



Country: Kenya
Project Initiation Plan

Project Title: The Kenya (Turkana/West Pokot) – Uganda (Karamoja) Cross-Border Programme for Sustainable Peace and Development

Expected UNDAF/CP Outcome(s): By 2022, people in Kenya live in a secure, peaceful, inclusive and cohesive society

Expected CPD Output(s): Strengthened capacities of peace architecture at national, county and community levels on peace, inclusion, reconciliation, social cohesion and integration

Initiation Plan Start/End Dates: 1 April to 31 December 2019

Implementing Partner: UNDP

Responsible Partners: Ministry of Devolution and ASALs, Turkana County Government and West Pokot County Government

Brief Description

The Joint Kenya and Uganda Cross Border Programme is to address governance, conflict and economic challenges that are critical to reduce the risks faced by, and vulnerability of the people of Karamoja cluster. This is a joint initiative of the Governments of Kenya and Uganda. This Project Initiation Plan (PIP) provides the opportunity for UNDP to support the Government of Kenya put in place preparatory measures towards a fully-fledged programme. This PIP will focus on the following outputs: i) Strengthened joint mechanisms for cross-border peace building, community resilience, and conflict prevention, management and resolution; ii) Strengthened evidence-based regional collaboration, cross-border cooperation and harmonization of policies and programmes for peace and security; iii) Enhanced investments and access to social services in the Karamoja cluster with a focus on children, youth and women; iv) Increased collaboration in sustainable environment and utilisation of shared natural resources; and v) Diversified livelihoods and improved community security and resilience to natural and man-made shocks.

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| <table style="width: 100%;"> <tr> <td style="width: 30%;">Programme Period:</td> <td>1 April to 31 Dec 2019</td> </tr> <tr> <td>Atlas Project Number:</td> <td>00118330</td> </tr> <tr> <td>Atlas Output ID:</td> <td>_____</td> </tr> <tr> <td>Gender Marker:</td> <td>GEN 2</td> </tr> </table> | Programme Period: | 1 April to 31 Dec 2019 | Atlas Project Number: | 00118330 | Atlas Output ID: | _____ | Gender Marker: | GEN 2 | <table style="width: 100%;"> <tr> <td>Total resources required</td> <td style="text-align: right;">US\$ 455,000</td> </tr> <tr> <td>Total allocated resources:</td> <td style="text-align: right;">US\$ 420,000</td> </tr> <tr> <td>• Regular</td> <td style="text-align: right;">US\$ 420,000</td> </tr> <tr> <td>Other:</td> <td></td> </tr> <tr> <td> o Donor</td> <td style="text-align: right;">_____</td> </tr> <tr> <td> o Government</td> <td style="text-align: right;">_____</td> </tr> <tr> <td>Unfunded budget:</td> <td style="text-align: right; border-top: 1px solid black;">US\$ 35,000</td> </tr> <tr> <td>In-kind Contributions</td> <td style="text-align: right;">_____</td> </tr> </table> | Total resources required | US\$ 455,000 | Total allocated resources: | US\$ 420,000 | • Regular | US\$ 420,000 | Other: | | o Donor | _____ | o Government | _____ | Unfunded budget: | US\$ 35,000 | In-kind Contributions | _____ |
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Agreed by UNDP: WALID BADAWI,

Agreed by Ministry of Devolution and ASAL:

I. PURPOSE AND EXPECTED OUTPUT

The joint Cross-Border Initiative will address governance and economic challenges that are critical to reduce the risks faced by, and vulnerability of the communities of Kenya (Turkana/West Pokot) and Uganda (Karamoja) cross-border region. As part of its overall agenda to support the global and regional commitments, the UNDP will support the target communities in five interrelated priority areas on cross-border and regional cooperation, governance, peace and security (preventing and sustaining peace); inclusive growth, environmental sustainability, climate change and resilience; women and youth empowerment to enhance resilience, economic opportunities and integration in the borderland areas of Turkana/West Pokot in Kenya and Karamoja of Uganda.

This initiative will specifically strengthen UNDP's relevance as a trusted partner of government in a complex and devolving landscape while also contributing to its mandate to eradicate poverty through innovation and knowledge brokerage that is critical for building resilience to crisis and shocks for the safeguard of development gains in this most impoverished region. In addition, the initiative will expand partnerships and new development financing in coordinated approaches. Furthermore, UNDP will use this initiative to create impact on the ongoing UN reforms placing centrality on interagency collaboration on transboundary issues, but also providing a programmatic framework for intervening directly against the three development settings¹ that the UNDP corporate strategic plan has outlined. This will be achieved by a deliberate top-down and bottom-up approach: Mobilizing, convening and brokering political leadership and stakeholders at all levels, across borders, with national/local governments and their development plans at the center, responding in the respective roles and comparative advantage, to the same baseline data and to one development plan for the development of the Karamoja cluster. The overall objective of the initiative is to *promote human security in the Karamoja cluster by bridging the humanitarian, development and peace nexus for the realization of SDGs.*

This joint UNDP cross-border intervention will therefore contribute to upstream policy linkage through regional, National and sub National peace and security critical for the realization of SDGs in the Karamoja Cluster. Specifically, it will complement African Union's peace and Security Agenda of an Africa Wide "beyond borders initiative" and will draw lessons from the UNDP support to the Sahel, Kenya/Ethiopia Cross border initiative among others and proof of the collaboration concept on cross border areas for Sustainable Peace and Development. Continental Africa Free Trade Agreement (CAFTA) which paves way for free movement of goods and people is an opportunity to expand infrastructure, technology and industrial growth for the Karamoja cluster. Additionally, it will also contribute to IGAD's Regional Integrated and Comprehensive Development Plan for the Cluster especially considering that the Karamoja Cluster is a single ecological, economic, socio-cultural and conflict zone, IGAD's conflict Early warning of IGAD as well as the East African Community customs Union. Contribution to the small arms protocol will be enhanced through the Regional Centre for Small Arms (RECSA). Additionally, "strengthening cross border engagement through collaborative framework for the Turkana/Pokot and Karamoja cross-border communities that is being developed by Kenya and Uganda. It also links to the World Humanitarian Summit in 2017, the UN's commitment to a New Way of Working and the widespread agreement to strengthen the Humanitarian-Development-Peacebuilding (HDP) Nexus. At a National level, it will contribute to the Karamoja Integrated Development Assistance Framework III and the Kenya Vision 2030 which is anchored on economic; social and political pillars. The objectives of the project are also in line with the Government of Kenya's Medium-Term Plan III's (2018-2022) and the government Big 4 agenda. Sector Working Group on Security, Peace Building and Conflict Resolution that emphasizes the importance of addressing cross-border conflicts and regional instabilities as well as strengthening early warning systems.

The outputs of this initiation plan will be:

- i) Strengthened joint mechanisms for cross-border peace building, community resilience, and conflict prevention, management and resolution,

¹ i. Eradicate poverty in all its forms and dimensions; ii. Accelerate structural transformation for sustainable development; iii. Build resilience to shocks and crises;

- ii) Strengthened evidence-based regional collaboration, cross-border cooperation and harmonization of policies and programmes for peace and security
- iii) Enhanced investments and access to social services in the Karamoja cluster with a focus on children, youth and women and
- iv) Diversified livelihoods, improved community security, resilience to natural and man-made shocks, and enhanced use of shared natural resources.

II. MANAGEMENT ARRANGEMENTS

The key stakeholders are the local communities of Turkana and West Pokot in Kenya and the Karamoja of Uganda, the governments (both at national and local level), and peace committee members, working closely with Kenyan and Ugandan governments. The peace committee members are composed of elders, women, youth, religious leaders and government officials. These committees represent the interest of the direct beneficiaries. Other indirect beneficiaries include: UN agencies who work in the region; NGOs and faith-based organizations and civil society (CSOs) groups, facilitating peace in the region, that have been providing training on cross-border peace building in the region; Community-Based Organizations (CBOs); and the private sector, IFIs, among others. A detailed stakeholders' analysis and consultative meetings will be conducted to provide clarity on the role of each stakeholder and how they will contribute to sustainability of peace in the Karamoja cluster. Below are some of the key stakeholders in Kenya and Uganda.

Kenya

| | Partner | Role |
|----|--|---|
| 1 | Ministry of Devolution and ASALs | Focal point ministry and in charge of ministerial coordination on the project and also co-investment |
| 2 | Ministry of Foreign Affairs | Provide advisory functions with respect to bilateral relations and joint missions with other countries |
| 3 | State Law Office and Department of Justice | Government advisor on bilateral agreements |
| 4 | National Treasury and Planning | Administer UN/Government financing agreements |
| 5 | Ministry of Interior and Coordination of National Government | Intervening on all security sector and peacebuilding related interventions |
| 6 | County Governments of Turkana and West Pokot | Interventions will be in the respective counties at the local level, so co-investment, mobilization, and hosting interventions |
| 7 | RECSA | Technical advisory functions on the Nairobi Protocol and implementation of relevant interventions |
| 8 | AU, IGAD and EAC | Partners in establishing linkages with the regional and sub-regional development agenda and technical assistance provision |
| 9 | Select CSOs | Partners in delivery of interventions, community outreach and mobilization; |
| 10 | UN agencies- UN WOMEN, UNDP, UNFPA, UNICEF, WFP, UN Environment, FAO | Technical assistance and investment in interventions jointly as UN agencies. Linking boarder region with knowledge from the greater south. Ensuring matters of gender, youth, children are considered across interventions and linkage with the international human rights treaties and conventions, SDGs integration and monitoring, |
| 11 | Private sector | Invited to partner and investment in key social and other investments |
| 12 | IFIs | Invited partner and for linkages with capital investments in the border region, technical assistance provision in select areas, |

Project Coordinator

This role is appointed by the Project Board to coordinate, on behalf of the Project Board, the day-to-day collaborative efforts at the overall project level. The project coordinator plays a key role in coordinating and incorporating the programmatic contributions of all partner countries and is responsible for:

- Compiling joint project reports, with specific inputs from each partner country
- Facilitating communication and coordination among partners
- Preparing for and convening project board meetings
- Facilitating joint activities, as needed, and
- Coordinating and commissioning project evaluations.

The Project Coordinator is supported by a UNDP office that may be identified during initiation and formulation of the project, considering its comparative advantages. Such an office is called a **coordinating office** of the project. The cost for services provided by a coordinating office should be covered by the project budget. There will be two project coordinators: one for Kenya and another for Uganda.

To facilitate field-level coordination and undertake monitoring and evaluation across the two countries, **Cluster/County Coordinators** will be deployed in Turkana county, West Pokot county and Karamoja region in Uganda to work in close coordination with the two countries project coordinators in UNDP offices. Additionally, UNDP Direct Country Office Support Services and direct project costing, will be applicable in supporting the delivery of the project. The existing IGAD Platform Coordination Unit (PCU) will serve to coordinate the implementation of the cross-boundary interventions; take charge of cluster level cross-border facilitation units; and provide a platform for technical assistance and support policy dialogue with countries.

The Turkana and West Pokot County Governments in Kenya and Karamoja region in Uganda will be involved in implementation of proposed joint activities in partnership with the UNDP Kenya and UNDP Uganda, following UNDP rules and regulations. They will contribute to effective and efficient coordination and implementation of the projects and activities in their respective jurisdictions in line with the national government policies of their respective countries. The implementation modalities will follow each national government's policies and guidelines. Activities will be implemented within the cross-border cluster area; in exceptional circumstances, some workshops/seminars may take place in Nairobi or Kampala.

The Project Board/Steering Committee: The Intergovernmental Steering Committee will assume the role of Project Board for this project (from herein referred to as "Steering Committee"). It provides overall programme management, coordination and strategic directions and oversight of project implementation and to ensure the projects objectives and goals are properly achieved. The Committee will meet at least once during the medium-term project period to ensure coherence, review progress, adjust programming as required and approve work plans. The Steering Committee will comprise Ministry of Devolution and ASALs in Kenya and Ministry of Karamoja Affairs in Uganda (co-chairs of the steering committee); Turkana and West Pokot counties of Kenya; Karamoja cluster of Uganda; Development Partners; IGAD; UN Resident Coordinators of Offices of Kenya & Uganda and UNDP Regional Service Centre. In the framework of the project, the composition and mandate of this inter-governmental steering committee will be expanded to cover the additional clusters (Turkana and West Pokot counties of Kenya and Karamoja cluster of Uganda). Each cluster will have a technical level committee that will report up to the overall steering committee.

The **Steering Committee** will comprise the following:

The **Executive:** the role of the Executive will be held by UNDP Kenya and UNDP Uganda. The Executive is ultimately responsible for the project, assisted by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs and results that will contribute to higher level

outcomes. The Executive should ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

The Senior Beneficiaries: The Governments of Kenya and Uganda are the senior beneficiaries. The Senior Beneficiaries are responsible for validating the needs and for monitoring that the solution will meet those needs within the lifecycle of the project. The role of the Senior Beneficiaries represents the interests of all those who will benefit from the project. The Senior Beneficiaries' role includes monitoring progress against targets and quality criteria.

Senior Supplier: The development partners, representatives of the UN Resident Coordinator's Office and UNDP in each country will hold the role of Senior Supplier. The Senior Supplier represents the interests of the parties which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources as required.

Quality Assurance: The Quality Assurance role supports the Steering Committee and is assumed by UNDP that will undertake objective and independent oversight and monitoring functions on behalf of the Steering Committee. This role ensures that appropriate programme management milestones are managed and completed.

There will be an **Inter-Ministerial Technical Committee**, which will operate at a technical level to ensure the effective implementation of the project. It will work closely with the Steering Committee and will be chaired by the representatives of the lead implementing partners in both countries (Ministry of Devolution and ASALs in Kenya and Ministry of Karamoja Affairs in Uganda). It will interact and coordinate as appropriate, under the auspices of the overall intergovernmental steering committee, with the technical committees that will operate on the other clusters along the Kenya-Uganda border (Turkana and West Pokot of Kenya and Karamojong of Uganda).

IGAD/CEWARN, as a regional body, will facilitate and support projects/activities, which are cross-border and regional in nature. Lessons will be drawn from the IGAD office in Moroto, in the Northern Region of Uganda, to set up a unit in the Karamoja cluster. IGAD/CEWARN will also be represented in the Inter-Ministerial Technical Committee and provide overall policy guidance and advisory services.

The Initialisation Plan shall adopt the Direct Implementation Modality (DIM), with a strong emphasis on local ownership of results, institutional strengthening through capacity building and advancing south-to-south collaboration, and learning. This approach aims to build local institutional capacity for greater programmatic and administrative control. UNDP has the political impartiality needed to execute a cross border project within a sensitive political environment and has access to international knowledge networks, and specialized technical expertise. This DIM mechanism also provides the flexibility the project requires and will allow for rapid adjustments in programming, as needed by the context. It also provides for the most advantageous combination of implementation strengths among different stakeholders.

UNDP will provide the technical and administrative capacity to assume the responsibility for mobilizing and applying required inputs. The lead implementing partners in both countries will take leadership in programme planning, delivery and ownership of results, and overall ownership of outcomes. UNDP will assume programme management responsibility through a process that facilitates broad accountability for project implementation. The Project Management team will work with the lead implementing partners to build local capacity on efficiency and coordination of donor efforts to support greater ownership by local institutions. UNDP will document and follow all policies and procedures established for its own operations. All Policies and Procedures applicable to UNDP operations apply i.e. procurement of goods and services, recruitment of project personnel.

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The project will work closely with local authorities and other stakeholders on the ground to minimize transaction costs and managing the project from both UNDP Kenya and Uganda offices. It is envisaged the project operational support will be provided by both Country Offices with support from UNDP Regional Service Centre.

III. MONITORING

Monitoring of activities and project deliverables will be conducted on a quarterly basis. To ensure coherence in tracking results in project implementation and monitoring of the implementation of the initiation plan will be regularized and synchronized with the Project Steering Committee (PSC) meeting progress reporting. Quarterly reports will constitute useful information in reporting on implementation progress of the plan.

UNDP will work with partners to ensure appropriate stakeholder consultation, jointly develop workplans, engage in joint M&E and field visits, and share information to ensure maximum coordination of efforts and attainment of results. Overall monitoring and documenting the successes and shortcomings of the plan, including undertaking reviews will be undertaken by UNDP in close collaboration with the line Ministry, under the guidance of the PSC. An Initiation Phase Report will be prepared at the end of the Initiation Plan, and a Project Document developed and subjected to Internal and Local Project Appraisal Committees (IPAC and LPAC) for validation.



IV. WORK PLAN

Period²:

| EXPECTED OUTPUTS | PLANNED ACTIVITIES | BUDGET TIMEFRAME | | | | RESPONSIBLE PARTY | PLANNED BUDGET | | |
|---|---|------------------|----|----|---|---|--|--|-------------------------------------|
| | | 2019 | | | | | Funding Source | Budget Description | Amount (USD) |
| | | Q2 | Q3 | Q4 | | | | | |
| Output 1: Strengthened joint mechanisms for cross-border peace building, community resilience, and conflict prevention, management and resolution. | Stakeholders' sensitization and awareness creation on MoU | X | | X | | MoDA | <ul style="list-style-type: none"> UNDP GOK Co-funding (TBD) | Workshops, Transportation, DSA, IEC | 10,000 |
| SUB TOTAL | | | | | | | | | 10,000 |
| Output 2: Strengthened evidence based regional collaboration, cross-border cooperation and harmonization of policies and programmes for peace and security in the Karamoja cluster | Support the development of bilateral framework for cross-border collaboration for Kenya and Uganda | X | | X | | MoDA, Turkana and West Pokot County, UNDP | <ul style="list-style-type: none"> UNDP GOK Co-funding (TBD) | Workshops, Transportation, DSA, IEC | 50,000 |
| | Identification and mapping of Stakeholders (including the Peace Committees) | | | | | | | | |
| | Facilitate signing of the MoU | | X | | | MoDA | <ul style="list-style-type: none"> UNDP GOK Co-funding (TBD) | Conference, transportation, accommodation, media, IEC | 40,000 |
| | Development of the Joint Programme Document | | X | | X | | MoDA, Turkana and West Pokot County, UNDP | <ul style="list-style-type: none"> UNDP GOK Co-funding (TBD) | workshop, transport, DSA, printing, |
| | Learning visit/benchmarking to Karamoja | | | | | | | | |
| | Research on causes, drivers, dynamics, and impacts of conflict including vulnerability assessment. | | | | | | | | |
| | <ul style="list-style-type: none"> Conduct and validate research findings Publication and dissemination | X | | X | | MoDA, Turkana and West Pokot County, UNDP | <ul style="list-style-type: none"> UNDP GOK Co-funding (TBD) | Consultancy, workshop, transport, DSA, printing, | 20,000 |

² Maximum 18 months

