

WAJIR COUNTY

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

December 2015




**World Food
Programme**

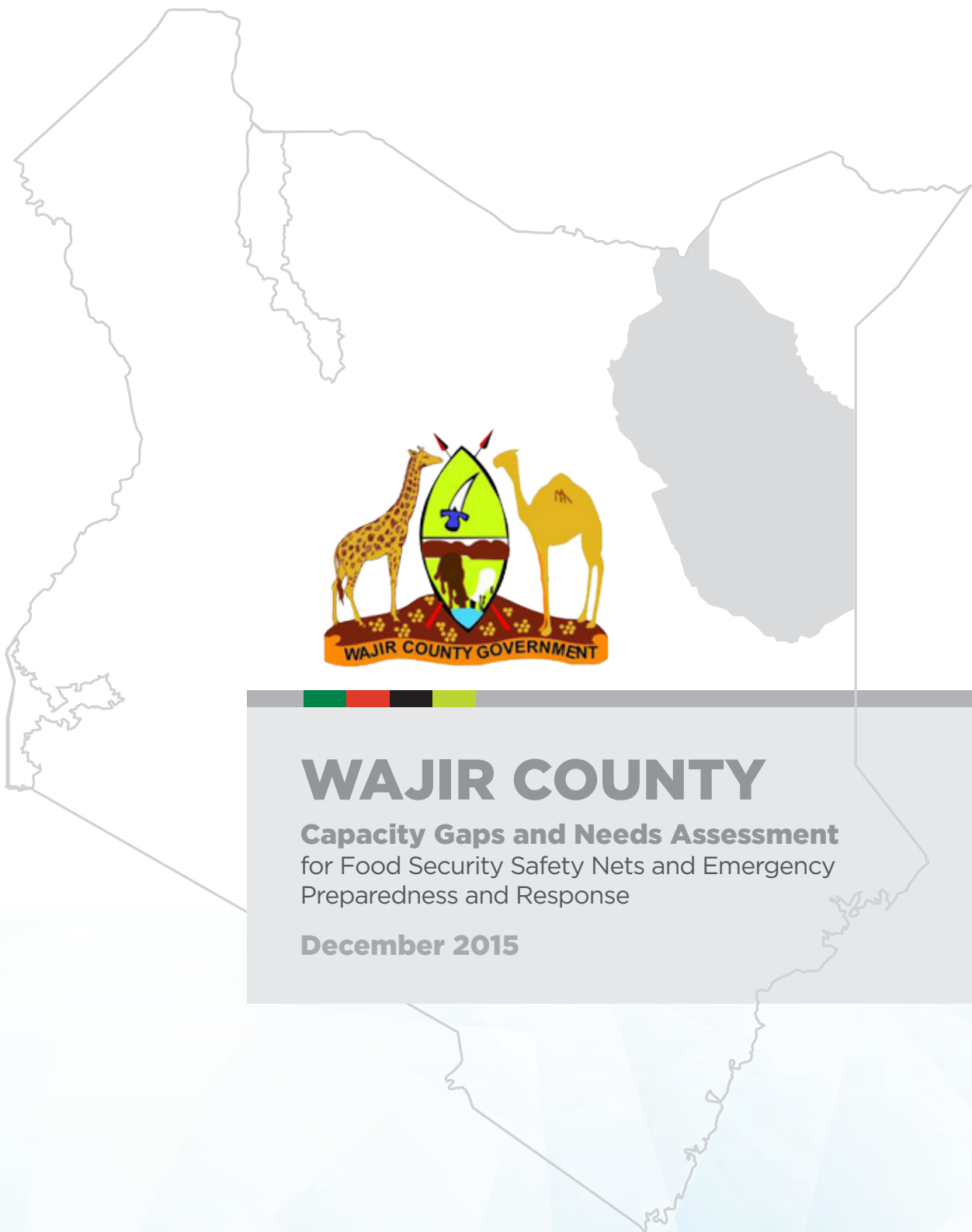


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ACKNOWLEDGEMENTS

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

ALDEF	Arid Lands Development Focus
CCC	Core capacity characteristics
CIDP	County Integrated Development Plan
CSG	County Steering Group
EPR	Emergency preparedness and response
HGI	Hunger governance indicator
HSC	Humanitarian supply chain
NDMA	National Drought Management Authority
NGO	Non-governmental organization
WFP	World Food Programme

CONTENTS

Introduction	6
1 Methodology and Structure of this Report	7
2 Description of Wajir	9
Hazards.....	11
Food Security and Hunger.....	11
3 Capacity Assessment	12
Hunger Governance Indicator 1: Policy and Legislative Environment.....	12
Hunger Governance Indicator 2: Effective and Accountable Institutions.....	19
Hunger Governance Indicator 3: Programme Financing and Strategic Planning.....	22
Hunger Governance Indicator 4: Programme Design and Management.....	25
Hunger Governance Indicator 5: Continuity and Sustained National Capacity/Civil Society Voice.....	28
4 Proposals for Capacity Support	31
5 Methodology and Summary of Baseline Capacity Indicator Scores	33
Results of the Capacity Gaps Needs Assessment Process.....	35
Annex 1: Wajir Capacity Gaps and Needs Assessment: Safety Nets	38
Annex 2: Wajir Capacity Gaps and Needs Assessment: Emergency Preparedness and Response Area 1, Food Security and Vulnerability Analysis.....	49
Annex 3: Wajir Capacity Gaps and Needs Assessment: Emergency Preparedness and Response Area 2, Humanitarian Supply Chain Management.....	54

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 has reached 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.

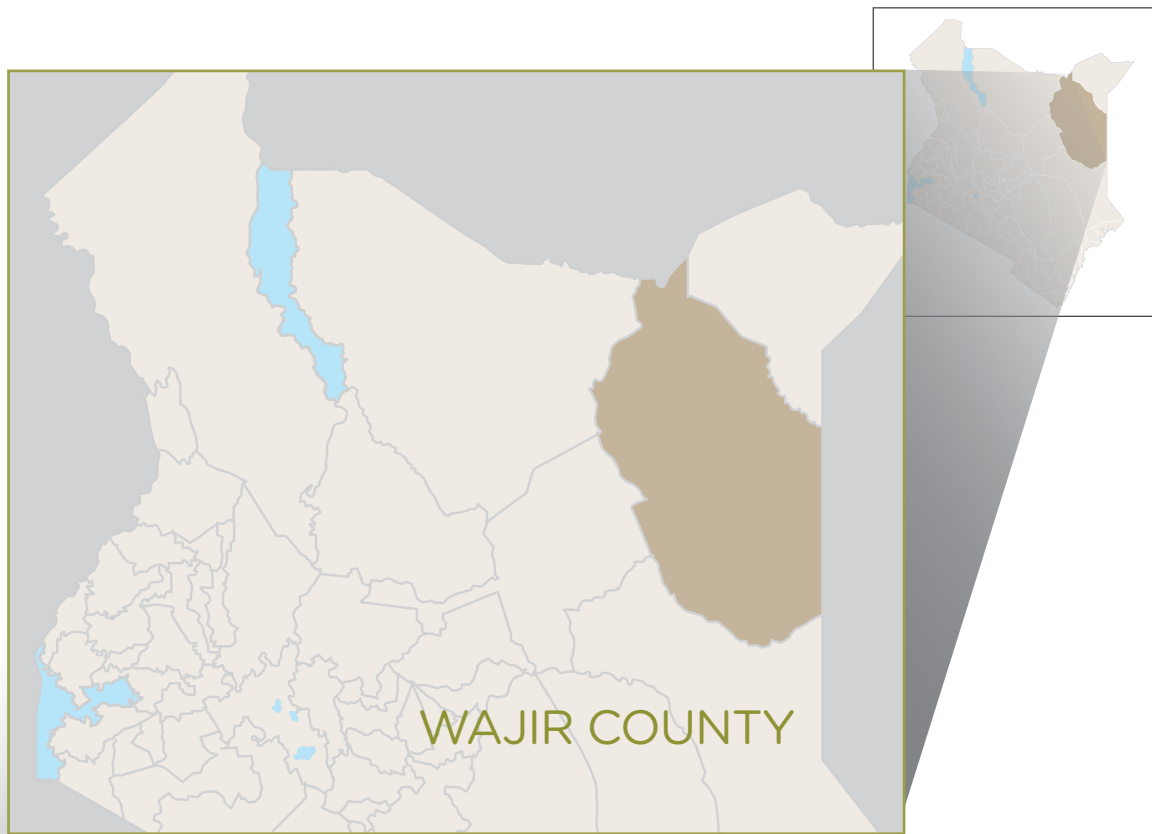
Wajir is one of the counties that has expressed interest in cooperating with WFP to support the county’s capacity to prepare for and respond to food insecurity in normal times and during emergencies.

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 capacity gaps and needs assessment summarizes the results for Wajir 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 following two years. The 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 Wajir 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 Wajir, 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.



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 Wajir 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 Wajir’s 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 WAJIR²

Wajir County is part of the arid lands of Kenya. It borders Somalia to the east, Ethiopia to the north, Mandera County to the northeast, Isiolo County to the southwest, Marsabit County to the west and Garissa County to the south.

The County Integrated Development Plan (CIDP) 2013–2017 describes the landscape as a featureless plain, which rises gently from the south and east towards the north. Elevations are between 150 m and 460 m.

The average temperature is 27.9 °C. The county receives an average of 240 mm of precipitation annually or 20 mm each month. However, there are only 24 days per year with more than 0.1 mm of precipitation. June is the driest month with an average of 1 mm of rain, while April is the wettest month, with an average of 68 mm of rain, sleet, hail or snow across six days. The higher areas of Bute and Gurar receive higher rainfall of between 500 mm and 700 mm.

The main water sources are shallow wells for Wajir, Griftu and Buna towns, and boreholes and water pans for most of the other settlements in the county. Lake Yahud, which is an underground and permanent lake situated on the periphery of Wajir town, provides water for wildlife and quarrying activities, although the water is saline and not safe for drinking. There are 14,360 shallow wells, 206 water pans and 98 bore holes. The major use of water is for livestock (53 percent) and for domestic use (30 percent).

2 This section draws information from the following references: *Wajir First County Integrated Development Plan 2013–2017* (Wajir County Government, 2013); the *Kenya Demographic and Health Survey 2008–09* (Kenya National Bureau of Statistics, 2008); the *2009 Kenya Population and Housing Census* (Kenya National Bureau of Statistics, 2010); *Food Security and Outcome Monitoring* (WFP, September 2015); and the *2015 Long Rains Season Assessment Report* (Kenya Food Security Steering Group, August 2015).

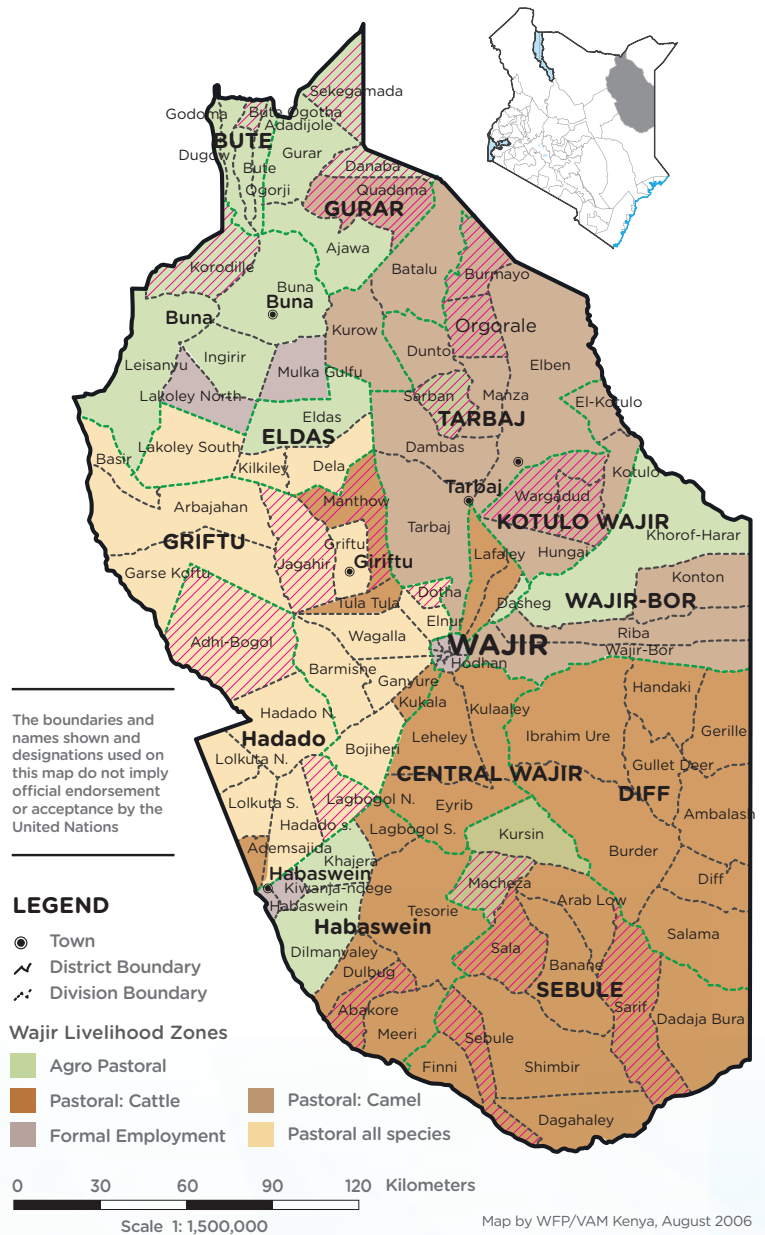


Figure 1 Map of Wajir: livelihood zones and sub-counties

Administratively, the county comprises eight sub-counties, namely Wajir East, Tarbaj, Wajir West, Eldas, Wajir North, Buna, Habaswein and Wajir South. These are further divided into 28 divisions, 128 locations and 159 sub-locations. The county is mainly pastoral but has also parts that are agropastoral (see Figure 1).

Based on the 2009 Population and Housing Census, Wajir County’s population growth

rate is 3.22 percent (higher than the national average of 3.0 percent). The Kenya National Bureau of Statistics projects that the population of Wajir reached 800,000 people in 2015, of which 55 percent are male, 51.8 percent are less than 15 years old, and only 46 percent of the population are in the age group of 15 and 65 years. The population density is 14 persons per km², being highest (31 people per km²) in Wajir East, which also hosts the county headquarters.

The rural population, the majority of which are pastoralists, is generally found in the grazing reserves and around watering points, which may sometimes double as administrative wards. The settlements are modelled around clans and pastoral resources.

The county has 440 km of gravelled roads out of a 5,280 km road network. The remaining roads are earthen and unclassified. The county has no tarmac road or rail network. There is an international airport in Wajir and seven airstrips (Habaswein, Khorof Harar, Wagalla, Buna, Bute, Tarbaj and Diff).

The entire county is categorized as trust land apart from a small percentage occupied by townships. Some small areas are exclusively under small-scale crop farming by individuals or groups. In urban areas plots are allocated to individuals by the county government.

The main use of land is for livestock grazing, as most people practice nomadic pastoralism. The main types of livestock are cattle, sheep, goats, camels and donkeys. Poultry keeping is more prominent in Wajir town than elsewhere.

A few farmers practice small-scale farming (average holding size 2.4 ha) in depressions and along drainage lines where there is some moisture from seasonal flooding. Irrigation using underground water is limited to areas with permanent shallow wells. The total available arable land is about 1,000 km²; however, only

about 3,800 ha (3.8 percent) is presently cultivated. The main crops include sorghum, drought-resistant maize, beans, melons, cowpeas, green grams and horticultural crops like kale, spinach, tomatoes, and sweet and hot peppers. However, due to the aridity of the county, food production is limited and contributes little to food security. Most people rely on livestock products (milk and meat) the latter of which is the staple food. There are no fishing activities in the county, nor are there gazetted forests.

The main development challenge is water deficiency, which only enables less than 2 percent of the land to be farmed; of this, less than 3.8 percent is, in fact, cultivated. As a result, agricultural production and productivity are low. Environmental degradation is caused by felling of trees for wood fuel and charcoal, unplanned settlements, indiscriminate grazing, unplanned water points, nomadic lifestyles, quarrying of lime and bush fires. The prevailing land tenure system with very few private title deeds limits the capacity of farmers to invest in sustainable land use. Additional challenges include poverty (84 percent of the population live in absolute poverty), gender inequality, poor infrastructure, insecurity and, not least, changing weather patterns, including unpredictable amounts of rainfall, frequent and prolonged drought and unpredictable floods, which result in outbreaks of water-borne diseases among humans and animals.

In primary schools, the teacher-pupil ratio is 1:66, and only 40 percent of pupils are girls. Adult literacy stands at 23.6 percent, compared to the national average of 72.2 percent. Seventy-two percent of the population is considered food poor. About 54 percent of the labour force (corresponding to only 32 percent of the total population) is employed (85 percent of which is in agriculture), 17,000 people (4.6 percent) are self-employed, and the remaining 41 percent are unemployed.

Cyclic droughts, insecurity, high illiteracy and inefficient marketing systems all account for the stagnant employment market. Access to health care is low, with patient–doctor and patient–nurse ratios of 1:132,000 and 1:4,163 respectively. HIV prevalence is 0.9 percent, but increasing.

Hazards

The CIDP identifies the major types of disasters that occur in the county as being drought, floods, terrorism, conflicts, fires, HIV/AIDS and environmental pollution and degradation.

Being an arid and chronically food-deficient county, drought is the most persistent and destructive natural hazard. Droughts occur every one to three years, although the frequency of droughts is reported to have increased as a result of increasingly erratic weather patterns. In general, the long rainy season occurs in the months of March to May and the short rains occur mainly between October and December.

The county is prone to seasonal flash flooding during the rainy seasons, which makes roads impassable.

Insecurity is another serious concern. Increasingly, competition over resources (pasture and water) has led 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 report categorized much of the county as being in the acute food insecurity phase of stressed (IPC³ phase 2).⁴

However, parts of Wajir West were in crisis (IPC phase 3).⁵ The county has had consecutive poor rainy seasons over the last two years, and currently approximately 170,900 people are acutely food insecure, compared to 111,900 and 131,700 people in 2013 and 2014, respectively. Factors that affect food security in the county, in addition to poor rainfall, include high food prices, poor livestock market infrastructure, inadequate and poor pasture and browse, frequent livestock disease outbreaks and inadequate resources to treat them, and recurrent resource-based conflicts as a result of internal migration and pressure on watering points.

According to the WFP September 2015 Food Security and Outcome Monitoring report, households with poor food consumption increased to 8 percent from 4 percent in September 2014; while those with borderline food consumption increased from 32 percent in 2014 to 40 percent. Households with acceptable food consumption decreased from 64 percent to 52 percent. Households are increasingly employing consumption coping strategies. The Coping Strategies Index significantly rose to 26 in September 2015 compared to 7 during the same period in 2014, signifying a deterioration in food security. Although the nutrition situation has shown improvement compared to February 2015, global acute malnutrition still remains critical (15–19.9 percent) in most of the county and serious (10–14.9 percent) in Wajir North.

The Kenya Demographic and Health Survey 2008–09 records that 35 percent of children under the age of five in the county are stunted. Stunting is a well-established child health indicator for chronic malnutrition related to environmental and socio-economic circumstances.

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.

⁵ Households are marginally able to meet minimum food needs only with accelerated depletion of livelihood assets that will lead to food consumption gaps.

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.

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

Kenya's 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.

The overarching draft National Disaster Management Policy⁶ looks at disaster risk management as encompassing the full continuum, from preparedness, through relief and rehabilitation to mitigation and prevention. It also emphasizes preparedness on the part of the government, communities and other stakeholders in disaster risk reduction activities. The policy aims to increase and sustain resilience of vulnerable communities to hazards through diversification of their livelihoods and coping mechanisms. This entails a shift from short-term relief responses to development. The policy also points out that providing sufficient and timely early warning information on potential hazards that may result in disasters will go a long way to preserving life and minimizing suffering. Not least, the policy also sets out guiding principles concerning the key features for an effective disaster risk management system. These include that:

- the Government is to continue to play the lead role in the strategic planning and management of disaster risk reduction, as well as the responsive management of the full disaster cycle;
- a disaster management policy should be developed and aligned to the Hyogo Framework of Action 2005–2015, which stresses the paradigm shift to disaster risk reduction, including the early warning system, preparedness, prevention and mitigation;
- a complementary responsive approach for a conventional responsive disaster cycle management, (including an early warning system, response, relief,

⁶ Ministry of Devolution and Planning. 2015. *Draft Devolution Policy*. Nairobi. Government of Kenya.

rehabilitation, reconstruction and recovery) should be developed to ensure appropriate remedial action where preventive proactive measures have failed;

- an operational early warning and disaster management information system should be developed that triggers rapid and timely response and provides regular monitoring and evaluation of base data for disaster risk analysis, profiling and trend analysis.

The notion is that county governments will act as first responders to emergencies, while the national government sets standards (e.g. assessment and targeting methodologies, and beneficiary registration) and steps in with additional resources when an emergency affects a share of the population above a certain threshold and county capacity is overstretched. This threshold has not yet been defined.

The County Government Act of 2012 stipulates that a county government shall plan for the county and no public funds shall be appropriated outside a planning framework developed by the County Executive Committee and approved by the County Assembly. This act, along with the Public Financial Management Act, 2012, therefore calls for preparation of a CIDP, which must be harmonized with the national development plan.

The Public Finance Management Act of 2012 places emphasis on effective and efficient management of public resources, as spelled out in Art. 125. It requires the budget process for county governments in a financial year to consist of integrated development planning processes, including long-term and medium-term planning as well as financial and economic priorities for the county over the medium term.

The National Drought Management Authority (NDMA) was established in 2011.

The national government also established the Kenya Food Security Steering Group. During emergencies, the Directorate of Special Programmes works in liaison with the county government for emergency response. Recent efforts by the national government to improve on early warning and food and nutrition security analysis and assessment include the Common Programme Framework for Ending Drought Emergencies⁷ and the Nutrition Action Plan 2012–2017, which has been used to draw up Wajir’s county nutrition action plan.

Not all of these policies and strategies have been aligned with the 2010 Constitution of Kenya, which provides for devolved structures of governance. However, some, e.g. the nutrition action plan, have been integrated with county administration. Oxfam is assisting in developing a livestock policy at the county level. Other national policy documents yet to be mainstreamed at the county include the “Development of Vision 2030 Strategy for Northern Kenya and other Arid Lands” and Sessional Paper No. 8 of 2012 on the national policy on sustainable development of northern Kenya and other arid lands.

The CIDP provides an analysis of the prevailing development situation in Wajir County. It foresees programmes in the following priority areas for the promotion of development in the county:

- agriculture and rural development, including the promotion of increased agricultural activities, water harvesting and enhanced water and soil

⁷ The Common Programme Framework for Ending Drought Emergencies is the product of a series of discussions between the Government of Kenya and its development partners that took place between October 2013 and August 2014. It represents the first phase of a ten-year programme to end drought emergencies by 2022. The framework has three areas of emphasis: eliminating the conditions that perpetuate vulnerability, enhancing the productive potential of the region, and strengthening institutional capacity for effective risk management.

conservation, introduction of micro-irrigation and drought-resistant crops, reduction of post-harvest losses, support to farmers' associations and improved market access, and strengthening of drought monitoring early warning systems;

- energy, infrastructure and information and communication technology, including a food-for-assets programme targeting women and youth in particular to open up more rural access roads;
- economic, commercial and labour affairs, including strengthening access for women and youth to affordable credit;
- environment and natural resources;
- health and education;
- public administration and international relations;
- governance, justice, law and order;
- social protection, culture and recreation;
- environmental protection, water and housing, including sinking of boreholes and wells, and construction of new earth pans and dams or de-silting the existing ones.

With respect to disaster risk reduction, the CIDP stresses the need to focus on interventions that promote sustainable livelihoods and enable communities to be more resilient to shocks and hazards brought about by frequent droughts and climate change. In this respect, the CIDP foresees that significant parts of ending-drought-emergency programmes will be implemented through the county government (particularly in the areas of peace and security, health and sustainable livelihoods) and coordinated by the NDMA county office in close partnership with county planning units.

The concrete activities proposed in disaster preparedness and management include the formulation of a disaster preparedness and management section within the council, the formulation of disaster preparedness and management by-laws, and the development of a disaster rescue centre, within which NGOs (non-governmental organizations) and appropriate stakeholders would be able to prepare for disasters. The stakeholder mapping of the CIDP foresees the task of distributing relief food and medical supplies during emergencies and capacity building on disaster management to the Kenya Red Cross.

With respect to social protection, the CIDP singles out three strategies:

- youth empowerment through development of entrepreneur skills;
- cash transfers to the elderly, the physically challenged, caregivers for the physically challenged and to orphans and vulnerable children;
- active participation of women in all development processes, enforcing the third gender rule in all spheres, and enhancing access to credit facilities and inheritance.

The CIDP cites relief food dependency syndrome as one of the causes of food shortages and proposes, among other interventions, promoting the adoption of drought-tolerant seeds and ensuring that 80 percent of the vulnerable population has access to food. It does not, however, clarify how the vulnerable population would be identified, and whether they would receive conditional or unconditional food or cash transfers, and how these would address the issue of dependency.

Not least, to address food insecurity the CIDP proposes food-for-asset programmes (e.g. by Njaa Marufuku, Kenya), and provision of emergency relief by WFP.



Each government department has its own sectoral plans. The Environment Department outlines the sustainable use of dryland biological resources, environmental protection and conservation, e.g. bushfire protection, discouraging illegal logging and sensitization on environmental degradation. Although these plans clearly spell out the roles and responsibilities of actors in emergency response, the implementation of most of their policy, development and legislative instruments is found to be behind schedule due to lack of technical skills and the limited resources available to develop them.

The Drought Contingency Plan 2014 was developed by the County Steering Group (CSG) through a participatory process coordinated by NDMA. Six individual sub-county contingency plans were initially prepared and validated by the six sub-counties, and a final draft was approved by the CSG.

When describing different drought scenarios, the Drought Contingency Plan acknowledges that the level of preparedness

of the communities, development partners and the county and national governments is one of the factors that determine the severity of losses and destruction caused by droughts.

The plan organizes events – and response action – in five warning stages running from ‘normal’, through ‘alert’ and ‘alarm’ to ‘emergency’ and eventually ‘recovery’, which together constitute the NDMA drought cycle. The plan includes the provision of relief food for social protection (and potentially cash for assets) by WFP and the cash transfers provided by the Hunger Safety Net Programme as well as the Cash Transfers for Orphans and Vulnerable Children programme (one of three cash transfer programmes under the Ministry of Labour, Social Security and Services).

The contingency plan foresees a wide number of activities in different sectors, each with an estimated budget, as shown in Table 1.

Table 1: Budget for activities under the Wajir Drought Contingency Plan

SECTOR	PHASE	BUDGET (KES millions)
Livestock	Alert	301
	Alarm	72
	Emergency	317
	Recovery	372
	Subtotal:	1,062
Water	Alert	89
	Alarm	225
	Emergency	52
	Recovery	275
	Subtotal:	642
Health	Alert	78
	Alarm	28
	Emergency	181

	Recovery	108
	Subtotal:	395
Education*	Alert	0.139
	Alarm	85
	Emergency	40.7
	Subtotal:	125.839
Agriculture	Alert	6
	Alarm	18.6
	Emergency	25.3
	Recovery	17.
	Subtotal:	66.9
Conflict	Alert	11.1
	Alarm	26
	Emergency	28
	Recovery	17.2
	Normal	12
	Subtotal:	94.3
Social protection	Alert	1,000
	Alarm	1,350
	Emergency	3,000
	Subtotal:	5,350
Grand Total		7,735.039

Note: The figures included in the contingency plan are not conclusive, as individual items, sub-totals, totals and summaries do not tally. The figures in the table are WFP's calculations based on individual budget lines.

* The Drought Contingency Plan does not allocate any funds for school meals, but states that food would be provided by donors as well as county and national government.

The Drought Contingency Plan includes a set of standard operating procedures for three stages: pre-disaster preparedness (normal and alert phases), during disaster (late alarm and emergency phases), and post-disaster (recovery phase). These standard operating procedures consist of a list of activities required by different actors. In particular, they assign the responsibility to the CSG to “coordinate both relief and safety net programmes in drought-affected areas”. The standard operating procedures do not detail how exactly the actors are going to perform their tasks. The contingency plan also includes an annex with specific procedures for the requisition

and release of funds from the National Drought Contingency Fund.

No contingency plan is yet in place for other hazards to which the county is vulnerable, such as inter-clan conflicts, terrorism, disease outbreaks and flooding.

The Disaster Management Bill of 2014 aims to enable more effective mitigation, preparation for, response to and recovery from emergencies and disasters by i) establishing an efficient structure for the management of disasters and emergencies; ii) enhancing the capacity of the county government to effectively manage the impacts of disasters and emergencies,

taking all necessary action to prevent or minimize threats to life, health and the environment; iii) vesting authority in persons to act during times of disaster and emergency; and iv) implementing mechanisms to reduce risks and hazards that may cause, contribute to or exacerbate disaster or emergency situations in the county.

The bill proposes to establish a disaster management committee with multiple functions, in particular to promote an integrated and coordinated approach to disaster management in the county, with special emphasis on prevention and mitigation by other actors involved in disaster management in the county. The committee is chaired by the Governor or his representative, and also comprises:

- the Deputy Governor;
- the County Secretary;
- the County Commissioner;
- the Chairman of the NGO consortium;
- the Head of the Disaster Management Directorate in the county;
- the Head of the Drought Management Authority in the county;
- the executive member responsible for matters relating to disaster management in the county;
- a representative of the private sector appointed in writing by the chairperson of an association representing the private sector.

The Disaster Management Bill does not clarify how the Disaster Management Committee will relate to the CSG.

The bill also establishes a disaster management directorate with the functions 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 to be followed 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 disaster and to enhance preparedness;
- coordinate response in the event of disaster;
- give directions to any county department or authority regarding actions to be taken in response to disaster;
- promote general education, awareness and community training in this regard;
- promote the recruitment, training and participation of volunteers in disaster management in the county;
- promote disaster management capacity building, training and education, including in schools, in the county;
- provide necessary technical assistance or give advice to local officers for carrying out their functions effectively;
- advise the county government regarding all financial matters in relation to disaster management;
- ensure that communication systems are in order and disaster management drills are being carried out regularly; and
- perform such other functions as may be assigned to it by the Committee or any other written law.

The Disaster Management Bill also foresees that the Disaster Management Directorate should prepare a county disaster management plan, and that the county should establish a county disaster management fund.

The Disaster Management Directorate has been established within the Governor’s office. By contrast, the county disaster management fund has not yet been established, and the disaster management policy and plan have yet to be prepared. This is attributed partly to the perennial human resources inadequacy, and partly to the fact that the national disaster management policy is not yet finalized, hence the counties do not have a reference point for their own policies. This leaves considerable gaps with respect to the operationalization of disaster management activities and the county-led management of disaster preparedness and response. Oxfam has offered to provide a consultant to “provide advisory support to the Disaster Management Committee towards the development of the County Disaster Management Policy and subsequent frameworks towards the implementation of the Wajir Disaster Management Act.”

The most important partners for the county government include NDMA, UNICEF, WFP, Oxfam, Save the Children, Islamic Relief, African Development Solutions, Kenya, Mercy Corps and several additional non-governmental actors. Most 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. While there are response plans developed on the basis of the contingency plan, actual responses depend on discussions at the CSG, where partners try to identify and address gaps.

At present, the following safety nets exist:

National (with figures for coverage in Wajir):

- Ministry of Labour, Social Security and Services programmes: Cash Transfer for Orphans and Vulnerable Children covering about 4,874 households; Older Persons Cash Transfer, covering about 3,820 households, and Persons

with Severe Disabilities Cash Transfer, covering about 550 households;

- the Hunger Safety Net Programme, covering 14,085 households who receive KES 2,550 per month (KES 5,100 paid every two months);
- 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 5,613 children under five and about 5,290 pregnant and lactating women, supported by WFP.

At the county level:⁸

- provision of seeds and fertilizer to about 500 farmers;
- preparation of boreholes (for livestock) and provision of spare parts for their maintenance;
- education bursaries for students in institutions of levels that are higher than primary schools (the CSP anticipates reaching 15,000 students and increasing the overall bursary budget to KES 80 million per year by 2018);
- as of 2016, provision of meals in early childhood development centres (the CSP anticipates covering 129,000 children in early childhood development centres in the county);
- free vaccination for livestock;
- free seeds to farmers;
- subsidized ploughing;
- a county emergency fund administered by the County Executive Committee for Finance, which in financial year 2014/15 amounted to KES 80 million, and in financial year

⁸ 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.

2015/16 to KES 100 million. The fund has to date partially been used in response to the recent inter-clan clashes in Eldas and Buna sub-counties.

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

The main observed weaknesses include the following:

- The relation between county safety nets and those provided by national government and partners is not clear.
- Thresholds for what constitutes a national emergency (and triggers national support to emergency response) are not yet communicated.
- County resources for the preparation of policies and legislation are chronically insufficient.
- A number of national policies have not been translated to county level.
- The Disaster Management Act has not yet been gazetted.
- A disaster management policy and disaster management plan have not yet been prepared.
- Emergency preparedness and response activities are not yet adequately anchored in existing laws.
- The Drought Contingency Plan is limited to drought, and there is insufficient consideration of multiple hazards with respect to emergency preparedness and response. There is need for further discussion on the importance of other hazards and how they impact on food security.
- Contingency plans, strategies and laws need to be updated regularly to reflect changing needs and situations.

Hunger Governance Indicator 2: Effective and Accountable Institutions

The institutions responsible for safety nets include the county Department of Education, Directorate of Gender, Youth, Sports and Social Services (which deals with vulnerable groups during times of non-emergency) and the Department of Public Service, Labour and Decentralized Units (which handles emergencies, disaster and conflict management). Since the two departments handle different target groups, their mandates do not overlap or contradict but rather complement each other.

The coverage of the programmes is constrained by limited resources. Pre-primary education (early childhood development) and gender are devolved, whereas most of the social service functions are not, so creating a challenge in their coordination and prioritization. In addition, activities in the non-devolved functions rely on decisions and timetabling of the national government, which further complicates their implementation.

A county director is responsible for institutional accountability under the national government, while the County Executive Committee oversees functions of the county government. The County Executive Committee signs a performance contract and is in charge of performance management. Within the county government structure, chief officers are responsible for budgetary management and accounting, and directors are in charge of implementation and technical support to their respective departments. Departmental positions specific to each role are cascaded to sub-county and then ward officers. The County Executive Committee members and chief officers are appointed by the Governor, while directors are recruited by the Public Service Board.

The Department of Education undertakes some school feeding, which is of core importance to health, but the county does not have the capacity to provide meals at all the schools.

There have been significant changes in the institutions since devolution started. Prior to devolution, staff were recruited nationally but recruitment now takes place at the county level; the early childhood development unit inherited 10 staff from the national government and current staff numbers have grown to about 80, reflecting the county government's increased strength and interest in this sector.

The staff in various departments have skills and knowledge but the systems in place are inefficient in both emergency and non-emergency situations.

Currently, there is no coordination mechanism solely dedicated to safety nets. The county has no specific county-led social safety net but supports an asset creation programme by providing a number of free inputs and services to support expanded farming, e.g. provision of fertilizers, farm inputs and ploughing services.

For productive safety nets, there is inadequate provision of equipment, seeds and farm inputs. There has been a rapid change in cropping preferences from growing cereals to vegetables, and different rainwater harvesting methods, e.g. digging wells, have been explored. Adoption of improved water harvesting systems is low, hence, farming continues to rely on underground water, which is saline. There is a need for adoption and greater use of rainwater harvesting technologies and rain-fed agriculture that minimize loss/wastage.

NDMA is the lead institution on food and nutrition security assessment and analysis as well as on early warning. The Ministry of Health leads the nutrition surveys in the county with support from its partners.

Although the county government has no direct role in the early warning process, it has been supporting the food and nutrition security assessments in the county by contributing to their funding. This financing is, however, not specifically set aside for this exercise, but is sourced on an ad hoc basis when there is a shortage in funding – which is frequently the case. The county government has no plans to set up an early warning system and would prefer to support that being implemented by NDMA.

The Directorate of Disaster Management has been established within the county government with the task of coordinating safety nets as well as emergency preparedness and response in the county. However, the directorate is not yet fully operational.

Complementary roles exist in food security assessment and early warning where the Ministry of Health collects information on disease surveillance and the Department of Livestock collects information on livestock diseases.

CSG meetings triangulate all available information and adopt the monthly early warning bulletins from NDMA. At times, response activities overlap, where some partners carry out their activities directly without going through the coordination mechanisms laid down by the county.

Early warning and food security assessments are conducted under the coordination of the CSG. The tools used for the routine assessments are prepared by the Kenya Food Security Steering Group at the national level. For an event that warrants a rapid food security assessment these tools are customized for use in the county. This process of customization is not clearly defined, and the adequate county methodology for rapid assessment is not clear yet. There is a need to support the adaptation of the national methodology to county-specific

needs and have well-defined tools for rapid assessment. Nutrition surveys use the Standardized Monitoring and Assessment of Relief and Transition (SMART) methodology, which has standardized tools.

As is the case for other counties, thresholds are not yet defined above which emergency response activities should be escalated to national institutions such as the National Disaster Operation Centre and the Directorate of Special Programmes. The clarification of roles and responsibilities of various actors and the two levels of government in emergency response is required, including setting the thresholds at which the national government should intervene.

Present documents are not yet sufficiently detailed and operational to ensure adequate response analysis (food or cash programmes), emergency food assistance planning, procurement and transportation as well as an integrated information system/database to support emergency preparedness and response activities.

The county's own capacity for food transportation and distribution is very limited. In this respect, the county relies on a partnership with a local NGO, Arid Lands Development Focus (ALDEF) Kenya, for logistical support. This is contained in a memorandum of understanding between the two parties.

The Disaster Management Directorate would need support to put in place proper systems and processes for efficient emergency preparedness and response. These could include hazard mapping tools, response analysis, logistical capacity and asset mapping, or warehouse and commodity accounting systems.

Information sharing to the administration including state and non-state actors at the county and national level is good. By contrast, it is acknowledged

that dissemination of information to communities is weak. Mechanisms and (e.g. communication) tools that would ensure that communities get feedback of early warning and food and nutrition security information so that they take appropriate action are still inadequate.

The storing of information for food and nutrition security was also considered poor since no comprehensive and accessible database system exists.

In summary, the establishment of the Disaster Management Directorate is a significant step forward.

The main observed weaknesses include the following:

- Activities in the non-devolved functions rely on decisions and the timetable of the national government, which complicates the implementation process because of lack of synchronization.
- The county does not have sufficient capacity to provide food to the early childhood development centres.
- Systems in place are not adequate for efficient implementation of safety net programmes in both emergency and non-emergency situations.
- There are no labour-intensive asset creation programmes, such as cash or food for assets. The county team strongly recommends that WFP consider supporting food-for-assets programmes in the county to complement other productive safety nets initiated there, e.g. tractor ploughing schemes, seeds subsidies and revolving funds for income-generating activities.
- The respective roles and responsibilities of national and county government institutions are not yet fully clarified. These include

both the thresholds for escalating emergency response to the national level and the coordination between NDMA and the county with respect to contingency planning as well as early warning and food security assessments.

- There is good consultation and coordination between the Disaster Management Directorate and the CSG and NDMA; however, this is not anchored in law, a requirement to ensure clarity.
- There is a need to ensure that tools are in place to assess various shocks when required. The guidance and standard operating procedures for county level response analysis, food assistance planning, logistic capacity assessments and other measures to ensure adequate and timely emergency response (and coordination with safety nets) are not yet adequate.
- Information on food and nutrition security assessments is not yet systematically integrated in a comprehensive database that is accessible for relevant government and non-government actors.
- Feedback to communities on early warning and food security assessments is not sufficiently good to allow them well-informed preparedness and response action.

Hunger Governance

Indicator 3: Programme Financing and Strategic Planning

The county government has allocated resources for safety net activities in the different departments with safety net mandates, e.g. health, agriculture and education.

In the current financial year (2015/16), KES 30 million was earmarked for disaster management, KES 10 million for people with disabilities, KES 80 million for the emergency fund, and KES 10 million for the provision of sanitary towels. Although there was no budget for resilience-building activities, the disaster budget has been used for food security emergencies.

Material resources available for design and implementation of emergency assistance, recovery and resilience building are deemed extremely inadequate, covering less than 1.4 percent of requirements. The combined county and national funding covers less than 20 percent of requirements.

There has been a notable increase in the budgetary allocation for persons with disabilities. The initial KES 5 million was increased to KES 10 million in financial year 2014/15. Nonetheless, there is no indication or plan that other safety nets will benefit from such budgetary increases, and if no national budget is allocated for safety net actions there will be a large gap in the coverage.

Funds for safety nets have not been disbursed to implementers in a timely manner due to unpredictable disbursement plans, constrained by delayed release of funds from the National Treasury. Procurement procedures were described to be lengthy, thus slowing fund absorption.

Structures and procedures for accountability and ensuring that resources are effectively used for the intended ends are considered sound. The county engages both internal and external auditors to review internal controls, and the county assembly departmental committees periodically provide oversight by reviewing spending/ fund utilization in line with existing legislation.

There is no clear strategy on how the county government would engage with partners to diversify sources of funding for safety nets, as the majority of the current social safety nets are funded by the national government.

Development partner safety nets have so far been implemented independently, with the county providing technical support and coordination. No overlap exists between the national and county resources for safety net programmes.

Population size at wards is used as a criterion for resource allocation within the county. Once resources are allocated, it is not possible to track how much goes to the safety nets because the county also sources funds elsewhere. Different departments also complement the national government resource allocation; for example, a wheelchair race organized by the national government to raise funds was supported by the county government through provision of wheelchairs; in another case the county government provided caregivers, teachers and equipment for people with hearing impairments.

It is estimated that only 1 percent of people with disabilities and 5.7 percent of orphans and vulnerable children actually receive assistance. The roll-out of safety nets in the county did not anticipate that needs would be higher because no prior assessment was made. Nonetheless, national government funding was increased to include the poor and those affected by drought through the Hunger Safety Net Programme and other cash transfer programmes, with NDMA monitoring the trends and coverage.

The county proposes to enact policies that would enable it to adapt its resource allocation for safety nets. Lessons learnt from the provision of sanitary towels has informed the county to expand its support to the provision of undergarments for children. Generally, the resource allocations to safety nets have been gradually increasing for the period 2014–2015 but there is need for more resources to ensure sustainability.

At present, the national government, through NDMA, finances the early warning system. While funding is long term, it is not considered adequate. Food and

nutrition security assessments are also financed through NDMA. While the county government supports this when resources are not sufficient, this is not a sustainable arrangement since there is no dedicated budget from the government.

The technical team carrying out the capacity gaps and needs assessment did not consider the capacity and materials for early warning as being adequate, and support is required. Such support could include computers and training for the officers who carry out early warning. More funding is also required for data collection and analysis on food security assessment and early warning.

The county has a budget for the emergency response fund set at 2 percent of the total county budget in any given financial year (as laid out in the Public Finance Management Act 2012). For 2015/16 this budget is KES 100 million, while for 2014/15, it was KES 80 million. This amount corresponds to only 1 and 1.3 percent, respectively, of the costs budgeted by the contingency plan for activities under the various stages of the drought cycle – and this is only for droughts. The funds set aside for emergencies are thus considerably less than required for any significant emergency response operation. The funds are managed by the County Executive Committee Member for Finance and are not readily available for emergency response, mostly due to the lengthy and complicated procedures imposed by the Public Finance Management Act. Additionally, disbursements from the national government are unpredictable in most cases, which compromises the county's emergency response capacity. Not least, no funds are set aside for proactive emergency mitigation and preparedness activities.

The County Disaster Management Act 2014 foresees the establishment of a county disaster contingency fund, but this has not yet happened. This is partially due

to the provision of the Act that the fund should be based on a county disaster management policy, which has not yet been developed. This in turn is partially due to the fact that a national disaster management policy, on which the county disaster management policy should build, is still pending. The result of this situation is that the county often relies on development partners and other NGOs to support emergency response activities. While this has made emergency response action possible to some extent in the past, these funds are neither predictable nor readily accessible, and this reliance is thus not sustainable. There is an identified need to pursue the establishment of this multi-hazard contingency fund to ensure that emergency response can be better funded – and thus planned for – in the future.

The main observed weaknesses include the following:

- Tools and systems are required to mainstream resilience projects by different departments and for a monitoring framework so that the investments can be tracked.
- Although the People with Severe Disabilities Cash Transfer, the Revolving Fund and education bursaries have benefitted from a budgetary increase, there are no indications or plans that other safety nets will benefit from similar increases.
- Unpredictable disbursement plans constrained by delayed release of funds from the National Treasury undermine any programme implementation.
- There is currently no strategy on how the county government would engage with partners to diversify sources of funding for safety nets.
- Only 2 percent of the county revenue is allocated to emergency response, which is grossly

insufficient for emergency response activities in the county.

- The emergency fund is meant only for emergency response, leaving preparedness and mitigation activities unfunded.
- Although the Disaster Management Act is in place, there is still no county disaster management policy – as the national disaster management policy is still not in place. Oxfam has agreed to support the formulation of a county disaster management policy but there is need for support for training and implementation of the policy, as it will include decentralization at the community level. Hazard mapping to inform policy formulation is lacking.
- In the absence of a county disaster management policy, the foreseen county disaster contingency fund has not yet been established. Contingency funds for emergency response are somewhat predictable and are accessible from the national but not county level, nor from partners. There is presently no county contingency fund with clear procedures, nor a joint partnership framework for emergency/contingency funds. This means that once the emergency fund is exhausted, the county depends on donors and development partners, which is not sustainable.
- Other than the emergency funds, which are inadequate for emergency response, the budgeted sectoral funds are not flexibly accessible in the event of a disaster.
- There is a risk of development funds having to be diverted to emergency response. This makes it difficult for the county to promote the increasing well-being and resilience of its population, keeping it in a trap of cyclic crises and self-enhancing poverty.
- The county is yet to formulate clear strategies on resource mobilization.

Hunger Governance

Indicator 4: Programme Design and Management

The county provides the following safety net programmes:

- a subsidy programme for free certified-drought-tolerant crops seeds;
- animal vaccination programmes, including mass vaccination based on disease surveillance through the Department of Agriculture and Livestock;
- monthly provision of sanitary towels to all girls in classes 4–8 in primary schools and forms 1–4 in secondary schools in the county, covering 18,000 beneficiaries, with a budget of KES 10 million per year;
- education bursaries for select secondary school and college students (boys and girls); the financial year 2015/16 budget allocation was KES 30 million; financial year 2016/17 budget is KES 70 million;
- cash transfers to persons with severe disabilities and cash transfers to orphans and vulnerable children.

Stakeholders are involved at all the stages of design and implementation of safety net programmes. Guidelines for nationally coordinated programmes, e.g. the Cash Transfers to Persons with Severe Disabilities and the Cash Transfers to Orphans and Vulnerable Children, have been developed. At county level the Agriculture Act lays emphasis on ward officers working with local committees to identify beneficiaries for subsidies, like the provision of free seeds. In addition, school heads are involved in design and implementation of a sanitary towel provision programme. The planning department carries out annual evaluations of programmes to assure their quality. Both Save the Children UK and UNICEF were engaged in the design of the sanitary towel project.

There is a disconnect between county government, national government and development partners as far as data management is concerned, and a consolidated reporting structure for all safety net programmes and functions in the county is required. Currently, the Commission for Revenue Allocation, through European Union financing, is helping the county government to track indicators for all sectors. Development partners could also assist in developing strategies and guidelines for targeting and registering beneficiaries for safety net programmes.

The county uses its officers at the ward level (administrators) to identify the areas and numbers of people requiring assistance, and the type of assistance. They work together with local committees to review reports or requests. Although this approach is participatory, it is unclear whether it balances emergency planning with ongoing projects and if there are areas with gaps, as there is no documentation that can be referred to.

Except for the Cash Transfers for Persons with Severe Disabilities and educational bursaries, which use forms with guiding questions for the registration of beneficiaries, safety net programmes (like that of agriculture seed subsidies) do not have targeting methodologies. There are also no structured guidelines for particular assistance modalities at county level, although these do exist at national level. To improve current targeting mechanisms, it would add value to support the county to develop structures and procedures for introducing safety net programmes (whole programme cycle and guidelines for each stage).

The education bursary programmes have structures at county, sub-county and community level, whereas the Cash Transfers for Persons with Severe Disabilities programme is managed directly from the county to the community. The constitutional 30 percent gender rule is

applicable at the county level. There is disability mainstreaming in all programmes, and performance contracting also acknowledges gender considerations.

While there are structures that assess and adapt lessons learned, there is a need to strengthen and enhance these and to design a model for programming and systems, including data management, reporting, learning innovations and adaptation. Historical data for programmes is available at departmental level and because of this fragmentation it is not possible to obtain integrated information from a single source.

NDMA is currently responsible for early warning in the county; hence there have been no explicit plans to develop county government capacity in this area. The dependency on NDMA may result in serious gaps in the future if NDMA cannot sustain its services. This will depend on the future distribution of roles between the national and county governments in disaster risk management. Furthermore, NDMA – in line with its mandate – focuses its work on droughts, which leaves gaps with respect to other significant hazards in the county.

With respect to food security assessment, the county has attempted to support the exercise when gaps – in particular in terms of lack of funds – appeared. Due to lack of funding, only one of the two planned annual nutrition surveys could be carried out. It is felt that at the county level, funds provided by partners for food and nutrition security assessments are diminishing rapidly, as partners are redirecting their resources in the expectation that the county government would step into this mandate. This, however, has not yet happened.

The technical capacity of the county to participate meaningfully in food and nutrition security assessments is limited. While there are sufficient staff to participate, few are adequately trained in assessment methodologies and tools, and staff turnover is high.

Early warning information triggers food and nutrition security assessments. These assessments, in turn, provide the numbers of people in need of assistance and their location, which forms the basis for response analysis and planning. There is thus good linkage between early warning and food and nutrition security assessments, and between the latter and emergency response mechanisms.

However, there are important gaps in terms of how early warning triggers funds for response. While the Drought Contingency Plan includes a clear procedure of how the county can access funds from the National Contingency Fund, something similar would be needed with respect to the county's own funds – and for resources provided by partners. To improve this situation, the county would have to set up its planned county contingency fund – including clear procedures for accessing it. In addition, the county could discuss with its partners to which extent and under which circumstances these would be able and ready to commit complementary contingency funds to make access to funds more predictable and allow a better planning of priority response actions.

The county's capacity to plan and implement emergency response was deemed to be inadequate, especially pertaining to supply chain management⁹. Procurement procedures laid out by the Public Procurements Act are lengthy and elaborate, yet the county has no readily accessible food reserves and stocks of non-food items for rapid emergency response. Whereas the National Cereals and Produce Board has a depot at the county headquarters, there were no strategic food reserves at the time of the assessment, and there was no memorandum of understanding concerning the provision of storage space for the county except with

⁹ At the time of the capacity gaps and needs assessment it was not possible to discuss the capacity for implementing cash transfers with the relevant officers. Information on this area will be obtained during the ensuing work with the county government.

ALDEF. While most of the more remote areas become inaccessible in the event of flooding, the county has no storage facilities for pre-positioning of food and non-food items at the sub-county level. With respect to contracting service providers (e.g. for food and non-food-item transportation and distribution), rapid activation contracts and standard operation procedures would be effective means to enable rapid and adequate response. However, such contracts and standard operating procedures are presently not in place. This gap risks serious bottlenecks for most stages of emergency response, and would thus significantly compromise the effectiveness of an emergency response. A comprehensive logistics capacity assessment of the county for emergency response purposes could provide the basis for identifying the most important gaps and priority action to address them.

The County Disaster Management Act of 2014 outlines that the Disaster Management Directorate will coordinate and lead all emergency response activities. However, the directorate at present only comprises five staff for the entire county, out of which only three have been trained in areas related to disaster management. The present technical and operational capacity of the Disaster Management Directorate is therefore inadequate to execute its mandate. There is thus a need to invest in this institution for it to effectively deliver on its mandate. This investment is foreseen to be in the form of staffing levels, systems (potentially including equipment), skills training and, not least, sustainable budgetary allocations.

Early warning and food and security assessments are presently functioning, although dependent on NDMA and partners. There are good links between early warning and assessments and response mechanisms.

The main observed weaknesses include the following:

- There is no coordination with other safety net programmes in the county, i.e. the cash transfer to orphans and vulnerable children, to older people and to people with severe disabilities programmes.
- Establishing the county's own capacity to complement NDMA with respect to early warning is presently not prioritized. This may cause serious gaps in the future. Both national and county government institutions have clear mandates. In the event that NDMA funding ends, it is envisaged that the county gradually absorb NDMA's capacities under its budget. Since NDMA's engagement in the county is multi-sectoral, the emphasis should be on ensuring there is better understanding of how early warning systems and bulletins can be used for decision-making.
- The capacity of the county with respect to food and nutrition security assessments is limited, both with respect to funding and the technical skills of its staff.
- With respect to a surge in demand of safety nets in the case of an emergency, the county mainly depends on the Hunger Safety Net Programme and other national or partner programmes. The sustainability of this reliance is questionable. The county has limited capacity to implement its own cash- or food-based safety nets or response programmes.
- There are at present no systematic and formalized guidelines for safety nets or emergency response analysis, planning, preparation and implementation that would assist understanding in, e.g., which cases the county should use cash responses and in which it should

distribute food, how beneficiaries should be targeted and registered, how food should be distributed in a transparent and accountable way, how cash transfers should be carried out, and how county programmes should be monitored and reported on. In consequence, the relevant units and staff have limited capacities to carry out these tasks effectively in a structured, harmonized and transparent way. The capacity to engage partners to implement – rather than the county directly implementing – programmes is critical.

- The directorates for disaster management and for peace will require increased resources to adequately sustain emergency preparedness and response activities in the future.
- There is presently no explicit and formalized guidance for targeting and registering beneficiaries. This may increase the risk of conflicts and overlaps with other (national or partner) programmes and compromise the efficient use of safety net and emergency response resources.
- The capacity to implement rapid emergency response is limited by the absence of strategic food and non-food-item reserves, accessible storage for pre-positioning at sub-county level, and the absence of rapid activation contracts and standard operating procedures.

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

The county government's long-term strategy for safety nets at the national and county level are outlined in the annual work plans and CIDP.

The projected national funding for safety nets is currently stable and expected to increase gradually. The national government is providing resources for the Cash Transfers to People with Severe Disabilities and the Older Persons Cash Transfer programmes; whereas the county government has also mobilized resources for the Cash Transfers to People with Severe Disabilities programme (2015-16 budget was KES 10 million; 2016-17 budget is KES 12 million with 175 beneficiaries) as well as for the county-wide provision of sanitary towels for girls in all public primary and secondary schools and for communal toilet construction by the public health and sanitation section of the Department of Health, with support from development partners.

The County Department of Finance and Economic Planning has a resource mobilization unit. The county is advocating increased funding/budgetary allocation for safety nets and redefining safety nets and timeframes to ensure that the allocation of funding can be prioritized. Funding by donors to NGOs has decreased, in part because of the perception that the devolved government has changed its structure and is more responsive.

The CIDP recognizes the important role of civil societies and emphasises the creation of awareness of public rights and privileges. The respective departments have, however, not made deliberate steps to engage or increase their reach to the community. Learning has been realized in the past but the processes have been largely undocumented, highlighting the need for a common information dissemination mechanism at all levels of administration.

Civil society is committed to contributing capacity and resources during periods of emergency response. Although some flexibility in response to changing demands is available – as the CSG is capable of advising or amending planned activities to direct resources to the most vulnerable groups – the allocation of resources can

be patchy. A more sustainable source of funding is required, with a harmonized financial plan by all actors to give an even resource distribution across the county.

Early warning and food and nutrition security assessments currently receive little political attention. This is to some extent due to the limited understanding of decision-makers and county stakeholders of the concepts, processes and tools used, and how they influence the shape of response action and access to funds. Policymakers need to be sensitized on these issues so they allocate a higher priority to strengthening the county government capacities.

The establishment of the county Disaster Management Directorate as well as the Directorate for Peace bear witness to the county government's commitment to sustain emergency preparedness and response activities in the future. However, limited available resources for these institutions as well as the absence of a clear strategy remain a challenge.

Community participation is at present not systematic and structured, and the community roles and responsibilities in emergency preparedness and response (including contingency planning, preparedness action, and response preparation and implementation) are not yet sufficiently defined to ensure sustainability.

The learning and knowledge management systems currently in place do not have mechanisms for dialogue on best practices and after-action reviews to capture lessons learnt and improve future emergency response programme design and implementation. At present, there is only a certain degree of reporting and little discussions at the CSG, although there is a systematic approach to knowledge management and learning. The learning process must be structured to ensure improvements of future interventions based on feedback from ongoing and past interventions.

The technical team observed that at present, safety nets and emergency response implementation are not monitored by the county monitoring team. The efficiency and effectiveness of the response activities can therefore not be determined objectively. There is a need to develop a framework and standards for monitoring county safety nets and emergency response activities and for disseminating monitoring information to all stakeholders. This would enhance accountability, learning and improvement.

While there is good involvement of civil society and partners, and the county has the capacity to design meaningful safety nets and response programmes, a number of important gaps prevail.

The main observed weaknesses include the following:

- Engagement by civil society to augment its capacity to reach the community is lacking.
- No documentation takes place of lessons from previous programmes to inform improvements of ongoing/new safety net programmes in the county.
- No clear strategy exists for sustaining safety nets or emergency preparedness and response in the county.
- Activities for the prevention and mitigation of and response to hazards other than drought have yet to be formulated.
- The complementary provision of capacities and funds from partners is not structured and predictable. Already the National Treasury has introduced a mechanism that enables development partners to report on their investments/contributions to various programmes through relevant ministries. Strengthening the



WAJIR COUNTY

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

coordination function of the Disaster Management Directorate and humanitarian coordination would streamline reporting on partner activities.

- County-level decision-makers and stakeholders have a limited understanding of early warning and food and nutrition security assessment concepts, processes and tools and their importance in shaping and enabling meaningful and adequate response programmes.
- Communities are involved in early warning, food and nutrition assessments and response implementation; however, this is not systematic, and feedback provided to communities is limited.

- There is currently no comprehensive framework for monitoring county safety nets and emergency response and for disseminating and discussing their results. In addition, the analysis of available information is limited, and the county does not systematically carry out after-action reviews with stakeholders and partners. This impedes an objective assessment of the efficiency and effectiveness of programmes and of learning lessons and improving.
- There are no inter-county forums that can assess issues across counties that have a bearing on hunger; the roll-out of the Ending Drought Emergencies Common Programme Framework at county level may be an opportunity to address this.

4

PROPOSALS FOR
CAPACITY SUPPORT

The following activities are proposed to address the capacity gaps in food security safety nets and emergency preparedness and response in Wajir. These activities are not yet prioritized and, once validated by the county, will need to be elaborated in detail.

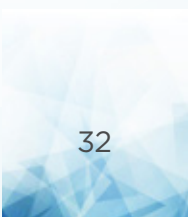
1. Assist in the discussion and preparation of a county strategy on how safety nets will complement national/partner programmes and their interrelationship with emergency response and how county programmes will be sustained.
2. Assist with the elaboration of a resource mobilization strategy; this could include a plan to increase the share of the county budget to be dedicated to emergency preparedness and response.
3. Assist with mapping national policies to be cascaded to county level and support preparation of relevant county policies.
4. Oxfam will support the preparation of a county disaster management policy and plan, and WFP will provide complementary support.
5. Map concrete county documents (contingency plan, strategies, regulations) that require updating, and support updating plus capacity for future updating.
6. Assist in either a review of the present contingency plan with a view to incorporating additional hazards, or assist in the preparation of a contingency plan for all significant hazards other than drought.
7. Assist in mapping of coordination structures and institutions with respect to safety nets and emergency preparedness and response, and support the formulation of a clear guide on their respective mandates, roles, and interrelationships.
8. Clarify methodologies for rapid assessments, and train relevant staff in their use.
9. Assist in the preparation of standard operating procedures and/or guidelines for
 - county response analysis (food and cash)
 - food assistance planning (commodities, quantities, locations, transport, storage, distribution)
 - logistic capacity assessment
 - pre-qualification of contractors, stand-by agreements, rapid activation contracts
10. Assist in the establishment of a county-based integrated information database for food and nutrition security assessment.
11. Assist in devising a strategy and tools for systematic communication with and involvement of communities with respect to early warning and food and nutrition security assessment, contingency planning, preparedness activities, etc.
12. Assist in the elaboration of guidelines and procedures for use by the county contingency fund - including its interrelation with safety nets and e.g. resilience building.
13. Support the technical capacity of relevant units to coordinate safety nets and emergency response.
14. Strengthen the technical capacity of county government staff to carry out food and nutrition assessments and contingency planning, which is currently conducted by NDMA.
15. Support the technical capacity of county units and staff to implement safety nets and response programmes, e.g. development guidelines for



WAJIR COUNTY

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

- planning (including identifying target groups, eligibility criteria, processes and standards for targeting and registration) and implementation (step-by-step guide, contracting, monitoring and reporting).
16. Facilitate a discussion on establishing strategic reserves of food and non-food items and storage facilities at sub-county level, which could be obtained through a memoranda of understanding with the National Cereals and Produce Board or in partnership with private developers.
 17. Assist in the sensitization of county decision-makers and stakeholders on early warning and food and nutrition security assessment concepts, methodologies and tools, and their importance for response programmes.
 18. Assist in a discussion between the county and its partners on how complementary capacities and funds can be integrated in a framework that makes contributions more predictable.
 19. Assist in the preparation of comprehensive work plan for the Disaster Management Directorate and the Directorate for Peace as a basis for advocating the provision of adequate funding of their functions.
 20. Assist with the preparation of a monitoring framework for county safety nets and emergency response programmes, e.g. standards and tools for monitoring, reporting, analysis and discussion of results, feedback into planning.
 21. Support the technical capacity of a county unit to monitor and report on all county safety nets and response programmes, and to manage knowledge and promote learning.



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 was 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, i.e.

- 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 the Table 2.

Table 2 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 the 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 3. 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 score for **hunger governance indicator 1 (policy and legislative environment)** is

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

A higher score could be achieved if i) the relationship between county safety nets and response programmes and those provided by the national government and partners was clarified; ii) thresholds for what constitutes a national emergency were established with a clear indication of what this means in terms of support (capacity and funds) to be expected from national level; iii) resources available at county level for the preparation of policies and bills, etc. were adequate; iv) all relevant national policies were cascaded to the county level; v) the county disaster management policy and plan were

prepared and approved; vi) hazards other than drought were also covered by a contingency plan; and vii) the county contingency plan, as well as relevant strategies and regulations, was updated.

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

- **2.6** for safety nets and
- **2.3** for emergency preparedness and response (2.7 for early warning and food security assessment and 1.9 for humanitarian supply chain management).

A higher score could be achieved if i) the respective roles of national and county government institutions were clarified, in particular with respect to early warning and food and nutrition assessments, contingency planning and emergency response; ii) the mandates, roles and interrelation of different coordinating bodies were clarified and harmonized; iii) methodologies for rapid assessments were clarified; iv) information on food and nutrition security assessments was systematically integrated in an accessible database; and v) the county had a strategy and tools for effectively communicating with communities and involving them in early warning, food and nutrition security assessments, contingency planning, and preparedness activities.

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

- **2.0** for safety nets and
- **2.3** for emergency preparedness and response (2.7 for early warning and food security assessment and 1.9 for humanitarian supply chain management).

A higher score could be achieved if i) the county had more resources readily accessible for emergency response and – if

prioritized – for preparedness and mitigation activities, including resilience building; ii) a clear and realistic resource mobilization strategy was in place; and iii) a county disaster contingency fund was established with clear and transparent rules and procedures for its use.

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

- **2.4** for safety nets and
- **2.1** for emergency preparedness and response (2.0 for early warning and food security assessment and 2.1 for humanitarian supply chain management).

A higher score could be achieved if i) there was better coordination between county and national safety nets based on access to and use of information from the national single registry; ii) the future complementary roles between NDMA and the counties was clarified, and the county was equipped to play its role with respect to early warning, food and nutrition security assessments, and contingency planning; iii) there were clear guidelines for response analysis (e.g. identification of target groups, assessment of cash or food transfers); iv) there was planning for the provision of cash or food assistance; v) relevant units and staff were trained and equipped to implement the guidelines on response analysis; vi) the Disaster Management Directorate and the Directorate for Peace had adequate (technical and financial) resources to sustain their tasks and programmes; vi) the extent to which the county requires strategic reserves of food or other items,

including sub-county storage facilities (or reliance on rapid activation contracts), is clarified; and vii) depending on the outcome of the above assessment, the county had the capacity to ensure the required preconditions.

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

- **2.0** for safety nets and
- **2.2** for emergency preparedness and response (2.4 for early warning and food security assessment and 1.9 for humanitarian supply chain management).

A higher score could be achieved if i) the county had a strategy for sustaining its safety nets and response programmes, including, e.g. resilience building; ii) the county had a formalized framework for complementary contributions by partners that would make these more predictable; iii) county-level decision-makers and stakeholders were fully aware of the concepts and processes in early warning and food and nutrition security assessment and their influence on response programming; iv) communities were more actively involved in early warning, food and nutrition security assessments, contingency planning and preparedness activities and information obtained is fed back to them in a more accessible way; and v) monitoring of safety nets and response programmes was based on a comprehensive framework and standards and monitoring information was managed in a way that promotes learning and improvement.

Table 3 Hunger governance indicator and county capacity scores – Wajir

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	2.0	3.5	2.0	3.0	2.0
CCC 2	3.0	2.3	1.0	2.0	-
CCC 3	3.0	2.0	2.0	3.0	1.0
CCC 4	2.0	3.0	3.0	2.0	3.0
CCC 5	2.5	2.0	2.0	2.0	2.0
Hunger governance indicator	2.5	2.6	2.0	2.4	2.0
Overall baseline for safety nets	2.3				
EARLY WARNING AND FOOD SECURITY ASSESSMENT					
CCC 1	2.5	2.8	2.5	2.0	-
CCC 2	2.0	3.0	2.5	2.0	2.5
CCC 3	3.0	2.3	3.0	2.0	2.2
CCC 4	-	2.5	-	-	3.0
CCC 5	3.0	-	-	-	2.0
Hunger governance indicator	2.6	2.7	2.7	2.0	2.4
Overall baseline for early warning and food security	2.5				
HUMANITARIAN SUPPLY CHAIN MANAGEMENT					
CCC 1	2.1	2.0	2.0	1.5	2.0
CCC 2	1.6	1.9	1.7	2.1	1.7
CCC 3	2.8	1.8	2.2	2.4	2.2
CCC 4	2.0	1.6	1.5	2.4	2.0
CCC 5	2.4	2.0	2.2	2.3	1.6
Hunger governance indicator	2.2	1.9	1.9	2.1	1.9
Overall baseline for humanitarian supply chain management	2.0				
EMERGENCY PREPAREDNESS AND RESPONSE					
Hunger governance indicator	2.4	2.3	2.3	2.1	2.2
Overall baseline for emergency preparedness and response	2.2				
COMBINED SAFETY NETS AND EMERGENCY PREPAREDNESS AND RESPONSE					
Hunger governance indicator	2.5	2.4	2.1	2.2	2.1
County capacity indicator	2.3				

Note: CCC – core capacity characteristic

ANNEX 1: WAJIR 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>Yes it is reflected.</p> <p>The CIDP and Sectoral plan for youth, education, gender and Social services.</p> <p>There is a budgetary allocation for persons with disabilities.</p> <p>Trade department has a revolving fund for youth and a 10% allocation for special groups is provided inform of grants which they return with interest. There's need to embrace the need and provision for safety nets in the county.</p>	2.0
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?	<p>CIDP- Makes reference to social protection under Culture-page 3. The counties Mission and vision with regards to Safety nets is also outlined in the CIDP.</p> <p>Sectoral plans- Each sector has their own sectoral plans.</p> <p>The Environmental sectoral plan- outlines the sustainable use of dryland biological resources- environmental protection and conservation e.g. bushfire protection, discouraging illegal logging and sensitization on environmental degradation.</p> <p>It also stipulates the development of renewable energy- solar biogas and wind energy and the development of environment and natural resources policies and bills.</p> <p>Hunger Safety Net Programme. Provides support to approximately 7000 households. Other social safety nets provided at the county level include free vaccination for livestock, free seeds to farmers, subsidized ploughing etc.</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?	<p>CIDP was done in 2013, it is currently under review and being updated. Review process for the CIDP is multi-faceted, inter-departmental.</p> <p>Review was triggered by planning process and devolution changes hence the need for an evaluation of targets and progress for the county so far.</p>	
1.c	Which are the roles foreseen for national/county level actors based on above listed development plans, policies, strategies, laws?	Outlined in CIDP.	
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?	County discourages dependency and prefers productive safety nets. Contingency plans are in place but under the department of Disaster management.	
1.e	Do relevant instruments include clear objectives and targets related to relevant SN indicators?	Safety net programmes in the county are being implemented by national and county governments, NDMA and other organizations e.g. Kazi kwa Vijana. The county government discourages free transfer programmes and has a bias towards productive safety nets. The objectives are stipulated at the national government level.	
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?		

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? (CCC2)	<p>Stipulated in Wajir Disaster management bill: emergency preparedness response is identified as a priority for the county. County makes provision for funds, how and what percentage (1.8% of county government budget)</p> <p>County needs are well identified.</p> <p>Addressing the needs is limited by financial resource constraints. Most of the pressing needs are emergencies. A plan for addressing the needs is not well articulated in the instruments.</p> <p>In environment under climate change adaptation, there are committees at all levels and a fund allocation for the county in collaboration with NGOs in the county. Lead departments include Environment, Agriculture and NGOs such as ALDEF- Arid lands Development Focus and other member departments. These committees have plans and policies already approved by the county government. For example in the emergency El Niño mitigation programme, funding was contributed by departments (e.g. education, health, and transport) that totaled KES 100Million.</p>	3.0
2.a	For SSN and PSN, 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)? For PSN, which selection criteria are effective?	<p>The vulnerable groups identified so far are Orphans, persons with disabilities, elderly, people affected by drought, those who lost livestock through drought etc. The Disability act from NGOs guides selection of PWD.</p> <p>There are committees from local to departmental level used to identify the affected population in emergency and non-emergency situations. The county-level act for bursaries identifies selection of beneficiaries for the bursary fund.</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?	Yes, there are gaps, exclusion inaccuracies are rampant attributed to limited budgetary allocations. Targeting is based on severity of the emergency or need. The funds allocated are not adequate to cater for all the vulnerable groups and populations.	
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)?	Yes. Need to review legislation and look at the economic sustainability of the programmes to the affected populations. Current policies e.g. procurement are lengthy and time consuming thus slowing down the implementation process. Legal limitations and bureaucracy also limits the implementation of certain policies.	
2.d	Are intentions and policies supported by adequate legislation and regulations, and translated into action plans with clear responsibilities, results frameworks and timelines?	No. Need to enact legislation and regulations for productive safety nets at the county level as most of the safety nets rely on the national level legislation and policies, which are not necessarily interpreted adequately at the county level.	
2.e	Are the relevant instruments being implemented? State for each identified instrument?	<p>Yes available instruments are used in implementation. The sectoral plans and CIDP form the framework for implementation at the county level.</p> <p><i>Provide list of NGOS and what they do.</i></p>	
3.	When devising safety net instruments, both in emergency and non-emergency situations, how has the county 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>CIDP identifies stakeholders and their roles in promoting safety net programmes. <i>Provide a list of stakeholders</i></p> <p>Possible support: Mechanism for ensuring partner information is available to the county-who, where, what, how.</p>	3.0
3.a	Which sectors and non-state partners are reflected in the relevant policies and strategies addressing needs of SN affected groups?	Education, environment, ALDEF, metrological departments, WFP, ASDP-Agricultural Sector Dev Programme, DPA-District Pastoral Association, NDMA, Islamic Relief, Oxfam, Equity Bank.	
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>The county government established a Directorate under Public Service / Special Programmes for coordination of all NGOs and response to emergencies and disasters. The directorate holds quarterly NGO meetings. There are also other coordinating bodies like the county steering groups and sector working groups.</p> <p>Public private partnerships (PPP) are stipulated in CIDP but not yet implemented.</p> <p>Challenges- no challenges identified so far.</p>	
3.c	Do the relevant documents include mechanisms for partner coordination/policy dialogue? If not, is there a need?	<p>Coordination is stipulated in terms of strategies in the instruments identified: CIDP and sectoral plans.</p> <p>Waste management strategy is being implemented by the town administration on a daily basis. Community involvement in the process is yet to be mainstreamed in the environmental waste management strategy.</p>	

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)	Instruments-Constitution, bill of rights, Vision 2030-Social Pillar, MDGs Possible support: Breakdown the policies and acts at different levels of implementation. Technical capacity needed for alignment of policies with county policies.	2.0
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?	CIDPs makes reference to the constitution and Vision 2030	
4.b	Are county level plans and strategies aligned with national SN and relevant sector policies?	County plans/policies not linked to Safety Nets policies though team acknowledges the need for the linkage. The county Gender and Social protection Policy is being drafted through Mercy corps.	
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)	Instruments: Sectoral plans and CIDP CIDP is a living document with a 5 year term that undergoes a review process mid-term after every 2.5 years. Possible support: Some under county and national level. County is self-sufficient in terms of responsiveness while national is latent. Low linkages between the disaster and safety net policies at the county. Linkages on data sharing from assessments and safety nets/ disaster units.	2.5
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?	No. Timeliness is dependent on the resource allocation which has not been consistent nor timely in the past and present.	
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?	Yes. Through the annual development plan review, fiscal strategy paper, county budget review and outlook paper. All feed into the CIDP and other sectoral plans outcomes.	
5.d	Are relevant SN policies and strategies updated regularly in line with changing conditions, needs and global evidence?	No. Need for legislation and policies to guide this process. Actual revisions are based on the needs.	
Aggregate score for HGI 1:			2.5

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)	Yes. National: Ministry of Labour and Social Security and Services, Ministry of sports and culture, County: two departments	3.5
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?	At county level <ul style="list-style-type: none"> Department of Education, youth gender and social services (deals with vulnerable groups all the time-non emergency). Department of Public Service, Special programmes and Decentralized units (handles emergencies, disaster and conflict management). The two departments handle different target groups. They do not overlap or contradict in their mandates but rather complement each other.	
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?	Yes in terms of mandate, but coverage is limited by resource constraints. The main gap is that gender and social services are overshadowed by education priorities. Most of the social services functions are not devolved while education (at the early childhood development centre level) and gender are devolved hence there are coordination and prioritization gaps. Activities in the non-devolved functions rely on decisions and activities calendar from the national government which intern undermines the implementation process.	

NO	QUESTION	COUNTY	SCORE
1.c	Who is in charge, responsible and accountable for which tasks?	<p>↓ National-County Director</p> <p>↓ County: County Executive Committee-policies and oversight</p> <p>↓ Chief Officers- Budgetary and accounts</p> <p>↓ Directors- Implementation-Technical support</p>	
1.d	Who bears overall responsibility for the institution's performance?	County Executive Committee signs the e-performance contracts and are in charge of performance management.	
1.e	How is leadership chosen and defined?	County Executive Committee and chief officers are appointed by Governor Directors are recruited by Public Service Board	
1.f	What is the reporting structure?	<p>↑ Governor</p> <p>↑ County Executive Committee</p> <p>↑ Chief officers</p> <p>↑ Director</p> <p>↑ Officers</p> <p>↑ Departmental positions specific to each role. Some have sub-county and ward officers in that order.</p>	
1.g	Does the institution (or any of the institutions) have a specific food security and nutrition mandate/focus? If so, which?	Yes. The Department of Education has a nutritional aspect under the school feeding programme but the county doesn't have the capacity to feed all the schools. The nutrition mandate is core in health only.	
1.h	Has there been a historical evolution of the mandate? If so, how and why?	Yes. The mandates have had significant changes since inception of the devolution process.	
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)	<p>Yes. There has been significant growth in the institutions. The officers mentioned above assumed their roles in 2013. There was recruitment of staff at the county level – the early childhood development centre unit inherited staff 10 from the national government, officers were 16 but currently the staffing has grown to approx. 80 Gender and Social services has 5 staff in total. Social Services and Gender are national functions with minimal mandate and coordination at the national level.</p> <p>The limit of departments (10) forces other departments to merge and hence some departments overshadow others both in mandate and priority. Funds allocation is imbalanced across the inter-departments undermining the growth and size of some departments.</p> <p>Possible support: Definition of coordination mechanisms at national and county level and common understanding on technical aspects of social safety net programmes.</p>	2.0
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>Non-Emergency-Department of Education, youth gender and social services (EGYSS).</p> <p>Emergency- Department of Public Service, Special programmes and Decentralized units (disaster and conflict management).</p> <p>Staff and knowledge is efficient, but the systems are inadequate for efficiency in both emergency and non-emergency situations.</p> <p>Possible support: Enact legislation and policies. County involvement/input in national contingency planning.</p> <p>Support systems in agriculture.</p>	
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.	<p>For Emergency and Non-Emergency-Quarterly budget reports are available. Review is done annually.</p> <p>IFMIS systems and structures limiting efficient and timely benefits. Direct procurement clause – to check in the public procurement act 2005</p>	EGYSS: 3.0
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? Are preparedness measures in place e.g. fire, earthquakes?	<p>IFMIS and Procurement procedures requiring competitive tendering procedures. Defining the strategic reserves, prepositioning of resources and equipment in emergency situations is non-existent for emergency assistance planning. E.g. the National Cereals and Produce Board has no food for the last two years in preparation for drought mitigation.</p> <p>For productive safety nets inadequate provision of equipment, seeds and farm inputs.</p> <p>Emergency equipment are also non-existent e.g. Firefighting equipment.</p>	Public Service, SP and DU: 2.0 Agriculture: 2.0
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.)?		

NO	QUESTION	COUNTY	SCORE
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) Membership not clearly defined, review available terms of reference if any...enforcement of agreed action is weak?	Emergency: A coordination committee consisting of relevant officers from each department is set up. Both multi-sectoral and multi-stakeholder. Non-emergency: Currently, no coordination mechanism exists that's solely dedicated to safety nets. Specific line departments take coordination roles, however, it is not multi-sectoral and multi-stakeholder. The Office of Disaster and Humanitarian coordination trying to revive the coordination structures.	2.0
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)	For county government programmes there is an annual evaluation of programmes. County has no specific county led social safety net but has productive safety net programmes e.g. provision of fertilizers, farm inputs and ploughing and the bursaries fund. Possible support: Putting in place specific sector coordination mechanisms. Intergovernmental cooperation and coordination especially in relief assistance.	3.0
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?	Instruments for guidance: Policies and Bursary act. Starts at the ward level in the ward committees that sit and deliberate on the needs and coverage. For bursaries and revolving fund, application forms are issued that are used to assess the needs/vulnerabilities. For productive safety nets, the coverage is blanket according to available resources.	
5.b	Are there clear targets for the coverage of programmes and the performance of safety net related institutions?	No. The coverage and distribution is based on availability of resources. No standardized criteria for determining coverage.	
5.c	Is the performance of safety net related institutions monitored? How?	Efficiency and monitoring unit is responsible for joint monitoring with directors and County Executive Committee. The economic planning unit of finance is responsible for fiscal evaluation. Quarterly monitoring reports are generated from the monitoring findings.	
5.c	Are there internal or external evaluations of institutional performance? If so, who carries them out and with which frequency?	No external evaluations. Annual internal evaluations are carried out.	
5.d	Are the results of institutional monitoring and evaluation systems readily accessible and available?	M&E System exists under the efficiency and monitoring unit.	
5.e	What are their findings? Are there dissemination mechanisms to take action on recommendations coming out of these findings?	Findings are shared in executive committee meetings for action.	
5.f	Do internal and external findings correspond? If not, why not and in which areas? If applicable, which measures could be undertaken to improve correspondence?	No external evaluations. Internal evaluations are carried out by the monitoring unit as well as the audit unit.	
5.g	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?	Sub county officers and chiefs and ward administrators are used to address issues and share feedback with the community. No direct feedback mechanism.	
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)	Possible support: Strengthen the departments' technical capacity on appropriate technologies for water harvesting for rain-fed farming and uptake of technologies in communities.	2.0
6.a	Are there examples where adaption to changing needs worked – or did not work?	There is a rapid change from growing cereals to vegetables, as well as exploring different rain water harvesting methodologies e. g digging wells etc. Water melons farming for commercial purposes has been taken up by farmers. In annual monitoring reports, the recommendations are reviewed and programmes amended to adopt the recommendations.	
6.b	Do (es) the main institution(s) have an adequate risk management system that is adaptive to exogenous shocks?		
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?		

NO	QUESTION	COUNTY	SCORE
6.d	What have been the key programme revisions and modifications of the main institution(s)' mission, and why/when did they occur?	Change from growing cereals to vegetables, exploring different rain water harvesting methodologies e. g digging wells etc. Water melons taken up by farmers. This changes occurred have gradually occurred over the last 5-6 years mainly in subsistence farmers. Change and adaptation from greenhouses to shade nets.	
6.e	Are the learning/professional development needs of staff provided for? If so, how?	Staff is provided opportunities for training...The information is in the departments and can only be accessed through the departmental heads.	
6.f	Is the institution's level of technology appropriate to carry out its functions? Are there any updates to be made?	Technology is inadequate. Water harvesting systems adaptation is low, there is continued reliance and use of underground water which is saline. Need for adoption of rain water harvesting technologies and rain-fed agriculture. The region has sandy soils which lead to high water seepage thus requiring high investment in lining to minimize water loss.	
Aggregate score for HGI 2:			2.6

HGI 3: Finance

1.	Does government at central and county level and partners have committed funding for safety nets? (CCC1)	Yes. Possible support: Carry out a needs assessment to establish the exact needs per geographic area	2.0
1.a	I.e. is there an established budget line for the function at national and sub-national level?	Yes. KES 30 million for disaster management, KES 10million for PWD KES 80 million for emergency fund, KES 10 million for sanitary towels	
1.b	Is there an established budget line to support food insecure communities to build resilience to droughts?	No budget for resilience. But the disaster budget is used for food security emergencies.	
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?	Yes the county government has allocated resources for safety net activities in the different departments with safety net mandates e.g. health, agriculture and education.	
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)	Coverage is <1.4% of the needs. Personnel and time is adequate. Technical knowledge is however at a minimum, county officers in the different departments will need capacity building on implementation of safety nets. Finance/funding available from both county and national is less than 20% of the needs. Possible support: Invest in agricultural production/Technical skills for county government, social services and welfare	1
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)	There has been an increase in budgetary allocation for persons with disabilities. Initially the amount was 5 million and was increased to 10 million.	
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?	The current budget is undergoing revision, the previous budget was 5M but has been increased to 10 million for the period 2014-2015.	
2.c	Are the funds foreseen for safety nets being disbursed to implementers in a timely manner and at the foreseen levels?	Not timely due to unpredictable disbursement plans that are constrained by delayed release of funds from National Treasury. Procurement procedures as well are lengthy thus slowing funds absorption	
2.d	Are there effective accountability structures and procedures that ensure the intended use of resources?	Yes, county internal auditor and external auditor. County assembly departmental committees periodically provide oversight by reviewing spending/fund utilization in line with existing legislation	
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)	Possible support: Strategies to attract more partners e.g. proposal development on safety nets	2
3.a	How were the existing safety nets funded over the past five years? (mix of contributors)	The current social safety nets are funded by the national government. County-led safety nets were funded by the county government for the past three years. Development partner safety nets are implemented independently with the county providing technical support and coordination.	
3.b	What was the share of the population identified to be in need of safety nets that actually received such assistance?	People with severe disabilities, 1.0%; orphans and vulnerable children, 5.7%; poverty level, 80%. The population receiving assistance is dependent on the funds allocations.	

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)	Emergency fund is flexible to geographical coverage, funds are reallocated to the needing wards//locations. There is no reallocation for safety net funds but rather the county mobilizes funds to address any unforeseen emergencies when they arise. Resource allocation is also based on population proportions and distribution with Wajir East getting the largest proportion. Possible support: Rating for county level down wards as there exists systems for resource allocation and mobilization. National government to county ratings to be determined by County Secretary	3
4.a	What is the relation between safety net resources provided by national and by county government?	They are independent and there is no overlap between the resource provisions for safety net programmes.	
4.b	How are county and central government contributions coordinated?	County Secretary or County Executive Committee finance to provide information national and county contributions.	
4.c	How do processes to arrive at resource allocations at the national/county level look like?	At the county level, funds/resources are apportioned to wards, with population size as a criteria. Once resources are allocated, it is not possible to review but what county does is to source for funds from other votes/sources. Different departments complement the national government resource allocation e.g. a wheel chair race organized by the government to raise funds was supported by county government through provision of wheel chairs, another example where county government provided caregivers, teachers and equipment for the deaf.	
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)	At first the safety nets was rolled out and later realized that needs were higher than anticipated. National government funding was increased to cover more populations to include the poor and those affected by drought through the Hunger Safety Net Programme and other cash transfer programmes. The information on the trends can be obtained from NDMA. Possible support: Assist with policies to enable adapt and resource allocation for safety nets; based on lessons from the provision of sanitary towels, the county intends to provide undergarments for children	2
5.a	How did identified needs vary over the past five years?		
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)	Resources have gradually been increasing for the period 2014-2015. However there is need to allocate more resources to safety net programmes to ensure sustainability.	
Aggregate score for HGI 3:			2.0

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 at all the stages/public participation and community engagement is ensures Guidance by Agricultural Act where the ward officers work with local committees in identification of beneficiaries for subsidy programmes e.g., free seeds School heads involved in sanitary towel programme design and implementation. Possible support: Sensitization of stakeholders on their roles	3.0
1.a	Answering this question might require retrieval of and comparison with relevant standards for safety nets and humanitarian assistance, e.g. SPHERE.	None were mentioned	
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?	National government protocols used in designing safety net programmes. Examples; Bursary Act (adapted from national guidance), Persons with Disability Act	

NO	QUESTION	COUNTY	SCORE
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.)?	National guidelines are implemented for programmes which are nationally coordinated e.g. the Persons with Severe Disabilities Cash Transfer and Cash Transfer for Orphans and Vulnerable Children programmes. At the county the county guidelines for Bursaries as well as the Agricultural act guidelines are used in implementation. Quality assurance evaluations done annually by the planning	
1.d	Provide examples of stakeholder involvement in the design, management and implementation of SN programmes.	Save the Children UK, UNICEF were engaged in the design of the sanitary towels project.	
2.	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? 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? Are there geographic areas that have notable gaps? (CCC2)	There are management systems in each department but they are not standardized nor digitized. There is need for a stakeholder mapping for all stakeholders in safety net programming for the county to know who is doing what, where, how and what is their coverage. There has been a disconnect between county government, national government and development partners in terms of data management. There is need for a consolidated reporting structure for all programmes and functions in the county. Commission for Revenue allocation through the European Union financing is helping the county government track indicators for all sectors. Possible support: Strategies and guidelines for targeting and registration of beneficiaries of the programmes. Template for revolving funds available but an information management system needed to be used by all safety net programmes	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?	Officers at the ward level (Administrators/ sectors) identify the areas requiring assistance, type and number of people. They work together with local committees to review reports / requests.	
2.b	How many people (and share of population) are assisted under existing safety nets (regular and emergency situations)?	<ul style="list-style-type: none"> • People with disability 146 who are severe out of 6,000 identified in the entire county • Orphans and vulnerable children • Seed distribution 3,000 farmers • Sanitary towels (upper primary & secondary) 2,500 out of 10,000 	
2.c	What is the share of people identified as being in need that is actually covered by present safety nets?	See above	
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?	People with Severe Disabilities Cash Transfer: 560 to 9,540 per sub-county (6 sub-counties) Cash Transfer for Orphans and Vulnerable Children: Target 3,000 Older Persons Cash Transfer: 200 to 550 per sub-county (6 sub-counties) Bursaries: target 400 million Hunger Safety Net Programme: 552 million	
2.e	Do existing government safety nets cover the most vulnerable areas of the county? How does that adapt to emergency situations?	Refer to previous section on funds allocation for the most needy locations	
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?	There are forms for persons with disability and bursaries. Other safety net programmes like agriculture do not have targeting methodologies.	
2.g	Are systems in place for the registration of beneficiaries of safety nets?	No system for registration	
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?	Not in place although template for revolving funds available but an information management system is needed for use in all safety net programmes	

NO	QUESTION	COUNTY	SCORE
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)	Community not involved in selecting programmes but for Monitoring & Evaluation entails talking with community to get their view. Animal vaccination programme is participatory from design to M&E.	2.0
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)	Possible support: Identify needs in terms of partners and engage with the relevant partners to support programmes with gaps	3.0
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?	Community members are involved. National government is involved in programmes implemented jointly e.g. for persons with disability. Government M&E units. Involvement of non-governmental organizations e.g., Arid Lands Development Focus (Aldef), Unicef and ASDSP-Agricultural Sector Development Support Programme.	
4.b	Which of these are sustainable?	Sustainability is pegged on resource allocation.	
4.c	Can they be increased?	Increased production and coverage is envisaged if there are partners who would support safety net activities	
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)?	For Bursaries, there is county-sub county and community level structures. While for the persons with disability it is direct from county to community. Use of application forms in both programmes	
5.	In your view, is the design and implementation of safety net programmes coherent nationwide? 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)	Possible support: Structure for introducing safety net programmes (whole programme cycle and guidelines for each stage)	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?	Person with disability programme is not tied to environment but condition or state of the affected person. Other SN e.g. bursaries are distributed to geographic areas	
5.b	Has the government planned and used different transfer modalities in the past years?	Previously there was a programme supported by Save the Children UK, that distributed animal products instead of pulses but the programme ended in unclear circumstances. Hunger Safety Net Programme provides cash transfers. National government provides cash transfers to persons with disabilities as well as older persons.	
5.c	Does the county have guidelines for using different modalities (e.g. general food distributions, asset creation, cash transfers)?	No structured guidelines for particular assistance modalities at county level but those are existing at national level.	
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?	30 % gender rule provided for in constitution is applicable at the county level. There is disability mainstreaming in all programmes and performance contracting also acknowledges gender considerations.	
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?	Gender is mainstreamed in all the programmes under social services.	
5.g	How resources (funds and food) are allocated, prioritized and reprioritized during an ongoing response?		

NO	QUESTION	COUNTY	SCORE
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)	Yes. Possible support: While there exists adaptive structures there is need to strengthen and enhance them as well as design a model for programming and systems including data management, reporting, innovations learning and adaptation.	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?	There is a monitoring system for productive safety nets that records inputs outputs and outcomes through the monitoring unit. Results presented in the quarterly and annual reports.	
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?	E.g. productive safety nets that provides seeds and farm inputs but due to low rains the production is low. Measures taken in case of failed rains/seasons includes alerting the disaster management department to provide assistance to the affected populations.	
6.c	Is historical data available to cross-check, learn from patterns in the past and launch projections?	Yes. Historical data is available but departmental. It is fragmented and hence not possible to obtain from a single source.	
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?	Technological adaptations do not currently exist but there are plans to adopt technology in future.	
Aggregate score for HGI 4:			2.4

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)	Yes. Long term strategy at the national and county level exist and are stipulated in the annual work plans and CIDP. However impact of implementing the sustainability strategy at county level is at initial stage of implementation. Possible support: Build technical capacities to ensure sustainability, enhance strong partnerships at national and county governments. The current funding is enough but not sustainable, need to intensify resource mobilization, increase allocation and enhance partnerships.	2.0
2.	Is the projected national funding deemed stable and are resources available for safety net programmes to ensure sustainability? (CCC2)	It is currently stable and projected to gradually increase. The budget has factored in part of the budget for safety nets. Ministry of Health in 2015 is constructing 50 toilets. In the annual dev plan the plan is to maintain the allocation for sanitary funds and increase the funding for persons with disability by 20%.	
2.a	What has been the level of resources for safety nets/ emergency assistance in the past five years?	No. Sometimes the funds for SN are re-allocated or withdrawn altogether based on availability. In 2014/2015, 5 million allocated for SNs was relocated. 2015-2016, 10 million have been allocated for SNs.	
2.b	What has been the share of resource requirements that has been covered in the past five years?	The funds have not been consistent and there are no standards in the allocation. The 10 million allocated have not been covered yet. In 2015, the 11 million allocated for sanitary pads were utilized.	
2.c	What has been the share of resources mobilized by national and county governments for these activities in the past five years?	The national government is providing resources in form of CT-PWD and OPCT. County government has mobilized resources for disabled, sanitary towels and toilet construction.	
2.d	What are the prospects for each of these questions in the medium-term future?		
3.	Describe the long-term partnership system (if any) including stable financing of safety net programmes in the county. (CCC3)	In planning department the resource mobilization unit is in charge of resource mobilization. Through the office of County Executive Committee finance. DFID, Sweden and Turkey are stakeholders interested in investing in Wajir county. Currently the prospects stand at 50 % of the needs. Possible support: Advocacy for increased funding /budgetary allocation for safety nets. Establishment of coordination mechanism that bring all p Partnership strategy that define/ redefine safety nets and timeframes to ensure county can prioritize which they can dedicate funding to and where they expect partner contributions	1.0

NO	QUESTION	COUNTY	SCORE
3.a	Are the roles and responsibilities of the community and civil society clearly defined?	Funding of activities by donors to NGOs has gone down more so because of the perception that the devolved government has changed its structure and is more responsive. The county government indeed have systems and commitment to budget for funding but the actualization is depended on resource availability which is unpredictable from National Treasury. With no long term partnerships in place affects stable financing.	
3.c	Are there any strategies in place to mobilize the civil society/communities at the local level (e.g. participatory approaches, outreach activities)?	The CIDP recognizes the important role of civil societies. <ul style="list-style-type: none"> • Creation of awareness on rights and privileges of the public • Management and promotion • The respective departments have however not made deliberate steps to engage the civil society to augment their capacity to reach community 	
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)	The chiefs are expected to convene periodic (monthly) meetings with communities to address issues affecting them, and other sectors use such opportunities to sensitize the communities on the sectoral issues. However, there was no indication that such meetings are frequent nor other departments synchronizing their plans to take advantage of them. Possible support: Improved information sharing between the administrators and government sectors to optimize on existing forum (Barazas); Advocacy for Safety nets be given due cognizance and priority agenda in Baraza	3.0
4.a	Are relationships with civil society organizations adjusted based on their strengths and weaknesses for partnership and programmatic needs?	Yes, the civil societies in Wajir are strong especially in the livelihood programmes. They also partner in undertaking some of the county government programmes.	
3.b	Are authorities able to balance the interests of all stakeholders?	Efforts are there to ensure all interests are covered however it is inadequate.	
5.	Elaborate how the county-specific mechanisms contribute to the country's / county's learning process with the safety net arena while encouraging participation of different actors (civil society, communities and the private sector). In addition, how are the lessons learned used in programme enhancement? (CCC5)	Possible support: Learning has been realized in the past but there's need to document the process, come up with an information dissemination mechanism for the county. Common platforms for information dissemination need to be explored at all levels of administration. Content should be reviewed to meet the needs of all stakeholders and the community. Civil society engagement should be enhanced and aligned to county activities.	2.0
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)?	Information is available with NDMA and can be shared if requested. Enhance, coordinate, mainstream all safety net information and structured in a simplified way for sharing with community. The information department can play key role in ensuring this proposal are included as key agendas in county priorities. Lessons learnt from implementation of safety nets should be used to inform linkage with other development programmes and build clear transition strategies so that the number of persons under safety nets are maintained at a manageable level within county resource. Civil society not carrying out their oversight role at the county as expected. Need for intensified advocacy.	
5.b	Are relevant monitoring reports disseminated to the relevant authorities?	Monitoring report for the 2014/2015 financial year is being prepared by planning unit and when completed can be shared on request.	
5.c	Are relevant monitoring reports disseminated to the general public?	Yes but not in a structured manner. Need to provide information sharing mechanisms at all levels and targeting the needs of the different population groups factoring in age, gender and vulnerabilities. Explore different dissemination mechanisms e.g., websites, media and other communication instruments.	
Aggregate score for HGI 5:			2.0

ANNEX 2: WAJIR 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)	<ul style="list-style-type: none"> The county is aware of national policies which include <ul style="list-style-type: none"> National Disaster Policy Kenya National Climate Change Action Plan Ending Drought Emergencies Common Programme Framework Legal notice that established National Drought Management Authority (NDMA) and the NDMA bill Special protection fund In terms of strategies, there is the national coordination structure of the Kenya Food Security Steering Group and the directorate of Special Programmes, which facilitates emergency responses. There is disconnect between the roles of the national and county governments as regards the policies and strategies as some of the policies were formed before devolution and they have not factored in the roles of the county governments. There exist gaps in the policies due to the unclear roles between national and county governments. For instance, it is said that the county government is the first in line of response in case of emergencies, however this is not explicitly stipulated in law or in policies Policies to address food security and disasters are often not disseminated to the grassroots Policies and strategies are there but are sticking to the same stakeholders but necessary to include others at the county level The instruments are not up to date for example the CSG which is the coordination structure in the county was carried from the existing structure and there has been no formal re alignment to institutionalize it to the new structure however it still serves with the new structure <p>Areas of strengthening:</p> <ul style="list-style-type: none"> The existing structures need to be strengthened, early warning and assessment recommendations are key to response and should be understood by the county governments. Generally the technical understanding of the CSG is weaker than when national government was leading. County government structure should involve the executive more to have the decisions of the CSG more binding. Application of policies and strategies and linkage to the county structures 	2.0
1.a	Which are they? List relevant instruments from the constitution to national development plans, policies, strategies, etc. as applicable		
1.b	Are these instruments up-to-date, e.g. do they adequately reflect the changing environment due to devolved government?		
2.	Has the county developed any county level policies, strategies and laws for Emergency Preparedness and Response? (CCC 1)	<p>Yes. There are efforts in terms of policies to enhance emergency response and these include;</p> <ul style="list-style-type: none"> Directorate of disaster management is in place County Integrated Development Plan, which is also aligned to Ending Drought Emergencies Common Programme Framework Creation of technical sectoral working groups which are sub structures of CSG to facilitate coordination at the sector level Livestock and rangeland policy in preliminary stages Water bill in draft form Wajir County Disaster Management act, 2014 Public participation bill is a draft Improvement of the EW system where a database has been developed and there are efforts with help from African Development Solutions to disseminate using Flag colour coding system, dissemination to communities <p>Areas of strengthening</p> <ul style="list-style-type: none"> If bills are passed and institutionalized, the scoring would go up. Currently only CIDP and disaster bill operational others are in draft form however the operationalization of national laws and policies is ongoing in the county 	3.0

NO	QUESTION	COUNTY	SCORE
3.	How are these policies operationalised at county level? (CCC 2)	<ul style="list-style-type: none"> Most bills are not currently operational apart from the disaster act. Disaster act still is not fully operationalized and most institutions provided by the act are yet to be formed. The directorate of disaster management has been formed at the county level. Most of the other activities regarding the Early warning and food security assessment are coordinated through the CSG There is need to operationalize the already passed bill to have the institutions and financing priorities in place to get a higher scoring. More political good will from the executive is necessary 	2.0
4.	When devising policies and regulations in the area of early warning and food security assessment, to which extent does the county involve partners? To which extent (share of total budget) do partners contribute resources? (CCC 3)	<ul style="list-style-type: none"> All relevant partners are involved through Coordination meetings of the CSG, inter-governmental and NGO coordination unit under the office of the governor an example is where partners have been involved in spearheading development of different policies e.g Oxfam leading in development of livestock policy, county nutrition policy fronted by partners The county government is working in collaboration with partners when developing policies Partners have significant role in providing resources to the tune of 50 to 60 percent of the total budget in policy formulation A higher score can be achieved if there was more commitment by the government in terms of resources to drive formulation of policies 	3.0
5.	Does the (national) government have a long-term strategy or vision for the system of early warning, and food security assessments/ analysis? (CCC 5)	<ul style="list-style-type: none"> Yes. The long term strategy of the national government include formation of NDMA and launching of the Ending Drought Emergencies Common Programme framework at the national level, and the same being operationalized at the counties. 	3.0
5.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	<ul style="list-style-type: none"> There are tangible effects at the county level through NDMA which operates in all the Arid and Semi-Arid Lands (ASALs), and coordinates issues of disaster management mostly drought and food and nutrition security issues 	
5.b	If SO, do they address the need for early warning systems, food security assessments and analysis?	<ul style="list-style-type: none"> Government has now taken the lead in early warning, food and nutrition security and Analysis and more decision making now happens at the county level. Emergency funds are sourced by county government, county can now do own assessments rather than wait for partners to lead. However there is need to develop standardized assessment tools. The need for early warning systems, food security assessments and analysis are addressed in the long term strategies. 	
Aggregate score for HGI 1:			2.6

HGI 2 – Effective and Accountable Institutions

1.	Is there a designated lead institution within the county government with a clearly defined role and responsibility for the function of early warning, food security assessment and analysis? (CCC1)	<ul style="list-style-type: none"> The lead institution is NDMA but NDMA not a devolved function in county government but they work in collaboration and county government relies on NDMA for the function. There also exist the directorate of disaster management within the county government which works together with NDMA and other sectors and departments though they have no direct role in food security assessment and early warning. These roles are within CSG and NDMA Mandates complement each other through the CSG, in terms of information sharing, dissemination from different departments At times there are overlaps where there is no clear definition of roles especially during response activities. There exists Gaps in terms of the areas where coverage of sentinel sites for early warning is not as wide as desired. However this does not compromise the information gathering. The county government however has no intention of setting up a new early warning system and there is already a good will to support what is being implemented by NDMA. The vulnerable populations are adequately covered across the county 	2.8
1.a	Which? Is there an existing institutional framework with clearly defined roles and responsibilities for the function?		
1.b	If there are several institutions (e.g. central and county-level), how do their mandates complement, overlap, or even contradict each other?		
1.c	Are there gaps, i.e. areas within early warning, food security assessments and analysis for which no national/county level institution has a mandate?		
1.d	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?		

NO	QUESTION	COUNTY	SCORE
2.	How does this institution carry out early-warning and food-security assessments? Does it apply national tools and standards? (CCC 2)	<ul style="list-style-type: none"> • Yes, they apply national tools which are adequate but there is need for improvement and revision of tools by sector to cover the existing gaps • The Kenya Initial Rapid Assessment is done mostly when there is conflict since it's designed for rapid onset disasters. It does not link directly with early warning and food security assessments, but early warning and long and short rains assessments are linked. The early warning data as well as health surveillance system data and survey results all inform the assessments • In the event of rapid assessments done by the county during emergencies, there are no standardized tools that the counties have, however they use the national assessment tools by revising them to address the particular need. • Nutrition surveys have their own methodology (SMART) used during surveys and well linked to the assessments 	3.0
2.a	How are early warning system, Long/Short rains assessments and the Kenya Initial Rapid Assessment linked together?		
2.b	Does the county have other food security assessment tools? (Please list them e.g. harvest assessments, livestock...)		
3.	Is there a coordination mechanism in place to facilitate the enhancement of information sharing, forecasting and scenario building? (CCC 3)	<ul style="list-style-type: none"> • The CSG is the main coordination forum at the county that brings together the national and county government as well as non-state actors operating in the county. Also the technical working groups and departmental groups and NGO coordination mechanisms give feedback to the CSG. • The CSG also coordinates assessment at the county, be it regular assessments or the rapid assessments during emergency. • There lacks a methodology of conducting rapid assessments and when they are conducted, it is done borrowing from the national assessment tools. • Gender analysis is dependent on sector e.g. nutrition, education and may be challenging in other sectors such as livestock • Assessments are done but feedback mechanisms to communities is weak • Technical teams have not been trained on scenario building. • Capacity building on scenario building is recommended. There is also a need for assessment methodology and tools at the county. 	2.3
3.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?		
4.	How is the information and analysis stored and accessed, and is it available to government, the public (CCC4)	<ul style="list-style-type: none"> • Different sectors store and disseminate information differently. • Health & Nutrition have DHIS and most of the information is easily accessed • NDMA has a customized database for early warning information. Reports are published online monthly. Reports are also shared with relevant authorities and at CSG level. Early warning assessment reports are shared with relevant authorities and stakeholders in an efficient and effective way. • Systems are isolated and can be accessed but awareness not there. • Further there is no database for storing assessment data and checklists are stored in hard copy papers. • Results of the same to the general public and communities is weak. There is no system to disseminate findings to the communities. • The NDMA distributes the EW bulletins to the communities through the field monitors and the leaders, however they are too technical for the communities to understand or take actionable measures. • Information is disseminated through local food monitors, but at a low scale due to limited funding. • There is a need also to have a resource Centre at the county to make information accessible both to the authorities and to the public. 	2.5
4.a	Are the results of early warning, and food security assessments and analysis disseminated to the relevant authorities?		
4.b	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?		
		Aggregate score for HGI 2:	2.7

NO	QUESTION	COUNTY	SCORE
HGI 3: Finance			
1.	Who is currently financing the early warning system? How long will this continue? (CCC 1)	Currently the early warning system is being funded by the national government through NDMA. This is expected to be a long term funding, however there are gaps within the funding mechanism and the resources availed are not enough.	2.5
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?	<ul style="list-style-type: none"> There is no budget line for EW and assessment within the county government and all the funding is allocated for by NDMA. However, if NDMA has shortfalls the county fills in the gap from the emergency funds. There is also in kind contribution of resources to assist in the financing gaps from the county administration as well as logistical and manpower support To improve on this, the county government should include a budget line for EW and assessments to compliment NDMA since this is a shared function. Policy makers should be sensitized on the importance of early warning systems and assessments so that they can budget for the activities. 	
2.	Do you have sufficient material resources (financial, institutional) to ensure regular and undisrupted early warning and food security analysis i.e. is the available budget sufficient for the required action? (CCC2)	<ul style="list-style-type: none"> There are insufficient materials and financial resources for early warning system and assessments and surveys. This includes vehicles, computers, GIS software and training (NDMA) Funds not sufficient for EW and assessment(NDMA) This can be improved by ensuring there is sufficient provision of equipment and finances 	2.5
2.a	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?	<p>Yes.</p> <ul style="list-style-type: none"> Capacity is there to manage financial resources both in NDMA and with partners. Currently the institutions are managing other donor funds for other activities. 	
3.	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)	<ul style="list-style-type: none"> The capacity is there but funding from partners is diminishing and covering the gaps is a challenge even with contributions from partners. 	3.0
Aggregate score for HGI 3:			2.7

HGI 4 – Programme Design and Management

1.	Does the county government have, or does it have any plans to establish, own capacity with respect to early warning and food security assessment to support and complement NDMA and the Kenya Food Security Steering Group? (CCC 1)	<ul style="list-style-type: none"> There are no plans by the county government for own capacity with respect to early warning since this is currently defined as the mandate of the national government. However, in assessments there have been efforts through partners to improve the capacity though there still exist gaps. There are gaps in terms of coverage in sentinel sites for information analysis in early warning. There is need to increase surveillance. Nutrition surveys also have been lowly funded and not done as frequently as desired. Only one survey is done per year while the desired are two. Financial gaps and funding levels from partners are diminishing since most partners are closing their programmes, which fall under the responsibility of county governments. There is goodwill within the county to fill the gaps but clear structures are needed to engage them. 	2.0
1.a	Does the county see any gaps that NDMA and the Kenya Food Security Steering Group does not address, and which it would like to fill?	<ul style="list-style-type: none"> There is need to increase surveillance. Nutrition surveys also have been lowly funded and not done as frequently as desired. Only one survey is done per year while the desired are two. Financial gaps and funding levels from partners are diminishing since most partners are closing their programmes, which fall under the responsibility of county governments. There is goodwill within the county to fill the gaps but clear structures are needed to engage them. 	
2.	Is there sufficient staff, and does relevant staff have sufficient knowledge and skills to ensure regular and undisrupted early warning and Food security analysis in support of food security/nutrition? (CCC2).	<ul style="list-style-type: none"> The staff are sufficient however they lack in terms of capacity and materials equipment to conduct effective early warning and assessments Available staff require additional knowledge on EW and assessment as well as surveys. This is as a result of the turnover that occurred with the new county administration where some personnel either got re-designation, transfers or new employments hence capacity on early warning and food security assessments is low 	2.0

NO	QUESTION	COUNTY	SCORE
3.	Is the early warning system 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? (CCC 3)	<ul style="list-style-type: none"> • Yes, it is linked but response analysis comes from national government partners and NDMA. • County government does not do the response analysis • There is missing link between EW and triggering of funds especially those within the county government and some other actors which needs to be strengthened. 	2.0
3.a	For example, if the analysis points to food insecurity, does this trigger an assistance process? What are the triggers and which funds/actions do they trigger?		
Aggregate score for HGI 4:			2.0

HGI 5 – Sustainability

1.	Does the government at county level and its partners have the capacity to design and implement EPR interventions informed by an appropriate early warning, and food security analysis? (CCC2)	<ul style="list-style-type: none"> • Yes, there is a contingency plan and a response plan is developed. Sectors get their roles from the response plan and intervene in line with plan. This is usually informed by the contingency plan 	3.0
2.	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)	<ul style="list-style-type: none"> • Yes. Support and systems are there, involvement is also there. The civil societies are invited to coordination meetings during operationalization of programmes and participate in the community based targeting. They are also members of the CSG and are involved in response planning. • The systems are not sustainable. This is because financial commitment from the civil societies is dependent on external funding and it is usually unpredictable. The funding not evenly spread to some of the groups and is not consistent. There is a need to have harmonized financial planning of programmes by all actors for fair and even resource distribution 	2.0
3.	Are mobilized resources and partnerships sustainable to plan, design and implement necessary activities? (CCC3)	<ul style="list-style-type: none"> • The mobilized resources are not sufficient hence not sustainable since this depends on programme design and funding of the partner. • Most organizations go beyond their plans and face funding shortfalls 	1.5
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? (CCC 3)	<ul style="list-style-type: none"> • They are committed since most of their roles are well defined in terms of service delivery to the affected groups. However the sustainability is not there due to limited funding. 	2.0
5.	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)	<ul style="list-style-type: none"> • Yes. They are members of the CSG where planning and designing of response plans is coordinated from. They are therefore involved in this designing response plans as well as sharing their plans and activities with the CSG 	3.0
6.	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)	<ul style="list-style-type: none"> • Coverage is wide and mandates span across the county hence all the vulnerable are targeted once the need arises. • Consistency is there across geographical area and flexibility is there e.g. funds can be resourced and shifted to focus on areas of concern • CSG can redistribute and change decisions to focus on needy areas. • Communities are involved in allocation of funds through public participation in the development of the county budget and partners were involved in the development of the CIDP as well as in development of policies • There is however need to lobby for more resources to widen the coverage and ensure this is done more sustainably. 	3.0
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 EPR activities for vulnerable groups? (CCC5)	<ul style="list-style-type: none"> • They are involved and their contribution into the lessons learnt feed into the existing or new programmes and also they are key in driving policies at the county level based on lessons learnt. • Policy makers and political class are not in sync and have low levels of understanding on the early warning and food security hence the policy decisions made don't pay particular interest to this areas as a result of their low understanding. There is need to build more capacity of the policy makers on the processes of early warning and food security to achieve more in terms of strengthening the sectors from the counties. • The political goodwill is there and they are ready to learn and this is a strength towards achieving the above. 	2.0
Aggregate score for HGI 5:			2.4

ANNEX 3: WAJIR CAPACITY GAPS AND NEEDS ASSESSMENT: EMERGENCY PREPAREDNESS AND RESPONSE AREA 2, HUMANITARIAN SUPPLY CHAIN MANAGEMENT

Wajir County EPR Area 2: Humanitarian Supply Chain Management Systems

NO	QUESTION	COUNTY	SCORE
HGI 1 - Policy and legal environment			
1.	Is the importance of humanitarian supply chain (HSC) management reflected in national policies, strategies, laws etc.? (CCC1)	<p>Yes.</p> <ul style="list-style-type: none"> • There is a draft Disaster Management policy at national level • Ending Drought Emergencies Common Programme Framework by 2022. • There is also County Disaster Management Act 2014. • There is no Disaster Management Policy for the county- leaving a huge gap on matters to do with disaster management, as well as a disaster management plan. Oxfam is assisting with the drafting of the policy. • There is good political will as disaster management has the full support of the Governor and the directorate of Disaster management is under the office of the Governor. 	2.8
1.a	Which are they? – list relevant instruments from constitution to national development plans, policies, strategies, etc. as applicable	<p>Relevant Instruments:</p> <ul style="list-style-type: none"> • County Disaster Management Act 2014 • Constitution of Kenya 2010 • The County Government Act 2012 • The County Integrated Development Plan 2013-2017 • Emergency Fund Act (to be confirmed) • Drought Contingency and response Plan • El Niño contingency and response plan 	
1.b	Are these instruments up to date, e.g. do they adequately reflect the changing environment due to devolved government?	<p>The following instruments are up to date;</p> <ul style="list-style-type: none"> • County Disaster Management Act 2014 • Constitution of Kenya 2010 • The County Integrated Development Plan 2013-2017 • Emergency Fund Bill to be drafted and passed by the Assembly • Drought Contingency and response plan • El Niño contingency and response plan <p>The county disaster management policy and plan are yet to be formulated, therefore not up to date.</p>	
2.	Are there contingency plans in place at national and sub-national level to ensure adequate and timely response (CCC1)	<p>Yes. There are contingency plans e.g. Drought Contingency plan & El Niño contingency plan though not well funded and this affects the response mechanism.</p> <p>The Contingency Plans are not multi-hazard, other hazards such as inter-clan conflicts and terrorism are not featured in the contingency plans hence compromising on the adequacy and timeliness of the responses.</p>	2.0
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? 	<ul style="list-style-type: none"> • There are various sector contingency plans in place (Food and Nutrition, water response, WASH, Agriculture etc.... • During planning each sector presents a plan outlining the key gaps which then are discussed and at county level the steering committee apportion how such gaps can be addressed • Mandates are clarified and well established, especially in the sector contingency plans. The roles and responsibilities at the sector level are well understood in terms of results and timelines, although no standard operating procedures are in place to guide emergency response in all sectors. • Disaster risk reduction not mainstreamed in sector operational plans • No standard operating procedures in place • There are identified gaps for the implementation especially of the CIDP plans with respect to available information and knowledge, resources, and policy. 	

NO	QUESTION	COUNTY	SCORE
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)	The implementation of the stated instruments is not on course as foreseen, principally because of resource and technical capacity constraints. The Disaster Management Act, for instances, provides for the establishment of a Disaster Management committee and a Directorate for disaster management. The former has not been established more than a year since the passing of the Act, while the latter is only partially established with a lean staffing arrangement that compromises its ability to deliver on its mandate. The CIDP implementation is also off-track for the same reasons.	1.6
4.	When devising instruments related to HSC 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 HSC management? (CCC3)	Yes. <ul style="list-style-type: none"> • Process is done through the county steering group meetings. • All stakeholders are involved at different levels including public participation. • The CSGs are co- chaired by the Governor and the County Commissioner 	2.8
5.	Do county development plans, and other instruments supporting EPR establish links to other relevant instruments and programmes to ensure increased stability and reliability? Do they foresee the involvement of communities in HSC management? (CCC4)	<ul style="list-style-type: none"> • The county development plans are closely linked to the Constitution of Kenya and the Vision 2030 Medium Term Plans (MTPs) • Other instruments are adapted to the county level from national instruments such as the Nutrition action plan, draft Disaster Management policy, EDE etc. • Community involvement in HSC is foreseen, though not well articulated in the policy documents. Community participation in disaster risk reduction agenda and linkage of community level contingency plans to the county level ones needs to be strengthened for stability, reliability and sustainability. 	2.0
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).	<ul style="list-style-type: none"> • At county level there is flexibility but challenges are attributed to timely availability of resources to address emergencies. • Project resources in the hands of NGOs and other non-state actors are tied to proposals submitted for funding and little or no flexibility is available in the use of the funds/ resources. 	2.4
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"> • NDMA is well placed to address drought emergencies. Drought management policies are comprehensive, and enshrined in the Ending Drought Emergencies CPP 2012-2022. • There are no guidelines/standard operating procedures to address other hazards e.g. fire, floods, conflicts, etc. • Traditional conflict resolutions mechanism are used within the Directorate of Peace working with elders at community level. 	1.6
Aggregate score for HGI 1:			2.2

HGI 2 – Institutions

1.	Is there a designated lead institution within the county coordinating emergency response? (CCC1)	Yes. At national Level <ul style="list-style-type: none"> • the National Disaster Operation Centre, NDMA, NDMU, Special Programs At county Level <ul style="list-style-type: none"> • NDMA, Directorate of Disaster Management, CSG The Disaster Management Act 2014 creates the Directorate of Disaster Management and confers upon it the mandate to manage all emergency response activities in the county.	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?	<ul style="list-style-type: none"> • The Designated institution – Directorate of Disaster Management and Humanitarian Coordination. However, there is a gap in policy guidance in overall coordination/ monitoring of various functions. • There are available MOUs signed between various line ministries and work plans that are witnessed by the coordination body. The coordination aspect has seen various NGOs undertake wider responses in the county. • At the county level, the mandate of the Directorate of Disaster Management and Humanitarian Coordination overlaps with that of inter-governmental coordination, an institution recently created. There is need to specify the roles of each. 	

NO	QUESTION	COUNTY	SCORE	
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?	<ul style="list-style-type: none"> At the national level coordination mandate overlaps the National Disaster Operation Centre, NDMU, NDMA and Directorate of Special Programs. Through the CSG it is ensured that emergency responses reach vulnerable people, though not timely and effectively. The Directorate of Disaster Management and Humanitarian Coordination has the mandate for the implementation and coordination of all emergency response action in the county in liaison with all stakeholders 		
1.c	Are the roles and responsibilities of the lead institution clearly defined?	The roles are clearly defined at the county level, but there remains a gap at the community level where the roles of the community are not adequately reflected in the instruments, nor are the CMDRRs and the CAPs linked to the county contingency plans for stability.		
2.	Are the roles/responsibilities of the different stakeholders and administrative levels (sub-national and national) clearly defined for the function? (CCC2)	Various actors at sub-county levels are aware of their responsibilities as outlined in the contingency plans, however, the main gap is resources, skills etc. to fully respond to EPR.	2.6	
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)	The institutions involved in EPR activities do not have adequate staff/ skills/ and technical knowledge to effectively respond to emergencies.		
3.a	Systems and processes	Procurement	There is proper Procurement process in place as established by the Public Procurement Act. This is, however, not efficient in emergency response scenarios.	1.8
		Funds Management	All financial management in the county is carried out in accordance with the provisions of the Public Financial Management Act 2012. There are no specific guidelines for exceptional financial procedures for emergency response.	
		Commodity tracking	NO tracking systems in place, however it is covered under the memorandum of understanding between ALDEF	
		Quality assurance / accountability and control	County government liaises with WFP/ALDEF but subsequently the county public health services and agriculture department technical staffs participate in the inspection of the supplies from the supplier/ undertakes quality check and advice.	
3.b	Human resources	Planning and Operation Management	<p>The Directorate secretariat currently has 5 staff, 3 of whom have some training related to Disaster Management. For a vast county such as Wajir, this staffing is significantly inadequate for optimal support to EPR activities.</p> <p>It was reported, however that the staff have an excellent understanding of the county from all spheres.</p> <p>The county government undertakes planning and operational management functions.</p>	2.0
		Commodity and Warehouse Management	The county has a valid MOU with ALDEF for the services.	
		Transportation coordination	The county has no structured transport systems and relies on the services of the local NGO (ALDEF). In addition, ALDEF has a similar FLA with WFP for the same services this poses a gap as far as capacity is concerned.	
		Fund management	No standard operating procedures	
3.c	Standard operating procedures	Procurement	No standard operating procedures	1.5
		Funds Management	No standard operating procedures	
		Commodity tracking	No standard operating procedures, however there is an memorandum of understanding with ALDEF.	
		Quality assurance / accountability and control	County government liaises with WFP/ALDEF but subsequently the county health services undertakes quality check and advice.	
3.d	Information management	<p>Data collection</p> <p>Data compilation, consolidation and quality assurance</p> <p>Analysis</p> <p>Reporting and sharing of information</p> <p>Learning and feed-back</p>	<p>No formalized systems, but feedback is shared through the CSG.</p> <p>The county does not have an integrated information system and knowledge management mechanism. It was reported that the Commission for Revenue Allocation is assisting the county in establishing a Data management/ Information Resource centre. It is necessary to confirm the timelines for this assistance.</p>	2.0

NO	QUESTION	COUNTY	SCORE
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)	<ul style="list-style-type: none"> Emergency requirements are reported through the established chain of communication from the affected communities to the Ward administrators/ chiefs to the Director of Disaster Management. Assessments are then commissioned to establish the kind/extent of the emergency for response planning At the CSG, the mode of response is then discussed and agreed. Procurement is the main challenge/ gap in emergency response in the county. No mobility for the EPR teams to effectively respond to any emergency. Disaster leadership management is lacking. 	1.2
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)	There is a coordination mechanism and structures through CSG and Directorate, however, there are gaps with respect to resources and skills.	1.8
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)	<ul style="list-style-type: none"> There is a county monitoring team for M&E, however, accountability seems to be a gap that needs to be addressed in order for humanitarian response reaches the intended beneficiaries. Over time, logistics for delivering humanitarian assistance has become challenging due to the proliferation of informal settlements, which have more than quadrupled in the past 10 years. This has increased the cost of water trucking and food assistance delivery, putting additional pressure on the inadequate resources to reach many small settlements scattered through the vast county. The proliferation of these settlements has also affected livelihood patterns, reduced the rangeland sizes and predisposed the land to various forms of degradation. 	1.6
7.	Which risks management strategies do the relevant institutions have? (CCC5)	There are accountability risks despite having the required systems in place. The monitoring and audit functions need to be strengthened to enhance the accountability of emergency responses.	2.0
Aggregate score for HGI 2:			1.9
HGI 3: Finance			
1.	Does government at central and county level and national partners have committed funding for emergency response? (CCC1)	<p>Yes, the county has committed funding for EPR.</p> <ul style="list-style-type: none"> Like other Counties, however, Wajir County relies almost exclusively on disbursements from the National Treasury to finance all activities including EPR. Past experience points towards delays in disbursements - even up to 3 months - and inadequacy of the tranches disbursed from time to time. This poses major challenges to effective emergency response. 	2.0
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?	<ul style="list-style-type: none"> Emergency Fund 100 Million 2015/2016, Financial year 2014/2015 was 80 million The funds are however not sufficient for the EPR 	
1.b	Is there a contingency fund for emergency response? Is it adequate?	There is presently no county contingency fund available. The Disaster Management Policy that is foreseen to guide the establishment of the Disaster contingency fund is not in place yet.	
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! – not yet answered	<ul style="list-style-type: none"> The process to access the financial resources is cumbersome as procedures are complex. For purchases for less than KES 2 million, the procurement process is easier. Direct purchases from government agencies such as the National Cereals and Produce Board are allowed, which helps in managing procurement time. The Wajir National Cereals and Produce Board depot however does not always have stock of food items prepositioned. There are presently no government contingency stocks available. For the El Niño emergency response KES 300 million were budgeted, but are not yet resourced. UNICEF and OIM have the mandate to preposition NFIs; this has not yet been done. 	1.8
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)	<ul style="list-style-type: none"> The county has the capacity to manage the financial resources, however, the timeliness in response to emergencies remains a gap, since the financial procedures set out by the relevant act are elaborate. The formulation of a Disaster Management Policy and Disaster Contingency Fund is expected to improve the efficiency in EPR financial management. 	1.5

NO	QUESTION	COUNTY	SCORE
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)	<ul style="list-style-type: none"> There is close coordination between the county and other stakeholders through the CSG. Assessments are jointly done and results shared with various stakeholders upon which partners undertake mobilize funds from their donors. IOM supported in Resettlement CARE supported in WASH Kenya Red Cross supported in NFIs (through UNICEF) Save the Children also supported in health interventions The ratio of support is 60 % county : 40% other stakeholders. The county provided all food items while UNICEF provided special nutritious products. 	2.2
5.	Does the county have an established procedure for resource mobilization? (CCC4)	<ul style="list-style-type: none"> The procedure is through the CSG, however the systems are not structured. There is need to have standard operating procedures on the resource mobilization procedures in order to map out stakeholders' capabilities. There is need for the county to develop a resource mobilization strategy and to augment the disbursements from the National Treasury, which have not been adequate for the continuing programs in the county. 	1.5
6.	Are government and national partners able to adapt resources to changing situations and needs? (CCC5)	<ul style="list-style-type: none"> For the county, only supplementary budgets and consultations with the Controller of Budget can adapt resources to changing situations. The process is elaborate and cumbersome, as it involves discussions at the Cabinet, approval by the County Assembly and concurrence by the Controller of Budget at the national level. This would not assist in an emergency response scenario. As for the partners, flexibility in the application of resources is limited by stringent donor regulations governing the use of funds, which are mainly proposal based. 	2.2
6.a	How did identified needs vary over the past five years?	<ul style="list-style-type: none"> Identified needs change over time due to the nature of needs, which calls for change in response / assessment that would force the county to have challenges is adopting the emerging scenarios. 	
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)	<ul style="list-style-type: none"> Based on the nature of emergency and occurrence, the county and other humanitarian actors play a key role in managing the interventions e.g. the Cholera and Intertribal conflicts interventions. 	
Aggregate score for HGI 1:			1.9

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)	<ul style="list-style-type: none"> There are no specific guidelines for providing humanitarian supplies in the county. Procurement of supplies for less than KES 2 million is done through quotations / LPO process. Procurement for specialized nutrition products can be done on single sourcing basis. Same for procurements from government agencies such as the National Cereals and Produce Board. 	1.5
1.a	Are there rapid procurement processes in place for food, special nutrition products and non-food items, whilst ensuring accountability?	<ul style="list-style-type: none"> There are national procurement systems in place. However, these are not tailored to effectively address the county emergency response needs. This poses some gaps in procuring of special nutrition products and NFIs. 	

NO	QUESTION	COUNTY	SCORE
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)	<ul style="list-style-type: none"> The capacity exists with moderate functionalities. More needs to be done in developing standard operating procedures to guide the emergency response processes to ensure timeliness of response activities, and also prepositioning of emergency assistance food and NFIs in crisis prone areas, possibly at sub-county level. 	2.6
2.a	Is there sufficient storage capacity of good standard?	There is a mutual understanding with the National Cereals and Produce Board for storage facility, though not translated into a memorandum of understanding or a documentation of any kind. There is need to firm up the arrangement with a proper framework for reliability. The storage space is adequate for EPR requirements	
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?	<ul style="list-style-type: none"> There are presently no rapid-activation contracts with service providers, however, should there be need for large-scale transport of emergency stocks, the county can partner with local NGOs. The Government mobilizes about 5 trucks from various government departments whenever need arises. No rapid activation agreements are in place in case of emergencies. 	
2.c	In case of complete failure of road transport, is there alternative transport in place to reach affected areas (e.g. waterways, air)?	There are presently no provisions for alternative means of transport should road transport services be affected.	
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?	The county does presently not have any all weather roads, and areas are often cut off during rains. The county government undertakes roads assessments to identify locations that need fixing/repairs, but this is not scheduled or done regularly. There is need to enhance the assessments to reflect the different types of transport needs e.g. 4x4 trucks, 6x4 trucks when roads are cut off.	
2.e	Can the contracted transport vehicles access difficult terrains?	No. Roads in the county are rugged and cut off during heavy rains/floods. In case of other emergencies, the road infrastructure may not be affected hence vehicles can manoeuvre the difficult terrains.	
2.f	Does government have a list of NGOs, CBOs and other partners to be engaged during emergency response?	Yes, the county has established a list of all NGOs and mapped out their areas of operations and the services they provide within the county. This is essential as in case of any emergency, the county can easily assign different NGOs various functions, especially at sectoral levels and coordination forums, based on their capacities and expertise. There are also fully functioning local CBOs in the county.	
2.g	How is the humanitarian assistance tracked and recorded? Is this information shared with other stakeholders including the communities?	There is a tracking mechanism of humanitarian assistance to the communities. Information regarding the entitlements and expected delivery times is shared in advance with the Community, and some kind of Community Based Targeting is done at the community level	
3.	Are there clear standard operating procedures in place that ensure adequate, timely and accountable emergency response? (CCC2)	There are presently no standard operating procedures to ensure adequate and timely accountable emergency response.	1.6
4.	Are effective partnerships for emergency response established (CCC3)	Yes, but these partnerships need to be enhanced.	2.4
4.a	Which partners are involved, and how?	ALDEF, WASDA, WFP, UNICEF, KRC, OIM	
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)	<ul style="list-style-type: none"> The County Disaster Management Policy is yet to be formulated. The National Disaster Management Policy remains in draft form, leaving the devolved units to manage emergencies according to their own understanding and circumstance. Service delivery and monitoring therefore varies from one county to the next. 	2.4
5.a	Are technological applications in place for planning and managing humanitarian assistance?	<ul style="list-style-type: none"> The county has presently no technological applications in place to map EPR locations. The Directorate expects to install such systems and technological applications such as GIS and early warning systems in the course of doing hazard mapping which would support effective emergency response but no funds have been set aside for that. 	
5.b	Does the present system for EPR use one standard methodology, or does the system foresee various models according to geographic areas, market conditions and other circumstances?	There is a possibility of using various emergency responses to beneficiaries according to geographical areas e.g. cash transfers, mobile cash transfers etc.	

NO	QUESTION	COUNTY	SCORE
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 embracing the Kenya Initial Rapid Assessment to carry out rapid assessments of any emergency incidents and share it through the CSG, where it is validated and shared with UN Office for the Coordination of Humanitarian Assistance for further sharing with stakeholders.	2.3
Aggregate score for HGI 3:			2.1

HGI 5 – Sustainability

1.	Does the government have a long-term strategy or vision for sustaining and ensuring HSC 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)	<ul style="list-style-type: none"> The county is a member of the Ending Drought Emergencies Common Programme Framework, launched this year, and is borrowing from the strategy to address the sustainability of drought emergency responses. The county is mainstreaming disaster risk reduction. 6 % of the county budget is invested in Livestock and Agriculture There is need for a domestic county strategy in line with the overall Ending Drought Emergencies Common Programme Framework to outline the responsibilities of all actors. 	2.0
2.	Is national funding stable and are resources available for adequate HSC management? (CCC2)	<ul style="list-style-type: none"> Delayed disbursements from the national government affects smooth and timely responses to emergencies. 	1.8
2.a	What has been the level of resources for HSC in the past five years?	180 million in the last two financial years	
2.b	What has been the share of resource requirements that has been covered in the past five years?	As above and few in kind and logistics as well as non-food-item support through partners	
2.c	What has been the share of resources mobilized by national and county governments for these activities in the past five years?	<ul style="list-style-type: none"> County contribution : 60% Other stakeholders: 40% 	
2.d	What are the prospects for each of these questions in the medium-term future?	The prospects are good with proper systems developed and the ERP systems developed up to the community levels, the necessary standard operating procedures prepared, and the directorate fully operationalized.	
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)	<ul style="list-style-type: none"> The civil society organizations do not monitor EPR activities. The private sector does presently not participate in resource mobilization for EPR, however, the communities through the elders fully monitor and participate in conflict resolution. The systems in place are not sufficient to ensure effective feedback and resource suitability. 	1.6
4.	Does 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)	<ul style="list-style-type: none"> The line ministries and NGOs participate in emergency response through the coordination meetings by CSG. NGOs are visibly available as a backup for any emergency response, however, resource mobilization is a challenge. 	2.4
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)	<ul style="list-style-type: none"> Civil society and the private sector are presently not actively contributing resources, as they face their own resource challenges. Communities are the first responders based on the nature of the emergency and their resources available before other actors came in. At a range of participation at the community level, 30% participation is undertaken. 	2.0
5.a	Is the engagement of these partners flexible, strategic and sustainable?	All engagements and meetings are usually undertaken through the CSG and cabinet sub committees, which are appointed on an ad hoc basis. So while there is flexibility, the engagement is not necessarily strategic, difficult to predict, and hardly sustainable.	
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)	<ul style="list-style-type: none"> The information can be obtained in various reports prepared by the secretariat at the county level. However, there is presently no structure and formalized system on how to store, access and disseminate information. 	2.0
6.a	Are relevant monitoring reports disseminated to the relevant authorities?	Yes, monitoring reports are available and shared through the CSG and to the relevant stakeholders.	
6.b	Are relevant monitoring reports disseminated to the general public?	The reports are disseminated to the relevant organs in this case being the CSG. However, the Commission for Revenue Allocation is undertaking data management.	

NO	QUESTION	COUNTY	SCORE
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)	<ul style="list-style-type: none"> Emergency response programmes are monitored, and results are shared with the CSG and other stakeholders. While experience is being made, there is presently no systematic approach to identifying and incorporating lessons into future programming. 	1.6
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?	<ul style="list-style-type: none"> Stakeholders are involved in the CSG however, there is no designated resource centre, which would be a one stop addressee for depositing and accessing information. 	
		Aggregate score for HGI 5:	1.9



WAJIR COUNTY

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

