Kenya component annex

Devolution and Climate Change Adaptation (DaCCA)

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ABBREVIATIONS

ADP	Annual Development Plans
AF	Adaptation Fund
CAAP	Community Adaptation Action Plans
CDF	Community Dialogue Forum
GCF	Green Climate Fund
CIDP	County Integrated Development Plans
CSO	Civil Society organisation
DaCCA	Devolution and Climate Change Adaptation
FES	Friederick Ebert Stiftung
NAP	National Action Plan
NCCRS	National Climate Change Response Strategy
NEMA	National Environmental Management Authority
PANT	Participation, Accountability, None discrimination and Transparency
PCC	Component Coordination Committee
PCP	Programmatic Communication Platform
PPA	Public Participation Act
PANT	Participation, Accountability, None discrimination and Transparency
PCC	Component Coordination Committee
PPA	Public Participation Act
SE	SustainableEnergy
SEI	Stockholm Environmental Institute
The 'Big Four'	The Governments strategy towards 2030 consisting of 4 main areas: 1. affordable and decent housing, 2. affordable healthcare, 3. food and nutritional security, and 4. employment creation through manufacturing
TI	Transparency International Kenya
ToC	Theory of Change
WG	Working Groups

1. SUMMARY

This component document builds upon lessons learned from the 4 years component: ***Devolution and Climate Change Adaptation (DaCCA)*** ending December 2019. The document is the result of a participatory process with the Kenyan partners during a number of missions, consultations and workshops taking place in the first half of 2019.

The aim of the component:

Vulnerable populations in Kisumu, Homa Bay and Migori counties at risk of natural hazards caused by climate change are increasingly supported by policies and components funded by devolution and climate change funds.

In this second phase of the DaCCA component the focus will change from partner driven community projects to best practice models for upscaling, replication and funding from County authorities.
The devolution process in Kenya where counties are given better economic and governance opportunities has created an environment and practice where communities are given the option to be involved in the hearing process following the terms for drafting the County Integrated Development Plans and the Annual Development Plans. The component will provide communities with training and insights in the hearing process and support the compilation of Community Adaptation Action Plans to be presented for the county at Ward and County level. The CAAPs are presented by Community Dialogue Forums consisting of influential members of the communities from the grassroots. The Dialogue Forums will be established at 2 levels: A Community Dialogue Forum at the ward level for identifying community climate related issues and proposed interventions; and a County Dialogue Forum that networks with all the wards in the county for policy engagement at the county level.

The second phase of the DaCCA component will more over follow the vertical flow of the climate finances from the national level to the component's target counties. The component will reach out to strategic partners like Transparency International – Kenya to follow the process at the national level and to further deliver training and capacity building on the same to representatives from the target communities, to county officials and CSOs in Kisumu, Homa Bay and Migori counties.

The component will continue to operate in Kisumu and Homa Bay Counties but will be extended to Migori County. Activities in Kisumu county will, however, be phased out in 2020. With the move of the component to cover new target areas, 3 new partners from Migori have been involved and will be member of the Component Coordinating Committee. After 2021 the 4 current partners will no longer be permanent members of the consortium but will remain as supportive to the component.
Cross sectorial Working Groups consisting of consortium members will form the backbone of the component where they will be responsible for the components 4 outputs: Communities, Advocacy & Communication, Consortium and the private sector.

2. CONTEXT

2.1 Overall development challenges

Kenya has enacted significant political, structural and economic reforms that have largely driven sustained economic growth, social development and political gains over the past decade. Kenya has the largest economy in East Africa and has enormous potential in its educated population, vibrant private sector and natural resources. However, the benefits and economic growth achieved cover large regional disparities, partly between urban and rural areas but also between regions.
Kenya is after Rwanda the most unequal country in East Africa. In spite of a decline in absolute poverty rate from 46 % in 2006 to 36 % in 2016 the number of people living in poverty remains unchanged and considerably large mainly as a result of population growth which increased by 10 million or 28 % over the

same period. Out of a population of 45.4 million in 2016, about 16 million people in Kenya could not afford to meet their daily needs, which includes food, non-food needs such as clothing and shelter. It is expected that this situation will be affected further by current climate and future climate changes and its impact of food security and the local and national economy unless effective adaptation measures in both rural and urban areas are put in place. The poverty level varies in different regions measured by MPI (Multidimensional Poverty Index) where urban areas in general has a lower percentage than rural areas. Poverty and inequality are also manifested in human rights and democratic governance in Kenya. In general, different access to human rights have often led to social conflicts most severely in connection with parliamentary and presidential elections. Social inequality, a continued high population growth and effects of climate change will continue to affect Kenya's widespread economics growth, social stability and overall living standards.

Significant political reforms which stems from the passage of the new constitution in 2010 is a strong attempt by the government to address the challenges in the country. Devolution and the ambition of citizen involvements remain the biggest gain from the constitution, which provoked a new political and economic governance system with the establishment of a new county government administration. It is transformative and has strengthened accountability and public service delivery at local levels. The structural changes following the political reforms may be the answers to the challenges Kenya is facing.

2.2 Legislative framework

Kenya's new constitution introduced amongst many issues: a bicameral legislative house, devolved county government, a public participation act and a constitutionally tenured Judiciary and Electoral body. This component will especially relate to policies, strategies and legislation following the devolved government and the public participation acts. Other relevant legislation as described below will be addressed when appropriate for the DaCCA component's implementation.

2.2.1 The devolution Act

The **devolution** act[1] and practice have enhanced the developmental capacity of county governments and it follows the current budget allocation formula favoring areas that benefitted from Kenya's Sessional Paper No. 10[2] the "Kenya Vision 2030". Although the county governments have issues of their own, the general view is that they have displayed better problem-solving skills and have been more responsive to feedback and complaints than the central government. In general **devolution** has been a success. In many counties public participation and debates are taking place around the needs of the people like education, employment, effects of climate change, health, sanitation, housing, environment, foreign investment and corruption. On fiscal resources governors have coordinated and fought effectively to resist government attempts to re-centralization. Devolution has also brought some level of resources and development to the local level and particularly to counties that have been marginalized from national politics for a long time.

However, pitfalls are many. One them being the failure to devolve land administration functions. The failure to resolve land issues means that meaningful development is difficult and potential conflicts remain. Moreover, lack of resources both in terms of financing and administrative capacity have also been a major issue with county governments ill equipped to manage complex tasks[3]. There is a general agreement amongst civil society in Kenya, however, 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 the civil society the DaCCA component will test and facilitate the willingness of duty-bearers to carry out the intentions of the devolution act.

[1] http://kenyalaw.org/kl/index.php?id=3979
[2] Sessional paper no. 10 (https://vision2030.go.ke/publication/sessional-paper-no-of-2012-on-kenya-vision-2030/
[3] Michelle D'Arcy, the Conversation, 7/12/2018

2.2.2 Public participation

Article 174 of the 2010 Constitution[4] provides for two fundamental objects of devolution which include enhancing the participation of the people in decision making processes and the right to self-governance and empowerment. It is an obligation of the county government under the law to establish mechanisms and platforms for public participation. Similarly, citizens are obligated to utilize the mechanisms and platforms created to take part in decision-making processes.
Due to lack of a policy, financial constraints and lack of qualified administration, officers in the target counties responsible for the enactment of the Public Participation Act have had difficulties in implementing a genuine citizen involvement process. The process has in most cases been implemented at sub-county level with little or no access to key documents beforehand. As the process is new to many counties there is a strong need for the counties to capacitate and qualify county officers to ensure a structured and transparent participatory process. The DaCCA component will support the process with training and capacity building of both county officials and civil society organisations.

See the annual calendar for budget planning and citizens involvement in annex 2.

2.2.3 Climate issues and new finances

The combination of the Paris Agreement in December 2015 and prior to that, the establishment of the Adaptation Fund and the Green Climate Fund (GCF)[5] and more over the recent accreditation of the National Environmental Management Authority (NEMA) to access the GCF funds have brought new green funding and climate finances to the table in Kenya. So far, the Adaptation Fund has supported two components in Kenya involving a large number of CSOs[6].

2.2.4 Other legislation

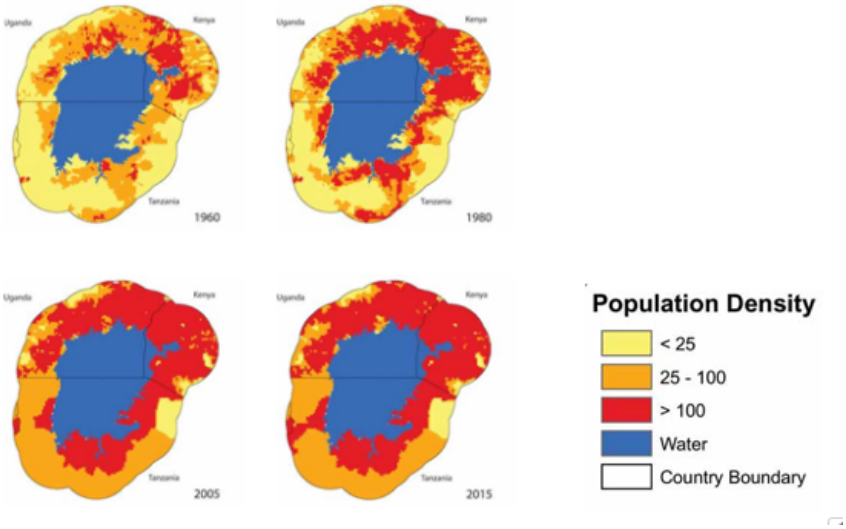
Other relevant legislation includes the 2010 National Climate Change Response Strategy, the 2010 National Action Plan and several other sectorial policies under the overall Vision 2030 development plan also called the 'Big Four'. The vision guiding the development agenda of the country in the period 2018-2022 will focus on key basic needs that are critical in uplifting the standard of living of Kenyans on the path to becoming an upper middle-income country by 2030. Prioritized in the vison is: (i) affordable and decent housing, (ii) affordable healthcare, (iii) food and nutritional security, and (iv) employment creation through manufacturing.

2.3 Target areas

2.3.1 Population

The component will be implemented in the counties adjacent to Lake Victoria: Kisumu, Homa Bay and Migori. The Lake Victoria basin itself supports the livelihood of about 35 million people. 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. The figure below describes the population growth from 1960 – 2015:

[4] http://www.klrc.go.ke/index.php/constitution-of-kenya/139-chapter-eleven-devolved-government/part-1-objects-and-principles-of-devolved-government/343-174-objects-of-devolution
[5] http://www.greenclimate.fund/who-we-are/about-the-fund
[6] https://www.adaptation-fund.org/project/integrated-component-to-build-resilience-to-climate-change-adaptive-capacity-of-vulnerable-communities-in-kenya/



2.3.2 County Administration

In the 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.

The devolution framework provides for the formation of Sub-County Implementation units which 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 and Ward 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. The intention is that technical officers with relevant expertise in various social and economic sector components are responsible for running the components within the Sub- County Implementation units. The component will seek to engage these sub-county and ward 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 the target Counties[7].

2.3.3 The CSO environment in the target areas

Government funding of civil society is an important and necessary element of the development of co-operation policies. Funding is needed for CSOs to work with the SDGs and CSOs are heavily dependent on public funds as a source of income. Amongst many approaches targeting civil society, restrictions in funding are one of the most frequently used and effective strategies to restrict civil society organisations. The role of civil society actors as development promoters has transformed over the years due to changing priorities and agendas of not only the Kenyan government but also with donors and development agencies. The perception of civil society organisations has also changed in society. Social movements began to question CSOs' legitimacy and tendency to professionalize, as some CSOs grew in terms of scope and funding, and governments became increasingly suspicious of their intentions. International donors, on the other hand, considered working with and through civil society to be time consuming and costly, usually by the increasing monitoring responsibilities of modest budgets that were disbursed between large numbers of CSOs.

Donor agencies responded by shifting emphasis towards service delivery, co-ordination and centralization of aid. Increased monitoring and evaluation of CSOs resulted in funds only being distributed to larger organisations capable of meeting donor requirements. This new reality sidelines many of the small and

[7] Context analysis for Migori and Homa Bay Counties, by Elijah Odundo, 2 July 2019

medium sized NGO's which in many instances have the legitimacy locally which international NGOs do not have.
In Kisumu, Homa Bay and Migori counties once medium sized and very active CSOs have now been reduced to smaller organisations only having small funds and few donors. Larger international CSOs, however, operating through national offices are challenged by lack of legitimacy in the local environment.
The DaCCA component has applied a fifth-fold strategy to overcome the new reality:

- Working in consortiums with even smaller CSOs
- Inviting larger national and international CSOs in as strategic partners
- Collaboration with local governments in common interest areas using co-financing as an 'entry fee'.
- Using consortiums formed in one county as tutors and with cooperate partners in new target counties, thus creating larger networks of concerned CSOs
- Supporting existing CSO networks.

2.3.4 Environment and people

With steep increases in populations as shown in the figure above, the environment and inhabitants are under unusually high pressure. 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.

2.3.5 The private sector

There are several private sector players identified, that seem to be relevant to DaCCA component. The table below summarises their relevance to DaCCA component.
However small, the private sector plays a great role in development in Kenya and alliances and cooperation will be established during the component.

	Private Sector player	Previous Records	Business potentials
1	Sony Sugar, Awendo-Migori	The company worked with local CBOs to plant bamboo trees along the river riparian zone within the nucleus sugarcane farms and among the surrounding sugarcane farms	Works with KEFRI to support establishment of commercial Community Bamboo tree nurseries.
2	British American Tobacco (BAT)-Migori	The company supported farmers and community groups with tree seedlings and helped establish tree nurseries promoted tree planting to replace those cut down for firewood used for curing of tobacco	Community tree nurseries established to supply tree seedlings to the farmers and institutions planting trees
3	Sukari Industries, Ndhiwa-Homabay	The company worked with local CBOs to plant trees on their farms and along the river riparian zone within to protect soil erosion and riverbank denudation	Support establishment of community nurseries with community tree nurseries to produce seedlings for sale
4	NURU	Purchased fodder from contracted farmers. It also supported contracted farmers to raise	Support farmers to produce good quality fodder for their

		agroforestry shrubs which they used as fodder for their dairy livestock.	dairy animals and for good quality milk production.

3. PARTICIPATING PARTNERS

The DaCCA component is managed by a consortium of partners. It was formed in 2015 by long term partners with SE: Umande Trust and SusWatch and two new partners based in Kisumu: CREPP and Osienala. In 2020 three new partner organisations from Migori County: C-MAD, Agriss and One Vision will be part of the consortium. SustainableEnergy is overall responsible for the component.

Below is an overview of partners in the component:

Overview of partners in the DaCCA consortium	
SusWatch (https://www.suswatchkenya.org) **Mission:** Wants to increase southern civil society networks ability to engage more effectively in advocacy for pro-poor sustainable development.	
Type of organisation and complementary capacities	**Specific roles and tasks in the program**
Facts: • Based in Nairobi, but with office in Kisumu • Regional network composed of Civil Society Organizations engaged in varied thematic issues contributing towards sustainable development. • Member of the East Africa Sustainability Watch (EA SusWatch) formed in 2005 and comprises of networks of NGOs from Kenya, Uganda and Tanzania. **Core value to the program:** • Strong national and regional advocacy organisation • Experience from large monitoring and evaluation assignments within climate change and environment	• Coordination of work plans • Close coordination with SE's country coordinator • Advocacy and networking primarily at local, district and provincial levels • Liaison with stakeholders, local authorities • Documentation of progress, facts and findings, track of changes, monitoring from the field. Responsible for output 2: ***Advocacy & Communications***
Umande Trust (https://umande.org) **Mission:** To promote innovations that position bio-sanitation and other related services as key drivers of sustainable urban development.	
Facts: • Based in Kibera, Nairobi with offices in Kisumu and Nakuru	• Member of the Program Coordinating Committee • Training of communities and committees in water and sanitation issues in relation to climate change adaptation

• Established in 1998 and has 20 employees. • Is regarded as one of the leading urban WATSAN organisations **Core Value to the program:** • Strong advocacy and fund-raising organisation. • Experienced in water & sanitation projects • Respected in unplanned settlements	• Support communities in planning and prioritization of interventions • Plan and coordinate advocacy efforts • Collaboration with stakeholders and local authorities Member of the WG for output 2: ***Communities***
CREPP (http://www.crepprograme.org) **Mission:** CREP Component exists to empower small scale farmers and disadvantaged groups through promotion of appropriate farming practices & technologies, diversified market-oriented enterprises, capacity building and strategic partnerships for self- reliance, good health and environmental sustainability	
Facts: • Registered as Non-Governmental Organization in March 1997. **Core Value to the program:** • Very experienced in issues related to food security, HIV & AIDS, Water and sanitation, Micro-Enterprise and development, Gender equality and equity, floods disaster mitigation and Policy advocacy.	• Member of the Component Coordinating Committee • Training of communities and committees in agriculture skills and related to food security, e.g. draught resistant crops, nurseries, tree planting • Support communities in planning and prioritization of interventions • Plan and coordinate advocacy efforts • Collaboration with stakeholders and local authorities Responsible for output 1: ***Communities***
Osienala (https://www.suswatchkenya.org/?q=content/osienala-friends-lake-victoria) **Mission**: To empower Lake Victoria communities to become key participants in the management and equitable utilization of resources for sustainable livelihoods through capacity building, research, policy advocacy, education, information dissemination and networking.	
Facts: • Established in 1993 as a national NGO with its head office in Kisumu • Created awareness locally and internationally about the problems facing Lake Victoria **Core Value to the program:** • Established as a well-known organisation in the Lake Basin Region • Has a strong technical and business oriented know how and experience	• Member of the Program Coordinating Committee • Training and organising communities in technical issues like, Solar Home Systems, renewable energy, improved stoves, saving groups. • Support communities in planning and prioritization of interventions • Cooperation and liaison with the private sector • Plan and coordinate advocacy efforts • Collaboration with stakeholders, the private sector and local authorities. Responsible for output 4: ***Private sector***

AGRISS (https://agriss.or.ke/)
Mission:
To contribute to economic, health, social and environmental wellbeing of communities in realizing strategic food security and achieving long-term growth and sustainability

Facts:
- Established in 2015 in Homa Bay county
- Organise and train farmers in sustainable agriculture and technological development
- Work also with orphans and vulnerable children aiming at improving the welfare and protection of children affected by HIV/AIDS

Core value to the component:
- Well known in Homa Bay and Migori county
- Has strong ability to organise farmers and know-how within sustainable agriculture and farming related technologies.

- From 2020 member of the Component Coordinating Committee
- Training and organising farmers in sustainable agriculture and technology
- Collaboration with stakeholders and local authorities using their networks and appreciation in Homa Bay and Migori counties.

Member of the WG for output 1:
Communities

One Vision
Mission:
Organization that equips young Kenyans with skills and knowledge to become stewards of nature and engage in actions geared towards improving community livelihoods and environmental sustainability.

Facts:
- Established in 2014 in Migori
- Working with design and implementation of socio-economic projects with focus on education, agri business, climate change and environmental conservation
- Focus their work and engagement with the youth

Core value to the component
- Ability to mobilise the youth and pupils in climate change and environmental issues
- Is well-known as organisers of environmental components for pupils in primary schools.

- From 2020 member of the Component Coordinating Committee
- Organising pupils and youth around environmental conservation, waste management and climate change issues
- Collaboration with stakeholders and local authorities especially within the education sector in Migori counties.
- Plan and coordinate advocacy efforts focussed on the youth and pupils.

Member of the WG for output 2:
Advocacy & Communication

C-MAD (Community Mobilization Against Desertification)
Mission:
To empower smallholder households in Kenya for improved livelihood through enhanced partnerships, capacities, linkages, and quality agricultural service delivery.

Facts:
- Established in 1995

- From 2020 member of the Component Coordinating Committee

• Well-known old organisation working predominately in Migori county • Focus on rural communities that are resource constrained and vulnerable **Core value to the component** • Long-time experience with community mobilisation of small holder farmers and Village Development Committees • Train and support communities in building up capacities to plan, implement and monitor development projects.	• Organising farmers, training farmers and communities in Community planning • Plan and coordinate advocacy efforts using their networks and experience with Community Development Planning and Village Development Committees • Close contacts to local government officials. Member of the WG for output 4: ***Private sector***
Transparency International Kenya (https://tikenya.org) Strategic partner **Mission:** To champion the fight against corruption by promoting integrity, transparency and accountability at all levels.	
Facts: • Founded in Kenya in 1999 • TI-Kenya is one of the autonomous chapters of the global Transparency International movement that is bound by a common vision of a corruption-free world • TI-Kenya has its main office in Nairobi and regional presence in the Coast, Rift Valley, the larger Western and eastern Kenya through its four Advocacy and Legal Advice Centres (ALACs) in Mombasa, Eldoret, Kisumu and Nairobi. **Core value to the component:** • Well known organisation by all government institutions as a watch dog of corruption and skilled trainer in budget monitoring, research, partnership development, capacity building and civic engagement.	• Strategic partner to the component and used specifically as trainer and facilitator of technical skills within budget monitoring, tracking and climate finance governance. • Will be used strategically for training of government officials and CSOs in the above subjects. • Will ensure the vertical linkages between national climate change committees and the grassroot level.
VIRED International (Research and development organisation and institute) Knowledge institution **Mission** Focuses on making knowledge on sustainable management of natural resources available to local communities.	

Facts: • Registered in 2000, based in Kisumu • Leading research institute in dissemination of information and support of projects that integrate Environmental Conservation and Development. **Core Value to the program:** • Broad knowledge of the climate change and adaptation agenda • Research and academic support capacity • "A third eye" on the component's strategies and implementation.	• Assists the component with reviews, monitoring of assumptions and changes within the ToC and indicators • Support partners in strategic choices and focus on advocacy issues • Implements the project **Turudi Shule**, (2019 – 2021) financed by: "Danmarks Indsamlingen". **Turudi Shule** supports young girls that have dropped out of school due to pregnancy by either aiding their way back to school or finding other ways of supporting like mentoring, internships or vocational training. There are several overlaps of stakeholders between DaCCA and the project. Collaborations take place by sharing the same administrative unit, partly operating in the same geographical areas and sharing of professionals.
SustainableEnergy (https://www.sustainableenergy.dk) ***Partner responsible to CISU*** **Mission**: We see it as our task to influence attitude and behavioural changes that lead to a green transition and a sustainable world. Our strength is that from a position embedded in civil society we point out concrete solutions in a holistic perspective. Through projects, campaigns, partnerships and positive speech, we promote processes that lead to more sustainable societies.	
Facts • Established 1974 • Membership organisation with 1500 members • Main office in Aarhus **Core value to the component:** • Securing overall logic and strategy, including themes, geographic coverage and mix of consortiums • Responsible to the main donor	**Role** • Overall strategic implementation focus including aspects of learning • Advisory and consultancy on advocacy, monitoring and evaluation • Contract holder and budget mediator with operational, strategic partners and "Knowledge institution" • Responsible for outcome and impact monitoring. Overall responsible for the component and output 3: ***Consortium***

4. KEY LEARNINGS AND RESULTS FROM PREVIOUS PHASE

The DaCCA component started in late 2015 leaving the partnership model of one-to-one with a consortium model consisting of 4 locally based CSOs as described in section 3. The new modality implied a closer cooperation, transparent budgeting, development of joint strategies, advocacy campaigns and communication strategies. The first phase of the DaCCA component has achieved good results but has also had challenges and produced valuable lessons. Key learnings and results are highlighted below and structured under the headings: community, advocacy & communication, consortium and the private sector (component outputs).

Community

Examples of results:
Microclimate adaptation projects. 74 micro projects have been implemented and co-financed by different community development funds, own resources and funding from county budgets. The skills for setting up climate adaptation projects have been acquired through training and advice from the component's partners and field staff.

Generating results through the Public Participation Act. As part of the public participation opportunity created by the Public Participation Act[8], training in budget analysis, tracking etc. have been offered to 1000 community members which have participated in Ward Analysis Forums in the two target counties. From the Forums the groups have been organised and invited to participate in hearings of the Annual Development Plans and budgets done at Ward levels all over the two counties.

Community Adaptation Action Plans starting to yield results. 12 Community Adaptation Action Plans have been drafted incorporating a number of 'best practices'[9]. The CAAPs have been presented to Ward authorities for funding and a few proposals have so far been funded: dykes, draught resistant crops and bore holes. The micro projects are initiated and implemented by the communities such as: improved live stocks, poultry farming, tree nurseries, cassava farming, solar pumps for irrigation, Solar Home Systems, water harvesting tanks, and introduction of dairy goats.

Key learnings
Operationalizing the term 'Climate Change'. Communities have had difficulties in transforming the challenge of the somehow complex nature of the issue of 'Climate change' into tangible plans and applications qualified for financial support from the County Government – and likewise County Governments have had difficulties comprehending, coordinating and funding what often are climate change issues requiring an intersectoral approach.

The role of best practice models and CAAPs. The 'best practice models' and Community Adaptation Action Plans have not been persuasive enough to play a role when budgets are dispersed through the County budgeting system. Only a few projects have been funded by the Ward administration. In fairness to the component it should be mentioned that in general very little attention from the County administration has been paid to climate change adaptation projects at community levels in spite of obvious needs. However, in 2019 there are signs that the County budgets increasingly reflect the needs as more funds are supporting community-initiated climate change adaptation projects.

Devolved government and limited local administrative capacities. It has also been realised that the administrative infrastructure following the new devolved government structure is still not in place and has caused (and still do) delays, misunderstandings and difficult access to decision makers and public funds. New ways of approaching the government system must be analysed and decided. Dialogue between representative from communities and local government officials is needed. Dialogue based on well-argued and tangible adaptation models ready for upscaling.

[8] http://www.klrc.go.ke/index.php/constitution-of-kenya/139-chapter-eleven-devolved-government/part-1-objects-and-principles-of-devolved-government/343-174-objects-of-devolution

[9] The Best Practice catalogue (see https://www.daccacomponent.org/images/2018/Catalogue.pdf) describes a number of well proven practices like drought resistant crops, organic agriculture, integrated pest management, efficient stoves, irrigation techniques etc.

Advocacy & Communication

Examples of results:
Successful advocacy campaigns at policy levels. In two target counties the component has established close links to county politicians and government officials occupied with the climate change policy, strategies and implementation. The component together with other CSOs has thus been engaged in drafting the Kisumu Climate Change Policy in 2017 and has been engaged to do the same in Homa Bay in 2018/2019. It has been a key issue for the component to support and push the development of county climate policies as it would be crucial for preparation of climate change mitigation and adaptation projects financed through national and global climate funding.

Using the best practice approach to influence development plans. Based on 'best practice' climate change adaptation projects[10] the component has delivered well proven arguments through advocacy campaigns claiming that a county policy and strategy must focus and prioritise communities most affected by climate change. For example, the DaCCA led advocacy campaign where Community Dialogue Committees where trained to lobby and advocate for a pro-poor Climate Change Adaptation Projects. The campaign resulted in a recognition by the County of the Committees as legitimate actors and participants in public hearings on the County Integrated Development Plans (CIDP)[11] the Annual Development Plans and attached budgets.
The component together with the CSO sector has thus been able to establish a public debate through the hearings and radio shows where the climate change policy and budget allocations are discussed.

Key learnings:
Identifying a more efficient pathway to influence local development budgets. The advocacy campaigns were driven by radio shows, training sessions of county officials and community groups, and public hearings, but except for a few projects very little funding has reached the communities. It has been a challenge to penetrate the local government's budget and decision-making system. Analysis and strategies are therefore needed to understand the logic of the government system and finding access to decisive government officials and departments.
An avenue to follow is to focus advocacy activities on the citizens legal rights through the "Public Participation Act" to be heard and involved in the counties planning and budget processes. The DaCCA component has during 2018 been involved in public debates after mobilizing and training of community networks. However, the design of the participation forums in the two counties seems to deliberate in a manner that exclude many citizens for a genuine participation. For example, adequate documents have not been available, county websites have not been informative, and above all county officials managing the meetings have not been fully informed and qualified to involve and engage the public.
The lesson learned is that advocacy campaigns should be much more focused on the counties' planning and budgeting process. Campaigns should be supported by tangible 'best practice models' for upscaling and presented by legitimate representatives from communities. Suggested best practices should be presented in well-designed Community Adaptation Action Plans. The CAAPs should a priori be discussed in a dialogue with Ward authorities. At the subsequent public hearings, the chance of being included in the Annual Development Plans and budgets will be much higher. In such a process the component would be able to hold county officials and members of the County Assembly accountable.

[10] The Best Practice catalogue (see https://www.daccacomponent.org/images/2018/Catalogue.pdf) describes a number of well proven practices like drought resistant crops, organic agriculture, integrated pest management, efficient stoves, irrigation techniques etc.

[11] The County Integrated Development Plan (CIDP) is a plan prepared by all counties in Kenya to guide development over a five-year period. Kenya's Public Finance Management Act provides that no public funds shall be appropriated outside a county's planning framework. The CIDP should contain information on development priorities that inform the annual budget process, particularly the preparation of annual development plans, the annual county fiscal strategy papers, and the annual budget estimates.

Engaging central level placed strategic partners in specialized capacity building. The lessons learned from the first phase is that CSOs as well as county officials managing budgets and devolved funds do not have the sufficient capacity to execute the basic ideas of the devolved government structure. The vertical flow of informations and supportive documents only fragmentarily reach their level.
The component has thus engaged Transparency International – Kenya as a strategic partner in 2018. TI-Kenya has in 2019 conducted a number of training sessions on budget monitoring and tracking and climate finance governance for government officials in the two target counties as well as for 30 CSOs from the two counties. The PCC has participated in the training sessions and has strengthened the consortiums ability to work sharper with accountability and transparency issues within climate financing and devolved governance, and to understand the vertical flow of climate finances and devolved funds.

Consortium

Examples of results
Internally
CSO collaboration modalities. The first couple of years a silo-thinking amongst consortium partners prevailed and only after forming specific cross-sectoral Working Groups consisting of representatives from all partners has shown some signs of improvement. The Working Groups have proved to be more efficient and will form the backbone in the new phase of the component where they will be responsible for the component's 4 outputs.

Reducing transition cost. The decentralisation of accounting etc. has proved to be cost effective, efficient and of great value for the component.

Key learnings
From an individual to a programmatic approach. The Working Groups have strengthened the programmatic approach; linked the partners closer together and moved them away from tendencies of compartmentalizing the component along the lines of the individual organisations.

Second opinions have created useful debates. An external process consultant was engaged in 2018. The consultant has been useful as an 'independent' eye and being especially supportive when discussing the overall direction of the component and monitoring the relevance of the ToC. However, the full potential of the arrangement is one year down the line still to be met.

Examples of results
Externally
Supporting drafting of climate change policies. The consortium has been able to meet the new requirements and show a credible way forward as a larger group with higher leverage and targeting the local government level. The component and the counties have made MoUs on climate change policy drafting which so far has been implemented in Kisumu. The drafting of the policy in Homa Bay will be facilitated in 2019 by DaCCA in cooperation with TI, FES and county officials.

Supporting the Public participation process. The consortium has been instrumental in establishment of a Public Participation Office in Kisumu county, which has supported the participation process.

Key learnings
Understanding the vertical flow of climate finance governance. A supplementary grant received in 2018 made it possible to start addressing two identified weaknesses within the DaCCA component: (1) strengthening the links to key central level players within climate change planning and climate financing and (2) adding competences to the consortium that would boost it within budget tracking and general PANT issues. This has in the short to medium term led to a deeper consortium knowledge of national

climate change intentions within adaptation plans as well as bolstered partners further with budget tracking tools that can be applied around the devolved funds to the counties.

Strategic partnerships add value to the component. The addition of the supplementary grant raised the ambitions of the component and led to some adjusted changes to the output indicators. The grant made it also possible to engage Transparency International – Kenya as a strategic partner and external consultant doing a number of training sessions for CSOs and government officials in climate finance governance and budget tracking and monitoring.

Private sector

Examples of results
Sale and marketing of solar home systems. The component has worked closely together with the solar company d.light (http://www.dlight.com) which provides Solar Home Systems for private households. The agreement between the component and the company was a so called "sales agent" contract where the component was given a bonus for each sold solar home system.
The cooperation has resulted in provision of more than 250 SHS to households in the target areas, and the component has benefitted with a bonus which will form the basis for a revolving fund supporting the most needed household. The cooperation ceased in late 2018 as the market is developed with many new SHS providers coming in.

Key learnings
Working with blended finance. The challenge has been to form a coherent and efficient financial system which could support economic vulnerable households in purchasing the solar systems.
It has also been a challenge to work with a private company new in the area and with a loose strategy for marketing their products.
New forms of cooperation with the private sector will be explored in the coming phase seeking a balance between profit making and provision to the most vulnerable households in the target group.

5. COMPONENT OVERVIEW

5.1 Aim and justification

This section describes the aim and the justification and how the component creates synergy to complementing components implemented by CSOs, networks and international donors. The effects of the synergy will create results beyond the scope of the DaCCA component.

Aim of the component
The objective of the DaCCA component:

> *Vulnerable populations in Kisumu, Homa Bay and Migori counties at risk of natural hazards caused by climate change are increasingly supported by policies and components funded by devolution and climate change funds.*

In this second phase of the DaCCA component focus will be on best practice adaptation models for upscaling, replication and funding from County budgets combined with community development funds. Close consultations and collaborations with primarily ward and sub-county officials will take place.

The component will provide communities with training and insights in the hearings process and support the compilation of Community Adaptation Action Plans[12] (CAAPs) to be presented for the county authorities at Ward and County level. The CAAPs are presented by Community Dialogue Forums consisting of influential members of the communities from the grassroots. The Dialogue Forums will be established at 2 levels: a Community Dialogue Forum at the ward level for identifying community climate related issues and proposed interventions; and a County Dialogue Forum that networks with all the wards in the county for policy engagement at the county level.

Justification of the DaCCA component

The western counties of Kenya have for decades been neglected by the central government. Lack of investments for development and shares of state revenues as well as political involvement in major decisions have created a political tension especially around general elections where frustrations have escalated and have led to violent confrontations.

The new constitutions endorsed in 2010 has created new opportunities for breaking the political deadlock. A **devolved government system** has been introduced given more political and economic power to county administrations. The legislation and reforms introduced after enacting the constitution give also new opportunities for the CSOs to support the civil society in their rights to be involved in decision making and discussions of budgets and investments in development.

The DaCCA component is justified by taking full advantage of the opportunities given in the constitution and will continue the activities from the previous phase in the new 4 years component. Opportunities and justification of the components lay in:

The devolution agenda and public participation. Devolution and the ambition of citizen involvements (Public Participation Act) remain the biggest gain from the constitution, which provoked a new political and economic governance system with the establishment of a new county government administration. This has strengthened accountability and public service delivery at local levels. The DaCCA component will use this opportunity by focusing on mobilizing and supporting the communities' ability to advocate for their needs in relation to development and the increased challenges they face from climate change.

New climate finance and governance. The combination of the Paris Agreement in December 2015 and prior to that, the establishment of the Adaptation Fund and the Green Climate Fund (GCF)[13] and more over the recent accreditation of the National Environmental Management Authority (NEMA) to access the GCF funds have brought new green funding and climate finances to Kenya and subsequently more resources to the county administration. So far, the Adaptation Fund has supported two components in Kenya involving a big number of CSOs[14].

The DaCCA component will follow the vertical flow of the climate finances from the national level to the component's target counties to ensure a fair distribution for the benefit of the component's target group.[15] The component will reach out to strategic partners like Transparency International – Kenya to follow the process at the national level and to further deliver training and capacity building on the same to representatives from the marginalized communities, to county officials and CSOs in Kisumu, Homa Bay

[12] Community Adaptation Action Plans are simple plans developed by communities describing a problem and have proposals for new climate and development resilient practices. The CAAPs have timeframe and budgets attached. The outline of the CAAPs is developed and discussed with the County administration as a joint dialogue tool meeting the requirements for funding.

[13] http://www.greenclimate.fund/who-we-are/about-the-fund

[14] https://www.adaptation-fund.org/project/integrated-component-to-build-resilience-to-climate-change-adaptive-capacity-of-vulnerable-communities-in-kenya/

[15] Studies show that climate finances are best utilized the closer you get to the affected communities, and the closer you get to the *meso-level* in the government, Esben Friis-Hansen: Decentralised Governance of Adaptation to Climate Change in Africa, DIIS, 2017

and Migori counties. The cooperation with TI – Kenya will include research on the flow of climate finances and which bottlenecks there are before funding reaches the county level.

Change in relationship between CSOs and county administration. The devolution agenda and involvement of citizens in decision making have created an environment where county officials, CSOs and communities have a closer cooperation. The component has supported the development of climate change policies in the target counties and has also been instrumental in establishing the public participation office in Kisumu. This has been done in cooperation with the international CSOs: Transparency International, Friederick Ebert Stiftung and Cordaid. The collaboration has showed to be useful and has created synergy and collaboration between the local government and the civil society. It has also led to a greater engagement of citizens participation in the discussions of Annual Development Plans and budgets for development projects.

The close collaboration with the local government officials and the county administration raises the question of loyalty. Striking the balance is not always easy but it is clear that the DaCCA component seeks a balance where solutions will benefit the least privileged of the citizens (target group) and that the component will define the relationship. It is important though that a dialogue with county officials continues and that the rights of citizens to be involved in planning and budgeting is further developed. Although Kenya has signed all major international human rights and governance treaties and conventions, the space for civil society is shrinking.[16] The rights given to citizens in the Public Participation Act create, however, a new 'democratic space' an option the component will support and utilize.

Transforming national policy to the local level. Kenya's new plan, the '*Big Four*', which will guide the development agenda of the country in the period 2018-2022 focuses on key basic needs that are critical in uplifting the standard of living of Kenyans on the path to becoming an upper middle-income country by 2030. Prioritized is: (i) affordable and decent housing, (ii) affordable healthcare, (iii) food and nutritional security, and (iv) employment creation through manufacturing.

The agricultural sector is a major driver of the economy, but Kenya is still classified as a food deficit country. **Food production** has been declining due to dependence on rain-fed agriculture, low adoption of technology including biotechnology, frequent attacks by pests and crop diseases, adverse weather, degradation of agricultural land, encroachment of urbanization into arable land, and rural-urban migration of the young people. Small holder farmers (30-40% of the rural population) are the hardest hit by this development. The 'Big Four' policy and reforms and especially the issue **of food and nutritional security** are useful opportunities for the DaCCA component to address while supporting the farming community. In identifying best farming practices as examples for upscaling and funding the component directly convert the policy into tangible and sustainable projects benefitting the target group.

DaCCA provides synergy effects to other components and government interventions. The component's approach enables the component to create a synergy to other components and actors working in Western Kenya. Collaborations are made with international CSOs like Transparency International, Friederick Ebert Stiftung, CARE International, and to donors like DFID, UNEP and Stockholm Environmental Institute. The findings from the component activities and analytical products are shared with such partners whenever possible. Closer cooperation will be aimed at in the new phase and will build upon already established linkages.

5.2 Target groups, PANT principles and stakeholder analysis

Target groups

The primary target groups of the component are divided into two categories of rights holders and duty bearers in different layers of society.

[16] Forum Syd: Shrinking Space for Civil Society, 2017

Primary right holders' target groups include 12 communities based in rural settings within geographically well-defined areas. The groups are frequently exposed to general economic marginalization, a lack of access to basic services, public budgets and opportunities for development of resources, effects of climate change, as well as social and political marginalization in terms of poor access to participation and decision-making.
Secondary right holders' target groups at community levels (neighboring citizens and communities affected or inspired by the component) will include a minimum number of 30.000 individuals.

All targeted **duty bearers** have recently been subjected to new and complex national legislative instruments concerning redistribution of national revenues and decision-making modalities carrying with its new responsibilities of a transparent allocation and use of county development budgets.
Primary duty bearers are comprising of key decision makers within natural resources and climate change issues at county government and meso level (ward and sub-county level).
The secondary target group at duty bearer levels will include relevant stakeholders at the national level.

PANT principles guide the component
The DaCCA component is guided by the **PANT principles** which can be found in working with the target groups. The public participation process started by the counties gives the target group new opportunities for **Participation** in decision making. The legislation and the implementation process have opened a 'democratic space' where communities are able to get into a dialogue with duty bearers. The dialogue includes a presentation by communities of tangible adaptation projects for upscaling and requests for funding through devolved finances.
The dialogue and the hearing process now institutionalized in the target counties are still insufficient. The component has been supportive in establishing 'County Public participation offices' but officers are faltering in executing the policy and intentions in the act. Though insufficient hearing is held, citizens are involved, and projects and budgets are decided. This gives an opportunity for communities and actors to keep the county government **Accountable.**
In terms of **None-discrimination**. The component has enabled women to participate on equal terms in general meetings, training and capacity building. There has been a high gender balance in these sessions but the challenge is to involve women to take part in decisive committees and decision-making processes.
The public participation process has revealed that the county officials running the public hearings have very little access to essential documents about overall county budgets leaving them with great difficulties in carrying out their duties. There is a great need for **Transparency** in relation to information from the governor's office, county executives going to the public. Lack of essential information has confused the hearings and getting citizens to superficially participate as county officials do not have information about their own areas of responsibility. Another area of concern related to transparency is that the counties websites are insufficient and lack maintenance and basic information on budgets and annual development plans necessary for a genuine debate.

The table below gives an overview of the various target groups:

	Primary target groups	Secondary target groups
Right holders directly involved and benefitting	*Stakeholders working directly with in component activities:* • 12 communities in Kisumu, Homa Bay and Migori counties • 10 Community Dialogue Forums • 4.500 community members	*Stakeholders benefitting in variable degree from component impact:* • Approximately 30.000 adult community members (50% women, 50% men) in 12 communities • Civil society platforms • The private sector

Duty bearers reached through advocacy, training, capacity building and networking	*Stakeholders working directly with component activities:* **Kisumu County:** • Dept. of Green Energy and Climate Change • Dept. of Environment, Water and Natural Resources • NEMA • Dept. of Agriculture **Sub-counties and (wards):** - Nyando (Ahero) - Kisumu East (Central Kolwa) - Kisumu West (Central Kisumu, Nyalenda B) - Seme (Central Seme) - Muhoroni (Miwani) - Nyakach (West Nyakach) **Homa Bay County:** • Department of Agriculture • Department of water and Environment. **Sub-counties and (wards):** - Karachuonyo (Wangchieng') - Ndhiwa (Kanyamwa Kosewe) - Rangwe (Gem West) - Homabay Town (Homabay Arujo) - Kasipul (West Kamagak) - Mbita (Lambwe) - Suba (Gwasi North) **Migori County:** • Department of Agriculture • Department of Water • Department of Finance and Economic Planning • Department of Energy • Department of Environment • Natural Resource Management platform/forum/Network **Sub-counties and (wards):** - Nyatike (North Kadem, Macalder/ Kinyarwanda) - Uriri (North and West Kanyamkago) - Suna West (Wasweta II) - Kuria West (Masaba, Ikerege/Bukira Central)	*Stakeholders impacted in variable degree from component impact:* **National Level:** • Ministry of Environment and Natural Resources

	- Suna East (Suna Central)	
Partners and strategic partners	**Consortium:** SusWatch, Osienala, Umande Trust, CREPP, C-MAD, AGRISS, One Vision. Strategic partner: Transparency International - Kenya	**CSOs and networks:** CARE International, Christian Aid, SEI, Migori County Natural Resource Management platform/forum/Network, NURU, World Vision, Homabay citizens Association, Rachuonyo Environment Network.

5.3 Stakeholder analysis

Migori County stakeholders

Below is listed primary stakeholders. All stakeholders are presented in annex 1.

Stakeholders	Areas of concern Climate change related intervention	Power	Influence	Actions required to address negative influence/leverage positive influence
Send a Cow	- Installation of energy saving stoves - Facilitation of spring protectio11n and training on 12watershed management - Establishment of community tree nurseries - Trainings on establishment of fruit trees - Promotion of organic farming - Training on climate smart vegetable gardening methods	Provides direct support to the community on areas related to climate change	**Positive** The community groups being supported can act as entry point	**Implementation** The community groups being supported can act as entry point into the communities.
KEFRI	- Rehabilitation of degraded areas - Research on forest policy and livelihood issues	A member of the county Environment and Natural resource management platform/network	**Positive** Research information on forestry and climate change	**Policies and actions** Use to provide technical backstopping for actions for the component where appropriate

	- Sustainable management of forests - Training of stakeholders in forestry and related issues - Develop technologies in forestry and related issues - Promotion of agroforestry activities - 8Increasing tree cover on on farms - Supply of high quality tree seeds/ germplasm	Provides technical back stopping to the county government, other stakeholders and the community	Supports policy processes in the county.	
C-MAD	- Promoting climate smart agriculture - Integrated Soil fertility management - Promote appropriate technology and labour saving technologies in household vegetable production - Promoting enterprises integration and diversifications	Has worked with county government before, Is working some communities currently	**Positive** Has links with department of agriculture Has links with communities	**Actions/implementation** Use the community groups to pitch appropriate actions desired by the component Use the community groups as community entry points.
County Department of Agriculture	- Soil and water conservation - Irrigation - Sustainable land management technologies - Promotion of climate / drought tolerant crops and varieties	Has the mandate to deal with all matters agriculture in the county Works closely with the department of environment Is a member of the County environment and natural resource management platform/forum/network	**Positive** Supports sound agricultural production activities Is keen on conservation agriculture **Negative** Occasionally does make policy directions without	**Actions** Use the convergence of actions a point to promote public participation Hold the department to account within the county Environment and Natural resource management Platform/Forum/ Network

			the input of the stakeholders	**Policies** Identify existing policies that are supportive or support the development of relevant policies to commit the actions of the department.
County Department of Water	- Water harvesting - Use of green energy for pumping (solar, wind)	Has the mandate to deal with all matters water services and water resource management Is a member of the County environment and natural resource management platform/forum/network	**Positive** Supports water resource conservation and ensure water services Is keen on sub catchment protection **Negative** Occasionally takes short cuts in making policy directions and does not involve stakeholders appropriately	**Actions** Use the convergence of actions a point to promote public participation Hold the department to account within the county Environment and Natural resource management Platform/Forum/ Network **Policies** Identify existing policies that are supportive or support the development of relevant policies to commit the actions of the department
County Department of Finance and Economic Planning	- Monitoring of mainstreaming of climate change in the components and projects and plans	Holds the docket to finance and budgeting Monitors the county government projects and components Is a member of the County environment and natural resource management platform/forum/network	**Positive** Supports budgetary allocation to government projects and components Monitors government projects and components **Negative** Occasionally takes short cuts in budget making process	**Actions** Use the convergence of actions a point to promote public participation Hold the department to account within the county Environment and Natural resource management Platform/Forum/ Network **Policies** Identify existing policies that are

				supportive or support the development of relevant policies to commit the actions of the department
County Department of Energy	- To increase tree cover - Promotion of clean energy	Holds the docket to for energy Monitors the use of clean energy in the county Is a member of the County environment and natural resource management platform/forum/network	**Positive** Supports clean energy use in the county Monitors the use of clean energy in the county **Negative** Occasionally takes short cuts in policy making process Use a lot of resources fighting for publicity the expense of service to the citizens	**Actions** Use the convergence of actions a point to promote public participation Hold the department to account within the county Environment and Natural resource management Platform/Forum/ Network **Policies** Identify existing policies that are supportive or support the development of relevant policies to commit the actions of the department
County Department of Environment	- Afforestation - Disaster risk management - Water resource protection	Has the mandate to deal with all matter's environment and climate change Is a co-chair of the County environment and natural resource management platform/forum/network	**Positive** Leads policy processes and makes departmental annual plans and the sector component within the CIDP. Is keen on environmental protection and climate change adaptation **Negative** Occasionally takes short cuts in making policy directions and does not involve stakeholders appropriately	**Actions** Use the convergence of actions a point to promote public participation Hold the department to account within the county Environment and Natural resource management Platform/Forum/ Network **Policies** Identify existing policies that are supportive or support the development of

				relevant policies to commit the actions of the department.
Migori County Natural Resource Management platform/ forum/Network	- Climate Change policy development process - Disseminate and provide advisory - Monitoring of mainstreaming of climate change in the components and projects and plans	The county's think tank on environment, Natural Resource management and climate Change A platform that holds to account stakeholders on their role towards environmental protection, Natural Resource management and climate Change adaptation Provide technical backstopping to the county	**Positive** Provides advisory role to the county government on matters environment, Natural Resource management and climate Change	**Policies** An avenue to develop and push through policies that favour the component; demand for county government's commitments towards service to the citizens in the area of environment, Natural Resource management and climate Change **Actions** A platform to creating a movement for the rights of citizens to services from the county government.
World Vision Kenya	FMNR is a low-cost land restoration technique used to combat poverty and hunger amongst poor subsistence farmers by increasing food and timber production and resilience to climate extremes in the two target counties.	Is already working the county government on Natural Resource management and climate Change Has heavily invested into the county's environment resource management sector Is a key member of the **County** Natural Resource Management Network	**Positive** Already working with government and most of the stakeholders in Environment and climate Change issues both at the community and policy levels Has high influence on government and other stakeholders	**Actions** Recruit as a member of the implementation network. Utilize the entry points already influenced

Homa Bay County primary stakeholders

Stake-holders	Areas of concern Climate change related intervention	Power	Influence	Actions required to address negative influence/leverage positive influence
World Vision Kenya	FMNR is a low-cost land restoration technique used to combat poverty and hunger amongst poor subsistence farmers by increasing food and timber production and resilience to climate extremes in the two target counties.	Is already working the county government on Natural Resource management and climate Change Has heavily invested into the county's environment resource management sector Is a key member of the County Natural Resource Management Network	**Positive** Already working with government and most of the stakeholders in Environment and climate Change issues both at the community and policy levels Has high influence on government and other stakeholders	**Actions** Recruit as a member of the implementation network. Utilize the entry points already influenced
Homabay citizens Association	- Budget tracking - Awareness creation and sensitization - Civic education	- Budget tracking - Awareness creation and sensitization - Civic education	**Positive** Provide a platform for the community groups to present their issues Carries out budget tracking and monitoring of county government projects. **Negative** Confrontational approach sometimes creates a wedge between its members and the county government and other groups	**Action** Use the platform to pitch community issues the county government has ignored despite sensitization Use the platform to engage the county government on how they can engage the platform in dialogue with the civil society.
County Department of Agriculture	- Irrigation - Sustainable land management technologies - Promotion of climate / drought	Has the mandate to deal with all matter's agriculture in the county	**Positive** Supports sound agricultural production activities	**Actions** Use the convergence of actions a point to promote public participation

	tolerant crops and varieties	Works closely with the department of environment	**Negative** Occasionally does make policy directions without the input of the stakeholders	**Policies** Identify existing policies that are supportive or support the development of relevant policies to commit the actions of the department.
Rachuonyo Environment Network	- Afforestation - Diversification of agricultural production - Livelihoods for local economy - Cooperative for farmers		**Positive** Provides a platform which can be used for actions on environment and climate change	**Actions** Used to create a sub county dialogue platform with county government on community climate change actions
CREPP	- Supporting Community Dialogue committees - Promoting adoption of energy saving jikos - Promoting climate smart agriculture		**Positive** Already implementing DACCA component activities in central Karachuonyo ward	**Actions** Use the CCAAPs to rally community groups around the issues the county government should address.
SusWatch	- Supporting Community Dialogue committees - Budget tracking - Supporting community action plans		**Positive** Works with both the county government to develop county climate change policy Works with the Community groups to develop Community Adaptation Action Plans (CAAPs)	**Policy** Use the CAAPs to present community's adaptation plans into the county adaptation plans Use the ward budget committees to mainstream climate change issues into the county budget
AGRISS	- Climate Smart Agriculture Installation of energy saving stoves		**Positive** Works with farmers group on Training on climate smart vegetable gardening methods	**Policy** Use the evidence from research to influence policy direction

	- Establishment of community tree nurseries - Promotion of organic farming - Training on climate smart vegetable gardening methods.		Provide information through research on climate smart vegetable gardening methods	**Action** The farmers network used as entry point into the community groups
Umande Trust	- Promoting safi cookers – cookers using ethanol - Working with BMUs to promote WASH at fish landing beaches		**Positive** Already implementing DACCA component activities in central Karachuonyo ward	**Actions** Use the CCAAPs to rally community groups around the issues the county government should address.
OSIENALA	- Supporting Community Dialogue committees - Promoting adoption of energy saving jikos - Promoting household solar lighting - Promoting private public partnership		**Positive** Already implementing DACCA component activities in central Karachuonyo ward	**Actions** Use the CCAAPs to rally community groups around the issues the county government should address.
C-MAD	- Promoting climate smart agriculture - Integrated Soil fertility management - Promote appropriate technology and labour-saving technologies in household vegetable production - Promoting enterprises		**Positive** Has links with department of agriculture Has links with communities	**Actions/implementation** Use the community groups to pitch appropriate actions desired by the component Use the community groups as community entry points.

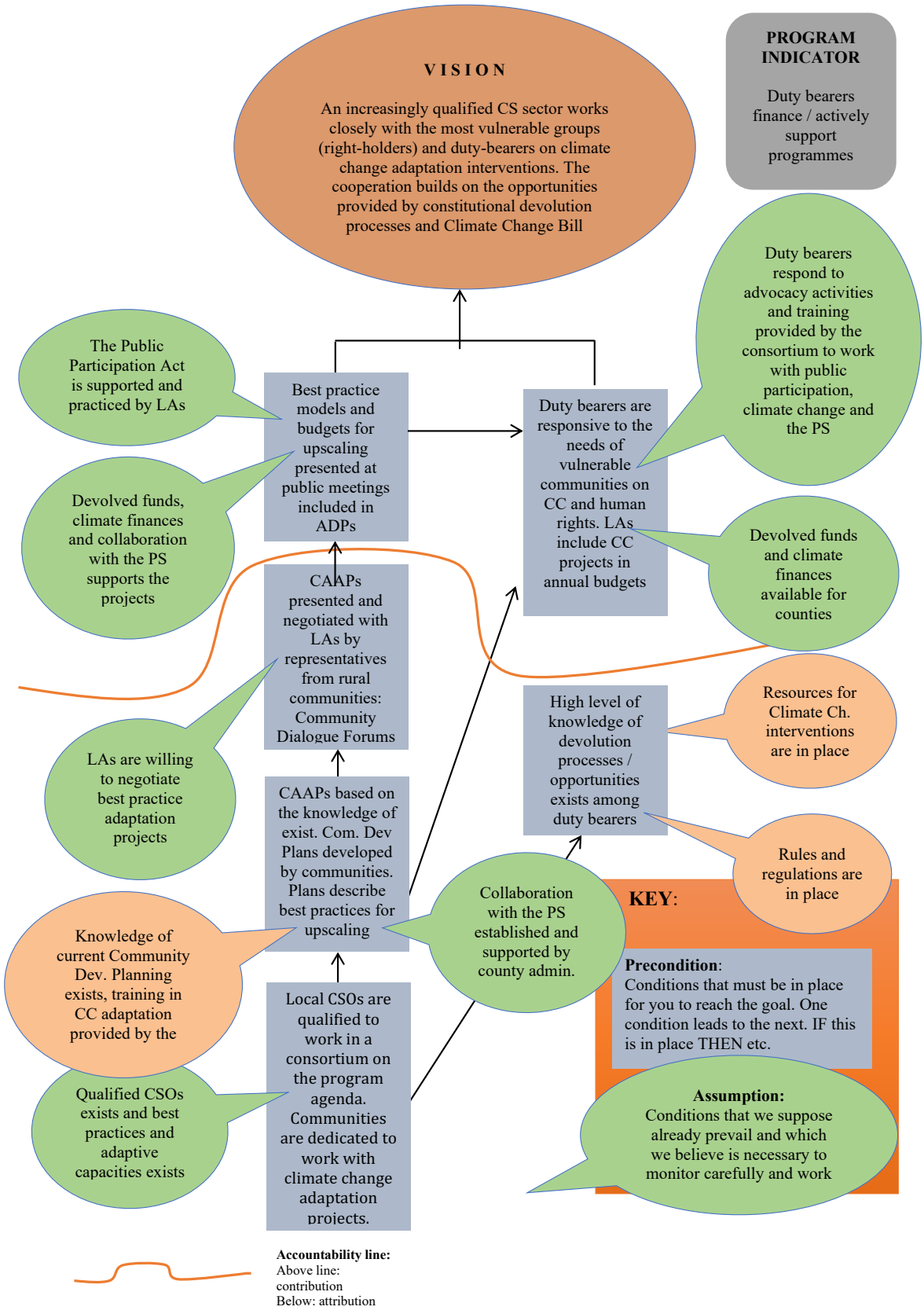
	integration and diversifications			
County Department of water and Environment	- Afforestation - Disaster risk management - Water resource protection - Water supply services		**Positive** Leads policy processes and makes departmental annual plans and the sector component within the CIDP. **Negative** When it takes short cuts in making policy directions and does not involve stakeholders appropriately	**Actions** Use the convergence of actions a point to promote public participation **Policies** Identify existing policies that are supportive or support the development of relevant policies to commit the actions of the department.

5.4 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 component progresses new assumptions and preconditions will appear, and the ToC will be revised accordingly.
The component 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 component of this nature. However, the accountability line inserted on the ToC diagram indicates up until where the component 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 component (policy or legislative adjustments, transfers of influential decision makers etc.) can have a decisive influence upon the achievement of the vision.


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
The Public Participation Act is supported and practiced by LAs
Best practice models and budgets for upscaling presented at public meetings included in ADPs
Duty bearers are responsive to the needs of vulnerable communities on CC and human rights. LAs include CC projects in annual budgets
Duty bearers respond to advocacy activities and training provided by the consortium to work with public participation, climate change and the PS
Devolved funds, climate finances and collaboration with the PS supports the projects
Devolved funds and climate finances available for counties
CAAPs presented and negotiated with LAs by representatives from rural communities: Community Dialogue Forums
LAs are willing to negotiate best practice adaptation projects
High level of knowledge of devolution processes / opportunities exists among duty bearers
Resources for Climate Ch. interventions are in place
CAAPs based on the knowledge of exist. Com. Dev Plans developed by communities. Plans describe best practices for upscaling
Collaboration with the PS established and supported by county admin.
Rules and regulations are in place
Knowledge of current Community Dev. Planning exists, training in CC adaptation provided by the
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
Qualified CSOs exists and best practices and adaptive capacities exists
Local CSOs are qualified to work in a consortium on the program agenda. Communities are dedicated to work with climate change adaptation projects.
Accountability line:
Above line: contribution
Below: attribution

5.5 Result Framework

Component objective	Vulnerable populations in Kisumu, Homa Bay and Migori counties at risk of natural hazards caused by climate change are increasingly supported by policies and components funded by devolution and climate change funds.
Indicators	1. Duty bearers finance /actively support components and projects aiming at communities affected by results of climate change. 2. A number of right holders' prioritized climate adaptation action plans are approved for funding by either the County Government or at ward and sub- county level.

The effects of climate change have now together with general poor governance, imbalances between high population pressures and land availability and unsustainable natural resource management contributing further to insecure livelihoods amongst small-holder farmers and other vulnerable groups. Political reforms and legislation following the passage of Kenya's new constitution bring new opportunities for public involvement and influence on budgets and development investments. Moreover, new green global funding and climate finances have brought more resources to the county administration. The component will use these opportunities by mobilizing and supporting communities in their rights to participate and advocate for support and resources from public budgets and climate finances to ease the effects of climate change.

Kenya output 1 **Community**	Men and women from communities are strengthened to be able to identify, plan, present and negotiate climate change adaptation interventions with Local authorities at the meso-level (Ward and Sub-county).

Best adaptation practices are identified and described in a participatory approach in Community Adaptation and Action Plans (CAAPs). The plans are presented by Community Dialogue Forums consisting of representatives from farming communities in a Ward. CAAPs include e.g.: introduction of drought resistant crops, nurseries, water collection, irrigation methods, water purification systems, introduction of Solar Home Systems, energy efficient cooking stoves, new ways of organizing communities with a focus on participation in public hearing processes, introduction of saving and loan schemes. CAAPs and best practices are presented, negotiated and have obtained funding from county budgets, climate finances and development funds.

Kenya output 2 **Advocacy & Communication**	Through advocacy campaigns and demonstration of best practices, LAs recognise CSOs and Community Dialogue Forums (CDFs) as legitimate partners and CAAPs as valuable inputs for budget prioritisation.

The advocacy campaigns will focus on 'marketing' best farming practices and CAAPs at public hearings, workshops with government officials, through radio shows. The approach will be to advocate for the citizens legal rights through the "Public Participation Act" to be heard and involved in the counties planning and budget processes. The advocacy campaigns will also support the negotiations of CAAPs with Ward authorities. Meetings will also take place with county administration in Homa Bay and Migori on establishment of a public participation office to support the participation process. Contacts to the CSO environment and networks as well as to other components will also be given high priority as working in unity will strengthen all the components.

Kenya output 3 **Consortium**	The PCC leads the component and collaborates with communities, CSO networks, strategic partners dealing with CC and devolution and with County authorities at all levels. The collaboration increases the impact of the component and leads to mutual capacity building.

The consortium consists of 7 partners: SusWatch, Osienala, Umande Trust, CREPP, Agriss, C-MAD and One Vision. Together the partners form the Component Coordinating Committee as described in sections above. The PCC meets at least twice a month and plans for all common activities, joint strategies and collaborations with other CSOs, components, donors and government administration. Strategic partners will meet when concrete needs arise with the PCC. Capacity building and peer learning will be done ongoing.
The consortium will continue to function and present itself as a unit in relation to duty bearers and civil society actors whereby its credibility and position in community development, public hearings and collaborations with government administrations and other components will be further enhanced.

Kenya output 4 **Private sector**	Collaboration with the private sector results in MoUs and increased engagement in solutions benefitting the communities.

Common areas of interest between civil society, CSOs and the private sector will be investigated. An increased dialogue between county government, the private sector and the CSO sector will take place in order to explore possibilities and entry points for further collaboration.
Two business cases will be drafted and tested as pilot cases.

5.6 Risks and sustainability

The component's Theory of Change shown in section 5.3 has preconditions and assumptions that explain the causal linkages between preconditions and the expected change caused by the interventions of the component's activities.
The risks and mitigation measures listed below have all an effect of the implementation of the component. The risks and mitigation measures will be monitored closely by the PCC and SE in order to enable the component to make timely and appropriate adjustments.

Risk	Risk factor	Mitigation measures
Contextual risk The political stability is fragile, but it is envisaged that the 'handshake' (agreement) between the president and the leader of the opposition will pave the way to a more stable political situation in the country. Enacting the devolved government legislation, reforms and dispersement of resources slow down due to decreasing national growth rates.	**L** **L**	SE and the program partners have no means to influence the national political stability in either countries. 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. The county administration has already structured the administration in accordance with the devolved government reforms and will continue in spite of a slowdown. Emphasis will be laid on other funding mechanisms like community development funds, women and youth funding.
Programmatic risk Donors disburse more and more to larger organizations capable of meeting donor requirements. Many	**M**	The component takes account of this and has formed consortiums of once middle sized local CSOs and with the legitimacy locally unlike international NGOs.

small and medium sized NGO's are sidelined and within the target area once medium sized and very active CSOs have now been reduced significantly and now only have small funds and few donors. The capacity at the County level may continue to be low, both technically and in terms of staffing resulting in low willingness to develop ideas, making devolved funds available to communities and support for climate adaptation projects. National debts and budgets constraint the planned flow of devolved budgets from central government to the counties.	**M** **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. High qualified strategic partners will support the component and will train CSOs and county officials in subjects related to devolved funding and climate finances. SE and the component have no means and capacity to influence the national fiscal policy.
Institutional risk Lack of enacting the Public Participation Act limits citizens involvement in decision making. Flow of informations from county executive's office are stacked limiting officers on duty to carry out sufficient and qualified citizens hearing processes. Lack of climate finances constraint resources for climate adaptation projects in the counties.	**M** **M**	The component has been instrumental in establishing county public participation offices and will continuously support the process by providing training and capacity building of officers. The component, CSO networks and community groups will constantly keep the county administration and executives accountable for lack of informations. This will slow down the process, however, devolved funding and various community development funds will be utilised. Advocacy work by strategic partners and their participation in government committees dealing with climate finances will push of climate finances.
		Risk factor: L = Low, M = Medium, H = High

Sustainability
Sustainability is part of the overall strategic approach and as such included in all parts of the component.

At community level adaptation projects, mobilization and participation in public hearings and decision making are strongly grounded in communities' experiences and strategies as well as in reforms and legislation derived from constitutional rights. For those communities that manage to develop a Community Adaptation and Action Plan, they have taken ownership and will have an instrument to guide them in the coming years and in coming negotiations with relevant county officials. The component has facilitated the mobilisation of communities and will continue the dialogue with the county administrations for better access and genuine participation of all actors in the public participation process.

At organisational level the consortium approach has the potential to foster continued collaboration among the members after the completion of the component. Consortiums are more and more often a requirement in international CSO funding which will leave the partners with good practice experience. Moreover, lessons learned, new approaches applied in the component, challenges and opportunities encountered during the years of implementation will be valuable to not only the consortium members, but to the wider CSO community and to county administrations.

At societal level, the component's influence on the county government administration is expected to make them comply better with intentions in the devolved government act and the Public Participation Act (PPA). Furthermore, the possibilities in the PPA in expanding the 'democratic space' and to build new

democratic structures where citizens are 'invited' to participate in decision making are promising and will be focussed at in the new phase of the component.

5.7 Monitoring

The DaCCA component will be monitored following SE's Manual for Component Monitoring, September 2019[17]. The component will, however, specifically be monitored within the following issues:

1. Evidence / outcome of changes at the community, Ward and County level
2. Theory of Change and achievements
3. Added value in the consortium
4. Financial management.

1. Evidence / outcome of changes at community, ward and county level

The ambition is to detect how empowerment of communities translate in the way decisions and priorities are taken, the quality and inclusiveness of decisions, how selection of community representatives to Community Dialogue Forums are done, and if gender aspects are addressed. The monitoring will also capture community members' perception of climate change and understanding of relevant laws and regulations.
At the ward and county level the aim is to record changes in the duty bearer's responsiveness to communities right to be involved, present their priorities and plans at public hearings. And finally follow whether county budgets include and further implement the climate change and development plans and priorities advocated for by Community Dialogue Forums.

The monitoring system comprises of 6 different tools:

1) An extended baseline survey will build on the Result Framework presented in annex 3.
2) Most Significant Change stories collected in the communities
3) Specific investigations carried out on well-defined topics
4) Budget tracking and monitoring of Annual Development Plans and budgets
5) Semi-annual reporting from the Working Groups and consolidated reports from the Component Coordinator to SE with a dedicated reflective section concerning the validity of assumptions, general indicator progress and a reflection of the outcome envisaged.
6) Two annual review visits by SE with standardized terms looking into general performance as well as assumptions and risks.

As described above these efforts will provide evidence to be used for dissemination and advocacy but they will also provide information in relation to specific indicators in the component's result framework.
Main responsible for collection of data: The Component Coordinator and chairpersons from the 4 Working Groups.

2. Theory of Change and achievements

The assumptions and pre-conditions identified in the ToC will routinely be questioned and tested by the PCC, SE, and reviews done by external consultants. It is expected that the ToC after one year of implementation will look different adjusted to the realities on the ground. The ToC behind the component will be monitored twice a year or if significant changes in context occur.
The exercise will keep track if the assumptions still are valid and if the pathway of change as described in the sequence of preconditions still is relevant.
Main responsible: SE Component Coordinator, the Component Coordinator and the PCC.

[17] Monitoring of the component: Decentralisation and Climate Change, 2020 - 2023, September 2019, see annex 4.2 in the component document

3. Added value in consortium

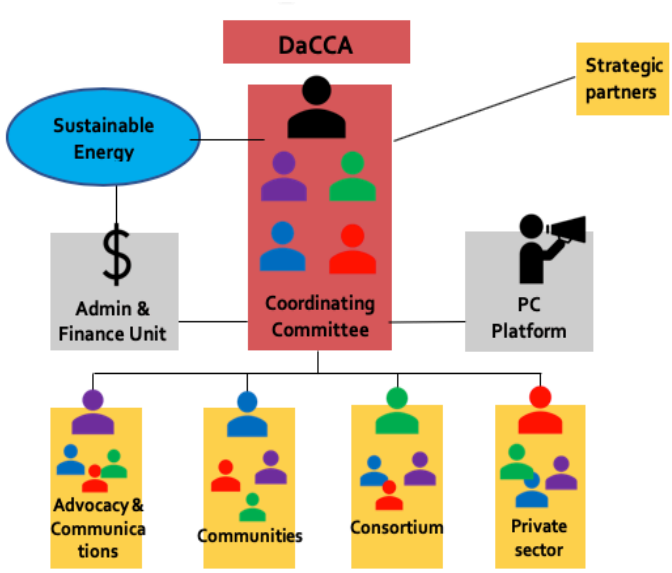
During Component Reviews, it will be monitored to which extent the combination of organizations in the consortium is the best structure in terms of complementarity of capacities. Where gaps are encountered, action will be taken in terms of raising the capacity of members of the consortium and by creating relations to potential new strategic partners. The SE Monitoring Wheel[18] will be used as tool in this monitoring effort with the effect to secure the potential added value of SE is attempted to be measured.
Main responsible: SE Component Coordinator based on inputs from the Component Coordinator and PCC members.

4. Financial management

Financial resources are transferred to the component's **Finance & Administrative Unit** semi-annually or need based. The Quick Book accounting system forms the basis of the financial monitoring and on a quarterly basis each participating organisation send financial reports to the Unit and SE.
Partners are working close together in the component's 4 Working Groups. Individual accounts will be established where funds not exceeding Kshs. 500,000 for the Working Group is deposited. It is to be a stand-alone account where bank statements can be accessed by another 2nd or 3rd individual. Direct payments will to be done to service providers whenever necessary. For the ease of the Secretariat's accounting, the team leaders for the WG will be submitting monthly bank statements to the Secretariat. Detailed procedures are found in the Procedures Manual for the DaCCA component.
Main responsible: SE's chief accountant, the accountants from the Unit, the Component Coordinator and SE component coordinator and SE head of dept.

5.8 Component management

The DaCCA component is overall managed by **SustainableEnergy.** DaCCA is a component of SE's larger component supported by CISU 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. Below is an Organogramme showing the relationship between the different units and actors in the DaCCA component:



[18] Monitoring of the frame component, February 2017, p. 4.

DaCCA is executed and organised through a **Component Coordinating Committee (PCC)** headed by a Component Coordinator. One executive from each partner organisation participates in the Component Coordinating Committee (PCC) which meets regularly and at least twice a month. Members of the PCC constitute the **Working Groups** responsible for the component's 4 outputs: (1) Communities, (2) Advocacy & Communication, (3) Consortium and (4) Private sector. The PCC is led by a Component Coordinator who ensures a smooth coordination between the Working Groups. Moreover, on a need basis strategic partners with specific skill sets are attached to the component. Working closely together in **Working Groups** the members of the PCC design and carry out activities - based on terms of references - that will support the movement towards the overall objective of the component. A large amount of autonomy and decision-making power are provided to the PCC and participating partners.

The PCC is headed by a Component Coordinator. The PCC ensures coherence, synergy and linkages to the local government officials, and likeminded components and networks by being responsible for designs and planning of all new actions and long and short-term projects related to the 4 outputs in the component.

The Component Coordinator 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.

An important task of the PCC is to establish strong linkages to **existing CSO platforms and strategic partners** working with the devolution agenda and climate change in Kisumu, Homa Bay and Migori counties. The purposes of participating in such platforms and strategic partners 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 Platforms 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.

Attached to the PCC is a **Finance and Administrative Unit**. The Unit is an independent body but shares office with DaCCA's secretariat. The Unit handles on behalf of SE all financial transactions to activities and partners involved in implementation of the component. The Unit also works out quarterly financial statements and annual financial statement which are duly audited from an authorized auditing company and send to SE. Once a year SE chief financial officer will make a more detailed financial review of component accounts and financial procedures.

5.8.1 Outstanding component preparations

Prior to the start of the DaCCA component January 2019 preparation for the new phase will take place in cooperation with the PCC members. The following tasks will be completed from September to January 2019:

1. Revision and adjusting of the Component Document based on results of the screening process by CISU in October
2. Detailed budget designed and agreed upon with partners
3. Recruitment of the Component Coordinator and drafting of detailed terms of references for the position
4. Terms of References drafted for implementation of the 4 outputs by the Working Groups
5. New location identified and timeline decided upon for the movement of the DaCCA's head quarter.

5.9 Budget summary

Kenya budget:

		2020	2021	2022	2023
Totals		**2.561.620**	**2.513.470**	**2.535.940**	**2.022.340**
Output 1: Communities	**37%**	**865.000**	**840.000**	**857.000**	**627.000**
Staff salaries		290.000	290.000	270.000	230.000
Activities incl transport, per diem etc.		575.000	550.000	587.000	397.000
Output 2: Advocacy / Communication	**25%**	**580.000**	**578.000**	**585.000**	**445.000**
Staff salaries		225.000	225.000	225.000	185.000
Activities incl transport, per diem etc.		355.000	353.000	360.000	260.000
Output 3: Consortium	**26%**	**608.000**	**593.000**	**600.000**	**610.000**
Staff salaries		465.000	455.000	455.000	465.000
Activities incl transport, per diem etc.		143.000	138.000	145.000	145.000
Output 4: Private Sector	**13%**	**313.000**	**310.000**	**300.000**	**180.000**
Staff salaries		170.000	170.000	170.000	130.000
Activities incl transport, per diem etc.		143.000	140.000	130.000	50.000
Admin cost		**195.620**	**192.470**	**193.940**	**160.340**
Audit		30.000	30.000	30.000	30.000
Admin (7% of Output 1+2+3+4)		165.620	162.470	163.940	130.340

The budgets above are a summary of detailed programme budgets presented in annex 2. The ratio between activities and salaries are based on experiences from the first phase of the DaCCA component's cash flow and the consortium's resources.

Annex 1: Stakeholders

Migori County

Primary stakeholders	Secondary stakeholders	Peripheral stakeholders

	Stakeholder	Areas of concern Climate change related intervention	Power	Influence	Actions required to address negative influence/leverage positive influence
1	Care Kenya	The intervention supports the County governments of Migori to develop and establish sustainable climate change governance structures, policy environment and climate financing mechanisms. Entrenching the formation of Climate Change Councils right from the village to the county level.	The project works with the county government to sensitize and mobilize diverse range of climate change actors, private sector, community-based organizations, research and academia bodies, and women and youth to form coalitions that will facilitate climate change actions in the County	**Positive** Already working with government and most of the stakeholders in Environment and climate Change issues both at the community and policy levels Commands respect at the county government level and among other actors	**Implementation** Recruit as a member of the implementation network. Utilize the entry points already influenced
2	Stockholm Environment Institute (SEI)	Supports County energy planning in Kenya through Local participation and local solutions in Migori County Supports the development of county adaptation plans	Provides technical backstopping to both the county government and communities and other stakeholders on Adaptation plans and energy planning	**Positive** Working with county government of Migori and some stakeholders in Energy planning and Adaptation plans development process.	**Implementation** Recruit as a member of the network. Utilize the entry points already influenced
3	Sony Sugar Company	- Afforestation - Construction of access roads - Control of air emission	It is looked upon by both the County Government of Migori and communities on environmental matters within the sugarcane growing areas, May support or disrupt interventions	**Positive** Through partnership with county government and by contributing into a kitty, it has influence over the county government on resource allocation to environment and climate change by	**Policy** Use it to support the development of county climate change policy **Implementation** Recommend Sony sugar as a member of the climate change intervention

			depending on its interest	the county government. **Negative** Sugarcane farming reduces land under forest cover	and confer responsibility to implement interventions within the sugar cane growing areas
4	USAID-KIWASH	- County water resource mapping - Water security planning - Sub-catchment protection - Afforestation - MUS water system (mini irrigation using solar system	Has signed MOU with the county government of Migori to support environment and climate change related interventions targeting water resources Has pumped a lot resources into supporting the county government in environment and Climate change.	**Positive** Already working with government and most of the stakeholders in Environment and climate Change issues both at the community and policy levels. Has high influence on government and other stakeholders	**Implementation** Recruit as a member of the implementation network. Utilize the entry points already influenced
5	GIZ ENDEV	- Reduction in deforestation - Reduction in emission - Livelihoods for local economy	Has brought resources into the county. commands respect from the county government Capacity builds county government staff.	**Positive** Already working with government and most of the stakeholders in Environment and climate Change issues both at the community and policy levels. Has high influence on government and other stakeholders.	**Implementation** Link to target community groups to strengthen afforestation. Utilize the entry points already influenced
6	Rongo University	- Courses on climate change and global warming - Establish CBOs to enlighten community on environmental issues - Afforestation programs - 5Participation on E6nvironmental day cel7ebrations	Provides technical backstopping to both the county government and communities and other stakeholders on environment, natural resource and climate change issues Chairs the County Environment and Natural resource management Forum/network.	**Positive** Already working with government and most of the stakeholders in Environment and climate change issues both at the community and policy levels. Has high influence on government and other stakeholders	**Implementation** Recruit as a member of the network. Utilize the entry points already influenced

7	Send a Cow	- Installation of energy saving stoves - Facilitation of spring protectio11n and training on 12watershed management - Establishment of community tree nurseries - Trainings on establishment of fruit trees - Promotion of organic farming - Training on climate smart vegetable gardening methods -	Provides direct support to the community on areas related to climate change	**Positive** The community groups being supported can act as entry point	**Implementation** The community groups being supported can act as entry point into the communities.
8	ECAS Kenya	- Capacity development	Does consultancy jobs for the county government	**Positive** The research information on climate change and public participation and budget making **Negative** Has little influence on government and the community	**Policies and actions** Use to provide technical backstopping for policy issues for the component where appropriate
9	KEFRI	- Rehabilitation of degraded areas - Research on forest policy and livelihood issues - Sustainable management of forests - Training of stakeholders in forestry and related issues - Develop technologies in forestry and related issues	A member of the county Environment and Natural resource management platform/network Provides technical back stopping to the county government, other stakeholders and the community	**Positive** Research information on forestry and climate change Supports policy processes in the county.	**Policies and actions** Use to provide technical backstopping for actions for the component where appropriate

		- Promotion of agroforestry activities - 8Increasing tree cover on on farms - Supply of high quality tree seeds/ germplasm			
10	C-MAD	- Promoting climate smart agriculture - Integrated Soil fertility management - Promote appropriate technology and labour saving technologies in household vegetable production - Promoting enterprises integration and diversifications	Has worked with county government before, Is working some communities currently	**Positive** Has links with department of agriculture Has links with communities	**Actions/implementation** Use the community groups to pitch appropriate actions desired by the component Use the community groups as community entry points.
11	KFS	- Carbon sequester - Carbon stocking - Climate amelioration - Awareness on climate change mitigation	Supports in all the gazetted forests in the county and supports the county government to maintain the un-gazetted forests	**Positive** Has good working relationship with the county government.	**Actions** Use the leverage the linkage to have county government support community actions and create an enabling environment for the component **Policies** Use KFS influences to drive the policy agenda within the county government
12	County Department of Agriculture	- Soil and water conservation - Irrigation - Sustainable land management technologies	Has the mandate to deal with all matters agriculture in the county	**Positive** Supports sound agricultural production activities	**Actions** Use the convergence of actions a point to promote public participation

		- Promotion of climate / drought tolerant crops and varieties	Works closely with the department of environment Is a member of the County environment and natural resource management platform/forum/network	Is keen on conservation agriculture **Negative** Occasionally does make policy directions without the input of the stakeholders	Hold the department to account within the county Environment and Natural resource management Platform/Forum/ Network **Policies** Identify existing policies that are supportive or support the development of relevant policies to commit the actions of the department
13	County Department of Water	- Water harvesting - Use of green energy for pumping (solar, wind)	Has the mandate to deal with all matters water services and water resource management Is a member of the County environment and natural resource management platform/forum/network	**Positive** Supports water resource conservation and ensure water services Is keen on sub catchment protection **Negative** Occasionally takes short cuts in making policy directions and does not involve stakeholders appropriately	**Actions** Use the convergence of actions a point to promote public participation Hold the department to account within the county Environment and Natural resource management Platform/Forum/ Network **Policies** Identify existing policies that are supportive or support the development of relevant policies to commit the actions of the department
14	County Department of Finance and Economic Planning	- Monitoring of mainstreaming of climate change in the components and projects and plans	Holds the docket to finance and budgeting	**Positive** Supports budgetary allocation to government projects and components	**Actions** Use the convergence of actions a point to promote public participation

			Monitors the county government projects and components Is a member of the County environment and natural resource management platform/forum/network	Monitors government projects and components **Negative** Occasionally takes short cuts in budget making process	Hold the department to account within the county Environment and Natural resource management Platform/Forum/ Network **Policies** Identify existing policies that are supportive or support the development of relevant policies to commit the actions of the department
15	County Department of Energy	- To increase tree cover - Promotion of clean energy	Holds the docket to for energy Monitors the use of clean energy in the county Is a member of the County environment and natural resource management platform/forum/network	**Positive** Supports clean energy use in the county Monitors the use of clean energy in the county **Negative** Occasionally takes short cuts in policy making process Use a lot of resources fighting for publicity the expense of service to the citizens	**Actions** Use the convergence of actions a point to promote public participation Hold the department to account within the county Environment and Natural resource management Platform/Forum/ Network **Policies** Identify existing policies that are supportive or support the development of relevant policies to commit the actions of the department
16	County Department of Environment	- Afforestation - Disaster risk management - Water resource protection	Has the mandate to deal with all matters environment and climate change	**Positive** Leads policy processes and makes departmental annual plans and the	**Actions** Use the convergence of actions a point to

			Is a co-chair of the County environment and natural resource management platform/forum/network	sector component within the CIDP. Is keen on environmental protection and climate change adaptation **Negative** Occasionally takes short cuts in making policy directions and does not involve stakeholders appropriately	promote public participation Hold the department to account within the county Environment and Natural resource management Platform/Forum/ Network **Policies** Identify existing policies that are supportive or support the development of relevant policies to commit the actions of the department
17	KMD	- Provision of daily, weekly, monthly and seasonal weather forecast for informed decision making - Early warning for severe and extreme weather conditions - Disseminate and provide advisory	Disseminate and provide advisory on weather Is member of the county environment and natural resource management platform/forum/network	**Positive** Provides advisory to the county government on weather issues	**Actions** Climate information to guide interventions for the component
18	Migori County Natural Resource Management platform/forum/Network	- Climate Change policy development process - Disseminate and provide advisory - Monitoring of mainstreaming of climate change in the components and projects and plans	The county's think tank on environment, Natural Resource management and climate Change A platform that holds to account stakeholders on their role towards environmental protection, Natural Resource management and climate Change adaptation	**Positive** Provides advisory role to the county government on matters environment, Natural Resource management and climate Change	**Policies** An avenue to develop and push through policies that favour the component; demand for county government's commitments towards service to the citizens in the area of environment, Natural Resource management and climate Change **Actions**

			Provide technical backstopping to the county		A platform to creating a movement for the rights of citizens to services from the county government
19	NURU	- Promotion of agroforestry - Support farmer enterprise -	Works with dairy farmers and support afforestation	**Positive** An entry point into the community	**Actions** Leverage the opportunity to strengthen the community voices and Action
20	World Vision Kenya	FMNR is a low-cost land restoration technique used to combat poverty and hunger amongst poor subsistence farmers by increasing food and timber production and resilience to climate extremes in the two target counties.	Is already working the county government on Natural Resource management and climate Change Has heavily invested into the county's environment resource management sector Is a key member of the County Natural Resource Management Network	**Positive** Already working with government and most of the stakeholders in Environment and climate Change issues both at the community and policy levels Has high influence on government and other stakeholders	**Actions** Recruit as a member of the implementation network. Utilize the entry points already influenced

Stakeholders Homa Bay

	Stakeholder	**Areas of concern** **Climate change related intervention**	**Power**	**Influence**	**Actions required to address negative influence/leverage positive influence**

1	World Vision Kenya	FMNR is a low-cost land restoration technique used to combat poverty and hunger amongst poor subsistence farmers by increasing food and timber production and resilience to climate extremes in the two target counties.	Is already working the county government on Natural Resource management and climate Change Has heavily invested into the county's environment resource management sector Is a key member of the County Natural Resource Management Network	**Positive** Already working with government and most of the stakeholders in Environment and climate Change issues both at the community and policy levels Has high influence on government and other stakeholders	**Actions** Recruit as a member of the implementation network. Utilize the entry points already influenced
2	Sukari Industries Sugar Company	- Afforestation - Construction of access roads - Control of air emission	It is looked upon by both the County Government of Homabay and communities on environmental matters within the sugarcane growing areas, May support or disrupt interventions depending on its interest	**Positive** Through partnership with county government and by contributing into a kitty, it has influence over the county government on resource allocation to environment and climate change by the county government. **Negative** Sugarcane farming reduces land under forest cover	**Policy** Use it to support the development of county climate change policy **Implementation** Recommend Sony sugar as a member of the climate change intervention and confer responsibility to implement interventions within the sugar cane growing areas
3	Homabay citizens Association	- Budget tracking - Awareness creation and sensitization - Civic education	- Budget tracking - Awareness creation and sensitization - Civic education	**Positive** Provide a platform for the community groups to present their issues Carries out budget tracking and monitoring of county government projects. **Negative** Confrontational approach sometimes	**Action** Use the platform to pitch community issues the county government has ignored despite sensitization Use the platform to engage the county

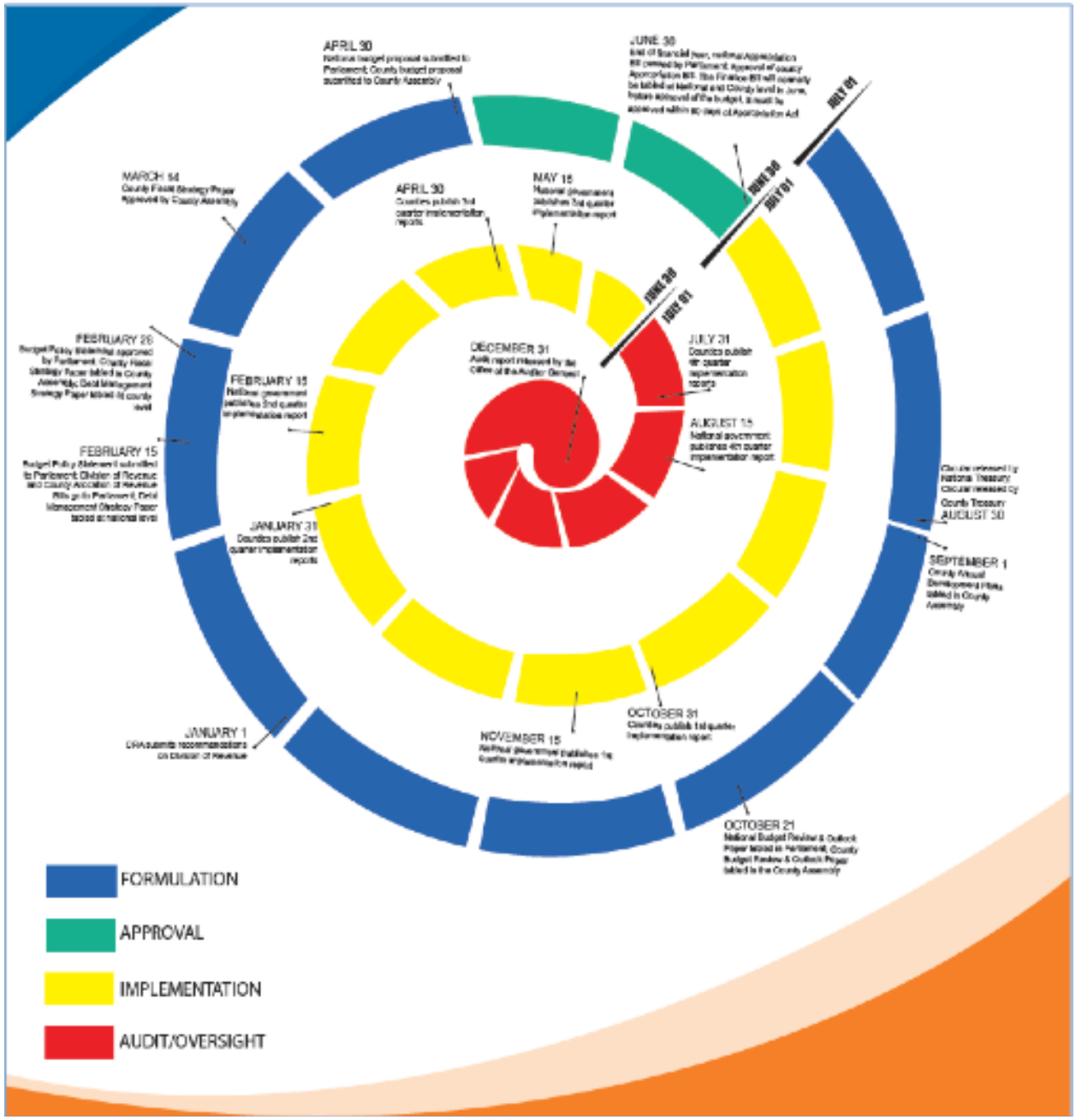
				create a wedge between its members and the county government and other groups	government on how they can engage the platform in dialogue with the
4	County Department of Agriculture	- Irrigation - Sustainable land management technologies - Promotion of climate / drought tolerant crops and varieties	Has the mandate to deal with all matter's agriculture in the county Works closely with the department of environment	**Positive** Supports sound agricultural production activities **Negative** Occasionally does make policy directions without the input of the stakeholders	**Actions** Use the convergence of actions a point to promote public participation **Policies** Identify existing policies that are supportive or support the development of relevant policies to commit the actions of the department
5	Rachuonyo Environment Network	- Afforestation - Diversification of agricultural production - Livelihoods for local economy - Cooperative for farmers		**Positive** Provides a platform which can be used for actions on environment and climate change	**Actions** Used to create a sub county dialogue platform with county government on community climate change actions
6	CREPP	- Supporting Community Dialogue committees - Promoting adoption of energy saving jikos - Promoting climate smart agriculture -		**Positive** Already implementing DACCA component activities in central Karachuonyo ward	**Actions** Use the CCAAPs to rally community groups around the issues the county government should address.
7	Tom Mboya University	- Courses on climate change and global warming - Establish CBOs to enlighten community on environmental issues	Provides technical backstopping to both the county government and communities and other stakeholders on environment, natural resource and	**positive** Already working with government in Environment and climate change issues both at the community and policy levels.	**Implementation** Recruit as a member of the network. Utilize the entry points already influenced

			climate change issues		
8	SusWatch	- Supporting Community Dialogue committees - Budget tracking - Supporting community action plans		**Positive** Works with both the county government to develop county climate change policy Works with the Community groups to develop Community Adaptation Action Plans (CAAPs)	**Policy** Use the CAAPs to present communities adaptation plans into the county adaptation plans Use the ward budget committees to mainstream climate change issues into the county budget
9	AGRISS	- Climate Smart Agriculture Installation of energy saving stoves - Establishment of community tree nurseries - Promotion of organic farming - Training on climate smart vegetable gardening methods		**Positive** Works with farmers group on Training on climate smart vegetable gardening methods Provide information through research on climate smart vegetable gardening methods	**Policy** Use the evidence from research to influence policy direction **Action** The farmers network used as entry point into the community groups
10	Umande Trust	- Promoting safi cookers – cookers using ethanol - Working with BMUs to promote WASH at fish landing beaches -		**Positive** Already implementing DACCA component activities in central Karachuonyo ward	**Actions** Use the CCAAPs to rally community groups around the issues the county government should address.
11	OSIENALA	- Supporting Community Dialogue committees - Promoting adoption of energy saving jikos		**Positive** Already implementing DACCA component activities in central Karachuonyo ward	**Actions** Use the CCAAPs to rally community groups around the issues the county government should address.

		- Promoting household solar lighting - Promoting private public partnership -			
12	KEFRI	- Rehabilitation of degraded areas - Research on forest policy and livelihood issues - Sustainable management of forests - Training of stakeholders in forestry and related issues - Develop technologies in forestry and related issues - Promotion of agroforestry activities - Increasing tree cover on farms - Supply of high quality tree seeds/ germplasm		**Positive** Research information on forestry and climate change Supports policy processes in the county.	**Policies and actions** Use to provide technical backstopping for actions for the component where appropriate
13	KFS	- Carbon sequester - Carbon stocking - Climate amelioration - Awareness on climate change mitigation		**Positive** Has good working relationship with the county government.	**Actions** Use the leverage the linkage to have county government support community actions and create an enabling environment for the component **Policies** Use KFS influences to drive the policy agenda within the county government

14	C-MAD	- Promoting climate smart agriculture - Integrated Soil fertility management - Promote appropriate technology and labour saving technologies in household vegetable production - Promoting enterprises integration and diversifications		**Positive** Has links with department of agriculture Has links with communities	**Actions/implementation** Use the community groups to pitch appropriate actions desired by the component Use the community groups as community entry points.
15	County Department of water and Environment	- Afforestation - Disaster risk management - Water resource protection - Water supply servises		**Positive** Leads policy processes and makes departmental annual plans and the sector component within the CIDP. **Negative** When it takes short cuts in making policy directions and does not involve stakeholders appropriately	**Actions** Use the convergence of actions a point to promote public participation **Policies** Identify existing policies that are supportive or support the development of relevant policies to commit the actions of the department
17	Suba Environmental Education Kenya (SEEK)	- Afforestation - Disaster risk management - Water resource protection - Environmental education	- Working grassroot groups and individual citizens on environmental conservation.	**Positive** Working with grassroots groups, Participates in Community Climate Change adaptation action plans	**Action** Use of the Community Climate Change adaptation action plans to help mainstream climate change into county budget Use the partners as community entry points for the component.

Annex 2: Annual budget calendar



Annex 3: Result Framework

<table>
<tr><td>Kenya output 1.2</td><td colspan="4">Men and women from communities are strengthened to be able to identify, plan, present and negotiate climate change adaptation interventions with Local authorities at the meso-level (Ward and Sub-county).</td></tr>
<tr><td rowspan="2">Output indicator 1.2.1</td><td colspan="4">12 Community Adaptation Action Plans (CAAPs) including best practice models developed and have been negotiated with local authorities.</td></tr>
<tr><td colspan="4">Baseline: 4 community plans have been developed and 2 have been negotiated for funding from LAs and various community funding modalities. Little support has been granted.</td></tr>
<tr><td rowspan="2">Targets</td><td>Year 1</td><td>Year 2</td><td>Year 3</td><td>Final year</td></tr>
<tr><td>3 New CAAPs developed.
Gender mainstreamed in CAAPs and in implementation of interventions.
2 CAAPs negotiated with LAs.</td><td>5 New CAAPs developed
2 negotiated with LAs.
2 CAAPs have obtained funding.
Best practices demonstrated and included in annual budgets</td><td>4 New CAAPs negotiated and have obtained funds from LAs climate finances and/or with co-funding</td><td>Best practices demonstrated and included in annual county budgets</td></tr>
<tr><td rowspan="2">Output indicator 1.2.2</td><td colspan="4">Communities understanding of their rights to be involved in LA budget hearings according to the Public Participation as embedded in the Constitution of Kenya (2010) has been strengthened</td></tr>
<tr><td colspan="4">Baseline: Little knowledge of the Public Participation Act in general. 2 Community Dialogue Committees have been established in Kisumu and Homa Bay and have participated in public hearings advocating for CC adaptation projects.</td></tr>
<tr><td rowspan="2">Targets</td><td>Year 1</td><td>Year 2</td><td>Year 3</td><td>Final year</td></tr>
<tr><td>10 Community Dialogue Forums (CDFs) formed with respect to gender sensitive structures of representation.
10 CDFs trained to present CAAPs developed by clusters of communities (Ward based).</td><td>10 CDFs trained in PPA and participate in public meetings.
CDF recognised by LAs as community representatives in CC issues.</td><td>Close links established between CSOs (and CDFs) and LAs during budgeting.</td><td>Continuous discussion and involvement of CDFs on climate change issues and devolution issues
CDFs are effective and report back to communities regularly.</td></tr>
<tr><td rowspan="2">Output indicator 1.2.3</td><td colspan="4">Demonstration of best practices / adaptation projects are co-financed by the programme, communities and available community funding mechanisms (CDF etc.)</td></tr>
<tr><td colspan="4">Baseline: Components (draught resistant seeds) in 2 CAAPs in Kisumu are financed by community development funds.</td></tr>
<tr><td>Targets</td><td>Year 1</td><td>Year 2</td><td>Year 3</td><td>Final year</td></tr>
</table>

	4 projects identified, planned and budgeted for CAAPs	*2 new CAAPs and best practice projects negotiated and funded.*	*4 new CAAPs and best practice projects implemented and identified for upscaling*	*4 Identified Best practice –projects are up-scaled*

Kenya output 2.2	Through advocacy campaigns and demonstration of best practices, LAs recognise CSOs and Community Dialogue Forums (CDFs) as legitimate partners and CAAPs as valuable inputs for budget prioritisation.			
Output indicator 2.2.1	CDFs are invited by LAs for discussion of best practice projects for climate adaptation			
	Baseline: Best practice adaptation projects identified by communities and Community Dialogue Forums are trained to present CAAPs in Kisumu and Homa Bay. LAs are trained and they understand the needs of communities. Advocacy strategy developed in Kisumu and HB.			
Targets	Year 1	Year 2	Year 3	Final year
	Advocacy issues identified. Advocacy strategy developed in Migori based on analysis of political context, stakeholders and identification of targets for campaigns. *At least 2 Trainings conducted for CDFs and LAs*	*CAAPs are developed, and best practices identified for upscaling in Migori.* *CDFs are recognised as legitimate partners to negotiate CC projects in Migori*	*CAAPs and best practices for upscaling negotiated for funding in Migori County*	*Formal structures for consultations between CDFs and LAs established.* *Implementation of best practices has benefitted youth, women and men. Monitoring and review of the progress made*
Output indicator 2.2.2	CDFs are recognised as close partners for LAs in implementing the counties' climate change policy and strategy			
	Baseline: Climate change policy drafted and endorsed in Kisumu. The CC policy has been drafted in HB. CDF established in Kisumu and HB counties. Climate Change policy process in Migori initiated.			
Targets	Year 1	Year 2	Year 3	Final year
	Climate change policy drafting process is funded in collaboration between the programme and HB County.	*A CC policy and bill is drafted in Migori* *The programme advocates continuously for establishment of*	*Implementation of projects.* *Strategic DaCCA funding have been used to attract additional funding from the county*	*Projects implemented and demonstrates new and sustainable practices benefitting both youth, women and men.*

	MoU on drafting of CC policy in Migori	*a funding modality for financing of climate change best practice projects and livelihood interventions*	*government and other financial sources.*	

Kenya output 3.2	The PCC leads the programme and collaborates with communities, CSO networks, strategic partners dealing with CC and devolution and with County authorities at all levels. The collaboration increases the impact of the programme and leads to mutual capacity building.			
Output indicator 3.2.1	Management of the consortium pursued and joint planning of cooperation with strategic partners and LAs done.			
	Baseline: The PCC meets regularly for planning of collaborations, advocacy campaigns, plans for Working Groups, and cooperation with strategic partners.			
Targets	Year 1	Targets	Year 1	Targets
	Capacity building and peer learning are continuous. Advocacy strategies revisited. *The PCC supports the establishment of the new consortium in Migori.*	*Collaborations with county administrations.* *Support continues to Migori consortium and LA officials. Advocacy strategy developed in Migori.*	*Advocacy campaigns designed to support the dialogue between communities and LAs in Migori through CDFs*	*DaCCA II in Migori accepted and consulted by Migori county in climate change issues.*
Output indicator 3.2.2	Collaboration with strategic partners has increased the DaCCA programmes credibility and position as a knowledge hub and trusted on climate change issues, budget tracking and climate finances.			
	Baseline: TI-Kenya involved as strategic partner. The PCC is trained on climate finance governance and the role of devolved government.			
Targets	Baseline (year 1)	Targets	Baseline (year 1)	Targets
	Training on budget tracking, monitoring of projects continues in DaCCA II. *Additional strategic partners involved.*	*The new consortium in Migori trained in climate change governance and the role of the county government(s).* *The LA officials in Migori are trained.*	*The PCC and Migori county officials advocate for climate change finances for understanding the possibilities with climate finances (GCF and the Adaptation Fund)*	*A formal structure for consultation with the LAs established with the DaCCA programme. DaCCA is regularly consulted to present CAAPs and community related issues for*

				the Migori county administration.
Output indicator 3.2.3	The DaCCA programme and likeminded CSO Networks are recognised as important actors by LAs. LAs and CSOs have regular meetings on climate change and related issues.			
	Baseline: The programme and LAs exchange views and have regular meetings on climate change issues. Networks have been supported in Kisumu.			
Targets	Year 1	Targets	Year 1	Targets
	A Network is established in Homabay consisting of the DaCCA partners and other CSOs from the county involved in CC and devolved government *Existing CSO networks reinforced* *The network is supported by the programme.*	*The Network expands from Kisumu and HB to Migori.* *Joint advocacy campaigns are implemented.*	*The network supports the CSOs in all 3 counties (and beyond) to lobby and influence the Annual Budget Development processes by actively participating in CIDP and public hearings.*	*The DaCCA network is recognised by other stakeholders as a key player when it comes to CC and devolved government.*

Kenya output 4.2	Collaboration with the private sector results in MoUs and increased engagement in solutions benefitting the communities.			
Output indicator 4.2.1	Dialogue and regular meetings are held between communities, PS and the PCC.			
	Baseline: A formal agreement has been established between the SHS company d.light and the DaCCA programme. The engagement has led to the establishment of more than 200 Solar Home Systems in Kisumu and HB counties.			
	Year 1	Year 2	Year 3	Final year
Targets	*PS support explored and mapped.* *10 PS actors identified, and sign of interest indicated.* *First meetings set up and joint capacity building implemented.*	*At least 2 PS engage with communities in CC livelihood technologies*	*At least 2PS realizes the benefit of working together with communities.* *Relevant products are marketed benefitting communities e.g. water tanks, irrigation pumps, farming*	*Implementation continues and supported by PS.*

			equipment, Solar systems etc.	