

UNITED NATIONS DEVELOPMENT PROGRAMME

PROJECT DOCUMENT (ANNEX I OF THE EU DELEGATION AGREEMENT)

UNDP REGIONAL PROGRAMME FOR AFRICA

Project Title: Support for Effective Cooperation and Coordination of Cross-border Initiatives in Southwest Ethiopia-Northwest Kenya, Marsabit-Borana & Dawa, and Kenya-Somalia-Ethiopia (SECCI)

EU Project Number: T05.491-(T005)

Implementing Partner: United Nations Development Programme (UNDP)

Duration: 36 months (including a 6 months inception phase)

Brief Description

The project is intended to address the drivers of conflict and instability, irregular migration and displacement in the cross-border areas of the Horn of Africa through improved cross-border coordination and cooperation. The specific objectives of the Project are:

1. To strengthen regional policy frameworks, structures and protocols for cross-border cooperation between national and local Governments, the private sector, civil society and international technical and financial partners in development;
2. Capacities of communities, local governments and civil society to fully engage in processes for development planning and results are built;
3. To ensure effective cooperation and coordination, monitoring and evaluation of cross-border initiatives including involvement of relevant national and regional actors in these processes

The project will be implemented by UNDP in collaboration with UN Environment (UNEP). UNDP and UNEP will work in partnership with IGAD. The project is funded by the European Union, with co-financing contributions from UNDP and UNEP.

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

Total resources required:	\$10,050,311	
Total resources allocated:	UNDP TRAC:	\$ 358,940
	UNEP:	\$ 119,647
	EU:	Euro 7,706,082 equivalent to \$ 9,571,724
	Government:	

I. DEVELOPMENT CHALLENGE

Despite the huge cultural, political and economic variations between and within countries in the Greater Horn of Africa, fundamental challenges related to commonly experienced and inter-linked peace and security contexts, economic development trajectories, and shared climatic pressures, closely bind countries together – and similarly affect the highly mobile pastoralist population groups that traverse national boundaries in search of water and pasture.

As elsewhere in Africa, present-day sovereign state boundaries in the Greater Horn of Africa represent relatively recent constructs introduced during and since the colonial ‘scramble for Africa’. Many sovereign, as well as internal borders, have remained controversial and even contested. A related impact of the sub-region’s experience of colonialism – again echoing the situation faced elsewhere in Africa – is the existence of a multitude of ethnicities and kinship groups who continue to co-exist and move freely across sovereign state borders. The presence of identity groups living along borders, with strong communal ties connecting them across the borders more closely than they may be connected to other groups in their respective nation-states, is often a factor in the causal chain leading to violent conflict.

Violent conflict has, and continues to be, a major obstacle to development in the Horn of Africa, distorting the overall sub-regional political environment in which development must take place, leading to destruction and displacement, and eroding development gains. The historic incidence of violent conflicts over access to natural resources such as pasture and water, is exacerbated by the impact of climate change and is becoming increasingly entwined with the spread of violent extremist ideology and its manifestations, e.g. the rise of Al-Shabaab in Somalia.

Non-state armed groups are mushrooming in response to, among other factors: underdevelopment and ‘ungoverned spaces’ at border regions; porous borders that facilitate the flow of weapons and high-value contraband; identity ties that encourage movement between communities that straddle border areas in various neighbouring countries; and a dearth of common public goods, state or regional institutions able to provide for citizens’ needs.

The Horn of Africa represents a key site in the global ‘war on terror’, while bordering other zones of crisis and instability in the Middle East and Africa. The threat that radical and violent Islamic movements in the Horn of Africa could merge agendas with the Islamic State of Iraq and the Levant (ISIL) and hence wider conflict patterns in the Middle East; and/or spreading westwards into Central and West Africa, with Boko Haram, has become a major source of concern both to Governments and to security agencies.

Although economic growth rates in the region have been robust overall, progress on poverty eradication and elimination of income inequality is constrained, including in the high-performing countries. The Greater Horn of Africa scores among the lowest in human development data, according to the Human Development Index 2014 compiled by UNDP, with all the countries in the region (except Kenya, which just scrapes into the ‘low human development’ category) being found in the ‘very low human development’ category.

A major factor in determining persistently low human development performance in the Greater Horn of Africa is its status as one of the world's most vulnerable regions in terms of humanitarian need. This is the result of a combination of protracted conflict and economic, governance and climatic factors. The sub-region thus experiences long-term structural and persistent crises with pockets of emergency, or what some have identified as mutually reinforcing crises.

Currently Ethiopia, the second most populous country in Africa, has one of the fastest growing economies with ambitions of becoming a carbon neutral middle income status country by 2025; while Kenya's 2030 vision looks towards creating a globally competitive and prosperous nation with a high quality of life. However, the cross-border areas are characterized by poor infrastructure and basic service provision, low literacy levels and high poverty levels. The poverty level in Marsabit county of Kenya, for example, is at 83 percent, while the illiteracy rate in the Borana Zone in Ethiopia stands at 90 percent. The scarcity of resources has triggered conflict among resident pastoralist communities, especially over water and grazing land.

Further, population growth in the Greater Horn of Africa is among the highest in the world: the population increased over fourfold from about 53 million in 1960 to 230 million today – projected to rise to 400 million by 2050¹. The livelihood of most of the people in the region strongly depends on rain-fed agriculture and pastoralism. Agriculture employs about 60-80% of the population which is in stark contrast with the limitations imposed by conditions in the arid and semi-arid lands, which receive less than 600mm of annual rainfall and comprise about 70% of the area of the region. Competition to access these limited natural resources is thus a major factor fuelling insecurity that will most likely increase. Moreover, Africa has more people under the age of 18 than any other continent in the world; policy choices will largely determine how well Africa performs economically in future.

The limited ability of economies to provide adequate employment opportunities for a growing population represents a direct constraint on wider efforts to reduce poverty. Almost half of the population in Somalia are under 15 years old and nearly three quarters of the population under 30 years of age. Unemployment among the Somali youth is alarmingly high with low education levels, limited access to technical skills and vocational training opportunities. This places the youth in a vulnerable category as well as encourages outward migration in search of employment and increases susceptibility of recruitment to extremist groups². Although several countries, especially Ethiopia and Uganda, have made impressive strides in lifting people out of extreme poverty, and while \$1.25 a day poverty has been reduced in relative terms in the Eastern Africa region, from 65% of the population in 2000 to 54% of the population in 2011, the absolute number of citizens living below the international poverty line has increased, from 155 million to 166 million over the same period.

Governments in the sub-region recognize the need to put in place the right trade and investment policies as well as enabling environments to deepen and diversify the sources of economic growth and thereby stimulate job creation. These goals are clearly reflected in the current generation of national development planning, as articulated in documents such as the Kenya Vision 2030 and Ethiopia's Growth and Transformation Plan.

¹ IGAD (2015). *IGAD Regional Strategy 2016-2020, Draft version 09 Nov 2015, p. 13*

² Somalia- Humanitarian Needs overview, 2017

After many years of their respective central governments marginalizing their populations, both Ethiopia and Kenya embarked on decentralization and devolved system of governance in a bid to empower local communities and promote development at the community level. Since 1991 Ethiopia has had a system of nine ethnically-based regions and two city administrations under the Regionalization Framework, while Kenya has devolved political power and financial resources to 47 County Governments following the promulgation of the New Constitution of 2010. With decentralization policies in place, the need for cooperation between economically and culturally linked border regions has emerged as one of the most important area-based development strategies for strengthening regional cooperation that promotes peace and sustainable development.

The sub-region is also undergoing a significant phase of upgrade and expansion of its trans-boundary infrastructure, including development of the potentially transformative Lamu Port-South Sudan-Ethiopia Transport (LAPSSET) corridor. Other ports and corridors are undergoing improvement, with Ethiopian-led upgrades to Berbera, Port Sudan and Djibouti, as well as plans for a railway connecting Djibouti and Ethiopia, and a highway connecting Kenya and Ethiopia, well advanced. The picture of economic integration of the Greater Horn of Africa that emerges is dynamic, particularly about infrastructure connectivity, with the engine of change driven by specific states' immediate development agendas, as well as informal cross-border trade (ICBT).

Agricultural trade is of importance. There are estimated to be more than 30 million pastoralists in the Horn in total, with communities spanning Ethiopia, Kenya, Somalia, South Sudan, Sudan and Uganda. The Horn of Africa's vibrant livestock trade is estimated to be worth around \$1 billion a year in exports, with camels, goats, sheep and cattle shipped to Egypt and Gulf countries. The trade generates wider economic opportunities, for producers, brokers, abattoirs, tanners, vets, milk processors and sellers, financiers, hotels and mechanics among others.

However, countries in the sub-region are exposed to extreme climatic conditions, which represent another strand of the interconnections that run between them, also shaping conflict and development trajectories. The sub-region is in the path of the El Niño climatic event, as well as the more moderate La Niña event that often follows. Impacts have included devastating crop failure and consequent levels of food insecurity, displacement as a result of flooding, as well as outbreaks of animal disease that often results in lengthy export bans. For example, a recent climate change induced erratic rains, combined with the worst El Niño phenomenon of the past 50 years, wreaked havoc on the pastoral and arid and semi-arid regions of the Horn of Africa. Erratic rainfall patterns and prolonged drought have resulted in widespread crop failures, caused the drying up of waterholes and rivers and the decline in the availability of water as well as the quantity and quality of forage, leading to the death of many animals. It also led to conflicts between pastoralist and ranchers, as in the case of Laikipia County, Kenya where several people were killed and property was burnt down.

Similarly, drought remains the most significant climatic driver of the humanitarian crisis in Somalia. The economy is highly concentrated within agriculture, livestock and the fisheries sectors (approximately 60 per cent of total employment) and are typically characterized by low productivity and low value addition. Lives and livelihoods are vulnerable to a wide range of shocks, including



commodity price fluctuations, disrupted markets and land degradation. The majority of Somalis in rural areas depend on subsistence farming and pastoralism for their livelihoods³.

The Mandera Triangle represents a critical area for pastoralism within the Horn of Africa. However, instability caused by climate change, insecure land tenure, poor infrastructure, minimal investment, and political marginalization has further undermined the ability of pastoralist communities to respond, leading to increasing levels of poverty and marginalization in the region over the past ten years.

Climate change further exacerbates the severity and frequency of drought episodes; and its impact on the ecosystems of Lake Turkana and its river basins are of particular concern. The lake and its river basins support more than 15 million people (90% living in Ethiopia and Kenya). The region is extremely poor and prone to frequent droughts, with a history of violent tension and large numbers of livestock losses through droughts and cattle raiding. Local economies are dependent upon subsistence agriculture, which include recession cultivation at the delta as well as livestock grazing and watering, fishing and food gathering. All these are threatened by environmental degradation. Surrounding livelihood systems, including those of the Turkana, Daasanach, Rendile, Gabbra and other groups within Kenya and Ethiopia, are especially threatened by changes resulting from environmental degradation and its impact on the ecosystems and biodiversity of the basin.

Lack of a governance mechanism coupled with the lack of reliable data that is acceptable to the two countries hampers the proper understanding of the true status of Lake Turkana and its river basins. Consequently, the two countries have different perspectives of the health of the ecosystems and biodiversity as well as the extent to which the various pressures and drivers affect the ecosystem goods and services. This lack of commonly acceptable data on the lake and its river basins is part of the reason why the World Heritage Commission has requested the Governments of Ethiopia and Kenya to conduct an assessment of the impacts of development on the lake.

UN Environment and IGAD facilitated a consultative process between the Governments of Ethiopia and Kenya to agree on a common approach towards developing a management plan for this trans-boundary water resource and the ecosystem. The consultation process took three years to complete due to the divergent and competing priorities between the two countries.

The approach used by UN Environment on Omo-Turkana basin will be extended to cover the Dawa-Juba-Shebelle basin that traverses from Ethiopia through Kenya and Somalia to the Indian Ocean. The approach is hinged on the premise that cooperative/joint management and utilization of the Dawa-Juba-Shebelle basin by the three countries has the potential to enhance ecosystem and community resilience as well as create wealth and employment opportunities in the three countries. Cooperation will further facilitate the development of strategies to promote investments in the basin, address the flood and drought, and prevent conflict while strengthening the resilience (food and economic security) of vulnerable small holder farmers, agro-pastoralists and pastoralists in the trans-boundary areas of Mandera County, Gedo region and Dollo Odo and Dollo Bay. The proposed project area is characterized with recurrent drought and flood disasters and chronic inter-clan

³ Somalia- Humanitarian Needs overview, 2017



conflicts over natural resources mainly water and pastures. Consecutive poor rainfall performance, characterized by drought and flood cycles and poor recharge of water sources are the main causes of successive crop failure and depletion of pasture and browse. The main water sources in the area for both domestic and livestock include bore holes, water pans and rivers. Unfortunately most of the surface water points dry up during the dry seasons. The Dawa River is a source of water in the area, though it is greatly under utilized. The river usually floods at least twice a year, causing immense destruction in its wake. These flood waters can be harvested for irrigation, power generation and domestic and industrial use. Flood control of the river would also ensure that communities downstream have regulated river flow throughout the year which would serve to alleviate the devastating seasonal shortages. Two of the three riparian countries, Ethiopia and Kenya, have developed individual water use plans for this river. However, to ensure sustainability of these plans and to avoid any future conflicts among the communities utilizing this river, these plans must be harmonized and expanded to take into account Somalia's interests in line with the Water Policy they signed in 2015. UN Environment successfully facilitated dialogue between Ethiopia and Kenya on developing a cooperative management mechanism of lake Turkana and its river basins. IGAD on the other hand had initiated tripartite dialogue between Ethiopia, Kenya, and Somalia with the aim of coming up with a joint understanding on the cooperative management and development of Dawa River. However this effort slowed down mainly due to political instability in Somalia, It requires rejuvenation. With financial resources from the EU , the UN Environment will work closely with IGAD to bring the countries back to dialogue on the sustainable development of Dawa River as a trans boundary water resource. UN Environment intends to apply the lessons learned from the Lake Turkana process to the Dawa River.

Available studies have indicated that water and other resources of the Dawa River Basin constitute a major source of socio-economic development for each of the three IGAD Member States. It is also apparent that the benefits accruing from investments in the Dawa River Basin can support interventions aimed at creating wealth and employment and economic security for the target communities.

The improved political stability in Somalia provides a window of hope for the engagement of Somalia in the process, which could not be secured in the past.

Somalia, has the longest coastline of any country in Africa, stretching for more than 3,330 km. Despite an abundance of marine resources, it has one of the world's lowest per capita rates of fish consumption. Although no sophisticated fishing techniques are required to achieve good catches, Somalis are traditionally unaccustomed to fishing or eating fish. Other challenges which exacerbate the situation include a lack of market outlets and extensive post-catch losses due to poor handling and the lack of a cold-chain. Moreover, a lack of policies, regulations and surveillance have resulted in high levels of illegal, unreported and unregulated fishing activity, which cause serious economic losses and further reduce the availability of fish to local people.

It is generally predicted that the frequency and intensity of extreme climatic events will continue to increase, and is a major factor contributing to further vulnerability. Pastoralists' adaptive capacity to resist or recover from climate-related shocks is seen to have been progressively undermined. A mesh of factors, among them the effects of recurrent conflicts and famines, chronic underdevelopment and lack of access to basic services, high population growth and environmental degradation as well as political marginalization of pastoralist areas, have weakened pastoralists' resilience and undermined livelihood systems, leading to an increasing number of pastoralists migrating to peri-urban areas in the hope of securing alternative livelihoods opportunities.



The Horn of Africa experiences significant levels of migration both within and out of the sub-region (noting there are also smaller but significant populations migrating to the Horn from other crisis situations in the wider regional context).⁴ Population mobility takes a multiplicity of both forced and voluntary forms (although these distinctions are not always entirely sharp), triggered by both push and pull factors. Voluntary migration in which people are essentially motivated to seek better opportunities, is central to the livelihoods of millions – particularly where economic opportunities at home are limited. In addition, the sub-region faces large numbers of people being forced to migrate, whether internally or across borders, as a result of conflict, disasters, and other types of instability.

In Somalia alone there are 1.1 million IDPs, 80 percent of them are women and children, who live in protracted displacement in unplanned and informal settlements across the country⁵. The influx of internal displaced people in Gedo, Somalia has been increasing, and a preliminary report by IOM indicated that 90,000 people are displaced from their homes to formal IDP settlements in five districts of Gedo region. There are approximately 76,000 people in Gedo Region requiring access to basic services due to drought and further humanitarian crisis caused by El Niño. While much of it has returned to a neutral phase, its impact persists.

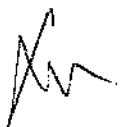
Recent years have thus seen concerted efforts by Member States seeking to advance common agendas around peace and security challenges through the Inter-Governmental Authority on Development (IGAD). IGAD, through its Conflict, Early Warning and Response Mechanism unit (CEWARN), is seen to have been particularly effective in the prevention and mitigation of cross-border pastoralist and related conflicts.

At the sub-regional level, IGAD was initially formed to respond to drought and disasters following a locust plague and related famine in the 1980s. Since its mandate renewal in 1996, IGAD has maintained related work objectives as a core part of its focus, including:

- Achieve regional food security and encourage and assist efforts of Member States to collectively combat drought and other natural and man-made disasters and their consequences;
- Initiate and promote programs and projects to achieve regional food security and sustainable use of natural resources; promote environment protection; regional economic cooperation and integration, social development, good governance, peace, security, and address humanitarian crisis in the region and encourage and assist the efforts of Member States to collectively combat drought, desertification and other natural and man-made disasters and their consequences; and
- Mobilize resources for the implementation of emergency, short-term, medium-term and long-term programs within the framework of regional cooperation.

⁴ *Ending Need Indeed: Harmonising Humanitarian, Development and Security Priorities in the Horn of Africa*, UNDP Sub-Regional Assessment No. 2, Consultation Draft, Nov 2016

⁵ Somalia, Humanitarian Needs Overview, 2017



Several of its dedicated institutions, programs and partnerships are concerned with aspects of this agenda, which together with interventions in the peace and security domain make up the most extensive range of IGAD activity. The last few years have seen a significant expansion and renewal in activity across the region. Key policies and strategies including the IGAD Food Security Strategy; the IGAD Regional Environment Policy; the IGAD Environment Impact Assessment Policy Framework, the IGAD Environment Impact Assessment Guidelines, the IGAD Environment Impact Assessment Protocol, the IGAD Biodiversity Policy, the IGAD Biodiversity Protocol, the IGAD Environment and Natural Resources Strategy, etc. have been developed; and IGAD is involved in the leadership and coordination of various initiatives and key strategic areas of activity, aimed at addressing the region's problems:

- The IGAD region's greatest single defining imperative is the urgent need to cope with its severe and worsening ecological circumstances, characterised by recurrent droughts and advancing desertification, which are exacerbated by global warming and climate change phenomena. One of the examples of programs which aim to bring about the collective action of neighboring countries to help solve common problems is the *IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI)*. In the Summit held in Nairobi in September 2011, which led to the launching of IDDRSI, the Heads of State and Government of the HOA region made a collective decision to end drought emergencies in the region and agreed to embark on regional projects to address the underlying causes of vulnerability in drought-prone areas through cross-border cooperation: *"As we pursue the above strategies in our respective countries, we are cognizant of the fact that the arid lands of the Horn of Africa extend across national boundaries. Indeed, much of the countries in the HOA are under the same climatic zone; and when drought occurs, it affects most, if not all, of these countries concurrently. Thus, it is abundantly clear that close collaboration among the countries in the region will be of essence, if we are to succeed in our shared goal of ending drought emergencies now and in the future"*.
- IDDRSI is seen as an opportunity for investing in sustainable development and optimizing the productivity of the region's ASALs through building the resilience of the communities to the region's environmental and socio-economic shocks. The efforts to address the vulnerabilities and challenges of drought-prone communities, including poverty, food insecurity and environmental degradation, are not new; but doing so in a concerted, coordinated manner by all countries of the region working together, as a collective undertaking aimed at building the resilience of the affected communities, has been widely welcomed as a new way of doing things. The implementation of IDDRSI is guided by a common strategy, involving the concerted promotion and execution of policies, programmes and coordinated actions throughout the countries of the IGAD region, supported within a framework of enhanced international partnership, aligning humanitarian interventions with long-term development investment. IGAD's plan to end drought emergencies, build drought resilience and achieve growth and sustainable development in the Horn of Africa is the region's most versatile development paradigm yet, which has received considerable attention and got many actors viewing various development challenges and the different drivers of vulnerability with a resilience lens. IDDRSI provides a framework through which the key factors that contribute to the instabilities and vulnerabilities in the region can be analyzed, understood and comprehensively addressed. IDDRSI has now evolved into an integrative mobilizing force that serves as an effective rallying point to drive the region's development agenda. The

IDDRSI Platform coordination mechanisms managed by IGAD's Platform Coordination Unit (PCU) facilitate sharing of experiences, designs the corrective measures that help maintain the desired course, promotes regional cohesion and enhances international cooperation. IDDRSI-projects, comprising harmonized, multi-sectoral, holistic interventions that require cross-border cooperation among neighboring countries are being initiated in different areas of the IGAD region, under the general leadership and coordination of IGAD.

- The IGAD Climate Prediction and Application Centre (ICPAC): ICPAC was founded by Member States in 2007, with objectives to provide timely climate early warning information and sector specific products for the mitigation of the impacts of climate variability and change to improve the technical capacity of producers and users of climate information; to develop an improved system of information about climate change; and to upgrade related information systems on climate variability and vulnerability;
- The IGAD Centre for Pastoral Areas and Livestock Development (ICPALD): ICPALD undertakes a range of activities contributing to its overall institutional mission, which is to complement efforts of IGAD Member States to sustainably generate wealth and employment through livestock and complementary livelihood resources development in arid and semi-arid areas of the IGAD region;
- The IGAD Conflict, Early Warning and Response Mechanism (CEWARN): CEWARN has a focus on pastoralist-related conflicts. Through field monitors in different areas, CEWARN observes cross-border and internal pastoral conflicts and provides information related to potentially violent conflicts, their outbreak and escalation, also liaising with local administrations and communities within and across borders to avert crises;
- The IGAD Water Unit (IWU) at IGAD Headquarters: The overall objective of IWU is to promote peace and stability and support socio-economic development of the region through efficient and effective water management and governance. The IGAD Water Unit (IWU) is responsible for coordinating water sector activities;
- The Food Security and Nutrition Working Group (FSNWG): The FSNWG is an informal regional information-sharing platform, that is co-chaired by IGAD and FAO, in collaboration with ICPAC;
- The Resilience Analysis Unit (RAU): RAU was launched in 2014 by IGAD in partnership with FAO, UNICEF, UNDP, UN-OCHA and WFP in 2014. RAU is a technical arm of the IDDRSI Platform that seeks to understand vulnerability and analyse resilience, which serves to assess the impact of resilience-enhancement investment and contributes to resilience building by ensuring that households, communities and governments in the region have better information, analysis and guidance. RAU also serves to build the capacity of IGAD Member States and development partners in the measurement and analysis of resilience of vulnerable households and communities.



II. STRATEGY

Sector Strategies & Key Interventions

International agencies, responding to situations of humanitarian disaster and need, including those in the Horn of Africa, have long taken the transnational nature of such contexts into account when designing appropriate interventions. Expertise on conflict analysis similarly emphasizes the significance of regional contexts in understanding root causes, drivers and dynamics shaping many conflicts around the world. And, increasingly, the case for approaches to development programming and planning in Africa, that are more explicitly cognizant of dynamics that take place beyond or between national borders, is ever-more apparent. As advocated strongly by the African Union Commission (AUC), through its economic policy frameworks, as well as its peace and security architecture and overall Agenda 2063: Unity, Prosperity and Peace, greater levels of regional integration and cooperation will be an essential component of the continent's future success.

Cross-border cooperation is also understood as an important stratagem to challenge the critical state of continued on-off emergency that persists in the Horn of Africa, and contributes to the effective realisation of the 'relief to resilience' paradigm. The need to move effectively from humanitarian assistance to sustainable human development in areas of crisis was identified as Core Priority 4 of the Agenda for Humanity adopted by the World Humanitarian Summit (WHS) in 2016. Core Priority 4 responds to widespread calls laid out in the UN Secretary General's *One Humanity: Shared Responsibility* report for 'new ways of working' to respond to the needs of people in crisis, while working actively to move people out of crisis and onto a path toward the achievement of the 2030 Sustainable Development Agenda. It calls for shared context analyses and a common framework to guide all partners' interventions in a given context.

In late 2014, a new Horn of Africa Initiative to promote stability and development in the region was launched by the World Bank, UN, EU, African and Islamic Development Banks, the African Union Commission and IGAD. The initiative pledged to provide political support and financial assistance to Governments of the region, and to focus on cross-border areas in particular.

The AU Convention on Cross-Border Cooperation (the Niamey Convention) of 2014 proposes a framework for completely re-envisioning African border areas. It has the following objectives: i) Promote cross-border cooperation at local, sub-regional and regional levels; ii) Seize the opportunities arising from shared borders and address related challenges; iii) Facilitate the delimitation, demarcation and reaffirmation of inter-state borders, in conformity with mechanisms agreed upon by the parties concerned; iv) Facilitate the peaceful resolution of border disputes; v) Ensure efficient and effective integrated border management; vi) Transform border areas into catalysts for growth, socioeconomic and political integration of the continent; and vii) Promote peace and stability through the prevention of conflicts, the integration of the continent, and the deepening of its unity.



In the context of the Niamey Convention, and in response to the 2014 multi-party initiative for the Horn, Ethiopia and Kenya agreed a Memorandum of Understanding (MoU – see Appendix 1) for a *Cross Border Integrated Programme for Sustainable Peace & Socio-Economic Transformation*. This was signed in December 2015 in collaboration with IGAD and UNDP, and builds on the Special Status Agreement signed between the two countries in November 2012. The MoU covers the whole border area between the two countries, with a pilot phase in Marsabit County in Kenya, and Borana and Liben Zones in Ethiopia.

The accompanying US \$200 million five-year cross-border Programme “*Cross-border Integrated Programme for Sustainable Peace and Social-economic Transformation in Marsabit County (Kenya) and Borana and Liben Zones (Ethiopia)*” was launched by Kenya’s President Uhuru Kenyatta and Ethiopia’s Prime Minister Hailemariam Dessalegn, in December 2015, as part of an agreement between the two countries to foster environmental protection, trade, development and peaceful coexistence in their border regions. This programme, to address the challenges of conflict and sustainable development in Marsabit County of Kenya and Borana and Liben Zones of Ethiopia, was initiated and implemented by the UN Country Teams of Ethiopia and Kenya and IGAD, in partnership with the Governments of Ethiopia and Kenya. While informal trade already exists between the border communities, the Programme is focused on developing the area’s untapped energy and mining resources, and meat and livestock trade, to create jobs particularly for the youth. Other pillars of the programme include improved access to health and education, and efforts to build social cohesion and trust between the communities, in order to mitigate conflicts triggered by scarcity of pasture and water. The programme is underpinned by initiatives on sustainable use of resources, in line with IGAD Natural Resources and Environment Management Policies and Strategies and the Global Sustainable Development Goals (SDGs).

The Programme builds on ongoing development initiatives in the area, including IDDRSI which is aimed at regional cooperation in building the resilience of vulnerable communities in the Horn of Africa in a coordinated manner; and it engages a wide range of stakeholders including civil society, private sector, faith-based organizations, peace committees, development partners, and philanthropic organizations. The objectives of the project are in line with the Government of Kenya’s policy under MTP 2 to “establish effective peace and conflict structures throughout the country... and enhancing the capacity of international cross border conflict management”, as well as the Ethiopian Government’s policy to address “the violent resource-based inter-clan and other conflicts in the border areas”⁶.

In October 2015, the European Council adopted the *EU Horn of Africa Regional Action Plan* and agreed to give priority to five groups of actions in the period 2015-2020, namely: regional security and stability, migration and forced displacement, counter-radicalisation and violent extremism, youth and employment and human rights, rule of law and democratic governance. It also recognised that addressing these challenges will require interventions in peripheral regions and across borders, and will demand a more synchronised approach to the political, development, economic, migration, gender-based and security aspects of these issues.

⁶ Ministry of Agriculture (2012) *Ethiopia Country Programme Paper to End Drought Emergencies in the Horn of Africa*. Addis Ababa. Author and the Government of Kenya (2013). *Kenya Mid-Term Plan, 2013-2017*. Government Printer.



The *EU Trust Fund Strategic Orientation Document* for the Horn of Africa emphasises the need for a new approach to peripheral and cross-border areas, providing a more targeted response to tackle the main determinants of vulnerability (marginalisation, exclusion, destitution) and targeting populations at risk (particularly youth) in particular where instability, forced displacement and irregular migration are important factors.

The EU has now launched a significant new Programme, "*Collaboration in Cross-Border Areas of the Horn of Africa Region – Phase I*" (63.9m Euro), of which this project forms a part, financed by the Trust Fund. The action contributes to EU Trust Fund objectives on (1) creating greater economic and employment opportunities; (2) strengthening resilience of communities, and in particular the most vulnerable; and (3) improving governance and conflict prevention, and (4) reducing forced displacement and irregular migration. The action is consistent with the objectives of IDDRSI in its aim to enhance the resilience of vulnerable communities; it is also aligned with the Valletta Action Plan priority domain in regard to the development benefits of migration and addressing root causes of irregular migration and forced displacement.

The overall goal of the new Programme is to prevent and mitigate the impact of local conflict in borderland areas, and to promote economic development and greater resilience. This will include investments in conflict management and resolution capacities; enhancing and diversifying livelihoods, including livestock, agriculture and fisheries; basic services delivery; natural resource management; and promoting cross-border trade and private-sector development. The intervention logic of the action is based on the premise that if the EU wishes to help borderlands become more vibrant and stable then it needs to support innovative approaches aimed at reducing and mitigating the impacts of conflict, displacement and irregular migration; and enabling the communities to cope and adapt better to environmental and other changes.

The geographical scope of the action is along two main axes. The first is along the Ethiopia and Kenya border, as well as Somalia; the second is along the Ethiopia-Sudan border in an area of Western Ethiopia and East Sudan. As part of the overall EU Programme, UNDP will implement a project on conflict prevention in conjunction with its own initiatives for Marsabit County in Kenya and Borana and Dawa Zones in Ethiopia, as well as the project herein to support improved cross-border cooperation and coordination in general in three clusters comprising the EU Programme's first axis (Southwest Ethiopia and Northwest Kenya encompassing Omo-Turkana-Cluster I, Marsabit-Borana and Liben -Cluster IV, Kenya-Somalia-Ethiopia encompassing Mandera-Gedo-Doolow-Dawa-Cluster II).

The 3rd and 4th meetings of the IDDRSI Platform Steering Committee, held in Khartoum (November 2014) and Addis Ababa (March 2015), respectively, recommended that IGAD should develop a concept note for the establishment of Cross-border Development Facilitation Units to coordinate activities in the execution IDDRSI projects being implemented in cross-border areas of the IGAD region; and urged IGAD to design appropriate frameworks for cross border cooperation in development interventions in all the affected neighbouring member states. A regional workshop held in Nairobi on 25th April 2016 provided an opportunity to build a common understanding on how to plan and implement resilience-enhancing investments in cross-border areas of the IGAD – region; reviewed aspects of cross-border cooperation and discussed the modalities of cooperation in the management of interventions in cross-border areas. The workshop identified the challenges and opportunities that affect development; and examined proposals for the establishment of a cross-border development facilitation unit.

Since then, the IGAD Secretariat and the Member States have identified, within the framework of IDDRSI, cross-border areas for intervention and have made an extensive push to mobilize resources for the IGAD member states to increase labor mobility; establish protocols on the movement of livestock across borders; increase employment and economic opportunities particularly for young people and women; improve the management of water resources; and strengthen infrastructure for livestock, agriculture, and fisheries.

In the three selected cross-border areas, several programmes are currently coordinated by IGAD and are under implementation by member states (Ethiopia, Kenya), IGAD Secretariat and/or by IGAD Specialized Institutions.

The World Bank funded Regional Pastoral Livelihoods & Resilience Project (RPRLP) is a 5-year cross-border programme under implementation by ICPALD, Ethiopia and Kenya in the Marsabit-Moyale and South Omo-Turkana clusters. Key outputs consist of:

- a) Water Resources Development - Access to sustainably managed water resources for pastoral and agro-pastoral communities increased
- b) Securing Access to Natural Resources - Conflicts related to access to natural resources reduced
- c) Livestock Mobility for Trade of Livestock and Livestock Products - Policies, regulatory framework and capacity for trade enhanced
- d) Livestock Production and Health - Livestock health services at the regional, national and local level enhanced to support greater production and productivity
- e) Pastoral Risk Early Warning and Response System - Regional, national and local early warning and response mechanisms for disaster risk management effectively functioning.
- f) Disaster Risk Management - Effective disaster risks management policies operationalized and contingency funds available.

The African Development Bank (AfDB) has initiated with Kenya, Ethiopia, Sudan, Djibouti and Somalia a three-phase programme totalling 300 million USD between 2012 and 2020, the Drought Resilience & Sustainability Livelihood Programme (DRSLP). Coordination is ensured by the IDDRSI PCU at the IGAD Secretariat.

In the Marsabit-Moyale Cluster, DRSLP phase 1 focuses on Water Infrastructures Development; Soil and water conservation; Harmonization and coordination of vaccination programs to control for trans-boundary livestock diseases; Design & implementation of in kind credit for women to engage in livestock activities including pass-on modalities; Provision of inputs to women for agricultural and livestock related products and marketing; Provision of inputs for non-agricultural income diversifying activities.

In the Mandera Triangle, ICPALD and FAO jointly implement the IGAD-FAO partnership programme funded by SDC. Major outcomes and outputs under the PP over the next three years are:

- a. **Outcome 1: Cross-border communities have enhanced trade opportunities, improved access to natural resources and increased productive capacity**



- Output 1.1: Communities have developed investment plans and proposals and have the capacity to deliver those plans
- Output 1.2: Community initiatives have been selected, financed and implemented
- b. Outcome 2: The regional thematic resilience related policy framework has improved.**
- Output 2.1 Policy gaps and opportunities are identified, analyzed and prioritized
- Output 2.2: Regional thematic policy reformulated and developed to address emerging priority gaps

- c. Outcome 3: Improved evidence-based analysis and information feed into investment decisions.**
- Output 3.1. Quality information is produced and is available for a wide stakeholder group
- Output 3.2. Various information produced, lessons learnt and good practices in cross-border areas are shared
- d. Outcome 4: IGAD specialized institutions are able to more effectively deliver its mandate.**
- Output 4.1. IGAD specialized institutions (CEWARN, ICPAC, ICPALD, ISTVS) contribute to developing regional capacity and knowledge on resilience

IGAD firmly believes that the management of natural resources and cross-border communications for issues such as surface and ground water resources, market access, and animal health are all factors that promote economic development, peace, and security. As such, IGAD Specialized Institutions (ICPALD, ICPAC, CEWARN) have spearheaded the development and the domestication of policies and programs to enhance the technical and research capacities of the region. This includes the development of:

- The Regional Animal Health Strategy
- Regional Animal Welfare Strategy
- Regional Legal Framework on Livestock Identification, Traceability, and Dissemination;
- Regional Animal Health Emergency and Contingency Plans
- Regional Sanitary Phyto-Sanitary (SPS) Strategy
- Regional Peste des Pets Ruminants (PPR) Progressive Control and Eradication Strategy
- Linkages between early warning and early action through an integrated regional early warning system
- Expanded efforts in protection/safety nets, financial services, and insurance/risk mitigation measures.

The Horn of Africa, with its geostrategic location, is a source, as well as an area of transit and of destination of mixed migratory flows, and a centre of migratory routes towards Europe, the Gulf countries and the Middle East, and Southern Africa. These challenges have numerous drivers which vary according to local contexts, but are commonly rooted in a lack of socio-economic opportunities, poverty, instability or climate change. With nearly 250 million inhabitants and a rapidly growing population, the Horn of Africa hosts the largest number of internally displaced persons and refugees in Africa, and one of the biggest in the world.

The EU is working in partnership with IGAD and UNDP to support governments, communities and the private sector on all sides of the borders of the selected clusters. Through investment in conflict prevention, cross-border trade and private sector development, it is expected that livelihoods will be diversified and that the management of shared natural resources will be improved. The first phase of

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the work will take place along two main axes: Kenya-Somalia-Ethiopia, and along the Ethiopia-Sudan border. The EU seeks to address instability, irregular migration and forced displacement, as well as broader conflict drivers which cause violent extremism in the region.

The EU announced on the 28th of April, 2017, new actions worth €59 million to improve stability and address the root causes of irregular migration and forced displacement in the Horn of Africa region.

The regional project "Promoting Peace and Stability in the Horn of Africa Region" (€40 million) covers all countries in the Horn of Africa and aims to contribute to achieving sustainable peace, security and stability to improve economic integration and development. The project will enhance the capacity of IGAD and national governments of the region in key areas of peacebuilding.

The EU Trust Fund (EUTF) is a key tool to address these challenges. Its implementation in the Horn of Africa puts into practice the joint commitment of the EU, its Member States and African partners to better manage migration flows as agreed upon at the Migration Summit, November 2015 and described in the Valletta Action Plan.


The EUTF supports initiatives which reduce cross-border and peripheral area vulnerabilities and address dimensions of fragility at a regional level. In relation to this and not secluded to, the EU trust fund has allocated funds to initiatives in the region which further, Regional Research and Evidence (€4.1 MIO), Regional Strengthening of IGAD's ability to promote resilience in the Horn of Africa (€5 MIO), Regional Collaboration in cross-border areas (€63.5 MIO), Regional Implementation of a Monitoring and Learning Framework for the Horn of Africa (€2 MIO). The EU is for example in Somalia promoting a culture of tolerance and dialogue (€5 MIO) and in Kenya channelling funds to conflict prevention, peace, and economic opportunities for youth (€2 MIO).

This project is an integral part of a programme addressing the underlying root causes which create fragility and hamper the development prospects in the region. The project is primarily aimed at ensuring effective trans-boundary cooperation and coordination of EU Trust Fund initiatives in the three clusters, as part of a wider EU framework on how to address the cross-border challenges of the region, including irregular migration, climate change, forced displacement, human trafficking and violent conflict. The project will also be working to ensure effective coordination for cross border initiatives funded by the EU, UN and IGAD in the three clusters in order to avoid overlaps and maximise the impacts.

Project Theory of Change

This project is underpinned by a theory of change which maintains that the complex inter-related development challenges of the Horn of Africa require a coordinated response that partially rests upon improved cross-border cooperation. Five inter-linked processes have been identified that will contribute significantly to the improvement of cross-border cooperation in the Horn of Africa. These five processes include:

1. **Policy frameworks in place.** Develop new Policy Frameworks or support domestication of existing continental (AUC) and regional (IGAD) policy frameworks at national level through the adoption or revision of specific inter-governmental agreements, primary and secondary level legislations, regulations and protocols, establishing the institutional responsibilities, the competences of actors, and the standard operating procedures necessary to facilitate cross-border cooperation initiatives.



2. **Enhanced capacities of actors.** The capacities of relevant actors to engage in cross-border cooperation, particularly at the local level, needs to be reinforced in regard to existing and/or potential new competences and responsibilities, as well as to general development planning processes, project cycle management, and specific sectors of expertise.

3. **Development processes strengthened.** Further mapping and data collection is required to substantiate needs and validate approaches at the technical level. An inclusive and participatory methodology should be taken in the identification and formulation of development responses, to ensure interventions are attuned to the local context and benefit from community support and ownership, articulated to agreed mechanisms and processes for cross-border cooperation and coordination, and make synergy to other ongoing projects and initiatives in the area to avoid duplication of efforts.
4. **Improved Coordination including monitoring and evaluation.** Use of existing mechanisms or appropriate mechanisms need to be put in place or scaled-up to establish strategic dialogue fora for national and local authorities to meet and discuss cross-border development challenges and responses, ensure appropriate ownership of the change process
5. **Knowledge management systematised.** All interventions should be subject to a process of rigorous and ongoing monitoring and evaluation, to ensure that the envisaged results and impact are achieved in the most cost-effective manner. Cross-border investments and related activities have to be jointly planned and programmed on both sides of the border to reduce conflicts as a result of migration to share benefits of investments if invested on one side of the border. The systematisation of monitoring and evaluation, and the establishment of mechanisms to capture and disseminate good practice and lessons learnt, share information, and support the networking and coordination of practitioners should contribute significantly to the achievement of a consistent and effective approach to cross-border cooperation.

The project will have a particular focus on the issue of transboundary water management, and will support ongoing UN Environment work on cross-border arrangements for the sustainable ecosystem management of Lake Turkana, as well as the Genale-Dawa-Juba and the Shabelle basins. UN Environment will work closely with IGAD in the implementation of this component. In an encouraging recent development, Somalia has formally written to the IGAD Executive Secretary to join the Ethiopia – Kenya Dawa River Basin Integrated Development Programme Technical Committee.

Within the framework of the project established herein, the specific objectives of the UN Environment's contribution will be to:

- i) Build cooperation and a shared vision between Ethiopia and Kenya on the joint management of the lake and its river basins in line with IGAD Water Policy and other International Water Frameworks /Policies; with a view to developing an effective governance mechanism, including the formulation of joint implementation of risk mitigation measures;



- ii) Improve the scientific understanding of the hydrological regimes and ecosystem services of the lake and its river basins as a basis for risk identification and decision making on the sustainable management of the transboundary water resource;
 - iii) Support the establishment of a local system (local-government-level observatory) to monitor water quality and quantity;
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- iv) Create awareness among the riparian communities and the county/regional governments on the restoration and management of ecosystems including by demonstrating/piloting livelihood prospects that incorporate sound environmental practices including indigenous knowledge and skills based on participatory approaches; and
 - v) Explore how the lessons learned from the Lake Turkana basin can be applied to similar transboundary water resource management, in particular, the Genale-Dawa-Jubba basin and the Shabelle basin.
 - vi) Undertake water diplomacy (to build trust and confidence between the countries) and analysis in partnership with IGAD in the Genale-Dawa- Jubba and Shabelle Basins including meetings of the technical team comprising the three riparian countries to agree on a road map, undertaking a desk assessment of the existing studies and assessments to identify gaps that require updating or more information, fielding consultants to update/fill the gaps, validating the consultants' reports, etc. Somalia's capacity to engage in the process needs to be strengthened for the country to engage with the other countries as an equal partner.



III. RESULTS AND PARTNERSHIPS

Expected Results

The overall objective of the project is to address the drivers of conflict and instability, irregular migration and displacement in the cross-border areas of the Horn of Africa through improved cross-border coordination and cooperation.

The expected results of the project are:

- Expected Result 1: Regional policy frameworks, structures and protocols for cross-border cooperation between national and local Governments, the private sector, civil society and international technical and financial partners in development are strengthened
- Expected Results 2: Capacities of communities, local governments and civil society to fully engage in processes for development planning and results are built
- Expected Result 3: Effective cooperation & coordination, monitoring and evaluation of cross-border initiatives in place, including involvement of relevant national and regional actors in these processes

Output 1 Policy development & mechanisms for cross-border cooperation enhanced

Output 1.1 Key project structure & inter-Governmental agreement in place

UNDP and IGAD will work with the Governments of Ethiopia and Kenya to amend the existing MoU to secure the participation of the Government of Somalia as a full member of the inter-Governmental Steering Committee, and to extend coverage of the MoU to specifically include the two new clusters of Omo-Turkana (cluster I) and the Mandera Triangle (cluster II). Additionally, three Technical Committees (one for each cluster, including national and county/regional relevant stakeholders) will be put in place to provide technical support to the inter-Governmental Steering Committee.

Project partners will recruit regional management staff for the project, and UNDP will establish the internal process for project assurance by the Regional Service Centre for Africa. As per Section VIII below, it is intended that the inter-Governmental Steering Committee serves as the Project Board.

IGAD will facilitate cooperation between the 3 countries in the implementation of the project. An existing Platform Coordination Unit (PCU) will serve to coordinate the implementation of the cross-boundary interventions; take charge of cluster level cross-border facilitation units; provide a platform for technical assistance and support policy dialogue with countries. IGAD will include the

relevant skill sets for this action drawn from the IGAD divisions and specialized institutions including the IGAD Water Unit.

Output 1.2 Policies and protocols on cross-border cooperation are in place

The activity will focus on all aspects related to promoting inter-ministerial collaboration, be it among the selected countries or within each country; and among IGAD Member States Governments and non-public organizations (e.g. livestock traders, pastoralists unions), to facilitate bipartite agreements aimed at improving cross-border trade, as well as fostering cooperation in areas such as livestock disease control and fishing rights on Lake Turkana. The activity will facilitate rapid information sharing between countries and relevant counties and support awareness-creation around common harmonised policies and strategies (e.g. certification, guidelines, protocols etc.).

The activity will involve a review of the policies and protocols that affect the lives and livelihoods of cross-border communities and identify the changes that will lead to increased cooperation between the communities. Subsequently, the activity will foster the domestication of these changes in order to ensure effective cross-border policies and protocols.

The activity will be building on results achieved under the World Bank funded RPLRP and SDC funded IGAD – FAO PP and shall be carried out with the understanding that there are already existing signed MOUs on crossborder sharing of resources and services under ICPALD that are available on the ICPALD website and need only to be rolled out.

Output 1.3 The target countries have improved technical capacities to effectively address transboundary water management

Sustainable management of the Omo-Turkana trans boundary water resources will be enhanced through the establishment of a cross-border management mechanism and the resultant institution such as a basin management authority. UN Environment will lead a consultative process to draft a governance framework on the management of lake Turkana and its river basins. Inter-governmental water diplomacy workshops and cooperation meetings will be held, at appropriate decision-making levels, to build consensus and agree on monitoring system, data protocols, and other outputs from the project, and to consider for adoption the draft governance framework, etc. Furthermore, the awareness of local communities will be raised to better manage their water resources, ecosystems and biodiversity.

Initial dialogue meetings will be held to identify applicable lessons learnt to the Genale-Dawa-Jubba basin and the Shabelle basin. Tripartite water diplomacy among the riparian countries will be undertaken based on technical reports prepared during the implementation of the project. This will involve, among others, meetings of the technical team comprising the three riparian countries to agree on a road map, undertaking a desk assessment of the existing studies, identifying gaps that require updating or more information, conducting field assessments to update/fill the gaps,



validating the technical reports, etc.. Specific activities will also be implemented in order to strengthen Somalia's capacity to engage with the other countries as an equal partner.

Output 2 Coordination mechanisms in support of improved cross-border cooperation in place at all levels

Output 2.1 Cluster coordination meetings established and held

In order to enhance impact, ownership and synergy between initiatives at field level, IGAD will, working with the designated political and technical focal points in each country, support local authorities benefiting from the project – and from the wider assistance from the EU, UN system and other development partners – to organise regular coordination meetings of implementing partners in relevant local Government border areas. Representatives of national authorities will also participate in the meetings.

Particular relevance should be given to the cooperation and coordination with implementing partners of EU-funded Lot 1 and Lot 2 in each cluster, in order to ensure the coherence of the EU-funded cross border initiative.


Output 2.2 Effective sectorial coordination is established across clusters

In addition to area-based coordination in the clusters, the project will support coordination between the three clusters and sectorial coordination through the ongoing work of UN Environment and the regional IGAD platforms (IGAD Sectorial Ministerial Committees, IDDRSI, ICPAC, CEWARN, ICPALD, IGAD Water Unit, etc.) as well as relevant ongoing cross-border interventions funded by the EU, to ensure consistency and efficiency in knowledge management. IGAD will produce annual thematic reports in support of a programme of local, national, and regional learning activities. The annual thematic reports will include case studies of good practice identified and codified as examples for potential replication in other areas, for dissemination in trainings and through the knowledge management platform (see Output 5.2).

Output 2.3 Inter-Governmental Steering Committee and Technical Committees serviced

The UNDP Project Manager and IGAD Project Coordinator, with related project support staff, will jointly comprise the Project Management Unit which will also serve as Secretariat to the Inter-Governmental Steering Committee. The Project will also provide support to the activities of the Technical Committees for cluster I and cluster II and any technical task teams mandated by the Steering Committee. TORs for issue or sector-specific task teams will be developed by the Secretariat for Steering Committee approval.

The Inter-Governmental Steering Committee provides overall programme management, coordination and strategic directions, oversight of project implementation, and ensures that



projects objectives and goals are properly achieved. The Committee will meet at least once a year to ensure coherence, review progress, adjust programming as required and approve annual plans. The Steering Committee will comprise Office of the President, Kenya; Counties of Kenya in which the clusters are located; Ministry of Federal and Pastoralist Development Affairs of Ethiopia; Regional States of Ethiopia in which the clusters are located; equivalent National and county Government levels in Somalia; the EU; IGAD; UN Resident Coordinators of Offices of Kenya & Ethiopia and the UNDP Regional Service Centre for Africa. ~~The EU will participate to the Steering Committee meetings with the same status as UNDP.~~

The budget foresees that an additional Inter-Governmental Steering Committee meeting might be held together with the corresponding instance for Cluster III (Ethiopia-Sudan) for coordination purposes.

Output 3 Stakeholder capacities developed in support of cross-border cooperation

Output 3.1 Local governments and civil society organisations have strengthened their technical capacities to efficiently implement and promote cross-border policies

IGAD aims to provide capacity strengthening support to relevant subnational institutions to enhance provision of services by relevant national and regional institutions to efficiently support and promote cross-border policies. The activity will build capacities in the local government and local civil society organisations of the selected countries and support a greater engagement of the selected countries into the IGAD relevant decision- and policy-making processes on dry lands and pastoral areas. Training courses on pastoralism and transboundary dryland development will be prepared, providing the different stakeholders the technical capacity on policy and non-policy matter and the know-how to support the preparation of multi-sectoral cross-border development plans.

This output is inherently linked to output 1.2 in the sense that it will support relevant stakeholders in implementing effective policies and protocols affecting livelihood and economic activities in cross border areas.

This component will include studies on relevant thematic areas such as land use, rangelands monitoring and early warning; enhancing the uptake of climate information services; and land degradation monitoring in the cross-border cluster areas. IGAD intends to enhance the capacity at cluster level to use climate information for decision making and improve the capacity of relevant stakeholders in monitoring and assessing the exploitation of rangelands in cross-border areas.

The specific areas covered by the capacity building will be defined during the Inception Phase. Coherence and complementarity will be assured with similar activities planned in Lot 1 and Lot 2 projects in the different clusters. The Inception Phase will be used to clarify the areas of intervention of each actor implementing the broader EU cross-border programme in cluster I, II and IV and to avoid duplication or overlapping.

Output 3.2 Local stakeholders have strengthened technical capacities to carry out assessments and planning



In the Omo-Turkana and Mandera clusters, UNDP will undertake, in liaison and partnership with IGAD and local governments, a capacity gaps assessment of local partners during the Inception Phase of the project, and will provide a programme of training for all relevant beneficiaries and stakeholders to facilitate the development or updating of County Integrated Development Plans (CIDPs) as well as local border areas development plans, and to improve capacities to attract and absorb inward investment.

Local Government Officers and relevant civil society representatives will be identified to form a Local Area Development Committee, to mandate and approve working groups in a number of sectors to be agreed according to the needs prioritised in each area. The following list of working groups should be understood as indicative, for further definition in each area during the Inception Phase of the project: conflict and peacebuilding; gender inequality; youth and development; mobility, migration and displacement; water, sanitation and hygiene; health, nutrition and HIV; education; pastoralism; climate change and livelihoods.

The above sectors have been provisionally selected in order to align with those of the cross-border Programme already prepared for Marsabit-Borana cluster.

Facilitated by UNDP and the UN RCO in each country, the UN Country Team will ensure inclusive participation and appropriate gender balance of each sector working group, and will work with each group to establish process for the definition and assessment of community needs and for the identification and prioritisation of projects best suited to meeting them. Consultants will provide on-the-job training to members of the working group, ensuring that all members are capacitated and empowered to provide inputs. Training will be provided to the sector working groups in all aspects of project cycle management.

The precise number of trainings, and the likely number of participants, will be determined during the Inception Phase of the project, once the initial capacity gaps assessment is undertaken and agreement has been reached with local partners as to the number and composition of sector working groups to be established.

Coherence and complementarity will be assured with similar activities planned in Lot 1 and Lot 2 projects in the different clusters as well as the national policies of each target country.

Output 3.3 National practitioners have enhanced technical capacities to carry out transboundary water management

UN Environment will, in liaison with IGAD, provide training on integrated water resources management, support the establishment of monitoring stations in the hotspot areas, and develop the capacity of national practitioners (water technicians and managers especially at local/regional government level) to monitor water quality and quantity, undertake ecosystems assessments, and to manage water management pilot activities (see Output 4.1 below).

Output 4 Development planning processes at cross border level are better understood, more evidence-based, participatory and accountable



Output 4.1 Scientific evidence on the status of Lake Turkana and its river basin improved, covering the water quality and quantity, hydrological regimes, and scenario modelling

UN Environment will conduct a desk study to identify the existing data and information on lake Turkana and its river basins and the gaps that exist in the data required to fully understand the status of the transboundary water resource. The study will further recommend how the data gaps will be filled and propose terms of reference for undertaking additional field studies to fill the identified gaps. A detailed work plan and budget will be prepared during the Inception Phase of the project. The output of this activity will be a report to be presented for validation at a project inception workshop, and thereafter considered by the Technical Committee of the project for approval by the Inter-Governmental Steering Committee.

UN Environment will also conduct an integrated ecosystem assessment and undertake field work to collect data to fill the identified gaps including impacts of climate change, establish baselines and indicators for monitoring implementation progress, and develop management options based on the findings of the study. Continuous monitoring of water quality and quantity will be achieved through establishment of monitoring stations to provide scientifically sound data on the hydrology of the lake and its river basins. The studies will further identify hotspots and propose/design pilot rehabilitation activities that could be implemented to ease the pressures identified in the studies. The identification of groundwater potential, aquifer recharge areas, and inter-aquifer flows will be considered.

UN Environment will implement pilot/demonstration interventions/activities to address issues identified in the hotspots. Water resources systems modelling for planning and management of the basin water resources will provide a common way for planners and managers to predict the behaviour of any proposed intervention before it is implemented.

A "no harm" approach will be assured and coherence will be guaranteed with the interventions of Lot 1 (on conflict prevention) and Lot 2 (where irrigation and water related activities will be implemented).

Output 4.2 Local/national authorities have developed/revised local border areas development plans to address transboundary challenges and maximise the benefit of cross-border development opportunities

Training in development planning (Output 3.2) for sector working groups will be accompanied by a review of existing studies and literature, a process of data collection and analysis for preparation of area-based plan preparation and evidence-based decision making processes, the commission of specific studies to fill gaps in research and knowledge, and consensual agreement to recommendations for the main directions of future intervention in the Omo-Turkana and Mandera Triangle clusters, similar to that already conducted for Marsabit-Borana cluster.

The process for each sector group in each area of each cluster will be led by relevant experts of the UN Country Team. The data collection and analysis activity in each area will culminate in a local data validation workshop, prior to submission of findings to the Technical Committees.



The sector working groups will report to an inclusive and participatory dialogue forum to be established for each local authority area of each cluster, to ensure community inputs into the development planning and prioritisation process. Findings and conclusions will then be brought together as part of the overall joint cross-border planning and programming exercise with a view to preparing seven new or updated local area-based development plans with local/national authorities (for each border region of each cluster), and three consolidated Cluster plans that address transboundary challenges and maximise the benefit of cross-border development opportunities.

The updated local area-based development plans will be printed and disseminated by the project in English and local-language versions.

Output 5 Knowledge Management system captures and disseminates results and good practice, facilitates cross-border coordination and cooperation

Output 5.1 EU-funded Cross-border projects aligned and monitored

IGAD will coordinate with the organisations selected to implement Objective 1 and 2 of the EU's broader cross-border programme in the three clusters and will be responsible for developing a common programme-level logical framework to coordinate the M&E actions and to assess and support the coordination mechanisms to be established at each cluster level. IGAD will provide M&E support to all organizations involved in the implementation of the components of the Cross-Border programme and ensure that they have suitable and (to the extent possible) compatible M&E tools and methodologies.

IGAD will undertake, on regular basis, cluster and overall programme level monitoring and evaluation to assess the implementation progress and the impacts of the EU-funded cross-border projects (on conflict prevention, resilience building and economic development) in each of the three clusters. Based on the M&E results and cross-cluster comparison, IGAD might provide relevant recommendations.

M&E activities will include regular monitoring of implementation performance and results, annual outcome evaluations, annual thematic studies, technical audit of infrastructures, and case studies. The M&E activities will be used to inform the Inter Governmental Steering Committee and will provide the basis for dissemination of the lessons learned of the project at local, national, and regional level, and through a knowledge management platform to be established (Output 5.3 below).

Output 5.2 IGAD Online Knowledge Management Established

IGAD will establish a web-based knowledge management platform (KMP) for cross-border cooperation in the Horn of Africa. The KMP will serve three purposes: (1) as a place for news, information & networking for practitioners; (2) as a tool for coordination and the dissemination of lessons learnt and good practices; (3) as a vehicle for investment tracking, project transparency and donor visibility. Terms of Reference for technical development and maintenance of the site

structure and functionality of the KMP will be prepared by IGAD with EU Delegation inputs during the Inception Phase of the project. During the Inception Phase, a mechanism will be established to make sure that cluster III experiences also feeds into the KMP.

Output 5.3 Project regularly evaluated

In addition to internal monitoring, to be conducted by the UNDP Regional Service Centre for Africa as part of its work of project assurance, the strategic impact of the project, and recommendations for adjustment of outputs/activities, or for follow-up work, will be made by external evaluations to be conducted mid-term and within six months of project closure.

Resources Required

The project is conceived primarily as a technical assistance and capacity development intervention, and requires the following types of inputs:

- Consultancy fees for technical assistance and training activities; related travel costs and daily expenses for deployment of experts;
- Vehicles, equipment and furniture for project offices; IT costs relating to technical development and maintenance of the knowledge management platform;
- Travel costs and daily expenses for beneficiaries and stakeholders to ensure their effective participation in activities and management of the intervention;
- Organisational costs for trainings, consultative meetings and dialogue fora;
- Costs for the project team, field project offices and vehicles running costs (See Section IV, Project Management).

Geographic scope & estimated number of beneficiaries

The geographical scope of the action is along an axis comprising the Ethiopia and Kenya border, as well as Somalia. This includes the cross-border area of Southwest Ethiopia and Northwest Kenya (Cluster I), encompassing South Omo in Ethiopia, and Turkana in Kenya; Kenya-Somalia-Ethiopia (Cluster II), encompassing Mandera, Gedo and Doolow; and the Kenya and Ethiopia border between (Cluster IV), encompassing Marsabit County in Kenya and Borana Zone in Ethiopia. A second axis, covered by a separate EU-funded project, comprises Cluster III, the Ethiopia-Sudan border.

The cluster areas of the project herein have a total population of approximately four million people, most of whom are pastoralists and agro-pastoralists. All these stand to gain from the proposed actions and other investments being made by UNDP and other Agencies of the UN Country Teams, by IGAD and by other implementing partners of parallel EU-funded projects.



- Cluster I: South Omo is a Zone in the Ethiopian Southern Nations, Nationalities and Peoples' Region (SNNPR), with a total population of 573,435, of whom 286,607 are men and 286,828 women, and with an area of 21,055.92 square kilometers. Turkana County in Kenya has an area of nearly 77,000 km². Its capital and largest town is Lodwar. The county has a population of 855,399 (2009 census).
- Cluster II: Mandera County in Kenya comprises 6 electoral constituencies and 20 districts. ~~The county has a population of 1,025,756 (2009 census) and an area of 25,797.7 km².~~ The corresponding region of Somalia, Gedo, comprises 6 districts, and had a population of 590,000 in 1994. Current population figures are unknown. Doolow in Ethiopia is one of the woredas of the Somali region, part of Liben zone. According to the 2007 Census, Liben zone in Ethiopia has a total population of 539,821, of whom 297,315 are men and 242,506 women. While 46,892 or 8.69% are urban inhabitants, a further 258,214 or 47.83% were pastoralists. Currently there are five refugee camps housing 174,463 refugees from Somalia, located in Doolow.
- Cluster IV: The cross-border programme interventions will cover Marsabit County in Kenya, and Borana zone in Ethiopia. Marsabit County in Kenya has a surface area of 66,923 square kilometres, and is the largest county in Kenya. Its capital is Marsabit and its largest town Moyale. The county has a population of 291,166. Borana Zone in Ethiopia has a total population of 962,489, of whom 487,024 are men and 475,465 women, with an area of 45,434.97 square kilometers.

Project Partnerships

The proposed project will be implemented by UNDP, in partnership with UN Environment and the Inter-Governmental Authority on Development (IGAD). The implementation will be closely coordinated with the national and local Governments of Kenya, Ethiopia and Somalia. It will be closely coordinated with, other activities of IGAD and the UN Country Team in each location, and with activities of other actors financed by the broader EU Programme for cross-border collaboration in the Greater Horn of Africa.

IGAD is one of the eight Regional Economic Communities recognized by the African Union (AU); and, as such, works towards regional economic integration as part of the longer-term AU vision, serving as part of the African Peace and Security Architecture (APSA). The IGAD secretariat is based in Djibouti; and comprises three program divisions (Agriculture and Environment; Economic Cooperation and Social Development; and Peace and Security) that reflect its core mandate. In addition, IGAD has a number of specialised institutions namely, Conflict and Early Warning Mechanism (CEWARN), based in Addis Ababa, Ethiopia; the IGAD Climate Predictions and Applications Centre (ICPAC) and the IGAD Centre for Pastoral Areas and Livestock Development (ICPALD), both based in Nairobi, Kenya; and the IGAD Sheikh Technical Veterinary School (ISTVS) in Sheikh, Somaliland. IGAD's institutional structure consists of four main elements. The highest policy-making body is the IGAD Assembly of the Heads of State and Government, which meets in a Summit at least once per year. The second body is the Council of Ministers, composed of ministers of foreign affairs and one other focal minister designated by Member States. This body is responsible for approving policies and work programs formulated by IGAD under the authority of the Summit. The third body is the Committee of Ambassadors composed of the IGAD member states' ambassadors accredited to the IGAD headquarters in Djibouti, overseeing the working body of its secretariat. The

final body is the Secretariat itself responsible for assisting Member States in formulating and implementing projects in agreed areas, facilitating the coordination and harmonization of policies, mobilizing resources, among others.

IGAD's mandate for, and work toward, regional coordination will be enhanced through project support to its existing programmes and structures (IDDRSI, CEWARN, ICPAC, ICPALD, ISTVS, IWU, etc), through its participation in the Inter-Governmental Steering Committee (as Observer, and member of the Secretariat), and by leading on coordination at cluster level (see Section IV, Project Management). IGAD will also undertake capacity development activities, as described in the Expected Results section above, and in Section VII, the Multi-Year Work Plan.

Risks & Assumptions

The project assumes that the Governments of Kenya, Ethiopia and Somalia remain committed to further cross-border cooperation between themselves, continue to support IGAD and UNDP attempts to facilitate it, and participate in the project with a 'whole of Government' approach to development and implementation. The project also assumes the continued interest and participation of a broad range of civil society and local Government stakeholders at the cluster level.

Key strategic risks, and the measures taken to mitigate them, are as follows:

RISK	MITIGATION
Inadequate/insufficient political will in support of improved cross-border cooperation; Governments decline to extend MoU to include Somali representation.	High levels of Government ownership already indicated, high-level advocacy of UN and EU envisaged in support of broadening participation in the inter-Governmental Steering & Technical Committees to include Somali participation & inclusion of the EU on same terms as the UN.
Deterioration in the security environment negatively impacts ability to work in one or more clusters	The security environment of the project remains problematic for the deployment of staff, particularly in the Mandera triangle, and could preclude work at the local community level. The project will work with national and local authorities, and under the guidance and authority of UNDSS, and will report security constraints pertaining to the Project Board.
Intensification of drought to extreme level	Many project-supported IGAD activities will have particular relevance in such a scenario, and emergency response measures that might be taken will be brought to the Project Board

	for approval.
Poor participation by beneficiaries in project capacity development activities	Project management will screen lists of proposed beneficiaries to ensure appropriate level and breadth of participation for each event. Poor attendance will be recorded, and discussed with local/national Government authorities.
Project partners display weak capacities for implementation and/or management of funds	Project management will closely follow delivery of activities by all project partners, and alert Senior Management/Project Board as necessary; stage payments to project partners will allow regular scrutiny of financial accounting to ensure eligibility of expenditure per EU rules and regulations.

Stakeholder Engagement

The project builds upon clear inter-Governmental intent to improve cross-border cooperation for peace and development purposes, and ensures Government ownership through its articulation to the inter-Governmental Steering Committee and Technical Committees established by the existing MoU between Kenya and Ethiopia.

All partners to the action are committed to utilising inclusive and participatory methodologies to ensure that the voices of all potential stakeholders are represented and respected in the development planning processes, and in implementation of the cooperation and coordination mechanisms, envisaged by the project.

South-South and Triangular Cooperation (SSC/TrC)

Improved cross-border cooperation is understood as a key stratagem for addressing the wider developmental challenge of neglected and peripheral border areas in many regions of Africa. The UNDP Regional Service Centre for Africa, responsible for project quality assurance, will ensure stakeholder awareness in terms of parallel initiatives elsewhere, while the project knowledge management platform will also potentially serve as a global reference point, showcasing project experience and lessons learnt elsewhere in the Horn of Africa.

Knowledge Management

Cross-border cooperation remains a relatively new area of development intervention, and a systematic approach to knowledge management has been embedded in the design of the project in

order to ensure that lessons can be learnt to inform the potential replication of similar initiatives elsewhere in the Horn of Africa.

UNEP studies and UNDP mapping activities will comprise specific knowledge 'products' of the project, while the monitoring work of IGAD platforms (IDDRSI, CEWARN, ICPAC, ICPALD, IWU) will be complemented by specific monitoring of EU-funded projects to address specific needs. The IGAD knowledge management platform (KMP) will act as an information, networking and coordination tool for practitioners and other interested parties, and will be developed as a repository of sector materials, including good practice case studies and tools.

The project will be subject to full mid-term and final evaluations, to be conducted by external experts, to facilitate the Project Board in adjusting the results and activities during the implementation period, and to ensure that lessons learnt are digested and disseminated in support of any follow-up interventions.

Sustainability & Scaling-Up

Sustainability is integral to the design of the project, which includes activities to entrench cross-border cooperation in policy frameworks at national and regional level, and to strengthen Governmental or inter-Governmental institutions and mechanisms for early warning, development planning and natural resources management. IGAD was chosen as project partner given the mandate and support it enjoys from national Governments of the region.

If successful, the model of the project may be immediately replicable in other cross-border clusters supported by the EU or by other partners, where it might be scaled-up, if it is able to attract significant inward investment from national Governments, international donors, civil society and/or the private sector.

IV. PROJECT MANAGEMENT

UNDP will implement the project jointly with UN Environment, the specialised Agency of the UN system for environmental issues, who will take responsibility for the project focus on transboundary water management. UNDP and UNEP will both work in tandem with the Inter-Governmental Authority on Development (IGAD) as partner to project implementation.

Cost Efficiency and Effectiveness

UNDP will take a portfolio management approach to project implementation, to ensure cost-effectiveness, by leveraging project activities and partnerships with other initiatives of the UN system wherever possible.

Improved coordination and integration of the different strands of EU-funded activity in the Cluster areas will ensure improved consistency and complementarity, with a view to achieving increased impact in a cost-effective manner. Synergy with other non-EU funded projects in the project area has also to be ensured.

The Offices of the UN Resident Coordinators will organise, in liaison with IGAD, regular meetings with international donors and implementing agencies to support local and national Governments with resource mobilisation for the area development and cross-border cooperation projects. Such meetings will also serve to ensure better coordination, integration, consistency and complementarity among the different EU Trust Fund interventions and other non-EU funded projects to be implemented in the three clusters.

Project Management

UNDP will recruit an **international project manager (P4 level)** to plan and manage all aspects of project implementation. The project manager will have primary responsibility for sound management of funds to be implemented by IGAD and UNEP, as well as timely and accurate narrative and financial reporting to the European Commission. The project manager will lead the Secretariat to the inter-Governmental Steering Committee, which will also serve as the Project Board (see Section VIII), and will service two Technical Committees, and any Task Teams to be formed.

The project manager will be resident in Addis Ababa, and will be anchored in the regional programme for Africa, reporting to the Regional Programme Coordinator. The project manager will be supported by a **Regional Admin/Finance Assistant** on a half-time basis. Terms of Reference for the project manager are appended to this document as Appendix 2. Project Quality Assurance will be undertaken by Regional Service Centre for Africa (RSCA) staff, comprising part-time involvement of the Regional Programme Coordinator, Partnership Specialist and Country Programme Specialist.

IGAD will recruit a Project Coordinator to be based in CEWARN Office in Addis Ababa to take overall responsibility for delivery of all IGAD activities of the Project and the other activities in coordination with the UNDP project Manager. Terms of Reference for the IGAD Project Coordinator are appended to this document as Appendix 3.

IGAD/UNDP Coordination Offices in each Cluster will be led by an IGAD Cluster Coordinator, and will be, themselves, coordinated by the existing IGAD Platform Coordination Unit (PCU), comprising a cross-border livestock trade and animal health officer, a cross-border conflict early warning officer, a cross-border water resources management expert and cross-border dryland ecosystem and rangeland management officer. Under the leadership of its Cluster Coordinators, the Unit will take the lead role in field-level coordination, and undertake the monitoring and evaluation of separately-funded EU projects as foreseen under Output 5.1. The IGAD Cluster Coordinators will be supported on an ad-hoc basis by the relevant staff from IGAD Divisions and Specialised Institutions, including the IGAD Environment Protection officer, the land and the fisheries experts as well as the GIS and the legal officers.

UN Environment will recruit a **national project manager** (50%) to work out of the UN Environment office in Turkana region in Kenya, who will report to the UN Environment regional office in Nairobi, which will take overall responsibility for implementation of the UN Environment components of the project.

Project Offices in each Cluster

Joint IGAD-UNDP coordination offices will be established on the Kenyan side of the Omo-Turkana cluster; on the Ethiopian side of the Marsabit-Borana cluster; and on Kenyan territory in the Mandera Triangle. For Omo-Turkana cluster, the project will utilise the existing joint UN office in Lodwar, while governance capacity on the other side of the Omo border is developed. As a second step, operations will be moved to an acceptable location for both Governments, closer to the border itself.

For the other two clusters, it is anticipated that office space and appropriate security will be provided free-of-charge to the project by local authorities. The offices foreseen will accommodate staff carrying out various forms of tasks including technical assistance, administration and management that are directly attributable to the implementation of the Action. Each project office will comprise the following staffing:

IGAD Cluster Coordinator: The IGAD Cluster Coordinator will take the lead role in field-level coordination, and will undertake the monitoring and evaluation of separately-funded EU projects as foreseen under Output 5.1, supported by the IGAD PCU. The IGAD Cluster Coordinator will also organise capacity development activities, and provide inputs into the preparation/revision of local area based development plans to be organised between UNDP and relevant authorities.

Deputy Cluster Coordinator: UNDP will recruit national staff to serve as Deputy Cluster Coordinators Leaders for each cluster, with dual reporting lines to respective IGAD Cluster Coordinators and to the UNDP project manager. The Deputy Cluster Coordinator for Cluster IV will be a part-time position (50%), The Deputy Cluster Coordinators will be responsible for organising mapping of needs and trainings in participatory development planning methodology, for preparation/revision of local transboundary area development plans and for field-level coordination of UN Country Team activities in the cluster, providing direct feedback to the UN Resident Coordinators.

Administrative and Finance Assistant: UNDP will hire 3 x Administrative and Finance Assistants, one for each cluster, who will facilitate inward missions relating to mapping and assessment, capacity development, preparation/revision of local area based development plans. The Admin/Finance assistant for Cluster IV will be a part-time position (50%).



Driver: UNDP will recruit a driver for each Cluster. The drivers and project vehicles to be procured will ensure mobility for staff and consultants of all project partners in the field (UNDP, UNEP, IGAD).

There are several categories of costs that relate to the efficient functioning of the Project Office:

General Expenses: To support all project activities, includes expenses related to office communication and internet, stationary and other office supplies, and office equipment maintenance.

Materials Expenses: Main activities relating to community mobilization, public awareness and outreach, technical advisory, and capacity building activities, the primary means required includes the procurement of program brochures, training program materials, and other outreach materials for UNDP, IGAD and UNEP.

Transportation and Vehicle-Related Expenses: Support to this activity requires maintenance and fuel costs to ensure safe, reliable transportation for project staff.

Maintenance & Repair and Outfitting Costs: The project may require the refurbishment of office space and meeting facilities for the IGAD-UNDP project offices at Cluster level offices and will require the outfitting of each office with the necessary furniture and IT equipment to facilitate effective operations.

Inception Phase

The project will begin with a six-month Inception Phase, in which the partners to the action (UNDP, UNEP, IGAD) will prepare a detailed first year work plan for approval by the EU Delegation. The Inception Phase will be utilised to recruit staff and establish the field offices, and to undertake, *inter alia*, the following key activities:

- i) Preparation and signature of agreements with UNEP and IGAD;
- ii) Initiation of diplomatic work with Governments to extend the existing MoU (Output 1.1);
- iii) Establishment of the Cross-border Facilitation Units (Output 1.1, 2.1, 2.2);
- iv) A mapping of EUTF and other cross border projects in the cluster will be undertaken;
- v) Starting the coordination task, leading to the definition of areas of intervention and specific activities for the UNDP-IGAD-UNEP project taking into account the role and responsibilities of the other actors operating in the cluster;
- vi) Capacity assessment of local government units in support of Output 3.2;
- vii) Preparation of Terms of Reference for technical development and ongoing maintenance of the Knowledge Management Platform structure and functionality;
- viii) UN Environment studies foreseen in Output 4.1.

Outputs relating to each of these activities will be annexed to an Inception Phase report for EU Delegation review and approval. According to the content of the Inception Phase report, an amendment to the contract might be considered.

Reporting Schedule

The project will prepare annual reports on its activities, in line with UNDP internal reporting requirements, for consideration by the Project Board. Additional narrative and financial reporting



for the EU as donor, in support of requests for stage payments, will follow the requirements of Annex II to the Delegation Agreement signed between the EU and UNDP.

Monitoring & Evaluation

The project will be subject to an ongoing process of internal UNDP-UN Environment-IGAD monitoring. ~~The project will also be subject to external evaluation, mid-term, and within six months of Project closure.~~

All project monitoring and evaluation activities will be carried out in accordance with Article 10 of the Annex II to EU-UNDP Agreement (General Conditions).

EU Visibility

All project activities, including local dialogue processes, cross-border cooperation meetings, trainings and other capacity development events, will be promoted as supported by the EU, and will be marked by press releases and press conferences to be agreed with the relevant EU Delegations. The knowledge management platform and all other electronic and written materials prepared by the project will be branded with the EU logo and related wording. A full visibility strategy, conforming with recommendations of the Joint Guidelines on Visibility for EU-UN Actions in the Field⁷, will constitute Annex VI of the Delegation Agreement between the EU and UNDP.

The communication and visibility plan (Annex VI) will be refined and further detailed with the inclusion of further information to be collected during the Inception Phase of the project.

⁷ <https://ec.europa.eu/europeaid/node/45481>



<p>V. RESULTS FRAMEWORK</p> <p>INTENDED OUTCOMES OF THIS SPECIFIC PROJECT (IN LINE WITH THE CROSS-BORDER PROGRAMME ACTION DOCUMENT):</p> <p>Expected Result 1: Regional policy frameworks, structures and protocols for cross-border cooperation between national and local Governments, the private sector, civil society and international technical and financial partners in development are strengthened</p> <p>Expected Results 2: Capacities of communities, local governments and civil society to fully engage in processes for development planning and result are built.</p> <p>Expected Result 3: Effective cooperation & coordination, monitoring and evaluation of cross-border initiatives in place, including involvement of relevant national and regional actors in these processes</p>	<p>CONTRIBUTION TO THE INTENDED OUTCOME AS STATED IN THE REGIONAL PROGRAMME RESULTS AND RESOURCES FRAMEWORK:</p> <p>Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance</p> <p>Outcome 3: Countries are able to reduce the likelihood of conflict, and lower the risk of natural disasters, including from climate change</p>																								
<p>PROJECT TITLE AND ATLAS PROJECT NUMBER: Support for Effective Trans-Boundary Cooperation and Coordination of Cross-Border Initiatives in Southwest Ethiopia-Northwest Kenya, Marsabit-Borana&Dawa, and Kenya-Somalia-Ethiopia</p>																									
<p>EXPECTED OUTPUTS</p> <p>Output 1.1</p> <p>Key project structure & inter-</p>	<table border="1"> <thead> <tr> <th data-bbox="239 2217 319 2240">DATA SOURCE</th> <th colspan="4" data-bbox="319 2217 798 2240">TARGETS (by frequency of data collection)</th> <th data-bbox="798 2217 957 2240">DATA COLLECTION METHODS & RISKS</th> </tr> <tr> <th data-bbox="239 2217 319 2240"></th> <th data-bbox="319 2217 399 2240">BASELINE</th> <th data-bbox="399 2217 478 2240">Year 1</th> <th data-bbox="478 2217 558 2240">Year 2</th> <th data-bbox="558 2217 638 2240">Year 3</th> <th data-bbox="638 2217 798 2240">CLOSURE</th> </tr> <tr> <th data-bbox="239 2217 319 2240">Value</th> <th data-bbox="319 2217 399 2240">Year</th> <th data-bbox="399 2217 478 2240">Year</th> <th data-bbox="478 2217 558 2240">Year</th> <th data-bbox="558 2217 638 2240">Year</th> <th data-bbox="638 2217 798 2240">Year</th> </tr> </thead> <tbody> <tr> <td data-bbox="239 2217 319 2240"></td> <td data-bbox="319 2217 399 2240"></td> <td data-bbox="399 2217 478 2240"></td> <td data-bbox="478 2217 558 2240"></td> <td data-bbox="558 2217 638 2240"></td> <td data-bbox="638 2217 798 2240"></td> </tr> </tbody> </table>	DATA SOURCE	TARGETS (by frequency of data collection)				DATA COLLECTION METHODS & RISKS		BASELINE	Year 1	Year 2	Year 3	CLOSURE	Value	Year	Year	Year	Year	Year						
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Value	Year	Year	Year	Year	Year																				

<p>Governmental agreement in place</p>	<p>1.1.1 Number of regional management staff for the project recruited and extent* to which process for project assurance is developed</p> <p>*Scale of 0-2 based on the following criteria: 0 – none 1 – developed but not implemented 2 – developed and implemented</p>	<p>Contracts and internal project assurance documentation</p>	<p>0 and 0</p>	<p>2017</p>	<p>6 and 2</p>	<p>-</p>	<p>-</p>	<p>-</p>	<p>Document review</p>
<p>1.1.2 Extent* to which the Cross-border Facilitation Unit at the regional level and at each cluster established by IGAD is performing its duties</p> <p>*Scale 0 to 4 (0 is no capacity, 1 is low capacity, 2 is partial capacity, 3 is good capacity, 4 is excellent) based on the following criteria: 1 – office is staffed with less than 25%, delivers less than 25% of annual plan 2 – office is staffed 50%, delivers around 50% of annual plan 3 – office is staffed 75%, delivers around 75% of annual plan 4 – office is staffed 90-100%, delivers 90-100% of annual plan</p>	<p>IGAD reports MoU</p>	<p>0</p>	<p>2017</p>	<p>2</p>	<p>3</p>	<p>4</p>	<p>Observations/Back to office reports Document review</p>	<p>Document review</p>	

Output 1.2 Policies and protocols on cross-border procedures in place	1.2.1 Number of the policies and protocols reviewed	Review document	0	2017	1	2	0	Document review
	1.2.2 Number of bipartite agreements aimed at improving cross-border trade and private sector development in place and extent* to which they are enforced *Scale to be developed after the agreements are in place	Agreement documents;	TBD	2017	-	TBD	TBD	Agreement review Document review Impact survey
	1.2.3 Number of forums organized at cluster level to raise awareness for the cross-border agreements, policies and protocols developed	Reports and minutes of forums, per cluster	TBD	2017	2	2	2	Feedback from key national ministries and local governments

<p>Output 1.3</p> <p>The target countries have improved technical capacities to effectively address transboundary water management</p>	<p>1.3.1 Extent* to which the governance mechanism is functional and participatory</p> <p>*Scale of 1-4</p> <p>1 - Established but without inputs from countries, CSOs</p> <p>2 - Established through a participatory consultative process involving senior Government officials of both countries (Ethiopia and Kenya)</p> <p>3 - Participatory process involved Government officials of both countries, inputs from civil society organisations</p> <p>4 - Participatory process involved Government officials of both countries, inputs from civil society organisations and review of an expert reference group</p>	<p>Records of project meetings (minutes, reports, etc)</p>	<p>0 (None exists)</p>	<p>2017</p>	<p>1</p>	<p>4</p>	<p>-</p>		<p>Document review</p> <p>RISK: Timely adoption of the governance document is hindered by inadequate political commitment</p>
	<p>1.3.2 Number of agreements resulting in systems, protocols, and other outputs agreed upon</p>	<p>Reports and minutes of meetings</p>	<p>1</p>	<p>2017</p>	<p>TBD</p>	<p>TBD</p>	<p>TBD</p>		<p>Document review</p> <p>Feedback from key ministries</p> <p>RISK: Timely adoption of the governance document is hindered by inadequate political commitment</p>

Output 2.1 Cluster coordination meetings established and held	2.1.1 Number of participants representing different stakeholders present in coordination meetings of implementing partners in relevant local Government border areas	Number of sets of Meeting minutes	0	2017	2	2	TBD	TBD	Document review Beneficiary survey
		Reports of workshops, key informants	TBC (Some awareness amongst NGOs)	2017	TBD	TBD	TBD		
1.3.3 Number of people reached by awareness-raising campaigns on the importance of cooperative management of the lake and its river basins by both countries	1.3.4 Number of dialogue meetings held for Genale-Dawa-Jubba & Shabelle basins	Meeting minutes	0	2017	TBD	TBD	TBD	Document Review	
1.3.5 Improved evidence base in the Genale-Dawa-Jubba & Shabelle basins	Desk reviews of existing studies & gap analyses/ field assessment reports	0	2017	TBD	TBD	TBD	TBD	Desk Review Field work	
							2	Observations/Back to office reports	
								Document review Collection of feedback from involved stakeholders	

Output 2.2 Effective sectorial coordination is established across clusters	2.2.1 Number of annual thematic reports produced by IGAD	Reports	TBD	2017	2, one for lot 1 for all clusters, one for lot 2 for all clusters	2	2	Document review
Output 2.3 Inter-Governmental Steering Committee & Technical Committees serviced	2.3.1 Number of Inter-Governmental Steering Committee and Technical Committees meetings	ToRs, meeting minutes, reports	0	2017	At least 1 Steering Committee & 2 Technical Committee Meetings per cluster	At least 1 Steering Committee & 2 Technical Committee Meetings per cluster	At least 1 Steering Committee & 2 Technical Committee Meetings per cluster	Observations/Back to office reports Document review Collection of feedback from involved stakeholders
Output 3.1 Local governments and civil society organisations have strengthened their technical capacities to efficiently support and promote cross-border policies	3.1.1 Number of participants that completed training courses on pastoralism and transboundary dryland development	Training course curricula, lists of participants	0	2017	13 relevant stakeholders, per cluster	13 relevant stakeholders, per cluster	13 relevant stakeholders, per cluster	Observations/Back to office reports Document review Collection of feedback from involved stakeholders

	3.1.2 Number of completed case studies on pastoralism and transboundary dryland development	Case studies	0	2017	1	1	1	1	Document review
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<p>3.1.4 Extent* to which climate information for decision making are is used and rangeland natural resources assessment and monitoring improved</p> <p>*Scale 1-4</p> <p>1 - Climate data sets developed, assessment of climate risks and climate change impacts carried out, training courses developed</p> <p>2 - Land use and vegetation characterized and mapped out; forage estimated and predicted; rangeland monitoring systems developed</p> <p>3 - Rangeland policies facilitated and developed</p> <p>4 - Stakeholders trained in rangeland resource assessment and monitoring; user guides, toolkits and web portal developed</p>	<p>Published/final ized studies</p> <p>Relevant Stakeholders trained in rangeland resource assessment and monitoring; user guides, toolkits and web portal developed</p>	<p>0</p>	<p>2017</p>	<p>Scale 1 & 2</p>	<p>Scale 3</p>	<p>Scale 4</p>	<p>Documents review</p> <p>Observations/Back to office reports</p> <p>Collection of feedback from involved stakeholders</p>
<p>3.2.1 Number of capacity gaps assessment of local partners undertaken by UNDP</p>	<p>Assessment report</p>	<p>0</p>	<p>2017</p>	<p>5</p>	<p>-</p>	<p>-</p>	<p>Document review</p>
<p>3.2.2 Number of participants which completed trainings for relevant beneficiaries and stakeholders promoting effective cross border cooperation policies and protocols among key stakeholders at all level</p>	<p>Training course curricula, lists of participants</p>	<p>0</p>	<p>2017</p>	<p>Approx 1x 2 day trainings in 9 sectors + one group training per 5 local authority areas</p>	<p>Approx 2x 2 day trainings in 9 sectors + one group training per 5 local authority areas</p>	<p>-</p>	<p>Observations/Back to office reports</p> <p>Collection of feedback from involved stakeholders</p>

<p>Output 3.3</p> <p>National practitioners have enhanced technical capacities to carry out transboundary water management</p>	<p>3.3.1 Extent* to which stations to monitor water quality and quantity continuously provide scientifically sound data on the hydrology of the lake and its river basins</p> <p>*Scale 1-3</p> <p>1- Station sites/locations identified; Equipment identified</p> <p>2- Pilot stations operational; Database established</p> <p>3- Data is used regularly (yearly) collected and updated</p>	<p>Relevant data from field stations, key informants</p>	<p>1 (fisheries research station in Kenya)</p>	<p>2017</p>	<p>1</p>	<p>2</p>	<p>3</p>	<p>Field visit, review of data sets, Interviews with key informants</p>
<p>3.3.2 Number of national practitioners (water technicians and managers especially at local/regional government level) that have improved capacity to monitor water quality and quantity, undertake ecosystems assessments, and to manage trans-boundary water resource management pilot activities</p>	<p>3.3.2 Number of national practitioners (water technicians and managers especially at local/regional government level) that have improved capacity to monitor water quality and quantity, undertake ecosystems assessments, and to manage trans-boundary water resource management pilot activities</p>	<p>Reports, lists of participants, ToT and trainings</p> <p>Evidence of quality of data and frequency of monitoring being conducted</p>	<p>Currently few staff</p>	<p>2017</p>	<p>-</p>	<p>TBD (1st batch)</p>	<p>TBD (2nd batch)</p>	<p>Feedback from trainees</p> <p>Interviews with key informants</p> <p>Review of data being collected and the analysis reports therefrom</p>
<p>3.3.3 Number of people with enhanced capacities to undertake restoration and water management activities at micro-level in the hotspot areas (as identified from the studies)</p>	<p>3.3.3 Number of people with enhanced capacities to undertake restoration and water management activities at micro-level in the hotspot areas (as identified from the studies)</p>	<p>Reports, Key informants</p>	<p>No baseline</p>	<p>2017</p>	<p>TBD</p>	<p>TBD</p>	<p>TBD</p>	<p>Interviews with key informants</p>

<p>Output 4.1 Scientific evidence on the status of Lake Turkana and its river basin improved, coverint the water quality and quantity, hydrological regimes, and scenario modelling.</p>	<p>4.1.1 Extent* to which the integrated ecosystem assessment is conducted to establish the base line of the ecosystem health and biodiversity of the lake and its river basins *Scale 1-4 1- ToR and desk study report developed but not approved 2- ToR and desk study report developed and approved 3 - Data collection completed to fill gaps identified in the desk study; Draft report prepared 4 - Final report drafted and disseminated</p>	<p>Desk study report Assessment reports</p>	<p>0 (None exists)</p>	<p>2017</p>	<p>2</p>	<p>3</p>	<p>4</p>	<p>Document review RISK: Inadequate political commitment delays agreement on baseline</p>
	<p>4.1.2 Extent* to which data protocols and storage, as well as enforcement mechanisms agreed upon by Ethiopia and Kenya, are implemented *Scale 1-2 1- Data protocols and data storage schema developed but not approved 2 - Data protocols and data storage schema developed and approved</p>	<p>Reports</p>	<p>0</p>	<p>2017</p>	<p>2</p>	<p>-</p>	<p>-</p>	<p>Document review</p>

	<p>4.1.3 Extent* to which up to date and high-quality data is available and easily accessible to support basin-wide planning and decision making *Scale 1-3 1- Database developed but not populated 2 - Database developed and populated 3 - Data analysis prepared and disseminated</p>	Database	0 (None exists)	2017	-	2	3		Document review
	<p>4.1.4 Extent* to which basin management options and modelling are developed based on the findings of the assessment studies including groundwater potential, aquifer recharge areas, and inter-aquifer flows * Scale 1-3: 1- Drafts of management options and models developed and piloted 2 - Management option and models reviewed and approved 3 - Implementation of management plan initiated</p>	Reports	0 (None exists)	2017	-	1 & 2	3		Document review
<p>Output 4.2 Local/national authorities have developed/ revised local boarder areas development plans to address transboundary</p>	<p>4.2.1 Number of mapping and needs assessments, studies in the Omo-Turkana and Mandera Triangle clusters</p>	Mapping and needs assessment reports Sector Studies Documents of plans	0	2017	5 3	0 3	0		Document review
	<p>4.2.2 Number of prepared new or updated local border area development plans</p>	Documents of plans	0	2017	2	5	3		Document review

challenges and maximise the benefit of cross-border development opportunities	4.2.3 Number of participants (disaggregated by sex and background) participating in dialogue forums and 9 sector working established for each area of each cluster	Minutes and reports from forums Participation lists	0	2017	At least 30 participants per dialogue forum per each local authority area of each cluster, meeting on bi-annual basis.	At least 30 participants per dialogue forum per each local authority area of each cluster, meeting on bi-annual basis.	At least 30 participants per dialogue forum per each local authority area of each cluster, meeting on bi-annual basis.	Observations Document review
Output 5.1 EU-funded cross-border projects aligned and monitored	5.1.1. Number of M&E activities undertaken (monitoring of implementation performance and results, annual output and outcome evaluations, annual thematic studies, technical audit of infrastructures, and case studies)	Reports from M&E activities Minutes from Cluster level regular coordination meetings 2 annual evaluations 3 annual thematic studies 2 Technical audits of infrastructures case studies (at least 1 per cluster)	0	2017	3 x Cluster baseline studies	1 Outcome evaluation 1 Thematic study	1 Outcome evaluation 1 Thematic study	Document review

<p>Output 5.2 IGAD Online Knowledge Management established</p>	<p>5.2.1 Extent* to which the web-based knowledge management platform for ensuring cross-border coordination and cooperation is established and functioning *Scale 1-3 1- ToR for structure and functionality of the KMP developed 2 - KMP developed; KMP content developed; KMP maintained technically (at least 12 updates /year) 3 - KMP content developed; KMP maintained technically; KMP established and used by minimum 200 relevant stakeholders</p>	<p>KMP (Put in place Web based cluster level networking for exchange of real time project information for increased synergy, cooperation and coordination) KMP content developed; KMP maintained technically; KMP established and used by minimum 200 relevant stakeholders</p>	<p>0</p>	<p>2017</p>	<p>Scale 1</p>	<p>Scale 2</p>	<p>Scale 3</p>	<p>Document review</p>
<p>Output 5.3 Project regularly evaluated</p>	<p>5.3.1 Number of evaluations of the strategic impact of the project, and extent* to which recommendations for adjustment of outputs/activities, or for follow-up work are implemented</p>	<p>Evaluation report(s)</p>	<p>0</p>	<p>2017</p>	<p>-</p>	<p>1 (mid-term project evaluation)</p>	<p>1 (final project evaluation within 6 months of project closure)</p>	<p>Document review</p>

This RRF will be reviewed and refine at the end of the inception period.

VI. MONITORING AND EVALUATION

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

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

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

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Mid-Term Evaluation				September 2019	All project partners	
Final Evaluation				Within 6 months of project closure	All project partners	

VII. MULTI-YEAR WORK PLAN ⁸⁹

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Year 1		Year 2		Year 3		Closure
		Inception phase	2nd Half	1st Half	2nd Half	1st Half	2nd Half	
Output 1.1 Key project structure & inter-Governmental agreement in place	1.1.1 Project Board/Inter-Governmental Steering Committee operational							6 Months
	1.1.1 Management Team established							
	1.1.2 Project assurance in place							
	1.1.3 Extension of MoU							
Output 1.2 Policies and protocols on cross-border procedures in place	1.2.1 Promotion of collaboration under the existing MoUs, review of policies and protocols affecting the livelihood and economic activities of vulnerable (women and youths) cross-border communities							
	1.2.2 Rapid information sharing							
	1.2.3 Domestication of effective cross border policies and protocols and awareness raising							
Output 1.3 The target countries have improved technical capacities to effectively address transboundary water management	1.3.1 Diplomacy/cooperation meetings							
	1.3.2 Prepare draft governance framework							
	1.3.3 Awareness raising with local communities							

⁸ Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

⁹ Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

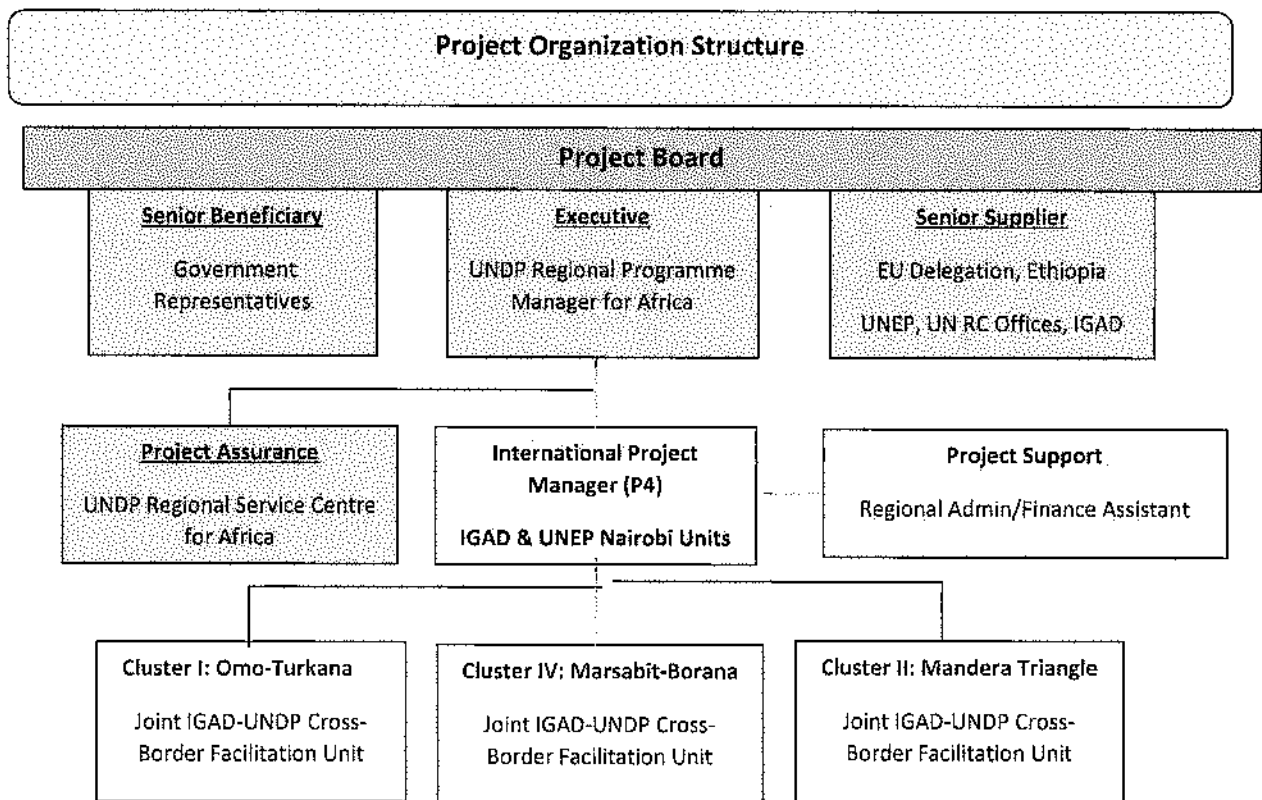
	<p>1.3.4 Initial dialogue and capacity building for Dawa/Shabelle basins</p> <p>1.3.5 water diplomacy for Dawa/Shabelle</p>	
<p>Output 2.1 Cluster coordination meetings established and held</p>	<p>2.1.1 Regular cluster coordination meetings held</p> <p>2.1.2 Joint UNDP-IGAD Cluster offices operational</p>	
<p>Output 2.2 Effective sectoral coordination is established across clusters</p>	<p>2.2.1 Support to existing IGAD platforms & cluster participation</p>	
<p>Output 2.3 Inter-Governmental Steering Committee & Technical Committees serviced</p>	<p>2.3.1 Committee Meetings</p>	
<p>Output 3.1 Local governments and civil society organisations have strengthened their technical capacities to efficiently support and promote cross-border policies</p>	<p>3.1.1 IGAD capacity development workshops</p> <p>3.1.2 Development of IGAD training courses</p> <p>3.1.3 IGAD studies on relevant thematic areas pertaining to effective transboundary cooperation</p> <p>3.1.4 Development of Capacities at cluster level on the use of climate information for decision making strengthened and rangeland resources assessment and monitoring improved</p>	
<p>Output 3.2 Local stakeholders have strengthened technical capacities to carry out assessments and planning</p>	<p>3.2.1 Local capacity gaps assessments-</p> <p>3.2.2 Subnational trainings, project cycle management/development planning</p>	
<p>Output 3.3 National practitioners have enhanced technical capacities to carry out transboundary water management</p>	<p>3.3.1 Establish water monitoring stations</p> <p>3.3.2 Trainings for monitoring water quality/quantity, ecosystem assessment methodology, water resource and demonstration project management</p>	
<p>Output 4.1 Scientific evidence on the status of</p>	<p>4.1.1. UNEP initial desk study & report</p>	

Lake Turkana and its river basin improved, coverint the water quality and quantity, hydrological regimes, and scenario modelling.	4.1.1 Ecosystem assessment & field work								
	4.1.1 UNEP demonstration interventions								
Output 4.2 Local/national authorities have developed/ revised local boarder areas development plans to address transboundary challenges and maximise the benefit of cross-border development opportunities	4.2.1 Mapping/Needs Assessments								
	4.2.2 Participatory dialogue forums								
	4.2.3 Preparation/revision of local border areas development plans								
Output 5.1 EU-funded cross-border projects aligned and monitored	5.1.1 IGAD staff support to Cluster Coordinator M&E								
	5.2.1 ToRs for KMP structure & functionality								
Output 5.2 IGAD online Knowledge Management established	5.2.2 KMP technical development								
	5.2.3 KMP content provision/moderation								
	5.2.4 Web Hosting & KMP technical maintenance								
	5.3.1 Mid-term project evaluation								
Output 5.3 Project regularly evaluated	5.3.2 Closing Project Evaluation								

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The Project will be directed by a **Project Board**, as required by UNDP internal rules and regulations.

Subject to approval by beneficiary Governments, it is intended that the mandate and composition of the present Inter-Governmental Steering Committee for Marsabit-Moyale cluster is amended to cover the two other clusters which will allow it to serve also as the Project Board, reviewing strategic direction of the Project on an annual basis, and ensuring accountability and proper oversight of project management. The board meetings will also provide a forum for rigorous quality control and review of progress. This will entail setting and revising deliverables and achievement of benchmarks, alongside opportunities for fine-tuning and adjustments, including any prioritization of activities. To ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with corporate UNDP standards that shall ensure best value to money, fairness, integrity, transparency and effective accountability.



The Project board will comprise the following:

The Executive: the role of the Executive will be held by the UNDP Regional Programme Manager for Africa. The Executive is ultimately responsible for the project, assisted by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs and results that will contribute to higher level outcomes. The Executive should ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

The Senior Beneficiary: representatives of the participating Governments of Ethiopia, Kenya and Somalia will jointly hold the role of Senior Beneficiary. The Senior Beneficiary is responsible for validating the needs

and for monitoring that the solution will meet those needs within the lifecycle of the project. The role represents the interests of all those who will benefit from the project. The Senior Beneficiary role monitors progress against targets and quality criteria.

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

Quality Assurance: The Quality Assurance role supports the Executive Board and is assumed by the UNDP Regional Service Centre for Africa, which will undertake objective and independent oversight and monitoring functions on behalf of the Board. This role ensures that appropriate programme management milestones are managed and completed.

The Project Board will be, to the extent possible, a light operational structure so that decision making does not become lengthy and inefficient.

The Project Board will specifically be responsible for the following:

- Meeting regularly to deliberate on the Project's progress and revising the Quarterly Progress Reports. The Project Board has a decision-making role within the Project and thus will deliver direction and recommendations to ensure that the agreed deliverables are produced satisfactorily in line with the Project Document. This also means that the Project Board can make changes to the project based on the progress reports and recommendations from project staff and partners alike;
- Revising and assessing the detailed Project Plan and AWP, including Atlas reports covering activity definition, quality criteria, issue log, risk log and the monitoring and communication plan;
- Providing overall guidance and direction to the project;
- Addressing any project-related issues as raised by the Project Manager;
- Providing guidance and agreeing on possible countermeasures/management actions to address specific risks;
- Agreeing on the Project Manager's milestones in the Annual Work Plan and quarterly plans when required;
- Reviewing Combined Delivery Reports (CDR) prior to certification by the Implementing Partner(s);
- Reviewing each of the Annual Work Plan upon completion, and approving continuation to the next AWP;
- Appraising the Project Annual Progress Report, and making recommendations for the next AWP;
- Providing ad-hoc direction and advice for exceptional situations when tolerances of parties are exceeded;
- Providing strategic orientation and recommendations to the project manager and implementers;
- Ensuring full implementation of the project and assuring that all Project deliverables have been produced satisfactorily by the end of the project;
- Reviewing and approving the final project report, including lessons learnt;
- Commissioning mid-term and final project evaluations (based on a consensus of the Project Board).



IX. LEGAL CONTEXT AND RISK MANAGEMENT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAs for the specific countries; or (ii) in the Supplemental Provisions attached to the Project Document in cases where the recipient country has not signed an SBA with UNDP, attached hereto and forming an integral part hereof. All references in the SBA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by UNDP in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

RISK MANAGEMENT

1. The responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the implementing Partner. The Implementing Partner shall: (a) put in place an appropriate security plan and maintain the security plan, considering the security situation in the country where the project is being carried; (b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.
2. The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/ag_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered under this Project Document.
3. Consistent with UNDP's Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

X. APPENDICES

1. **Inter-Governmental MoU, Kenya-Ethiopia, *Cross Border Integrated Programme for Sustainable Peace & Socio-Economic Transformation.***
 2. **Terms of Reference, UNDP International Project Manager (P4)**
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3. **Terms of Reference, IGAD Project Coordinator**



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