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29<sup>th</sup> August, 2018

**Mr. Siddharth Chatterjee**  
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United Nations Complex - Gigiri  
NAIROBI

UNDP Nairobi Kenya	
FILE:	10P/017001
29 AUG 2018	
ACTION BY:	ACTION TAKEN
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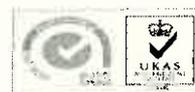
**RE: CROSS-BORDER COOPERATION BETWEEN ETHIOPIA AND KENYA FOR CONFLICT PREVENTION AND PEACE-BUILDING IN MARSABIT MOYALE CLUSTER**

This is in reference to your letter dated 22<sup>nd</sup> August 2018 forwarding three copies of the Project Document for cross-border cooperation between Ethiopia and Kenya for Conflict Prevention and Peace-Building in Marsabit Moyale Cluster for countersignature by the Cabinet Secretary, National Treasury and Planning.

The three copies have been duly counter-signed by the Principal Secretary, National Treasury through delegated authority.

The purpose of this letter is to forward two copies to you for necessary action. We have retained a copy for record purposes and safekeeping.

**Monica Asuna**  
Head, UN Agencies Division  
**FOR: PRINCIPAL SECRETARY, THE NATIONAL TREASURY**



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**PROJECT DOCUMENT**  
**KENYA**



*Empowered lives.  
Resilient nations.*

**Project Title:** Cross-border cooperation between Ethiopia and Kenya for Conflict Prevention and Peacebuilding in Marsabit-Moyale cluster

**Project Number:** 00109581

**Implementing Partner:** UNDP

**Responsible Partners:** Ministry of Devolution and ASALs and Marsabit County

**Collaborating Partners:** The National Treasury and Planning; and Ministry of Foreign Affairs and International Trade

**Start Date:** February 2018

**End Date:** January 2022

**PAC Meeting date:** 14/08/2018

**Brief Description**

UNDP, in cooperation with the Governments of Ethiopia and Kenya, and the Intergovernmental Authority on Development (IGAD), proposes this Cross-border cooperation project between Ethiopia and Kenya for conflict prevention and peacebuilding in Marsabit-Moyale cluster. The objectives of the project are in line with the Government of Kenya's policy under the Third Medium-Term Plan (2018-2022) of the Sector Working group of 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; and the Ethiopian Government's policy to address the violent resource-based inter-clan and other conflicts in the border areas<sup>1</sup>. The three-year project is a response to the Memorandum of Understanding (MoU) signed by the Governments of Ethiopia and Kenya to promote sustainable peace and socio-economic development in the border region of both countries. It will focus on supporting the implementation of peace building and prevention of violent conflict initiatives aimed at reducing vulnerability and increasing resilience of communities affected by conflict in the border areas of Marsabit County, Kenya and the Borana and Dawa Zones, Ethiopia. This project is part of the Cross-Border Integrated Programme for Sustainable Peace and Socio-economic Transformation: Marsabit County, Kenya; and Borana and Dawa Zones, Ethiopia

The key result areas of the project include:

1. *Improved capacity of local governments for preventing conflict and promoting sustainable peace;*
2. *Enhanced peace and strengthen community resilience to prevent conflict and withstand shocks*
3. *Efficiency and effective delivery of outputs and activities on conflict prevention and peace building enhanced.*

The project is organized around the following outputs: (i) Capacity of local institutions for conflict prevention assessed; (ii) Delivery of policy development framework and planning for cross-border peace initiatives conducted; (iii) Local government officials and community members are trained on conflict prevention, peacebuilding and small arms control; (iv) Community members trained on citizen participation in peacebuilding and social cohesion; (v) Peace Committee Members in Marsabit County, Borana and Dawa zones trained and mobilized to function in their roles in peace initiatives (vii) Local communities trained on conflict early warning and attend annual policy dialogues for conflict prevention; (viii) IGAD's Conflict Early Warning and Response Mechanism (CEWARN) strengthened for conflict prevention in the target area (ix) Tangible peace dividends are delivered to local communities, with a focus on effective natural resource management; (x) Project Management Unit established; (xi) Monitoring, evaluation and reporting.

<sup>1</sup> Ministry of Agriculture of Ethiopia (2012). Ethiopia Country Programme Paper to end Drought Emergencies in the Horn of Africa. Addis Ababa. Author and the Government of Kenya (2017) Security Peace Building and Conflict Management Sector Third Medium Term Plan, 2018-2022. (Draft). Nairobi. Author.



**Contributing Outcome (UNDAF/CPD, RPD or GPD):**

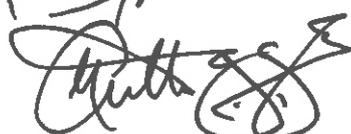
By 2022, Kenya is peaceful, secure and inclusive

**Indicative Output(s):**

a) Government and non-state actors have technical and financial capacity to promote reconciliation, social cohesion and integration through dialogue, mediation/alternative dispute resolution (ADR); b) Government institutions have capacities for formulation and implementation of gender and human rights responsive strategies and action plans on P/CVE.

<b>Total resources required (US\$):</b>	US\$2,295,593	
	<b>UNDP TRAC:</b>	US\$ 49,565
	<b>EU:</b>	US\$ 2,037,338 <sup>2</sup>
	<b>Government (10%):</b>	US\$ 208,690

Agreed by

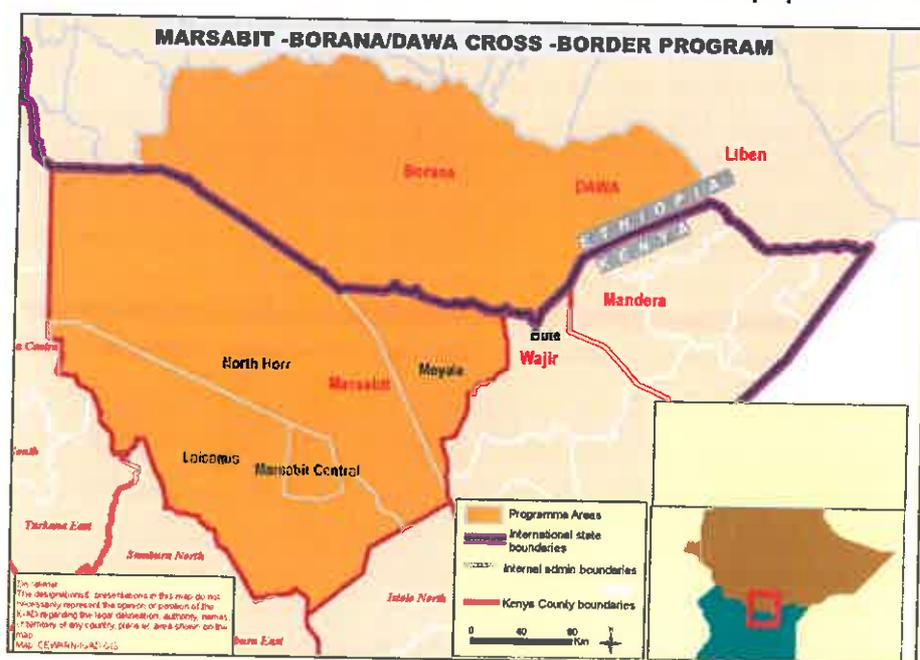
Government		UNDP	
Name:	DR. K. IHUGGE	Name:	SIDDHARTH CHATTERJEE
Title:	PS/NT	Title:	UNRC
Signature:		Signature:	
Date:	28/08/2018	Date:	23 Aug 2018

<sup>2</sup> Kenya CO EU Budget. Total EU Funded Cross Boarder Budget for Ethiopia and Kenya= US\$4,455,750



## I. DEVELOPMENT CHALLENGES

Kenya and Ethiopia share a large porous border straddling a length of 861 kilometres that traverse Marsabit, Turkana, Wajir and Mandera Counties on the Kenyan side, and Borana and Dawa zones on the Ethiopian side. On the Kenyan side, Marsabit County shares a longer bit of the border with Ethiopia, with Borana zone also sharing a long border with Kenya compared to Dawa and Omo zones. Marsabit County is comprised of four sub-counties: Laissamis, Marsabit Central, Moyale and North Horr. On the Ethiopian side, the programme intervention areas comprise Moyale Oromia, Miyo, Dillo, Dire and Teltele Woreda in Borana Zone and Moyale Somalia and Kedeuma Woreda in Dawa Zone. This cross-border area is characterized by poorly developed physical infrastructure, remote from the respective capitals (Nairobi and Addis Ababa), and low school enrolment rates combined with low literacy levels, poor education indicators and high poverty levels. All the development indices in this cross-border area are much lower than the national averages of the respective countries. The population is largely mobile, and their



movement is not confined to one country, but transcends international boundaries into Ethiopia and vice versa. These inter-regional and cross-border movements oftentimes lead to conflicts over water and pasture.<sup>3</sup> Human poverty in the regions co-exist with a rich store of natural wealth and biodiversity, which includes livestock, wildlife, forests, minerals, and medicinal

plants which are critical to the lives of the people. The youthful population, poverty, inadequate water supply, recurrent droughts and the resulting land degradation creates natural resource-based conflicts, among others. In these borderland areas, prolonged underinvestment in basic public goods such as education, health, security and roads has exposed the communities to vulnerability and external shocks.

Conflict stands directly in the way of achieving the SDGs. Conflict is exhibited in ethnic wars, conflict over resources and clan rivalry. The target region faces major challenges of disputes and a series of inter communal conflicts that have been witnessed over the years.<sup>4</sup> Most of these conflicts are either over resources, demarcated boundaries or are politically instigated. This has led to massacres and huge losses of property among the affected individuals and communities. For instance, the clash between the Garri and Borana from 25<sup>th</sup> to 27<sup>th</sup> July 2012 in Moyale, Ethiopia, forced more than 20,000 people to flee into Kenya, and burning of villages, disrupting business activities and causing the closure of the border between the two countries for about a week. Similarly, the political and ethnic conflict that erupted between the coalition of Rendille, Gabbra and Burji (REGABU) communities and the Borana in Kenya during the run up to the December 2013

<sup>3</sup> IGAD (2013). IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI). Djibouti: Author.

<sup>4</sup> IGAD (2013). IGAD Drought Disaster Resilience and sustainability Initiative (IDDRS) Djibouti: Author

General Elections displaced about 30,000 people and led to loss of lives and 107 houses burned. This coalition of REGABU together took all the major political seats leaving Borana with only one seat in Moyale<sup>5</sup>. Out of an estimated 80,550 people living in Moyale constituency, 53,968 people (approx. 67%) were displaced and faced hunger<sup>6</sup>. The conflict between the Oromo Liberation Front (OLF) and Ethiopian security forces has also sometimes spilled over into Kenya with casualties on Kenyan side due to clan or communal affiliations between communities living in both Kenya and Ethiopia. In 2013, due to ethnic rivalries and cross border conflicts, 50 people were killed in a span of four months<sup>7</sup>.

Moyale has experienced disproportionately higher incidence of both internal and external (cross-border) conflicts as compared to other parts of Marsabit County. Conflict in Moyale manifests itself in cattle rustling, interethnic and clan violence. Lack of alternative livelihood and cultural values also contribute to the old age practices such as cattle raiding/ rustling leading to communal border conflicts<sup>8</sup>. The causes and patterns of cross-border conflict are complex and intertwined with ethnicity, environmental degradation leading to competition over scarce resources, and an influx of illicit arms from neighbouring countries, inadequate institutional arrangements and approaches to deal with conflicts and poor governance and political incitement<sup>9</sup>. Other causes include inadequate capacities to deliver inclusive basic services, the collapse of traditional governance systems, and a high unemployment rate<sup>10</sup>. Insecurity in the region also has international dynamics and ramifications, given the volatility of some neighbouring countries and pastoralists' need for mobility to look for pasture and water. The pastoralists generally follow their cattle across the region in search of green pastures and water. These inter-regional and cross-border movements oftentimes lead to conflicts over water and pasture<sup>11</sup>.

Local capacity for conflict prevention are weak, characterised by weak border patrols, reliance on traditional mechanism of conflict resolution rather than the state. While peace committees exist, they have poor communication infrastructure and poor linkages with the local authorities<sup>12</sup>. Youth unemployment has increased the vulnerability to radicalization<sup>13</sup>. Women's participation in decision making is hampered by cultural prejudices and the social norms driven by patriarchy<sup>14</sup>.

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<sup>5</sup> *Improving policies for conflict prevention: Civil society engagement to transform borderlands in Africa; Rapid Assessment and mapping of CSOs Ecosystems in the Borderlands Moyale (draft 2017).*

<sup>6</sup> *Moyale Conflict Joint Assessment Report – Assessment period 14-12-2013 to 16-1-2014*

<sup>7</sup> Rono Faith (2013) <https://www.standardmedia.co.ke/article/2000100273/Ethiopian-insurgents-olf—not-part-of-Moyale-killings-locals-claim>.

<sup>8</sup> IGAD (2013). *IGAD Drought Disaster Resilience and sustainability Initiative (IDDRS) Djibouti: Author*

<sup>9</sup> Asfaw Kumssa, et. al. (eds.) (2011). *Conflict and Human Security in Africa Kenya in Perspective*. New York: Palgrave.

<sup>10</sup> Marsabit County. *Revised First County Integrated Development Plan. Country Integrated Development Plan. 2013-2017.*

<sup>11</sup> *Participatory Action Research on cross-border integrated programme for sustainable peace and socioeconomic transformation: Marsabit county, Kenya and southern Ethiopia. Report Submitted to UNRCO.*

<sup>12</sup> *Interview conducted with peace committee members during a field mission by nine UN Agencies to Marsabit County from 3 to 8 November 2014.*

<sup>13</sup> *A study sponsored by CIFA Ethiopia and CARE Ethiopia and conducted by Integrated Agriculture Development Consult (IADC) in 2009*

<sup>14</sup> UNWomen. *Field Monitoring: Partners Capacity Support (CIFA) & HeForShe County Campaign Steering Committee Induction Meeting in Marsabit County. Mission Report 22-26 February 2017.*

## II. STRATEGY

The Governments of Kenya and Ethiopia have been involved in developing, leading and implementing the cross-border programme, hence communities will remain at the heart of the success of the interventions through customized and fit-for-purpose solutions to the development challenges identified. The project will focus on the following result areas within the broader cross border programme: a) Improved capacity of local governments for preventing conflict and promoting sustainable peace; b) Enhanced peace and strengthen community resilience to prevent conflict and withstand shocks; and c) Efficiency and effective delivery of outputs and activities on conflict prevention and peace building enhanced. Gender considerations will be an integral part of the project implementation through specific actions such as ensuring that at community level, stakeholder identification and analysis form the foundation for participatory planning processes, capacity development, and project implementation.

The project theory of change in this context is defined by the premise that **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. As noted above, shrinking economic opportunities for the people and competition over scarce resources is perhaps the most obvious cause of violent conflict in the region. Given the fact that animal rearing is the main source of income, competition over access to scarce natural resources such as pasture and water has contributed to violence among pastoralist communities. These scarce resources are increasingly fought over due to climate change and population growth.

### *Linkages of the Project to International and National Development Goals and Strategies*

The project will contribute directly to the United Nations Development Assistance Framework (UNDAF) and the Country Programme Document (CPD) Outcome on Peace Building and Community Security which states: **By 2022, Kenya is peaceful, secure and inclusive.** This is in line with the goal of SDG 16 i.e. promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels. The project will also contribute to SDG 1 - End poverty in all its forms everywhere by improving the livelihoods of local communities in the border areas and SDG 5 -Achieve gender equality and empower all women and girls. Women girls and youth have been a major victim of generational conflict with limited educational and livelihoods opportunities. The project will empower women, girls and youth to attain their full potential including their role as custodians of peace and development by addressing the unprecedented levels of violence against women, who suffer from grave discrimination; enhancing women's visibility and participation in decision making and peacebuilding; promoting legislation giving women equal rights to economic and financial resources.

The project is underpinned by the concept of 'sustaining peace' which espouses a whole-of-system approach that builds on all three pillars of the UN system – human rights, peace and security, and development – in a mutually reinforcing way, with the Sustainable Development Goals (SDGs) at the core of the UN approach to prevent and sustain peace. Recognizing the urgent need for prevention and sustain peace, requires a whole-of-system approach that builds on all three pillars of the UN system – human rights, peace and security, and development – in line with the UN's New Way of Working' (NWoW) to bridge the humanitarian-development divide under the notion of collective outcomes. This project reaffirms the need for a humanitarian-development-peace nexus in countries affected by fragility, conflict and violence in line with the UN Secretary General's concept of 'Preventing Conflicts.' The project is also

aligned with the Agenda 2063 aspirations 3 and 5 (An Africa of good governance, respect of human rights, justice and the rule of law and a peaceful and secure Africa).<sup>15</sup>

Nationally, the project is aligned with the goals and objectives of Vision 2030 that envisages to achieve “**A Globally Competitive and Prosperous Kenya**” anchored on three main pillars, namely economic, social and political. Most importantly, the project is aligned with the political pillar which emphasizes the importance of peace building and conflict management as an important tool to achieve the objective of this long-term plan. The objectives of the project are also in line with the Government of Kenya’s policy under the Third Medium-Term Plan (2018-2022) of the Sector Working Group of 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. Since the target area on the Kenyan side is Marsabit County, the project is also aligned and harmonized with the objectives of Marsabit Second County Integrated Development Plan (CIDP), 2018-2022 which identified the main causes of conflict as “ethnic rivalry, cultural identity and fight for supremacy and political incitement as well as access to education and employment. Retrogressive cultural practices like cattle rustling, poaching, human killing as a sign of bravery and revenge is also another reason for conflict. Conflicts over resources and land boundaries is also another factor for conflicts.”<sup>16</sup> In this regard, the CIDP refers to the Ethiopia-Kenya Cross-Border Programme and align its conflict prevention strategies with the “cross-border and area-based development programme to, strengthen social cohesion and bring sustainable peace and development in the region.”<sup>17</sup>

The realization of the results under the project will be determined by the following key assumptions: i) peaceful political environment to undertake the project activities; ii) enhanced security management, particularly against terrorism and resource-based conflicts; iii) continued political goodwill by the two host governments to work together towards common results; and iv) 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.

With the governments of Kenya and Ethiopia developing, leading and implementing the 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 the 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 (GIS) mapping have been undertaken to ensure identification of resources and linkages to the communities' 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 set aside for this region, alongside complementary funds raised by supporting partners to contribute to the outcomes of the initiative.

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<sup>15</sup> Agenda 2063, Goal 12: Capable institutions and transformed leadership in place at all levels. Goal 13: Peace, Security and Stability are Preserved, Goal 14: A Stable and Peaceful Africa and Goal 15: A Fully Functional and Operational African Peace and Security Architecture.

<sup>16</sup> County Government of Marsabit (2018). Second County Integrated Development Plan, 2018-2022. Marsabit County. Pp. 38.

<sup>17</sup> *Ibid* 44.

### **III. RESULTS AND PARTNERSHIPS**

#### ***Expected Results***

The overall aim of the Cross-Border Programme is to transform the region into a prosperous and peaceful cross-border area with resilient communities. This will be achieved through capacity-development 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. The UNDP Kenya supported component of the programme will promote sustainable peace, improve livelihoods and strengthen the resilience of communities affected by conflict and other recurrent shocks. The strategy employed will be through targeted conflict management and peace building programme. This will form the foundation on which other programmatic interventions such as livelihood and resilience building among the communities will be anchored on. UNDP Kenya will support initiatives to identify and address the root causes and impact of cross-border and inter-ethnic conflicts through building the capacity of peace committees; strengthen early warning and early response systems; reviving traditional conflict resolution mechanisms; and the voluntary repatriation and reintegration of displaced communities. The following will be the anticipated interventions:

- a) Develop capacity of local governments to prevent conflict and promote sustainable peace;
- b) Strengthen community resilience to prevent conflict and withstand shocks; and
- c) Develop local level partnerships to ensure efficiency and effective delivery of outputs and activities on conflict and peace building through use of local partnerships.

#### ***Resources Required to Achieve the Expected Results***

The Kenya and Ethiopia Governments retain overall responsibility for committing and mobilising resources for the cross-border programme. Both governments lead and direct the fundraising initiatives and task partners (UN and development partners) as appropriate within the relevant frameworks and modalities. New partnerships with the private sector, philanthropists and non-traditional donors will also be forged by the governments. The European Union has currently committed resources to support the Conflict Prevention and Peace Building Component of the Cross-Border Programme and the Government of Kenya, in the spirit of strong partnerships and sustainable development, will contribute 10 percent of the current project budget as counterpart financing. UNDP will leverage these resources to demonstrate results on the ground and attract additional funding. The UNDP will support both governments through its CPD. Under the principle of "Delivering as One", UNDP will leverage on the UN Country Team to support the delivery of the project. In addition to programmatic and technical support, the UNDP has the operational and administrative capacity to provide fund management services to both governments as necessary.

#### ***Partnerships***

The project will be implemented in close collaboration with the UNCT in both countries. There will be close collaboration with the National and Sub-national governments in Kenya and Ethiopia, who will be responsible for local level mobilization and ensure sustained political support for the project. Partnerships will also be created by non-state actors including NGOs, CBOs, FBOs who will play a catalytic role on community interface. 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, philanthropists, and identified non-state actors may be encouraged by the respective governments to engage in funding and technical support for some aspects of the cross-border programme.

### ***Risks and Assumptions***

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 the commitment of the 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 governments 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.

### ***Stakeholder Engagement***

In the context of this project the key stakeholders are the local community of both regions, the governments (both at national and local level: Marsabit County in Kenya and Oromia/Somali Regional Governments in Ethiopia) and the Cross-Border Joint Peace and Justice Committees composed of the Borana, Gabra, Garri and other groups working closely with their Kenyan and Ethiopian governments. The committee members are composed of elders, women, youth, religious leaders and government officials at Woreda and Kebele level in Ethiopia and sub-locational levels structured under the national administration in Kenya. These committees represent the interest of the direct beneficiaries of this action. Other indirect beneficiaries of the action include: (1) the UN agencies who work in the region; (2) NGOs and faith-based organizations and civil society groups that are facilitating peace in the region including but not limited to CIFA Ethiopia and Kenya, CARE Ethiopia, IGAD/CEWARN and Mercy Corps, Catholic Diocese, that have been providing training on cross-border peace building in the cross-border region; (3) Community-Based Organizations (CBOs) such as Deedha Council; and (4) the private sector among others. The initial activity during the inception phase of this project is to conduct a detailed stakeholders' analysis and consultative meetings to put into clear perspective what is the role of each stakeholder in the programme and how they will contribute to sustainability of peace in the region. Some of the baseline data will also be determined during the inception period.

### ***South-South and Triangular Cooperation (SSC/TrC)***

In line with UNDP's Strategy of SSC/TrC, the project will leverage on existing partnerships to share experiences on cross border support. This will be achieved through exchanges of knowledge, skills, resources and technical know-how, and through regional and interregional collective actions, including partnerships involving Governments, regional organizations, civil society, academia and the private sector, for their individual and/or mutual benefit within and across regions. Some of the experiences in the region that the project will benefit from include:

a) Swedish Life and Peace Institute (LPI), supported through the EU's Pan-African Programme, on "Improving policies for conflict prevention: civil society engagement to transform borderlands in Africa". This project has three target geographical areas including Moyale (Kenya-Ethiopia) and seeks to increase the participation and contribution of civil society organisations (CSOs) to ensure continental and regional policies on cross-border cooperation are responsive to the human security priorities of borderland communities.

b) The Better Migration Management (BMM) project in the Horn of Africa that aims to strengthen state security institutions, border controls, community policing, and encouraging governments to adopt proper national and regional migration policies and legislation. This project will create the necessary synergies and linkages with the BMM project in the implementation of its activities.

c) The EU Trust Fund contribution to achieving sustainable peace, security and stability in the IGAD region through the Promoting Peace and Stability Project. This includes enhancing the IGAD CEWARN systems so that there is an improvement in the quantity and quality of the information collected, in data analysis and quick early response action; enabling IGAD and national governments of the region to predict, prevent, and counter transnational security threats and enhancing the capacity of IGAD and national governments of the region for preventive diplomacy, mediation and peace-building. The two projects will liaise closely to ensure no duplication of effort.

### ***Knowledge***

The project will build on successful practices of publishing communication materials related to project activities, outputs and project impact. Project activities will be documented in print, video, and other formats and widely disseminated. In this regard, the project will ensure high-level visibility to EU and other donor assistance with Governments of the region and with international financial and technical partners. All other project activities, including local dialogue processes, cross-border cooperation meetings, trainings and other capacity development events, will be promoted and supported by all contributing donors to the project.

### ***Sustainability and Scaling Up***

A critical ingredient of the sustainability of this project is its integration with the overall UNDP-IGAD Integrated programme agenda. Key to this is the commitment of both the Governments of Kenya and Ethiopia in collaboration with UNDP and IGAD to this initiative launched by the former Ethiopian Prime Minister and the President of Kenya in December 2015. The overall programme when implemented will strengthen socio-economic development between the two countries' communities around the borders and have a positive impact on mitigating conflicts. Given the high-level commitment of the two governments to this programme, the probability of failure to implement its activities is very low and therefore the expected negative impact would be negligible.

The second factor which is important to the sustainability of the project activities is the level of participation by the stakeholders, community institutions and members including women and youth in the project design and implementation and its ownership by the target communities. To ensure sustainability, at community level, the project will actively promote dialogue between the target communities, knowledge dissemination and transfer of negotiation skills. These interventions will improve their understanding of the causes and impacts of conflicts, and the benefits of sustainable peace and alternative 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 project will have a mutual understanding of the key conflict causes, factors/dynamics and sources for peacebuilding 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 peacebuilding activities.

The project will also focus on attitude changes and build incentives, projects and capacity building programmes, which are the cornerstone of self-reliance and sustainable self-improvement aimed at

bringing about sustainable peace and development. The project will seek to identify their attitudes and behaviours towards the causes of conflict, and towards achieving 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 (line ministries – Education, Health, Public Works, etc. and other government departments, NGOs, etc.). This is intended to ensure a 'bottom-up' approach for jointly identifying the opportunities and barriers to achieving sustainable peace.

Being part and parcel of the bigger Ethiopia and Kenya cross border programme, this project will align its activities with the former and will work with local authorities, community groups and traditional leaders as this promises to have a more tangible impact in building resilience and consolidating peace. Strengthening the capacity of local institutions to respond to dynamic challenges at the local level (and in remote border areas) will also ensure the sustainability of the project. To ensure the sustainability of this project, the two governments are committed to support this project by contributing their own resources and facilitating fund-raising activities. The two UNCTs will also actively work on fund-raising activities as well as providing their own resources through parallel funding.

## **IV. PROJECT MANAGEMENT**

### ***Cost Efficiency and Effectiveness***

The Cross-Border Project will work closely with local authorities and other stakeholders on the ground to minimize transaction costs and managing the project from UNDP Headquarters in Nairobi. It is envisaged that the project will have a field office in Moyale (Ethiopia) and the operational support will easily be provided by UNDP Ethiopia Country Office and UNDP Regional Service Centre in Addis.

Building on the experiences and lessons learnt from past and current projects, the Marsabit and Borana/Dawa Zones cross-border initiative aims to complement ongoing activities on cross-border initiatives and to scale up past achievements. The project has therefore been largely informed by the lessons from the IGAD programme that has established peace structures, including CEWARN at the regional and country levels with the objective of "receiving and sharing information concerning violent and potentially violent conflicts as well as their outbreak and escalation in the IGAD region, undertake analysis of the information and develop case scenarios and formulate options for response." Local peace committees are established at sub-national, zone/sub county/woreda levels that are focal points for peace building and conflict resolution in their respective areas. These structures are already in place in the Marsabit/Borana/Dawa cluster of the cross-border area of Ethiopia-Kenya.

CEWARN, in collaboration with its development partners, has undertaken capacity gap assessment on national and local peace structures within the cluster with the aim of building their capacity to effectively coordinate peace building and conflict prevention initiatives at all levels. As a starting point, this intervention will collaborate with CEWARN and build on the findings of the assessment so that there is an improvement in the quantity and quality of information collected and in data analysis and quick early response action. Based on the outcome of the assessment, the project will build capacity of existing structures to effectively coordinate peace building and conflict resolution and enhance livelihood resilience efforts in the project area.

In this regard, much of the proposed work builds on past and present experiences that IGAD and other organizations have built up through programmes such as:

- IGAD's Drought Disaster and Resilience and Sustainability Initiative.
- The United States Agency for International Development (USAID) financed Regional Enhanced Livelihoods in Pastoral Areas and USAID funded PEACE II and PEACE III projects.
- The Swiss Agency for Development and Cooperation (SDC) supported Regional Pastoralist Field School (PFS) Project and others.

This project will continue to build on activities from the above actions without duplicating what is already covered under those programmes.

### ***Project Management***

UNDP Kenya and UNDP Ethiopia will implement the Cross-Border Project on Conflict Prevention in conjunction with its own initiatives for Marsabit County in Kenya and Borana and Dawa Zones in Ethiopia. The UNDP Regional Service Centre Africa (RSCA) will implement a transversal project covering three of the four clusters, which will help facilitate cooperation and coordination of all cross-border initiatives. As such, this component is part of the larger Cross Border Project Funded by the European Union. The project will share a project management support team which will be based in Ethiopia, with the Chief Technical Advisor providing the overall supervisory support. UNDP Kenya will recruit a Capacity Development, Peace Building and Conflict Analyst. The project will be audited as per applicable UNDP rules and regulations.

## V. RESULTS FRAMEWORK<sup>18</sup>

EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>19</sup>	DATA SOURCE	TARGETS (by frequency of data collection)				DATA COLLECTION METHODS & RISKS	
			Baseline Value	Year 1	Year 2	Year 3	Data Collection Methods	Risks
1.1 Capacity of local institutions for conflict prevention assessed	1.1.1 Capacity Assessment Reports finalised/published /disseminated.	Policy documents Progress reports and Midterm review	No capacity assessment report	Capacity assessment report finalised	Capacity assessment report published and disseminated	Capacity assessment report published and disseminated	Document review of the capacity assessment. Training reports on capacity assessment. Final evaluation report. Policy document review. Review of the mid-term report.	Conflict in the focal areas may hamper the capacity assessment strategy. The trained personnel unwillingness to implement the newly acquired conflict prevention skills.
	1.2.1 Drivers of conflict and conflict prone areas identified.	Policy documents Progress reports and Midterm review	One Participatory Action Research (PAR) on drivers of conflict prone areas available	PAR report Validated and printed.	Findings of the PAR report implemented and monitored.	Findings of the PAR report implemented, monitored and evaluated.	Policy document review. Review of Progress reports. Mid-term review of the project implementation process.	Conflict in the focal areas may hamper the implementation of the findings of the PAR. The two governments unwillingness to the implement policy recommendations.
1.2 Delivery of policy	1.2.1. Number of policy and legal frameworks developed on conflict	Evaluation reports	0	1 Policy document	1 Policy document	1 Policy document	Review of the policy and legal frameworks.	Conflict in the focal areas may hamper implementation of

<sup>18</sup> UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

<sup>19</sup> It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

development framework and planning for cross border peace initiatives conducted.	prevention.	Progress reports Interviews		1 legal framework	1 legal framework	1 legal framework	Review of the progress report. Mid-term review of project implementation progress. Review of the final impact assessment report.	the policy and legal framework. The two governments unwillingness to implement policy recommendations.
	1.2.3. Planning and M&E tools for enforcement of legal framework developed for peace building.	Evaluation reports Progress reports Interviews	No planning, M&E tools	Planning and M&E tools developed	Planning and M&E tools implemented	Planning and M&E tools implemented	Review and compare the baseline values with the achievement vis a vis the set targets.	Lack of capacity among the project staff to carry out a robust M&E exercise. Unwillingness of the senior management to uptake the recommendation of the M&E findings.
2.1 Local government officials and /community members are trained on conflict prevention, peacebuilding and small arms control.	2.1.1. Number of local government officials trained on conflict prevention and small arms control.	Evaluation and mid-term review report. Progress reports.	0	60	120	180	Review of capacity assessment report. Review of the training reports. Training beneficiaries. Final evaluation report.	Conflict may hamper implementation of the training of local government officials. Unwillingness of the local government officials to implement the newly acquired skills.
	2.1.2. Number of community members trained on peace initiatives in the region	Evaluation and mid-term review report. Progress reports.	0	60	120	180	Review of the training report. Beneficiaries. Review of the final evaluation report.	Conflict may hamper implementation of the community-base training. Unwillingness of the trainees to implement the newly acquired skills.

	2.1.3. Number of police posts equipped with communications equipment.	0	2	4	6	Financial documents. Progress reports. Mid-term review reports. Project beneficiaries.	Conflict that may hamper the distribution and use of the equipment. Capacity of the police to effectively use the newly acquired equipment.
	2.1.4. Number of people benefiting from capacity building.	0	120	240	360	Progress reports. Mid-term review reports. Project beneficiaries. Final evaluation report.	Conflict which may hamper the implementation of the capacity building programme. Willingness of the beneficiaries to participate in the capacity building programme.
2.2. Community members trained on citizen participation in peacebuilding and social cohesion.	2.2.1. Number women and youth who are trained on participation in democratic governance and electoral process	0	30	60	90	Progress reports. Midterm review Evaluation report	Conflict which may hamper the implementation of the training programme. Willingness of the beneficiaries to participate in the training programme.
	2.2.2. Number of social and cultural activities organized for community peacebuilding.	0	1	2	3	Progress reports. Midterm review Evaluation report	Conflict may hamper the implementation of the peacebuilding programmes.
2.3. Peace Committee members in Marsabit County,	2.3.1. Number of peace committee members trained on their roles.	0	20	40	60	Progress reports. Midterm review Evaluation report	Conflict may hamper the implementation of the peacebuilding programmes. Unwillingness of the

Borana and Dawa Zones trained and mobilized to function on their roles in peace initiatives.	2.3.2. Number of women and youth elected into peace committees.	0	20	40	60	Final evaluation report	peace committees to implement the newly acquired skills.
	2.4.1. Annual policy dialogues held.	None	Strategies for policy dialogue developed	Strategies for policy dialogue implemented and monitored	Strategies for policy dialogue implemented and monitored	Progress reports. Mid-term review Evaluation report	Unwillingness of the youth and women in the peace committee.
	2.4.2. Conflict early warning systems being used.	IGAD Conflict and Early Warning System Exists	Conflict and Early Warning System developed	Conflict and Early Warning System implemented and monitored	Conflict and Early Warning System implemented and monitored	Progress reports. Mid-term review Evaluation report	Unwillingness of senior government officials to participate in this exercise.
	2.4.3. Number of youth engaged EWS and environmental management.	0	40	80	120	Progress reports. Mid-term review Evaluation report	Unwillingness of the government to implement the early warning system.
	2.4.4. Number of Women engaged in resource managements and EWS activities.	0	40	80	120	Progress reports. Mid-term review Evaluation report	Unwillingness of youth to engage in EWS and environmental management.
	2.5.1. Number of additional areas being covered by IGAD's EWRS	1	2	2	2	Progress reports. Mid-term review Evaluation report	Unwillingness of women to engage in EWS and environmental management.
	2.5: IGAD's Conflict Early Warning and Response Mechanism						Willingness of the host governments to cooperate with IGAD and UNDP on EWRS.

strengthened for conflict prevention.	2.5.2. Equipment provided for conflict prevention.	Progress reports Midterm review Evaluation report	None exists	Equipment Procured	Equipment Procured	Equipment Procured	Financial reports Final evaluation report.	Willingness and capacity of the end users to use newly acquired equipment.
	2.5.3. Number of successful information sharing incidences.	Progress reports Midterm review Evaluation report	0	2	3	Progress reports. Mid-term review reports. Benefiting institutions. Final evaluation report	Reluctance of some key stakeholders to share information.	
	2.6.1. No/Qt of Hay made & stored by pastoralists.	Progress reports Midterm review Evaluation report	0	1000 tonnes	1000 tonnes	1000 tonnes	Progress reports. Mid-term review reports. Project beneficiaries. Final evaluation report	Willingness of the beneficiaries to use the processed hay.
	2.6.2. Number of milk coolers in the region.	Progress reports Midterm review Evaluation report	0	6	12	18	Progress reports. Mid-term review reports. Project beneficiaries. Final evaluation report	Unwillingness of the project beneficiaries to use the proposed the milk preservation strategies.
	2.6.3. No of boreholes rehabilitated.	Progress reports Midterm review Evaluation report	0	5	10	15	Progress reports. Mid-term review reports. Project beneficiaries. Final evaluation report	Unwillingness of the project beneficiaries to use the rehabilitated boreholes. Conflict may hamper the rehabilitation and use of the boreholes.
2.6 Tangible peace dividends (such as hay making and equipping milk coolers) are delivered to local communities with a focus on effective natural resource management	2.6.4. Number of people trained on management of resources.	Progress reports Midterm review Evaluation report	0	5	10	15	Progress reports. Mid-term review reports. Project beneficiaries. Final evaluation report	Willingness of the people to use the newly acquired resource management skills.
	3.1.: Project management	Progress reports Midterm review Evaluation	1	2	2	2	Performance Management and	Staff turnover.

unit established			report						Development (PMD)	
	3.1.2. Rate of delivery		Progress reports Midterm review Evaluation report.	2%	60%	85%	100%		Mid-term and final evaluation reports.	Conflict may hamper the effective implementation of the work plan.
3.2. Monitoring, Evaluation and Reporting	3.2.1. Organizational learning and accountability by partner institutions		M & E Reports	No audit	Unqualified audit report	Unqualified audit report	Unqualified audit report		Mid-term and final evaluation report.	Capacity of the staff to implement the M & E Strategy.

## VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
<b>Track results progress</b>	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	UNDP/Governments of Ethiopia and Kenya and IGAD	US\$30,000
<b>Monitor and Manage Risk</b>	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	UNDP	0 (staff time)
<b>Learn</b>	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	UNDP/Governments of Ethiopia and Kenya and IGAD	\$10,000
<b>Annual Project Quality Assurance</b>	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	UNDP	0 (staff time)
<b>Review and Make Course Corrections</b>	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	UNDP/Governments of Ethiopia and Kenya and IGAD	\$10,000
<b>Project Report</b>	A progress report will be presented to the	Annually, and at the		UNDP	\$10,000

	Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	end of the project (final report)			
<b>Project Review (Project Board)</b>	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	At least annually	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	UNDP/Governments of Ethiopia and Kenya and IGAD	\$10,000

#### Evaluation Plan

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Mid-Term Evaluation	Joint	Sustainable Peace building	Outcome 1	Mid 2019	Marsabit County and Borana/Dawa Zone, IGAD, national governments	EU (\$10,000)
Project End Term Evaluation	Joint	Sustainable Peace building	Outcome 1	End of 2020	Marsabit County and Borana/Dawa Zone, IGAD, EU, national governments	EU (40,000)

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**VII. MULTI-YEAR WORK PLAN 2018-2022 IS ATTACHED**

*All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.*

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## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

**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 a year to ensure coherence, review progress, adjust programming as required and approve annual plans. The Steering Committee will comprise Ministry of Devolution and ASALs, the National Treasury and Planning, Kenya; Marsabit County; Ministry of Federal and Pastoralist Development Affairs of Ethiopia; Oromia Regional and Somali Regional States of Ethiopia; EU; IGAD; UN Resident Coordinators of Offices of Kenya & Ethiopia and UNDP Service Centre. The Committee will be chaired by the Ministry of Federal and Pastoralist Affairs of Ethiopia and the Ministry of Devolution and ASALs of Kenya. In the framework of the "Support for Effective Cooperation and Coordination of Cross-border Initiatives in Southwest Ethiopia-Northwest Kenya, Marsabit-Borana & Dawa, and Kenya-Somalia-Ethiopia" project, the composition and mandate of this inter-governmental steering committee will be expanded to cover the additional clusters (Kenya-Somalia-Ethiopia border and Southwest Ethiopia-Northwest Kenya), including representation of the Somali government. 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. 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, Marsabit County and the Governments of Ethiopia, Borana/Dawa Zones of Ethiopia and IGAD 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 European Commission, 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.

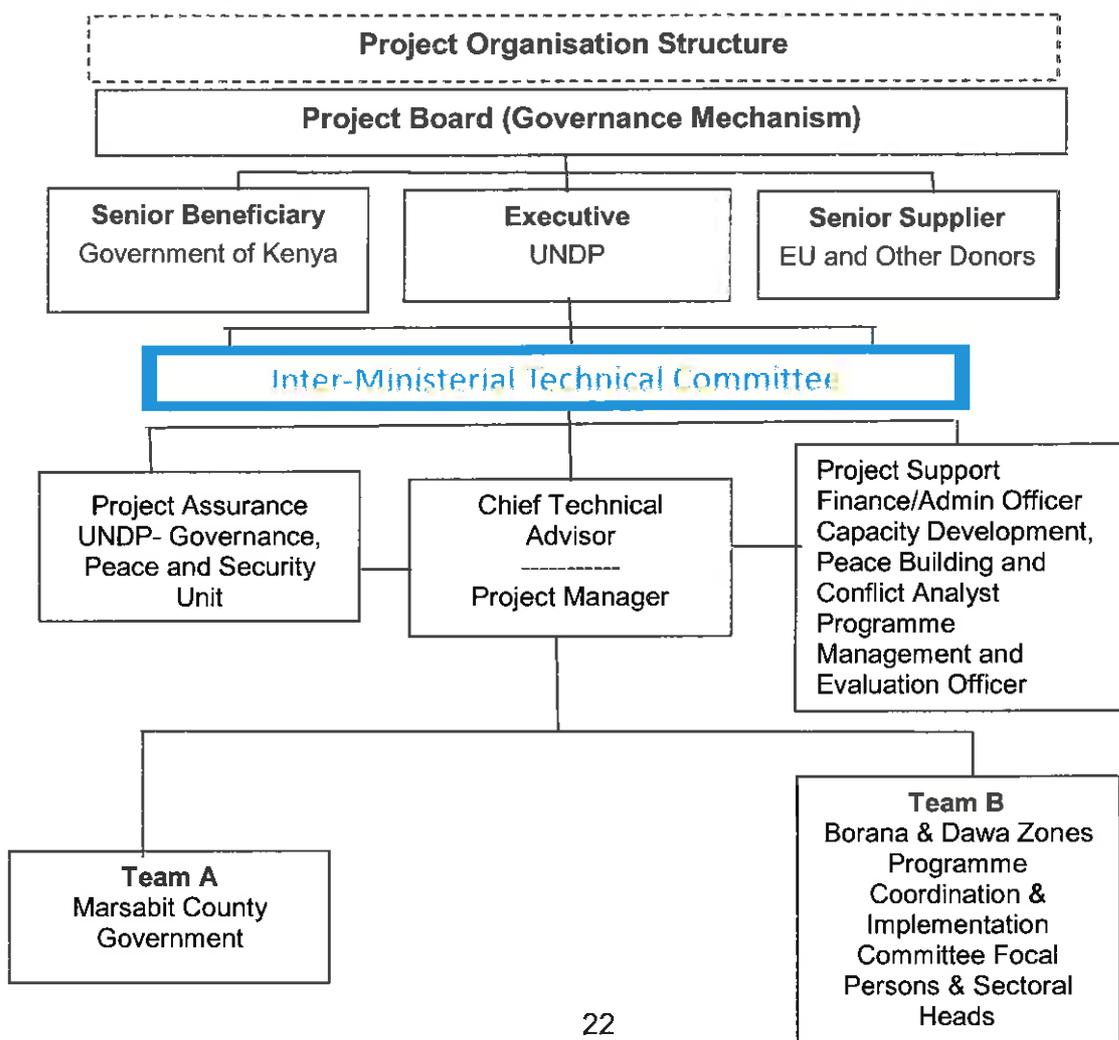
The project will benefit from the administrative, logistical and coordination facilitation of the project "Support for Effective Cooperation and Coordination of Cross-border Initiatives in Southwest Ethiopia-Northwest Kenya, Marsabit-Borana & Dawa, and Kenya-Somalia-Ethiopia". Under this project, the EU, UNDP and IGAD, have agreed that joint IGAD-UNDP coordination offices will be established on the Kenyan

side of the Omo-Turkana cluster; on the Ethiopian side of the Marsabit-Borana cluster; and on Kenyan territory in the Mandera Triangle to facilitate cooperation and field-level coordination and undertake the monitoring and evaluation across all the clusters mentioned. 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 Marsabit County Government and the Regional States of Oromia and Somali will be involved in implementation of the proposed activities in partnership with the UNDP of Ethiopia and Kenya 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 Addis Ababa.

Operating underneath the Inter-Governmental Steering committee, will be an Inter-Ministerial Technical Committee. This Committee 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 Ministry of Devolution and ASALs of Kenya and the Ministry of Federal and Pastoralist Affairs of Ethiopia. It will meet three times a year. 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-Ethiopia border (Mandera triangle: Kenya, Ethiopia, Somalia and South Omo-Turkana).

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 to set up a unit in the Marsabit Moyale cluster. IGAD/CEWARN will also be represented in the Inter-Ministerial Technical Committee and provide overall policy guidance and advisory services.



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## IX. LEGAL CONTEXT AND RISK MANAGEMENT

### LEGAL CONTEXT STANDARD CLAUSES

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Kenya and UNDP. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by the UNDP (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. GoK Financial Regulations will also be used in as far as inclusion in the budget and reporting by UNDP on expenditures. And if on budget, Office of the Auditor General will audit it, so to that extent, GoK Financial procedures will also be used. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

### RISK MANAGEMENT STANDARD CLAUSES

#### UNDP (DIM)

1. UNDP as the Implementing Partner shall comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP agrees to undertake all reasonable efforts to ensure that none of the [project funds]<sup>20</sup> [UNDP funds received pursuant to the Project Document]<sup>21</sup> are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Consistent with UNDP’s Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

**Special Clauses.** In case of government financing through the project, the following should be included:

Please insert the schedule of payments and UNDP bank account details.

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<sup>20</sup> To be used where UNDP is the Implementing Partner

<sup>21</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

1. The value of the payment, if made in a currency other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. Should there be a change in the United Nations operational rate of exchange prior to the full utilization by the UNDP of the payment, the value of the balance of funds still held at that time will be adjusted accordingly. If, in such a case, a loss in the value of the balance of funds is recorded, UNDP shall inform the Government with a view to determining whether any further financing could be provided by the Government. Should such further financing not be available, the assistance to be provided to the project may be reduced, suspended or terminated by UNDP. All losses (including but not limited to losses as result of currency exchange fluctuations) shall be charged to the project.
2. The above schedule of payments takes into account the requirement that the payments shall be made in advance of the implementation of planned activities. It may be amended to be consistent with the progress of project delivery.
3. UNDP shall receive and administer the payment in accordance with the regulations, rules, policies and procedures of UNDP. The GoK portion shall be used as per GoK procedures as the GoK will not be able to advance resources to UNDP as per the GoK financial regulations. It will be factored in the MoDA budget.
4. All financial accounts and statements shall be expressed in United States dollars.
5. If unforeseen increases in expenditures or commitments are expected or realized (whether owing to inflationary factors, fluctuation in exchange rates or unforeseen contingencies), UNDP shall submit to the government on a timely basis a supplementary estimate showing the further financing that will be necessary. The Government shall use its best endeavors to obtain the additional funds required.
6. If the payment referred above are not received in accordance with the payment schedule, or if the additional financing required in accordance with paragraph 1 above is not forthcoming from the Government or other sources, the assistance to be provided to the project under this Agreement may be reduced, suspended or terminated by UNDP.
7. In accordance with the decisions and directives of UNDP's Executive Board reflected in its Policy on Cost Recovery from Other Resources, the payment shall be subject to cost recovery for indirect costs incurred by UNDP headquarters and country office structures in providing General Management Support (GMS) services. To cover these GMS costs, the payment shall be charged a fee equal to 7%. Furthermore, as long as they are unequivocally linked to the project, all direct costs of implementation, including the costs of implementing partner, will be identified in the project budget against a relevant budget line and borne by the project accordingly.
8. Ownership of equipment, supplies and other properties financed from the payment shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the relevant policies and procedures of UNDP.
9. The payment and the project shall be subject to the internal and external auditing procedures provided for in the Financial Regulations and Rules and policies of UNDP and the GOK.

## X. ANNEXES

1. Project Quality Assurance Report (to be attached)
2. Social and Environmental Screening Template (to be attached)
3. Risk Analysis:

Risks	Probability of occurrence	Severity of risk impact (high, medium, low)	Mitigating Strategy (and persons/unit responsible)
Commitment of the target beneficiaries to fully participate in the programme activities	Medium	Medium	Identify and closely work with the most influential community leaders and elders, Intensify awareness of project benefits to the target
Lack of funding to implement the overall UNDP-IGAD Integrated Cross-Border Programme in the Marsabit-Moyale cluster	Medium	Medium	UNDP County Teams to actively pursue resource mobilization tasks and follow-up on Government commitments to financially support the project.
Willingness and ability of the partners to fully participate in the processes,	Low	High	Identify and work closely with local and national government officials and representatives of faith- based organizations
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
Staff and programing stakeholder security	Low	Medium	Ensure that the staff security is assured using local leaders and local government agencies
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
The challenges of the 2009 Charities and Societies Proclamation of Ethiopia	High	Medium	Dialogue with the national and local governments and work with CSOs already operating in the regions.

#### 4. Project Board Terms of Reference and TORs of key management positions

##### TOR for the Project Board:

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 a year to ensure coherence, review progress, adjust programming as required and approve annual plans. The Steering Committee will comprise Ministry of Devolution and ASALs, and the National Treasury and Planning, Kenya; Marsabit County; Ministry of Federal and Pastoralist Development Affairs of Ethiopia; Oromia Regional and Somali Regional States of Ethiopia; EU; IGAD; UN Resident Coordinators of Offices of Kenya & Ethiopia and UNDP Service Centre. The Committee will be chaired by the Ministry of Federal and Pastoralist Affairs of Ethiopia and Ministry of Devolution and ASALs, Kenya. In the framework of the "Support for Effective Cooperation and Coordination of Cross-border Initiatives in Southwest Ethiopia-Northwest Kenya, Marsabit-Borana & Dawa, and Kenya-Somalia-Ethiopia" project, the composition and mandate of this inter-governmental steering committee will be expanded to cover the additional clusters (Kenya-Somalia-Ethiopia border and Southwest Ethiopia-Northwest Kenya), including representation of the Somali government. Each cluster will have a technical level committee that will report up to the overall steering committee.

##### The Inter-Ministerial Technical Committee:

The Committee will provide technical support to the Steering Committee and ensure technically sound joint plans and reports are submitted to the ISC on time, programme personnel are technically supported, implementation progresses are regularly monitored and evaluated, financial utilization is audited, and directions given from the ISC are well addressed. The JTC will function seamlessly as the nerve centre of the cross-border programme in terms of planning, budgeting and programming. It will function as bridge between the implementation-level and strategic-level management of the cross-border programme. It will meet three times a year and is composed of relevant line-ministries from both countries.

The **Project Management Unit (PMU)** will include staff carrying out various forms of tasks including technical assistance, administration and management. The project management staff includes professionals with extensive experience who are fully proficient and experienced with the local context. The proposed team structure will be carefully selected to cover the needed management, coordination and policy guidance, the required technical knowledge, monitoring and communication assets.

The PMU will consist of the following staff:

- **UNDP Chief Technical Advisor for the cross-border programme:** The CTA's work is set out in the individual workplan attached to this contract. Responsible for strategic guidance, quality assurance, strategic and technical inputs and direction to the project team in coordination with UNDP senior management and national/local project counterparts and ensuring effective linkages with other similar initiatives and projects. The CTA is part of the PMU. In close collaboration with the Technical Committees, the CTA, and with the other PMU staff listed below, will be responsible for the day to day activities/implementation of the programmes/activities and reporting. The CTA will ensure the delivery of inputs, work schedules and target outputs of this project. Another important role for the CTA will be to support resource mobilization of the wider UN-led cross-border programme in the Marsabit-Moyale cluster. The CTA will also serve as liaison officer between the two governments and ensure the smooth and effective communication and harmonization of activities in the two countries. ICT will be leveraged as a communication and coordination tool as much as possible, e.g. email, Skype, online dialogue, etc. The cost of the CTA will be charged 80% to the project budget for the first two years and 50% during the last year.
- ***Capacity Development, Peace Building and Conflict Analyst*** will provide technical assistance and overall support to the effective implementation of the capacity building and conflict prevention and peacebuilding goals and objectives of the programme. He/She will provide high-quality policy advice and technical programmatic support to the Field Office in Moyale as well as UNDP country offices of

Ethiopia and Kenya, in the field of capacity development, conflict and peace building; provision of policy advice, programmatic guidance and donor outreach; and support the coordination and implementation of the cross-border cooperation project between Ethiopia and Kenya for effective capacity development and conflict prevention and peacebuilding in Marsabit-Moyale cluster. He/she will directly report to the governance and peace building unit of UNDP, Kenya. The Analyst will submit quarterly reports to the CO on the progress made and challenges encountered in the implementation of the activities of the programme in the field of capacity development, peace building and conflict prevention. The Capacity Development, Peace Building and Conflict Analyst's cost will be 100% charged to the current project budget.

- **Admin/Finance Associate** will be responsible for the financial management and reporting. In close collaboration with the UNDP office, he/she will ensure that proper procurement procedures are adhered to and funds are managed, including the inventory of supplies and equipment, as per contractual requirements set up in the General Conditions of this contract and per UNDP rules/regulations as relevant. The cost of the programme finance officer will be 50% charged to the current project budget. He/she will directly report to the UNDP, Ethiopia.
- **Programme Management and Evaluation Officer**: Under the supervision of Team Leader, Governance and Capacity Development Unit of UNDP Ethiopia CO the Project Management and Evaluation Officer will be responsible for the successful project management and implementation by contributing to the effective achievement of the project outputs and outcomes. He/She will also be in charge of all the monitoring and evaluation functions of all the project activities. He/She will also ensure that project activities contribute to programme outcomes through delivery of planned outputs through efficient and effective management of resources. He/she will also be responsible for regular monitoring as well as reporting on the progress of the implementation of the project and supporting the implementation of the project activities by undertaking research and analysis of relevant data and information. The project manager will be responsible for developing the monitoring and evaluation frameworks, tracking progress in the achievement of the outputs and outcomes and preparing the requisite progress reports. He/she will also work as a communication officer and oversee delivering the communication strategy and action plan for the project including information on objectives, audiences, messages, resources, timescales, tools and activities. Develop user-friendly and high-quality Information, Education and Communication (IEC) materials (such as handouts, posters, brochures, video documentary films and photo documentation, success stories booklet etc.) in English for communication of the project activities to the public and stakeholders. The cost of the programme officer will be 50% charged to the current project budget. He/she will directly report to UNDP, Ethiopia.

#### **Project Staff Locations:**

- The CTA will be stationed in Kenya and will be rotating between the two countries and spending most of his time in the field office in line with the work plan.
- The other officers will be stationed in the field office to be established in Moyale on the Ethiopian side of the cross-border area<sup>22</sup>.

In addition to the project staff, depending on the nature of the work and complexity of the Action, several technical and administrative roles and services are required for the execution of the Action and covered by the UNDP country office personnel in line with Internal Control Framework (ICF). Based on the needs of the action and the projected inputs, the following positions are included, on a pro-rata basis, as direct costs to the action. The time allocation is based on the existing workflow in the UNDP Country office and is pro-rated to the scale of the budget and the scope of the action requiring different time inputs from different positions as follows:

A1. **Procurement Analyst**-Responsible for providing support in identification of procurement modalities, facilitating quality, transparent, effective and fast competitive procurement processes as per UNDP policies; supporting the project in the launch and publicity of procurement processes; advising in project procurement evaluation processes; supporting in negotiations with potential contractors (as needed and as per UNDP policies); assisting in the process of contracting, monitoring of contracts and giving the appropriate advice thereon. The Procurement Analyst will be charged through direct project

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<sup>22</sup> Please see the minutes of IGAD, UNDP and UNEP meeting held on 26 April 2017 at Lord Errol Hotel, Nairobi, Kenya.

costs for the time spent directly attributable to the implementation of the Action, not exceeding 18% of the working time. The project does not have a full-time procurement person hence the extensive need for the services of the UNDP Procurement Analyst.

A2. **Human Resource Specialist-** Responsible for Recruitment of staff, project personnel, and consultants and managing of all contract during the project implementation period. The staff will also provide advice, conditions of services and carry labour relations activities as appropriate throughout the implementation period. The Human Resources Associate will be charged through direct project costs for the time spent directly attributable to the implementation of the Action, not exceeding 15% of the working time. The project office does not have a dedicated personnel officer, hence the heavy reliance on UNDP Human Resources Specialist's services.

A3. **Programme Administrative Assistant-**Responsible for administrative duties related to implementation of the project activities in assisting with organizing administrative tasks and processes for Action including visa requests, logistical arrangements, travel authorizations and arrangements, ticketing and commons services. It is estimated that 25% of the Programme Admin Assistant time will be charged to the project budget.

A4. **Finance Assistant-**Responsible for providing support in facilitating bank disbursements for the project, payroll processing and specific ledger entries for the project in ATLAS (ERP) including supporting the overall dash board financial monitoring in the UNDP intranet and ATLAS of the overall action. As per UNDP's Internal Control Framework (ICF) in relation segregation of duties, these tasks cannot be delegated to the project staff. The Finance Assistant will be charged through direct project costs for the time spent directly attributable to the implementation of the Action which is estimated at 10% of the working time.

A8. **Security Assistant-** For Project's security compliance of field offices and management of staff and assets movement per minimum UNDSS security requirements throughout the 3-year implementation period. The Security Assistant among other tasks will specifically assist in collecting, updating and communicating information regarding the security situation in the target regions. Will assist in providing security support regarding the conferences and meetings in Marsabit, Moyale, Borana/Dawa zones. The staff will assist in maintaining Security Plan and Area Security Plan for the implementation regions, including updating security warden/staff communication tree/list in the regions. Will supports with the assessment of the UNDSS' Minimum Operational Security Standards (MOSS) for the project and duty station. The Security Assistant will report security incidents affecting UN staff, offices, organize and deliver security training courses, briefings on security awareness and preparedness. The staff will as well assist in ensuring Office/ residential (Minimum Operating Residential Security Standards – MORSS) and project office safety. The Security Assistant will be charged through direct project costs for the time spent directly attributable to the implementation of the Action, not exceeding 45% of the working time.