GUIDELINES FOR
ESTABLISHING A COUNTY CLIMATE
CHANGE FUND (VERSION 1 JULY 2018)

BY VICTOR ORINDI, CED HESSE, YAZAN ELHADI, MUMINA
BONAYA, JANE KIIRU AND KIMBERLY ASAWO

NDMA

ADA consortium
ACRONYMS .................................................................................................................. 3
Section I- Introduction to the CCCF Mechanism ................................................................ 5
1 ABOUT THE GUIDELINES .............................................................................................. 6
2 STRENGTHENING COUNTY PLANNING IN LIGHT OF THE CHANGING CLIMATE .................................................................................................................. 6
   2.1 The need for CCCF ........................................................................................................ 6
   2.2 Genesis of CCCF .............................................................................................................. 8
   2.3 Link to development planning at county level .............................................................. 12
3 KEY ELEMENTS OF A COUNTY CLIMATE CHANGE FUND (CCCF) MECHANISM14
   3.1 County Climate Change Fund ...................................................................................... 14
   3.2 Climate Change Planning Structures at Ward and County Levels ................................. 15
   3.3 Integration of Climate Information Services (CIS) and other participatory planning approaches into adaptation decision-making .......................................................... 18
   3.4 Monitoring and Evaluation of Adaptation: ................................................................. 20
   3.5 Key principles and operational features of the CCCF mechanism ................................ 25
Section II- Key steps in establishing CCCF mechanism ......................................................... 31
4 ESTABLISHING A COUNTY CLIMATE CHANGE FUND (CCCF) .................................... 32
   4.1 Awareness creation and stakeholder consultation on opportunities provided by CCCF ................................................................. 32
   4.2 Development of a legislative framework for the CCCF mechanism .............................. 33
   4.3 Strengthening legal understanding ................................................................................. 33
   4.4 Nature of costs associated with this stage ...................................................................... 37
5 ESTABLISHING CLIMATE CHANGE PLANNING COMMITTEES ..................................... 38
   5.1 Awareness creation and sensitization of local communities and other stakeholders........ 38
   5.2 Election and vetting of committee members ................................................................. 41
   5.3 Capacity Building for the climate change planning structures ...................................... 42
   5.4 Nature of costs associated with this stage ...................................................................... 45
6 INTEGRATION OF CLIMATE INFORMATION AND OTHER PARTICIPATORY APPROACHES INTO ADAPTIVE DECISION MAKING ......................................................... 45
   6.1 Development of a County Climate Information Services Plan (CCISP) ......................... 45
   6.2 Nature of Costs associated with this component ............................................................... 47
7 MONITORING AND EVALUATION OF ADAPTATION ..................................................... 48
   7.1 The TAMD framework ................................................................................................... 48
   7.2 Nature of Costs associated with this component ............................................................... 49
## ACRONYMS

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADA</td>
<td>Adaptation Consortium</td>
</tr>
<tr>
<td>ADS-E</td>
<td>Anglican Development Services Eastern</td>
</tr>
<tr>
<td>ALDEF</td>
<td>Arid Lands Development Focus</td>
</tr>
<tr>
<td>ASAL</td>
<td>Arid and Semi-Arid Lands</td>
</tr>
<tr>
<td>CAF</td>
<td>County Adaptation Fund</td>
</tr>
<tr>
<td>CCA</td>
<td>Climate Change Act</td>
</tr>
<tr>
<td>CCCF</td>
<td>County Climate Change Fund</td>
</tr>
<tr>
<td>CCCTC</td>
<td>County Climate Change Technical Committee</td>
</tr>
<tr>
<td>CCCPC</td>
<td>County Climate Change Planning Committee</td>
</tr>
<tr>
<td>CCCSCC</td>
<td>County Climate Change Steering Committee</td>
</tr>
<tr>
<td>CCD</td>
<td>Climate Change Directorate</td>
</tr>
<tr>
<td>CCPC</td>
<td>Climate Change Planning Committees</td>
</tr>
<tr>
<td>CDM</td>
<td>County Directors of Meteorology</td>
</tr>
<tr>
<td>CDC</td>
<td>County Drought Coordinator</td>
</tr>
<tr>
<td>CDPO</td>
<td>County Development Planning Officers</td>
</tr>
<tr>
<td>CEC</td>
<td>County Executive Committee</td>
</tr>
<tr>
<td>CIDP</td>
<td>County Integrated Development Plans</td>
</tr>
<tr>
<td>CIS</td>
<td>Climate Information Services</td>
</tr>
<tr>
<td>CO</td>
<td>Chief Officer</td>
</tr>
<tr>
<td>COG</td>
<td>Council of Governors</td>
</tr>
<tr>
<td>CRM</td>
<td>Climate Risk Management</td>
</tr>
<tr>
<td>DDP</td>
<td>Deepening Democracy Programme</td>
</tr>
<tr>
<td>EDE</td>
<td>Ending Drought Emergencies</td>
</tr>
<tr>
<td>EE</td>
<td>Executing Entities</td>
</tr>
<tr>
<td>GCF</td>
<td>Green Climate Fund</td>
</tr>
<tr>
<td>GIS</td>
<td>Geographic Information Systems</td>
</tr>
<tr>
<td>GoK</td>
<td>Government of Kenya</td>
</tr>
<tr>
<td>IGAD</td>
<td>Intergovernmental Authority on Development</td>
</tr>
<tr>
<td>IIED</td>
<td>International Institute for Environment and Development</td>
</tr>
<tr>
<td>KMD</td>
<td>Kenya Meteorological Department</td>
</tr>
<tr>
<td>Abbreviation</td>
<td>Description</td>
</tr>
<tr>
<td>--------------</td>
<td>-------------</td>
</tr>
<tr>
<td>KSG</td>
<td>Kenya School of Government</td>
</tr>
<tr>
<td>MDNKOAL</td>
<td>Ministry of State for the Development of Northern Kenya and Other Arid Lands</td>
</tr>
<tr>
<td>MPND</td>
<td>Ministry of Planning and National Development</td>
</tr>
<tr>
<td>MRP</td>
<td>Monitoring Reporting and Verification Plus (MRV+)</td>
</tr>
<tr>
<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
</tr>
<tr>
<td>NAP</td>
<td>National Adaptation Plan</td>
</tr>
<tr>
<td>NCCAP</td>
<td>National Climate Change Action Plan</td>
</tr>
<tr>
<td>NCCRS</td>
<td>National Climate Change Response Strategy</td>
</tr>
<tr>
<td>NCF</td>
<td>National Climate Fund</td>
</tr>
<tr>
<td>NDA</td>
<td>National Designated Authority</td>
</tr>
<tr>
<td>NDC</td>
<td>Nationally Determined Contribution</td>
</tr>
<tr>
<td>NDMA</td>
<td>National Drought Management Authority</td>
</tr>
<tr>
<td>NEMA</td>
<td>National Environment Management Authority</td>
</tr>
<tr>
<td>NFFCC</td>
<td>National Framework Policy on Climate Change</td>
</tr>
<tr>
<td>NIE</td>
<td>National Implementing Entity</td>
</tr>
<tr>
<td>PFMA</td>
<td>Public Finance Management Act</td>
</tr>
<tr>
<td>PLA</td>
<td>Participatory Learning and Action</td>
</tr>
<tr>
<td>PPAD</td>
<td>Public Procurement and Asset Disposal</td>
</tr>
<tr>
<td>PVCA</td>
<td>Participatory Vulnerability and Capacity Assessments</td>
</tr>
<tr>
<td>RA</td>
<td>Resilience Assessments</td>
</tr>
<tr>
<td>MID-P</td>
<td>Merti Integrated Development Programme</td>
</tr>
<tr>
<td>RM</td>
<td>Resilience Mapping</td>
</tr>
<tr>
<td>SIDA</td>
<td>Swedish International Development Cooperation Agency</td>
</tr>
<tr>
<td>StARCK+</td>
<td>Strengthening Adaptation and Resilience to Climate Change in Kenya</td>
</tr>
<tr>
<td>TAMD</td>
<td>Tracking Adaptation and Measuring Development</td>
</tr>
<tr>
<td>TNA</td>
<td>Training Needs Assessment</td>
</tr>
<tr>
<td>ToC</td>
<td>Theories of Change</td>
</tr>
<tr>
<td>UNFCCC</td>
<td>United Nations Framework Convention on Climate Change</td>
</tr>
<tr>
<td>WCCPC</td>
<td>Ward Climate Change Planning Committees</td>
</tr>
<tr>
<td>WOKIKE</td>
<td>Womankind Kenya</td>
</tr>
</tbody>
</table>
Section I- Introduction to the CCCF Mechanism
1 ABOUT THE GUIDELINES

County Climate Finance is a mechanism through which counties can create, access and use climate finance to build their resilience and reduce vulnerabilities to a changing climate in a more coordinated way.

These guidelines provide an overview of the County Climate Change Fund (CCCF) mechanism in Kenya. The mechanism is meant to facilitate channelling of climate finance to vulnerable communities through county governments. The primary objective of these guidelines is to inform county governments interested in establishing a devolved climate finance mechanism of the principles and components of the CCCF mechanism, and the process by which it may be established. The guidelines consist of two sections: Section (Chapters 1-3) provides an introduction to the CCCF mechanism including its core principles, the four components and their design features; and Section II (Chapters 4-7) sets out the key steps for establishing the mechanism as well as the major cost drivers.

The guidelines are based on over 6 years’ experience of the Adaptation “Ada” Consortium’s work with the five county governments of Garissa, Isiolo, Kitui, Makueni and Wajir that jointly covers 29% of Kenya’s land area and approximately 4 million people. It is informed by over 82 community prioritised public good investments funded at a cost of KES 1 Billion (£7.4M). Even though the design features were largely informed by the dryland context in which the work was piloted, it is expected to evolve as the work is scaled out to new agro-ecological zones and socio-economic contexts in Kenya. Innovations that have emerged such as performance based budgeting and mechanism for inclusion will be included going forward. Key achievements that the toolkit is drawing lessons from include the enactment of CCCF legislation at county level that improved coordination of climate change activities and ensured budgetary allocation, development of county Climate Information Services (CIS) plans for enhanced access and use of climate information and, investment in priority adaptation interventions across the counties that contributes to resilience building.

2 STRENGTHENING COUNTY PLANNING IN LIGHT OF THE CHANGING CLIMATE

2.1 The need for CCCF

Climate change poses significant challenges to Kenya’s socio-economic development due to the fact that livelihoods and key economic activities depend on climate sensitive natural resources. In recognition of this, Kenya has put in place national level policies and strategies to address climate change starting with the National Climate Change Response Strategy in 2010; National Climate Change Action Plan, 2013; National Adaptation Plan (2015), Nationally Determined Contribution (2015), Climate Change Act (2016) and National Framework Policy on Climate Change (2018). The five-year development strategies used for implementing the Vision 2030 -

---

1 A more detailed step by step guidance that includes training and reference materials is in preparation.
Medium Term Plans II and III integrates climate change to ensure sustainable development. The next step is to support county governments to domesticate and implement these policies and strategies going forward.

The establishment of the Green Climate Fund (GCF) and its commitment to direct 50% of its anticipated annual fund of USD100bn by year 2020 to vulnerable countries for climate change adaptation offers significant opportunities for Kenya to invest in her low carbon climate resilient development pathway to meet both domestic and international climate change commitments. The stream of funding from GCF will be in addition to pre-existing multi-lateral and bi-lateral climate funds. Climate vulnerable countries that demonstrate capacity to channel these funds to the most vulnerable and drive climate resilient economic growth, while demonstrating strong fiduciary standards will be best placed to tap into these opportunities to deal with climate change at national and sub-national levels.

Many developing countries are opting for the direct access modality of accessing funding from the GCF. Direct access modality enables governments to improve the public finance management and have full control over the programming spending of resources in line with national priorities and policies. While significant progress has been made at the national level including putting in place institutional arrangements to access funding from international to the national level, very little attention is being paid to developing mechanisms through which climate funds could be channelled from national to sub-national and vulnerable communities where the finance is most needed.

The work on county climate change fund piloted across five counties in Kenya is therefore meant to fill this gap. It focuses on supporting counties to become future executing entities (EE) with all the necessary fiduciary standards.

County governments are key actors for supporting climate resilient development. First, implementation of many of the climate change

---

**BOX 1: COUNTY GOVERNMENT FUNCTIONS**

- Agriculture
- County Health Services
- Control of air pollution, noise pollution, other public nuisances and outdoor advertising
- Cultural activities, public entertainment and public amenities
- County transport
- Animal control and welfare
- Trade development and regulation
- County planning and development
- Pre-primary education, village polytechnics, home craft centres and childcare facilities
- Implementation of specific national government policies on natural resources and environmental conservation
- Firefighting services and disaster management
- Control of drugs and pornography
- Ensuring and coordinating the participation of communities and locations in governance at the local level

interventions falls within their core mandate and responsibilities. County governments are responsible for agriculture, county planning and development, control of air pollution, noise pollution and other public nuisances, implementation of national policies on natural resources and environmental conservation, county public works and disaster management among others. Box 1 provides full details. These activities are fundamental to climate change adaptation and building the resilience of communities. Second, climate change adaption interventions differ from place to place and are highly context specific. County governments are therefore well positioned to understand the diversity and complexity of local ecosystems and economies as well as the needs and priorities of local communities. Third, climate change adaptation requires effective coordination between various actors with different mandates and interests. County governments have the legitimacy and convening power to coordinate, co-finance and engage with stakeholders that include national level institutions, development partners, civil society and private sector institutions within their jurisdiction.

Article 19 of the Climate Change Act, 2016 obligates county governments to mainstream climate change actions into county government functions set out in the act and the National Climate Change Action Plan. The CCCF mechanism with its four inter-related components enables mainstreaming of climate change in county planning and budgeting.

2.2 Genesis of CCCF

The County Climate Change Fund (CCCF) previously known as the County Adaptation Fund was initially piloted in Isiolo County Kenya in 2012/13 under the leadership of the then Ministry of State for the Development of Northern Kenya and Other Arid Lands (MDNKOAL) with support of the Ministry of Planning and National Development (MPND), Kenya Meteorological Department (KMD), Resource Advocacy Programme (RAP) and the International Institute for Environment and Development (IIED). This was in recognition of the fact that Arid and Semi-Arid Lands (ASALs) in Kenya were already being impacted negatively by the changing climate and had to put systems in place to respond to felt impacts even as they waited for national level policies and strategies to be operationalized.

---

2 Isiolo County Adaptation Fund report 2014 and good practices under UNFCCC Nairobi Work Programme on vulnerability Impacts and adaptation to climate change.
3 Funding was provided by UKAID, CORDAID and Oxfam-GB.
In 2013, the initial pilot in Isiolo was extended to a further four counties (Garissa, Kitui, Makueni and Wajir) implemented through the Adaptation Consortium (Ada) funded by UKAID through the Strengthening Adaptation and Resilience to Climate Change in Kenya (StARCK+) programme. Consortium members included CARE International in Kenya, Christian Aid, IIED and UK Met together with county partners Anglican Development Services Eastern (ADS-E) in Kitui and Makueni, Arid Lands Development Focus (ALDEF) in Wajir, Resource Advocacy Programme (RAP) in Isiolo and Womankind Kenya (WOKIKE) in Garissa.4

Since 2013, the Adaptation Consortium has been supporting the five county governments to mainstream climate change in planning and to be climate finance ready using the CCCF mechanism. The CCCF mechanism consists of four elements namely a county climate change fund; climate change planning structures at county and wards levels; integration of participatory planning tools including climate information services, resilience and vulnerability assessment, resource mapping, and; participatory monitoring and evaluation of adaptation initiatives. Chapter 3 below provides further details on each of these elements. Establishing CCCF requires enactment of legislation by the county assembly or regulation by the executive against which the fund and related climate change planning structures are anchored. The process of developing the legislation must be participatory with draft CCCF bills subjected to inputs by stakeholders through public hearings before they are finalised and presented for enactment. Wajir, Garissa and Isiolo have CCCF Acts passed by the respective county assemblies while Makueni and Kitui opted for CCCF Regulations which are created through executive orders. Through the legal instruments, counties ensure that climate change planning structures are in place.

Box 2: CCCF Legal Instruments – major similarities and differences across counties

**Similarities:**
- Climate change planning structures at county and ward levels with apex structure at the county chaired by the governor except for Garissa where it is chaired by a CEC.
- Provides for participatory planning and equitable gender representation in the planning structures.
- The Acts/regulations commits a % of development budget to CCCF kitty.
- Can be capitalised from various sources including budgetary allocation, private sector, foundations, international climate finance.
- All monies received in the CCCF kitty but not spent at the end of financial year are ring-fenced for use in subsequent years.

**Differences:**
- Three (Isiolo, Garissa and Wajir) have Acts enacted by county assemblies while two (Kitui and Makueni) have regulations based on the Public finance management Act, 2012.
- Minimum percent of development budget allocated to CCCF (Isiolo, Garissa, Wajir at 2% while Kitui and Makueni 1%).
- Allocation ratio of investment and administrative funds.
- Makueni and Garissa have a board chaired by a nominee from outside government to manage the funds while the counties of Garissa, Isiolo and Wajir have secretariats.
- The CCCFs have indeterminate lifespan except for Kitui which is 10 years.
- Isiolo has a complaints mechanism provided for in the legislation.

---

4 CARE-Kenya and RAP left the Consortium in 2015 and 2018 respectively.
commit a minimum percent of their development budget to CCCF that ensures sustainability of funding, effective coordination of climate change activities and quality assurance of the mechanism. The CCCF Acts/Regulations provides a basis for counties acting as executing entities to receive funding from national/global sources. Box 2 highlights major similarities and differences across the five counties.

While the CCCF legislations are aligned to the Public Finance Management Act, 2012, Climate Change Act, 2016 and anticipated provisions in the draft National Climate Change Fund, there will be a process of updating and harmonizing them over the next couple of years based on experience and new realities as part of the upscaling process.

Figure 1 below highlights key timelines and achievements of the Ada consortium in implementing the CCCF mechanism.
**Figure 1: Key timelines and achievements**

<table>
<thead>
<tr>
<th>Year</th>
<th>Achievements</th>
</tr>
</thead>
</table>
| 2010-12 | • Inception, design and piloting of County Adaptation Fund in Isiolo  
• Planning committees election, vetting and training  
• Tools for resilience assessments and resource mapping designed and tested |
| 2013 | • First round of 23 public good investments completed  
• Upscaling of Isiolo pilot to four additional counties of Garissa, Wajir, Kitui and Makueni to establish proof of concept  
• Kitui County Climate Information Services Plan established |
| 2015 | • Makueni County Climate Change Fund Regulations passed  
• Twenty 2nd round public good investments in Isiolo County  
• CCCF (ex-CAF) cited by UNFCCC as a good case study for linking national and local level adaptation planning under the Nairobi Work programme on Impacts, Vulnerability and Adaptation  
• Ada wins the Outstanding International Collaboration award by British Expertise International Awards  
• Kenya’s NAP cites Ada as a good example and prioritizes need for devolved climate adaptation and financing to be scaled up as part of NAP implementation. |
| 2016 | • Forty Public good investments in Isiolo, Wajir, Makueni, Kitui and Garissa  
• Wajir County Climate Change Act, 2016 passed  
• Isiolo Livestock strategy developed  
• Isiolo community radio goes live |
| 2017 | • Ada Learning design  
• Wajir County Climate Information Services Plan in place  
• Installation of meteorological observation equipment  
• NAP Global Network sNAPshot features CCCF as a good example of domestic public finance for ensuring greater predictability of funding for adaptation |
| 2018 | • Second round of public good investments in Makueni and Wajir  
• Isiolo, Makueni and Garissa CIS plans validated and launched  
• Isiolo, Kitui and Garissa CCCF legislations enacted  
• Support to integration of CIS in CIDPs in Makueni, Isiolo, Kitui and Wajir  
• Proof of concept established for ASAL counties and NDMA include scale-out of CCCF mechanism in their 5-year strategy  
• CCCF prioritised as part of NCCAP and NDMA Strategic Plan for 2018-2022  
• CCCF featured as a good practice for replication by IGAD/NDMA Ending Drought Emergency Initiative |
2.3 Link to development planning at county level

The Ministry of Devolution and Planning in collaboration with the Council of Governors issued guidelines in 2017 to inform the development of the second-generation County Integrated Development Plans (CIDPs). The guidelines provide for uniformity in structure and content areas, enhance harmony and provides a basis for monitoring and evaluating CIDP outcomes. CIDPs provide the basis for appropriating public finance and are meant to ensure effective coordination of government and stakeholders to develop plans that respond to local needs and priorities.

CIDPs are expected to have been developed in a participatory and inclusive manner and address environmental sustainability. The CCCF mechanism by virtue of its strong emphasis on involvement of communities in decision making goes a long way in complementing and strengthening participation and integrating climate change concerns in planning and budgeting. This is critical for ensuring that the counties keep to the low carbon climate resilient development pathway chosen by that Kenya.

The five pilot counties with functional climate change planning structures have witnessed improved participation of community members in the CIDP process. Communities through their ward climate change planning committees provided input into the 2018-2010 CIDPs based on their deliberations and resolutions on priority issues as a community (see details in the next section on climate change planning committees).
The CCCFs legislations are aligned with the Public Finance Management system. The responsibility of managing the CCCFs largely rests with the CEC in charge of finance as provided for in the Public Finance Management Act, 2012; uses public procurement as provided for under Public Procurement and Asset Disposal Act, 2015 with innovations such as getting climate change planning committees involved in the process and subjected to audit to ensure compliance. During the pilot phase, the seed money provided by the development partners for adaptation investments had to be held and managed by Ada consortium partners acting as Agents of the county governments. This is shifting towards being fully integrated into the county government system as the CCCF structures become fully operational.
3 KEY ELEMENTS OF A COUNTY CLIMATE CHANGE FUND (CCCF) MECHANISM

As piloted in Kenya, the key elements of a County Climate Change Fund mechanism consist of the following components – see Figure 3.

- The fund itself which is anchored in the CCCF legislations as well as Climate Change Act, 2016 and Public Finance Management Act, 2012
- Climate change planning structures at county and ward level that makes decision on how the fund is used
- Participatory planning tools including climate information services for pertinent investments and,
- Participatory monitoring and evaluation.

**Figure 3: components of the CCCF mechanism**

The section below describes each of these components of the CCCF mechanism.

3.1 County Climate Change Fund

The CCCF is a public fund under the discretionary authority of the county government with the necessary fiduciary standards to ensure accountability and transparency. The fiduciary standards are informed by public finance management policies and international best practices. As public funds, the CCCFs can be capitalised from various sources such as county budgetary allocation, national climate fund, in-country bi-lateral and multi-lateral donors and international climate funds. It is anticipated that the counties will be able to draw down resources from global climate funds once they demonstrate the capacity to plan and utilize funds to respond to climate change.

The CCCFs are designed primarily to finance local adaptation. In this respect, majority - currently 70% of the CCCF is earmarked to finance ward-level investments, 20% for county-level investments and 10% assigned for the running costs. The 70:20:10 split is informed by the need...
to empower vulnerable communities to make decisions and come up with more pertinent public good investments. This ratio is likely to change based on the learning the consortium is carrying out currently with the 10% likely to be a minimum sum that allows for local realities. Climate Change Planning Committees mobilise communities to identify, prioritize and oversee implementation of climate change interventions. The 20% address issues that go beyond particular wards for example development of climate related policies and strategies. The 10% operation fund is shared at a ratio of 90:10 between ward and county level committees to ensure they accompany the process of identifying and overseeing implementation of priority interventions. This ratio may also change in the light of on-going learning.

As at the time of writing these guidelines, the funds are divided equally among wards, rather than according to population density or vulnerability – see Table x below presenting the key operational features and premises underpinning CCCF mechanism. The equal division of funding for adaptation was informed by the arid and semi-arid environment in which the CCCF mechanism was initially designed. In these areas, characterized by high climate variability, communities are mobile and typically access local public goods such as water or forest resources across different ecological and administrative boundaries. This design feature is likely to change as the mechanism is adapted to different agro-ecological zones and socio-cultural contexts and as evidence from learning is integrated into its further development.

Fiduciary standards and safeguards are described in the CCCF procedures manual which was developed in consultation with the climate change planning committees at county and ward levels (see below), finance and project management specialists, which is then certified by an auditor as meeting donor standards while being consistent with the public finance management standards. The manual details requirements for reporting, monitoring and evaluation, and accountability and is the basis for the development of regulations/procedures to operationalise the CCCF legislations.

3.2 Climate Change Planning Structures at Ward and County Levels

Climate Change planning committees at both county and ward levels play a critical role in strengthening adaption planning by providing linkages between county governments planning and local communities who ought to benefit from implementation of plans. A generic CCCF structures is provided in figure 4 below.
Composition and role of Ward Climate Change Planning Committees

Representative Ward Climate Change Planning Committees (WCCPC) are responsible for the identification and prioritisation of investments in local public goods that strengthen the adaptive capacities of communities. WCCPC consists of 11 members representing the different settlements or locations within the ward, different livelihood groups, representatives of women, youth and community based organization active in the area. The Ward Administrator serves as an ex-officio member and provides the necessary linkage with county planning and development processes at the ward level. Using the administrative funds at their disposal (i.e. their share of the 10% of the CCCF allocated for administration), WCCPCs conduct participatory assessments of a community’s vulnerability or resilience to climate hazards and future climate change. These assessments are then used by the WCCPCs through community consultation process to prioritise
investments in public goods whose costs fall within their budget envelope and which meet the funding criteria that promote climate resilient growth and adaptive livelihoods (see Box 3 below).

**Box 3: Prioritization criteria at ward and county level**

Two sets of criteria are used to prioritize CCCF investments at ward and county levels (i.e. 90% of the total CCCCF envelop):

**Strategic criteria which refer to those conditions essential to building resilience.** These criteria include:

- Focuses on public goods that benefit a large number of beneficiaries, including women and young people.
- Supports the economy, livelihoods or important services on which many people depend.
- Enhances resilience to climate change (adaptation) and, where possible, propose mitigation measures. A Resilience Investment menu is used to guide the nature of eligible investments.
- Encourages harmony and builds social relations between people to foster peace.
- Must not have a negative impact on the environment.
- Must meet county development priorities that integrate climate change.

**Technical criteria which refer to those conditions central to ensuring the successful implementation of the investment.** These criteria include:

- A realistic and achievable work plan including the type of technical support required for implementation where appropriate.
- Evidence of stakeholder consultation including cross-boundary consultation where appropriate.
- Value for money and modalities for the sustainability of the achievements.
- A theory of change and M&E plan to track beneficiaries and achievement of objectives and benefits.
- Evidence the project is not duplicating other investments planned by county/national government or other actors.

These criteria are to be used in conjunction with the other sections under the investment menu highlighted in the National Climate Change Action Plan and National Adaptation Plan. These criteria are to be used in conjunction with investment menu which is under development.

A key feature of the CCCF is that communities work from a known budget thereby promoting active involvement of beneficiaries in prioritization of public good investments for resilience building. Each ward committee is allocated a set budget that represents an equal share of the overall budget allocation earmarked for ward-level investments (i.e. 70% of the CCCF). Providing ward committees with a known budget against which to prioritise investments encourages a more effective and participatory planning process. Committee members consider options and weigh up the costs and benefits of different investments against the CCCF funding criteria and arrive at a consensual decision. It encourages active participation by committee members, as they know that their chosen priorities will be funded as long as they meet the fund’s criteria and fall within their budget allocation. This is a major factor of motivation. And it supports more careful planning as committee members know they will be held accountable for their choices.
Composition and role of County Climate Change Planning Committees

The prioritised investments are submitted for review to the county-level climate change planning committee (CCCPC) (or Steering committee in the case of Garissa) composed of representatives from the ward committees, county and national governments, private sector and non-governmental organisations (NGOs). The CCCPC does not have authority to reject WCCPC prioritised proposals if the strategic criteria (see Box 3) are met. They are expected to provide additional technical support to the WCCPC, and work together to strengthen their proposals and ensure they meet the technical criteria. Once approved, WCCPCs then negotiate and sign contracts with service providers based on phased payments from the CCCF and guided by the Public Finance Management Act, 2012; Public Procurement and Asset Disposal Act, 2015 among others.

This process of decision-making enables local people, through their ward committees, to remain in control of their development and adaptation priorities in keeping with the provisions of the Constitution and the County Governments Act. Critically, higher levels of government cannot veto, but only work to strengthen, ward-level proposals. Furthermore, ward committees by managing the tendering process, which is often open to political and economic abuse, are better able to ensure, and account for, the good use of their allocation of the CCCF. This builds local accountability and transparency.

County-level climate change planning committees are responsible for prioritising investments in public goods that benefit the county as a whole. These investments are funded from the 20% allocation of the CCCF and might include projects that support the dissemination of climate information services, or the provision of marketing or veterinary services. County-level investments can also include the development of county legislation to devolve authority for the management of public goods such as the rangelands to recognised community-based organisations better placed to ensure their good governance that is crucial for building adaptive capacity.

In addition to the ward and county climate change planning committees, counties may have additional layers such as a steering committee and/or boards (as in the case of Garissa and Makueni) to provide strategic direction in the management of the fund. The number of structure will vary from one county to another depending on the context and who needs to be part of the process. Overall, it should not be a heavy structure that introduces unnecessary cost.

3.3 Integration of Climate Information Services (CIS) and other participatory planning approaches into adaptation decision-making

Appropriate, relevant and timely climate information is critical to enable county and ward planning committees prioritize and design investments that build resilience to a changing climate. Climate information provided by the Kenya Meteorological Department (KMD) is integrated into the participatory vulnerability and resilience assessments (PVCA) or resilience assessments (RA) carried out by WCCPCs to ensure prioritised investments take into account current and future climate
risks. County Directors of Meteorology (CDM) play a key role in institutionalising climate information services (CIS) at county level. They are standing members of key decision-making for a county climate change planning committee responsible for ensuring WCCPC proposals specifically addressing climate change and uncertainty. They are also responsible for the development of County CIS plans – a strategy for improving the observation network and facilitating the two-way communication on weather and climate information between the Meteorological Department and county actors (see CIS toolkit for details). Dissemination of CIS products such as forecasts and updates has been delivered through a number of channels that include radio, bulk SMS, CIS Intermediaries and extension officers. This has seen significant improvement in terms of reach and relevance of information provided to end users (see for example testimony of one of the users in Makueni in Box 4.

Participatory planning tools such as Resilience Assessments and Resource Mapping [used in Isiolo, Garissa and Wajir] and Participatory Vulnerability and Capacity Assessment (PVCA) [used Makueni and Kitui] are critical for ensuring that community views are captured and inform planning. These tools are used by climate change planning structures to enable local people, differentiated by age, gender, wealth, and livelihood type, to further express the rationale underpinning their livelihood systems, and describe those factors that strengthen their adaptive strategies and capacities. The onus is on enabling a bottom-up process of dialogue which though facilitated by government planners is controlled by the community. In addition to a self-assessment of the current factors supporting or constraining resilience, the participatory planning approaches

---

5 See Participatory Vulnerability and Capacity Assessment good practice guide and Resilience Assessment Toolkit for details.
encourages local people to reflect on those factors likely to grow in significance under climate change (e.g. increased variability, shifts in seasons, increased temperatures).

The resilience assessment process adopted a different scale to that used by other vulnerability assessment tools, which often use the household as their unit of analysis and subsequent level of intervention. In the Ada case, the assessment is first conducted at the level of the local economy in recognition that individual households’ capacity to lead productive and resilient livelihoods is highly dependent on the state of the wider economy. This has been borne out by the resilience assessment process that confirmed, for example, that a thriving livestock sector improved livelihoods not only for those with livestock but also for those without who were able to get employment (e.g. as hired herders or attendance in dry season wells).

Three counties of Garissa, Isiolo and Wajir are arid and heavily dependent on livestock keeping while Kitui and Makueni are semi-arid with a mix of crop and livestock keeping. Appropriate land management is therefore critical for sustainability of the different agricultural strategies practiced. Despite the proliferation of statutory institutions for the management of land and the natural resource sector (forests, water, land, rangelands), in practice it is customary and local institutions that continue to underpin the manner in which people access and use natural resources. However, the lack of government recognition in some cases and enforcement of these institutions’ rules for the management of natural resources coupled with the state’s failure to enforce statutory NRM, has created conditions of open access, resulting in resource degradation, declining livelihoods and economies and conflict. This is undermining the productivity and resilience of local economies.

Participatory digital resource mapping is providing an effective tool to address this issue. The method bridges the knowledge and communication gap that exists between communities and government planners over the management of land and natural resources (water, pasture). The technique builds on conventional participatory mapping approaches using Participatory Learning and Action (PLA) methods by introducing a coordinate system which responds to a global reference grid, enabling their linkage to maps used in formal planning systems. This enables the production of geographically referenced maps of community knowledge on the location, extent and attributes of natural resources central to their livelihoods that in the eyes of government planners are legitimate and useable tools on which to develop natural resource management rules based on local practice that could be enshrined in county-level byelaws.

3.4 Monitoring and Evaluation of Adaptation:

This component is to strengthen the existing monitoring and evaluation (M&E) systems of county and national governments to track and assess whether or not the CCCF mechanism is appropriate and cost-effective for building local adaptive capacity and climate resilient development for the most vulnerable communities and groups in Kenya. The pilot project tested the appropriateness

---


and value-added of the strengthened M&E system based on the Tracking Adaptation and Measuring Development (TAMD) methodology.

As stated by UKCIP⁹, climate risk management exhibits a number of characteristics which are not necessarily unique, but do require specific consideration if monitoring and evaluation is going to be effective. These characteristics include:

- **Long timeframes**: Climate change is a long-term process that stretches far beyond the span of any programme management cycle. The real impact of climate change interventions may not be apparent for decades, therefore, how then to define and measure achievements?

- **Uncertainty about actual climate change patterns and their effects in a given locale**: it is unclear exactly how and when adverse changes will unfold, and what their consequences will be.

- **Shifting baseline data and changing contexts**: This issue is of particular interest to M&E specialists, and is related to the above two points. The normal approach to programme evaluation includes collecting baseline data against which progress can be tracked. However, climate change itself is both unpredictable and taxing on local ecosystems and populations. Comparison of pre- and post-intervention data thus loses validity.

- **Measuring non-events**: Particular adverse weather may not occur during the programme cycle, and ‘success’ may constitute stabilisation or preparedness rather than improved conditions.

- **Lack of universal indicators**: While there are clear-cut indicators for climate change itself (e.g. average global temperature), climate risk management must be grounded in the context, scale, sector, locale, and nature of the endeavour, all of which vary widely. Moreover, many aspects of climate risk management are ‘soft’ (e.g. institutional capacity, behaviour change), and for some key dimensions qualitative assessments are more appropriate or feasible. It may be difficult to aggregate community-level programme indicators to higher scales or, conversely, for national- or international-level ones to capture the effectiveness of climate risk management interventions at the individual or household level.

- **Contribution vs. attribution**: M&E approaches usually seek to demonstrate that changes can be attributed specifically to a particular endeavour: for example, that a village’s improved water security is due to a CCCF programme. However, the complexity of climate change adaptation and related interventions (often characterised by multi-sectoral nature, cross-thematic focus, and long timeframes) require a modified approach to M&E. Implementers instead need to demonstrate how their policy or programme contributes to an overall adaptation process that is largely shaped by external factors. This may require more emphasis on process and proxy indicators.

Diversity of key definitions and terms: There has been a proliferation of climate risk management terminology. Basic concepts like ‘adaptation’, ‘vulnerability’ and ‘resilience’ are being defined in different ways by different agencies. There is considerable overlap and duplication of key terms; meanwhile more specialised ones (e.g. ‘transformative resilience’) may be essential to one agency or document but poorly understood beyond it. There can also be confusion about some of the nuances (e.g. ‘adaptive capacity’ vs. ‘ability to adapt’).

Given these challenges, there are new frameworks that have emerged to particularly link climate change at the local context to the general development, planning and budgeting processes. Such M&E frameworks can help capture the diversity of local interventions and best practices that can be mainstreamed within the planning processes at national and sub-national levels. One such example is the Tracking Adaptation and Measuring Development (TAMD) framework that was used in the pilot.

3.4.1 TAMD: The approach

TAMD can be used by national and county governments, or within a programme or project to assess both institutional climate risk management (CRM) and adaptation and development outcomes. It is designed to promote thinking about outcomes and encourage longer-term thinking about resilience and climate change adaptation. TAMD is a twin-track framework that evaluates adaptation success as a combination of how well governments or institutions manage climate risks and how successfully adaptation interventions reduce vulnerability and keep development on course. It does this by:

- Generating frameworks that can be tailored to specific contexts;
- Assessing the adaptation process at multiple scales – from multiple-country initiatives to local projects; and
- Linking CRM, vulnerability and resilience, and broader human wellbeing.

The TAMD framework has a broader remit of mainstreaming monitoring and evaluation of climate change adaptation into development planning at county level; for example, in the County Integrated Development Plans; and at national level, in the National Adaptation Plan.

Kenya’s National Climate Change Action Plan 2013-2017 recommended piloting of TAMD in a number of counties where climate adaptation work was on-going so as to inform Kenya’s Monitoring Reporting and Verification Plus (MRV+) system. The MRV+ system is to be used to monitor progress and impacts of climate adaptation in Kenya; and report on the country’s obligations to the United Nations Framework Convention on Climate Change (UNFCCC). In addition, the framework tracks effects of climate risk management on development performance; and the effects of resilient development on climate policies and institutions in the long term.

TAMD is based on the top-down climate risk management track that assesses how widely and how well countries or institutions manage climate risks at all levels. Its development performance
track measures the success of adaptation interventions in reducing climate vulnerability and in keeping development on course (Barrett 2014).

Figure 5: Twin tracks of the Tracking Adaptation and Measuring Development Framework

TAMD is a twin-track framework that assesses institutional CRM on the one hand (Track 1) and measures adaptation and development performance on the other (Track 2). These processes may be linked to each other and across scales within the TAMD framework.

Figure 1 shows how the TAMD framework assesses the way in which CRM interventions (in Track 1) influence development and adaptation outcomes (in Track 2) through various processes described for each intervention in a theory of change. However, this simple ‘risk management assists adaptation’ relationship is just one among many that can be assessed. For example, TAMD can be used to evaluate an intervention’s outputs, its short-term outcomes and its longer-term impacts (Box x) within and across the two tracks, and at scales ranging from multiple countries to individual villages. Thus it can explore how adaptation and/or adaptation-relevant interventions, which have the potential to deliver ancillary adaptation benefits without being explicitly designed with adaptation in mind, contribute to better CRM and help keep development outcomes on course in the face of climate change.

10 http://pubs.iied.org/pdfs/10134IIED.pdf
The TAMD M&E framework is used to track how adaptation builds resilience and strengthens economic development\textsuperscript{11}. TAMD as a framework has the advantage of being used in different contexts and scales to assess and compare the effectiveness of interventions that directly or indirectly assist populations in adapting to climate change\textsuperscript{12}. In setting up CCCFs, focus should be on two fronts – first is helping communities through WCCPCs develop their Theories of Change (ToC) and relevant indicators for monitoring benefits from public good investments. Second, for County governments, work should focus on strengthening the existing systems to better support climate risk management which may include things like strengthening early warning systems, county planning and budgeting and county coordination.

3.4.2 **TAMD framework: how it links up with County M&E and national M&E**

There are real benefits and efficiencies for democratic planning and policy when different levels of government have a common accountability framework and a common language for measuring progress. A nationwide system of coordinated and complimentary community indicators at the local and national levels can be used by the central government to measure well-being nationally and for planning purposes.\textsuperscript{13} It can also be used to coordinate the government and other agencies working on environmental, social, economic, human health and natural resources issues nationally.

Linking indicators, data and information from the bottom to the top ensures that data is captured and is available at all levels. The data collected at the local level is aggregated into larger formal planning units and processes, allowing information to be summarized quickly for policy makers and unpacked for more careful monitoring and follow up. It empowers the local communities and organisations, builds their awareness across many facets of society including the impacts of external factors on their conditions and/or performance\textsuperscript{14} and enhances community ownership of the processes which will result in behaviour change towards sustainability values. Establishing linkages between indicators at the local and national levels enables governments to feed information generated from the communities to the national systems enhancing accountability, transparency and participation at all levels.

Bottom-up approaches, recognise the importance of additional actors other than policy makers in decision making in order to yield efficient actions on the ground. They take a lot more time and money because of the need to build consensus around the measures needed to enhance the service delivery capacity of public institutions. Top-down approaches, on the other hand, assume that


\textsuperscript{14} Germanwatch and WWF. *Institutions for Adaptation. Towards an Effective Multi-Level Interplay*. www.germanwatch.org/klima/ad-instr.htm
action blueprints developed by policy makers are translated into actions on the ground. They yield fast actions but do not include other actors in decision making creating problems at implementation stage.\(^{15}\)

Kenya’s climate change governance structures at the county and national levels play an important role in mainstreaming climate change into planning. It is therefore important to ensure that measures of adaptation benefits are linked from the county to national reporting systems.

TAMD was used at county level to identify CRM processes (Track 1) being planned by the county government under the County Climate Change Planning Committee (CCCPC) and how they would enhance the performance of the vulnerability reduction interventions (Track 2) being implemented by the community-level Ward Climate Change Planning Committees (WCCPC)\(^{16}\).

County level outcome indicators link directly to national level output indicators. A large percentage of the national indicators are taken from Vision 2030 and are relevant for adaptation because of the close alignment of adaptation with development goals. County level indicators are also linked to ward indicators. Ward indicators typically focus on higher level community conditions such as access to water and food whereas county level indicators focus on the services the county government provides; quality of the services and efficiency.

The linkages between the different climate change adaptation activities being implemented at the national, county and ward levels by different stakeholders’ point to a need for data collection and data flow. Data collection should be systemic and consistent with the data flowing from one level to the next in order to inform activities and actions. Data flow should employ efficient management processes to ensure the completeness and accuracy of data that is managed and stored at a central place accessible to all stakeholders such as NIMES and CIMES for national and county levels respectively.

### 3.5 Key principles and operational features of the CCCF mechanism

The CCCF mechanism has five core principles and eleven operational features designed to strengthen the capacity of county government, communities and their institutions, particularly for the management of natural resources, to plan and prepare for climate induced hazards and opportunities that ensures strong community participation and oversight in line with provisions within the Constitution and related policies.

**Principles underpinning the CCCF mechanism**

Table 1 presents the core principles and their premises that underpin the CCCF mechanism, and which are used to inform the operational features described here-in.

<table>
<thead>
<tr>
<th>Principle</th>
<th>Premises</th>
</tr>
</thead>
</table>

---

\(^{15}\)Germanwatch and WWF. Institutions for Adaptation. Towards an Effective Multi-Level Interplay. www.germanwatch.org/klima/ad-inst.htm

\(^{16}\)Tracking Adaptation and Measuring Development: a step by step guide
| Community-driven, bottom-up planning | • This principle is consistent with devolution policies.  
• Local people have experience, knowledge and institutions for managing climate variability and extreme weather events. For government-led adaptive development planning to deliver resilience, local perspectives and knowledge need to be recognised and their effectiveness strengthened in formal planning systems, drawing lessons on their pertinence for future climate risks,  
• Community-prioritised investments are likely to have higher pertinence, meeting local needs leading to leading to greater sustainability and value for money. |
|---|---|
| Anchored within and supportive of devolution | County governments are key actors for supporting climate resilient development: (i) Climate change adaption falls within their core mandate and responsibilities. (ii) Climate change adaption interventions require context specific responses that respond to local priorities and needs. County governments are better positioned than national government institutions to understand and respond to local diversity and community priorities. (iii) Climate change adaptation requires effective coordination between various actors with different mandates and interests. County governments have the legitimacy and convening power to coordinate, co-finance and engage with all stakeholders at national and sub-national levels.  
• Devolution policies ensure greater ownership and accountability of actors at all levels in the definition and implementation of development actions.  
• Devolution provides a “ready-made” framework to channel climate finance to sub-national governments and communities.  
• Devolution allows planning to take into account the principle of subsidiarity. |
| Flexible learning approach | Uncertainty about future climate change trends and impacts, highly differentiated effects of climate change on people, economies and environments, and dynamic nature of wider policy and political environment requires a flexible mechanism that can learn, adapt and remain “fit for purpose”. |
| Focus of investments on public goods | • In development deficit circumstances, common pool resources and collective action are important for climate adaptation purposes especially for the most vulnerable – e.g. investments in water provision, consensual rules of management of water, forests and tree products, pastures.  
• Minimizes the risk of exclusion and conflict by promoting the principle of non-rivalry and lack of access to non-excluded goods.  
• Contributes to strengthening the economy and the local environment. |
Consistent with the mandate of county governments responsible for planning and managing public funds for the delivery of services to all citizens under their jurisdiction.

Inclusion

Effective and equitable climate action for the most vulnerable requires affirmative action to address the balance of power within and between actors at different levels (within communities between genders, livelihoods and wealth groups, between communities and other actors, between different levels of governments, etc.).

- Ensures greater sustainability of investments.
- Promotes dialogue and accountability; minimises risk of conflict.
- Consistent with national principles and policies.

Table 2 below provides the key operational features of the CCCF mechanism and the premises underpinning them. The validity of the premises underpinning them are being assessed through learning, and will be modified as necessary, as well be adapted as mechanism moves to new contexts including crop-farming and urban areas.

Table 2: Key operational features and premises underpinning CCCF mechanism

<table>
<thead>
<tr>
<th>CCCF component</th>
<th>Operational feature</th>
<th>Premises</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Fund</td>
<td>90% of fund allocated for investments of which 70% prioritised by WCCPCs and 20% by CCCPCs.</td>
<td>The 70%-20% split is based on the premise that effective climate adaptation requires support to both community-driven adaptation and formal, planned government adaptation. Adaptation needs to be tailored to local context hence majority of funds allocated for prioritisation at Ward-level. <strong>NB:</strong> Specific percentage split arbitrary, but used to ensure majority of funds used for ward-level investments.</td>
</tr>
<tr>
<td></td>
<td>10% of fund allocated for operational costs of WCCPCs and CCCPCs to administer fund.</td>
<td>For planning committees to function and deliver against their mandate including ensuring their accountability, they require adequate funding over which they have independent control as defined in an operations manual. This particularly important for</td>
</tr>
</tbody>
</table>

---

27 | Page
<table>
<thead>
<tr>
<th>Ward-level committees – see WCCPCs under planning below.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NB:</strong> Percentage allocation of 10% arbitrary. Learning from pilot recommends a minimum level of funding, particularly for ward-level committees established on basis of local context (e.g. size of wards, costs of public transport, etc.).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Funds are divided equally among wards, rather than according to population density or vulnerability; and ward committees expected to consult each other to identify cross-ward investments as a “landscape” level.</th>
</tr>
</thead>
<tbody>
<tr>
<td>In ASAL environments, characterised by high climate and natural resource variability and where livestock are the dominant economic sector, communities typically access local public goods in support of their production and adaptation strategies (water, pastures, but also markets, health services) across different ecological &amp; administrative boundaries for example: resilience of pastoralists in Garissa dependent on access to pastures, water, etc. in Isiolo at certain times of the year. Furthermore, in pastoral economies investments in public good infrastructure and services that build climate resilience, particularly water for livestock, need to be located in areas with productive rangelands; these are usually found in areas with low population density. Cross-ward consultation designed to overcome limitations of using administrative units of wards as planning frameworks and promote landscape-level approaches to planning that supportive of dryland livelihood systems dependent on seasonal access to a variety of ecosystems.</td>
</tr>
<tr>
<td><strong>NB:</strong> Learning from the pilot phase suggests equal division of funds across all wards may not be appropriate in non-pastoral areas where communities are less mobile and where crop production is the basis of the local economy.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>WCCPCs and CCCPCs informed of their <strong>budgets</strong> in advance of planning.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning against known guaranteed budgets encourages a more effective, participatory, transparent &amp; accountable planning process that delivers high priority investments that benefit the vulnerable with good value for money.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Funding criteria integrated in investment menu</th>
</tr>
</thead>
<tbody>
<tr>
<td>Guide climate change planning committees in choice of investments in public goods that support climate adaptation and proofing that are in line with County guidelines.</td>
</tr>
<tr>
<td>Planning structures at County and Ward Levels</td>
</tr>
<tr>
<td>---</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>Design of</td>
</tr>
<tr>
<td>Resilience planning tools including climate information services, resilience assessments and resource mapping</td>
</tr>
<tr>
<td>---</td>
</tr>
<tr>
<td>Design of County CIS plans</td>
</tr>
<tr>
<td>Participatory Monitoring and Evaluation of Adaptation</td>
</tr>
</tbody>
</table>
Section II- Key steps in establishing CCCF mechanism

This section consists of 4 chapters giving an overview of the key steps in establishing each of the four components of the CCCF mechanism namely the fund, planning committees, climate information and other participatory planning tools and, monitoring and evaluation of resilience building. A more detailed document is in preparation and will be validated by a national stakeholder audience once results from learning on the CCCF have been fully integrated.
4 ESTABLISHING A COUNTY CLIMATE CHANGE FUND (CCCF)

There are three key steps in establishing a County Climate Change Fund (CCCF) namely:

- Awareness creation and stakeholder engagement
- Development of a legislative framework consisting of an Act or Regulations and;
- Development of operational procedures to operationalize the legislation and a resource mobilization strategy.

These are described more fully below.

4.1 Awareness creation and stakeholder consultation on opportunities provided by CCCF

Awareness creation and sensitization of the leadership and community is the very first step in setting up a CCCF mechanism. Both the county executive and legislative arm need to be sensitized to appreciate the opportunities presented by a devolved climate finance mechanism like the CCCF.

The awareness creation and sensitization process should highlight the following issues:

- Globally, there is a renewed commitment to provide climate finance to developing countries to fund adaptation and mitigation actions.
- At the national level, good progress has been made in putting in place institutional architecture to access climate finance. Included are the nomination of the National Treasury as the National Designated Authority (NDA) and accreditation of National Environment Management Authority as National Implementing Entity for the Green Climate Fund (GCF).
- The National Climate Finance Policy provides a framework for mobilising resources for climate change work. Kenya’s has also created the National Climate Change Fund that will finance priority climate change activities.
- The CCCF therefore provide a structure through which climate funds could be channelled from national to local and to the most vulnerable which is consistent with requirements of most of these funds of involving those affected by climate change in making decisions over such funds. CCCFs enables counties to become executing entities (EEs) of National Implementing Entities (NIEs) with all the necessary fiduciary standards. This ensures long-term and predictable support for County governments to effectively address climate related challenges which also require support from national and international level.

The sensitization process should also clearly explain the process that county government and other stakeholders will need to follow and the commitments they need to make to establish a CCCF mechanism highlighting the following:

- The key actors (County Executive, County Assembly, Private Sector, Public Benefit Organisations, Faith Based Organisations, Development Partners active in the county
among others) that will need to be involved in the establishing of the mechanism in the county stressing the importance of fully involving women, youth and other marginal groups.

- The level of political commitment required from county leadership including a commitment to allocate a minimum percentage of the county’s development budget to finance the process of establishing the CCCF mechanism and then its operationalization.

- The importance of mainstreaming climate change adaptation and disaster risk management into the County Integrated Development Plan, policies and strategies in order to “climate proof” all investments and support the development of a climate resilient economy.

- The need for the county government to review its planning processes to integrate both immediate and longer-term climate change, but also to commit to supporting more participatory and bottom-up decision-making as provided by the Constitution.

The first sensitization meetings should be held with the county leadership from both the executive and assembly and typically last 1 day during which additional meetings may be planned with technical officers, relevant county assembly committees, private sector and Non State Actors to go into more detail.

4.2 Development of a legislative framework for the CCCF mechanism

The CCCF mechanism must have a legal framework that it is in conformity with relevant national policies and legislations key among them the Constitution (2010), the Climate Change Act (2016), the Public Finance Management Act (2012) and the County Government Act (2012).

4.3 Strengthening legal understanding

The first step in the process is to strengthen county government and other actors’ understanding of the relevant provisions within these laws with which the process for the establishment and operationalization CCCF mechanism must comply. This includes the following:

**Constitution of Kenya (2010)**

- The Constitution entitles citizens to a clean and healthy environment.
- Addresses the financing of the activities of the two levels of government towards an equitable society based on openness, accountability and public participation in public finance management.
- Article 2017 (4) allows the creation of public funds such as the CCCF

**The Climate Change Act (2016)**

The Climate Change Act has the objective of enhancing climate change resilience and low carbon development through:
• Mainstreaming climate change responses into development planning, decision making and implementation,
• Building resilience and enhancing adaptive capacity to the impacts of climate change,
• Formulating programmes and plans to enhance resilience and adaptive capacity to impacts of climate change,
• Facilitating capacity development for public participation in climate change responses through awareness creation, consultation, representation and access to information,
• Mobilizing and transparently managing public and other financial resources for climate change response.

The Climate Change Act (2016) further specifies the following that is of relevance to the CCCF mechanism:

• Section 19(4) of the Act gives county governments power to enact legislation that further defines implementation of its obligations under the Act.

• Section 24 requires that public entities under each level of government shall at all times when developing strategies, laws and policies relating to climate change undertake public awareness and conduct public consultations.

• Section 25 creates the National Climate Fund to finance priority climate change actions and interventions.


• The Public Finance Management Act is the principal law for effective management of public finances.

• Section 116 gives counties powers to establish other county public funds like the CCCF and requires County Executive Member for Finance (CECM) Finance to propose establishment of Public Funds, such as CCCF to the county executive for approval before seeking Assembly approval. This need to be done by the County Attorney in consultation with CEC in whose docket climate change or environmental matters fall.

• The Public Procurement and Asset Disposal Act, 2015 provides guidelines on procurement and disposal of assets acquired through public funding.

The County Government Act (2012)

• The County Government Act gives effect to devolution under chapter 11 of the constitution, provides for public participation in section 87 and principles of planning and development in section 102.

• Section 5 of the Act defines the roles and responsibilities of counties.
The National Climate Change Fund regulations, 2018

- These regulations provide useful guidance in terms of governance structure, funding sources and modalities of operation which counties can easily domesticate.

Establishing a CCCF mechanism that is aligned with national policies and legislations require going through and familiarising oneself with relevant sections of these legislations.

4.3.1 Developing and passing a CCCF Act

The 2nd step is for the counties to develop their CCCF law and for this they can refer to the existing CCCF Acts from Garissa, Isiolo and Wajir and the CCCF Regulations from Kitui and Makueni. The relevant CEC and Chief Officer together with the County Attorney should lead the process. It is recommended that the team drafting the legislation seek support from the Kenya Law Reform Commission to ensure it is consistent with the national laws and policies as demanded by the constitution.

Other key activities in developing CCCF bill include:

- Preparing proposal for approval by County Executive Committee (CEC), chaired by Governor, before seeking County Assembly approval: The proposal should give:
  - full details of policy objectives, goals and benefits
  - information on financing of CCCF, how it will be funded and budget implications
  - information on what CCCF will finance, how they will be selected and role of public participation

- As much as possible, ensure full details of CCCF activities are incorporated into CIDP or annual -work plans to ensure they are budgeted for.

- Submitting the proposal to County Assembly for approval
Once approved, ensuring that CCCF forms part of county budgetary commitments followed by operationalization of the CCCF.

Once the CCCF Act has been passed, the CEC of Finance moves to operationalize it through:

- Preparing regulations for CCCF establishment, management and winding up
- Designating a fund manager for the CCCF
- Establishing a governance structure composed of management board or committee to oversee CCCF operations; steering committee to provide policy guidance, coordination and resource mobilisation and; planning structures at county and ward levels to support communities in identifying and prioritising CCCF investments and oversee implementation. Appointment of management board members should be done in such a way that they bring in wide range of experiences in finance, climate change and worst affected sectors.
- Starting the process of capitalising the CCCF from the county development budget in line with the provisions within the CCCF Act and other sources such as through the submission of proposals to the National Climate Fund, existing National Implementing Entities of the Green Climate Fund and bi and multi-lateral donors.

4.3.2 Development of CCCF operational procedures and resource mobilization strategy

An operational procedure manual should be developed to guide how the CCCF is managed. The procedure manual should include criteria such as value for money, fiduciary standards and controls and community and citizen oversight mechanisms. The procedures manual is important for the all the CCCF structures for administering, disbursing and reporting on the fund.

**Operational procedures manuals** were developed for the five pilot counties. These can be used by new counties to operationalize the CCCF Act or Regulations.

Climate change impacts are likely to get worse with time. Addressing them will require significant and predictable resources. A resource mobilization strategy is therefore necessary to guide fund raising efforts including engagement with public and private sector as well as bilateral and multi-lateral development partners. CCCFs should be designed in such a way that they can receive money from a variety of sources to finance priority climate change adaptation and mitigation actions.
4.4 Nature of costs associated with this stage

- Major costs associated with development of CCCF legislation include:
- Workshops, transport and communication costs to explain to stakeholders the CCCF mechanism.
- Workshop costs and legal fee towards development of the CCCF bills.
- Cost of public participation meetings before the bill is presented to the County assembly for debate.
- Fee for developing operational procedures and resource mobilisation strategy.
5 ESTABLISHING CLIMATE CHANGE PLANNING COMMITTEES

Key steps in establishing climate change planning committees include:

- Awareness creation and sensitisation of local communities
- Election and vetting of committee members
- Training of committee members

Details on each of these steps is described below.

5.1 Awareness creation and sensitization of local communities and other stakeholders

The quality of the county and ward level climate change planning committees are of critical importance for the successful implementation of the CCCF mechanism in support of climate resilient and equitable development. This requires ensuring the right mix of people are elected and/or appointed respecting gender, generation and other socio-economic criteria, that they are properly trained and are fully aware of their roles and responsibilities as well as wider issues pertinent to their assignment (e.g. climate change, principles of social accountability, national and county policies, etc.).

The first step in the establishment of the committees, particularly those at ward level, is conducting a wide awareness-raising and sensitization campaign to explain their strategic importance, as well as their roles and responsibilities and modalities for their establishment. The following information needs to be communicated:

- Two levels of committee – one at ward level and the other at county level working together to identify, prioritise and implement investments to strengthen community adaptation to climate change.

<table>
<thead>
<tr>
<th>Box 6: Criteria for establishment of WCCPCs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ward Climate Change Planning Committee members are elected based on the following criteria:</td>
</tr>
<tr>
<td>I. Must be of good public standing who have exhibited honesty and integrity in handling public resources;</td>
</tr>
<tr>
<td>II. Must be accountable and ready to provide feedback to the community they represent;</td>
</tr>
<tr>
<td>III. Must be committed to the development of their community, and have a good understanding of wider climate adaptation requirements at landscape level;</td>
</tr>
<tr>
<td>IV. Must be available and willing to commit their time without payment.</td>
</tr>
</tbody>
</table>
The roles and responsibilities of each committee – see Table 3 below. It is important to stress that Ward Climate Change Planning Committees (WCCPC) are responsible for leading the process of identifying and prioritizing public good investments with community members while County Climate Change Planning Committees (CCCPC) oversee the use of funds using pre-agreed strategic and technical criteria (see Box 3 on prioritisation criteria).

The composition of the committees at ward and county level – see Table 4. There are two key issues to stress with respect to the composition of the WCCPC:

The full committee is made of voting and non-voting (ex-officio) members. Voting members are those representing the community and are directly chosen by the community through a public vetting process against a set of criteria described in Box 6 – it is thus important the community understand the criteria and fully engage in the process of selection to ensure they choose their representatives carefully. Ex-officio members are appointed or co-opted officers from government and/or other organisations (CBOs, NGOs) to provide technical support to the committee. In the case of Garissa, ex-officio members with no voting rights include sub-county, ward and village administrators, chief and ward level technical representatives from line ministries. Given the presence of ex-officio members, attributes like formal education including ability to read and write need not be criteria for the election of community representatives to serve on the WCCPCs.

Committee should have fair representation in terms of the different locations and settlements, livelihood groups and gender including the youth, elderly and other special interest groups. This is to ensure that priorities and needs of the different gender are taken into account during planning and implementation.

Committee members (both voting and ex-officio) agree to work on a voluntary basis and are not paid for positions. It is important to stress the voluntary nature of the work to manage any expectations and avoid rumours that committee members personally benefit from their positions. All costs associated with the work of the committees are, however, paid from the committee’s operational fund. The nature of these costs are specified in the CCCF Operational Manual.

Ideally, this information is broadcast through local or community radio stations that have a wide reach and audience several times over several weeks and at different times to ensure as many people are reached. Ensuring appropriate times for the broadcast is important to reach certain groups such as women and youth. Where it is not possible to use local or community radios, information can be shared at community meetings (barazas) and other places where people congregate such as markets and places of worship.
### Table 3: Committees core functions

<table>
<thead>
<tr>
<th>County Climate Change Planning Committee</th>
<th>Ward Climate Change Planning Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Review prioritized and sequence projects submitted by Ward Climate Change Planning Committees based on agreed criteria;</td>
<td>• Hold consultative meetings with communities together with relevant government planners, agencies and local organizations.</td>
</tr>
<tr>
<td>• Provide additional technical support where this is needed to improve the Ward Climate Change Planning Committees proposals;</td>
<td>• Conduct participatory livelihood and local economy resilience assessments. These assessments shall enable different groups, within the wider community, to identify what improves or undermines their ability to manage challenges arising from increasing climate variability and long-term change.</td>
</tr>
<tr>
<td>• Organize inter-ward meetings to review, refine and collate proposals from wards into a County level proposal.</td>
<td>• Use the findings to prioritize and design investments that will promote climate resilient growth and adaptive livelihoods based on agreed criteria.</td>
</tr>
<tr>
<td>• Based on the agreed criteria, approve the proposals;</td>
<td>• Prepare programme and project proposals, aggregate and coordinate sub-ward resilience needs and priorities identified and prioritized through community participation.</td>
</tr>
<tr>
<td>• Identify county wide climate change needs and vulnerabilities, prepare project proposals for funding.</td>
<td>• Prioritize proposals and submit them to the County Climate Change Planning Committee for consideration and approval.</td>
</tr>
<tr>
<td>• Provide the necessary linkage between the county executive and assembly as regards the CCCF</td>
<td></td>
</tr>
</tbody>
</table>
5.2 Election and vetting of committee members

The process of establishing the different committee members are clearly spelt out in the CCCF legislations. Additionally, qualifications required to be a member are also specified and include being a resident of the county, level of education (for county level committee), relevant experience in environment, climate change or finance, distinguished career in respective field and meeting the requirements of chapter six of the constitution on leadership and integrity – see box 7 for the guiding principles.

Committee members should be elected and vetted to ensure only those with a good track record are given the responsibility of leading and managing community affairs. The election and vetting should as much as possible give a fair chance to the different livelihood groups and genders to serve in the committees. The process should respect the laws of the land and carried out in a fair manner by avoiding subjecting candidates to unnecessary scrutiny that sometimes border on intrusion on their personal lives. As such, county officers overseeing the process should be conversant with provisions of article 6 of the constitution on leadership and integrity and be neutral referees.

During the selection process, it should again be made clear that these are voluntary and not paid for positions. Table 4 below provides indication of the core membership as provided for in the Makueni County Climate Change Fund regulations and may be adapted as the situation demands.

Box 7: Guiding principles of leadership and Integrity:

(a) selection on the basis of personal integrity, competence and suitability, or election in free and fair elections;
(b) objectivity and impartiality in decision making, and in ensuring that decisions are not influenced by nepotism, favouritism, other improper motives or corrupt practices;
(c) selfless service based solely on the public interest, demonstrated by--

(i) Honesty in the execution of public duties;
(ii) the declaration of any personal interest that may conflict with public duties;

(d) Accountability to the public for decisions and actions;

and

(e) discipline and commitment in service to the people.

Source: Constitution of Kenya, 2010
Table 4: Generic composition of Steering, County and Ward Climate Change Committees

<table>
<thead>
<tr>
<th>Steering Committee</th>
<th>County Climate Change Planning Committees</th>
<th>Ward Climate Change Planning Committees</th>
</tr>
</thead>
<tbody>
<tr>
<td>i) The Governor as chairperson</td>
<td>i) Chief Officer responsible for environment as the Chairperson;</td>
<td>i) Chairperson elected by members of committee and ratified by the planning committee.</td>
</tr>
<tr>
<td>ii) CEC Finance who shall be the Vice – Chairperson</td>
<td>ii) Chief Officer responsible for finance and planning, as Vice Chairperson</td>
<td>i) Two youth representatives (both gender).</td>
</tr>
<tr>
<td>iii) Two representatives of participating Development partners</td>
<td>iii) Chief officer responsible for water;</td>
<td>ii) Two women representatives</td>
</tr>
<tr>
<td>iv) Two representatives of non-state financial supporters</td>
<td>iv) Chief officer responsible for Agriculture;</td>
<td>iii) Three representatives of the key economic activity in the ward</td>
</tr>
<tr>
<td>v) Three Representatives of Ward Climate Change Planning Committees</td>
<td>v) Three Representatives of Ward Planning Committees;</td>
<td>iv) A representative of CBOs actively operating in the ward</td>
</tr>
<tr>
<td>vi) Representatives of professionals in the county</td>
<td>vi) County Director of Meteorological Services;</td>
<td>v) A representative of organized religious groups.</td>
</tr>
<tr>
<td>vii) Representatives of Public Benefit Organisations involved in climate Change activities</td>
<td>vii) Two youth representatives</td>
<td>vi) A representative of people living with disability (PWD)</td>
</tr>
<tr>
<td>viii) CEC for Agriculture</td>
<td>viii) Two women representatives</td>
<td>xi) Ward administrator (ex-officio)</td>
</tr>
<tr>
<td>ix) CEC for Water and environment</td>
<td>ix) A representative of persons with disability</td>
<td></td>
</tr>
<tr>
<td>x) CEC for health</td>
<td>x) A representative of a faith based organisation</td>
<td></td>
</tr>
<tr>
<td>xi) Representatives of national agencies dealing with climate change such as CCD, NEMA, NDMA, KMD</td>
<td>xi) A Representative of key economic sectors in the county</td>
<td></td>
</tr>
<tr>
<td>xii) Representative of key economic actors in the county</td>
<td>xii) A representative from a county wide NGO</td>
<td></td>
</tr>
<tr>
<td></td>
<td>xiii) County Drought Coordinator</td>
<td></td>
</tr>
</tbody>
</table>

In line with principles of good governance, office bearers should serve for a reasonable period of time of not more than two terms of 3 years each and exit on a staggered basis to ensure continuity.

As indicated in Table 4 above, membership to the steering committee is by virtue of offices held and as such will not require election as is the case for the planning committees especially at the ward level. Core functions of the steering committee include policy guidance, coordination and resource mobilisation.

5.3 Capacity Building for the climate change planning structures

Ward Climate Change Committees

Most of the committee members at the ward level are chosen because of their good leadership skills and not necessarily because of formal qualifications. Training on key areas such as internal governance, financial management, and project management are therefore necessary in preparing

---

17 There are slight variations among countries for example with Garissa where chief officers sit in the board while technical officers appointed by respective CECs sit in the steering committee.
committee members to play their roles effectively. These are detailed in the CCCF procedure manuals and summary is provided below

- **Climate change, development and devolution.** The objective of this training is to provide committee members with a broad understanding of the science of climate change and the global and national institutional and financial architecture for climate mitigation and adaptation as well national and county development policy. It puts the work of the WCCPCs into a broader framework enabling committee members to better understand the strategic importance of their role and responsibilities at the local level. It also enables them to align their priorities for adaptation with those at county and national levels.

- **Internal governance.** The objective of this training is to enable members appreciate their roles and responsibilities, issues of accountability, reporting and other feedback mechanisms, social inclusion and how the committees may function in a democratic way.

- **Project cycle and financial management.** The objective of this training is to build the capacity of WCCPCs to lead and manage the project cycle process (see Figure 3 below) for identifying, prioritising and overseeing the implementation of those adaptation investments they have chosen, including the good financial management of their operational fund. The training thus strengthens their capacity to drive their own adaptation agenda with the support of the county government.

**Fig 3: CCCF project management cycle**
Each of the steps under the project management cycle is described in detail in the operation procedures manual. Key points to note are that:

- People need to be informed and given reasonable lead time to effectively participate;
- It is important to keep records of consultations;
- proposals must be developed in participatory manner and meet the pre-agreed criteria;
- Procurement of service providers must be open and transparent.

It is possible that communities will require technical backstopping and in some cases specialized in-put when developing and implementing their proposals. Measures need to be put in place to ensure that technical officers continue to provide this support as required.

**Training of County Climate Change Committee**

The county level committee is responsible for strengthening and approving proposals coming from ward level, monitoring and evaluation of CCCF investments. Members are therefore trained on project cycle management, roles and responsibilities and internal governance to ensure they understand how their roles differ and complement each other. As majority of the members are technical people working with government or NGOs, they should be familiar with some of the processes like public procurement, monitoring and reporting and may not require elaborate training like ward committees. Moreover, WCCPC representatives in the CCCPC who do not work for government or NGOs shall have received training at the Ward level.

Being a new approach to doing climate adaptation work, emphasis has been given to the Monitoring and evaluation training to ensure that the right information is captured. Using the TAMD framework, CCCPCs have been trained to develop theories of change describing how the proposed work/investments will contribute to resilience building. Other areas of focus include identification of relevant indicators and how these can feed into existing M+E systems.

Key point to note is that the relationship with ward committees should be facilitative with the county committee working to strengthen proposals coming from the wards based on their expertise and knowledge of what is planned by both national and county governments and other actors operating in the county.

As a first step, Training Needs Assessment should be carried out with committee members to determine the kind of information and level of detail required to make the committees functional. Some of the trainings are also best conducted/led by the relevant county officers. County Development Planning Officers and County Director of Meteorological services could for example lead training on planning & budgeting and climate change respectively. Other technical officers and practitioners should as much as possible be involved in developing the content to ensure relevance and inclusion of real life experiences.

Being an adult training, good amount of time should be spent in developing the content and providing the necessary facilitation aids with sessions organized to last no more than three days. Adequate amount of group work/exercises should be part and parcel of the training package.
5.4 Nature of costs associated with this stage

Major costs will be on:
- Sensitization and vetting as part of committee establishment
- Training on areas such as internal governance, financial management, proposal development and project management including M+E, leadership training. Cost include fee for resource persons, printing of training materials including manuals and meeting costs.

6 INTEGRATION OF CLIMATE INFORMATION AND OTHER PARTICIPATORY APPROACHES INTO ADAPTIVE DECISION MAKING

6.1 Development of a County Climate Information Services Plan (CCISP)

The County CIS Plan maps out how climate information can best support the county address the climate-related, socio-economic challenges it faces. The Plan specifies the types of climate information needed by different users, when they need the information, and the format and language in which it will be provided. It also sets out the roles and responsibilities of county actors and the Kenya Meteorological Department in collecting, analysing and disseminating climate related information and assessing its value in providing more informed decision making by the county government, households and other actors.

There are six key steps for developing a county CIS Plan that are listed below. Detailed information on each of the steps are found in the Climate Information Services (CIS) toolkit

1. The first step is for the County Meteorological Director (CMD) to organize a meeting with all relevant county actors to build their understanding of the roles of Kenya Meteorological Department (KMD) staff supporting decentralized climate services within the county. During this meeting the following issues are addressed: a review of the roles of the meteorological staff supporting decentralized services and the support provided by the head office; a review of the principles of developing decision-relevant climate information (see Box 8) and identifying gaps in county policies and plans and aligning them with relevant international, regional and national policies and strategies.

<table>
<thead>
<tr>
<th>Box 8: CIS guiding principles</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Provide reliable probabilistic climate information</td>
</tr>
<tr>
<td>✓ Be relevant to users' needs and gender-sensitive</td>
</tr>
<tr>
<td>✓ Be accessible</td>
</tr>
<tr>
<td>✓ Foster increased trust through developing two-way channels of communication for co-production of weather and climate knowledge</td>
</tr>
<tr>
<td>✓ Support increased understanding, strengthening appropriate communication and use of probabilistic and uncertain information.</td>
</tr>
</tbody>
</table>

18 Additional participatory approaches for adaptive decision making such as resilience assessment and resource mapping were tested but have not yet been integrated into the County planning process,
2. Following the initial awareness-raising meeting, a technical assessment of existing observation networks and data sources within the county needs to be carried out. This will include a review of the relevance and effectiveness of current climate information products such as seasonal forecasts, 10-day and daily updates. These activities are largely the responsibility of the County Meteorological Office and include reviewing and mapping the existing observation network for the county; reviewing existing climate data to produce an overview of county climatology, observed trends and current understanding of future trends and; and reviewing the CIS currently provided and the channels through which it is communicated (e.g. SMS, national or local radio, etc.).

3. The third step is for the County Meteorological Office to identify the climate information needs of key stakeholders across the County Administration and amongst the County’s principal livelihood groups through:
   a. Mapping key stakeholders across ministries, decentralized agencies and principal livelihood groups.
   b. Finding out the climate information needs of each of these key stakeholder groups through focus group discussions, household surveys, and key informant interviews.
   c. Reviewing key county policies and programmes, including the County Integrated Development Plan (CIDP), to assess how these have integrated climate issues and are aligned with national, regional and international climate and development policies and programmes, and how relevant climate information could further strengthen them.
   d. Scoping the reach of existing media channels and social networks for the dissemination of climate information, including reaching women, youth and other vulnerable groups.

4. Drafting the County CIS Plan is the next step in the process. This involves the following:
   a. Establishing County-specific goals and objectives for the CIS plan to ensure relevance to the local context and alignment with national and international policies, standards and principles.
   b. Planning what is required to ensure the observation network (e.g. rain gauges, weather stations, etc.) adequately covers the needs of the county including a maintenance plan of meteorological equipment owned by the meteorological agency and non-meteorological entities such as schools, agricultural research stations, etc.
   c. Planning the climate information which will be produced by the CMO including working with officers from across government and research institutes to source
technical input required to develop advisories that can accompany forecasts across different timescales.

d. Planning the communications strategy to ensure approaches developed are sustainable, equitable and support regular feedback.

5. Reviewing and finalizing the County CIS Plan with key stakeholders and planning implementation, monitoring, evaluation and regular review of the CCISP.

6. Implementing the plan.

For sustainability, it is important to ensure that the selected tools are relevant, affordable and implementable by county governments and builds on existing planning system.

6.2 Nature of Costs associated with this component

Major costs under this component will relate to:

- Workshops to sensitize and create awareness on the tools
- Development and roll out of CIS Plan for the county
- Training on participatory planning tools such as resilience assessments, PVCA and resource mapping
- Printing of materials
- Proposal development
- Monitoring of implementation.
7 MONITORING AND EVALUATION OF ADAPTATION

Monitoring and evaluation plays a critical role in identifying how best to reduce vulnerability and build resilience to climate change, especially when lessons learned across climate change programs are shared widely and directly inform the design of new programs at national and sub-national levels. Existing M&E frameworks are county level do not sufficiently integrate climate change and as such the CCCF mechanism piloted the Tracking Adaptation and Measuring Development (TAMD) framework (https://www.iied.org/tracking-adaptation-measuring-development-tamd).

7.1 The TAMD framework

TAMD is a flexible framework for evaluating adaptation and adaptation-relevant development interventions in diverse situations. It can be modified for different contexts and types of adaptation. The steps to implement TAMD are as follows:

- **Step 1: identify the scope and purpose of the M&E to be undertaken**: Outline potential entry points for using the TAMD framework then discuss different uses of TAMD along the adaptation-development continuum. Thereafter, outline key dimensions to consider about the adaptation context as well as address the need to identify key actors, institutions, M&E systems and data sources.

- **Step 2: Articulate a theory of change to frame and guide the M&E that is to be undertaken**: Discuss how to develop a theory of change and describes how to link targeted populations and systems, climate-related hazards and their consequences with the relevant adaptation processes and mechanisms then address how to map the theory of change across the TAMD framework. Finally, discuss how to map outputs, outcomes and impacts on the TAMD framework where relevant.

- **Step 3 – Define and construct indicators**: Defines main categories of indicators i.e. climate risk management, resilience-type, wellbeing. Address how to use CRM indicators based on existing scorecards. Discuss how to identify and construct resilience-type and wellbeing indicators and appropriate climate indices.

- **Step 4 – Measure indicators**: Discuss how to collect data on the scorecards as well as issues of sampling, baselines and data collection for resilience and wellbeing indicators. Considers how to measure and use climate indices.

- **Step 5 – Analysing and interpreting results**: Discuss how to analyse and present CRM results as well as addressing issues of attribution. This should include Identifying methods to address aggregation and issues of weighting and thresholds for resilience-type indicators as well as Identifying techniques for contextualising wellbeing indicators using climate data.

- **Step 6 – Learning**: Consider how to integrate M&E and learning into the planning cycle and identify key areas for learning from the application of TAMD.
7.2 Nature of Costs associated with this component

Major costs in this component will relate to:

- Training workshops for both committee members and technical officers in developing Theory of Change and monitoring plans
- Travel and meeting costs to participate in county planning and budgeting meetings.
- Field visits and data collection as part of M+E visits.
Key Resources


21. *Isiolo County Adaptation Fund Procedures manual*
Author and Project Information

The Adaptation (ADA) consortium is a core component of the National Drought Management Authority (NDMA) strategy and funded by the Department for International Development (DfID) and the Swedish Government. The aim of Ada is to pilot climate change adaptation planning approaches and to enhance climate resilience through provision of climate information services in the five Arid and Semi-Arid Lands (ASALs) counties (Garissa, Isiolo, Kitui, Makueni and Wajir) that, if successful, will be replicated in other ASAL counties and beyond. The consortium consist of Christian Aid working with ADS- Eastern in Kitui and Makueni, International Institute for Environment and Development (IIED) working with Merti Integrated Development Programme (MID-P) in Isiolo, WomanKind Kenya in Garissa and Arid Lands Development Focus (ALDEF) in Wajir, Met Office (UK) and the Kenya Meteorological Department (KMD).

The Guidelines draws on the Consortium work in Isiolo, Kitui, Garissa, Makueni and Wajir Counties.

Authors: Victor Orindi; Ced Hesse; Yazan Elhadi; Mumina Bonaya and Jane Kiuru

Contact

Adaptation Consortium,
Bazaar Plaza, 2nd Floor - Room B13

info@adaconsortium.org

@adaconsortium

www.adaconsortium.org

Funded by:-

[Logos of Sida and UK Aid]