

SAMBURU COUNTY

Capacity Gaps and Needs Assessment
for Food Security Safety Nets and Emergency
Preparedness and Response

November 2015




**World Food
Programme**

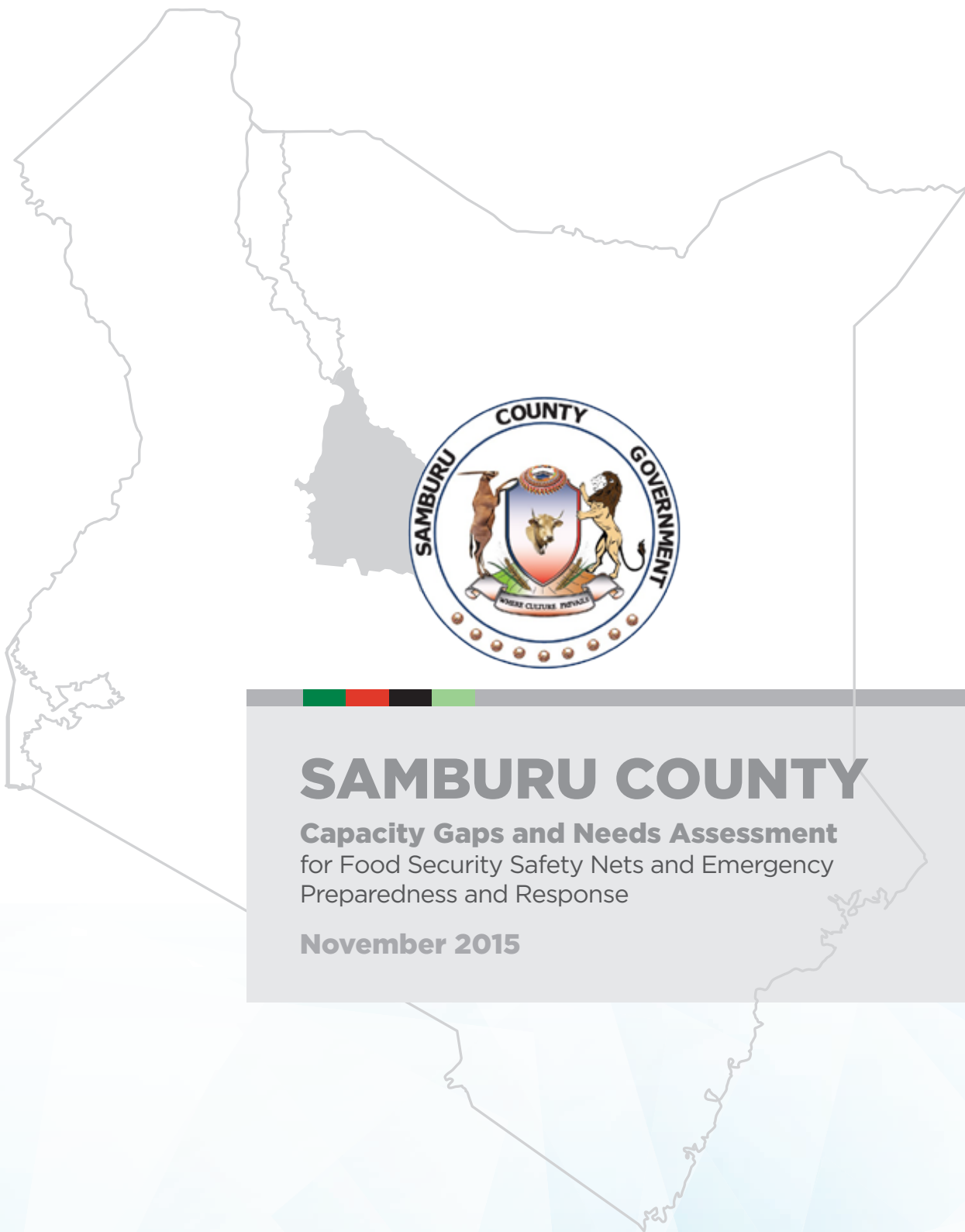


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The World Food Programme Kenya has received generous support from the Government of Sweden to work with the Government of Kenya and county governments to strengthen their capacities in social protection, emergency preparedness and response, and resilience building for the period January 2015 to December 2017. The partnership is entitled “Enhancing Complementarity and Strengthening Capacity for Sustainable Resilience Building in Kenya’s Arid and Semi-Arid Lands”.

ABBREVIATIONS

CCC	Core capacity characteristic
CIDP	County Integrated Development Plan
CSG	County Steering Group
HGI	Hunger governance indicator
NDMA	National Drought Management Authority
WFP	World Food Programme

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INTRODUCTION

For many decades, in close partnership with the Government of Kenya, the World Food Programme (WFP) has provided food assistance to fight hunger in Kenya. Under the new constitution of 2010, important areas of governance have been devolved to counties, including aspects of agriculture, health, transport, pollution control, trade and, not least, disaster management. In this respect, counties are expected to assume the role of first responders in emergencies. As Kenya reaches middle-income status, the Government is interested in building its own robust national social protection and emergency response systems. In this spirit, WFP is adjusting its role from being a provider and implementer of social protection programmes to becoming an adviser and supporting the Government in its efforts to build the institutional, legal and programme framework for these systems.

WFP Kenya has received generous support from the Government of Sweden to work with the Government of Kenya and county governments to strengthen their capacities in the areas of social protection, disaster risk management and resilience building for the period January 2015–December 2017. The partnership is entitled “Enhancing Complementarity and Strengthening Capacity for Sustainable Resilience Building in Kenya’s Arid and Semi-Arid Lands”, and focuses on i) supporting strategic coordination of social protection at national level; ii) capacity development for newly devolved (county) structures; and iii) transitioning support for cash-for-asset beneficiaries to national and county governments.

Samburu is one of the counties that has expressed interest in cooperating with WFP to support the county’s capacity to prepare for and respond to food insecurity in normal times and during emergencies.

Before an adequate capacity support programme can be developed, a complete understanding of existing capacities and gaps is needed. This understanding will help focus resources on strategic needs and areas where the support can have the maximum impact. This capacity gaps and needs assessment is the first step in a process of collaboration between WFP and the county government. It serves to assess existing capacities, and agree where capacity development investments can be made in line with the county’s priorities.

This report summarizes the results of the capacity gaps needs assessment for Samburu County. It will form the basis of a specific capacity support programme, which will be formalized through a cooperation agreement between WFP and the county government and will be implemented over the subsequent two years. The capacity gaps needs assessment will also form the baseline against which the results of the following two years of capacity support will be measured.

1

METHODOLOGY AND STRUCTURE OF THIS REPORT



This capacity gaps and needs assessment primarily serves to inform the development of specific capacity support strategies and programmes between Samburu County and WFP. It was a highly participatory process, where the government took the lead role, with WFP acting as a facilitator. The process took place over a week in November 2015 in Samburu, and included group and bilateral discussions as well as a large validation meeting. Discussions focused on the county government's capacity with respect to two areas of food and nutrition security: safety nets, and emergency preparedness and response (including early warning food security assessments, and humanitarian supply chain management).

For both areas, WFP had prepared detailed question guides that probe into

the current level of capacity in the county with respect to five areas of hunger governance:¹

- policy and legislative environment
- effective and accountable institutions
- financing and strategic planning
- programme design and management
- continuity and sustained national capacity/civil society voice

The county leadership established technical teams to work through the prepared question guides, with facilitation by WFP.

¹ **Hunger governance** is defined as the obligation of nations to their citizens to guarantee freedom from hunger, under-nutrition and harms caused by disasters by formulating conducive legislation and policies, strengthening effective institutions, supporting strategic national development plans, and investing in sustainable hunger solution measures and clearly established parameters for handing over such measures to nationally managed systems.



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These teams addressed the questions, provided a wide range of relevant county-level documents, identified scores for the present level of capacity in each area of hunger governance, and tentatively discussed priority areas for capacity support.

This report starts with a general description of Samburu County. It then summarizes the capacity assessment for each area of hunger governance (jointly for safety nets and emergency preparedness and response), and proposes a number of specific capacity support interventions.

The section Methodology and Summary of Baseline Capacity Indicator Scores explains in more detail the method of identifying and calculating the county capacity indicator baseline, and presents Samburu capacity indicator scores.

The matrices with the detailed question guides, team discussions – supplemented by information from a desk review of national and county policy and legal documents and relevant data – and scores are attached in annexes 1, 2 and 3 of this report.



2 DESCRIPTION OF SAMBURU²

Samburu County is part of the arid lands of Kenya. It is situated in the northern part of the Great Rift Valley, and its area of 21,000 km² includes five ecologic zones.

The tropical alpine zone covers an altitude of 1,980 m to 2,040 m above sea level, with an annual average rainfall of between 600 mm and 800 mm. Temperatures range from 21 °C to 25 °C.

The upper highlands cover an altitude of between 2,150 m to 2,600 m above sea level and receive an annual average rainfall of 900 mm to 1,000 mm. Temperatures range from 15.5 °C to 19 °C. The zone is used for sheep and dairy cattle rearing as well as wheat and barley and forestry farming.

The lower highlands cover an altitude of 1,800 m to 1,980 m above sea level and receive an annual average rainfall of 750 mm. Temperature varies between 14.8 °C and 17.5 °C. The dominant land use practices include livestock and agriculture, cultivating mainly maize and sorghum.

The lower midlands are below 1,300 m above sea level and have an annual rainfall of 720 mm. Annual mean temperatures range from 22 °C to 27 °C. Sorghum, millet and livestock farming are important land uses in the area.

The lowlands comprise elevations between 600 m and 1,450 m above sea level and receive an annual rainfall of below 700 mm, with annual mean temperatures of between 30 °C and 33 °C. This zone covers up to 80 percent of the county. The land is mainly used as grazing fields for wildlife and



Figure 1: Map of Samburu: livelihood zones and sub-counties

livestock by pastoralist communities living in the county.

Figure 1 shows the main livelihood options for the population, which was estimated at 290,000 in 2015, of which 56.5 percent are pastoralists, 37 percent are agropastoralists, and 6.5 percent pursue other livelihood options, including formal employment.

In the pastoral livelihood zone, 50 percent of the population is fully nomadic while about 28 percent is semi-nomadic. The rest of the population in this livelihood zone is either fully settled, out-migrant labour, occasionally nomadic or internally displaced. In the agropastoral livelihood zone, 60 percent of the population is fully settled, while 30 percent are in-migrant labour.

² This section draws information from the *County Integrated Development Plan 2013–2017* (Samburu County Government); the *2015 Long Rains Assessment Report Report* (Kenya Food Security Steering Group, August 2015); *Food Security and Outcome Monitoring* (WFP, September 2015); the *Kenya Demographic and Health Survey 2014* (Kenya National Bureau of Statistics, 2015); and the *Samburu County Drought Contingency Plan – 2014/15* (Samburu County Government, 2014).

The county has a total 139,892 ha of arable land, which is mainly concentrated in the Samburu Central highlands. However, only 4,000 ha and 3,200 ha are actually cultivated with food and cash crops, respectively.

The county is divided into three sub-counties (Samburu Central, Samburu East and Samburu North), seven divisions and 15 wards.

Hazards

Being an arid and chronically food-deficient county, drought is the most persistent and destructive natural hazard in the county, which at its most severe decimates crops and livestock, erodes the landscape and results in hundreds of millions of shillings in damage and losses. While in general the long rainy season occurs in the months of March–May and the short rains occur mainly between October and December, rainfall in the county follows a fairly erratic pattern with significant temporal and spatial variations.

The county is often affected by cyclical droughts, which occur every one to three years, although the frequency of droughts is reported to have increased as a result of increasingly erratic weather patterns. Droughts are likely to occur, and are relatively chronic, particularly in the predominantly pastoral zones of Samburu North and Samburu East sub-counties.

Occasional outbreaks of disease and attacks by pests threaten the population and harvests and the county also faces a constant threat of wildfires.

Insecurity is another serious concern. Whilst cattle rustling has traditionally been a source of insecurity, increasing competition over resources (pasture and water) lead to violent conflicts. In addition, highway banditry is a problem that affects the free movement of people and goods.

Food Security and Hunger

The 2015 Long Rains Assessment categorized the acute food insecurity phase for the pastoral areas as stressed (IPC³ phase 2),⁴ while parts of the agro-pastoral areas were in the minimal phase (IPC phase 1) and were able to meet food and non-food needs. The county has had consecutive poor rainy seasons over the last two years and currently approximately 80,500 people are acutely food insecure compared to 45,500 and 72,250 people in 2013 and 2014, respectively. In the pastoral livelihood zone, prolonged dry spells have resulted in a deterioration of grazing resources, depletion of water sources and livestock migrations, consequently reducing livestock productivity.

According to the September 2015 Food Security and Outcome Monitoring data, 11 percent of households had poor food consumption in September 2015 compared to 14 percent in September 2014, while those with borderline food consumption increased from 28 percent in 2014 to 42 percent. Households with acceptable food consumption decreased from 58 percent to 47 percent. Forty-two percent of children in the county are stunted. Households are increasingly employing consumption coping strategies. The Coping Strategies Index rose significantly – to 19 – in September 2015 compared to 4 during the same period in 2014, signifying a deterioration in food security. According to the 2014 Kenya Demographic and Health Survey, 16.4 percent of children under five suffer from acute malnutrition, compared to a national average of 4 percent.

³ Integrated (food security) phase classification.

⁴ Households are able to meet minimally adequate food consumption but are unable to afford some essential non-food expenditures without engaging in irreversible coping strategies.

3

CAPACITY
ASSESSMENT

During the capacity gaps and needs assessment process, different teams comprising technical staff and county executive officials discussed and assessed capacity gaps and needs for safety nets and for emergency preparedness and response, and identified separate capacity scores for both areas and for each of five hunger governance indicators. This provided a triangulation of responses, which were then compared at the final plenary session.

This report presents the findings for each of the five hunger governance indicators together. All details concerning the specific questions discussed and the scores identified for separate areas of hunger governance can be found in the complete matrices in annexes 1, 2 and 3.

Hunger Governance Indicator 1: Policy and Legislative Environment

The Kenya Constitution of 2010 enshrines a number of fundamental rights and freedoms in its Bill of Rights. With respect to safety nets, these include the right to life (Art. 26), the right to human dignity (Art. 28) as well as economic and social rights (Art. 43). In particular, Art. 43 foresees that every person has the right (c) to be free from hunger, and to have adequate food of acceptable quality; and (e) to social security. Not least, Art. 43 (3) prescribes that the state shall provide appropriate social security to persons who are unable to support themselves and their dependants. The fourth schedule of the constitution (allocation of specific tasks to the national government and county governments) does not specify which level of government is responsible for social protection.

Both national and county governments are responsible for disaster management.

This places counties as first responders to emergencies, while the national government sets standards (e.g. assessment and targeting methodologies, beneficiary registration) and steps in with additional resources when an emergency affects a share of the population above a certain threshold. This threshold has not yet been defined.

The Samburu County Integrated Development Plan (CIDP) 2013–2017 provides a thorough analysis of the prevailing development situation in Samburu County. Main development challenges include low agricultural production and productivity, water deficiency, the prevailing land tenure system, environmental degradation, poor infrastructure, insecurity, and increasingly erratic weather patterns. Important cross-cutting issues include HIV/AIDS (prevalence rate of 6.8 percent), poverty (80 percent of the population are considered poor) and gender inequality. The CIDP identifies the most important disaster threats as being drought, cattle rustling and wildfires. The CIDP foresees programmes in the following priority areas for the promotion of development in the county:

- agriculture, livestock, veterinary and fisheries
- energy, infrastructure and information and communication technology
- environment and natural resources
- medical services and public health
- education
- gender, social services and youth
- county transport and public works

- water
- physical planning and housing
- finance, economic planning and marketing
- trade and tourism
- cooperative and enterprise development
- provision of non-food items to improve sanitation and increase control of water-borne diseases.

Areas of interest include the empowerment of women and youth through revolving enterprise funds (i.e. group credit schemes) and the provision of food for emergencies by WFP.⁵

The County Drought Contingency Plan 2014/15, prepared by the National Drought Management Authority (NDMA) in close participation with Samburu County, provides an analysis of and sets up scenarios for drought risks for livestock, agriculture, water and sanitation, health and nutrition, and education. The plan outlines concrete activities in each sector and at each emergency classification stage (alert, alarm, emergency and recovery). It also provides budgets for all activities in each sector.

For health and nutrition, the drought contingency plan foresees at the late alarm stage “screening and treatment of malnutrition of under fives and pregnant and lactating mothers”, and at the emergency stage:

- nutritional supplementation for under fives, pregnant and lactating mothers and the elderly;
- a blanket supplementary feeding program;

In terms of education, the plan outlines that at the emergency stage, school feeding will be extended to cover the school holidays (30 days), refuge will be provided to 43,000 people, and bursaries will be provided to enable children to continue to attend school despite the emergency.

For social protection, the drought contingency plan anticipates providing direct and indirect cash transfers, vouchers and relief food, as well as food or cash for work. However, the county officials participating in the capacity gaps needs assessment workshops were not aware of any plans for cash or voucher transfers. The contingency plan does not include selection criteria or any guidance for targeting areas and persons that should receive the support.

True to its remit, the drought contingency plan does not make provision for any disasters other than drought. The plan has not yet been updated for the year 2015/16. However, there are national guidelines (prepared by the Directorate of Special Programmes and the National Campaign Against Drug Abuse) for the management of emergency response processes. The Kenya Inter-Agency Rapid Assessment guidelines are applied in the county.

Lack of funds has prevented the annual update of the drought contingency plan.

Samburu, Baringo, Isiolo and Marsabit have carried out inter-county contingency planning; however, this is not supported by any (national or inter-county) legal foundation or other formalization.

The county government has prepared a draft disaster management bill. The bill covers all disasters, and foresees the operationalization of the disaster fund within the county. However, the bill focuses

⁵ The CIDP also provides that “Special grants and programmes by the Arid Lands Resource Management Project (ALRMP II) targeting various focal groups within the community with an aim of enhancing food security will address the major challenge of vulnerability in the arid and semi-arid parts of the county and enable the communities to look beyond relief food as a survival mechanism to sustainable development.” However, the Arid Lands Resource Management Project is a World Bank grant to the national government, and was finalized in 2012.

mostly on response rather than early warning and food security assessment.

The disaster management bill foresees the establishment of a disaster management committee consisting of:

- the Governor of the county or a representative appointed in writing by the Governor who shall be the chairperson;
- an executive member responsible for matters relating to disaster management in the county;
- two persons working in the area of disaster management appointed by the executive member;
- a person appointed in writing by the Council of the Kenya Red Cross or NDMA;
- a representative of the private sector appointed in writing by the chairperson of an association representing the private sector;
- a person working in the area of fire and rescue services in the county.

With this proposed composition, the disaster management committee would have political leadership, but not much technical capacity in areas such as security, drought, humanitarian assistance, logistics or resource mobilization. The teams at the capacity gaps and needs assessments workshops found that with respect to the partners of government the composition of the disaster management committee is not fully conducive to secure the buy-in, contribution and support, in particular for the main functions of the committee, which are “to promote an integrated and coordinated approach to disaster management in the county, with special emphasis on prevention and mitigation by other role players involved in disaster management in the county” to “initiate and facilitate efforts to make

funding of disaster management in the county available.”

Since these discussions, the disaster management bill has been approved by the county assembly and turned into an act. According to the county team, this does not prevent the county from involving additional partners in the disaster management committee. The act does not yet clarify the relationship between the disaster management committee and the County Steering Group (CSG) (see section Hunger Governance Indicator 2 for further details).

The disaster management act further proposes the establishment of a disaster management directorate with the function, among others, to:

- formulate the county disaster management policy;
- coordinate and monitor the implementation of the National Policy on Disaster Management and the County Disaster Management Plan;
- examine the vulnerability of different parts of the county to different disasters and specify prevention or mitigation measures;
- lay down guidelines for preparation of disaster management plans by the county departments;
- evaluate preparedness at all governmental or non-governmental levels in the county to respond to disasters and to enhance preparedness;
- coordinate response in the event of disaster.

The County Strategic Plan (2014–2018)⁶ is meant to provide a realistic framework for the implementation of the CIDP by linking development priorities with available

⁶ *Samburu County Government Strategic Plan 2014–2018* (Samburu County Government).

resources, aligning them with existing structures and formulating a stepwise approach to implementing the programmes outlined in the CIDP. The plan builds on four main pillars, infrastructure, economic development, social development and environmental sustainability. It includes a list of projects with objectives and targets in each of these areas, as well as a budget for prioritized projects. Altogether, KES 21 billion are required over five years to implement these projects, with the biggest shares dedicated to infrastructure (KES 6 billion), health (KES 4.6 billion), agriculture, livestock and fisheries (KES 2.16 billion) and education (KES 2.78 billion). With respect to disaster risk management, the County Strategic Plan aims to reduce the number of people affected by drought by 50 percent (not least by some of the water infrastructure-related activities) and to ensure coordinated action by the government and other stakeholders. The county plans to conduct bi-annual assessments and to provide drought- and climate-related information. Funds for the provision of relief food should increase annually, reaching KES 70 million in 2018.

In its SWOT (strengths, weaknesses, opportunities, threats) analysis, the county strategic plan identifies a number of important strengths, but also several weaknesses that are relevant for the present capacity gaps needs assessment:

- incomplete departmental structures;
- overlapping mandates of some departments, undefined roles and job descriptions and duplication of roles for some officers;
- inadequate numbers, qualifications and at times placement of staff;
- poor flow of communication at all levels;
- weak reporting structure;
- poor monitoring and evaluation systems;

- poor linkages of existing systems;
- poor resource mobilization techniques/strategy;
- lack of adequate data to support planning.

For this reason, the county strategic plan identifies a number of factors on which its successful implementation depends, including adequate information and communication technology systems, a fully functioning management information system, and a qualified and motivated work force.

The NDMA bill has established a national legal framework for the coordination of early warning and food security assessment and analysis. The current framework is being updated with the involvement of stakeholders, mainly at the national level. National government has a long-term strategy for an early warning system. So far, the extent to which counties should take up early warning as a long-term strategy is not clear.

There is an elaborate system for food security assessments, but it is not clear if there is a strategy for the development of this system. Some aspects of it might have to change in light of devolution and the counties' role as first responders to disasters.

There are sector strategic plans that mainstream drought recovery mechanisms.

At present, the following safety nets exist:

Nationally:

- Ministry of Labour, Social Security and Services programmes (Cash Transfer for Orphans and Vulnerable Children covering about 3,100 households; Older Persons Cash Transfer, covering about 5,000 households; People with Severe Disabilities Cash Transfer, covering about 280 households);

- school meals (covering 42,500 children in primary schools and 13,500 in early childhood development centres), supported by WFP;
- health and supplementary feeding for about 1,700 children under five and about 1,630 pregnant and lactating women (supported by WFP).

At the county level:⁷

- provision of seeds and fertilizer for about 500 farmers;⁸
- provision of subsidies for the (e.g.) ploughing services of tractors (about 55,000 beneficiaries);
- preparation of boreholes and provision of spare parts for their maintenance (for livestock);
- education bursaries for students in institutions above primary schools (the County Strategic Plan foresees reaching 15,000 students and increasing the bursary budget to KES 80 million per year by 2018);
- From 2016, provision of meals in early childhood development centres (the County Strategic Plan anticipates that the county will cover 129,000 children in early childhood development centres);
- emergency feed for livestock;
- an emergency fund of KES 50 million under the control of the Governor (in

2015, this fund was used to finance the purchase of 1,850 metric tons of maize that was distributed by WFP (42.5 percent of total relief food provided)).

The most important partners for the county government include NDMA, WFP, World Vision, the Personal Governance Development Programme, the United Nations Children Fund and the Food and Agriculture Organization. All of these participate in the CSG, which is co-chaired by the Governor (county government) and the County Commissioner (national government). The county government usually shares drafts of plans and strategies and requests comments from the CSG partners. Despite the Drought Contingency Plan, emergency response plans are often crafted on an ad hoc basis and discussed at the CSG, where partners try to identify and address gaps.

The above-mentioned programmes and safety nets are well founded inside the county government with respect to finance, budgets and training. However, they do not refer and link to other programmes, neither those of the national government, nor those of county government partners.

Safety nets and emergency response are being adjusted according to needs; however, the overall resources available are not deemed sufficient (see section Hunger Governance Indicator 3). Counties have only been established for two years, hence all experience so far is still only based on a very short period.

In summary, there are a number of relevant policies and plans in place that recognize the importance of safety nets and emergency preparedness and response.

⁷ The list includes what the county officials see as safety nets, i.e. direct county support to individuals in the form of cash, food or agricultural inputs. The provision of seeds, fertilizers, boreholes and tractor subsidies may not strictly correspond to the definition of safety nets, but rather be a promotion of the county's development priorities for agriculture and livestock.

⁸ There are about 50,000 households in the country. Five percent of the population is employed in agriculture, so there should be about 2,500 farms, of which support for 20 percent is sought.

The main observed weaknesses include the following:

- Neither the CIDP nor the Drought Contingency Plan refer to or establish any link to existing national safety nets and explain how county and national safety nets would complement each other.
- The County Contingency Plan is restricted to drought and does not yet include fully fledged standard operating procedures for different stages of emergencies. The contingency plan has not been updated for the financial year 2015/16. There are no sub-county contingency plans yet. No targeting and selection criteria have been established.
- The Disaster Management Act focuses on disaster response and less on preparedness, early warning and food security assessment. The Disaster Management Act does not appear to have been discussed widely with the relevant partners of the county government.
- The county does not have an asset creation or productive safety net programme.

Hunger Governance Indicator 2: Effective and Accountable Institutions

The national safety net programmes under the Ministry of Labour, Social Security and Services (Cash Transfer for Orphans and Vulnerable Children, Older Persons Cash Transfer and Persons with Severe Disabilities Cash Transfer) only have skeleton staff within the county and often engage county government staff in the Department of Social Services to support the identification

and registration of programme beneficiaries. The departments of agriculture and of social services provide subsidized seeds, tractor ploughing services, and education bursaries.

There exist internal controls systems within various county government departments, of which the County Assembly has oversight through its various subcommittees. Security, being a national issue, is coordinated by the county commissioner, who chairs the county security committee that determines appropriate emergency response.

NDMA is the most important institution with respect to early warning and food security assessment. NDMA also acts as the secretariat of the CSG, which coordinates emergency response. The Disaster Management Act foresees the establishment of a disaster management directorate. The role of the directorate would be mainly limited to disaster response coordination. However, the disaster management directorate would also prepare a county disaster management plan, which would then also clearly define the roles of the lead institution and of other relevant stakeholders.

A number of sectors monitor specific indicators important for their mandate, e.g. the departments of health and livestock, World Vision and International Medical Corps monitor nutrition. These data complement the more comprehensive NDMA data; however, the sharing of information between all partners is ad hoc and not systematic or structured. Tools and systems are not harmonized.

The main coordination body of disaster management is the CSG, although not all relevant humanitarian actors are represented, the group is not formalized and does not have approved terms of reference and clear roles and responsibilities for its members. It functions on a voluntary and ad hoc basis. Moreover, the CSG is mainly active in

times of emergencies. In 2015, the CSG met nine times.⁹ Although, the CSG has a committee that manages the funds for an emergency response, this does not ensure clear financial management. This role would be assumed by the disaster management directorate. Further, there is no county forum for forecasting disasters and building disaster and disaster response scenarios. The CSG relies on seasonal forecasts from the National Meteorological Service, but does not build scenarios. A technical committee under the CSG could do this, although this committee does not presently have this capacity. The county government has far from all relevant information required for effective coordination. Decisions are meant to be binding for all partners – but this is not always respected.

National and county government will continue to have responsibilities for early warning and food security, but their respective roles and relationships should be reviewed, and the results should also be reflected in the way the CSG works.

Altogether, county officials state that staff working with safety nets and with emergency preparedness and response are too few in number in relation to their tasks. Most safety net activities are taken care of by staff of sector departments (social services, agriculture, education, etc.) as one of many tasks. Qualifications of staff vary and departments suffer from high staff turnover. There is no established joint targeting methodology. However, in preparation of the establishment of the disaster management directorate, funds have been earmarked for the present financial year.

The national safety nets have clear systems and procedures for targeting, registration

and transfers. By contrast, the county safety nets mentioned above vary greatly in their systems. Often, eligibility criteria are not clear at all, and where they are, e.g. with respect to the provision of seeds, who actually receives how much is not monitored.

Early warning is based on specific sentinel¹⁰ sites. Sampling methodologies need to be reviewed and sentinel sites redistributed so they are more representative of the entire county. Early warning bulletins and food security assessment reports are posted online and are accessible to the public. NDMA is working on an online system for data entry and analysis, where public users can carry out a simple analysis of data. Currently, data are stored in a customized database, but there is no automated analysis of food security data.

Communities without access to the Internet do not have access to this information. Even communities where data are collected do not receive feedback. NDMA had previously been providing feedback but stopped due to lack of funds. However, even when it was done, communities had difficulty understanding the bulletins they received. A simplified version of early warning bulletins is required.

Furthermore, although early warning reports are shared with relevant authorities and the CSG, most partners do not understand all of the indicators and would require some training to fully appreciate the reports. The same goes for food assessment reports and integrated food security phase classification processes.

The county does not have its own assessment tools, but relies on the tools provided by the Kenya Food Security Steering Group. There is no agreed-on methodology for conducting rapid

⁹ The CSG meets, in principle, once per month. Two meetings were cancelled, but two additional meetings were scheduled when the need arose.

¹⁰ A sentinel site is a randomly selected location that is visited on a monthly basis for situational monitoring.

assessments. For the analysis of food security assessment data, the county relies mainly on the Kenya Food Security Steering Group – its own capacity is low.

Any emergency response is hampered by the poor infrastructure, communications and road conditions, and responses are not necessarily linked to any early warning triggers or the findings of food security assessments.

Commodity tracking – where food is provided – is carried out by Ramati Development Initiatives for the county government. Food is not stored, but – once purchased from the National Cereals and Produce Board – brought directly from the National Cereals and Produce Board warehouse to the final distribution point.

There are no established standard operating procedures that would clarify for all relevant actors exactly what they will have to do – and prepare for – in case of emergencies.

The county secretary manages information in relation to emergency response. There is no joint register of programmes or beneficiaries that would allow the county government to analyse the different activities taking place in all parts of the county or the benefits that households receive from different safety nets. The overall perception is that there are many gaps – but there could also be a lot of overlap.

There is a clear perception that actual needs are not consistently met (see section Hunger Governance Indicator 3). Credit schemes for women and youth groups aim to enable these groups to establish income-generating activities and broaden their income basis. In addition, the resilience of communities and households is not systematically addressed.

Risks are being managed by various committees, but there is no risk management framework and register.

Moreover, the actual response to risk alarms was much stronger and more reliable before devolution. New responsibilities and the resources for adequate risk response have to be established.

There is presently no mechanism through which populations can complain about any issue with respect to safety nets or emergency responses.

Safety nets and emergency preparedness are functioning. However, a lot works on the basis of good will and ad hoc cooperation.

The main observed weaknesses include the following:

- There is no dedicated arm or unit in the county government charged with providing leadership for safety nets and emergency preparedness and response. For the latter, the disaster management directorate outlined in the Disaster Management Act would be such a lead institution, but this would still leave a gap for the overall leadership with respect to safety nets outside emergencies.
- The CSG is not formalized, and roles, responsibilities, rights and duties of its members are not clarified. All coordination and cooperation is based on mutual good will – which in most cases functions well, but makes it difficult for the county government to provide effective leadership.
- The Disaster Management Act was passed in November 2015, and foresees establishment of a disaster management committee. However, it is not clear if the committee will replace the CSG – and if so, which structure would be established for the coordination of action outside emergencies.

- The county government has no established mechanism for monitoring which households receive which kind of support from national or other sources in addition to county support.
- The public has almost no access to information on early warning and food security assessments that can be easily understood.
- There is no established framework for risk management.
- There is no established complaints mechanism.

Hunger Governance

Indicator 3: Programme Financing and Strategic Planning

The county relies mainly on resource transfers from the National Treasury. However, the Treasury does not transfer the full budget requested by the county and often the funds are received late. It is hoped that there will be improvements in timely funds disbursement as devolution continues to be implemented.

Resource forecasts of the CIDP build on the assumption that county revenues, receipts from central government as well as grants from donors will all increase by 10 percent every year. It is not clear on which underlying factors this assumption is based. In financial year 2014/15, only 60 percent of the emergency response budget could actually be covered, with the county funding about 40 percent and NDMA about 20 percent.

Table 1 shows the county safety net budgets since 2013, with marked increases in some programmes since devolution. This allocation of resources to the different

safety nets is part of the county budgeting process.

Table 1 Budgets of Samburu County safety nets 2013 to 2016

Programme	Budget (KES million)		
	Financial year		
	2013/14	2014/15	2015/16
Seeds	8	10	17
Educational bursaries	15	30	60
Early childhood development centre feeding	-	50	-
Microcredit	-	-	40
Emergency fund	-	-	50

- indicates data unavailable

While the funds for seeds, bursaries, microcredit and emergencies are still not deemed sufficient, altogether, the recent increase in resources available for safety nets is encouraging.

The county's oversight and coordination role is undermined by the fact that partners are not obliged to declare their resources or project plans. Therefore, even though the CSG promotes coordination and joint planning by bringing actors together, the actors still largely fund and run their activities independently from one another.

The three national cash transfer programmes under the Ministry of Labour, Social Security and Services cover together about 8,400 elderly people, orphans and vulnerable children and persons with severe disabilities in Samburu. For school feeding (a national task), WFP is preparing to hand its programme over to the national government through the government's Home Grown School Meals Programme and by providing cash to schools. With this handover to the Ministry of Education, cash for safety nets will have to come from the central level. The county is aware that where the Home Grown School Meals Programme

is implemented, the approved budgets are normally lower than the needs, and the funds actually transferred are lower than the approved budgets, and come late.

For emergency response, there is a well-established system of assessment that includes national and county government and food security partners. This system ensures that uniform criteria are applied, while geographic or other differences are taken into account. However, the county itself regularly assesses the needs to far higher levels than those approved by the Kenya Food Security Steering Committee. This discrepancy may partly be due to a local (political) interest in arriving at high numbers combined with a central (budget-orientated) interest in keeping numbers low. Normally, the county receives only about half the resources it requests. This year, the county has used its emergency fund to buy food (1,800 metric tons of maize) complementary to the sorghum provided by WFP. This was distributed through the same channels as the WFP food and accounted for 42.5 percent of all the relief food distributed. Funds for emergency purchases can be accessed within one to two days, following which, food is procured from the National Cereals and Produce Board.

Table 2 outlines the budget of the Samburu Drought Contingency Plan. However, it is unclear who will provide these resources or how they will be mobilized. CSG partners are trying to address gaps, focusing on priority areas.

Table 2 Anticipated budget for the Samburu Drought Contingency Plan

Sector	Budget (KES million)
Livestock	1,500
Agriculture	189.7
Water and sanitation	150.5
Health and nutrition	157.5
Education	178.5
Security	10.8
Social protection	500
Total	2,687

The CIDP includes a whole section on resource mobilization. Outlined measures to reduce the gap between revenues and required resources include streamlined planning and budgeting, public-private partnerships, and prudent management of funds and assets. Furthermore, there are plans to increase the county’s own revenues (e.g. from Samburu National Reserve, from licences, rents, etc.).

However, specification of how exactly the various targets should be achieved is yet to be outlined. The Governor’s office is in charge of all resource mobilization. The technical team in that office is not specifically trained to devise a resource mobilization strategy and to manage its implementation. So far, the county has not evaluated how resource forecasts and mobilization plans have turned out. That being said, funds mobilized nationally for safety nets and emergency response are greater than those at county level. The Ministry of Labour, Social Security and Services programmes are expanding. Contributions from the Directorate of Special Programmes, under the Ministry of Devolution and Planning, are expected to decrease as counties assume primary responsibility for emergency response up to an – as yet undefined – threshold.

Early warning is undertaken by NDMA, and has been funded by the European Union. As of October 2015, the national government should provide the required funds, but this budget is unlikely to be sufficient to cover all the required activities, such as training of enumerators, data quality control monitoring and information sharing. No county resources are dedicated to early warning and food security assessment although there is sufficient technical capacity to manage financial resources.

For emergency response funds, resource levels and use are highly adaptive. Resource

levels are based on bi-annual assessments. In case of sudden emergencies (e.g. floods), funds foreseen for interventions elsewhere could be accessed for urgent interventions. The CSG is instrumental in allocating available resources to the areas and groups most in need.

The geographic distribution of safety net and emergency resources inside the county is based, for emergencies, on an assessment following procedures established by the Kenya Food Security Steering Group. For county safety nets, there is a political interest to ensure a certain balance; resource distribution is thus based mainly on an assessment of needs and then negotiations.

Resources for safety nets and emergency response have been increasing since devolution but are still lagging behind needs. The county has plans to broaden and increase the resource basis, but it is unclear how realistic these plans are.

The main observed weaknesses include the following:

- Funds transferred from national to county level are late and below the county budgets.
- Thresholds are not yet clarified above which the national government would step in to address large-scale emergencies.
- There is no strategy for mobilizing resources for safety nets and emergency preparedness and response.
- The county has no information on the support that households receive from safety net programmes not run by the county.
- The team responsible for resource mobilization in the Governor's office is not specifically trained

on resource predictions and has therefore not managed to develop a clear and well-founded resource mobilization strategy.

- The county has difficulties providing evidence of the actual needs it perceives. This makes it difficult to mobilize the required resources.

Hunger Governance Indicator 4: Programme Design and Management

The county provides the following programmes:

- provision of seeds and fertilizer for farmers;
- provision of subsidies for the services of tractors;
- preparation of boreholes and provision of spare parts for their maintenance (for livestock);
- education bursaries for students in education above primary level;
- provision of meals in early childhood development centres, which are no longer covered by the Ministry of Education, Science and Technology;
- emergency feed for livestock;
- an emergency fund directly controlled by the Governor.

For emergencies, so far the only relief food support has been provided by the Directorate of Special Programmes, NDMA, WFP and the county government, the latter of which, in 2015, used its emergency fund to buy maize from the National Cereals and Produce Board to complement sorghum provided by WFP. The Drought Contingency Plan foresees the injection of considerable funding for cash transfers and vouchers, but it is

unclear who should provide these funds, and who should receive them. So far, no such cash transfers or vouchers have been provided.

For the county safety nets, there are no written, clear and transparent eligibility criteria other than normal county budgetary and financial accounting procedures. Where criteria are established, they are not firmly implemented and monitored. Each programme has its own processes, which ensure accountability to varying degrees (higher for education bursaries and food distributions, lower for agricultural support).

Seeds should go to the poorest farmers; however, it is unclear who actually gets how much, and if those who receive seeds actually meet the intended criteria. The tractor subsidies are for all farmers; local groups allocate tractor time. For the educational bursary, the social committee allocates a budget per ward and provides a form for applications, which are decided on by ward bursary committees.

For early warning and food security assessments, staff numbers are sufficient, but qualifications vary. NDMA officers in charge of early warning have been trained; however, their capacity remains low for some indicators. Within the county government, both officers and politicians have a low level of understanding of early warning processes and indicators.

Technical staff can conduct food security assessments, but as they have not been trained, they rely on Kenya Food Security Steering Group national teams. For other surveys, e.g. nutrition, the technical staff are sufficient, but any partners involved at county level would need training. Enumerators used in early warning would also need to be trained to understand nutritional surveys. Further, capacity for data collection, analysis and data quality assessment is low, as the responsible

officers have not been adequately trained. There is no clearly defined methodology for rapid assessments.

Early warning is well-linked to food security assessments, but not with response interventions. Some responses are foreseen in the Drought Contingency Plan, but some partners have their own response activities that are not linked to triggers. The funding from NDMA is the only funding that strictly follows the contingency plan. The county has no difficulties implementing its own safety nets using its internal systems and national standards, e.g. the Public Procurement Act. However, the lack of written and clear criteria and processes and the lack of monitoring make it difficult to protect programmes from actual political interference or from allegations of such interference. There is no clear guidance on who can access the emergency fund and how. The Governor decides on its use.

For the implementation of emergency response, the county relies on WFP, the National Cereals and Produce Board and in particular on a gentleman's agreement with Ramati Development Initiatives (a non-governmental organization) for logistics, transport and food distribution. Ramati provides distribution reports. Food distribution is hampered by weak road infrastructure and bad road conditions. Road assessments are made annually, when funds for maintenance are obtained. The only available storage space is with the National Cereals and Produce Board. Additional storage in multiple locations would be required for timely pre-positioning, given the bad road conditions. There is no adequate tracking of supplies. The Government does not have its own transport fleet, but relies on the means of transport of its partners (which are inadequate). It does not have any contingency for transportation, nor an agreement to activate such transport

rapidly. Single source procurement is only possible from national to county government. Rapid procurement in emergencies is made through pre-qualified suppliers. Still, the rapid procurement, in particular of non-food items, could be strengthened. Where NDMA contracts services for emergency response, the extent and quality of services is monitored. Otherwise, accountability systems are weak.

Relief food support uses a type of community-based targeting, but often the available food is shared by all community members regardless of actual need. This may be counterproductive to the goals of providing relief food – but may be hard to avoid, and have its own merits in terms of keeping the social fabric intact in times of resource constraints. The CSG is a crucial forum, but the county does not have a strong secretariat for the CSG that would ensure county government leadership, coordination, and stringent follow-up on CSG decisions. This would be a role for the disaster management directorate.

Stakeholders are involved in the design of some of the county safety nets and in emergencies through the CSG. The Drought Contingency Plan was prepared by NDMA in several workshops with the involvement of stakeholders. Still, the support of CSG partners is mainly provided on an ad hoc basis. There is no aggregate information on support provided where and to whom, and there is no single registry of beneficiaries or pipeline of resources. The work of the CSG and its members is not formalized.

The CIDP prioritizes agricultural development and an increased resilience and self-reliance of vulnerable groups. Despite this, there is to date – beyond the subsidies and support mentioned – no dedicated programme to promote these goals, as for example a productive safety net programme could be.

County officials are not aware of any national or international standards, such as Sphere.¹¹

With respect to learning, the agricultural department provides extension services and also monitors if and how seeds and tractors are used, and if programme goals (greater area under cultivation, increased food production) are achieved. It submits results to the county executive committee. For emergencies, any issues coming up and lessons learned are discussed in the CSG, but not in a structured way. There is no real follow up and documentation of such lessons – this could be a task of the future disaster management directorate.

The county considers its women's and youth enterprise funds as quite innovative. They have been very successful so far, with increasing numbers of groups and people supported, and very high pay-back records. An evaluation is planned in the medium term. Cash-based emergency interventions could be innovative programmes and such options could be explored, though channelling cash through a bank would require recipients to travel to the bank – which might not be feasible in sub-counties other than Central Samburu.

¹¹ <http://www.sphereproject.org>

The main observed weaknesses include the following:

- A lack of formalization of county safety nets: there should be for each safety net clear, written and approved eligibility criteria, selection procedures and monitoring to ensure that the intended beneficiaries receive the intended support.
- County stakeholders including politicians lack an understanding of

early warning and food assessment indicators and processes – their understanding is crucial for well-informed decision-making.

- County staff lack training in a number of technical areas, including early warning indicators and processes, food assessment tools and methods, data collection and analysis (including SPSS, GIS, remote sensing and database management), data quality assessment, and understanding multi-sectoral survey data and indicators.
- The county government capacity for implementing emergency response is deemed inadequate as it relies heavily on the goodwill of both state and non-state partners who do not have sufficient means of transport and storage in multiple locations. The county would need greater capacity for programme design (including response analysis, beneficiary targeting and registration) and management (including its own implementation capacity or greater capacity to manage partners/contractors, and monitoring and reporting).
- Not all safety nets register beneficiaries, and where they do, the methodology makes comparison between county programmes difficult, and even more so with national or other partners' programmes.
- There is no productive safety net/asset creation programme.
- There is no documentation of agreed joint targeting criteria and procedures.
- The county government does have aggregate information on who receives which support.
- The accountability systems of safety nets and emergency response are considered weak.

Hunger Governance

Indicator 5: Continuity and Sustained National Capacity/Civil Society Voice

Political will exists to support the most vulnerable, although presently there is no long-term strategy for safety nets. The existing programmes co-exist, but are not linked to each other, regardless of if they are county or national or partner programmes. The disaster management bill and the drought contingency plan include a longer-term vision for future emergency interventions. However, the bill is not yet approved and the disaster management committee and directorate are not yet established. The contingency plan is only for the current year and focuses on droughts. It does not establish links to other safety nets.

Funding for safety nets is not yet stable. The county's resources (its own revenues and transfers from a central level) are hardly predictable; however, the trends over the short period of devolution are encouraging. It is expected that the county's share of emergency response resources will increase once the threshold for 'first response' and national emergencies are established. The resources received by partners are not systematically documented. There is no clear agreement on who would fund the activities foreseen in the Drought Contingency Plan. There is no single pipeline.

Future strategic improvements could include a closer partnership with NDMA and the Directorate of Special Programmes for emergencies, and potentially with the Ministry of Education, Science and Technology for school feeding.

Partnerships are not yet based on formalized agreements. This makes it

difficult for the county government to foresee what support it can expect, and what it needs to invest in to make optimal use of such support.

For the county government to increasingly assume full responsibility of safety nets, formalized agreements are required, e.g. with respect to a productive safety net programme with WFP and other interested partners, that foresee from the outset a close involvement of and eventual handover to county government. Capacity support should also be based more on formal agreements than on ad hoc activities and general good will.

The county government leads emergency response through the CSG – supported by NDMA and the county commissioner. However, many tools for effective leadership and coordination are lacking, e.g. a resource mobilization strategy, a single pipeline, a single registry, formalized structures and partnerships. The disaster management directorate will be able to take up many of these functions, but will need support to gain the required capacity.

Civil society organizations are involved in the design and implementation of response interventions. All programmes, safety nets as well as emergency response, should involve communities as closely as possible in design, implementation and monitoring. This already takes place to some extent but ideally the mainstreaming of community participation should be enshrined and promoted through joint guidelines. Public participation – beyond the normal budgeting processes – is not yet a common feature. This could be increased, e.g. as part of an asset creation programme.

Private sector participation in programme design and implementation – or funding – is presently very limited.

Normal monitoring of the use of funds is taking place in line with normal public financial management. Other than this, there is hardly any systematic monitoring for safety net programmes and emergency response, and no systematic attempt to learn. Learning does take place with the involvement of county or national government institutions or NGOs, but only on an ad hoc basis. NDMA holds a lot of information relevant to droughts but not for other emergencies. A monitoring framework and system exist to identify and incorporate lessons in cross-cutting issues in emergencies. While there is no formalized joint monitoring, results and any issues are discussed at the CSG. This does not exist for safety nets or emergency response as a whole.

Staffing levels are low in comparison to the tasks of the county. Staff qualifications vary; they are not high in respect of data collection and analysis and overall programme design and implementation and there is a high staff turnover rate.

The main observed weaknesses include the following:

- There is no long-term strategy for safety nets that sets common goals and links the existing programmes with each other (e.g. asset creation and credit schemes).
- Funding levels – overall and for individual programmes – are not stable and predictable, and need to increase.
- There is no single pipeline.
- Partnerships are not formalized. Not all active organizations participate in the CSG, and the CSG is not formalized.
- NGOs active in the county and their specific activities are not systematically registered.



SAMBURU COUNTY

Capacity Gaps and Needs Assessment
for Food Security Safety Nets and Emergency
Preparedness and Response

- There are no joint methodologies for safety nets and emergency response, e.g. with respect to targeting, registration, community involvement, or monitoring and reporting.
- The disaster management directorate is not yet established, and will need capacity support to get up to speed.
- There is no integrated information management system on safety nets and emergencies that pro-actively promotes the identification of lessons and their incorporation in future programmes.
- Staff turnover is high.

4

PROPOSALS FOR
CAPACITY SUPPORT

The discussions in Samburu pointed out three main priority areas for capacity support:

- coordination and county-government leadership, including transparency and accountability;
- programme design and implementation;
- information management, advocacy and resource mobilization.

Within each of these areas, a number of specific opportunities for strengthening capacity were identified.

Coordination and Government Leadership

1. Assist with the formalization of the CSG or a similar institution with a clear mandate to execute tasks, with specified roles and contributions by stakeholders. This would include the clarification of the role of the CSG in relation to the proposed disaster management committee.
2. Assist with strengthening a secretarial function of the CSG or similar institution to enhance government leadership (this could be a role for the disaster management directorate if the CSG does not also have an important role outside of emergency).
3. Assist with the establishment of disaster management structures (in charge of the full range of disaster management from early warning and assessments and surveys to response planning and coordination of implementation), from the level of strategic planning at the Governor's office to the community level. This will entail support for enhancing the capacity of a disaster management directorate (outlined in the Disaster Management Act). Assistance to the directorate may also include transfer of technical skills to personnel in the form of on-the-job training and secondments. Training of personnel on emergency response skills could include food assistance planning, commodity tracking, funds management and monitoring.
4. Assist with the establishment of a coordination structure for safety nets other than emergency response. It is unclear whether this should be incorporated into the tasks of the CSG, the disaster management directorate or as a separate entity.
5. Assist in developing a guiding framework for engagements with external partners. This would include assistance in developing agreements with humanitarian and development actors.
6. Assist in establishing a county-driven single pipeline system.
7. Assist with the mapping of partner programmes (i.e. geographic areas, activities, beneficiaries) as a basis for enhanced county government leadership.
8. Provide support in developing joint guidelines for safety nets and emergency response, including a joint targeting methodology and registration of safety net beneficiaries – compatible with each other and national safety nets included in the single registry. Use experience gained from the national single registry.
9. Assist with strengthening the accountability systems between partners (not subordination, but more binding agreements and reliable joint action).

10. Assist with the review and update of the drought contingency plan, including identification of bottlenecks in its implementation and related follow-up action to address these. This would include assistance in developing guidelines on how to prepare and implement a contingency plan.
 11. Potential assistance in formulating a disaster management policy and a disaster management plan upon the enactment of the Disaster Management Act. It is also important to support the development of a contingency disaster management action plan, with clear, agreed on and formalized standard operating procedures that specify who does what, in which case.
 12. Assist in the formulation of community action plans for emergency response; this would include on-the-job training for relevant county staff to facilitate the replication and review of such action plans in the future.
 13. Assist with quarterly road assessment activities to determine the county's road conditions and possible implications of specific findings in the event of an emergency. On-the-job training for relevant county staff to facilitate process and execution of such assessments while proposing remedial actions for the county's general preparedness would be useful.
 14. Assist in conducting a logistics capacity assessment. This would include on-the-job training for relevant county staff to facilitate similar undertakings regularly while proposing appropriate action plans to the county leadership.
2. Train county stakeholders and officers in a number of technical areas related to early warning and food security assessment, including:
 - early warning indicators and processes;
 - data collection and data analysis (including SPSS, GIS, remote sensing, database management);
 - understanding indicators from sectors relevant for food security, e.g. nutrition;
 - rapid assessments tools and methodologies.
 3. Train enumerators on technical areas of early warning, food security assessments and nutrition surveys.
 4. Develop or adapt methodologies and tools for rapid assessments.
 5. Assist in the preparation of more useful formats for communicating early warning and food security assessment information to be meaningfully shared with stakeholders, including communities.
 6. Assist specific emergency response functions of designated institutions with respect to:
 - mapping resources in the needy areas;
 - establishing a logistics capacity assessment;
 - improving sub-county storage practices and mitigating post-harvest losses;
 - tracking commodities;
 - contracting transport services;
 - monitoring emergency response activities;
 - reporting lessons learnt and incorporating them into the design of programmes, plans and guidelines;

Programme Design and Implementation

1. Assist in the elaboration of a long-term strategy for safety nets, including their interrelationship with other county or national safety net programmes as well as emergency response.

- formulating context-specific standard operating procedures.

This work could include a comprehensive simulation exercise that would also help to reveal more detailed capacity strengthening needs. Given the present threat of increased rainfall through El Niño, this work could also be jump-started with El Niño-related capacity support, including the secondment of WFP staff, as a first opportunity for a real-life exercise.

7. Provide technical assistance in the area of recovery and resilience building: initiate the design process of an asset creation programme under the leadership of the county government, but also inviting other partners; carry out joint implementation, monitoring and learning activities; explore mechanisms of joint resource mobilization with the county government. This approach will enhance capacity strengthening and eventual full hand-over to the county government.
8. Develop and institutionalize mechanisms of sustaining the contingency fund for emergency response and other safety nets. This would include assistance in establishing transparent county-government led and owned procedures for allocation of emergency funds or other safety net support, including the goals of the intervention, determination of eligibility/targeting criteria, selection of actors and processes, distribution and/or transfers modalities and monitoring. To complement the foregoing, appropriate agreements, preparation of guidelines and provision of trainings will enhance the county capacity further.
9. Assist in customizing international and potentially national standards for safety nets (e.g. Sphere) – this could partly be incorporated in the assistance with implementation guidelines.
10. Assist in developing a vibrant county government-managed complaint and feedback mechanism for programmes. In addition, exploration and possible linkage with the proposed national complaint and feedback mechanism for the safety nets would go a long way in fostering consistency and harmony.
11. Support the county government and its partners in initiating and regularly updating a risk management tool; this can be a follow-up action for the contingency plan review and update.
12. Develop a database for data capture and analysis of food security assessments.
13. Support data quality assessments to ensure collection of credible and reliable early warning and food security data.
14. Assist in reviewing the sampling methodology for early warning to improve coverage of the sentinel sites in the county.

Information, Advocacy and Resource Mobilization

1. Assist in establishing evidence on what is really needed – what kind of support? – e.g. strengthening information management through documentation, monitoring, evaluation, learning and feedback into programming. This may call for support to establish a functional county monitoring, evaluation and learning unit. Additional support would include integration of information shared into action plans and an information-sharing depository.
2. Assist in developing capacity for dissemination of early warning information and assessment to the communities at risk.

5**METHODOLOGY AND SUMMARY
OF BASELINE CAPACITY
INDICATOR SCORES**

As WFP is increasingly supporting national capacities in food and nutrition security, the organization has developed a methodology for identifying a national capacity indicator through which the potential outcomes of its work can be measured. WFP's corporate level has provided a framework, which WFP Kenya has adapted and completed to fit i) with the specific situation concerning safety nets and ii) the ongoing process of devolution.

A national capacity indicator is, in principle, calculated by averaging capacity scores in three areas (social safety nets, productive safety nets, and disaster management). For Kenya, these areas were re-drawn to encompass safety nets (both social and productive ones), and emergency preparedness and response.

Within each area, capacities are analysed with respect to five areas of hunger governance:

- policy and legislative environment
- effective and accountable institutions
- financing and strategic planning
- programme design and management
- continuity and sustained national capacity/civil society voice

For each of these hunger governance areas, a hunger governance indicator is established by averaging scores for five core capacity characteristics:

- the level of commitment and political will;
- the efficiency and effectiveness of delivery of programmes and services;
- the ability to mobilize resources and partnerships to make these programmes possible;

- the sustainability and stability of institutions and programmes; and
- the ability to innovate and improve to ensure that programmes can adapt to changing needs and conditions.

The county teams identified whether for a given core capacity characteristic the level of capacity is latent (score 1), emergent (score 2), moderate (score 3) or self-sufficient (score 4).

WFP had prepared the capacity gaps and needs assessment process by formulating a long list of specific questions that guided the discussion of each core capacity characteristic under each hunger governance area for both safety nets and emergency preparedness and response. For emergency preparedness and response, two separate question guides were prepared, one for early warning and food security assessment, and one for humanitarian supply chain management.

The county teams discussed the questions and established scores for each core capacity characteristic. All scores have the same weight. Where several questions had been formulated for the same core capacity characteristic, their scores were averaged. An aggregate score for each hunger governance indicator was then calculated by averaging the five core capacity characteristic scores. The hunger governance indicator scores for early warning and food security assessment and for humanitarian supply chain management were averaged into one hunger governance indicator for emergency preparedness and response. Finally, the hunger governance indicators for safety nets and emergency preparedness and response were averaged into one composite county capacity indicator. This is illustrated in Table 3.

Table 3 Methodology for calculating hunger governance indicator scores

	HUNGER GOVERNANCE AREA	1: POLICY AND LEGISLATIVE ENVIRONMENT	2: EFFECTIVE AND ACCOUNTABLE INSTITUTIONS	3: PROGRAMME FINANCING AND STRATEGIC PLANNING	4: PROGRAMME DESIGN AND MANAGEMENT	5: CONTINUITY AND SUSTAINED NATIONAL CAPACITY/CIVIL SOCIETY VOICE
Row	SAFETY NETS					
1	CCC 1	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4
2	CCC 2	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4
3	CCC 3	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4
4	CCC 4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4
5	CCC 5	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4
6	Hunger governance indicator (mean of rows 1–5)	Mean of CCC 1 to CCC 5 scores	Mean of CCC 1 to CCC 5 scores	Mean of CCC 1 to CCC 5 scores	Mean of CCC 1 to CCC 5 scores	Mean of CCC 1 to CCC 5 scores
7	Overall baseline for safety nets	Mean of hunger governance indicators (mean of row 6 values)				
EARLY WARNING AND FOOD SECURITY ASSESSMENT						
8	CCC 1	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4
9	CCC 2	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4
10	CCC 3	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4
11	CCC 4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4
12	CCC 5	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4
13	Hunger governance indicator (mean of rows 8–12)	Mean of CCC 1 to CCC 5 scores	Mean of CCC 1 to CCC 5 scores	Mean of CCC 1 to CCC 5 scores	Mean of CCC 1 to CCC 5 scores	Mean of CCC 1 to CCC 5 scores
14	Overall baseline for early warning and food security	Mean of hunger governance indicators (mean of row 13 values)				
HUMANITARIAN SUPPLY CHAIN MANAGEMENT						
15	CCC 1	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4
16	CCC 2	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4
17	CCC 3	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4
18	CCC 4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4
19	CCC 5	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4	Score of 1–4
20	Hunger governance indicator (mean of rows 15–19)	Mean of CCC 1 to CCC 5 scores	Mean of CCC 1 to CCC 5 scores	Mean of CCC 1 to CCC 5 scores	Mean of CCC 1 to CCC 5 scores	Mean of CCC 1 to CCC 5 scores
21	Overall baseline for humanitarian supply chain management	Mean of hunger governance indicators (mean of row 20 values)				
EMERGENCY PREPAREDNESS AND RESPONSE (COMBINED EARLY WARNING AND FOOD SECURITY ASSESSMENT+HUMANITARIAN SUPPLY CHAIN MANAGEMENT)						
22	Hunger governance indicator (mean of rows 13 and 20)	Mean of humanitarian supply chain management and early warning and food security assessment	Mean of humanitarian supply chain management and early warning and food security assessment	Mean of humanitarian supply chain management and early warning and food security assessment	Mean of humanitarian supply chain management and early warning and food security assessment	Mean of humanitarian supply chain management and early warning and food security assessment
23	Overall baseline for emergency preparedness and response	Mean of hunger governance indicators (mean of row 22 values)				
COMBINED SAFETY NETS AND EMERGENCY PREPAREDNESS AND RESPONSE						
24	Hunger governance indicator (mean of rows 6 and 22)	Mean of emergency preparedness and response and safety nets	Mean of emergency preparedness and response and safety nets	Mean of emergency preparedness and response and safety nets	Mean of emergency preparedness and response and safety nets	Mean of emergency preparedness and response and safety nets
	County capacity indicator	Mean of hunger governance indicators (mean of row 24 values)				

Note: CCC – core capacity characteristic

The composite county capacity indicator will form the baseline against which any outcomes of the planned capacity support programmes between the county and WFP will be measured. Detailed assessments of progress can be based on the more detailed scores for core capacity characteristics and hunger governance indicators included in the completed question guides in annexes 1–3.

Results of the Capacity Gaps Needs Assessment Process

The scores for each core capacity characteristic under each hunger governance indicator for safety nets and emergency preparedness and response are provided in Table 4. The hunger governance indicator scores for safety nets and emergency preparedness and response (disaggregated by humanitarian supply chain management and early warning and food security assessment) are summarized here:

The aggregate baseline capacity score for **hunger governance indicator 1 (policy and legislative environment)** is

- **2.2** for safety nets and
- **2.4** for emergency preparedness and response (2.6 for humanitarian supply chain management and 2.2 for early warning and food security assessment).

A higher score could be achieved if i) the (potentially revised) disaster management bill is approved by the county assembly, ii) the drought contingency plan is updated, includes more disasters than drought, and ideally is also prepared for sub-county levels, iii) the CGS is formalized, iv) the thresholds for emergency response responsibilities of county and national government are clarified, v) the county – jointly with its partners – establishes a food or cash for assets programme/ productive safety net, and vi) a realistic resource mobilization strategy is elaborated.

The baseline capacity score for **hunger governance indicator 2 (effective and accountable institutions)** is

- **1.2** for safety nets and
- **2.6** for emergency preparedness and response (2.5 for humanitarian supply chain management and 2.7 for early warning and food security assessment).

A higher score could be achieved if i) the (potentially revised) disaster management bill is approved¹² by the county assembly, ii) the disaster management directorate is established and obtains the required capacity to fulfil its functions, iii) a mechanism for the coordination of safety nets (also outside of emergencies) is established, including a joint registry of safety net activities and beneficiaries, iv) a joint risk management framework is established, and v) there is a complaints mechanism for safety nets and emergency response.

The aggregate baseline capacity score for **hunger governance indicator 3 (programme financing and strategic planning)** is

- **1.8** for safety nets and
- **2.7** for emergency preparedness and response (2.4 for humanitarian supply chain management and 3.0 for early warning and food security assessment).

A higher score could be achieved if nationally i) there was more complete and more timely transfer of funds to counties, ii) there was a clear definition of thresholds above which the national government would assume responsibility for emergency response, and iii) there was greater predictability of national funding to emergency response (e.g. from the Directorate of Special Programmes, NDMA).

¹² The bill has in the meantime been approved, but the present baseline reflects the situation before this happened.

A higher score could also be achieved if at the county level i) there was a better evidence base to document actual needs for safety nets and emergency response, and ii) there was a clear resource mobilization strategy – building on the provisions of the CIDP, but going into more detail and laying out how established targets can be achieved.

The aggregate baseline capacity score for **hunger governance indicator 4 (programme design and management)** is

- **1.9** for safety nets and
- **2.5** for emergency preparedness and response (2.2 for humanitarian supply chain management and 2.8 for early warning and food security assessment).

A higher score could be achieved if i) there were clear goals, criteria and procedures for county safety nets, ii) the county created – jointly with its partners – a productive safety net, iii) joint targeting guidelines were approved and followed, iv) the support to all beneficiaries was registered in such a way that an analysis of who receives what, where and from which programme can be carried out by the county government and its partners, v) the CSG could establish a single pipeline of resources, vi) the county had a stronger implementation capacity for emergency response, e.g. by stand-by agreements with contractors, capacity to manage contracts, and vii) the county was well informed on the feasibility of different emergency response options (food, cash, vouchers) in different areas.

The aggregate baseline capacity score for **hunger governance indicator 5 (continuity and sustained national capacity/civil society voice)** is

- **1.9** for safety nets and
- **2.5** for emergency preparedness and response (2.3 for humanitarian supply chain management and 2.8 for early warning and food security assessment).

A higher score could be achieved if i) there was a more comprehensive approach and strategy with respect to (both county and national) safety nets and their interrelation with each other and with emergency response, ii) resources for safety nets and emergency response were more predictable and covered a greater share of observed needs, iii) all programmes taking place in the county were uniformly registered, iv) there was a single pipeline including all programmes and partners in the county, led by the government, v) partnerships, including the CSG, were formalized, vi) there was a set of joint methodologies or guidelines in place for safety nets and emergency response, vii) the disaster management bill was approved and the disaster management directorate established, viii) learning was better promoted by a proactive knowledge management system, and ix) there was a strategy to ensure adequate staff quality despite a high level of fluctuation.

Table 4 summarizes the scores identified by county technical teams for each core capacity characteristic.

Table 4 Hunger governance indicator and county capacity scores – Samburu

HUNGER GOVERNANCE AREA	1: POLICY AND LEGISLATIVE ENVIRONMENT	2: EFFECTIVE AND ACCOUNTABLE INSTITUTIONS	3: PROGRAMME FINANCING AND STRATEGIC PLANNING	4: PROGRAMME DESIGN AND MANAGEMENT	5: CONTINUITY AND SUSTAINED NATIONAL CAPACITY/CIVIL SOCIETY VOICE
SAFETY NETS					
CCC 1	2.2	1.0	2.0	2.0	1.5
CCC 2	2.0	1.3	2.0	1.5	2.0
CCC 3	2.5	1.5	1.5	2.0	1.5
CCC 4	2.5	1.0	2.0	2.0	2.0
CCC 5	2.0	1.2	1.5	2.0	2.5
Hunger governance indicator	2.2	1.2	1.8	1.9	1.9
Overall baseline for safety nets	1.8				
EARLY WARNING AND FOOD SECURITY ASSESSMENT					
CCC 1	2.5	3.0	3.0	-	3.5
CCC 2	2.0	3.0	3.0	2.0	2.5
CCC 3	2.0	-	3.0	3.5	2.5
CCC 4	-	2.0	-	-	-
CCC 5	-	-	-	-	2.5
Hunger governance indicator	2.2	2.7	3.0	2.8	2.8
Overall baseline for early warning and food security	2.7				
HUMANITARIAN SUPPLY CHAIN MANAGEMENT					
CCC 1	2.2	2.0	2.0	3.0	2.7
CCC 2	3.0	2.3	2.5	1.9	2.2
CCC 3	3.0	3.0	2.0	2.5	2.6
CCC 4	2.5	2.8	2.5	1.7	1.7
CCC 5	2.5	2.3	3.0	1.8	2.4
Hunger governance indicator	2.6	2.5	2.4	2.2	2.3
Overall baseline for humanitarian supply chain management	2.4				
EMERGENCY PREPAREDNESS AND RESPONSE					
Hunger governance indicator	2.4	2.6	2.7	2.5	2.5
Overall baseline for emergency preparedness and response	2.5				
COMBINED SAFETY NETS AND EMERGENCY PREPAREDNESS AND RESPONSE					
Hunger governance indicator	2.3	1.9	2.3	2.2	2.2
County capacity indicator	2.2				

Note: CCC – core capacity characteristic

ANNEX 1: SAMBURU CAPACITY GAPS AND NEEDS ASSESSMENT: SAFETY NETS

Social and Productive Safety Nets including Emergency Assistance Planning, Resilience and Recovery

NO	QUESTION	COUNTY	SCORE
HGI 1 - Policy and legal environment			
1.	To what extent is the importance of safety nets (social/productive), including in emergency assistance planning, resilience and recovery adequately reflected in national/county development plans, policies, strategies, laws, etc.? [CCC1]	<p>There exists a bill and the county allocated some funds for disaster (approx. KES 30million last year while 2015/2016 KES 50 million). The county strategic plan foresees this budget to increase to KES 70 million by 2018.</p> <p>How exactly these funds will be used is not clarified.</p>	2.2 high priority
1.a	List relevant instruments from the constitution to national and county development plans, policies, strategies, etc. as applicable. In particular, is there a national/county level multi-sectorial SN policy that addresses the needs of the affected communities? Do relevant instruments specify the roles, objectives and expected results for the different sectors? – this still needs to be answered. (can be done through desk review (Kinyui) for CIDP and Agricultural sector strategy)	<p>The general feeling is that at present funds are not yet sufficient to cover existing needs</p> <p>Kenya Constitution CIDP</p> <p>Contingency plan – detailed in county description; however, it is unclear how activities foreseen were prioritized; and to which extent partners feel obliged by the plan.</p>	
1.b	Are these instruments up to date, e.g. do they adequately reflect the changing environment due to the devolved government structure? Do they take into account different kinds of assistance, including emergency assistance planning as well as recovery and resilience building? Some more qualifications required.	<p>Disaster Bill (in final stage of reading) – however, it does not seem like much consultation has taken place on this bill; the foreseen coordination structure does not include many relevant partners.</p> <p>Samburu County Strategic Plan with four pillars (infrastructure, economic development, social development and environmental sustainability) and a budget of about KES 21 billion.</p>	
1.c	Which are the roles foreseen for national/county level actors based on above listed development plans, policies, strategies, laws?	<p>Sector Strategic plans (<i>Agriculture/Livestock/Fisheries, water public works, transport, Health, Education, Social Services</i>)</p> <p>CIDP was prepared before the county government came into place and they may not be adequately reflecting the aspirations. There is a need/plan for review and updating – on the other hand, the CIDP expires end 2017. The present document does not mention recovery and resilience building...</p>	
1.d	In particular, does government (at national and sub-national level) prepare contingency plans in adequate intervals that foresee the provision of emergency assistance? If yes, how? If no, what are the challenges?	<p>Contingency plans are up-to-date</p>	
1.e	Do relevant instruments include clear objectives and targets related to relevant SN indicators?	<p>Sector strategic plans have mainstreamed drought recovery mechanisms.</p>	
1.f	Does the national/county government have a policy/strategy of mobilizing and using relief resources (food or cash) complemented with development resources (human, financial, and/or other resources) to build resilience against droughts? [CCC2]	<p>An act of parliament created NDMA as an authority to coordinate drought disaster function and this trickles to county level...In the absence of an institution dealing with other disasters NDMA supports in coordinating all</p> <p>The draft Disaster bill foresees establishing a disaster management committee and Directorate</p> <p>The contingency plans depended a lot on availability of resources. There should be a budgeting mechanism for ensuring funds availed for periodic review/updating...</p> <p>Sectoral strategic plans have clear objectives and targets.</p> <p>The CIDP and disaster bill do not refer to existing national government safety nets.</p> <p>The contingency plan refers to relief food as well as direct and indirect transfers in pastoral and agro-pastoral zones, including interventions and budgets for the different stages of an emergency. However, it is unclear how these activities and budgets were identified; and if the required funds will in fact be available when needed. A review / updating of the contingency plan together with the partners who were involved in preparing it could be useful to clarify priorities and the question which funds will be available and which will have to be mobilized.</p> <p>The contingency plan refers explicitly to cash transfers, however, the workshop participants were not aware of this – this raises the question to which extent the contingency plan is actually known and owned by the entire county government.</p> <p>There is no strategy for mobilization of resources;</p> <p>The County is injecting some resources to develop structures for utilization and accountability under the ECDs (devolved function)</p> <p>There is no policy guidance that guides a multi-sectoral approach.</p> <p>Currently using the government management systems. But there is need for a strategy that clearly elaborates government's commitment / financing so that it can be used to solicit complementary funding.</p> <p>There is a lack of a regulatory framework on emergency kitty</p> <p>e.g. provision of fuel subsidies during drought periods; but communities expecting support even when droughts are over.</p>	

NO	QUESTION	COUNTY	SCORE
2.	How well do relevant instruments effectively identify and address the needs of the affected population both in emergency and non-emergency situations? (CCC 2)	<p>Linked to question 1 a) under policy and legal environment.</p> <p>Non-emergency safety nets include provision of seeds and tractor services for ploughing; county government knows the overall needs in different zones (pastoral, agro-pastoral); but provided support is not necessarily reaching those that need it (most) .</p> <p>Different approaches used:</p> <p>Food Security Assessment to ascertain the areas and levels of vulnerability, field monitors from NDMA and other non-state actors on EW monitoring.</p> <p>ECD there is growth monitoring, stunting.</p> <p>For national safety nets, there are national definitions for orphans, severely disabled, and elderly.</p> <p>Support provided to agricultural zones (tractors, seeds, fertilizers) and pastoral areas (emergency feed, spare parts for boreholes, etc.) is widely shared, no stringent targeting.</p> <p>For relief, there is an emergency fund established under the Governor, but eligibility criteria to receive support are not clarified. Usually, relief food support is distributed based on community-based targeting. The county assembly would be the most adequate forum to legislate on criteria for new instruments.</p> <p>There are no county-led cash or food based safety nets in normal times other than an education bursary for Samburu youth attending secondary or higher level education, and food provisions to Early Childhood Development Centres. No productive safety net exists, but county government is interested.</p>	<p>2</p> <p>High priority</p>
2.a	For safety nets, how are affected populations being defined? For SSN, is the definition of vulnerability the selection criteria? How is vulnerability being defined, i.e. which groups does it imply (orphans, disabled, elderly, etc.) and which criteria are being used to describe various degrees of vulnerability (vulnerable, most vulnerable, etc.)? Which type of vulnerabilities are being considered (food security and malnutrition, which others)? Which selection criteria are effective?	<p>A 4W-analysis could help to see which vulnerable households [e.g. beneficiaries of WFP relief programmes] do not receive any safety net support from national safety nets (Ministry of Labour, Social Security and Services), and which of these would need permanent or emergency support.</p> <p>No legal changes were identified.</p> <p>Constitution and CIDP are being implemented. However, the county government explains that central government does not transfer all of the funds due to the county – this hinders the implementation of priority areas identified and documented in the CIDP and sectoral plans.</p> <p>The contingency plan may be implemented in case of El Nino. The Disaster Bill is not yet passed. WFP could assist with finalizing the Disaster Bill – and supporting the capacity of the disaster management Directorate.</p>	
2.b	Are there gaps in the existing instruments? Are there important groups, or important needs, that are not addressed by the identified instruments? Which?		
2.c	Are legislative changes necessary to support the implementation of policies and strategies addressing needs of affected groups (e.g. policies for procurement of goods and services; legislation on food fortification, import restrictions on certain foods and other commodities, legal barriers to access to medical services for specific groups)?		
2.d	Are intentions and policies supported by adequate legislation and regulations, and translated into action plans with clear responsibilities, results frameworks and timelines?		
2.e	Are the relevant instruments being implemented? State for each identified instrument?		
3.	When devising safety net instruments, both in emergency and non-emergency situations, how has the government established partnerships with relevant key stakeholders (UN, civil society, private sector, research institutes, other governments, etc.), specifically with those players that have a direct role in promoting safety nets? (CCC3)	<p>Partners that are operating in the county include World Vision, the Personal governance Development Programme (PGDP), NDMA, WFP, the United Nations Children Fund and FAO. They all participate in the County Steering Group (CSG) co-chaired by the County Commissioner and the County Governor.</p> <p>The county government usually shares its development plans and requests comments from its development and civil society partners.</p>	<p>2.5</p>
3.a	Which sectors and non-state partners are reflected in the relevant policies and strategies addressing needs of SN affected groups?	<p>However, that does not apply to all plans. The disaster bill does not seem to have been shared with all active partners apart from the Kenya Red Cross.</p>	
3.b	Which are the key players in safety net related partnerships of national and county government? Are their current efforts to enhance partnerships? If so, which strategies are being pursued? If not, which are challenges that the government might face in doing so?	<p>This lack of effectiveness of partnerships goes both ways. Partners are acting quite independently, and do not always provide all the information [e.g. on where exactly they are doing what]. Government lacks information and instruments to effectively coordinate and guide.</p>	
3.c	Do the relevant documents include mechanisms for partner coordination/policy dialogue? If not, is there a need?		

NO	QUESTION	COUNTY	SCORE
4.	How effectively do national and county development plans/policies, and other safety net related instruments link to other relevant instruments and programmes? What are the notable differences occurring in emergency vs. non-emergency states? (Coordination mechanisms) (CCC4)	<p>To increase food security the county government distributes fertilizers and subsidizes the use of tractors in agro-pastoral zones. In pastoral areas it provides fuel and spare parts for bore holes, and vaccination of livestock.</p> <p>Destocking in times of drought is a measure supported by national government as part of an economic stimulus package which has stalled.</p> <p>For tractors, there are local groups of farmers that form committees, which collect additional funds and regulate the activities of tractors.</p> <p>For relief support, the county government tries to prioritize specific groups, e.g. the very poor, widows and disabled. Often the communities request support to a specific family. Also nomads receive support.</p> <p>There is no information basis for a concrete analysis of who receives what – there is a perception that there are many gaps. There is thus a need for a better mechanism that ensures that everybody who receives support is entered into one database (or a single registry through which individual programmes databases 'talk to each other').</p> <p>For targeting, the CSG recommends to find one way of targeting those in need and of coordinating resources, but the Directorate of Special Programmes has so far not supported this.</p> <p>The national safety net programmes under the Ministry of Labour, Social Security and Services (Cash Transfer for Orphans and Vulnerable Children, Older Persons Cash Transfer and Persons with Severe Disabilities Cash Transfer) do not have sufficient staffing capacity. These programmes often engage the county government's staff in the department of social services to identify and register beneficiaries.</p> <p>There is mutual good will and support, available information is shared, and county government would like to take the lead. However, coordination is ad hoc as linkages and coordination are not structured and systematized.</p>	2.5
4.a	Is there coherence between the national/county SN policy and action plan and sector plans in relation to addressing needs of the affected populations?		
4.b	Are county level plans and strategies aligned with national SN and relevant sector policies?		
4.c	Are there mechanisms in place to encourage trial of innovative approaches for addressing the needs of the affected population?		
4.d	Do safety net related instruments take cognizance of the differences in geographic areas, gender, age, and the distribution of hunger and food and nutrition insecurity?		
5.	Elaborate how the relevant national and sub-national instruments in support of safety nets are responsive to changing situations and needs with respect to emergencies, resilience building and recovery measures? (CCC5)	<p>Contingency fund: when there is an alarm, this triggers livestock feeding, off-take programmes or e.g. vaccination.</p> <p>Education: Earlier all early childhood development centres were included in (national) school feeding; then this was restricted to only those early childhood development centres that were at the primary school premises. The new constitution makes early childhood development centres a responsibility of the counties. Samburu now supports satellite early childhood development centres.</p> <p>New bills under way are a livestock marketing and a livestock production bill that were supported by SNV.</p>	2.0
5.a	How has the emergency assistance provided in recent years been adjusted to varying levels of needs?		
5.b	Have emergency assistance plans in recent years been timely to ensure adequate response?		
5.c	Is there a system for policy review and updates in place that uses current SN analyses and includes engagement and endorsement by all sectors/main stakeholders?		
5.d	Are relevant SN policies and strategies updated regularly in line with changing conditions, needs and global evidence?		
Aggregate score for HGI 1:			2.2

NO	QUESTION	COUNTY	SCORE
HGI 2 – Effective and Accountable Institutions			
1.	Is there a designated lead institution within the national and/or county government with clearly defined roles and responsibilities for the function of planning and management of safety nets, both with respect to emergency assistance and resilience? [CCC1]	<p>Each department within the county government structure plans its own activities: gender, culture, and the social services department (under education) for all programmes which have a relation with the national Ministry of Labour, Social Security and Services programmes. Coordination takes place on an ad hoc basis, not formalized or structured.</p> <p>Most important institutions are NDMA for the coordination of drought-related activities (also other climate-related emergencies in the absence of a dedicated county institution). Also the department of agriculture plays a role.</p> <p>The Disaster Bill will establish a disaster management Directorate. There will be a high need to support the capacity of this directorate, once established. This could include the information basis for coordination; the formalization of coordination structures; development of appropriate guidelines and strategies; and the professional capacity to act effectively, ensure synergies and accountability and avoid overlaps.</p>	1.0 High priority
1.a	Which institution? If there are several institutions (e.g. central and county-level), how do their mandates complement, overlap, or contradict each other? What does the coordination between ministries look like at the national/county level?		
1.b	Do the mandates of relevant institutions ensure that all affected people are adequately covered by emergency assistance? Are there gaps between institutional mandates? Which?		
1.c	Who is in charge, responsible and accountable for which tasks?		
1.d	Who bears overall responsibility for the institution's performance?		
1.e	How is leadership chosen and defined?		
1.f	What is the reporting structure?		
1.g	Does the institution (or any of the institutions) have a specific food security and nutrition mandate/focus? If so, which?		
1.h	Has there been a historical evolution of the mandate? If so, how and why?		
2.	In the last three years, have there been significant changes in size, growth, programmes, leadership, responsibilities and structure of the lead institution, in particular due to poverty, emergency situations, resilience building or recovery? If yes, please elaborate. [CCC2]	There is no lead institution.	1.0
3.	Do relevant institutions have systems, processes and resources (e.g. staff, knowledge, guidelines/procedures and equipment) to be efficient and accountable in both emergency and non-emergency situations? Provide answers for each relevant institution; [CCC2]	<p>The internal systems (within individual departments) are working, with accountability to the county assembly and the National Treasury.</p> <p>Staff members possess necessarily technical qualifications, but are often not strong in management. The staff numbers are low; and that the rate of staff turn-over is high both in county and national institutions at county level – also due to the living and working conditions in the county.</p> <p>The systems for safety net management and in particular coordination are not well-established. There is no accountability of partners with respect to the objectives of their work, the activities they are carrying out, and the results they achieve. The CSG is working, but is not based on any regulation ('lack of legality'). There seems to be a lack of legislation / regulation to clarify roles and responsibilities, and not least subordination under a joint structure.</p>	1.5
3.a	Answer for each relevant institution – when discussing if systems, process and resources are sufficient, use the test question if safety net benefits in recent years have in fact been provided in an adequate and timely manner to the right people – and if not, why.		
3.b	How does the day-to-day work of safety net management function? Are there any bottlenecks? What could be the underlying reasons for these? How do these differ from emergency assistance planning?		
3.c	If there are any bottlenecks, which would be the most important functions to strengthen, and how could they be strengthened (different separation of tasks, revised work flows, more staff, training for staff, working equipment, operational budget, etc.)?		
4.	Provide details on whether comprehensive and effective multi-sectoral and multi-stakeholder coordination mechanisms exist at (national and) county level with respect to managing and delivering safety nets? How does coordination differ in emergency and non-emergency situations? [CCC3]	<p>There exists a multi-stakeholder coordination mechanisms (CSG), but it is not legislated. It is co-chaired by the County Commissioner (national) and the County Governor. There are no agreed-upon Terms of Reference for the CSG, no formalized membership, no formalized roles and responsibilities of members. The CSG functions on a voluntary and ad hoc basis, its decisions are not binding. During normal times, the CSG meets rarely, few scheduled meetings. Any 'legislation' on CSGs should consider if they should only work in emergencies, or also with respect to all safety nets, also in normal times.</p> <p>Proposal to have a designated officer from the county government follow-up and reinforce decisions. Could there be an entity that functions as a secretariat for the CSG? Presently: NDMA. In future: disaster management directorate. Should there be a stronger role in the coordination and promotion of all safety nets?</p>	1.5

NO	QUESTION	COUNTY	SCORE
5.	Elaborate how accountability mechanisms across government stakeholders at different levels (national/county/community level) are effective in ensuring that needs of affected populations are consistently met (both emergency assistance and resilience building and recovery). Describe if additional capacity strengthening measures are required to enhance both internal control mechanisms and accountability. (CCC4)	Needs are not consistently met. E.g. during the last food security assessment, the county-level identified about 75% of the population to be in need of support. However, the Kenya Food Security Steering Group only agreed to support 35%. It is not clear if this was because Kenya Food Security Steering Group assessed needs at lower level, or if the lower figure was given due to resource constraints. Clear communication regarding decisions affecting the county priorities and needs should be harnessed.	1.0
5.a	What is the coverage of programmes and the overall performance of institutions? Is the coverage based on the vulnerability definition and/or other criteria?	Programmes address mainly emergencies, and the county only gets about 50% of what is needed.	
5.b	Are there clear targets for the coverage of programmes and the performance of safety net related institutions?	There are huge gaps with respect to drought recovery and resilience programming:	
5.c	Is the performance of safety net related institutions monitored? How?	<ul style="list-style-type: none"> Neither the county nor the national government support any such programme. 	
5.d	Are there internal or external evaluations of institutional performance? If so, who carries them out and with which frequency?	<ul style="list-style-type: none"> MOA had an ADB-funded programme to support drought resilience and livelihoods through establishing pasture, boreholes and dams and strengthening markets and market access; but all contracts are awarded by MOA in Nairobi without any involvement of the county. Since agriculture is devolved to counties, there is a problem with the distribution of funds, which come in small drips 	
5.e	Are the results of institutional monitoring and evaluation systems readily accessible and available?	<ul style="list-style-type: none"> The World Bank supports a regional pastoral resilience programme under MOA livestock. The same problems occur since devolution. 	
5.f	What are their findings? Are there dissemination mechanisms to take action on recommendations coming out of these findings?	The county government should start engaging in a resilience programme. WFP could come in with food- or cash-for assets, working directly with the county government (rather than cooperating partners) to ensure strong coordination, ownership and management capacity.	
5.g	Do internal and external findings correspond? If not, why not and in which areas? If applicable, which measures could be undertaken to improve correspondence?	There is no formal feed-back mechanisms for the affected communities to the authorities. Earlier there were community mobilizers under the closed 'Arid Lands Resource Management Programme II' project who interacted on a regular basis with community members. While these mobilizers/sentinel monitors are still in existence under the current NDMA whose predecessor was ALRMP II, their impact seem to have been significantly hampered and weakened by certain factors. Now communities have to find their own ways to bring issues to the attention of decision-makers.	
5.h	Which feedback mechanisms exist, e.g. is there a complaints and grievance mechanism that allows direct communication of communities to the lead institution(s) on SN?	WFP can provide technical assistance for establishing a complaints and feedback mechanism that is linked to the national C&F system.	
6.	Describe how the relevant institutions are able to manage risk, learn and adapt depending on changing situations and needs with a view to ensuring that safety net benefits are efficiently and consistently provided. (CCC5)	Before devolution, when e.g. an outbreak of locusts or worms was anticipated, the county would alert Nairobi (Ministry's headquarter) and ask for support in form of chemicals, fuel etc. which would be put on stand-by. Since devolution this does not happen any more.	1.2
6.a	Are there examples where adaption to changing needs worked – or did not work?	Recently there was a livestock disease alert, but there was no reaction from the central administration. As a result, it is estimated that 60% of the county's livestock population were likely to die. It is worth noting that livestock management function has been developed to the county authorities and therefore it may be essential to support the county's preparedness capacity to respond to shocks, which may have significant implications on the livelihoods.	
6.b	Do(es) the main institution(s) have an adequate risk management system that is adaptive to exogenous shocks?	The management of risks is ineffective. Risk management would include planning ahead, and have skilled personnel and adequate equipment in place.	
6.c	How have previous and current exogenous shocks (if applicable, such as conflicts, natural disasters, etc.) affected the institution's mission, service and effectiveness?	This is not the reality. There are competing interests, which are of a political rather than a technical nature.	
6.d	What have been the key programme revisions and modifications of the main institution(s)' mission, and why/when did they occur?	Support would be required for the entire continuum of risk management in form of an institutional management programme – maybe as a follow-up or implementation support to the contingency plan and the formulation of such plans in the future.	
6.e	Are the learning/professional development needs of staff provided for? If so, how?		
6.f	Is the institution's level of technology appropriate to carry out its functions? Are there any updates to be made?		
		Aggregate score for HGI 2:	1.2

NO	QUESTION	COUNTY	SCORE
HGI 3: Finance			
1.	Does government at central and county level and partners have committed funding for safety nets? (CCC1)	The CIDP foresees an emergency fund. The fund includes about KES 50 million for the current financial year. It is under the direct authority of the Governor.	2.0
1.a	I.e. is there an established budget line for the function at national and sub-national level?	It is not clear who can access the fund, and how; the Governor decides how it is to be used.	
1.b	Is there an established budget line to support food insecure communities to build resilience to droughts?	For educational bursaries there are KES 60 million this year. Eligibility criteria are not spelled out: families/students apply for the support at the sub-county level. Ministry of Education, Science and Technology also has a bursary – in North Samburu, the sub-county actually compares registers of who receives support. The bursary manager of the county government assists the Governor.	
1.c	Does the government have foreseeable budgets, enabling safety net related institutions to plan, budget and allocate internal and external resources in line with agreed priorities?	For seeds, the county has a budget of about KES 17 million for the 2015/2016 financial year. The county also subsidizes the services of tractors, covering about half the costs with farmers covering the other half. For the agricultural subsidies, there are conflicting interests and unclear eligibility criteria and processes to access. The County benefits from the Constituency Development Fund, which is entirely managed by respective parliamentarians. WFP could support the county with respect to the formulation of clear guidelines for the management of funds (criteria, selection processes, accountability, monitoring) and for the capacity to implement the guidelines and manage existing funds.	
2.	In your view, what is the level of material resources (technical knowledge, time, personnel, finances, etc.) necessary compared to the existing and foreseeable needs to ensure adequate and timely safety net coverage, including design and implementation of emergency assistance, recovery and resilience building? (CCC2)	For educational bursaries, KES 60 million per year is not sufficient, about KES 100 is deemed necessary based on the existing needs. The KES 17 million for seeds are not sufficient either. It is not really clear how the different budgets were established. For emergency assistance, the actual needs are higher than the percentage assessed by the Kenya Food Security Steering Group.	2.0
2.a	What is the share of available safety net funding as compared to present needs (present level of benefits reaching all people who would qualify for enrolment in a safety net programme)	For school feeding (national task), approved budgets are insufficient and funds are disbursed late. The county has only very limited own income. County funds mainly come from national government, and they come late and not in sufficient amounts. This makes it difficult if not impossible for the county to supplement national safety nets.	
2.b	If the national budget does not allocate adequate funding for SN-related actions that address the SN targeted groups, are there any intentions to increase the budget in the near future? How much? Are there any indications by when such increase would take place?	For relief food, WFP provides sorghum. From its emergency fund, the county has provided funds to complement this to buy additional 1,800 metric tons of maize. (42.5 % of total food provided)	
2.c	Are the funds foreseen for safety nets being disbursed to implementers in a timely manner and at the foreseen levels?	WFP could assist in building reliable evidence of actual needs – numbers as well as kind of support required.	
2.d	Are there effective accountability structures and procedures that ensure the intended use of resources?		
3.	Describe the government’s strategy and capacity to coordinate and engage with partners to diversify sources of funding for safety nets? How does this differ between emergency and non-emergency situations? (CCC3)	In normal times, all partners focus mainly on their own programmes. In emergencies, the CSG tends to be more active and as results partners collaborate fairly in the absence of a legal foundation. The decisions of the CSG are not binding, and roles and responsibilities are not clarified, the CGS mainly ensures information sharing and some discussions.	1.5
3.a	How were the existing safety nets funded over the past five years? (mix of contributors)	A hands-on way for WFP to strengthen the county’s capacity to coordinate safety nets in normal times could consist of establishing a resilience programme to be implemented by the county government (with capacity support from WFP), that involves multiple partners contributing with different aspects (funds, expertise, inputs, etc.)	
3.b	What was the share of the population identified to be in need of safety nets that actually received such assistance?	Furthermore, the county government would need assistance with respect to its capacity of strategically pursuing resource mobilization for safety nets.	

NO	QUESTION	COUNTY	SCORE
4.	Elaborate how the established procedures for resource mobilization and allocation are consistent across geographical areas and interventions, yet flexible enough to adapt to specific needs, in particular in emergency situations? (CCC4)	For food assistance, there are good procedures in place under the leadership of the Kenya Food Security Steering Group, which apply uniform criteria but respect geographic differences. For other safety nets, there are hardly any formal procedures established other than normal county budgetary procedures. The emergency fund is at the Treasury and controlled by the finance committee, but decisions are taken by the governor. The future disaster management directorate could play an increased role here.	2.0
4.a	What is the relation between safety net resources provided by central and by county government?	Initially, due to political considerations, tractors were distributed equally, even though there are vast differences in their usefulness due to the varying agricultural potential. The technical level managed to convince the governor that tractors should be distributed to the areas with agricultural potential. Pastoral areas were then 'compensated' by increased livestock support.	
4.b	How are county and central government contributions coordinated?	For the CDF, there is a local committee that reviews all applications. For educational bursaries, the social committee allocates a budget per ward according to the number of students. The SC provides a form for applications, and prepares a list for each ward bursary committee.	
4.c	How do processes to arrive at resource allocations at the national/county level look like?	Altogether, established and transparent procedures would protect both the technical level and decision makers against discussions and allegations of mismanagement or favouritism. WFP could assist the county to elaborate and implement such procedures.	
4.d	Is there enough flexibility to accommodate different needs/contexts (e.g. different commodity prices or implementation costs across the country/implementing agencies)?		
5.	How adaptive is the government and partners in resource allocations to safety nets in line with changing situations and needs ? How does this in particular apply to emergency assistance, recovery and resilience building? (CCC5)	Safety net resource allocations are highly adaptive, as there are hardly any established criteria and procedures, and most decisions are taken <i>ad hoc</i> . In the past, there have been foreseen emergency funds in one area, but when floods occurred in a different area, the funds were used there.	1.5
5.a	How did identified needs vary over the past five years?	Resource levels for food assistance are based on bi-annual (short and long-rains) assessments under the Kenya Food Security Steering Group. They vary greatly, but stay usually far behind what the county sees as actual needs.	
5.b	How did the level of resources provided for safety nets in each of these years adjust to the identified needs? (i.e. the share of identified needs that was actually covered)		
Aggregate score for HGI 3:			1.8

HGI 4 – Programme Design and Management

1.	Describe the level of stakeholder involvement in the design, management and implementation of safety net programmes while ensuring compliance with national policies and standards? (CCC1)	Stakeholders are involved in the design of some of the normal time safety nets (tractors, seeds, livestock support) and in emergency assistance through the CSG, where all partners share their respective contingency plans and where activities are discussed. County-level stakeholders are involved in overall decision making at the CSG level.	2.0
1.a	Answering this question might require retrieval of and comparison with relevant standards for safety nets and humanitarian assistance, e.g. SPHERE.	The county contingency plan was prepared through several workshops, including validation, and an elaborate cooperation. But all implementation and coordination is based on good will. A lot depends on NDMA's coordination and goodwill, with whom the county has a good relationship.	
1.b	Are there clear national protocols on how to provide safety nets of emergency assistance, do these correspond to international standards (as far as Kenya has subscribed to them), and are they being adhered to be actual programme implementation?	Participating county officials are not aware of national or international standards for safety nets. This could be an area for WFP capacity support (sensitization on SPHERE, standards and principles for safety nets, possibly as part of the assistance with guidelines for the different safety nets.	
1.c	Do safety net/emergency assistance implementers comply with national guidelines, protocols, standards and procedures (e.g. targeting/beneficiary selection, modalities and rations/food baskets, quality assurance mechanisms, etc.)?		
1.d	Provide examples of stakeholder involvement in the design, management and implementation of SN programmes.		

SAMBURU COUNTY

Capacity Gaps and Needs Assessment
for Food Security Safety Nets and Emergency
Preparedness and Response

NO	QUESTION	COUNTY	SCORE
2.	<p>Which safety net programmes (productive/social, cash for assets or equivalent) are set in place? Provide some examples. Who implements current safety nets/emergency assistance, and how? Are there challenges that are being faced to achieve efficient and effective delivery?</p> <p>Is there a system at county level that provides management information on the interventions required in various geographic areas; and on which organizations/agencies are undertaking which programmes in specific areas?</p> <p>Are there geographic areas that have notable gaps? (CCC2)</p>	<p>Normal times:</p> <p>National: Ministry of Labour, Social Security and Services-led programmes, school feeding; health and supplementary feeding programmes for children <5;</p> <p>County: Education bursaries, some early childhood development centres feeding; tractor subsidies, seeds, livestock support</p> <p>Emergency: Food support from the Directorate of Special Programmes and WFP, supplemented by county food assistance; the contingency plan also foresees cash transfers but it is not clear if and by who these would be provided. Rapid off-take (slaughter) of livestock is also proposed as a viable emergency mitigation measure.</p>	2.0
2.a	Does the county have an approach to identify which assistance/support is required where and when , and does it balance emergency planning with ongoing projects, and advise on areas that have gaps?	The county has an idea of what people require (in lowlands: water for domestic and livestock use, in highlands agriculture support), but this is not well documented and further specified. The extent and bad condition of roads is a severe problems in many respects, for the overall development, and access to markets, but also for emergency assistance.	
2.b	How many people (and share of population) are assisted under existing safety nets (regular and emergency situations)?	At the time of the gaps assessment, about 50% of people in need of food assistance were receiving the support.	
2.c	What is the share of people identified as being in need that is actually covered by present safety nets?	Normal times: About 90% of applicants for education bursaries receive support. About 55,000 people benefit from the tractor subsidies. However, support is not segregated by wealth – even the wealthiest farmer benefits.	
2.d	Do current safety net programmes achieve county targets (if any)? How is this monitored? If not, how can results be improved to achieve such targets?	Assessments and negotiations ensure that different geographic areas receive proportional support. There is a political interest to maintain a certain balance.	
2.e	Do existing government safety nets cover the most vulnerable areas of the county? How does that adapt to emergency situations?	While there are agricultural subsidies, there is no coherent resilience / asset creation programme. The CIDP [section 7.7 p 142 f] mentions “ <i>Special grants and programmes ... targeting various focal groups within the community with an aim of enhancing food security will address the major challenge of vulnerability in the ASAL parts of the county and enable the communities to look beyond relief food as survival mechanism to sustainable development.</i> ” However, the only role foreseen for WFP under this section is the provision of food for emergencies, and none of the proposed projects and programmes addresses resilience.	
2.f	Are appropriate targeting methodologies in place, and are staff and partners trained to apply these (regular and emergency assistance)? If so, which? Have any internal or external evaluations of current safety nets been carried out? If so, what did they report on inclusion and exclusion errors? What is being done/could be done to improve current targeting mechanisms?	The budget for the provision of seeds is based on the wish to reach about 20% of farmers. It should help farmers to open and cultivate land, and seeds should go to the poorest farmers. The members of the county assembly have a lot of influence during the seeds distribution. An allocation list with the details of the farmers based on statistics from the field (kg or a certain geographic area), is usually prepared by the technical team from the County’s Agriculture sector. However, the allocation is not strictly monitored with respect to who actually receives how much. Each targeted farmer should get enough for at least one acre, but the targeted farmers are not necessarily the ones who get the seeds: when seeds arrive, everybody who shows up gets a share. There is a lot of political interference. Altogether, targeting may be OK, but the actual selection and distribution is wide open for deviations.	
2.g	Are systems in place for the registration of beneficiaries of safety nets?	Thresholds up to which the county should respond and as of which the national level / Special Programmes will support are not established. For the county-level food assistance programme, WFP and cooperating partners including NDMA are in charge. Often there is good geographic targeting, but inside an area the allocated food is often shared equally among everybody (‘thin blanket feeding’) – important to maintain the social fabric.	
2.h	Are systems in place that ensure full accountability of the use of resources for safety nets/emergency assistance? How much of the programmatic inputs are reaching the intended beneficiaries? What are the main causes if foreseen resources are not reaching intended beneficiaries?	WFP could assist with establishing transparent county-owned targeting and distribution systems, including the registration of beneficiaries, based on WFP/Government targeting guidelines.	
3.	If the County has a productive safety net programme, to what extent is the selection of the most appropriate interventions at community level transparent, and to what extent is the community involved in this selection, the monitoring and the evaluation of the projects? (CCC2)	<p>There is not structured productive safety net.</p> <p>There are some elements (agricultural subsidies, provision of green houses). Communities contact county leaders and ask for support directed to specific projects. WFP could assist the county by establishing a productive safety net with clear objectives, criteria, processes and structures – increasingly to be managed by the county with support from WFP.</p>	1.0 High priority

NO	QUESTION	COUNTY	SCORE
4.	Are there effective partnerships for implementation, monitoring, evaluation and resource mobilization established for permanent and emergency-related safety needs addressing the needs of affected groups? (CCC3)	For normal times safety nets: normal county budgeting procedures. For emergency: CSG, where partners come, but with loose participation, no binding decisions and low capacity to coordinate. It is hoped that the new Disaster Bill will address some of these shortcomings. However, the proposed disaster management committee does not propose many partners. While the political leadership in the proposed committee is strong, the technical capacity of the proposed committee is not. This would require including people and organizations with expertise in the areas of security, drought, humanitarian assistance, logistics, safety nets programmes design and management, and resource mobilization. Also, a proper NGO-representation (instead of one specific organization) would be more adequate to ensure cooperation of partners. In addition, the committee could co-opt partners or specific national entities (e.g. roads) to ensure that all possible disasters can be sufficiently addressed adequately based on the local context.	2.0
4.a	Which partnerships exist for the implementation of safety nets? To what extent are the civil society, the private sector and community members engaged in programme design and service delivery?		
4.b	Which of these are sustainable?		
4.c	Can they be increased?		
4.d	How much more coverage could be achieved if the sustainable partnerships would be increased?		
4.e	Is there a clear coordination mechanism in place for both more permanent and emergency assistance safety nets (e.g. different national or county-level programmes)?		
5.	In your view, is the design and implementation of safety net programmes coherent countywide? Define the implementation procedures and mechanisms in place (if any) to ensure consistency of service delivery and monitoring activities. Are these mechanisms flexible enough to adapt to local needs? (CCC4)	The county uses objective criteria and arrives at a meaningful geographic prioritization for e.g. tractors and livestock support. The problem is more the implementation and the monitoring of who gets what – there are no written criteria that are enforced. The contingency plan foresees cash transfers, but county officials are not aware that cash has been used in emergencies, only food. Cash transfers are only used for educational bursaries.	2.0
5.a	Are SN programmes adapted to rural and urban vulnerability distributions, distributions by state, age, gender, formal/informal sector and others as deemed relevant?		
5.b	Has the government planned and used different transfer modalities in the past years?		
5.c	Does the county have guidelines for using different modalities (e.g. general food distributions, asset creation, cash transfers)?		
5.d	Does the government conduct market analysis to support cash or voucher interventions?		
5.e	Are existing programmes mindful of the different roles of men and women in households and communities?		
5.f	Do the programmes ensure that women, children and the elderly have access to programmes and/or are captured in other SN programmes otherwise?		
5.g	How are resources (funds and food) allocated, prioritized and reprioritized during an ongoing response?		
6.	What specific mechanisms are in place to assess and adapt to lessons learned and changing situations? How do these differ in times of emergencies? (CCC5)	The agricultural department provides extension services. It also monitors progress and evaluates the impact of programmes (increase in land under cultivation; increase in production). Results are submitted to county executive committee; where there are issues emerging, they get politicians sensitized in comprehensive fora. Devolution of agriculture is only 2 years old, but preliminary results are encouraging. The level of resources mobilized by national level is still the most significant. Ministry of Labour, Social Security and Services programmes are expanding considerably. Also SP has been the most important contributor to emergency assistance, but this is expected to change once the thresholds for counties as first responders are clarified. Concerning innovative programmes, the county government also gives credits to organized groups (e.g. women's groups) and charge only 1-2 % interest. About 110 groups have benefitted so far, and repayment record is very high. Groups have to apply; report on the use of funds. First credit is small, each time a group has paid back a credit, it can apply for a larger (max double) credit next time. There will be evaluation of this microcredit scheme, but it has only run for 1 year. At national level, there is a Youth and Women Enterprise Fund. As for learning and adaptation, this has been done systematically for food assistance in earlier, large scale emergencies. It is not really done now – however, issues are discussed at the CSG. This could be a task of the disaster management Directorate to be established.	2.0
6.a	Is there a monitoring system to measure the effectiveness of safety nets in terms of processes (registration, targeting, data management, etc.)? If so, how are outcomes/impacts being measured and which data is being used? Do we know if existing safety net programmes enhance the ability of households to manage risks by reducing the probability of a shock and overall vulnerability?		
6.b	If results are below the target or expectations, what are the reasons? Which measures have been taken/are going to be taken to address the issue?		
6.c	Is historical data available to cross-check, learn from patterns in the past and launch projections?		
6.d	Are programmes innovative? If considered yes, specify innovative measures that have been/are being taken? Which are the increases in concrete outputs/outcomes with respect to efficiency, effectiveness and sustainability that have been achieved under specific innovative measures?		
Aggregate score for HGI 4:			1.9

NO	QUESTION	COUNTY	SCORE																								
HGI 5 – Sustainability																											
1.	Describe (if any) the level of government’s long-term strategy for safety net programmes . Does this strategy have tangible impacts at county level? Specify major foreseeable change of responsibilities between government and non-governmental actors, and between central and sub-national levels of government? (CCC1)	While efforts are being made, and a clear political will to support the most vulnerable is manifest, there is no existing long-term strategy for safety nets. With a written and approved strategy, the capacity score would be >2.0	1.5																								
2.	Is the projected national funding deemed stable and are resources available for safety net programmes to ensure sustainability? (CCC2)	Funding is not yet stable. Apart from the ring-fenced budgets for the Ministry of Labour, Social Security and Services safety nets, even the national level is not sure about the level of resources available each year. Devolution is only two years old – but altogether funding trends are encouraging.	2.0																								
2.a	What has been the level of resources for safety nets/ emergency assistance in the past five years?																										
2.b	What has been the share of resource requirements that has been covered in the past five years?	<table border="1"> <thead> <tr> <th>Financial year Programme</th> <th>13/14 (KES million)</th> <th>14/15 (KES million)</th> <th>15/16 (KES million)</th> </tr> </thead> <tbody> <tr> <td>Seeds</td> <td>8</td> <td>10</td> <td>17</td> </tr> <tr> <td>Bursaries</td> <td>15</td> <td>30</td> <td>60</td> </tr> <tr> <td>ECD feeding</td> <td>-</td> <td>50</td> <td>?</td> </tr> <tr> <td>Microcredit</td> <td>-</td> <td>-</td> <td>40</td> </tr> <tr> <td>Emergency fund</td> <td>-</td> <td>-</td> <td>Funded 1,800 tons of maize</td> </tr> </tbody> </table>		Financial year Programme	13/14 (KES million)	14/15 (KES million)	15/16 (KES million)	Seeds	8	10	17	Bursaries	15	30	60	ECD feeding	-	50	?	Microcredit	-	-	40	Emergency fund	-	-	Funded 1,800 tons of maize
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2.c	What has been the share of resources mobilized by national and county governments for these activities in the past five years?																										
2.d	What are the prospects for each of these questions in the medium-term future?	The share of national level is still bigger, Ministry of Labour, Social Security and Services programmes are expanding; county share will increase once thresholds for ‘first response’ are established.																									
3.	Describe the long-term partnership system (if any) including stable financing of safety net programmes in the county. (CCC3)	The county is contemplating to invite potential investors – but this would be for commercial projects, not safety nets. Also the cooperation with NDMA and Ministry of Education, Science and Technology is based on a common interest.	1.5																								
3.a	Are the roles and responsibilities of the community and civil society clearly defined?	A reliable longer-term partnership would require formalized agreements, initial financing, established systems and a hand-over to county management. This could e.g. concern the establishment of a county-level productive safety net; or a memorandum of understanding on capacity strengthening.																									
3.b	Are there any strategies in place to mobilize the civil society/communities at the local level (e.g. participatory approaches, outreach activities)?																										
4.	Does a flexible and strategic approach to work with communities, the civil society, and the private sector exist to ensure their consistent participation and engagement in safety net provision? If yes, define the approach. Is the approach sustainable? (CCC4)	There is no formal system or approach in place, but there is a lot of good will from all parts. All partners want to work with communities, the county government does not have a full overview. The county government often involves the churches when issues are discussed. There is also public participation in the budgeting process.	2.0																								
4.a	Are relationships with civil society organizations adjusted based on their strengths and weaknesses for partnership and programmatic needs?	Communities are the main drivers to urge on work to increase security. On the other hand, the seeds programme could have been formulated in a more bottom-up way. Civil society is mainly involved in emergencies through CSG.																									
4.b	Are authorities able to balance the interests of all stakeholders?	The county should take the lead in mainstreaming the involvement of communities, civil society and the private sector.																									
5.	Elaborate how the learning process – based on monitoring processes and possibly incorporation of lessons learned – contribute to safety net programming improvement. (CCC5)	Monitoring of use of funds is OK. (But not really with respect to who gets how much seed material). For bursaries, the county inherited a structure with hardly any information system. Over the past three financial years, the budget for bursaries has doubled twice, so now almost all qualified applicants receive a bursary. In the same period, political interference and conflicts could be reduced considerably (probably also because almost every applicant receives support)	2.5																								
5.a	How is information and analysis of safety net programmes and their results stored and accessed? Is this information available to government, the public and the international community (where appropriate)?	Where the county is carrying out procurement (seeds, spare parts), they learn where to buy, and where not (learning through experience).																									
5.b	Are relevant monitoring reports disseminated to the relevant authorities?	Monitoring reports for emergency operations are shared with the CSG members. The Governor’s budget report is shared with the public. In some instances, feed-back is provided to farmers.																									
5.c	Are relevant monitoring reports disseminated to the general public?	A lesson learned is that agricultural subsidies must be time-bound – only make sense for a start-up period. They should also be linked to reliable weather forecasts: during each of the first two years, about 50% of the subsidies provided were lost due to failing rains. There needs to be better advice on weather / early warning on droughts or floods. This could be an area for cooperation with WFP. There is a gap with respect to the sustainability of learning – it is all quite ad hoc and only based on good will. This could be strengthened by establishing a good standard for clear and transparent monitoring systems and reports, e.g. for a new asset creation programme.																									
		Aggregate score for HGI 5:	1.9																								

ANNEX 2: SAMBURU CAPACITY GAPS AND NEEDS ASSESSMENT: EMERGENCY PREPAREDNESS AND RESPONSE AREA 1

Food Security and Vulnerability Analysis

NO	QUESTION	COUNTY	SCORE
HGI 1 - Policy and legal environment			
1.	Is the importance of early warning and food security assessment and analysis in support of food security and nutrition programming being reflected in national policies, strategies, laws etc.? (CCC1)	<p>The NDMA bill capture the national legal framework for coordination of early warning and food security assessment.</p> <p>At the county there is a disaster management Act which is expected to address food security at county level however it is not clear how this is captured in the bill and neither are the issues of monitoring and early warning incorporated</p>	Score 2.5
1.a	Which are they? List relevant instruments from the constitution to national development plans, policies, strategies, etc. as applicable	There has been inter county contingency planning for Samburu, Baringo, Isiolo and Marsabit to address cross cutting issues for the counties, however, this is not supported by any national or cross cutting county legislation.	
1.b	Are these instruments up-to-date, e.g. do they adequately reflect the changing environment due to devolved government?	<p>The contingency plans are meant to inform on the responses to early warning and disasters that require interventions. However, the contingency plan has not been updated since it was prepared. The scheduled update is meant to be annual. The main reason why this has not been done is availability of financial resources.</p> <p>The current Early warning system on NDMA is in the process of being updated and this has been coordinated from the national level with stakeholder engagement being more at the national than county level</p> <p>There was an attempt spearheaded by NDMA to review the food security coordination structure though this did not progress much.</p>	
2.	Does the national government have a long-term strategy or vision for the system of early warning, and food security assessments/ analysis?	<p>The national government has got a long term strategy for Early Warning. The early warning system has been supported by partners but the government has taken up support for this. It is however not clear if there is a long term strategy for the food security assessment.</p>	2.0
2.a	Does this strategy or vision have tangible effects at county level? Does it include any major change of responsibilities between government and non-governmental actors	This strategy directly affects the counties, where early warning data collection and analysis are done. However there has been no involvement of the county government in taking up the early warning as a long term strategy	
3.	Has your county developed any county level policies, strategies and laws for Emergency Preparedness and Response?	<p>There is the County Disaster Bill that is yet to be enacted as a law which includes all disasters and will seek to operationalize disaster fund at the county level. Other strategies include the County contingency plan that provides for a response framework for response to emergencies mostly drought. The response looks at sectoral approach for all the sectors affected by drought hazard, targeting Food security and livelihoods protection or recovery.</p>	2.0
3.a	If so, do they address the need for EWS, food security assessments and analysis?	The current strategies address the response issues more and Early Warning and food security assessment strategies are not captured	
Aggregate score for HGI 1:			2.2

NO	QUESTION	COUNTY	SCORE
HGI 2 – Effective and Accountable Institutions			
1.	Is there a designated lead institution within the county government with clearly defined role and responsibility for the function of early warning, food security assessment and analysis? (CCC1)	There is no institution of the county government which has a clearly defined function of early warning, food security assessment or analysis. However The NDMA which is a national function has it early warning and food security assessment well defined. This is the structure that partners at the county level rely on for information including the county government.	3.0
1.a	Which? Is there an existing institutional framework with clearly defined roles and responsibilities for the function?	There are other institutions with their monitoring systems which are specific to certain indicators. The health have a health monitoring system, Livestock conduct livestock disease surveillance, World Vision Kenya and IMC monitor nutrition. The existing monitoring systems compliment the findings of NDMA's system which is more comprehensive and used by all stakeholders. Information sharing across these systems however is not well defined. There is no arrangement where findings of different systems are harmonized/standardized and at times findings contradict each other.	
1.b	If there are several institutions (e.g. central and county-level), how do their mandates complement, overlap, or even contradict each other?	On complementary roles, for areas that NDMA data do not cover, but where other partners have information, their data is used at the county level.	
1.c	How are EWS, Long/Short rains assessments and KIRA linked together?	There is however a missing link in terms of directing responses to the early warning triggers and food security assessment findings. Some response activities are not tied to any these findings.	
1.d	Does the county have other food security assessment tools? (Please list them e.g. harvest assessments, livestock...)	There are no assessment tools at the county. They rely on the tools that are used by Kenya Food Security Steering Group for food security assessments	
1.e	Are there gaps, i.e. areas within early warning, food security assessments and analysis for which no national/county level institution has a mandate?	There exist a gap in terms of conducting Rapid food security assessments. Though these assessments are conducted, there exists no tools or a well-defined methodology for conducting these assessments. The county government has no defined structure for the assessments however they depend on the one for national structure.	
1.f	Do the mandates of relevant institutions ensure that all people vulnerable to food insecurity and malnutrition are adequately covered in early warning, and food security analysis?	The current coverage of the early warning is limited to specific sentinel sites and does not cover as wide area as it would be desired. There is a need to re-distribute the sentinel sites to ensure that they are more representative. The mandate of the Kenya Food Security Steering Group is however in the entire county hence no GAP	
2.	Is there a coordination mechanism in place to facilitate the enhancement of information sharing, forecasting and scenario building?	Yes. Information sharing at the county level is done at the County Steering Group (CSG) meeting. However not all information is shared here and the group needs to be capacity build to understand their mandate.	3.0
2.a	In an emergency situation is there a coordination mechanism that facilitates the planning of assessments? Is an appropriate methodology in place for carrying out food security assessment, including for nutrition, in emergency settings? If yes, is it gender-sensitivity factored into the analysis?	There is however no forum or organization at the county that does forecasting and scenario building. The CSG relies on the seasonal forecast information from the Kenya Metrological Service but there is no scenario building done. The technical wing of the CSG can do scenario building but they do not have that capacity. The Early warning bulletins from NDMA also don't have scenario building since they have no capacity of doing this.	
2.b	How is the information and analysis stored and accessed, and is it available to government, the public (CCC4)	Early warning bulletins and food security assessment reports are posted online and they are available for public use. NDMA is working on an online based database system for data entry and analysis which will enable public users create a county and do simple analysis of the data. Currently data is stored on a customized database.	
2.c	Are the results of early warning, and food security assessments and analysis disseminated to the relevant authorities?	Food security data analysis is however not automated and there is no database that exists. There is need to create this database to improve on the analysis. The results of Early warning are disseminated to the relevant authorities. However most of the partners including the CSG and county government don't understand some of the indicators that are used for early warning hence need to develop their capacity of understanding these indicators. Similarly food security assessment reports are shared with the stakeholders but some indicators and processes like the integrated (food security) phase classification. are not clear to them. Also the capacity on how food security assessment data is analysed is low at the county. This is mostly done by the Kenya Food Security Steering Group.	
2.d	Are the results of early warning, and food security assessments and analysis disseminated to the general public and to the communities where data is collected?	The results of the food security assessment are not disseminated to the communities, though the general public who can access the internet have access to the findings. Currently there is no dissemination done to the communities where data is collected from. Initially NDMA was doing this but due to low funding it stopped. There is also a need to produce a simplified early warning bulletin that can be understood by the communities. When dissemination was being done, the same technical bulletin is the one communities were getting and its understanding was very low.	
Aggregate score for HGI 2:			2.7

NO	QUESTION	COUNTY	SCORE
HGI 3: Finance			
1.	Who is currently financing the EWS? How long will this continue?	Currently the early warning is funded by the government through the NDMA with support from the European Union. This arrangement ended in September and government is expected to take over the financing of the same.	3.0
1.a	Do you at the county level have access to, and have committed funding for early warning and food security assessment and analysis, i.e. is there an established budget line for the function at the county? (CCC1)	There is no committed funding for both the Early Warning and Food security assessments at the county level	
1.b	Do you have sufficient material resources (financial, institutional) to ensure regular and uninterrupted early warning and food security analysis i.e. is the available budget sufficient for the required action? (CCC2)	Currently there is a budget for the early warning system. However the budget is not adequate to carry out all the required activities like training of enumerators, data quality control monitoring and information dissemination.	
1.c	Do you, and partners, have the capacity to efficiently manage financial resources in order to ensure adequate, timely and accountable funding for early warning and food security analysis? (CCC2)	Similarly the budget for early warning Yes. At the county level there is enough technical capacity to manage financial resources allocated for Early Warning and Food Security assessment.	
1.d	Do you have the capacity to coordinate and engage with partners to diversify sources of funding for early warning, and food security analysis, if relevant? (CCC3)	Yes. There is capacity at the county level to engage partners however there is no policy or strategy that compels different actors to bring declare the resources they have to enable joint programming. There is however the existence of the CSG where most stakeholders who utilize the EWS and food security information are coordinated centrally and this can be strengthened by joint planning of activities. The gap in the coordination activities has been funding where at times the CSG meetings are held periodically only when there is an activity that is financed.	
Aggregate score for HGI 3:			3.0
HGI 4 – Programme Design and Management			
1.	Is there sufficient staff, and does relevant staff have sufficient knowledge and skills to ensure regular and uninterrupted early warning and Food security analysis in support of food security/nutrition? (CCC2).	<p>There are sufficient staff to conduct the Early Warning and food security assessment however their capacity varies at different levels. On Early Warning, The NDMA officers who conduct the early warning have been trained on the system, their capacity on some indicators is low and need to be improved. At the county level, there is low understanding of the early warning processes and indicators for other officers including decision makers who need to be capacity built on the early warning processes.</p> <p>On food security assessment, there are technical staff who can conduct assessments but they have not been trained on the same, hence they rely on the Kenya Food Security Steering Group teams from the national level. Nutrition surveys are also conducted with partners in collaboration with the ministry of health. There are sufficient staff to conduct this, however others who can be engaged in the surveys at the county level have not received training.</p> <p>The is need to build the capacity of the enumerators used for early warning to be able to consult nutrition surveys as enumerators due to the inter linkages of the indicators collected.</p> <p>Data Quality Assessment (DQA) for EWS currently done is not adequate the officers have not been trained of conducting DQA. The current funding for the DQAs is also minimal.</p> <p>There is a need to review the sampling methodology for early warning and re distribution of the sentinel sites where data is collected so that they can be more representative and identify the vulnerable areas effectively across the county.</p> <p>The capacity at the county level for various data collection and analysis techniques and application is low. This include training officers in SPSS, GIS and Remote Sensing and database management techniques. This can be done to specific officers who are involved in data analysis and management</p> <p>There is need to train the county stakeholders on the indicators used for early warning system and food security analysis so that at the decision making level the can be well informed of the processes</p>	2.0

NO	QUESTION	COUNTY	SCORE
2.	Is the EWS adequately linked to food security assessments, and response analyses, and the triggering of response action within the prevailing institutional architecture to address identified levels of vulnerability?	<p>The Early warning system is linked to food security assessment. The information from the early warning inputs into assessments. Early warning also triggers rapid assessments that have been done at the county. However the methodology of these rapid assessments is not defined or clear.</p> <p>The current early warning does not always link with response. Except for the response triggered in the existing contingency plan, some actors at the county level have their separate response activities that are not linked to the early warning triggers. This at times causes duplication of interventions and also lack of joint monitoring of response activities.</p> <p>The contingency plan that is triggered by the early warning is supposed to guide all actors in designing response activities. Currently only funding from the NDMA contingency fund strictly follows the contingency fund.</p> <p>The activities in/actions in the contingency plan cut across all sectors with linkage to food security and protection of livelihoods as well as recovery and the coverage is countywide.</p>	3.5
2.a	i.e. if the analysis points to food insecurity, does this trigger an assistance process? What are the triggers and which funds/actions do they trigger? (CCC3)		
Aggregate score for HGI 1:			2.8
HGI 5 – Sustainability			
1.	Do established procedures for resource mobilization and funding allocation ensure consistency across geographical areas and interventions, yet are flexible enough to adapt to specific needs? (CCC4)	<p>Though the current procedures of resource mobilization and fund allocation are not well defined, the arrangements have no limitations in terms of geographic spread of interventions.</p> <p>Most response activities focus on drought and its impacts since it's the main hazard facing the county. The Rapid assessment that are done after a trigger also allow for flexibility in terms of the areas of coverage and the activities to be implemented.</p>	
2.	Are mobilized resources and partnerships sustainable to plan, design and implement necessary activities? (CCC3)	<p>The resources available are not sustainable enough to support implementation of the necessary activities. This is because not all actors have dedicated resources to finance the contingency plan.</p> <p>The existing partnerships are sustainable, since the county and national government are expected to have continued responsibility for EW and food security as their key mandate. There is however a need to review the terms of reference, roles and membership of the CSG to incorporate the county government and national government in a better structured way. This is not captured in the available policies</p>	2.5
3.	Does the government at county level and its partners have the capacity to design and implement emergency preparedness and response interventions informed by an appropriate early warning, and food security analysis? (CCC2)	Yes. The county has capacity to design and implement emergency preparedness and response for appropriate early warning and assessment. The skills of actual implementation though need to be enhanced since most personnel at the county have not been trained on Early Warning and food security assessment	3.0
4.	Are the civil society, communities and the private sector at the county levels committed to addressing the needs of affected groups? Are these commitments tailored in a sustainable way?	Yes. There are civil societies and government departments, which are mandated to address the needs of the people in need and wherever a need is identified there are structures of resource association for the interventions especially through the CSG	3.5
5.	Are there systems and resources available for civil society, communities, and private sector's participation in the development and management of policy and programmes addressing needs of target groups, and for monitoring and feedback at the county levels? Are these systems and resources sustainable? (CCC2)	<p>Yes there are systems available for the participation of various actors in participating in policy and programmes at the county level. However the structures for monitoring the programmes are weak due to lack of joint monitoring and feedback. The constitution also provides for participation in development of policies and laws. This is done through the county govern at the county level and at lower levels.</p> <p>The funding especially for monitoring activities are limited hence monitoring is not implemented as effectively as it should be.</p> <p>The systems are hence sustainable since public participation is entrenched in the law. The current structure of CSG also ensures that this monitoring is sustainable. The funding of the structures however is not adequate.</p>	2.0
6.	Are civil society, communities and private sector actively contributing resources and are they engaged in designing and implementing activities addressing the needs of vulnerable groups? (CCC3)	<p>Yes. The civil societies are actively engaged in designing the responses and in the implementation together with the government. The communities are also involved and at times programmes are designed with community contribution component</p> <p>The private sector does not actively get engaged in the design and implementation of activities for vulnerable groups. However the county government is making efforts to bring them in to get involved. The resource contribution of private sector is also low and there are no clear set guidelines of how they would do their contribution towards implementation of activities</p>	2.5

NO	QUESTION	COUNTY	SCORE
7.	Do the civil society, communities and the private sector contribute to the county's learning and to incorporating lessons learned and good practices to sustain adequate emergency preparedness and response activities for vulnerable groups? (CCC5)	<p>The civil society actively contributes to incorporation of lessons learnt into their programmes, where they have used past successful models to come up with new strategies. This is more so in the non-governmental organizations in partnership with government. The community is also involved by the civil societies since most of the lessons are drawn from them as well. There is however need to have all these entrenched into all strategies including the ones planned by government.</p> <p>No. In most cases there is little involvement of the private sector for lessons learnt when it is carried out. This is an area that the private sector can be engaged in to inform future design and planning</p>	2.5
Aggregate score for HGI 5:			2.8

ANNEX 3: SAMBURU CAPACITY GAPS AND NEEDS ASSESSMENT: EMERGENCY PREPAREDNESS AND RESPONSE AREA 2

Humanitarian Supply Chain Management

NO	QUESTION	COUNTY	SCORE
HGI 1 - Policy and legal environment			
1.	Is the importance of emergency response reflected in national policies, strategies, laws etc.? (CCC1)	<p>The importance of ER is reflected in policies, strategies and laws.</p> <p>National level:</p> <p>The Constitution of Kenya chapter 4. Bills of rights; The National Disaster Management Policy 2011.</p> <p>County level:</p> <p>The Disaster Management Act. Policy guideline developed to accompany the Act. Instruments are in place.</p> <p>The County disaster management plan The County Drought Contingency Plan The County Strategic plan. The County Integrated Development Plan.</p> <p>Stakeholders have finalized the County Strategic Plan as of Mid-Sept 2015. The document is has been validated by the stakeholders and the governor opined that it needs to be shared and circulated for popular views to be incorporated before it is presented for adoption and publication.... The document has been operational after validation by the stakeholders.</p>	Level 2
1.a	Which are they? – list relevant instruments from constitution to national development plans, policies, strategies, etc. as applicable	<p>Contingency plan in place by the NDMA, it is currently operational. It guided the response activities last year. There is a plan to make up similar plans for the ward level contingency plans, one ward has a plan (Waso ward) but financial constraints have limited the drafting for the rest of the wards. The contingency plan is due for review this year but the review is yet to be done but for the availability of the resource.</p> <p>County Disaster Act needs to be put into operation. Sub-County Contingency Plans are yet to be developed.</p>	
1.b	Are these instruments up to date, e.g. do they adequately reflect the changing environment due to devolved government?	<p>The County disaster bill is in the county assembly for adoption The Drought Contingency Plan is due for a review and update, which has not been done.</p>	
2.	Are there contingency plans in place at national and sub-national level to ensure adequate and timely response (CCC1)	Contingency plans at County level, but not at the sub-county level due to funding constraints.	2.3
2.a	<p>If there is a contingency plan,</p> <ul style="list-style-type: none"> • Is it based on adequate legislation / regulations? • Does it establish clear mandates, roles and responsibilities of actors at county level? Of which institutions or actors? • Does it include a result framework and timelines? • Does it include standard operating procedures? • Are there identified gaps in implementation? 	The documents to be shared, to give answers to 2 (a)	
3.	Are the identified instruments implemented as foreseen? Describe if they are translated into action plans with clear responsibilities, and if there are gaps in implementation - which? (CCC 2)	<ul style="list-style-type: none"> • The Disaster Management Act- copy availed from the county assembly website. • The County disaster plan; <p>The document are pending adoption and as such implementation is yet to start on most of them. Gaps to be identified as implementation rolls.</p> <ul style="list-style-type: none"> • The county policy and The County Strategic plan. • The County Integrated Development Plan. • The County Contingency Plan <p>Yes, instruments are being implemented, but structures are still under developed.</p> <p>Proposal: Develop structures to reach higher level</p>	3.0



NO	QUESTION	COUNTY	SCORE
4.	When devising instruments related to humanitarian supply chain management management, has government established partnerships with relevant key stakeholders (UN, civil society, private sector, research institutes, other governments, etc.), specifically with those players that have a direct role in supporting or contributing to humanitarian supply chain management management? (CCC3)	<p>Yes, international NGOs, civil societies and private sector.</p> <p>WFP/SIDA have been involved, mostly through the departmental sections. More information to be shared on including the validated contingency plan... contingency plan doubles up as the disaster management plan.</p> <p>Emergency response plans are crafted in an ad-hoc manner on need basis, and shared or submitted to the CSG. NDMA leads response actions relating to droughts. Funding is also channelled to it, while other actors follow to fill in the gaps.</p> <p>The CSG is as an effective coordination organ composed of several actors in the county. All activities have to be ratified and passed by the CSG, seemingly a powerful organ at the County Level. The decisions of the CSG are binding on all actors at the county.</p> <p>Proposal: Strengthen partnerships and coordination to level up.</p>	3.0
5.	Do county development plans, and other instruments supporting emergency preparedness and response establish links to other relevant instruments and programmes to ensure increased stability and reliability? Do they foresee the involvement of communities in humanitarian supply chain management management? (CCC4)	<p>Yes: Finance, budgets, funding, trainings.</p> <p>Proposal: Increase sources of support.</p>	2.5
6.	Are the relevant instruments supporting emergency response flexible enough to respond to changing situations and needs? (<i>new organizational structures, sub-county needs</i>) (CCC5).	<p>The County relies on NDMA to provide information. County acts based on available resources. If resources insufficient refer to national govt.</p> <p>Resources not fully adequate.</p> <p>Emergency response lagged, due to financial constraints and mandate overlaps... information received doesn't seem to reflect the true and fair view on the ground because it is averaged for the county.</p> <p>NDMA plans to do sub-county specific analysis and reports accordingly. Funding remains a clear challenge. The County should make provisions for emergency response, before the critical thresholds are reached for other actors to activate their emergency responses.</p> <p>National Drought Contingency fund has not been availed from the national government and current programs are being implemented by some donors with specific requirements.</p> <p>Problem: timelines, inadequate resources. Challenges prevent goals from being reached.</p>	2.5
7.	Do national policies and strategies include all types of emergencies beyond drought for effective emergency response? Are there guidelines in place to guide the process?	<ul style="list-style-type: none"> drought, earthquakes, floods, fires all covered by the contingency plan. disaster management policy yielded the disaster management Act <p>National guidelines in place for the management of emergency response processes... from special programmes /NACADA.</p> <p>KIRA guidelines are in use within the county.</p>	2.7
Aggregate score for HGI 1:			2.6

HGI 2 – Institutions

1.	Is there a designated lead institution within the county coordinating emergency response? (CCC1)	<p>Yes, County Disaster Management committee of the CSG.</p> <p>The legal/Official Disaster Management Committee to be formed/ established once the disaster management bill is passed by the County Assembly.</p> <p>The Directorate for Disaster management will be responsible for the coordination of emergency response as per draft bill provided.</p>	2.0
1.a	Which institution? If there are several institutions (e.g. central and county-level), how do their mandates complement, overlap, or contradict each other?	The Disaster Management Committee: Overlaps and Contradictions are avoided through the County disaster management plan, which expounds on the mandates and complementarity of all actors. Prevents overlaps and contradictions.	
1.b	Do the mandates of relevant institutions ensure that emergency response can adequately reach all people vulnerable to food insecurity and malnutrition? Are there gaps between institutional mandates? Which?	<p>Yes, laid out in county disaster management plan.</p> <p>Gaps identified in the area of coordination whereby various humanitarian actors exist in the county implementing various ER activities independent of each other. A few are members of the CSG, while others are not. There is need to formalize, strengthen and regulate the activities of all the actors and possibly bring them under the leadership of the county government.</p>	
1.c	Are the roles and responsibilities of the lead institution clearly defined?	Yes, in County disaster management plan	

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NO	QUESTION		COUNTY	SCORE
2.	Are the roles/responsibilities of the different stakeholders and administrative levels (sub-national and national) clearly defined for the function? (CCC2)		Yes, in County disaster management plan The Disaster management Act specifies the roles and responsibilities of all stakeholders.	2.0
3.	Do relevant institutions involved in emergency response have the systems, processes and resources (e.g. in terms of staff, knowledge, guidelines/procedures and equipment) to work in an efficient and accountable manner? Provide answers below (CCC2)		Targeting has not been done in the past, not formal but community based through the chief's office. A committee of the CSG for relief distribution is in the offing to manage relief distribution. In East & North Sub-Counties, distribution is blanket.	
3.a	Systems and processes	Procurement	Public procurements process followed... tendering process. Pre-qualification of suppliers shortens the lengthy process in case of emergency... and direct procurements are allowed within the frameworks of the Disaster Management Act. Single sourced suppliers such as vaccines are also procured using direct procurement processes. This happens for both food and non-food items.	3.0
		Funds Management	A committee of the CSG is responsible for handling the financial management for an emergency process. Food for fees programs also running in some schools courtesy of the NDMA Contributions are received by the committee, and accordingly expensed. Proper financial management in an emergency response is not clear, only done by a committee of the CSG. A vacancy for the Disaster Management Coordinator is yet to be filled due to a legislative process that's still running.	
		Commodity tracking	Ramati, a local NGO, does the commodity tracking. Ramati accounts for the commodities distributed via a Commodity Distribution report to the CSG. It is the only agency with sufficient knowledge, systems and processes for food distribution in the County.	
		Quality assurance / accountability and control	Quality Assurance officers test and inspect the commodities and ensure the quality of the food for distribution is fit for human consumption.	
3.b	Human resources	Planning and Operation Management	CSG/ Ramati... the directorate is coming up and funds have been set aside in this financial year.	2.6
		Commodity and Warehouse Management	Food commodities are not stored. Direct distributions are done from the National Cereals and Produce Board warehouses, directly to FDPs.	
		Transportation coordination	None for the County, Ramati coordinates the transportation.	
		Fund management	CSG- relevant committee	
3.c	Standard operating procedures	Procurement	PPOA	2.3
		Funds Management	To be formulated by the Directorate	
		Commodity tracking	To be formulated	
		Quality assurance / accountability and control	Public Health department.	
3.d	Information management	Data collection	The County Secretary manages information in relation to emergency response. No integrated information system to bring together information about emergency response activities by different actors in the county. South to South cooperation to learn best practise...	2.7
		Data compilation, consolidation and quality assurance		
		Analysis		
		Reporting and sharing of information		
		Learning and feed-back		
4.	How does the day-to-day work of emergency response function? Are there any bottlenecks? What could be the underlying reasons for these? (CCC2)		Depending on the type of emergency: the County Security committee responds to the Security- related emergencies and determine appropriate emergency response coordinated by the County Commissioner (Security a national function) but involve the County. CSG does emergency response to other types of emergencies. Inadequate infrastructure & poor road network, poor communication systems etc hamper emergency response activities... many places are too remote & inaccessible.	2.8

NO	QUESTION	COUNTY	SCORE
5.	Is there an effective coordination mechanism that includes all county sectors and stakeholders during emergency response? Exist at national and county level with respect to emergency response? (CCC3)	County Steering Group chaired by governor. Coordination system. Well attended by decision makers – decisions implemented. Need for Disaster management committee to be in place for improvement to level up	3.0
6.	Does the coordination mechanism effectively enforce accountability among stakeholders at the county level? Does it ensure that humanitarian supplies actually reach the people that should be covered by emergency assistance? (CCC4)	CSG coordinates all responses, a small committee is being set up to be operational soon. The CSG is involved right from the technical arm to the rest of the stakeholders. Follow up actions thru committees... Reporting requirements in place for Ramati to update the CSG on the process... on gentleman's agreement basis. No formal/ binding agreement in place to enforce reporting. Distributions done jointly with Ramati by the County Gov.	2.8
7.	Which risks management strategies do the relevant institutions have? (CCC5)	The county govt. has committees including the county administrators that are involved in overseeing program management on the unexpected outcomes. There are structures in place to consolidate these outcomes. These committees include NDMA drought committee, counties disaster management committee and the peace committees (active in conflict resolution). The committees generate work plans on how to manage risks, collaboration with other partners and raise awareness of how to resolve. There is need for a risk management framework/register.	2.3
Aggregate score for HGI 2:			2.5

HGI 3: Finance

1.	Does government at central and county level and national partners have committed funding for emergency response? (CCC1)	Yes. Budget exists generally for procurement processes. However reliant on the National Cereals and Produce Board and other stakeholders like Ramati for logistics, warehousing, transport and food distribution. Resources inadequate to meet the needs. The funding is for emergency response. Though they rely on the National Cereals and Produce Board, RAMATI etc. for other services.	
1.a	Is there an established budget line for the function at national and sub-national level? How much is allocated? Is the available budget sufficient for the required action?	Yes, though it is for response. 2015/16 – 50 million from county budget. 2015/2016 the budget remains the same. The amount is not sufficient. The budgeting is set based on the sector projections, however, the priorities might change. In case of a national disaster the county expects the national govt. to intervene. Only 60% of the ER budget covered in Financial Year 2014/2015 County link to national govt. through NDMA for national government intervention. Joint vulnerability assessments are conducted at the County Level by both the national and county government to inform the decision on whether the County has the ability to respond or some assistance from the national government would be required.	2.0
1.b	Is there a contingency fund for emergency response? Is it adequate?	No. Rely on the National Cereals and Produce Board for storage. No funds for transportation. They rely on new resource mobilization effort The systems in place, disaster management plan yet to be adopted but has already been validated by the stakeholders. County relies on the set 50million for emergency response. NDMA has a drought contingency fund that is funded by the EU. There are triggers for disbursements of this fund. The amount is inadequate. For the drought emergency alone, NDMA was funded 30million and combined with the county funds of this was still not enough. 50million. (to Obtain accurate expenditure from planning officer) County relies on national support through NDMA. The budget covered on 60% of the needs with county covering approx. 40% and NDMA covering 20%	

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NO	QUESTION	COUNTY	SCORE
2.	In an emergency, can financial resources and assets be accessed rapidly to purchase and mobilize food assistance? (CCC2) Or does the government have a contingency stock? If yes, provide a list of contingency stock	Funding approvals are not difficult to secure. It takes 1-2 days to secure funds for emergency purchases, however procurement processes are lengthy. The county does not have contingency stocks. It procures directly from the National Cereals and Produce Board on need basis. The challenge is distribution of these stocks to the beneficiaries due to inadequate infrastructure and poor road network. Once procurement procedures are complied with the funding is release without delay.	2.2
3.	Does the government and its national partners have the capacity to efficiently manage financial resources in order to ensure adequate, timely and accountable emergency response? (CCC2)	Government has been able to mobilize resources from other partners.	2.8
4.	How has the government coordinated and engaged with partners to diversify sources of funding for emergency response in the past 5 years? (mention the mix of contributors) (CCC3)	The government has coordinated and engaged partners through the CSG. The CSG prioritizes response based on hardest hit areas and are flexible on resource allocation. They requests for assistance from other players. County budgets, assistance from NDMA (national govt), the United Nations Children Fund contribution of unimix/plumpy nuts, Various NGOs provide contributions through in kind sectoral contributions.	2.0
5.	Does the county have an established procedure for resource mobilization? (CCC4)	Yes. Resource mobilization done thru the governor's office. Proposal: Strengthen the technical team in resource mobilization, planning and allocation.	2.5
6.	Are government and national partners able to adapt resources to changing situations and needs? (CCC5)	Yes, Coordinated structures and shift focus on those priorities areas. The CSG prioritizes what is urgent and determines the response strategies to be adopted.	
6.a	How did identified needs vary over the past five year?	There have been two major disasters i.e drought and conflict with one impacting of leading on the other. The conflict are becoming more vigorous due to migrations in search of pastures and water points. The changing patterns/situations have been identified and the county is managing.	3.0
6.b	How did the level of resources provided for emergency assistance in each of these years adjust to the identified needs? (i.e. the share of identified needs that was actually covered)	Only 60% of the identified needs were covered in the last Financial Year... Proposals: Need to develop capacity to strengthen coordination. Mapping of resources in the needy areas. Establish a logistics capacity assessment. Strengthen the single pipeline.	
Aggregate score for HGI 3:			2.4

HGI 4 – Programme Design and Management

1.	Are there clear national protocols on how to provide humanitarian supplies, including public procurement and accountability standards, and are they being adhered to? (CCC1)	The Public Procurement Act (spells out the procedures and government protocols Yes, procedures are being followed.	
1.a	Are there rapid procurement processes in place for food, special nutrition products and non-food items, whilst ensuring accountability?	Procurement follows national government procedures Tendering process and quality checks done. Rapid procurement / single sourcing can only be done for procurement from national government to county government non-food items previously procured blankets and effects during fires in a school. Pre-qualified suppliers. Procurements in emergency scenarios are conducted through the pre-qualified suppliers... in some instances such as procurements of emergency vaccines, direct procurements are allowed. Proposal: Rapid response needs to be strengthened.	3.0
2.	Does the government and its national partners have the capacity for adequate emergency response that ensures that planned emergency assistance actually reaches the targeted beneficiaries? (CCC2)	Yes, this is done through CSG.	2.8
2.a	Is there sufficient storage capacity of good standard?	Not sufficient. Only use the National Cereals and Produce Board on warehousing arrangement. The storage is shared with food originating from various destination and risk of cross contamination. Other small stores in sub-counties. Plans to build storage sheds. (Follow up with Agriculture sector). No tracking of supplies. There is need for additional storage in multiple locations.	1.9

NO	QUESTION	COUNTY	SCORE
2.b	Does the Government have sufficient contingency of means of transport or are rapid activation agreements in place for contracted transportation services in time of rapidly increasing needs?	No contingency in place. No agreements to activate rapidly.	1.9
2.c	In case of complete failure of road transport, is there alternative transport in place to reach affected areas (e.g. waterways, air)?	No. County can contract from other partners.	1.8
2.d	Does the existing overland transport infrastructure enable reliable access to crises prone areas at any time? Does the government carry out road assessments? How often?	Poor road network. Terrain is poor. The county does carryout assessments and the roads in difficult to access areas are graded. e.g. in the East. New roads being opened up in the East. The assessments are done yearly when funding is obtained for maintenance. County to be supported to do periodic road assessments. (Quarterly)	1.8
2.e	Can the contracted transport vehicles access difficult terrains?	Government doesn't have its own transport fleet. Uses partner fleets that are inadequate. Access with difficulty Transport is on support basis not on contracting.	1.6
2.f	Does government have a list/profiles/MOUs with NGOs, CBOs and other partners to be engaged during emergency response?	None. Most operations are done on a gentleman's agreement e.g with Ramati	1.5
2.g	How is the humanitarian assistance tracked and recorded? Is this information shared with other stakeholders including the communities?	For NDMA - There is a technical team who evaluate the tender process and ensures quality assurance and ultimate ensures what is received conforms to requirement. County hands over the responsibility to specialized agencies e.g Ramati who transports and distributes the food and generates reports of what was distributed, to whom? They distribution reports are given the county. Information is not shared with the communities. However, can be obtained upon request.	2.1
3.	Are there clear Standard Operating Procedures in place that ensure adequate, timely and accountable emergency response? (CCC2)	Yes, there are accountability systems. List of beneficiaries provided. Proposal: Needs system and structures in place. Refer to the table	2
4.	Are effective partnerships for emergency response established (CCC3)	Yes, done through CSG.	2.5
4.a	Which partners are involved, and how?	Ad hoc support based on the partners involved. Proposal: Need to strengthen coordination, establish single pipeline, draw agreements/formalize relations.	
5.	Is the design and implementation of emergency response coherent nationwide and are there implementation procedures and mechanisms in place to ensure consistency of service delivery and monitoring activities, yet flexible enough to adapt to local needs? (CCC4)	Yes, through CSG the vulnerable sites are selected. Proposal: Establish systems and coordination structures	2.1
5.a	Are technological applications in place for planning and managing humanitarian assistance?	None	1.0
5.b	Does the present system for emergency preparedness and response use one standard methodology, or does the system foresee various models according to geographic areas, market conditions and other circumstances?	No. In-kind interventions are currently implemented as it is believed that giving cash may create creating dependency culture...	2.1
6.	Do emergency response procedures and structures have mechanisms in place to analyse and adapt to lessons learned and changing situations and are these used effectively? E.g. do they foresee assessments of e.g. market conditions as a precondition to apply different modalities of emergency assistance, including cash? (CCC5)	The county is food deficit and these new interventions might not be feasible in the current situation. Discussions on pilot of cash transfers to schools and the FFA in some counties. The projects have not started. There are emerging markets and there are possibilities of exploring these options. There still isn't a procedure or modality for applying these modalities, more assessments need to be done to ascertain readiness to adopt new mechanisms. Under social protection cash to old people is done through KCB. However, there are challenges in the old people travelling to the central region to line up for this cash. The adoption of this modality should be sub-county based with it being accepted in the central. Whilst it might not be ideal in the East. There is a proposed intervention by NDMA under food for fees... currently under discussion.	1.8
Aggregate score for HGI 4:			2.2

NO	QUESTION	COUNTY	SCORE
HGI 5 – Sustainability			
1.	Does the government have a long-term strategy or vision for sustaining and ensuring humanitarian supply chain management management in the future? Does this vision include any major change of responsibilities between government and non-governmental actors, and between central and sub-national levels of government? (CCC1)	<p>The county has committed funding and there is a structure with a clear plan on ensuring emergency response is well handled. This vision is articulated in the Disaster management Act and the contingency plans. NDMA is also assisting the county create a vision for future intervention.</p> <p>The Private Public Partnerships are being adopted to encourage collaboration with other stakeholders. This spells out the modes of operations and responsibilities.</p> <p>Sub counties participate in the discussions in the PPP forums.</p>	2.7
2.	Is national/county funding stable and are resources available for adequate humanitarian supply chain management/emergency response management? (CCC2)	Funding is stable but not adequate	2.3
2.a	What has been the level of resources for humanitarian supply chain management in the past five years?	Budget allocation has been 50 million. The resources are insufficient to cover all the needs.	
2.b	What has been the share of resource requirements that has been covered in the past five years?	Total of 60% was covered in the past 2 years. With 40% was covered by the county: 20% covered by national govt. through NDMA.	
2.c	What has been the share of resources mobilized by national and county governments for these activities in the past five years?	Yes the county is receiving resources through partners. However, this is not documented for tracked for accountability. There is need to adopt a single pipeline for ease of tracking and accountability.	
2.d	What are the prospects for each of these questions in the medium-term future?	County intends to take lead in adopting a single pipeline in a concerted effort to meet its objectives. CSG wants to have a forum with all stakeholders to find out there activities and collaborate in emergency response.	
3.	Are there systems and resources available for civil society, communities, and private sector's participation in emergency response, and for monitoring and feedback at the national and county levels? Are these systems and resources sustainable? (CCC2)	<p>The stakeholders attend CSG and share information on existing emergencies and they plan together.</p> <p>There are partners who do not actively participate in this CSG forums. However, they are operating under different sectors e.g. health, agriculture etc. There is need for the county government to develop MOUs and agreement of engagement in the counties. There is need to have a list of NGOs and the type of relief effort they are engaged in. There are committee within the CSG who are mandated to follow up on monitoring and reports on beneficiaries reached.</p>	2.1
4.	Does county government lead the present system of emergency response? How? Does the present system rest on a secure (multiple-sourced) basis of resources, and are back-up plans in place? (CCC3)	<p>Yes. The Governor's office leads in resources mobilization for emergency response. The office facilitates procurement of the emergency relief for sub counties thru the relevant committee of the CSG. The CSG is co- chaired by Governor and County Commissioner.</p> <p>There are resources from national (NDMA) and county government. Additional resources are prompted during emergencies from NGOs, PBOs, CSOs.</p> <p>Currently there is no back up plan in place.</p>	2.8
5.	Are civil society, communities and the private sector actively contributing resources and are they engaged in emergency response? Are mobilized resources and partnerships sustainable to plan, design and implement necessary activities? (CCC3)	<p>All stakeholder are contributing to emergency response. Including private sector e.g. Safaricom contributed an ambulance. However, these are need based contributions. The approach of contribution is not based on a sustainability plan.</p> <p>These are not sustainable and it will be difficult to plan based on these ad hoc contributions. There are no contracts or agreements that determine their engagement thus not quite sustainable.</p> <p>The county has a strategy of engaging with the stakeholders at a strategic levels to build sustainability for emergency response.</p>	2.3
5.a	Is the engagement of these partners flexible, strategic and sustainable? Question unclear?	The partnerships is strategic/flexible. Though the sustainability element has not been considered. There is need to develop clear MOUs/Agreements.	
6.	How is information and analysis for emergency response and its results stored and accessed? Is this information available to government, the public and the international community (where appropriate)? (CCC4)	<p>The information on drought emergencies are available. For other emergencies are not. The NDMA emergency information is available upon request. The reports are disseminated to the CSG (that encompasses multi stakeholders).</p> <p>There is need to have an integrated information management system that is based in the Governor's office.</p>	1.7
6.a	Are relevant monitoring reports disseminated to the relevant authorities?	Circulated to the CSG.	

NO	QUESTION	COUNTY	SCORE
6.b	Are relevant monitoring reports disseminated to the general public?	No	
7.	Is emergency response performance monitored? Are challenges/potential failures of the emergency response system identified, are they discussed and are lessons learned to improve the system? Can you provide examples? (CCC5)	The county has a monitoring framework for emergency response and there is a system to draw on lesson learnt. The monitoring is on cross cutting issues not necessarily emergency response. This is done at departmental levels. There are challenges in human resource (knowledge on data collection & analysis) and monitoring challenges in collecting information.	2.4
7.a	Do all stakeholders (civil society, communities, partners and the private sector) contribute to learning and to incorporating lessons learned and good practices to sustain emergency response?	For some sectors it includes formation of technical teams involved to contribute and incorporate lessons learnt. The lessons learnt system in emergency response is a challenge and should be strengthened to include multi stakeholders.	
		Aggregate score for HGI 5:	2.3

