerability risk assessment) and preparedness <b>5.2</b> Response and Mitigation <b>5.3</b> Capacity building <b>USD 12,620,668</b>	<b>10</b>
<b>Objective 6</b> To build applied and adaptive learning systems for purposes of knowledge management and communication, and monitoring and evaluation through national and regional systems and the provision of extension services. <b>Research, Knowledge and Technology Management, and Monitoring and Evaluation</b>	<b>6.1</b> Support to applied / adaptive research <b>6.2</b> Advisory and extension services / systems <b>6.3</b> Knowledge management and communication <b>6.4</b> Promote the network of national and regional dryland collaborative, adaptive and applied research centres. <b>6.5</b> M&E and reporting <b>USD 240,000</b>	<b>3</b>
<b>Objective 7</b> To strengthen institutional support and coordination through partnerships and resource mobilization <b>Coordination, Institutional Strengthening, Partnership and Resource Mobilization</b>	<b>7.1</b> Strengthening management Platform and Coordination <b>7.2</b> Support Institutional mechanisms <b>7.3</b> Partnerships & collaboration <b>7.4</b> Fund raising and resources mobilisation <b>USD 9,891,651</b>	<b>29</b>
<b>TOTALS</b>	<b>30 Output Areas</b> <b>USD 544,437,991</b>	<b>190 Output Activities</b>

*“For water projects, an Environmental Impact Assessment will be jointly undertaken by IGAD and UNEP together with the Government of the Republic of Kenya and Government of the Federal Democratic Republic of Ethiopia before implementation of any interventions in this joint programme.”*

## 2.4 Outcomes

This is the most crucial element of the five-year cross-border programme because success is measured by qualitative and quantitative results based on the systematic and strategic application of the objectives and prioritized outputs for the duration of the programme.

### 2.4.1 Peace Building

Cooperation and trust established between the cross-border communities for the mitigation and management of violent conflicts.

### 2.4.2 Resilience and Development

A prosperous, healthy, peaceful and resilient community that utilizes its resources in a sustainable, equitable and effective manner.

PK

MLC

H.A

fu

Pure



## 2.5 Programme Strategy

With the Governments of Kenya and Ethiopia developing, leading and implementing this cross-border programme, communities will remain at the heart of the success of the interventions through customized and fit for purpose solutions to the development challenges identified. Building on respective national government systems, Kenya and Ethiopia will utilize a joint system of governance and technical planning to ensure harmonization, complementarity, quality and conflict-sensitive delivery of services to the cross-border communities.

At community level, stakeholder identification and analysis form the foundation for participatory planning processes, capacity building and effective programme implementation. Participatory Action Research and Geographic Information Systems mapping have been undertaken to ensure identification of resources and linkages to community priorities.

The use of partnerships, specifically with the United Nations in Kenya and Ethiopia, IGAD, and key development partners will contribute to effective programme implementation through technical and funding support. Key to the success of this programme will be the synergistic use of government funds prioritized for this region alongside complementary funds raised by supporting partners that contribute to the outcomes of the initiative.

AK  
JNIC

H.A  
fw

Rune



### 3. GUIDING PRINCIPLES

In order for both Governments to work together in a clear and coordinated manner, there should be a set of guidelines and parameters that inform both the governance and implementation of the cross-border programme in a manner that is both responsive and conflict sensitive.

#### *3.1 Programme Approach and Scale*

The programme has three separate but interrelated and complementary phases: 1) Immediate emergency response and preparatory phase; 2) building the foundation for resilience; and 3) initiation and implementation of sustainable development projects. The programme has great potential for being replicated in other parts of the Horn of Africa to bring about sustainable peace and development. There should be a clear differentiation between "programme" and "project" approaches, which in turn impact on the potential scaleability of the overall approach. This means that this cross-border programme - with some flagship and projects - should be designed in such a way that it can be extended beyond the initial five years and even be adapted throughout the Horn of Africa. Therefore, a joint programmatic approach to the cross-border initiative is the preferred route over a more fragmented and project-based approach; and has the highest potential to receive sustained funding and private sector investment.

#### *3.2 Country Ownership*

The five-year cross-border programme is owned, driven, led and implemented by the governments of Ethiopia and Kenya and anchored on the national priorities and plans namely: Ethiopia's Growth and Transformation Plan (GTP II) and Kenya's Vision 2030. County and Regional/Zonal development plans will further inform the prioritization of the programme initiatives and the programme will be harmonized with established regional and global frameworks and goals.

#### *3.3 Equity and equality*

There will be a balanced approach in the implementation of the cross-border programme through clear prioritization of resources to be allocated based on gender, proportionality, per capita income, poverty, health status, ability, geographic/spatial coverage, target groups and other priorities. There are numerous intersections for equity and social inclusion and the programme will apply the Sustainable Development Goals slogan, "Leave No One Behind."

Based on high level discussions in December, 2016, the Governments of Kenya and Ethiopia agreed upon key principles for financial equity during the implementation of the cross-border programme; bearing in mind the complexities of joint resourcing of programme activities that will take place on either side of the national boundaries. This delicate and politically sensitive area of equity will be a key focus of the Joint Steering Committee.

Both governments will develop joint fund raising strategies and resources mobilized will be channeled through a Multi Partner Trust Fund (MPTF) and equitably distributed based on the agreed upon priority output areas and indicative activities.

PK

JMK

H.A

po

Rowe



- Allocation of non-earmarked funds depending on jointly prioritized activities articulated in the detailed budget framework<sup>5</sup>.
- Hybrid solutions for cost effective implementation of prioritized activities based on what is most cost effective. For example: a) construction of *Biashara Centres* that can be accessed by both Kenyan and Ethiopian youth; b) joint assessments, surveillance, research, monitoring, etc; c) joint infrastructure - access roads, livestock services, etc.
- "Mega-Projects" that have a national outlook and fall within national development planning systems, will be funded by the responsible national governments. For example, mega-irrigation schemes, airports, referral hospitals, etc. However, these activities will remain costed and prioritized under the programme framework as they contribute to the goal, objectives and outcomes of the cross-border programme.

Both governments will appreciate different national priorities but jointly commit to think "out-of-the-box" in order to protect the **unanimity** of purpose and priorities of a **joint and area based cross-border** programme.

### ***3.4 Resource Mobilization:***

Both governments retain overall responsibility for committing and mobilizing resources for the cross-border programme. Both governments lead and direct the fundraising initiatives and task partners (UN and development partners) as appropriate within relevant frameworks and modalities. New partnerships with the Private Sector, Philanthropies and Non Tradition Donors will also be forged/endorsed by the Governments.

The UN supports both Governments through the UNDAF process and this cross-border programme is embedded in the pillars and strategic result areas of the Kenya and Ethiopia respective UNDAFs. Under the principle of "Delivering as One" both UN country teams will devise a strategy for the harmonization of respective UNDAFs in relation to the cross-border programme. In addition to programmatic and technical support, the UN has the operational and administrative capacity to provide fund management services to both Governments if/as/when requested.

Regional bodies such as the IGAD will continue to provide technical and strategic assistance and Development Partners will commit resources according to bi and multi lateral funding priorities. The Private Sector, Philanthropies and identified Non State Actors may be encouraged by the respective governments to engage in funding and technical support for aspects of the cross-border programme.

### ***3.5 Cross Cutting Issues***

The aspects of gender, youth, rights and environment will be integrated into the programme both at output and outcome level. The concern that cross cutting issues tend to be reflected in writing only will be addressed during the implementation of this programme, which holds cross cutting concerns as integral to the success of the initiative. Results based monitoring and evaluation will track programmatic commitment to cross-cutting concerns. Social inclusion and protection will be additional and key prerequisites in the reflection of cross cutting issues.

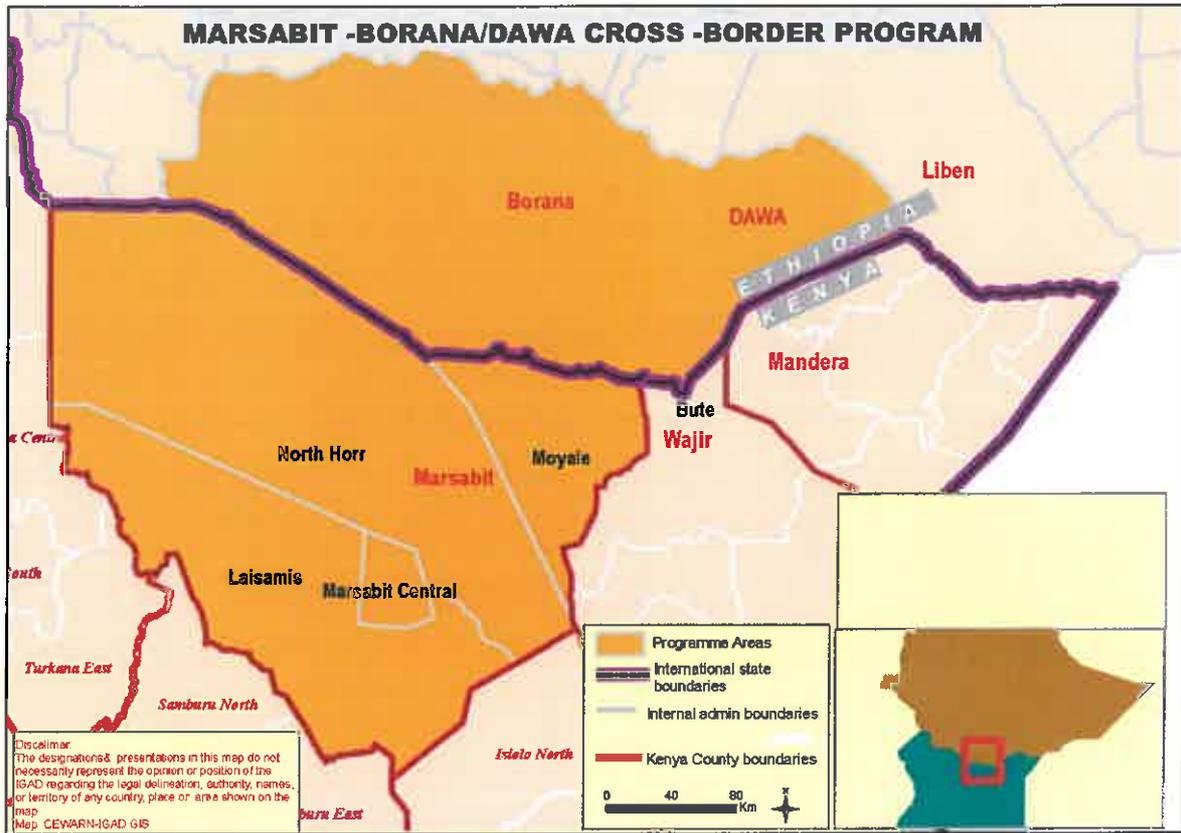
<sup>5</sup>see 4.1 Country Management Systems

*PK ONIL H-A sw Rave*





**Annex 1: Programme Areas**



Note: The Programme areas on the Ethiopian side are: Oromia Moyale Oromia, Dire, Miyo, Dillo and Teltele woredas from Oromia Regional State; and Moyale Somali and Kedaduma woredas

*PK JMC*

*H-A*

*fw*

*Emc*



### 7.1 Risk Management Matrix

Risks	Likelihood of occurrence	Severity of risk impact (high, medium, low)	Mitigating Strategy (and persons/unit responsible)
Escalation and relapse into violent conflict due to competition over pasture and water	Medium	High	Close monitoring of the situation and work closely with the peace committees and respective governments.
Escalation of conflict by militia groups	Low	Medium	Regular communication and dialogue between the two governments and close monitoring of the situation
Because of high level of poverty and lack of alternative livelihood in the region, possibility of relapse into violent conflict	Low	High	Improve the livelihood of the community by creating and promoting alternative livelihood projects
Impact of climate change on the livelihood of the community.	High	High	Strengthen the resilience and adaptive capacity of the community.
Risk posed by extremist groups to radicalize the youth and destabilize the region	Low	High	Empower the youth through Employment creation and Promote aggressive sensitization programmes.

## 8. BUDGET FRAMEWORK: DETAILED AND SUMMARY

(Attached) Annexes 3 & 4

*PK Jovic*

*HA*

*hw*

*Amel*



## 7. RISK ANALYSIS AND MITIGATION PLAN

The major risks involved in undertaking this programme revolve around two areas. The first concerns the commitment of target beneficiaries, and the other has to do with partners to the processes; their willingness and ability, especially that of the local community groups, to be part of, and fully participate in, the peace building and development. This can be assured by identifying and closely working with the most influential community leaders, elders and representatives of faith-based organizations. It is also crucial that central governments remain strategically and supportively engaged with the decentralized and devolved government in order to avoid disrupting the smooth implementation of the programme. Second, as the programme takes place in a conflict-prone region, the safety of the implementation teams and community members is of concern because if not assured, it may jeopardize the implementation of the programme, especially in such an area that experiences recurrent conflict and displacement.

Another potential risk is that the initiative is a relatively new concept that is embraced by two distinct countries with different expectations and perceptions. These risks have been noted and mitigated through the articulation of strategic priorities, establishment of guiding principles and clarity related to institutional arrangements and programme management. Due diligence in stakeholder analysis, gender considerations, and the provision of incentives will ensure ideal stakeholder representation during the cyclical planning processes that requires participation. Additionally, a lot of effort will be made to sensitize and create awareness that subsequently manage expectations of the programme. The implementers will work closely to ensure that safety and security protocols are adhered to. Sufficient logistic provisions will be made for staff, transportation, accommodation, venue, etc. Due attention will also be given to the security of the staff involved in the programme as well as other stakeholders.

PK JML

Hid Jw

Rue



## 6. SUSTAINABILITY PLAN / EXIT STRATEGY

An essential ingredient to the sustainability of the programme is the level of participation by the community including women and youth in the programme design and implementation, as well as its ownership by the target communities. To ensure sustainability, the programme will promote dialogue between the target communities for knowledge dissemination and transfer so as to improve the communities' understanding of the causes and impacts of conflicts, and the benefits of sustainable peace and alternative livelihoods.

The programme will also focus on changing attitudes through projects and capacity building programmes, which are the cornerstone of self-reliance and sustainable self-improvement that will build sustainable peace and development.

The programme will seek to identify attitudes and behavior that cause conflict with a view to transforming negative actions into those of sustainable peace and development. Ultimately, all the interventions will culminate in driving for demand for peace and attendant dividends. Included in the process are local officials, community leaders, and representatives of faith-based organizations, children, women and youth groups, and local stakeholders. This is intended to ensure a 'bottom-up' approach for jointly identifying the opportunities and barriers to achieving sustainable peace and improved livelihoods. As part of the dialogue, stakeholders' focus group discussions will involve all parties so that key actors involved in the design and implementation of the programme will have a common understanding of the key conflict causes, factors/dynamics, and resources for peace building and resilience. Through this critical analysis, the main impediments will be diagnosed, the key influential stakeholders identified, a policy option for the improved skills of the local community and their capacity to carry out conflict prevention and peace building activities, as well as suggestions of resilience-focused livelihood projects.

PK JWC

H.A

JW

Rend



## 5. MONITORING AND EVALUATION

The programme will be monitored and evaluated against the stated objectives, outputs and activities. This will ensure the delivery of inputs, work schedules and the production of target outputs and activities as scheduled. The monitoring of the programme will be the responsibility of the implementing partners and agencies who will come up with a plan, and perform a final evaluation of the programme; an exercise that will be conducted at the end of the final year by a team led by an independent consultant, to be hired to assess the overall impact of the programme on the target communities in terms of sustainable peace and development.

Monitoring and evaluation within the Annual Cycle shall be as outlined below:

### 5.1 Within the Annual Cycle

- On a quarterly basis where a quality assessment shall record progress towards the completion of key results based on quality criteria.
- Based on the initial risk analysis, a Risk Log shall be activated and regularly updated by reviewing the external environment that may affect the programme implementation.
- A Programme Progress Reports (PPRs) shall be submitted by the JIS to the JTC for purposes of programme assurance.
- A programme lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the programme.
- A monitoring schedule plan shall be developed and regularly updated in order to track key management actions/events

### 5.2 Reporting

#### 5.2.1 Annual Review Report

An Annual Review Report shall be prepared by the JTC and shared with the JSC. As a minimum requirement, the Annual Review Report shall follow a standard format, covering the whole year with updated information for each output, as well as a summary of results achieved against pre-defined annual targets at the output level.

#### 5.2.2 Annual Programme Review:

Based on the above report, an annual programme review shall be conducted during the fourth quarter of the year or soon after but not later than one month, to assess the performance of the programme and appraise the Annual Work Plan (AWP) for the following year. In the final year, this review will be a final assessment. These reviews shall be driven by the JSC and implemented by the JTC/JIS, and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes

PK JMC H.A. JMC



#### ***4.7 Joint Implementation Systems (JIS)***

There will be a provision and modality for the formation of Joint Implementation System (JIS) on the ground, which is a prerequisite for the success of such a cross-border approach. This system will take cognizance of the administrative autonomy of both countries and endeavour to create a structure that is responsive to joint implementation, monitoring, evaluation. The development of a Terms of Reference for this joint implementation system will be articulated and the programme team will be housed "on location" in the cross-border town of Moyale (Kenya-Ethiopia). The JIS will be closely linked to the JTC.

#### ***4.8 Organogram***

(Attached) Annex 2

PK ANIC

H.A. / ps

Jane



function as bridge between the implementation-level and strategic-level management of the cross-border programme. It is important to note that the JTC is replicated at country level to provide technical support at country-level for planning and implementation of the cross-border programme.

Specifically, the Joint Technical committee will:

- Develop annual work plans and submit them for endorsement.
- Follow up effective implementation.
- Facilitate and support the development of a technical manual.
- In partnership with IGAD and UN, build the capacity at all levels (national, regional, zone and woreda levels).
- Follow up in the identification, compilation and dissemination of best practices.
- Prepare and submit progress and financial reports twice a year.
- Facilitate experience sharing
- Coordinate joint monitoring and evaluation exercises
- Facilitate and support the regular awareness creation, including documentation for the programme.

The Joint Technical Committee will interchangeably meet bi-annually in one of the cross border areas. However in case of urgent matters, the UN and IGAD, in consultation with both countries, may call for an extraordinary meeting.

#### ***4.6 National Steering and Technical Committees***

National Steering and Technical committees will also be set up. These will be customized in accordance with the rules of procedure for each country.

**UNDP country offices** will be responsible for resources mobilization, fund administration, and disbursement of funds to the responsible government institution. UNDP will also:

- In partnership with IGAD, support conflict prevention and management activities.
- Support livelihoods projects
- Support women's empowerment and youth employment creation activities.
- Strengthen policy designs in plan preparation.

**IGAD** will coordinate, facilitate and support cross-border interventions. It will also provide capacity building and support conflict prevention.

Financial management procedures will follow the Multi Partner Trust Fund and other modalities, which will be endorsed by the Joint Steering Committee. The MPTF will be established at the UN headquarters for resource mobilization and divided into two windows for allocation and disbursement for each respective countries. The budget will be allocated by the JSC to the two countries in accordance with the equity criteria already articulated

Ministry of Federal and Pastoral Development Affairs in Ethiopia and Kenya's Office of the Presidency will be responsible for the management of funds, including the disbursement of budgets to the respective implementation offices based on a signed AWP, and will also collect progress reports for submission to the respective leadership bodies.

*PK*

*H. H. H.*

*Rum*



### ***4.3 Annual Work Plans***

These are the detailed, prioritized work plans that must be submitted in order for funding to be released. These work plans will be based on the agreed upon priority output areas and build on the exhaustive list of activities articulated in the Budget Framework to articulate a feasible programme of work for each year of implementation. Any changes to the budget and indicative activities will be based on technical consensus and endorsed through the submission of the annual work plan.

### ***4.4 Joint Steering Committee (JSC)***

This will be the overall governance and leadership team for the cross-border programme. Comprising senior government officials from key ministries; regional presidents, county governor, UN Resident Coordinators, IGAD leadership and strategic development partners, the JSC will endorse programming and funding directions as presented by the Joint Technical Committee. The JSC will make strategic decisions regarding the cross-border programme, provide overall guidance and ensure the quality and standard of the cross border-programme. It is important to note that the JSC is replicated at country-level as needed in order to undertake country-specific decisions on the governance of the cross-border programme.

The MoFPDA in Ethiopia and the Office of the President in Kenya will be in-charge of the overall programme management and coordination. A joint steering and technical committee will be established for this purpose.

The JSC (the Governor of Marsabit County, President of Oromia Regional State, President of Somali Regional State, Executive Secretary of IGAD, Representatives of the National Government of Ethiopia and Kenya, the UN Resident Coordinators of Ethiopia and Kenya, and the RBA) will:

- Oversee and provide policy advice on the overall management, implementation and strategy for the programme.
- Endorse annual work plans with total budget.
- Provide guidance on resource mobilization.
- Ensure alignment and harmonization of interventions.
- Make various decisions on issues related to the cross-border programme; and in case of unforeseen circumstances, take appropriate action.
- Follow up the progress of the intervention.

The Joint Steering Committee will meet annually in one of the cross-border areas. However, in case of urgent matters, the UN and IGAD in consultation with both member states may convene an extraordinary meeting.

### ***4.5 Joint Technical Committee (JTC)***

This is the overall technical team for the programmatic and technical articulation of the cross-border programme. Comprising technical colleagues from line ministries, regional, zonal and county teams, UN Agencies and IGAD, the JTC will function seamlessly as the nerve centre of the cross-border programme in terms of planning, budgeting and programming. The JTC will have a key responsibility for the prioritization of proposed programme activities. The JTC will

BK JWC

H. A. Jw

Bure



## 4. INSTITUTIONAL ARRANGEMENTS AND PROGRAMME IMPLEMENTATION

Owing to the complex nature of such an unprecedented cross-border programme, both governments require a clear articulation and clarification of the mechanisms of the programme at strategic, technical and operational levels with regard to governance, funds management and financing systems, and implementation.

### *4.1. Country Management Systems*

Each Government will retain respective autonomy for the disbursement of funds for the cross-border programme. Although both Governments have a decentralized/devolved system that allows for regions/zones and counties to implement development programmes, central systems, including the national treasury, finance and economic cooperation, and relevant ministries will, in coordination with the regional/county governments, determine the flow of funds and requisite reporting and accountability.

Although cognizant of sovereign financial administration requirements, the governments will endeavour - wherever possible - to plan and implement "as one."

### *4.2 Role of the UN*

The UN will continue to support aspects of resource mobilization for innovative, transformative and flagship initiatives that ultimately catalyze interest by development and other donor partners to fund longer term initiatives.

The Multi Partner Trust Fund (MPTF) is an innovative funds administration system that was conceptualized by the UN and can be managed by respective governments. It is a Trust that can receive multiple sources of funding from a numerous of development/multi-lateral partners and even the governments themselves. The MPTF was conceptualized as a funds management option for this programme in order to reduce the volume of administration and reporting generated by various funding streams released to governments for the cross-border programme. The MPTF works on the principle of one fund and one reporting system, which ultimately reduces transaction costs, increases value for money, and enhances efficiency of programme delivery.

The MPTF would be set up and housed (virtually) in New York on behalf of the governments of Ethiopia and Kenya. It is only the governments will be able to request the release of funds from the MPTF once they have received and approved costed work plans. Using respective government systems, funds will then be disbursed to the region/zone, county and other implementing partners.

The UN - specifically UNDP - is strategically positioned to be the Fund Administrator if requested to do so by the respective governments. In this case, both UNDP Ethiopia and Kenya would set up Fund Administrator mechanisms. Both UNDPs can only release funds upon instruction from the respective finance and treasury Ministers. The key advantage to such an arrangement is the swift movement of funds from the MPTF to the respective countries.

RK JML H.A. JWS