Devolution and Climate Change Adaptation

In Western Kenya

Programme

F I N A L

Revised 16 April 2018

SustainableEnergy

16 April 2018

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1 INTRODUCTION

SustainableEnergy has been operating in Kenya since 2005 primarily with Umande Trust supporting projects in urban areas of Kisumu and Nairobi. Shortly after its accreditation as a framework organisation to Danida (1 January 2014) SustainableEnergy decided to expand its network of partners in Kenya. Apart from seeking new partners a strategic decision was taken to gradually concentrate the efforts to western parts of Kenya in particular to counties situated along the banks of Lake Victoria. The focus will be geographical rather than sectorial and support will therefore be provided to both urban and rural settings. Current projects in Nairobi will be continued but as they come to their planned closure will not be extended. Thus the expected situation is that by end 2016 the majority of support coming from SustainableEnergy is focused to areas and organisations operating in counties that border Lake Victoria.

This program document is the result of a series of missions, consultations and workshops taking place during second half of 2014 and 2015. The main opportunity the programme wishes to exploit is working with and along the intentions and scope of the decentralisation act and newly approved climate change bill.

The search for additional partners began with a screening of 35 different organisations working with environment and climate change. The screening included both urban and rural based organisations being of varying sizes and capabilities[1]. The screening was followed by a feasibility study during which a total of 17 organisations were interviewed. Based on a number of predetermined criteria three organisations were in October 2014 eventually shortlisted and invited to submit concrete pilot project proposals[2]. The content of the Terms of references reflected that neither SustainableEnergy nor the invited organisations had any previous professional experience with each other.

The invitation was extended to gain a deeper professional knowledge of the values and actual capacities of the organisations appreciating that such knowledge is best achieved by working together on concrete projects. During December 2014 contracts were signed with SusWatch (Strengthening the Advocacy Role of Local Communities in the Lake Victoria Basin on Natural Resource Management**)**, CREPP (Sexual Reproductive Health Rights and Sustainable Development project/climate change adaption; Population, Health and Environment), and Osienala (Accelerated Response to Sustainable Renewable Energy Solutions for the rural areas). All project locations were set to operate in Kisumu and Homa Bay counties. The project proposals from CREPP and Osienala was later combined into one LFA and implementation started in February 2015. A fourth organisation, Vired, was contracted to make a specific feasibility study on the 'No sex for fish' practices along the shores of the lake[3].

Building on the early positive experiences with the organisations and aiming at exploring the possibilities of designing a more coherent program in West Kenya, SustainableEnergy hosted a two-day workshop in Kisumu early March 2015. The output of the workshop was a draft Theory of Change (ToC) investigating two parallel theory of changes lines within the local CSO

[1] Identification of additional partners in Kenya, June / September 2014, Final report
[2] Call for Project Proposals: Invitation to submit project proposals under the SustainableEnergy Program: Energy, Environment and Democratic Development, 10th October 2014
[3] TOR: Feasibility Study, 'No Sex for Fish', October 2014 and;
Draft report 'Feasibility Study on No Sex for Fish (NSFF) Initiative in the Lake Victoria Basin, Kenya', by Vired international, 25th March 2015

environment and the local authorities. Based on inputs and presentations from the participants the ToC was further refined and shared with all in April 2015[4].

In late June 2015 the ToC was taken one step further. A design workshop held with all partners translated the ToC into an operational logical framework and discussed a number of different work modalities[5]. The mission furthermore included meetings with Practical Action, Cordaid as well as a number of other relevant stakeholders[6].

A final formulation mission taking place in September 2015 finally wrapped up the programme into this document. The official start of the 'Devolution and Climate Change Adaptation in Western Kenya' programme was set to 1st November 2015 initially running until 31st December 2018.

[4] ToC, Climate Change Adaptation and Decentralisation in Western Kenya, April 2015.
[5] Workshop at WIGOT Conference Centre, 26 June 2015
[6] See mission report dated 30 June 2015.

2 CONTEXT ANALYSIS

2.1 The Environment and the People

With steep increases in populations, continuous migrations from rural to urban areas and only about 15% of Kenya being arable, the environment and inhabitants are under unusually high pressure. Out of a population of 43 million the World Bank estimates that the rate of extremely poor has dropped from 47% in 2005/06 to 39% in 2012/13. However, current and future expected climate changes are likely to reverse this positive trend unless effective adaption measures in both rural and urban areas are put in place. Food security and the local and national economy is expected to be affected.

Estimates from Stockholm Environmental Institute[7], estimate that the region will lose up to 3% of its annual GDP from climate change by 2030 and states that *'Future climate change will lead to additional and potentially very large economic costs. These are uncertain, but aggregate models indicate additional net economic costs that are equivalent to a loss of 1- 3% of GDP each year by 2030 in the region. These arise from potential threats to coastal zones, health, energy, infrastructure, water resources, agriculture and ecosystem services.'*

This program will focus its efforts in the counties adjacent to Lake Victoria, in the first phase primarily in Kisumu and Homa Bay counties. The Lake Victoria basin itself supports the livelihood of about 12 million Kenyans. Despite the region's high agricultural potential, recent soil degradation has led to incidences of abject poverty for 30 to 50% of the rural households and current natural resource management practices are no longer adequate to meet food needs or maintain the resource base in the region. Population densities are high in large parts of the adjacent counties to Lake Victoria and some rural areas can almost be described as being peri-urban with the specific planning and resource challenge this entails.

Both counties are affected by the below average HIV figures. According to the National HIV Surveillance Report 2010, the national prevalence rate stands at 6.3 per cent, Nyanza Province 15.3 per cent, Kisumu 11.2 per cent, where Kisumu town has a prevalence of 15 per cent and Kisumu Rural 8 percent.

[7] The Economics of Climate Change in East Africa, 2009

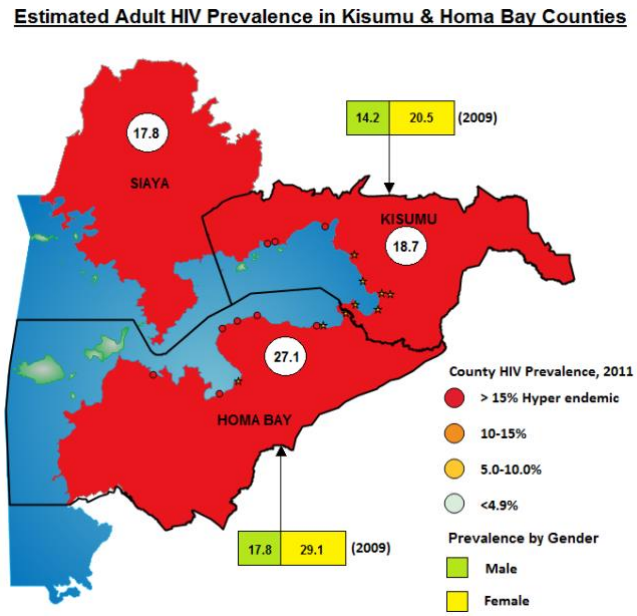


Figure 1: Average HIV figures

In the health sector, most resources have been diverted to the prevention and treatment leading to a strain on the entire health sector. Consequently, HIV/AIDS is hindering the efforts to create wealth and employment by draining both national and county economic resources. Many students continue to drop out of school to either care for the sick or their young siblings leading to an increase in the rates of school drop-outs.

Climate and Development

As part of the inception phase the DaCCA program staff was trained by experts from University of Nairobi in subjects related to climate change issues. Part of the training was to map hazards related to climate change in Kisumu and Homa Bay Counties target areas for the DaCCA program (see Hazard maps annex 11). The baseline study and mapping showed areas where conflicts and effects of climate change occur and impact the livelihood of communities such as: flooding of fields and roads, drought, strong winds, rise in water level, invasive species, poor waste management, livestock and crop diseases, increase of water borne diseases, pests and parasites, limited access to villages and homesteads due to flooding, and human-wildlife conflicts.

Not all hazards are related and directly caused by the change of the climate but relates to poverty, poor governance and management. However, climate change adds and reinforces poverty, environmental degradation and poor governance which all are key constraints for development and growth. The DaCCA program focuses in general on these development constraints but will specifically assist with measures and interventions addressing adaptation to climate change.

Homa Bay County is divided into two regions namely the lakeshore lowlands and the upland plateau. The lakeshore lowlands lie between 1,163 – 1,219 m above the sea level and comprise a narrow stretch bordering the Lake Victoria especially in the northern parts of the county. The county is drained by a number of rivers namely Awach Kibuon, Awach Tende, Maugo, Kuja, Rangwe and Riana rivers, most of which originate from Kisii and Nyamira counties. There are two rainy seasons namely the long rainy season from March to June and the short rainy season from August to November. The rainfall received in the long rainy season is 60 per cent reliable and ranges from 250 –1000 mm while 500 –700 mm is received in the short rainy season. The county receives an annual rainfall ranging from 700 to 800 mm.

Ecologically, Homa Bay county can be divided into seven agro-ecological zones of which four classified as Upper Middle (UM1-4) and the others are known as Lower Middle (LM1-4). The former supports crops such as coffee, maize, tea, sunflower, pineapples, tomatoes, soya beans, sugarcane, etc. The Lower Middle zones are agriculturally marginal and partly semi-arid. It supports crops such as green grams, millet, sorghum, tobacco, sunflower, sugarcane, beans, pineapples, sisal and groundnuts, grain legumes, sweet potatoes, sunflower, *simsim*, green grams, rice and vegetables as well as livestock. The LM (1-4) zones border the lakeshore where fishing, livestock and farming are the prominent activity and major means of livelihood and income.

Fishing is a prominent activity for the county engaging over 18,300 people and 3,600 families. The county has 151 landing beaches managed by 133 beach management units (BMUs). Of these BMUs, 61 are in Mbita, 33 in Suba, 30 in Rachuonyo North and four in Homa Bay. According to the 2010 Frame Survey report (KEMFRI 2010), the county had a fish catch of 12,000 tonnes valued at Kshs. nine billion[8].

Kisumu County can be divided into 3 topographical zones namely: the Kano Plains, the upland area of Nyabondo Plateau and the midland areas of Maseno. The flood prone Kano Plains lie on the floor of the Rift Valley and lies averagely at an altitude of 1,835m above sea level. Within the county there are three major rivers flowing into the Winam Gulf namely: the Nyando, Kibos and Sondu which are heavily silted, resulting in the extensive formation of lakeside swamps including the Nyando river wetland. The sandy and clay soils which are characteristic of the Kano Plains and the county in general. The western part of the plains are dark cotton soils commonly associated with the swampy landscape. Sugarcane, rice and cotton are the main cash crops in Kisumu County while sorghum and several grain legumes is the base of subsistence farming here. Generally, the county has two rainy seasons with varied intensities depending on proximity to the hilly landscapes with the long rains occurring in March and May while the short rains occur in September to November. The lowland area of the county receives a mean annual rainfall of 1,000-1,800mm with the peaks generally falls between March and May and September to November. The mean annual maximum temperature ranges 25-35°C and minimum 9°-18°C.

Soil erosion with continued loss of fertile soils and siltation of rivers and water ways leads to frequent flooding especially in the lowlands which are found in Nyakach Sub-county. The unorganized sand harvesting activities in some parts of the county threatens to contribute further to increased soil erosion.

Although there is a large labour force amongst the women and youths in Kisumu County, the total unemployment level in the County is estimated at 12.5 per cent (15% for females and 10.6% for males) who are unemployed. Youth unemployment in the county is mainly due to lack of start up capital and entrepreneur skills. The literacy levels are fairly high in Kisumu County with an estimated 80 % capable of reading and writing. The secondary school gross attendance ratio for the county is 36.5 and many more people are at tertiary and university level of education.

The county government has proposed several new water projects. However, a majority of the population is still water insufficient and even depend on untreated open water systems. Kisumu County is yet to design and develop suitable waste disposal systems to help manage its sprawling large quantities of solid waste (garbage) and effluents. Provision of sanitation facilities in urban and local fishing areas of the county is inadequate. The mushrooming of informal settlements in urban areas and local beaches exacerbates the already poor sanitation.

[8] Homa Bay County development plans for 2013-2023

2.2 The legislative framework

The programme will take advantage of the possibilities appearing in the new constitution (2010) introducing devolved governance at both political and administrative levels. Under the devolution act 15 % of central government revenues are planned to be transferred to the county governments with an intention of institutionalising public participation in planning and decision making processes. Although the pitfalls are many there is a general agreement amongst civil society in Kenya that over time the act gives a real opportunity of bringing democratic decisions closer to the grass roots prioritizing local needs whilst addressing the challenges of inequality and poverty. Through civil society the program will test and facilitate the willingness of duty-bearers to carry out the intentions of the act.

The other piece of legislation that the programme will lean up against is the newly approved climate change bill. The bill establishes a Climate Change Fund that will be sourced from the Consolidated Fund (national budget), donations, endowments, grants and gifts and specifically designated for the Fund; and such sums of money as may be raised by the Council for the execution of the programmes and projects of the Council.

Civil Society has been instrumental in drafting and lobbying for the acceptance of the bill engaging extensively with citizens during the process. The draft provides the legal and institutional framework for mitigation and adaptation to the effects of climate change and proposes two features of particular significance. Firstly, it establishes an independent and autonomous body to coordinate all climate change activities, advise the government(s), and enhance public awareness on climate change. Its responsibilities will include a new national registry for appropriate mitigation actions by public and private entities. Secondly, the bill seeks to establish a climate change fund to facilitate climate change mitigation and adaptation efforts[9]. Other relevant legislation includes the 2010 National Climate Change Response Strategy, the 2010 National Action Plan and several other sectorial policies under the overall Vision 2030 development plan.

2.3 The Institutional set-up

In the new devolved government structure a new institutional set-up at the County level has emerged.
The County governments are now responsible for county legislation, executive functions and functions transferred from national government such as agriculture, health, pre-primary education, County public roads, and planning.

Until the Climate Change Bill is enacted and the council constituted, the institutional framework for climate related issues largely falls under the Ministry of Environment and Mineral Resources (MEMR) and its related institutions such as the National Climate Change Secretariat and National Environment Management Authority (GOK 2013). The ministry is mandated to handle environmental issues and currently acts as the focal point for the United Nations Framework Convention on Climate Change (DIIS 2014:30)

The county departmental line offices relevant for this programme includes

- Environment, Water and Natural Resources department

[9] (Human Rights perspectives on Climate Change Adaptation, DIIS report 2014:30).

- Agriculture Livestock and Fisheries
- Energy Department
- Office of the County secretary
- Green Energy and Climate Change Unit.

2.4 Budgetary procedures in the Counties

The provisions of Section 128 of the Public Finance Management Act, 2012 (PFA, 2012), the budget process for a County is managed by a County Executive Committee Member (CECM) for Finance, including forwarding the annual budget and estimates of a County Government to a County Assembly.

Comparative Summary of Processing the annual budget at both levels of Government. For details of the sequence of processing the annual budget through the various county institutions see annex 2.

Cabinet	County Executive Committee
Approves the Budget Policy Statement (BPS) and the Budget Review and Outlook Paper (BROP), and Medium Term Debt Management Strategy MT/DMS. Reviews the Annual Budget Estimates for the National Government (excluding Parliament and the Judiciary) before submission to Parliament for approval.	Approves the Fiscal Strategy Paper (FSP) and the County Budget Review and Outlook Paper (C-BROP); Reviews and approves the Annual Budget Estimates for the County Government excluding the County Assembly before submission to the County Assembly for approval; Has powers to establish a County Emergency Fund (CEF) but with the approval of the County Assembly

2.5 Relationship between County and the sub-county level

For the purposes of the programme, citizen participation at the county level should be structured around service delivery. The devolution framework that provide for the formation of Sub-County Implementation units operates below the county governments. These are purely administrative and service delivery units with no political responsibility. As such political responsibility will be retained at the County Assembly level whilst administrative and fiscal responsibility will be devolved to the Sub-County Implementation units.

The criterion for the formation of Sub-County implementation units is specified in the devolution policy. It should be guided by cost, practicability, functionality and capacity of an area that can effectively manage itself. Technical officers with relevant expertise in various social and economic sector programmes are responsible for running the programmes within the Sub-County Implementation units. The program will seek to engage these sub-county implementation units which will in turn organize for sub-county citizens' forum and the ward citizens' forum to push for Devolution and Natural Resources Governance in Kisumu and Homa Bay Counties.

Each Sub-County Implementation unit should be a service delivery unit for a specified number of wards the projects will engage, as functionally possible (See figure below). The ward representatives under a local authority unit that constitutes a committee to elect the ward citizen's representative will be engaged in the project. The representative will then engage with the County Assembly and the Sub-County Implementation Unit at the Sub-County Citizen's Forum to push for the implementation of the projects activities with citizens actively involved as illustrated below:

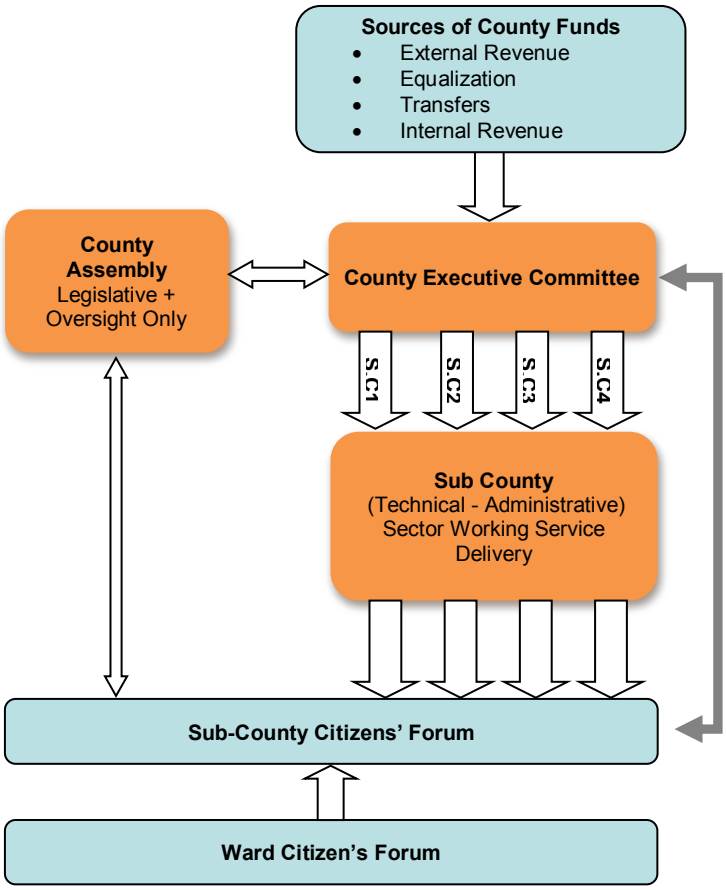


Figure 2: Assembly and the Sub-County Implementation Unit

2.6 Stakeholders in Kisumu and Homa Bay Counties

The counties have over 198 NGO's. Most of these NGO's are involved in HIV and AIDS interventions, environmental, education, health and civic education. A tentative list of what for this programme appears to be the 26 most relevant NGOs in the two counties is attached as annex 4.

Apart from the offices representing official authorities at county and sub county levels (described in section 2.3) the central level line agencies include:

a. Kenya Forest Service

Kenya Forest Service is a State Corporation established in February 2007 under the Forest Act 2005 to conserve, develop and sustainably manage forest resources for Kenya's social-economic development. The KFS management structure comprises 10 conservancies that are ecologically demarcated, 76 Zonal Forest Offices, 150 forest Stations, and 250 divisional forest extension

offices located countrywide, and critical in forest management and surveillance. To participate in forest management, forest adjacent communities have formed registered groups and are currently working with KFS to sustainably manage forest resources. In total, there are 325 community forest associations.

b. Min. of Environment, Water and Natural Resources

NEMA

The National Environment Management Authority (NEMA) is established under the Environmental Management and Coordination Act (EMCA) No. 8 of 1999, as the principal instrument of government in the implementation of all policies relating to the environment. Mandate of NEMA is is a government parastatal established to exercise general supervision and co-ordination over all matters relating to the environment

LVEMP II

LVEMP-II) is an East African Community (EAC) regional initiative coordinated by the Lake Victoria Basin Commission (LVBC) Secretariat and currently implemented by the five EAC Partner States that share the Lake Victoria Basin. These are the Republics of Burundi, Kenya, Rwanda, Uganda and United Republic of Tanzania.

It is a trans boundary project designed to achieve two development/global environmental objectives. Firstly, the project is meant to improve collaborative management of the trans-boundary natural resources of the Lake Victoria Basin among the Partner States and, secondly, to improve environmental management of targeted pollution hotspots and selected degraded sub-catchments for the benefit of communities who depend on the natural resources of Lake Victoria Basin.

c. LVBC

The Lake Victoria Basin Commission ("LVBC") is a specialized institution of the EAC that developed from the EAC's Lake Victoria Development Programme ("LVDP"), a mechanism established in 2001 to coordinate various interventions in the Lake Victoria Basin region and to turn the Basin into an economic growth zone. The EAC has designated Lake Victoria and its Basin as an area of common economic interest and a regional economic growth zone to be developed by the Member States.

Under Article 114(2)(b)(vi) of the EAC Treaty, the Member States agreed to establish a "body for the management of Lake Victoria." Accordingly, the LVBC was established through the Protocol for Sustainable Development of the Lake Victoria Basin (the "LVBC Protocol"), which was signed on 29 November 2003 and ratified in December 2004.

d. LBDA

The Lake Basin Development Authority (LBDA) was established in 1979 by the Government of Kenya to spearhead development in the Lake Basin Catchment area in Western Kenya. The LBDA has prepared feasibility studies for the exploitation and utilization of the resources of Lake Victoria Catchment. LBDA has also undertaken feasibility studies for investment and is willing to enter into partnerships with interested investors in setting up commercial ventures.

e. Min. of Agriculture

The Ministry has its fundamental goal and purpose of conserving protecting and managing agricultural livestock and fisheries resources for socio-economic development. Its aim is to improve the living standards of people by ensuring maintenance of agricultural livestock and fisheries resources. The ministry was created in 2013 following the merge of the three ministries of agriculture, livestock fisheries development and marketing.

2.7 Projects funded by SustainableEnergy in West Kenya

Prior to the start of the DaCCA program SustainableEnergy has funded 4 projects with 4 partners in Kisumu and Homa Bay counties:

- Strengthening the Advocacy role of Local Communities in the Lake Victoria Basin on Natural Resource Management' is funded through Suswatch. This project focuses on Advocacy on Natural Resource Management in the River Nyando Basin. From the built momentum on lobbying and advocacy for realization of results-based performance from Government in the Lake Victoria Basin, Suswatch Kenya seeks to emphasize the need to strengthen its standards on advocacy by further capacity building local Community groups in order to hold government responsible in Key Decision making in Natural Resource Management. The project is based in the Nyando River Basin covering Kisumu, Nandi, Kericho and Homa Bay Counties).
- SRHR and Sustainable Development Project' is funded through CREP and Osienala. The project operates under the heading of PHE (Population Health and Environment) an integrated programme aimed at addressing the needs of communities as they arise by linking family size to environment quality, food and nutritional security and livelihoods. This approach helps communities recognize the importance of smaller families and they therefore embrace family planning, it also enhances the participation of women in natural resource management as well as the participation of men in family planning. A large part of the project encourages locally based measures that use renewable energies to reduce GHG emissions and local pollutants resulting from the extensive usage of fossil fuels. The benefits of sustainable renewable energy and energy efficiency will improve the health, sanitation in the communities and accelerate poverty reduction in addition to increased energy security and reduced pollution. The project is based in Rachuonyo Sub County in Homa bay County in Western Kenya.
- Urban Environmental Neighbourhood Plans' is a Community Empowerment project expected to help in actualizing the Kisumu County government integrated plans at the ward level on a level that allows for maximum community participation for the realization of the overall goals of The Kisumu County Integrated Urban plans. The plans will act as action plans for the yet to be prepared county ward plans. The project is implemented in 3 informal settlements of Kisumu town, (Manyatta, Nyalenda, Obunga).
- 'Community Voices' is an advocacy project using different communication channels that includes seminars, consultative forums and radio talk shows reaching audiences in Kisumu town particularly those in informal settlements.

3 PROGRAM OUTLINE

The Theory of Change ToC) and the Logical Framework (LFA) are attached as annex five and six.

3.1 Theory of Change

The vision of the ToC is: An increasingly qualified CSO sector works closely with the most vulnerable groups (right-holders) and duty-bearers on climate change adaptation interventions. The corporation builds on the opportunities provided by constitutional devolution processes and the climate change bill.

To reach this vision the ToC runs in two parallel lines: One concerned with creating the right preconditions for the participating civil society members and targeted vulnerable groups. The other line concerns preconditions that are necessary to create around the duty bearers at county and especially sub-county levels. The ToC predicts that unless the preconditions falls into place the overall vision will not be achieved.

The preconditions are supported by a number of identified assumptions. Where the assumptions are not in place or fully exist, the program will design and support interventions around them. As the programme progresses new assumptions and preconditions will appear and the ToC will be revised accordingly.

The programme and its ToC will only be able to contribute to the processes around climate change adaptation and devolution. Direct attribution of successes (or failures) will only to a very limited extend be traceable to a programme of this nature. However, the accountability line inserted on the ToC diagram indicates up until where the programme foresees it is capable of influencing matters substantially, i.e. where its contributions will be significant. Above the line it is judged that external factors beyond the direct influence of the programme (policy or legislative adjustments, transfers of influential decision makers etc.) can have a decisive influence upon the achievement of the vision.

3.2 Logical Framework Analysis

The overall objective of the programme is identical with the vision of the ToC.

The immediate objective is: *Vulnerable populations in Kisumu and Homa Bay counties at risk of natural hazards caused by climate change are increasingly supported by policies and programmes sponsored through the devolution and climate change funds.*

To achieve most impact, the programme will during its inception period select one or two sub-counties in each county where it will focus its field based efforts. Supported by a dissemination strategy it is expected that results achieved here will be able to inspire and influence line agencies and like-minded CSOs in other sub-counties. The initial entry point of the program at the ward and sub-county levels will be the sub-county implementation units. The units are expected to organize for sub-county citizens' fora and ward citizens' fora to push for devolution and natural resources governance in Kisumu and Homa Bay Counties. Where this has not yet happened the entry points will be already formed village level committees dealing with local development issues.

Output 1: *A Programme Coordinating Committee established and active functioning as a linkage between participating NGOs and as a representative into already established CSO platforms dealing with climate change adaptation and devolution. The PCC will operate according to the PANT principles. More over the PCC has established links to relevant knowledge institutions and regional CSO partners.*

The programme coordinating committee (PCC) is considered instrumental in creating a dialogue and concrete cooperation between stakeholders and target groups, in matters concerned with climate change and human security. Suswatch will chair the PCC and senior representatives from participating organisations will have a permanent seat in the PCC. To share its mandate and intentions the PCC will regularly invite other stakeholders to participate as observers in its meetings, e.g. the newly formed Climate and Green Energy Department, implementing partners from the sub county levels or likeminded NGOs working with a similar agenda. The PCC will drive the program forward, agree on priorities, follow contemporary developments at the county level, formulate relevant long and short term interventions and interact closely with selected established NGO networks. The PCC will be independently supported by an administrative facility and a technical monitoring facility that reports directly to SustainableEnergy. Further details of the work of the PCC is provided in section 3.3, operational strategy.

Output 2: *Resilient and sustainable community models are mapped and disseminated. Most promising interventions with upscale potential are planned, prioritized and implemented within the programme frame, and based on a rights based approach*

Best practices and adaptive capacities do exist, but existing 'models' need to be highlighted based on evidence of technics, processes and organisation before further dissemination. The best practice examples of adaptive capacities are mapped and disseminated, and are used as arguments for support and interventions to the many underprivileged and vulnerable communities. Consensus about challenges caused by climate change will be established and used as inputs to budget and project planning. Program support will be made available to up-scaling of interventions that previously has shown strong evidence being able to deliver to targeted communities. Sub-counties, wards and communities are supported to apply for and supplement with county development funds.

Output 3: *CSO and the County government offices are empowered to work together with the upscaling of most promising climate change adaptation approaches; and have gained knowledge about national climate change plans. Contacts aiming at influencing the direction and usage of national and international climate funding mechanisms have been made.*

CSOs and duty bearer's capacity and know-how are strengthened through training in the devolution processes, citizens' rights and participation in budget planning and prioritization, using the devolution act and the climate change bill as the legislative basis. Empowerment efforts will also take place through facilitated meetings between the rights-holders and the duty-bearers.

3.3 Operational Strategy

The Devolution and Climate Change Adaptation programme (DaCCA) is overall managed by **SustainableEnergy.** DaCCA is part of SE's larger program supported by a frame agreement with Danida and will as such be reported and evaluated as part of SE's annual financial and narrative reporting system. SE is responsible for provision and monitoring of correct use of funds for the activities.

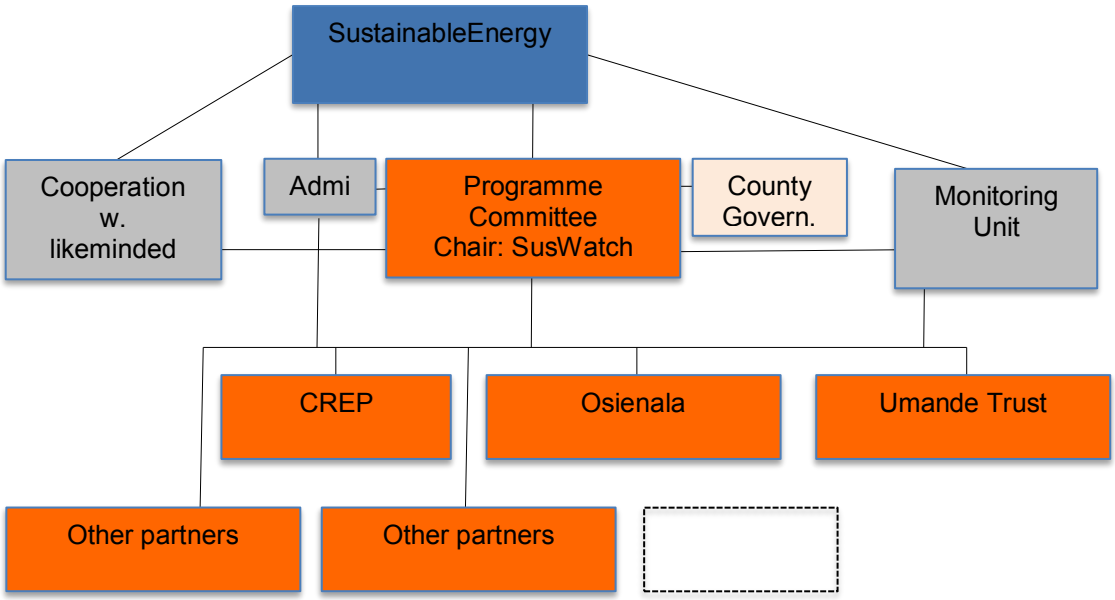


Figure 3: Organisational set-up

DaCCA is executed and organised through a **Programme Coordinating Committee (PCC)** headed by Suswatch. The PCC furthermore comprise of one senior member from each participating organisation. Observers from a relevant government office engaged with devolution and climate change adaptation as well as likeminded NGOs working with the same agenda will be invited on a regular basis to the PCC meetings. Working closely together the members of the PCC design and fund relevant activities that will support the movement towards the overall objective of the programme. A large amount of autonomy and decision making power are provided to the PCC and participating partners.

The PCC ensures coherency, synergy and linkages to the local government officials, and likeminded programmes and networks by being responsible for designs and planning of all new actions and long and short term projects implemented either singlehanded by partners or in partnership. Actions and advocacy campaigns, training courses for CSOs, communities and duty-bearers (local government) are all examples of tasks that the PCC is expected to plan and execute.

The PCC refers directly to SE. SE will be available for support and will finally approve projects, actions and reports from the PCC. SE will further make bi-annually and annually reviews of the progress of the program. Prior to program start, terms of references will be made for the PCC.

An important task of the PCC is to establish strong linkages to **existing CSO platforms** working with the devolution agenda in Kisumu and Homa Bay counties. Therefore the linkages already established by Suswatch to the platform headed by Cordaid with members that include Concern and the CSO network will be further reinforced. The purposes of participating in such platforms are to exchange experiences, working as stronger coalitions, be recognised by the local government as an experienced partner with close contact and legitimacy towards duty bearers speaking on matters around devolution processes with one voice. The Platform may encourage cross county climate change adaptation projects and actions which may give room for negotiations with counties covering larger areas adjacent to Lake Victoria and sharing the same regime of opportunities.

The programme is supported by a **Monitoring Unit** headed by SustainableEnergy and supported/advised by contracted consultants. The prime objective of the unit is to monitor the assumptions and changes happening within the ToC of the programme as well as within the indicators formulated in the Logical Framework.

Other needs that the unit will assist with include the establishment of appropriate baselines compiling research results of effects of climate change, support the drafting of required background analysis and descriptions for new projects, a.m.

Attached to the PCC is a Finance and **Administrative Unit**. The Unit is an independent unit but shares office with Suswatch's administrative department. The Unit handles on behalf of SE all financial transactions to the projects, actions and partners involved. All partners contracted to do projects and actions submit financial statements and reports after a designated plan to the Unit. The Unit gets all financial transfers from SE. Contracts and budgets for each project and action over and above a certain amount is formally agreed upon between SE and the PC.

Budgets, plans for transfers and contracts are submitted to the Unit from SE. The Unit gathers all relevant financial statements on a quarterly basis, and forward them to SE. It also works out the annual financial statement which are duly audited from an authorised auditing company and send to SE. SE will once a year make a more detailed financial review.
The TOR of the Unit is attached as an annex to this document.

3.3.1 Participating partners

The participating partners in the DaCCA program is CREPP, Osienala, Umande Trust and SusWatch. During the inception phase projects were formulated and approved by the PCC. The projects illustrate an integrated approach where the effects of climate change are seen as part of the development challenges. Implementation is ongoing and brief summaries below describe the projects:

SusWatch:
SusWatch Kenya was officially registered as a Non-Governmental Organization in March 2011. It is a network composed of Civil Society Organizations engaged in varied thematic issues contributing towards sustainable development. Prior to its official registration Suswatch has been operating since 2002 as a loose network of civil society organizations. It draws its membership from various institutions spread across the country. It is a member of the East Africa Sustainability Watch (EA SusWatch) which was formed in 2005 and comprises of networks of NGOs from Kenya, Uganda and Tanzania spearheaded by the Uganda Coalition for Sustainable Development where the EA SusWatch Regional Secretariat is hosted.

The role of SusWatch
SusWatch is chairing the Program Coordinating Committee in DaCCA and is responsible for advocacy and policy development. Inputs to campaigns and cooperation with duty bearers come from evidence based examples derived from either intervention done by partners in DaCCA or from existing 'best practice' examples of climate change adaptation. Strategies and planning of actions are formulated and approved by DaCCA's PCC. During the inception phase the DaCCA program has established relations with likeminded networks, e.g. the Friederich Ebert Stiftung (FES) and local networks headed by Cordaid. More over cooperation have been established with the Green Energy & Climate Change department in Kisumu County. FES and DaCCA (SusWatch) will thus participate in drafting Kisumu County's Climate Change policy in 2017.

CREPP:
CREPP initially started as a relief and rehabilitation CBO during the ethnic clashes that characterized Kenya in 1992 and 1993 at the onset of multiparty politics. Originally going by the name Muhoroni Central Development Project (M.C.D.P), the organization was mainly involved in provision of relief items and counselling the communities affected and displaced by the clashes. The organization was eventually registered a Non-Governmental Organization (NGO) in March 1997 and has since then increased its development initiatives to cover Food Security, Environmental Rehabilitation and Conservation including promoting use of renewable energy, HIV & AIDS, Water and sanitation, Micro-Enterprise and development, Gender equality and equity, floods disaster mitigation and Policy advocacy.

Enhancing climate resilience and adaptive capacity for vulnerable communities (CREPP)
Rural communities' economies are highly dependent on the natural resource base, making them vulnerable to climate variability and change. Climate change affects the four components of food security: food availability, food accessibility, food utilization and food system stability - in various direct and indirect ways. The changes lead to losses of productive assets, personal possessions and even life. The project will support the development of enterprises that can run profitably and therefore be sustainable beyond the project period. Support will be given to agriculture based production like local poultry production, fish farming, dairy goat production, bee keeping, agro forestry, seed propagation and planting, fruit propagation and planting, soil and water conservation, soil health and fertility, and IPM (Integrated Pest Management).

OSIENALA:
OSIENALA (Friends of Lake Victoria) was established in 1993 as a national NGO with its head office in Kisumu City in Western Kenya. OSIENALA's has created awareness locally and internationally about the problems facing Lake Victoria while at the same time creating structures that would support local communities to become responsible custodian of their environment and the lake. OSIENALA endeavours to strengthen capacities within the communities for sound management, optimization of resource utilization and improvement of the social and economic status in the region. Over the years, OSIENALA has repositioned and restructured its services to allow it to engage in regional management and conservation of Lake Victoria resources. OSIENALA works in partnership with other organizations both within the Lake Victoria basin and internationally.

Climate-smart communities' response project (Osienala)
The complex ongoing climate-induced changes require integrated assessment of, and deliberate planning to increase, the adaptive capacity of the vulnerable communities so that they may respond to: (1) environmental degradation and fisheries declines through effective management interventions or conservation initiatives, (2) new economic opportunities to reduce dependence on fisheries, and (3) the increasing impacts of climate change. The project will support interventions, in the form of policies, programs, and actions, at multiple scales for increasing the adaptive capacity of the target communities to change. ***Climate-smart communities' response project*** aims at enhancing the communities' capability to cope with current climate variability/risks as well as to increase efficient resource allocation to climate change adaptation strategies. The project will more over introduce a sustainable financial model for community solar systems in which the community members will be mobilized and organized to form and join a SACCO.

Umande Trust:
Umande Trust is a rights-based agency which believes that modest financial resources can

significantly improve access to basic services if strategically invested in to support community-led plans and actions. `Umande' is the Kiswahili term for "dew" - connoting a new, unbiased, nascent beginning, not recycling the ideas of yesteryears. Operating from its offices within Kibera, with satellite regional offices in Nakuru and Kisumu, UT have been able to achieve rapid growth with community groups, strategic alliances and partnerships with civil society agencies, local authorities, central government and international development partners. Key areas of concerns are water and sanitation, renewable energy, gender and urban development in unplanned settlements.

Adapt a Stream, Ignite a Beach (Umande Trust)
Wetlands are crucial to maintenance of the water cycle and provision of water-related ecosystem services. These include clean drinking water, water for agricultural services, cooling water in the energy sector and water quantity regulation during flood control. They also contribute to land formation and resilience to storms through such processes as sediment transport and soil erosion control. Therefore, wetlands directly and indirectly power myriad sectors including agriculture, tourism and fisheries among others. However, despite their importance, wetlands continue to be degraded and lost in some instances. This is due to the effects of irrigation, intensive agricultural production, urbanization, increased water extraction for domestic and industrial use, pollution and industrial and infrastructure development.
The project will strengthen the link between WASH, fresh water conservation and climate resilience. The activities will address development and climate change challenges in communities located in wetlands in Kisumu and Homa Bay.

See ***annex 10*** for a full description of the 4 partners participating in the DaCCA program. More over the complementarity matrix annex 10a describes the specific skills of each partner. As illustrated in the matrix each partner possesses different skills and experiences that together will cover and be useful for implementation of the program. However, later in the program others not yet identified may be requested to either draft ideas/concepts for projects and actions to implement formulated by the PCC or SE. When a concept is drafted it goes to the PCC for approval and subsequent detailed design. The PCC must ensure that the action fits into the overall frame and vision for the programme. SE and the PCC can also by themselves formulate and draft ideas forwarding it for approval and funding.

3.3.2 Target groups

	Primary target groups	Secondary target groups
Rights holders directly involved and benefitting (and local duty bearers in the case of the committee members)	• Community group members in: o Wang'Chieng ward o Ahero ward o Kogweno ward o Wawidhi ward o Kochogo ward o Chuowe Beach o Obaria Beach Group members working directly with programme activities, will receive training and are capacitated to disseminate their knowledge to the entire community. Each group has 2-300 members, where 60% are women.	• All community members in the 7 target wards Each community (14) consists of approximately 2.000 inhabitants. 25.000 community members will indirectly be involved in the programme. • CSO networks in Western Kenya • Other CSO allies • Learning institutions
Duty bearers reached through advocacy and networking	• Local authorities (sub counties): o Nyando o Rachuonyo South	• National government: o Ministry of Environment and Natural Resources

(for institution behind abbreviation refer to stakeholder analysis)	○ Rachuonyo North • Beach Management Units (BMUs) • Provincial authorities (counties): ○ Kisumu ○ Homa Bay • County executives for the department of Green Energy and Climate Change in Kisumu county and the Ministry of Water Services and Environment, Homa Bay County. • County executive committee members • Private companies (providers of Solar Home Systems)	• Public revenue and co-funding mechanisms: ○ Community development Fund ○ Women's Development Fund ○ Youth Development Fund • Members County assemblies • Private sector • Local medias, radios, journalists and bloggers • Stakeholders, ministries, institutions, universities.
Consortia partners from the civil society	SusWatch CREPP Osienala Umande Trust	CSO platforms in Kisumu: • Platform on Devolution in Kisumu County consisting of: ○ Cordaid ○ Concern worldwide ○ The Civil Society Organization Network for Western and Nyanza Province (CSO Network) ○ KMET • Cooperation on Devolution and Good Governance in Kisumu and Homa Bay counties: ○ Friderich Ebert Stiftung ○ Transparency International

3.3.3 SustainableEnergy's added value to the program

The more flexible funding modality of the frame agreement with Danida opens up for new models of collaboration. The DaCCA program has thus been organised as a consortium of 4 Kenyan partners with different and complementary skills. SE contributes to the network and consortium by facilitating the collaborations between matching partners. When working with a consortium of partners SE's long national track record of promoting decentralized planning and decision making methods within the energy and environmental sectors is used as a natural point of departure for all interventions and discussions.

SE's long presence in Kenya and wide global contacts to CSOs and various funding mechanisms will further provide access for the DaCCA program for networking and additional funding. The program has so far been able to attract funding from Merkur Cooperative Bank and the Roskilde Fund. Very likely the Global South Platform can soon be added to the list.

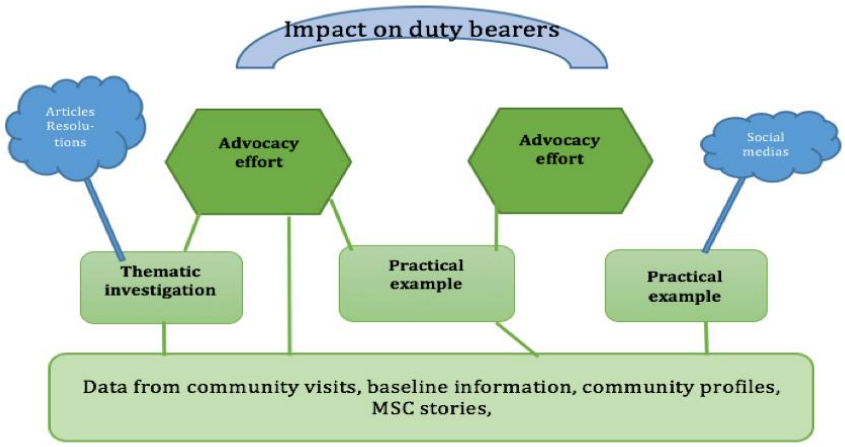
More over SE's program coordinators train and are continuously supporting DaCCA's staff in formulating advocacy and monitoring strategies, finance and administrative matters and organisational building.

3.4 Advocacy strategy

Tangible and concrete examples of practical solutions to challenges, whether produced by the DaCCA program or others, form the basis and evidence when engaging duty bearers to either replicate and scale up the "solution" or have it included in policies. By implementing climate

change adaptation interventions in vulnerable communities, the program will document best practice and adaptive capacities. The evidence based examples are mapped and disseminated, and used as arguments for financial support through county development funds.
The program has further established links to likeminded networks in Western Kenya sharing resources for joint advocacy campaigns and meetings with duty bearers.

The following model illustrates the strategy:



Progress is monitored partly by SE's partners working with communities on a daily basis and reporting bi-annually to SE, partly during SE's own biannual review visit to programs. An external knowledge institutions and/or consultants are attached to the DaCCA program to further capacity build partners to design, implement and evaluate advocacy campaigns.

Dissemination of results are via use of a variety of media platforms, workshops and issue papers communicated to duty bearers. Success indicators include the ability of the advocacy work to influence new strategies and budgets of Kisumu and Homa Bay counties and from private sector actors' investments into the program's target areas.

4 BUDGET

The table below is a frame budget for the programme.

	Activities	2016	2017	2018	2019
1	Training and capacity building	210.000	100.000	100.000	100.000
2	Project action and implementation	750.000	1.160.000	1.400.000	1.400.000
3	Investments	191.000			
4	Local staff, including accountant	543.000	486.000	486.000	486.000
5	Local admin.	40.000	48.000	48.000	48.000
6	Administrative Unit, web	13.000	12.000	12.000	12.000
7	Monitoring and research Unit	125.000	150.000	150.000	150.000
8	Support to networks	80.000	60.000	60.000	60.000
9	Audit	42.000	42.000	42.000	42.000
	Total frame budget	**1.994.000**	**2.058.000**	**2.298.00**	**2.298.00**

Figure 5: Frame budget

Comments to the budget:

1. The budget contains only major figures and budget lines. For a more detailed budget see annex 8.
2. Activities are planned for the programme ending 31 December 2019, however, budget for 2019 may be adjusted following programme revive in 2018.
3. Annual expenditures cannot exceed the amount stipulated in the budget
4. A maximum of 10% underspending of the annual budget can be transferred to the subsequent year
5. Quarterly financial reporting should go to SE following SE's templates
6. Up to 10% of a main budget line can be moved with prior approval from SE

1) **Programme Coordinating Committee:** One Suswatch full-time employee and one part time assistant in charge of pushing the programme forward, 3 representatives from CREP, Osienala and Umande on 1/3 part time salaries, early capacity building courses for partners, transport cost for the committee and office rent at Suswatch and initial investments in lap-tops and printers.

2) **Administrative unit**: Funds set aside for a full-time administrator.

3) **Support to the CSO platform led by Cordaid and other networks**: Activities supporting the objective of the platform including internal seminars and meetings between members.

4) **Monitoring unit:** Conducting of necessary baselines and researches informing the PCC on directions to take, setting up of an early monitoring framework and general process monitoring following developments in the ToC.

5) **Training and capacity building:** Capacity building of external partners, including government staff and local CBOs.

6) **Actions and interventions planned and implemented**: Support to the upscaling of tested climate adaptation interventions

5 ASSUMPTIONS AND RISKS

The program's Theory of Change shown in annex 6, has preconditions and assumptions that explain the causal linkages between preconditions and the expected change caused by the interventions of the program's activities.

The assumptions, risks and mitigation measures listed below are an extract from the ToC, and have all an effect of the implementation of the program. The risks and assumptions will be monitored closely by the Monitoring and Research Unit in order to enable the program to make timely and appropriate adjustments.

Three general assumptions are made related to the program:
1. Political stability. The democratic situation in Kenya, both nationally and locally, remains stable and mature over time.
2. Technical and management capacity. The authorities in the focus Counties are open to a dialogue with SE and its partners and will gradually see the advantage in developing strategic partnerships with the program in order to advance the Counties' development goals.
3. Response from target group. The target group is expected to be willing and able to use their knowledge and capacity to organize themselves around devolution and climate change adaptation projects.

Risk	Risk factor	Mitigation measures
Political stability The political stability is fragile but it is envisaged that the new constitution approved by consensus in August 2010 - if followed - will pave the way to a more stable social/political situation in the country. The general election in 2013 went well with only minor incidents.	M	SE and the program partners have no means to influence the national political stability. However, the civil society is alert and numerous CSOs and government projects work on making the current relative stability more robust. SE and the partners in the program will actively work for the stability by bringing the political and administrative system and the civil society together.
Local Government capacity The technical capacity at the County level may be low, both technically and regarding capacity and willingness to develop ideas, making devolved funds available to communities and support for climate adaptation projects.	M	The program includes activities and budgets that will address this constraint through meetings, capacity building, seminars, workshops and actively participating in networks that are occupied with the same agenda.

Response from target groups The Program may face constraints because some community members may wonder whether their participation will give them anything in return. Some residents may have negative experiences from previous NGO-project collaboration; others may simply be too occupied with getting by on a daily basis.	L	Key focus of the Program strategy is working with best practices and adaptive capacities in the communities. This participatory approach will involve communities and lead to ownership. The progress and success will be monitored by the program, SE and the Monitoring and the Research Unit. If progress is unsatisfactory SE and partners will analyse the constraints and take relevant measures within the program's strategy, activities and budget. Interventions supported will in most cases be sound and well proven in terms of having a livelihood impact on a short to medium term basis.

H – High, M – Medium, L – Low

5.1 Monitoring of assumptions and risks

The programme will apply the following monitoring scheme:
1) The assumptions and pre-conditions identified in the ToC will be routinely questioned and tested by the PCC, the attached monitoring unit and SE. It is expected that the ToC after one year of implementation will look different adjusted to the realities on the ground. The PCC will have the ToC as a permanent point on its agenda when meeting. The program budget has funds set aside for a monitoring unit charged with among other things reporting on movements within the ToC.
2) The semi-annual reporting from Suswatch to SE has a dedicated reflective section concerning the validity of assumptions and general indicator progress.
3) SE has budgeted for two annual review visits with standardized terms looking into general performance as well as assumptions and risks

Annexes:

1. **Project Implementation Plan**
2. **Budgetary flows in the Counties**
3. **Terms of References for the inception phase**
4. **List of NGOs in the Counties**
5. **Log frame**
6. **Theory of Change**
7. **Code of Conduct**
8. **Budget**
9. **Terms of References for:**
    a. **Finance- and Administrative Unit**
    b. **Programme Coordinating Committee**
10. **Partner description**
    a. **Complementarity matrix**
11. **Maps of hazard in Kisumu and Homa Bay counties**

Annex 1: Programme Implementation Plan

		2015	2016											2017										
Activity		11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Inception phase																											
Procedures manual and Inception report																											
Administrative unit in place																											
Programme Committee meetings																											
Monitoring Unit drawn-in ad hoc																											
SE visit and assistance																											
Output 1: Programme Coodinating Committee established and in function																											
1.1	Terms and administrative terms agreed upon																										
1.2	Planning of training and capacity building venues																										
1.3	Training sessions starts																										
1.4	Establish links to existing CSO Platforms and networks																										
1.5	Design and planning for projects and actions with partners																										
Output 2: Resilient and sustainable community models mapped upscaled and disseminated																											
2.1	Best practice models mapped and disseminated																										
2.2	Selected baseline studies done																										
2.3	Evidence of challenges of Climate Change established																										
2.4	Frame for new interventions established																										
2.5	Actions and interventions planned and approved																										
Output 3: CSO and County Governement cooperate																											
3.1	Training and capacity building venues planned and executed in cooperation with the County																										

Annex 2: Budgetary flows

Institutional arrangement and the flow of budgets from national government to the county government

Cabinet Secretary for Finance: According to provisions of Section 218(1) of CK 2010, the Cabinet Secretary for Finance shall at least two months before the end of each Financial Year submit to the National Parliament:

(i) A Bill by the name, Division of Revenue Bill, which shall have divided the revenue raised by the National Government among the National Level and County Level Governments as required under Sections 202(1) and 203 of CK 2010.

(ii) A Bill, by the name, County Allocation Bill, which shall have divided among the Counties, the revenue allocated to the County Level of Government, as resolved under Section 217 of CK 2010.

(iii) The share of the revenue of a County as authorised in the County Allocation Bill, shall be transferred to the County without undue delay.

The Commission on Revenue Allocation: According to provisions of Section 216 of CK 2010, the Commission on Revenue Allocation shall:-

(i) Make recommendations of the basis and criteria for the equitable sharing of the revenue raised by the National Government, between the former and the County Governments and among the County Governments;

(ii) Determine a policy setting out the criteria by which to identify the marginalised areas for the purposes of Section 204(2) of CK 2010

The National Parliament: According to provisions of Section 204 of CK 2010, will then enact the Equalization Fund, which is to be utilized by the National Government as provided for under this Section. Thereafter, according to the provisions of Section 217 the Senate and the National Assembly, adopts a resolution determining the basis for allocating among the Counties, the share of the national revenue that is annually allocated to them. The resolution is initiated by the Senate, once every five years. However, it requires the concurrence of the National Assembly, subject to provisions of Section 217(5).

The County Executive Committee: Pursuant to provisions of Section 224 of CK 2010, each County Government shall prepare its annual budget estimates and later an Appropriations Bill as provided for in the Public Finance Management Act, 2012. The annual budget, estimates and the Appropriation Bill shall be prepared by a County Executive Committee and submitted by a County Executive Committee Member for Finance to a County Assembly for approval and enactment.

Summary of the budgetary process

August 30:

The Cabinet Secretary and the County Executive Member for Finance at the national and county levels respectively have to issue a circular, which among other issues should highlight the public participation opportunities throughout the budget process for the next financial year.

September 1.

Counties must prepare and table the annual development plan in the County Assembly by this date. The plan must be made public within 7 days. Possible public input after September 7 at the County Assembly level. However, the public can still participate before the plan is tabled as the County Budget and Economic Forum has to ensure there is public input on all plans and budgets.

September 1 to February 15.

During this time, the National Treasury and the various ministries and agencies should undertake some type of consultation with the public and other stakeholders. This can include sector hearings as in the past, or visits by Treasury to counties to solicit views. Views from the public should feed into the formulation of the Budget Policy Statement. A similar process should occur at county level under the direction of the County Treasury. The Budget Policy Statement (BPS) is tabled at the national assembly by February 15 and citizens have a short period to read and influence it before the approval deadline of Feb 28

Amendments and approvals

April 30.

National Budget Proposal submitted to Parliament. County Budget Proposals submitted to County Assemblies. (The Citizens Budget should be made available around the same time as the Budget Proposal/Estimates).

May

This is likely when the national and county Budget Committees will begin to hold public hearings on the budget.

June 30.

End of the financial year. National Appropriation Bill approved by Parliament and Approval of County Appropriation Bills by County Assembly.

Implementation

October 31.

The public can review and provide inputs on quarterly implementation reports produced by the Controller of Budget and the counties with the CBEF, or assemblies. The 1st quarter county implementation report should be produced by October 31. The other reports are to be produced as below:

November 15. National government publishes 1st quarter implementation report.

- January 31. Counties publish 2nd quarter implementation reports.

- February 15. National government publishes 2nd quarter implementation reports.
- April 30. Counties publish 3rd quarter implementation reports.
- May 15. National government publishes 3rd quarter implementation reports.
- July 31. Counties publish 4th quarter implementation reports.
- August 15. National government publishes 4th quarter implementation reports.

Audit / oversight

Throughout the year

The Auditor General can receive complaints from the public and this offers an opportunity for public input into the auditing processes at the National and County levels.

December 31.

The Auditor should produce a report on the previous financial year within 6 months of its close

Budget flow in the County Government

The provisions of Section 128 of the Public Finance Management Act,2012 (PFA,2012), the budget process for a County is managed by a County Executive Committee Member (CECM) for Finance, including forwarding the annual budget and estimates of a County Government to a County Assembly.

Sequence of Processing the Annual Budget

The Sequence/Processes of the transaction of the Budget of a County Assembly are:-

(i) County Development Plan- is prepared under Section 126 of CK 2010 and submitted to a County Assembly by the County Executive Member responsible for Planning, not later than September 01, in each year.

(ii) County Budget Review and Outlook Paper

(a) For each Financial Year, the County Budget Review and Outlook Paper is submitted by the County Treasury to the County Executive Committee by September 30, of the Financial Year;

(b) The County Executive Committee approves the County Budget Review and Outlook Paper within fourteen days;

(c) The County Budget Review and Outlook Paper is then submitted to a County Assembly

(iii) The Circular Setting out Guidelines to be followed by County Governments in the Budget Process

(a) The County Executive Member for Finance issues the Circular not later than August 30, in each year;

(b) The Circular shall specify, amongst others-

- Schedule for preparation of the Budget, specifying key dates by which various processes are to be completed;
- Key policy areas and issues to be taken into consideration;
- The procedures to be followed by the public to participate and the format in which information and documents may be submitted

(iv) The Pronouncement of the Revenue Raising Measures of the County Government:

(a) The Pronouncement shall be made by the County Executive Member for Finance in each Financial Year;

(b) The County Finance Bill, is submitted to a County Assembly on the date of the Pronouncement;

(c) The County Finance Bill sets out the revenue measures together with a policy statement expounding on the same;

(d) The County Finance Bill shall be approved not later than ninety days after a County Assembly passes the Appropriation Bill

(v) The County Fiscal and Strategy Paper: The County Fiscal and Strategy Paper is prepared by the County Treasury and submitted to the County Executive Committee for its consideration and approval;

(a) The approved Paper is then submitted to a County Assembly by February 28, of each year;

(b) The Paper specifies amongst others, the broad strategic priorities and policy goals that would guide preparation of County budgets for the coming year and over the medium term;

(c) The Paper, further ,includes- the financial outlook of the revenues, expenditures and borrowing of the County Government for the coming year and over the medium term;

(d) The Paper is considered by the Committee on Budget and Appropriation which tables a report and recommendations before a County Assembly;

(e) A County Assembly considers the Paper together with the report of the Budget and Appropriation Committee and adopts it within fourteen days;

(f) The County Executive Committee Member for Finance considers recommendations of a County Assembly on the Paper when finalizing the Budget proposal for the year concerned.

(vi) Statement of Debt Management Strategy: The Statement of Debt Management of a County Government over the medium term is submitted to a County Assembly by a County Executive Committee Member for Finance, on or before February 28, in each year;

(a) The Statement sets out the actual and potential liabilities in respect of loans and plans to deal with the loans;

(b) Further, the Statement would include information on-

- The total stock of debt as at the date of the Statement;
- The sources of the loans;
- The principal risk associated with those loans;

(c) The Statement is considered by the Committee on Budget and Appropriation which would table a report and recommendations to the County Assembly

(d) The report of the Committee would be considered by the County Assembly; once adopted, the views and recommendations of the Assembly would be forwarded to the County Executive Committee

(vii) Submission of Annual Budget Estimates and Documents: The Annual Budget Estimates, Supporting Documents and any Bills required to implement the Budget for the forthcoming Fiscal Year for the County Executive and other entities; except the Finance Bill, should be submitted by the County Executive Committee Member for Finance by April 30, of the year;

(a) The Annual Budget Estimates and any Accompanying Documents shall be prepared by and submitted to the County Assembly by the Clerk of the County Assembly by April 30, of the year; copies shall at the same, be submitted to the County Executive Committee Member for Finance

(b) The Annual Budgets and Estimates of the County Governments and the County Assembly shall be referred to the Sectoral Committees

(viii) The Select Committees: Shall consider their sectoral budgets and estimates and report to the Budget and Appropriation Committee;

(a) The Sectoral Committees shall require the respective County Executive Committee Members to appear to elucidate and respond to any queries;

(b) The Budget and Appropriation Committee shall adopt the same procedure as the Sectoral Committees; as well as facilitating public participation; this is where Citizens are required to give their views on the budget.

(ix) The County Assembly: The Budget and Appropriation Committee shall table a report and recommendations on the two budgets and estimates to the Committee of Supply of the County Assembly;

(a) The Budget and Appropriation Committee, as well as, the Committee of Supply, shall deliberate and if amendments are proposed, they should be done in compliance with the provisions of Sections 131 of PFM 2012; and approve the Budgets and the Estimates by April 30, of the same year;

(b) A County Assembly shall consider and approve with or without amendments the annual Budgets and Estimates of the County Government and the County Assembly by June 30th of the year;

(x) The Appropriation Bill of the Year: Incorporating the two sets of Budgets and Estimates, shall be submitted to the County Assembly, soon after the County Assembly would have approved the Budgets and the Estimates;

(a) The Appropriation Bill shall be submitted by the County Executive Committee Member for Finance and shall be enacted soon after by the County Assembly.

(xi) Statutory Stages in County Government Budget Process: The Statutory Stages in County Government Budget Process are set out in Section 125 of PFM; 2011.

Devolution and Climate Change Adaptation

Terms of reference

Programme Coordinating Committee

1st November 2015 to 31st May 2016

These Terms of reference details the work that is expected to be initiated and completed jointly by the Programme Coordinating Committee (PCC) and SustainableEnergy (SE) during the inception period of the programme. Supported by SE the PCC is expected to take the lead on all tasks.

Administrative matters	Designing and testing of an accounting system that works for the PCC, SE and participating partners	Nov /15
	Revise, adjust and detail the tentative programme budget for a three years' period	Oct – Dec /15
	Inputs to procedures manual drafted by SE. The manual will describe procedures for approving budgets and activities, reporting schemes, detailed accounting procedures and terms for the monitoring unit, the administrative unit and the programme committee.	Jan – Mar /16
Capacity building of participating partners	Finalise the initial capacity building partners preparing all to engage communities and county authorities. Themes to be considered: Devolution legislation, Climate change legislation, project design, experience sharing of previous climate adaptation interventions	Nov – April /16
Baselines and research	Based on the knowledge of the PCC members and members of the CSO-network platform select a limited number of 'types of interventions' with solid evidence of having potential for further upscaling.	Feb /16
	Select a limited number of sub counties (1 to 3) in each county that will be the field focus areas of the programme	Feb / 16
	Design and initiate appropriate baselines and research capable of supporting the implementation phase	Mar – May /16
Monitoring	Design of a monitoring framework capable of following results and processes in both the Log-frame and the Theory of Change	Feb - Mar /16
LFA and ToC	Revisit and sharpen the indicators of the programme ensuring that they are PANT sensitive. Adjust the ToC if required	April /16
CSO platforms	Join and contribute to relevant (devolution and climate change) CSO platforms in Kisumu and Homa Bay counties	Nov /15 – onwards
Dissemination strategy	Draft and agree upon a feasible strategy that outlines effective ways of communicating and disseminating gained knowledge around devolution and climate change issues as well results made by the project.	Mar / 16

Annex 4 : List of relevant NGOs in Kisumu and Homa Bay Counties

Kisumu County

No	Details	Name
1.	**Name**	Bamato Environmental and Sanitation Programme
	Location	**Kisumu**
	Contact Person	**Valentine**
	Cell	**0722471880**
	Type of CSO	**CBO**
	Area of Focus	**Solid Waste Management water and sanitation**
	Website	**http://www.kabissa.org/directory/bamato**
2.	**Name**	OSIENALA (Friends of Lake Victoria)
	Location	**Kisumu,Dunga Beach**
	Contact Person	**Dr. Obiero Ong'ang'a**
	Cell	**+254203588681**
	Type of CSO	**NGO**
	Area of Focus	**Environment/Natural Resource Conservation/Community Livelihood/Fisheries**
	Website	**www.osienala.org**
3.	**Name**	VIRED International
	Location	**Rabuor, Kisumu**
	Contact Person	**Prof. JB Okeyo**
	Cell	**0728 303839**
	Type of CSO	**NGO**
	Area of Focus	**Research/Community Livelihood and Natural Resource Conservation**
	Website	**http://www.viredinternational.org**
4.	**Name**	Community Initiative Action Group (CIAG)
	Location	**Kisumu**
	Contact Person	**Chris Owalla**
	Cell	**0716 384 135**
	Type of CSO	**NGO**
	Area of Focus	**Governance**
	Website	**www@ciagkenya.org**
5.	**Name**	SANA International
	Location	**Kisumu, Milimani**
	Contact	**Alfred Adongo Okeyo**

	Person	
	Cell	**+254-(0)722-206505**
	Type of CSO	**NGO**
	Area of Focus	**Water and Sanitation**
	Website	**www.sanainternational.org**
6.	**Name**	Umande Trust
	Location	**Kisumu**
	Contact Person	**Collins Obura**
	Cell	**0720270609**
	Type of CSO	**NGO**
	Area of Focus	**Water, sanitation and environmental services**
	Website:	**www.umandetrust.org**
7.	**Name**	CSO Network
	Location	**Kisumu**
	Contact Person	**Betty Okero**
	Cell	**0727 012605**
	Type of CSO	**CSO**
	Area of Focus	**Devolution, women leadership, gender empowerment**
	Website	**www.cso-network.org**
8.	**Name**	CORDAID
	Location	**Kisumu**
	Contact Person	**Eric Makhoha, Mercyline Oyier**
	Cell	**0720 022446, 0721 402538**
	Type of CSO	**INGO**
	Area of Focus	**Community development, poverty eradication, fragile contexts and conflict areas**
	Website	**www.cordaid.org**
9.	**Name**	Concern Worldwide
	Location	**Kisumu**
	Contact Person	**Dennis Kongere**
	Cell	**0733 128289**
	Type of CSO	**NGO**
	Area of Focus	**Healthcare, education and sustainable livelihood**
	Website	**www.concernworldwide.net**
10.	**Name**	Eco-Finder
	Location	**Kisumu Dunga Beach**
	Contact	**Caroline Odera**

	Person	
	Cell	**0728791541**
	Type of CSO	**CBO**
	Area of Focus	**Environmental entrepreneurship, sustainable development, conservation education and advocacy, community development, landscape rehabilitation, leadership incubation, good governance and peace building**
11.	**Name**	VI-Agroforestry
	Location	**Kisumu**
	Contact Person	**Wilson Nyariwo**
	Cell	**0733915476/ 0712884418**
	Type of CSO	**NGO**
	Area of Focus	**Agroforestry, sustainable agricultural land management, community livelihood improvement**
	Website	**www.viagroforestry.org**
12.	**Name**	Uhai Lake Forum
	Location	**Kisumu**
	Contact Person	**Onyango**
	Cell	**0733857825/0724224677**
	Type of CSO	**NGO**
	Area of Focus	**Sustainable and profitable management of Lake Basin natural resources and community empowerment**
	Website:	
13.	**Name**	CREP
	Location	**Awasi**
	Contact Person	**Collins**
	Cell	**0722617030**
	Type of CSO	**NGO**
	Area of Focus	**Community Livelihood Improvement**
	Website	**www.crepprogramme.org**
14.	**Name**	Wildlife Clubs of Kenya
	Location	**Milimani**
	Contact Person	
	Cell	**0721-263 797**
	Type of CSO	**NGO**
	Area of Focus	**Biodiversity conservation**
15.	**Name**	Sustainable Environmental Development Watch (Suswatch Kenya)

	Location	**Kisumu**
	Contact Person	**Nobert Nyandire**
	Cell	**0721878329**
	Type of CSO	**NGO**
	Area of Focus	**Advocacy on Climate Change, Natural Resources Management and Good governance**
	website	**www.suswatchkenya.org**

HOMA-Bay

No.	Name	Suba Environmental Education of Kenya (SEEK)
1.	**Location**	**Mbita**
	Contact Person	
	Cell	**0724 540381**
	Type of CSO	**FBO**
	Area of Focus	**Environmental Stewardship in a Biblical Way**
	Website	**http://missionwild.org**
2.	**Name**	Star of The Lake
	Location	**Homabay**
	Contact Person	**Joshua**
	Cell	
	Type of CSO	
	Area of Focus	
	Website	
3.	**Name**	Dev Link
	Location	**Homabay**
	Contact Person	**Seth Muzorewa**
	Cell	**0724 537201**
	Type of CSO	
	Area of Focus	**Linking development and Environment**
	Website	
4.	**Name**	Eco-Policy
	Location	**Homabay**
	Contact Person	**Dolphine Cheliba**

	Cell	**0728201800**
	Type of CSO	
	Area of Focus	
	Website	
5.	**Name**	Rusinga Trust Fund
	Location	**Mbita**
	Contact Person	**Alphonce**
	Cell	**0711986206**
	Type of CSO	
	Area of Focus	
	Website	
6.	**Name**	Eco-Systems Conservator
	Location	**Homabay**
	Contact Person	**George Abuto**
	Cell	**0722976248**
	Type of CSO	
	Area of Focus	
7.	**Name**	Pathfinder
	Location	**Homabay**
	Contact Person	**Sharon Atieno**
	Cell	**0728537781**
	Type of CSO	
	Area of Focus	
8.	**Name**	Reams
	Location	**Kendu Bay**
	Contact Person	
	Cell	**0726946011**
	Type of CSO	**CBO**
	Area of Focus	**Tree planting in depleted Areas**
	Website	
9.	**Name**	Beach Management Units (BMU)
	Location	**Homabay**
	Contact Person	**Tom Guda**
	Cell	**0727371074**
	Type of CSO	
	Area of Focus	**Fisheries in the shores/beaches of Homabay County**

	Website	
10.	**Name**	Homa Bay Bio-centre
	Location	**Homabay**
	Contact Person	**Maurice Anyona**
	Cell	**0716560180**
	Type of CSO	**CBO**
	Area of Focus	**WASH and Renewable Energy**
11.	**Name**	Community Initiate and Social Support Organization (CISSO)
	Location	**Mbita**
	Contact Person	
	Cell	
	Type of CSO	**NGO**
	Area of Focus	**Training of small scale farmers on organic farming; Establishment substance of school based environmental conservation clubs**

ANNEX 5
Log-frame: Devolution and Climate Change Adaptation in Western Kenya (revised 16 April 2018, incorporating new activity clusters of the supplementary grant)

	Interventions	Indicators/success criteria	Means of verification	Assumption
Programme objective	Vulnerable populations/ communities at risk of natural hazards caused by climate change are increasingly supported by policies and programmes funded by devolution and climate change funds.	Duty bearers finance /actively support programmes and projects aiming at communities affected by results of climate change.	• County Government's budgets are increasingly giving priority to climate adaptation projects. • Review of budgets at county and sub-county level in baseline and at end of programme period.	Duty bearers have established an administration and department with qualified officers dealing with devolution and climate change policies in Kisumu and Homa Bay counties.
		A number of right holders' prioritised climate adaptation plans are approved for funding by either County Government's Committee or at ward and sub-county level.	County Government's ward and sub-county level budgets and budget allocations at programme end as compared to baseline.	
Output 1	A Programme Coordinating Committee established and active functioning as a linkage between participating NGOs and as a representative into already established CSO platforms dealing with climate change adaptation and devolution. The PCC will operate according to the PANT principles. More over the PCC has established links to relevant knowledge institutions and regional CSO partners.	a) A cooperation has been established between partners in the programme and likeminded networks and alliances in Kisumu and Homa Bay Counties. b) Regular meetings and coordination of activities are done. c) Networks and authorities are occasionally invited to the PCC meetings for transparency and accountability d) PANT indicators are in focus e) Gender issues registered and enacted upon in all phases of the project cycle f) End user involvement documented g) Internal training and workshops conducted by knowledge institutions within civic education, devolution and climate change. h) Cooperation with international and regional NGOs to highlight NDCs and climate finances.	• MoU, including a communication policy between CSO Platform members signed • High quality projects approved, funded and successfully implemented • Projects and activities at Sub-county level presented by communities and participating CSOs, agreed by the PCC as proposals for negotiation with the County Government • Gender disaggregated data collected and presented • Minutes from PCC meetings • Terms of References, training curriculums, agendas for workshops, reporting and list of participants • Regional advocacy campaigns carried out and documented.	Duty bearers are willing to be influenced by CSOs CSOs are able to engage duty bearers to exercise their duties to vulnerable groups/ communities

		The PCC meets regularly with the County Governments and its executives discussing proposals on Climate adaptation projects.	• Minutes from meetings. • Proposals discussed and joint county funding forthcoming.	
Output 2	Resilient and sustainable community models are mapped and disseminated. Most promising interventions with upscale potential are planned, prioritized and implemented within the programme frame, and based on a rights-based approach	a) Evidence of effects of climate change in Kisumu and Homa Bay Counties are continuously collected and combined with simple vulnerability assessments used as input to project planning and budgeting.	• Individual project monitoring build up around climate change and vulnerability assessments • Best practice models are present in project proposals.	Best practices and adaptive capacities exist in target areas. Communities and CSOs are able to design climate adaptation projects
		b) Existing resilient and sustainable community models are mapped and disseminated as an inventory.	• An inventory developed and disseminated. • Best practice models used as basis for formulating new interventions.	
		c) At least 5 closely linked climate adaptation projects formulated and approved by SE and the Programme Coordinating Committee. Projects are reflecting a right based approach and work within the devolution agenda. At least 5 focused advocacy campaigns linking experiences from the projects performed and advocacy results documented.	Approval letters Documentation of results Advocacy issues identified and performed in relevant fora.	

Output 3	CSO and the County government offices are empowered to work together with the upscaling of most promising climate change adaptation approaches; and have gained knowledge about national Climate change plans. Contacts aiming at influencing the direction and usage of national and international climate funding mechanisms have been made.	a) Identification of shared 'entry points' between CSOs and the County government has been done b) An approach to capacity building has been designed c) Through training courses participants from CSOs and County government have achieved knowledge of the devolution process, climate adaptation and funding mechanisms, citizens' rights to participate in budget, project identification and planning, with the climate change bill as the legislative basis. d) CSOs and County government officials are in touch and cooperate where feasible around the general devolution agenda with climate adaptation issues.	• A shared understanding of entry points is accepted by programme partners and the County government • MoU's are signed between PCC and the Kisumu and Homa Bay Counties • Training programmes and list of participants • Applications and issues related to climate adaptation discussed and approved between the CSO Platform and the County government.	Knowledge of climate change and adaptation exists Training is provided to CSO and County government CSO access can be maintained to GCF related fora in Nairobi

ToC
Devolution and Climate Change Adaptation in Western Kenya **(DaCCA)**

VISION

An increasingly qualified CS sector works closely with the most vulnerable groups (right-holders) and duty-bearers on climate change adaptation interventions. The cooperation builds on the opportunities provided by constitutional devolution processes and Climate Change Bill

PROGRAM INDICATOR

Duty bearers finance / actively support programmes

CSOs will engage duty bearers to exercise their duties to vulnerable groups/

Claims raised to duty-bearers from vulnerable communities on Climate Change challenges

Duty bearers gradually become more responsive to the needs of vulnerable communities on CC and human rights

Duty bearers empowered to work with effects of climate change and human rights

Knowledge of Climate Change bill / strategy exists

Consensus reached about challenges caused by Climate Change established amongst vulnerable groups/ communities

High level of knowledge of devolution processes / opportunities exists among duty bearers

Resources for Climate Ch. interventions are in place

Knowledge of adaptation exists, training is provided

Advocacy platform based on existing networks established by CSOs

Rules and regulations are in place

Duty bearers are willing to be influenced by CSOs

CSOs in Kisumu and Homa Bay counties are qualified to work with climate change issues, human rights and the devolution agenda

Some best practices and adaptive capacities exist in target areas

Accountability line:
Above line: contribution
Below: attribution

KEY:

Precondition:
Conditions that must be in place for you to reach the goal. One condition leads to the next. IF this is in place THEN etc.

Assumption:
Conditions that we suppose already prevail and which we believe is necessary to monitor carefully and work around.

Code of Conduct

Signature:

Date:	Date:
SustainableEnergy	Partner

SustainableEnergy is committed to a sustainability policy, which includes respect for universally recognised standards for the environment, human rights, labour, and anti-corruption.

We seek to ensure that all our partners work in compliance with the terms and standards given in this Code of Conduct. SustainableEnergy will continuously work with partners to secure that these standards are met.

We ask you to sign our Code of Conduct to indicate that your organisation accepts to comply with the terms stated within.

SustainableEnergy will periodically review the adequacy and continuing effectiveness of this Code of Conduct.

If you have any questions regarding this letter or our Code of Conduct, please contact our head office.

Kind regards,

Bjarke Rambøll

Head of Office
VedvarendeEnergi

I. Introduction

SustainableEnergy is a Danish NGO that works internationally and nationally for an energy supply that is based on 100% renewable energy and local CO2-neutral resources. SustainableEnergy works independently of party political interests and the impartiality of the association must be maintained. Most of SustainableEnergy's work is based on partnerships with public, private or civil society organizations.

This Code of Conduct is based on the general principles found in the Universal Declaration of Human Rights (1948), the International Covenant on Civil and Political Rights (1966), the International Covenant on Economic, Social and Cultural Rights (1966), and the Eight Fundamental ILO Conventions (date?).

II. Standards in the code of Conduct

Wages and working conditions

We expect that the partner complies with national laws and regulations on wages and working hours. This includes compliance with national laws concerning minimum wages, overtime pay, sick leave and other forms of compensation.

Freedom of association and right to collective bargaining

We expect that the partner allows employees and other associated individuals to freely organize themselves into legitimate unions and engage in collective bargaining processes.

Discrimination

We expect that the partner does not discriminate in issues of staff recruitment, compensation, training, promotion, termination or retirement.

Child labor and Young workers

We expect that the partner does not engage in, nor benefits from, the use of child labour. The minimum age for employment shall not be less than the age of completion of compulsory schooling. However, where permitted by national laws, the partner may employ children between 12 and 15 to perform a few hours of light work per day.

Health and safety
We expect that the partner provides healthy and safe working conditions and takes necessary safety precautions to protect employees from occupational hazards and anticipated dangerous situations at the workplace.

Corruption and bribery
We expect the highest degree of integrity and honesty in all business activities. The partner must avoid any form of corruption, whether direct or indirect, including extortion, fraud and bribery.

Environment
We expect that the partner complies with all relevant local and national regulations, and strives to minimize adverse environmental impacts.

Democracy
We expect the partner to respect democratic processes and the individual's right to self-determination.

III. Implementation of the Code of Conduct

Records and Documentation
The Partner shall maintain appropriate records to demonstrate compliance with the terms of this Code of Conduct. Records shall be available to SustainableEnergy upon request at any time. Appropriate records include, but are not limited to:

- Names and ages of all workers
- Timesheets
- Payroll records including wage slips and overtime wage records
- Material safety data sheets, accident records and relevant health and safety certificates and permits
- Environmental records including data from the monitoring of significant environmental impacts and relevant permits
- Records of any significant instances of non-compliance encountered in relation to this Code, including a summary of the corrective actions taken to remedy the deficiencies

Definition of Roles and Responsibilities

The Partner must assign responsibilities within its organisation for the implementation of this Code of Conduct.

The partner shall ensure that repeated offences and serious neglect by any of its personnel in relation to matters pertaining to this Code will result in appropriate disciplinary actions, which may include dismissal from employment.

Enforcement, Remediation and Corrective Action

Where instances of non-compliance with the terms of this Code of Conduct are identified, the partner shall promptly take corrective action to remedy the deficiencies, as well as take measures to prevent similar problems from recurring in the future.

In the event of repeated and serious breaches of this Code of Conduct, SustainableEnergy reserves the right to cease the business relationship with the Partner and possibly cancel any cooperation in progress.

Annex 8 - Budget DaCCA total budget	1 USD=		6 DKK	2015-2016 Aggregated	2017				2018				2019				
Description	**Rate**	**USD**			1st half year		2nd half year		1st half year		2nd half year		1st half year		2nd half year		Total
	DKK		**Unit**	**value**	**quan.**	**value**	**quan.**	**value**	**quan.**	**value**	**quan.**	**value**	**quan.**	**value**	**quan.**	**value**	
Inflation index				**100**						**110**		**110**		**110**		**110**	
1 Activities																	
1.2 Training and capacity building	510.000	85.000	Lump sum	210.000		50.000		50.000		50.000		50.000		50.000		50.000	510.000
1.2 Project action and implementation	3.460.002	576.667	Lump sum	750.000		600.000		560.000		700.000		700.000		700.000		700.000	4.710.000
Sub total activities				***960.000***		***650.000***		***610.000***		***750.000***		***750.000***		***750.000***		***750.000***	**5.220.000**
2 Investments																	
Computers	23.700	3.950	each	71.100		-		-		-		-		-		-	71.100
Second hand vehicle	108.000	18.000	lump sum	108.000		-		-		-		-		-		-	108.000
Office set-up, furniture,	12.000	2.000	lump sum	12.000		-		-		-		-		-		-	12.000
Sub-total Investments				***191.100***		**-**		**-**		**-**		**-**		**-**		**-**	**191.100**
3 Local Staff																	
Coordinator for PCC	12.000	2.000	month	168.000	6	79.200	6	79.200	6	79.200	6	79.200	6	79.200	6	79.200	643.200
Program assistant, half time	4.500	750	month	63.000	6	27.000	6	27.000	6	27.000	6	27.000	6	27.000	6	27.000	225.000
Accountant, full time, covers also Admin.Unit	9.000	1.500	month	126.000	6	54.000	6	54.000	6	54.000	6	54.000	6	54.000	6	54.000	450.000
3 members of the PCC, 1/3 of full time	9.000	1.500	Month	126.000	6	54.000	6	54.000	6	54.000	6	54.000	6	54.000	6	54.000	450.000
Cleaning, security	600	100	Month	8.400	6	3.600	6	3.600	6	3.600	6	3.600	6	3.600	6	3.600	30.000
Facilitation of PCC	1.002	167	each	13.026	6	6.613	6	6.613	6	6.613	6	6.613	6	6.613	6	6.613	52.705
Insurances for staff	3.300	550	biannually	7.150	1	3.630	1	3.630	1	3.630	1	3.630	1	3.630	1	3.630	28.930
Per Diem, field visits	150	25	day	7.500	20	3.300	20	3.300	20	3.300	20	3.300	20	3.300	20	3.300	27.300
Running costs vehicles (fuel, service, ins. etc)	780	130	month	10.920	6	5.148	6	5.148	6	5.148	6	5.148	6	5.148	6	5.148	41.808
Bi-annual review with Board	6.000	1.000	biannually	12.000	1	6.000	1	6.000	1	6.000	1	6.000	1	6.000	1	6.000	48.000
Sub-total local staff				***541.996***		***242.491***		***242.491***		***242.491***		***242.491***		***242.491***		***242.491***	**1.996.943**
4 Local administration																	
Rent, electricity, water, insurance etc.	2.250	375	month	20.250	6	14.850	6	14.850	6	14.850	6	14.850	6	14.850	6	14.850	109.350
Insurance office	600	100	annually	600		600				600				600			2.400
Telephone, internet	900	150	month	12.600	6	5.940	6	5.940	6	5.940	6	5.940	6	5.940	6	5.940	48.240
Stationaires	480	80	month	6.720	6	2.880	6	2.880	6	2.880	6	2.880	6	2.880	6	2.880	24.000
4.1 Develop web-site																	
Establish and running cost	900	150	month	12.600	6	5.940	6	5.940	6	5.940	6	5.940	6	5.940	6	5.940	48.240
Sub-total local administration				***52.770***		***30.210***		***29.610***		***30.210***		***29.610***		***30.210***		***29.610***	**232.230**
5 Adminstrative unit																	
Audit	21.000	3.500	bi-annually	42.000		21.000		21.000		21.000		21.000		21.000		21.000	**168.000**
6 Monitoring Unit																	
Consultants	424.998	70.833	lump sum	125.000		75.000		75.000		75.000		75.000		75.000		75.000	**575.000**
7 Support to networks																	
The CSO network and others	199.998	33.333	lump sum	80.000		30.000		30.000		30.000		30.000		30.000		30.000	**260.000**
GRAND TOTAL				**1.992.866**		**1.048.701**		**1.008.101**		**1.148.701**		**1.148.101**		**1.148.701**		**1.148.101**	**8.643.273**

Annex 8 - Budget

Suswatch

1 USD= 6 DKK

Description	Rate DKK	USD	Unit	2015-2016 Aggregated value	2017 1st half year quan.	2017 1st half year value	2017 2nd half year quan.	2017 2nd half year value	2018 1st half year quan.	2018 1st half year value	2018 2nd half year quan.	2018 2nd half year value	2019 1st half year quan.	2019 1st half year value	2019 2nd half year quan.	2019 2nd half year value	Total
Inflation index				**100**		**-**		**-**		**110**		**110**		**-**		**-**	
1 Activities																	
1.2 Training and capacity building			Lump sum	80.000		50.000		50.000		50.000		50.000		50.000		50.000	380.000
Sub total activities				***80.000***		***50.000***		***50.000***		***50.000***		***50.000***		***50.000***		***50.000***	**380.000**
2 Investments																	
Computers	23.700	3.950	each	71.100		-		-		-		-		-		-	71.100
Second hand vehicle	108.000	18.000	lump sum	108.000		-		-		-		-		-		-	108.000
Office set-up, furniture,	12.000	2.000	lump sum	12.000		-		-		-		-		-		-	12.000
																	-
Sub-total Investments				***191.100***		**-**		**-**		**-**		**-**		**-**		**-**	**191.100**
3 Local Staff																	
Coordinator for PCC	12.000	2.000	month	168.000	6	79.200	6	79.200	6	79.200	6	79.200	6	79.200	6	79.200	643.200
Program assistant, half time	4.500	750	month	63.000	6	27.000	6	27.000	6	27.000	6	27.000	6	27.000	6	27.000	225.000
Accountant, full time, covers also Admin.Unit	9.000	1.500	month	126.000	6	54.000	6	54.000	6	54.000	6	54.000	6	54.000	6	54.000	450.000
Cleaning, security	600	100	month	8.400	6	3.600	6	3.600	6	3.600	6	3.600	6	3.600	6	3.600	30.000
Facilitation of PCC	1.002	167	Month	14.028	6	6.012	6	6.012	6	6.012	6	6.012	6	6.012	6	6.012	50.100
Insurances for staff	3.300	550	biannually	7.150	1	3.630	1	3.630	1	3.630	1	3.630	1	3.630	1	3.630	28.930
Per Diem, field visits																	
Running costs vehicles (fuel, service, ins. etc)	780	130	month	10.920	6	5.148	6	5.148	6	5.148	6	5.148	6	5.148	6	5.148	41.808
Bi-annual review with Board	6.000	1.000	annually	12.000	1	6.000	1	6.000	1	6.000	1	6.000	1	6.000	1	6.000	48.000
Sub-total local staff				***409.498***		***184.590***		***184.590***		***184.590***		***184.590***		***184.590***		***184.590***	**1.517.038**
4 Web site, established and running cost	900	150	month	***12.600***	6	***5.940***	6	***5.940***	6	***5.940***	6	***5.940***	6	***5.940***	6	***5.940***	48.240
Audit	21.000	3.500	bi-annually	42.000		21.000		21.000		21.000		21.000		21.000		21.000	168.000
TOTAL				**735.198**		**261.530**		**261.530**		**261.530**		**261.530**		**261.530**		**261.530**	**2.304.378**
6 Local administration																	
7 % of TOTAL				***51.464***		***18.307***		***18.307***		***18.307***		***18.307***		***18.307***		***18.307***	**161.306**
GRAND TOTAL				**786.662**		**279.837**		**279.837**		**279.837**		**279.837**		**279.837**		**279.837**	**2.465.684**

6. Local administration
Rent, electricity, water
Insurance
Telephone, internet
Stationaires

Comments to the budget:
1. Activities areplanned for the programme ending 31 December 2019, however, budget for 2019 is tentative as it may change following a programme evaluation in 2018.
2. Annual expenditures can not exceed the amount stipulated in the budget
3. A maximum of 10% underspending of the annual budget can be transferred to the subsequent year
4. Quarterly financial reporting should go to SE following SE's templates
5. Up to 10% of a main budget line can be moved with prior approval from SE.
6. Salaries are including pension.
7. The accontant's will cover Suswatch as well as the Admin Unit's working area, with seperate terms of references

	Month
Rent, electricity, water	2.100
Insurance	50
Telephone, internet	900
Stationaires	480
	3.530

	Month	Annually
Rent, electricity, water	2.100	25.200
Insurance	50	600
Telephone, internet	900	10.800
Stationaires	480	5.760
	3.530	**42.360**

Annex 8 - Budget	1 USD=		6 DKK	**2015-2016** Aggregated	**2017**				**2018**				**2019**				
Description	**Rate DKK**	**USD**	**Unit**		**1st half year**		**2nd half year**		**1st half year**		**2nd half year**		**1st half year**		**2nd half year**		**Total**
				value	**quan.**	**value**	**quan.**	**value**	**quan.**	**value**	**quan.**	**value**	**quan.**	**value**	**quan.**	**value**	
Inflation index				**100**		**-**		**-**		**110**		**110**		**110**		**110**	
1 Activities																	
1.2 Project action and implementation	3.309.600	551.600	Lump sum	750.000		600.000		560.000		700.000		750.000		750.000		750.000	
Sub total activities				***750.000***		**600.000**		**560.000**		**750.000**		**750.000**		**750.000**		**750.000**	**4.910.000**
3 Local Staff																	
3 members of the PCC, 1/3 of full time	9.000	1.500	Month	126.000	6	54.000	6	54.000	6	54.000	6	54.000	6	54.000	6	54.000	
Sub-total local staff				***126.000***		***54.000***		***54.000***		***54.000***		***54.000***		***54.000***		***54.000***	***450.000***
4 Adminstrative unit																	
Covered by admin officer, Suswatch																	
5 Monitoring Unit																	
Consultants	424.998	70.833	lump sum	***125.000***		***75.000***		***75.000***		***75.000***		***75.000***		***75.000***		***75.000***	***575.000***
6 Support to networks																	
The CSO network and others	199.998	33.333	lump sum	***80.000***		***30.000***		***30.000***		***30.000***		***30.000***		***30.000***		***30.000***	***260.000***
GRAND TOTAL				**1.081.000**		**759.000**		**719.000**		**909.000**		**909.000**		**909.000**		**909.000**	**6.195.000**

Annex 8 - Budget CREPP, Osienala, Umande Trust	1 USD=		6 DKK	2015-2016 Aggregated	2017				2018				2019				
Description	**Rate DKK**	**USD**	**Unit**		**1st half year**		**2nd half year**		**1st half year**		**2nd half year**		**1st half year**		**2nd half year**		**Total**
				value	**quan.**	**value**	**quan.**	**value**	**quan.**	**value**	**quan.**	**value**	**quan.**	**value**	**quan.**	**value**	
Inflation index				**100**		**-**		**-**		**110**		**110**		**110**		**110**	
3 Local Staff																	
3 members of the PCC, 1/3 of full time	9.000	1.500	Month	126.000	6	54.000	6	54.000	6	54.000	6	54.000	6	54.000	6	54.000	***450.000***
TOTAL				**126.000**		**54.000**		**54.000**		**54.000**		**54.000**		**54.000**		**54.000**	**450.000**

Devolution and Climate Change Adaptation

Terms of reference

Programme Coordinating Committee

1st November 2015 to 31st December 2018

These Terms of reference details the work that is expected to be initiated and completed by the Programme Coordinating Committee (PCC) during the programme. Supported by SE the PCC is expected to take the lead on all tasks.

Administrative matters	Maintain a close contact and cooperation with the Finance- and Administrative Unit on matters related to: • Financial transactions to projects, actions and to partners involved. • Agreement and budgets for all projects and actions. • Quarterly financial statements to SE. • Adjustment of budgets. • Preparations for annual audits.	
	Call in for fort night meetings in the PCC. Prepare and share minutes from all meetings with SE and the members of the PCC.	
Capacity building of participating partners	Continued capacity building of programme partners and duty bearers on: Devolution legislation, Climate change legislation, project design, experience sharing of previous climate adaptation interventions.	
	Identification of training needs for communities.	
	Planning and implementation of training courses for key persons in communities and duty bearers.	
	Continued contact to and monitor 'best practice' climate change adaptation projects and models having potential for further upscaling.	
Design and approve project for implementation	Based on concept and idea for projects and actions drafted from participating partners detailed design and funding within the programme frame are done.	
	New actions and long and short term projects implemented either singlehanded by partners or in partnership are approved by the PCC and SE. However, actions below DKK 15.000 can be approved only by the PCC.	
	Plan, support and execute actions and advocacy campaigns.	

	The PCC ensures that the action fits into the overall frame and vision for the programme.	
	SE and the PCC can by themselves formulate and draft ideas and forward proposals for approval and funding.	
Research and monitoring	Define and launch research and monitoring of processes and results.	
	Close contact and cooperation with the Research and Monitoring Unit.	
LFA and ToC	Revise and adjust indicators and assumptions and changes within the ToC.	
CSO platforms	Close contact to duty bearers through platforms which advocate for a stronger climate change focus in the local government and Counties.	
	Encouragement of cross county climate change adaptation projects and actions covering larger areas adjacent to Lake Victoria.	
	Join and establish strong linkages with networks and platforms working on the devolution and climate change agenda in Kisumu and Homa Bay Counties.	
Dissemination strategy and contact to stakeholders and duty bearers.	Have a continuous contact to duty bearers. Include them on regular basis as observers in the PCC. Invite them for platform events, conferences and other relevant venues.	
	Draft and agree upon a feasible strategy that outlines effective ways of communicating and disseminating gained knowledge around devolution and climate change issues as well results made by the project.	

Devolution and Climate Change Adaptation

Terms of reference

Finance- and Administrative Unit

1st November 2015 to 31st December 2018

These Terms of reference details the work that is expected to be implemented jointly by the Finance- and Administrative Unit (FAU) and SustainableEnergy (SE) during the programme. Supported by SE the FAU is expected to take the lead on all tasks if not indicated otherwise. In general the FAU will assist the PCC in the administrative matters of the programme and be directly answerable to the designated programme coordinator in SE.

Administrative matters	Designing and testing of an accounting system that works for the PCC, SE and participating partners.	Nov. 2015
	Jointly with the PCC revise, adjust and detail the tentative programme budget for a three years' period, broken down quarterly	Nov – Dec. 2015
	Making quality controls and first approvals of budgets submitted by partners within the programme	Mar 2016
	Draft inputs to the procedures manual worked out by SE. The manual will describe procedures for approving budgets and activities, reporting schemes, and detailed accounting procedures.	Jan – Mar 2016
	General office administrative duties, i.e. management of petty cash.	Nov -
	Communicate and coordinate with program management and PCC, responding to financial questions and providing mentoring and assistance as needed.	Nov -
	Maintain a close contact to SE's financial controller	Nov –
Financial matters	Prepare budgets and plans for fund transfers from SE.	Nov –
	Ensure timely fund transfers to program implementers and members of the PCC based on request templates submitted.	Nov -
	Maintain audit schedules in preparation of audits	Nov -
	Process imprest requisition and surrenders	Nov -
Capacity building and support	Provide mentoring and assistance to program management and the PCC.	
Monitoring and documentation	Support to the PCC, i.e. monitor expenses against budgets, and make forecasts for planned expenditures throughout the program's life circle	Nov -
	Preparation and submission of all financial information, quarterly financial reports, based on SE's templates and documentation to SE and the PCC.	Nov -

Devolution and Climate Change Adaptation (DaCCA) Project Partners Profiles.

1. SUSWATCH KENYA

SusWatch Kenya was officially registered as a Non-Governmental Organization in March 2011. It is a network composed of Civil Society Organizations engaged in varied thematic issues contributing towards sustainable development. Prior to its official registration Suswatch has been operating since 2002 as a loose network of civil society organizations. It draws its membership from various institutions spread across the country. It is a member of the East Africa Sustainability Watch (EA SusWatch) which was formed in 2005 and comprises of networks of NGOs from Kenya, Uganda and Tanzania spearheaded by the Uganda Coalition for Sustainable Development where the EA SusWatch Regional Secretariat is hosted.

SusWatch Kenya's vision is "A nation where citizens are mobilized on Sustainable Development issues and livelihood interventions for improved quality of life."

The mission is: "To lobby and influence the government as well as other national, regional and global decision making bodies to fulfill national, regional and international commitments on sustainable development. "

SusWatch Kenya has implemented several projects supported by SIDA, USAID, the World Bank and DANIDA on Climate Change, Natural Resource Management and Sustainable Land Management (SLM).

The organization is currently implementing a programme titled **Devolution and Climate Change Adaptation in Western Kenya** targeting Homa Bay and Kisumu Counties. The project started in November 2015 and runs for 3 years with funding from DANIDA through a Northern partner organization SustainableEnergy International (SE). The project seeks to empower the local communities to effectively engage the county government administration and demand for resource allocation to address climate change related challenges in the community. The project is implemented in a consortium that includes OSIENALA, Umande Trust, CREPP and VIRED International with SusWatch Kenya hosting the secretariat of the consortium.

SusWatch Kenya is also currently engaged by USAID- PREPARED on a one year project to undertake Community Climate Change Adaptation Assessment (C3A2) in 10 identified climate change hotspot communities with 2 communities in Burundi, Kenya, Rwanda, Tanzania and Uganda respectively. As an output from the assessment, SusWatch Kenya has guided the 10 hotspot communities to come up with **Community Based Climate Change Adaption Action plans** on possible interventions by communities to adapt to the climatic change hazards that affect them. Currently, the process of finalizing the regional (East Africa) report for the assessment is ongoing and this will contribute to the East Africa Community Climate Change Adaptation strategy.

The organization has also implemented a pilot project for 8 months between February 2015 and September 2015 with support from SustainableEnergy (SE) in Kisumu County geared towards Strengthening the Advocacy Role of Local Communities on Natural Resource Management.

In addition, SusWatch has also implemented a one year Sustainable land management programme in partnership with TerrAfrica and supported by the World Bank. The main project output was the establishment of county SLM platforms in the 47 counties in Kenya. Earlier, SusWatch Kenya implemented the Lake Victoria Environmental Management Project II Civil Society Watch Project from November 2011-October 2014 with support from SIDA. The project lobbied and advocated for the realization of results-based performance from the Lake Victoria Environmental Management Project (LVEMP II) and the implementation of the East Africa Community Climate Change Policy (EACCCP).

SusWatch Kenya is also well known in the region for the provision of access to information through the printing and dissemination of information materials generated from studies conducted in the sectors affected by Climate Change i.e. SLM, water and sanitation, food security and energy in the Nyando River Basin. The materials have been shared with the local communities during community meetings, as well as distributed to partners and learning institutions so as to enhance their awareness on these issues that affect rural development.

2. UMANDE TRUST

Umande Trust is a rights-based agency which believes that modest financial resources can significantly improve access to basic services if strategically invested in to support community-led plans and actions.

`Umande' is the Kiswahili term for "dew" - connoting a new, unbiased, nascent beginning, not recycling the ideas of yesteryears. Prof. Saad Yahya and the founding trustees settled on this brand because of the growing disillusionment with business-as-usual approaches to development. They desired an agency that would experiment, dream and adapt innovative processes and methods to learn from, share and transform with communities.

Operating from its offices within Kibera, with satellite regional offices in Nakuru and Kisumu, UT have been able to achieve rapid growth with community groups, strategic alliances and partnerships with civil society agencies, local authorities, central government and international development partners.

The programmes run by Umande Trust for the period 2016-2020 are Social Enterprise Programme (SEP), Green Energy, Environment and Climate Change (ECC) Programme and Governance and Advocacy Programme (GAP).

Umande's work seeks to eliminate the three poverties of information, participation and organization which compromise the enjoyment of human rights and perpetuate injustices. Umande believes that working with communities as partners will enable them to acquire the right capacities to engage with duty bearers. It also believes that duty bearers have a responsibility to create enabling policy frameworks, and plan and implement coordinated provision of basic services (WATSAN and energy). The combined action will lead to realization of social and economic rights.

UT has been able to build awareness on the National and County development policies, priorities, sanitation financing and utilization of biogas through compressing and create and strengthen linkages with the different government levels. This third Strategic Plan (2016-2020)
places primacy on innovative programme approaches to basic urban services, partnerships and organizational capacity development both locally and internationally.

3. Community Rehabilitation &Environmental Protection (CREP) Programme

CREP Programme initially started as a relief and rehabilitation C. B.O. during the ethnic clashes that characterized Kenya in 1992 and 1993 at the onset of multiparty politics. Originally going by the name Muhoroni Central Development Project (M.C.D.P), the organization was mainly involved in provision of relief items and counseling the communities affected and displaced by the clashes.

After working with the affected communities for a short while, the demand for these developmental interventions spread beyond the affected people and beyond the initial Muhoroni boundary, and the organization was eventually registered a Non-Governmental Organization (NGO) in March 1997 to facilitate the spread of its activities to these new areas with a community resource centre as its headquarters in Awasi.

The organization has since then increased its development initiatives to cover Food Security, Environmental Rehabilitation and Conservation including promoting use of renewable energy, HIV & AIDS, Water and sanitation, Micro-Enterprise and development, Gender equality and equity, floods disaster mitigation and Policy advocacy.

CREP Programme is committed to the enhancement of community awareness and empowerment on issues affecting the vulnerable and disadvantaged members of the community, supporting needy small-scale farmers, community groups and other vulnerable individuals regardless of race, age, gender, education, geographical or ethnic origin, or religion.

4. OSIENALA (Friends of Lake Victoria)

OSIENALA (Friends of Lake Victoria) was established in 1993 as a national NGO with its head office in Kisumu City in Western Kenya. OSIENALA's has created awareness locally and internationally about the problems facing Lake Victoria while at the same time creating structures that would support local communities to become responsible custodian of their environment and the lake.

OSIENALA endeavors to strengthen capacities within the communities for sound management, optimization of resource utilization and improvement of the social and economic status in the region

Over the years, OSIENALA has repositioned and restructured its services to allow it to engage in regional management and conservation of Lake Victoria resources. OSIENALA works in partnership with other organizations both within the Lake Victoria basin and internationally. In addition, OSIENALA enjoys co-operation and support from several government departments, Non-Governmental Organizations and regional and international agencies. OSIENALA's collaboration with other partners in environment and development issues such as Global Nature Fund (GNF), Living Lakes Network, and OSRAM in Germany and the International Lake Environment Committee (ILEC) in Japan have further strengthened its role in the region.

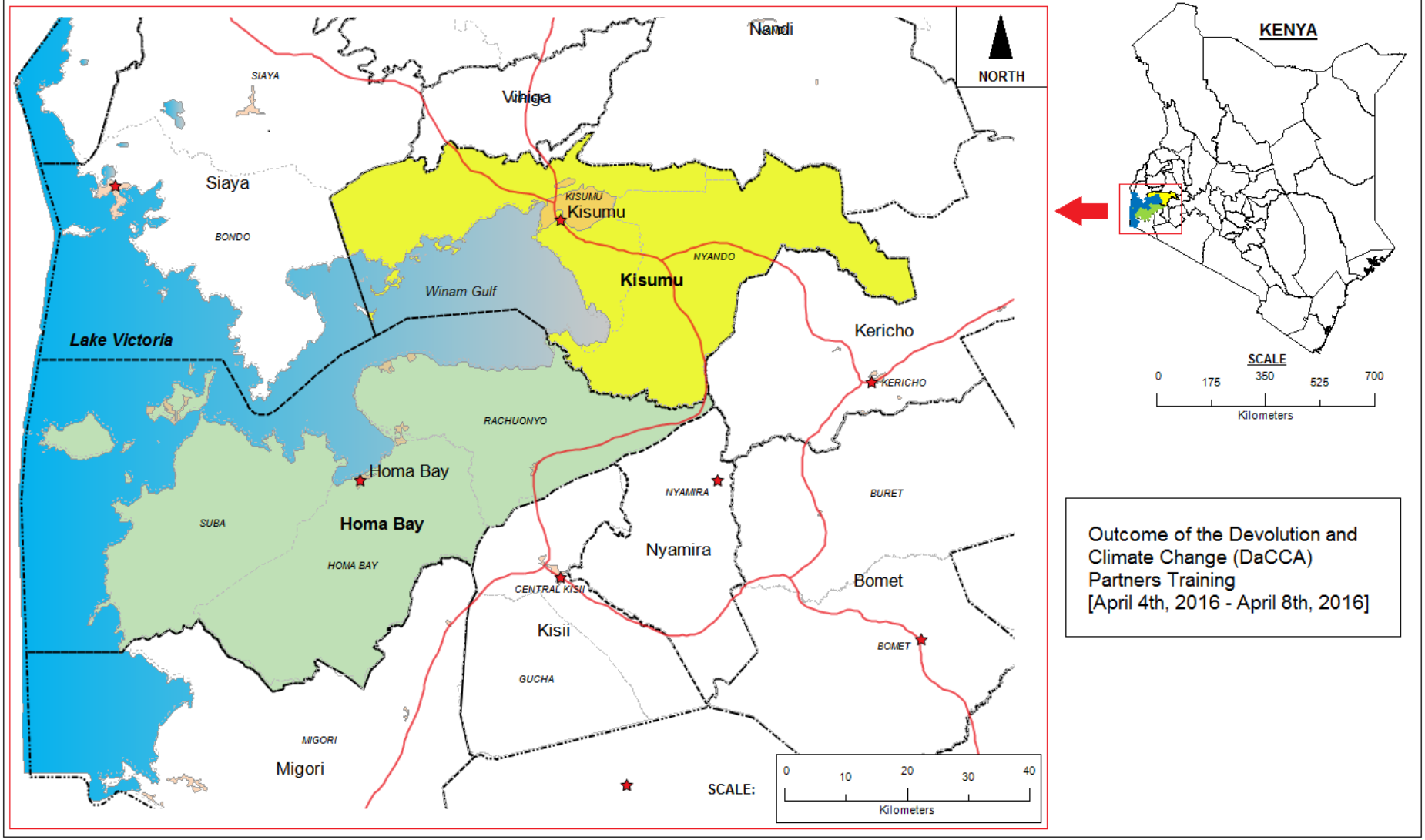
OSIENALA believes in empowering the community, through sustainable livelihoods for a better life tomorrow. An empowered community is able to access facilities that can contribute immensely in the development process of the Lake Victoria region. OSIENALA also believes that working with likeminded partners and stakeholders to boost income generating activities within communities will go a long way in improving the living standards of the communities as well as their environment.

DaCCA

Partner's complementarity

	Advocacy at County and sub-county level	Advocacy at national level	SE Technology	Water & sanitation	Farming expertice	Food security measures	Public health	Sexual and reproductive health	Urban development planning	Rural development planning	Community development	Natural Ressource Management, NRM	Mikro finance	Sourcing for local funds	Campaigns	Social medias	Radio broadcasts	Dissemination skills	Monitoring skills	Gender	Human rigth approach	Youth understanding	
CREPP	4	2	4	2	5	5	5	5	1	5	5	5	4	2	3	3	3	4	5	4	4	3	
Osienala	3	1	5	5	3	2	2	4	2	2	5	4	3	2	3	2	5	3	4	2	4	4	
SusWatch	5	5	2	4	3	3	5	2	3	2	5	5	2	5	5	5	5	5	5	5	5	4	
Umande Trust	4	4	5	5	2	2	5	1	5	2	5	3	4	4	5	4	4	2	3	5	5	5	
SustainableEnergy	4	5	3	5	4	4	1	1	5	5	3	5	5	3	3	3	1	1	5	3	4	2	
Scale your qualifications from 1-5, being 5 the best																							
Add important skills if you like																							

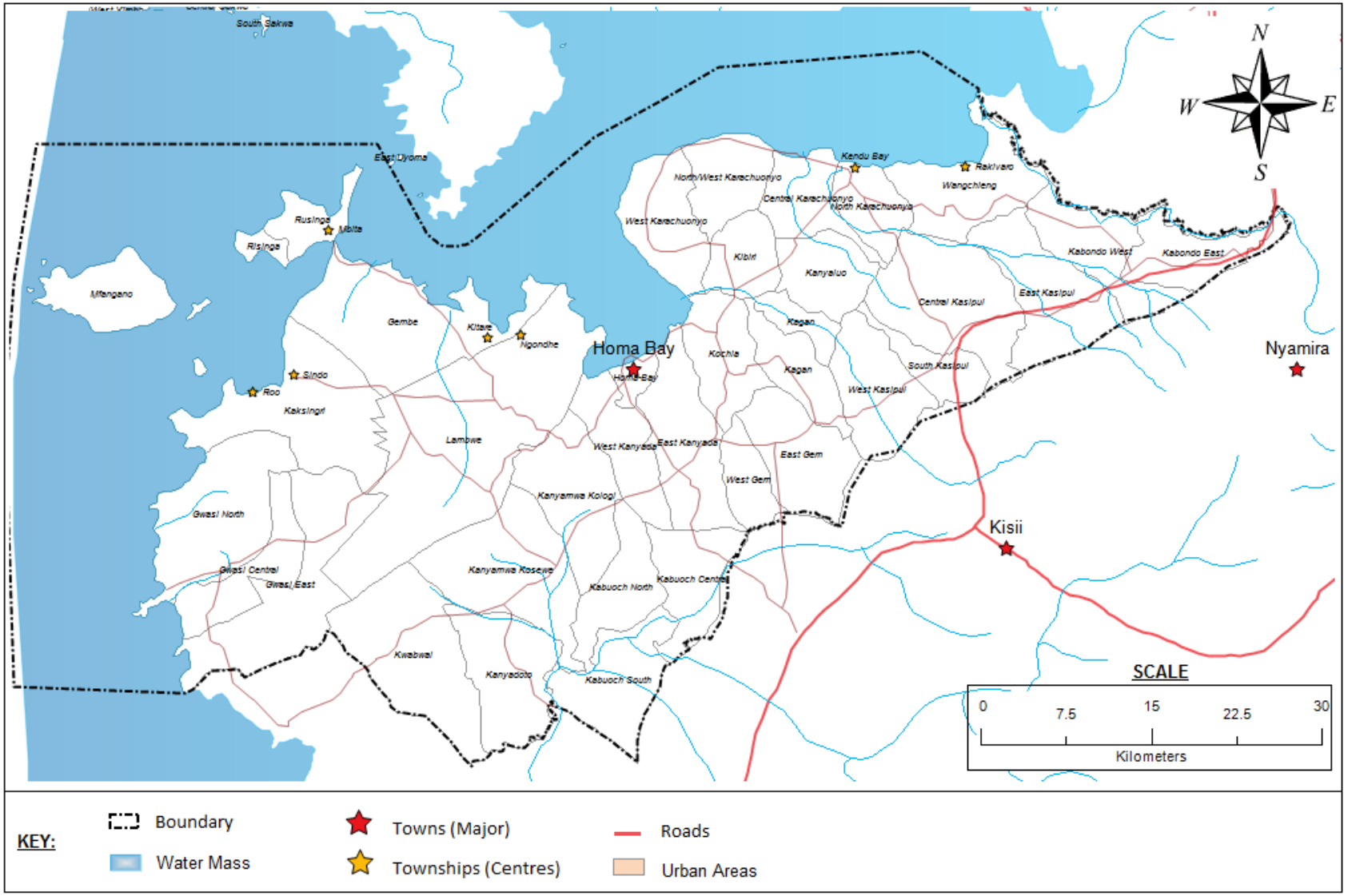
MAP FOR LOCATION OF KISUMU AND HOMA BAY COUNTIES



Outcome of the Devolution and Climate Change (DaCCA) Partners Training
[April 4th, 2016 - April 8th, 2016]

Source: Devolution and Climate Change Adaptation in Western Kenya (DaCCA) Programme

MAP FOR HOMA BAY COUNTY



Source: Devolution and Climate Change Adaptation in Western Kenya (DaCCA) Programme

Outcome of the Devolution and Climate Change (DaCCA) Partners Training [April 4th - April 8th, 2016]