

NATIONAL CLIMATE CHANGE ACTION PLAN



REPUBLIC OF KENYA

National Performance and Benefit Measurement Framework

Section D: Capacity Development Plan

November 2012

RICARDO-AEA



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Abbreviations

APR	Annual progress Report
CC	Climate Change
CDP	Capacity Development Plan
CPU	Central Planning Unit
DDO	District Development Officer
DFOs	District Fisheries Officers
DRSRS	Department of Remote Sensing
FP	Focal Point
GHG	Greenhouse gas emissions
GIS	Geographic Information System
GoK	Government of Kenya
HIV/AIDS	Human Immunological Virus/Acquired Immune Deficiency Syndrome
ICT	Information, Communication and Technology
IT	Information Technology
KARI	Kenya Agriculture Research Institute
KBS	Kenya Bureau of Standards
KCCRS	Kenya Climate Change Response Strategy
KEFRI	Kenya Forest Research Institute
KIM	Kenya Institute of Management
KNBS	Kenya National Bureau of Statistics
LAN	Local Area Network
M&E	Monitoring and Evaluation
MDAs	Ministries, Departments and Agencies
MEMR	Ministry of Environment and Mineral Resources
MET	Meteorological Department
MoE	Ministry of Energy
MoF	Ministry of Finance
MoFish	Ministry of Fisheries
MoW	Ministry of Water
MPND & Vision 2030	Ministry of State for Planning, National Development and Vision 2030
MRV	Monitoring Reporting and Verification
MTP	Medium Term Plan
NAMAs	Nationally Appropriate Mitigation Actions
NCCAP	National Climate Change Action Plan
NCCRS	National Climate Change Response Strategy
NEMA	National Environment Management Authority
NIMES	National Integrated Monitoring and Evaluation Systems
NPBMF	National Performance and Benefits Measurement Framework
QA/QC	Quality Assurance/Quality Control
SC	Sub-Component
TF	Task Force
TOC	Technical Oversight Committees
ToR	Terms of Reference
TWG	Thematic Working Group

Acknowledgments

The SC6 team from Land, Trees and Sustainability (LTS) Africa Ltd, Ricardo-AEA and Baastel, is indebted to a large number of individuals and institutions with whom they have consulted as part of this work. Organisations were consulted via the county consultations, via meetings in Nairobi and via the SC6 Stage 1 and Stage 2 workshops.

In addition, the expertise and insights provided by the NPBMF Team's Thematic Working Group and the Climate Change Secretariat has been invaluable in guiding the work.

The lead authors for this SC6 document is Maureen Wang'ati from Baastel, with input from other SC6 team members.

1. Executive Summary

In 2010, the Government of Kenya (GoK) launched its National Climate Change Response Strategy (NCCRS, currently referred to as the Kenya Climate Change Response Strategy (KCCRS). Terms of Reference (ToR) were developed by the Government in collaboration with development partners to draw up a national action plan (NCCAP) for the KCCRS. This Action Plan is expected to drive the mainstreaming of climate change (CC) across all government line ministries. This process is being led and coordinated by the Ministry of Environment and Mineral Resources (MEMR), through a dedicated Task Force and Secretariat. A National Performance Benefit Measurement Framework (NPBMF) including among other reports a Capacity Development Plan, forms part of the Action Plan's key deliverables.

This report's focus is on the Capacity Development Plan (CDP) for the NPBMF and superficially for the MRV+ System within it. Capacity Development herein refers to a set of activities that expand the scale, reach, efficiency, or effectiveness of programs and institutions/organizations. Activities may also leverage resources for programs and/or organizations.

The main purpose of the CDP for the NPBMF and MRV+ System in particular is to *identify and assess existing institutional and capacities as well as gaps at various levels, with particular attention to data generation, data processing, data analysis, data sharing, outcomes and impact level reporting, and existing infrastructural support: (i.e. computers, software databases, policy environment.*

The key objectives for the CDP are to:

- Develop a capacity development plan to enable operationalisation of this integrated monitoring and reporting framework (MRV)
- Identify tasks relevant to the integrated monitoring and reporting framework that fall outside the scope of the SC6 contract but that would be needed for its successful operationalisation
- As accurately as possible, using qualitative and quantitative methods, to determine the level of effort required to bridge the gap between existing and desired capacities for operationalizing the MRV+ system
- To propose a time-frame and possible schedule within which these capacities should be achieved, with special consideration for the relative 'newness' of climate change measurement and reporting in Kenya. To provide a summary rating (where possible) on existing capacities based on predefined criteria, for example:
- (1 -No evidence of relevant capacity; 2 -Anecdotal evidence of capacity; 3 -Partially developed capacity; 4 -Widespread, but not comprehensive, evidence of capacity; 5 -Fully developed capacity)

The main methods used to develop the plan include desk review of documents from MDAs and NSAs; case study of three MDAs, key informant interviews, meetings and workshops and internal consultations of the team.

The key findings of the CDP activity are as follows:

- a) Capacity for climate change MRV and M&E exists and is mainly located within Non State Actor institutions that make up over 70% of CC actors in Kenya and who therefore have more experience with assessment and reporting on CC outcomes for their projects.
- b) The field of MRV and M&E of CC projects is rather new and therefore this capacity has not yet evolved to the required levels.
- c) There is need for deliberate, pre-planned and budgeted capacity building and training for GoK officials especially those in the Central Planning Units

responsible for ensuring information transmission on progress and outcomes of development projects through the existing electronic M&E and financial systems of government.

- d) CC being a cross cutting theme, the new proposed MRV+ structure proposes that several staff from key MDAs and NSAs be engaged and work together within an all encompassing governance structure. The concern however is that the findings of the CDP case studies indicate that already these MDAs are operating far below required capacity both in terms of human resource numbers and also in terms of awareness and knowledge of CC measures and reporting requirements and frameworks.
- e) The myriad of electronic reporting systems already in existence within government presents a challenge for reporting on climate change outcomes in terms of accuracy and timeliness. Ownership for these electronic systems is low mainly because of concentrated efforts in Nairobi with capacity building and training on the use of these systems.
- f) Duplication of efforts and funding avenues for development projects by state and NSAs pose a special challenge to accurate and honest feedback on climate change impacts and on measuring contributions and attributing outcomes to specific interventions by specific institutions or groups.
- g) Similarly the lack of formal arrangements amongst key institutions such as MEMR, MET and MED and NEMA as well as those comprising NSAs pose potential risks for non-compliance on climate change data sharing and reporting. Loopholes in existing or proposed policies including the M&E policy and the draft Climate Change Policy need to be addressed in order to ensure the inclusion of relevant requirements for climate information compliance.
- h) Awareness of climate change indicators and reporting requirements are very low amongst both state and non-state actors. Therefore efforts to increase this knowledge through deliberate awareness raising strategies is key to building capacities in this area.
- i) A notable limitation on the CDP is the lack of budget and time for a more comprehensive study with wider coverage of climate change actors. More analysis on the capacity considerations for CC will be necessary before any meaningful conclusions can be made in this area.

In summary capacity development needs for the MRV+ System and NPBMF are:

- Human resources (number and qualifications)
- CC knowledge needs to be enhanced in terms of MRV, M&E, indicators and reporting requirements
- Interest and capacity to utilisation of electronic information management systems for inputting, analysing and reporting CC data
- Communication and collaboration mechanisms between state and NSAs including data sharing and utilization agreements
- Appropriate qualifications and skills of members engaged in the MRV+ governance structure is needed for effective implementation
- Further studies on capacity requirements are also needed to enhance the current report and provide specific solutions to the capacity development issue on CC MRV and M&E

2. Introduction

2.1 National Performance and Benefits Measurement Framework

In 2010, the Government of Kenya (GoK) launched its National Climate Change Response Strategy (NCCRS). The strategy, currently referred to as the Kenya Climate Change Response Strategy (KCCRS) recognizes the threat climate change poses to sustainable development and advocates the need to integrate climate change information into national government policy. Terms of Reference (ToR) were developed by the Government in collaboration with development partners to draw up a national action plan (NCCAP) for the KCCRS. This Action Plan is expected to drive the mainstreaming of climate change (CC) across all government line ministries. An exercise to identify requirements within each line ministry is currently underway. This process is being led and coordinated by the Ministry of Environment and Mineral Resources (MEMR), through a dedicated Task Force (TF) and Secretariat. A National Performance Benefit Measurement Framework (NPBMF) forms part of the Action Plan outputs.

A multidisciplinary team comprising three international partners namely LTS, AEA Technology (UK) and Le Group de Baastel (Belgium) was contracted in early 2012, to develop Kenya's NPBMF on Climate Change. The integrated framework under development will not only measure, report and verify (MRV) changes to greenhouse gas (GHG) emissions but will also monitor and evaluate the economic, social and environmental impacts of adaptation actions. This integrated framework will allow the Kenyan Government to ensure that actions will deliver strong co-benefits (or synergies). That is, the framework will support the Kenyan Government to maximise adaptation-mitigation synergies.

2.2 NPBMF Process

The development of a NPBMF for Kenya is a two staged process:

- i. The main objectives of Stage One NPBMF activities were to identify the building blocks for the MRV+System.
- ii. The main objective of Stage Two NPBMF activities is to design the MRV+ System

The NPBMF is unique in that it requires development of a national framework for measuring climate-change adaptation, mitigation AND synergies between these two objectives. It is noteworthy to point out that this is indeed the first ever attempt globally to develop a synergetic measurement, reporting and verification framework focusing on climate change mitigation objectives, adaptation objectives and co-benefits to development objectives. It is therefore an exciting opportunity that has potential relevance and useful insights for climate change reporting both regionally and globally.

2.3 NPBMF and MRV+ Capacity Development Plan (CDP)

2.3.1 What is Capacity Development (CD)?

CD refers to a set of activities that expand the *scale, reach, efficiency, or effectiveness* of programs and institutions/organizations. Activities may also *leverage resources* for programs and/or organizations.

For example, capacity development activities may:

- Expand services
- Enhance delivery of services
- Generate additional resources

These activities together may achieve lasting positive outcomes for the beneficiary populations, if implemented wisely.

2.3.2 What is Capacity Building (CB)?

Capacity-building is an important component of CD. It mainly focuses on building human skills and knowledge potential. However, CB is more than just training and requires both:

- Human resources development
- Institutional strengthening

The three pillars of capacity-building are widely recognized as

- Knowledge generation,
- Knowledge dissemination, and
- Informed action

Each pillar has unique capacity-building benefits, yet depends on integration with the others to be sustainable and self-replicating.

2.3.3 Purpose

The main purpose of the Capacity Development Plan (CDP) for the NPBMF and MRV+ System in particular is to *identify and assess existing institutional and capacities as well as gaps at various levels, with particular attention to data generation, data processing, data analysis, data sharing, outcomes and impact level reporting, and existing infrastructural support: (i.e. computers, software databases, policy environment)*. This is because we recognize that the development of relevant and appropriate capacities to perform the functions of the NPBMF and MRV+ System are key to its successful implementation, adoption, national ownership, current and future relevance, continued sustainability and far and wide reaching positive impacts.

2.3.4 CDP Objectives

The key objectives for the NPBMF Capacity Development Plan are to:

- i. Develop a capacity development plan to enable operationalisation of this integrated monitoring and reporting framework (MRV)
- ii. Identify tasks relevant to the integrated monitoring and reporting framework that fall outside the scope of the SC6 contract but that would be needed for its successful operationalisation

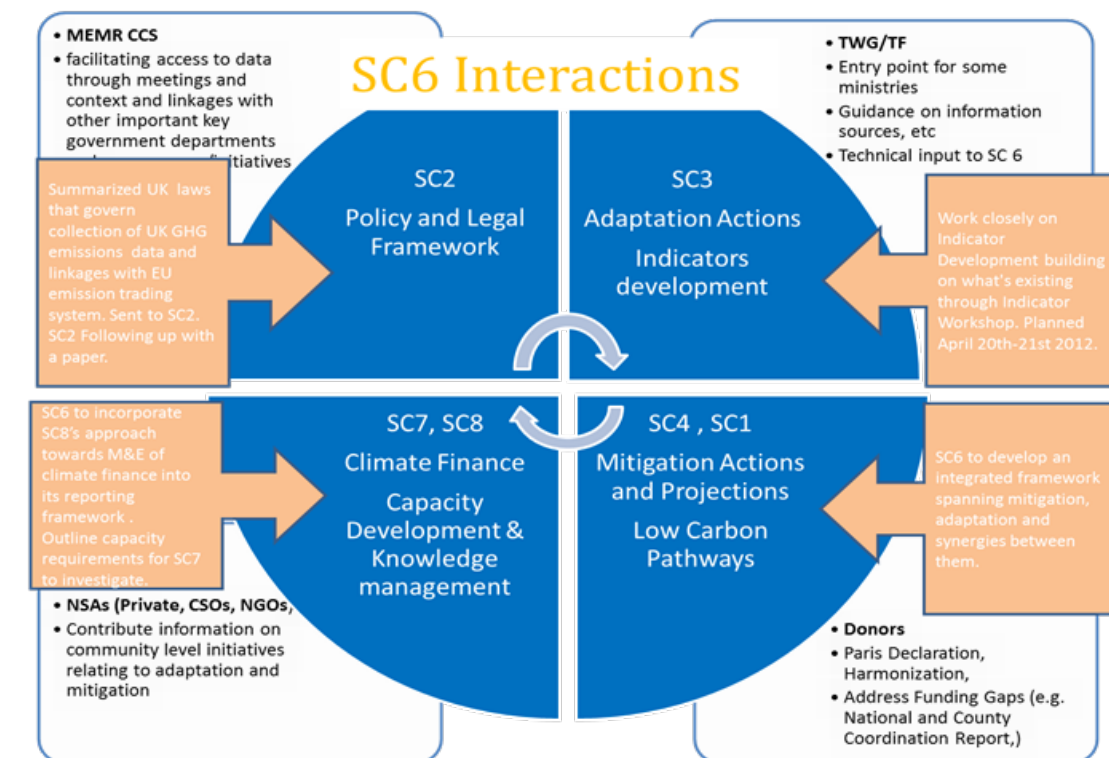
- iii. As accurately as possible, using qualitative and quantitative methods, to determine the level of effort required to bridge the gap between existing and desired capacities for operationalizing the MRV+ system
- iv. To propose a time-frame and possible schedule within which these capacities should be achieved, with special consideration for the relative ‘newness’ of climate change measurement and reporting in Kenya. To provide a summary rating (where possible) on existing capacities based on predefined criteria, for example:
- v. (1 -No evidence of relevant capacity; 2 -Anecdotal evidence of capacity; 3 -Partially developed capacity; 4 -Widespread, but not comprehensive, evidence of capacity; 5 - Fully developed capacity)

2.4 Methodology

2.4.1 Engagement with other NCCAP -SC teams

The SC 6 team’s methodology and approach in designing the NPBMF CDP strategy involved in-depth discussions and liaising with other Subcomponent teams such as SC2, whose main focus is on the identifying and defining the legal and policy requirements and implications of the NCCAP. Also, SC 7 whose main focus is on knowledge management and capacity building needs of the Action Plan. The SC 6 team consulted extensively with these two Subcomponents and others such as SC 3 on defining adaptation actions, relevant indicators ; SC4 on defining mitigation actions and relevant indicators, as well as SC7 in addressing climate finance and reporting requirements (see Figure 1).

Figure 1. Interactions between SC6 and other sub-components



2.4.2 ‘Case studies’ with selected MDAs

SC6 held in-depth interviews with a sample of MDA representatives, identified and selected mainly based on purposive, convenience sampling due to limitations of time and budget for this activity. These interviews provided case studies of relevant practice in the MDAs. The activities involved visits to key stakeholder offices including Central Planning Units of the Ministry of Environment and Mineral Resources (MEMR), the Meteorological Department (MET), Ministry of Fisheries (MoFish), Monitoring and Evaluation Directorate (MED) at the Ministry of State for Planning, National Development and Vision 2030 (MNPDP), Kenya National Bureau of Statistics (KNBS), Ministry of Livestock (MoL) and Ministry of Energy (MoE). An interview guide and checklist of questions sent to each representative in advance of the meetings helped to focus the discussions on specific information requirements of the NPBMF-Capacity Development Plan (CDP)¹. The questions were focused on assessing the human skills, knowledge, critical infrastructure, technologies, policies and legal instruments both available and required to successfully operationalise the MRV+ system and NPBMF; also to identify gaps and challenges associated with its successful implementation. The expected outcome of this method was a ‘reality check’ on the actual situation concerning existing human and infrastructural MRV and M&E capacities, requirements, gaps and opportunities so as to develop and propose relevant, practicable, capacity development approaches and strategies for the NPBMF-CDP. An assessment of key capacity opportunities and constraints was conducted for some institutions according to the information available.

2.4.3 County level consultations with LGAs and NSAs

The views of the county representatives from Local Government Agencies (LGAs) i.e. Municipal Councils, and Non State Actors (i.e. Community Based Organizations (CBOs), Academia, Non Governmental Organizations (NGOs), Private Sector, Academia) regarding the Monitoring and Evaluation capacity development have been carefully considered through reference to summary notes from six county consultations (Kisumu, Kakamega, Eldoret, Nakuru, Garissa and Mombasa) and incorporated in the analysis.

2.4.4 Meeting with Thematic Working Group

A full day meeting/workshop was held at the LTS offices in Nairobi with some key members of the SC 6 Thematic Working Group (TWG). This was part of the strategy for sharing and validating preliminary findings of consultations on the Capacity Development status of MDAs and Non State Actors (NSAs). The meeting that was attended by the TWG Coordinator from the National Environment Management Authority (NEMA) and representatives from the MoL, MEMR, Ministry of Water (MoW), KNBS, MoE and MET proved useful as most participants not only confirmed the initial findings but also invited the team to meet with them at their offices to discuss the capacity development issues in more depth. The CDP was of keen interest to workshop participants who listened attentively and offered their own views and experience with capacity development and capacity building concerns at both national and sub-national level. The SC6 team was invited to follow up consultations on the same with representatives from MET, MoE, MoL, KNBS-T21 and NEMA. The consultants gladly took up the offer and held meetings with representatives from each of these organizations. The follow up meetings helped to further refine the capacity development plan findings and recommendations.

¹See Annex 1 Interview Guide and Checklist for Capacity Development Plan Consultations

It is however regrettable that Non State Actors (NSAs) were conspicuously absent at this workshop despite invitations and several follow up attempts by the team. The NSA's contribution to the CDP is key to its future relevance and applicability. This is because they represent the vast majority (about 70%) of the climate change actors in Kenya according to MEMR studies and SC7 findings and are both the sources and consumers of Climate Change (CC) measurement data, information and reports.

2.4.5 Joint internal SC6 team consultations

The SC6 team (AEA, Baastel and LTS) have consulted closely together on the development of the CDP to promote ensure a harmonized understanding and approach with regards to MRV+ System's capacity development concerns and requirements. Joint SC6 team visits, report drafting and deliberations helped each team member to articulate relevant details as pertains to each area of focus for the Stage 2 reports, including the CDP. The results of this strategy are evidenced in the depth and quality of various outputs that together comprise the NPBMF Stage 2 report. (i.e. the Adaptation Indicators, MRV+ Systems Design, Synergies and Capacity Development Plan reports).

2.4.6 Desk review

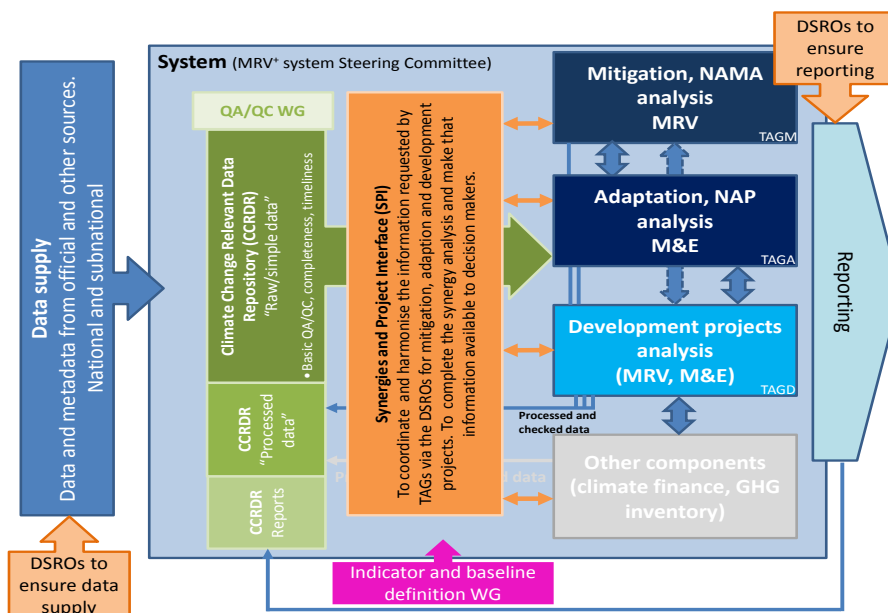
GoK-MDAs in visited provided the consultants with reference documents including the Public Expenditure Review –Policy for Prosperity 2010 report and the Third Annual Progress Report 2010-2011, amongst others. These were reviewed with specific focus on capacity development and capacity building requirements for development of appropriate measurement and reporting frameworks within government. Other M&E documents that were reviewed including an Indicator Handbook on Climate Change M&E provided by a non state actor: Care International in Kenya.

3. Key Findings

3.1 Rationale for a Climate Change MRV+ System in the Kenyan context

The focus of this report is on planning for capacity development measurement on the MRV+ system. It is however important to note that there are currently no international obligations, targets or policies with regard to climate change adaptation or to the synergies between adaptation and mitigation. However the situation may change during the implementation of the NCCAP. The GoK may decide to adopt the relevant recommendations proposed in this report that focus on developing capacities for Climate Change MRV+ System measurement and reporting in Kenya.

Figure X: MRV+ System focusing in on the relationship between the Mitigation, Adaptation and Development projects, the Synergies and Project Interface and the Project/Programme Technical Analysis Groups (TAGs)



3.2 What capacities are required to be developed for the MRV+ System?

In order to fully comprehend and appreciate the level and scope of capacity development required for successful operationalisation of the proposed MRV+ system, it is necessary to review the system’s components, and its relationship to the overall NPBMF.

Figure 2 below depicts the MRV+ system.² Its main focus and key functions as follows:

- Data Supply and Reporting Obligation Agreements (DSROAs)
- Climate Change Relevant Data Repository (CCRDR)
- Indicators and Baselines Working Group
- Data and QA/QC working Group

Components of the system that focus on particular technical areas include:

- Technical Analysis Groups (TAGs) for Adaptation (TAGA), Mitigation (TAGM), Development (TAGD) and GHG inventory (TAGGGHI)
- Synergies and Project Interface (SPI) – highlighted in Figure 3
- GHG Technical Team comprising Focal Units (FUs) and Thematic Working Groups (TWGs) for different sectors – highlighted in Figure 5.

The proposed MRV+ system is not a standalone entity. It is embedded in a wider framework (referred to as the National Performance and Benefit Measurement Framework) comprising national and county level institutions and including Non State Actors (NSAs) as data suppliers.

²The MRV+ System is described in greater detail in the Stage 1 Report

3.3 Capacity Development Indicators for the NPBMF and proposed MRV+ System

The capacity development plan process involved a rapid assessment of individual and institutional capacities using case study and other methods as cited above. The following are the main Human Resource (HR) capacity indicators and variables of interest:³

Table 1. Capacity indicators

- i. Staff qualifications and training in climate change performance monitoring, reporting
- ii. Adequacy of human resources support
- iii. Awareness on climate change issues including data, measurement, reporting requirements of Government of Kenya
- iv. Current climate change data supply, sourcing, management and sharing practice
- v. Status of equipment and technology (adequacy, relevance, availability)
- vi. National institutional environment and climate change laws, policy
- vii. Indigenous knowledge tracking, documentation and reporting
- viii. Level and type of interactions with NSAs engaged in climate change activities in Kenya

3.4 Status of capacity in selected MDAs

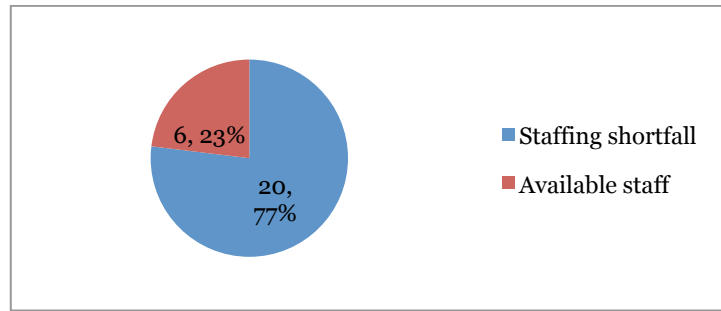
Human Resources Capacity and Available Skills were assessed to determine the status of training, recruitment, utilization, and retention of managerial and technical staff necessary to implement the NPBMF and proposed MRV+ System at the organizational level. The results are summarized in the case studies below.

3.4.1 Case study 1: Ministry of Environment and Natural Resources

- A complement of 26 persons is planned in the central planning unit (CPU). However, currently only 6 staff are present, therefore the unit is operating at 77% under-capacity.
- The newly required level of education is a q in Statistics, Mathematics or Economics, however most staff in the CPU do not currently possess this level of qualifications.
- The CPU is responsible for conducting M&E reporting activities mainly.
- Data supply and collection is from secondary sources; mainly field level staff.
- Training is available for the staff, but on an ad hoc basis- not as per an established program. It is also driven by the staffs' own initiatives.
- The Unit has high work demands and expectations which are coupled with under-capacity that affects staff retention and contributes to high staff turnover.
- A key challenge is that the MEMR-CPU lacks mandate to compel relevant officers to supply data. As a result the Unit reports mainly on flagship programmes of Vision 2030.

Figure 4: Staffing Levels in the MEMR (August 2012)

³See Annex 1 Interview Guide and Checklist



3.4.2 Case study 2: Monitoring and Evaluation Directorate (MED)

The Monitoring and Evaluation Directorate (MED) sits within the Ministry of State for Planning, National Development and Vision 2030. (MPND). MED is responsible for develop indicators (national and district level) in consultation with ministries. There are 64 national indicators and 16 district level indicators. Wherever possible these are gender disaggregated. MED co-ordinate the M& E function within GoK. MED develop frameworks and indicators, and report at national level. At the moment, MED have limited powers to demand information.

The Nationally Integrated Monitoring and Evaluation System (NIMES) sits within MED. It has a National Steering Committee (NSC), its role being policy direction and fund raising 2004 – 2012. The Technical Oversight Committee (TOC) provides technical direction on M&E. In addition there are 5 technical and advisory groups, responsible for:

- i. Data collection and archiving, indicators, qualitative and quantitative data.
- ii. Research and results analysis. Produces annual progress reports.
- iii. Dissemination.
- iv. Projects related to M&E issues.
- v. Capacity development and policy coordination.

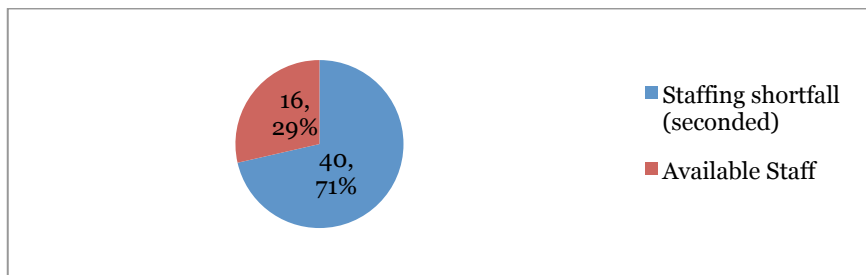
MED facilitate the NIMES Secretariat comprising Monitoring and Evaluation Committees embedded across MDA focal points (CPUs). The FPs provide annual feedback to NIMES for inclusion in the annual report. District M&E committees also contribute to these reports. Analysis is mainly done in ministry CPUs and in some cases also in project monitoring units within ministries. The CPUs submit annual reports to MED. MED conducts Quality Assurance (QA) and validation meetings and produces Annual Progress Reports (APRs) on the Medium Term Plan (MTP).

NIMES is currently a manual system, however plans are underway at MED to establish an electronic, internet based system (e-promis) linking all the departments to on-line reporting platforms. The electronic system will allow for data capture and real time reporting on *all capital Government projects* across the country, (e.g. construction of ponds; drilling water wells ; roads construction).

The Human Resource capacity findings at MED resonate with other line ministries surveyed:

- Of the 56 staff planned in the department, 40 are seconded to various MDA CPUs. Therefore MED staff capacity is considerably reduced as a result (by approximately 71%).
- An indicator of reduced HR capacities is the relatively small number of projects whose data captured in the electronic *e-promis* system so far (1,500 out of 200,000 potential).

Figure 6: Staffing Levels in the MED (August 2012)



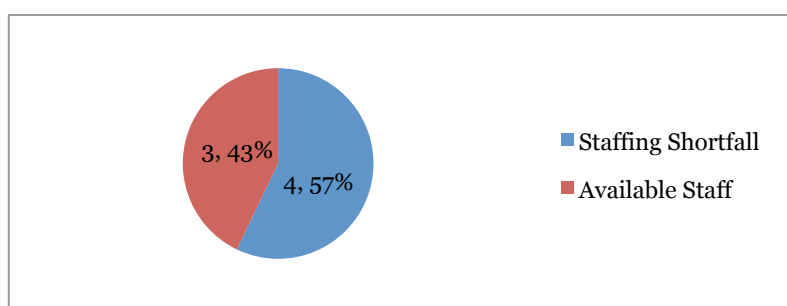
Consultations with other MDAs, such as Ministry of Livestock, Meteorological Department, and Ministry of Energy produced similar findings, as the case studies above, on the human resource capacity and development situation. Their views are considered together in the following summary.

3.4.3 Case study 3: Ministry of Fisheries Development

The main issues are similar to MEMR with slight differences:

- Staff in the MoFish -CPU are working at 57% under-capacity
- CPU staff are responsible for reporting; however they rely on secondary data sources -mainly District Fisheries Officers (DFOs).
- There is a risks of reliance on secondary data sources as DFOs may not have specialised training in M&E and consider this an added burden, which affects timely field data submissions.
- Some members of staff have attended M&E training at the Kenya Institute of Management (KIM) through their own initiative.

Figure 5: Staffing Levels in the MoFish CPU (August 2012)



3.4.4 Case study summary

The case study findings revealed capacity development needs in GOK MDAs and LGAs. The required human resources capacities needed for effective implementation of the NPBMF and MRV+ System are found primarily in the CPUs and Project Monitoring and Evaluation (PME) units of MDAs and LGAs as they are currently responsible for conducting data

analysis and will be responsible for reporting to MED on climate change outcomes, based on identified indicators.

Most MDAs have several projects each with a desk or lead officer who is linked to the PME or CPU that is also considered the center for data and information distribution with a coordinating role. The CPU aligns reports from MDAs to the reporting requirements of the MPND and Vision 2030 through NIMES.

Capacity to report on climate change outcomes is currently challenged by several factors including lack of clear mandates to hold ministries to account for delivery of their commitments. Key MDA mandates such as those of the Ministry of Finance (MoF) need amendment and strengthening in light of increased public awareness about their rights under the new constitutional dispensation. Otherwise, it may become increasingly difficult to enforce sharing of data by state organs.

A key finding is the weak coordination of data supply, management and infrastructure within and between MDAs, LGAs and NSAs. Despite there being many projects, M&E and CPUs do not have the 'teeth' to compel reporting of results by state and non-state actors. This is due in part to the structural arrangement where M&E and CPUs sit horizontally with project teams rather than vertically as part of management with more authority. It is also due to the lack of data supply agreements between state and non-state actors.

The findings on capacity building indicate that staff training is not formally programmed into the MDA CPU and PMEs. Financial resources for training activities are very limited, due mainly to weaknesses of the public financial management system that includes weak links between the national policy agenda and budgets that according to the PER 2010 are largely put together on the basis of line item budgeting (inputs) rather than programme based budgeting or results based budgeting (outcomes). Due to understaffing and excessive demands on their time, few staff have the opportunity to pursue training and capacity building outside of their offices, even as part of fulfilling new educational requirements of a Masters Level degree. Training on the job is also reportedly inadequate.

Capacity to develop climate change indicators and to measure and report their outcomes is a limiting factor for the MRV+ system and NPBMF, as there are hardly any climate change experts at MDAs or LGAs. The PMEs and CCU officers have one of three main qualifications (economics, statistics and/or finance). These subjects although relevant limit staff's ability to develop, assess and report on climate change outcomes to the required levels for the MRV+ system. Climate change mitigation and adaptation actions have been carried out now and then but the documentation is weak and inconsistent. Disaster management outcomes tend to dominate reporting in this area.

The culture of M&E is not yet engrained in the public and private arena in Kenya. As one MDA representative from the Ministry of Energy commented: *'Monitoring is not big in Kenya-in all parameters are under- no one saw any sense to take the trouble to calculate the GHG emissions. The main concern was on producing enough energy. The respondent further explained that 'now that we (Kenya)have more energy the interest in monitoring GHG emissions has grown sharply'. (Verbatim quote)*

Capacity development in MRV+ and M&E of climate change is not adequately covered in the Climate Change Bill of June 2012. However it is not clear if a window still exists to amend the Bill and include a policy for information sharing and enforcement. In the proposed Climate Change Authority Bill there is consideration for information sharing; however it may not be clearly stated nor sufficiently emphasized.

Parallel reporting in MDAs and LGAs contribute to inefficiencies and delays; data reporting routes are sometimes duplicated. For instance the same data reported by District Development Officers (DDOs) via ministerial PME and CPU units to MED at the MPND is also submitted directly to MPND by the DDOs. This finding is corroborated by the Public

Expenditure Review Report 2010 that reported duplication of Community Development Funding (CDF) at county level on the same initiatives by various state and non state actors. This potentially contributes to inaccurate reporting on results and creates loopholes for funds mismanagement. The situation is further challenged by weak capacities of District Project Committees (DPCs) mandated with reviewing and monitoring activities within districts to ensure non-duplication of efforts in financing of constituency projects.

Electronic data management systems are currently in place such as e-promise for capital projects and IFMIS for financial projects. Effective implementation and utilization of these systems are hampered by the low level of capacity to utilize these systems as most trained staff are Nairobi based. This has impacted negatively on the frequency and quality of reporting project outputs and outcomes by data suppliers represented by field staff located at national and sub-national levels. This finding is also supported by the Public Expenditure Review Report of 2010. It states that in districts where most activities take place, rather than the electronic Integrated Financial Management Information Systems (IFMIS), manual systems continue to be used. Application of both together: manual systems at district level and electronic systems at ministry levels impacts negatively on the accuracy and harmonization of public expenditure reports. This situation is further challenged by a) the lack of ownership for electronic systems such as IFMIS at line ministry level documented in complaints and b) the existence of parallel electronic data capture systems such as the Integrated Pay and Personnel Data (IPPD) Payroll System-a stand-alone system with no capacity for integration thereby undermining the effectiveness of IFMIS.

3.4.5 Network of Organizational Interactions by Sector and Subsector

The national focal point for the UNFCCC is the Ministry of Environment and Natural Resources (MEMR). However, overarching coordination for climate change policy sits with the Office of the Prime Minister (OPM), which has a mandate to hold ministries to account for delivery of commitments. MEMR is responsible for coordinating climate change at the ministry level and has recently established a Climate Change Secretariat (CCS). The Secretariat is responsible for the technical implementation of the KCCRS.

Outside of MEMR and the OPM there is growing awareness of climate change within the Ministry of Finance and the Ministry of Energy, largely linked to interests in low carbon growth and clean development. The Kenya Agriculture Research Institute (KARI), a semi-autonomous government institution, also established a Climate Change Research Unit in 2010. This unit is expected to increase climate change awareness within the Ministry of Agriculture, particularly in relation to food security and adaptation, where some projects have already begun to focus.

Other line ministries have been slower to engage. Encouraging them to do so is likely to require a more consistent political commitment than is currently apparent, which will be difficult to achieve given the current constitutional transition underway in Kenya. Other organizations that must be considered for supporting the NPBM Framework include:

- National Environment Management Authority (NEMA) – which publishes reports on environmental issues and operates a Geographic Information System (GIS)
- Kenya Forest Research Institute (KEFRI), which has established a Social Forest Training Center that also organizes an annual training on forestry supported by the Japan International Co operation Agency (JICA)
- Ministry of Development of Northern Kenya and Other Arid Lands,
- Ministry of Housing,
- Ministry of Livestock Development
- Ministry of Fisheries Development
- Ministry of Public Health and Sanitation

- Ministry of Roads
- Ministry of Tourism
- Ministry of Water and Irrigation

Table ____: Capacities needed for effective implementation of the MRV+ System by sector and results

Capacity Development Summary Table (Synergies cont...)		
	developed?	expected? (Outcomes and Impacts) A=Adaptation, M=Mitigation D=Development S=Synergistic (A+M+D)
Security, Peace Building and Conflict Resolution	Create tools and mechanisms for identifying, assessing and mitigating political and security climate risks.	Local and national recognition of climate change role in security and conflict (A) .
Tourism	Engage with Public and Private partners to deliver shared objectives for ecosystem services, vulnerable tourist hot-spots, natural resources policies and regulation.	Tourism partnerships established (S)
Agriculture	Applied research, and training providing direct guidance to farmers. Mainstream CC resilience in the Agriculture Development plans.	Integrated programme of funded interventions, scaling up and replicating successful projects. Effective communication between farmers and from farmers to government established. (S)
Livestock Development	Applied research, and training providing direct guidance to livestock farmers and pastoralists on coping actions, particularly in arid areas Mainstream CC resilience in Livestock Development plans.	Integrated programme of funded interventions, scaling up and replicating successful projects. Effective lines of communication established. (A)
Fisheries Development	Applied research, and training providing direct guidance to fishing communities Mainstream CC resilience in the Fisheries Development plans.	Integrated programme of funded interventions, scaling up and replicating successful projects. Effective communication between fishing communities to government established. (A)
Private Sector/ Trade, Manufacturing, Business Process Outsourcing	Avail a variety of financial instruments to encourage the private sector to build climate resilience and to provide goods and services to help others adapt.	The role of the private sector in building resilience becomes a core element of adaptation planning. (A,D)
Financial Services	Increase distribution and maturation of financial services that (a) reduce vulnerability in at risk areas and social groups, and (b) reduce the investment risk profile for Kenya Catalyze and facilitate investment in building a climate resilient Kenyan economy	Increased distribution and maturation of financial services that (a) reduce vulnerability in at risk areas and social groups, and (b) reduce the investment risk profile for Kenya. (A,D)

Which sectors/subsectors?	What capacities need to be developed?	What results are expected? (Outcomes and Impacts) A=Adaptation, M=Mitigation
Capacity Development Summary Table (Synergies cont...)		
		S=Synergistic (A+M+D)
Education and Training	Incorporate Climate Change education in Early childhood, primary, secondary, tertiary and vocational education institutions curriculum.	Current and future generations able to manage the effects of a changing climate. (A,D)
Health	Disseminate information to increase awareness and knowledge of climate change effects on health.	Targeted assimilation of climate change effects into critical existing public health infrastructure and human resources. (A)
Environment	Integrated programme of funded interventions, scaling up and replicating successful projects. Applied research, and training, enabling local communities to MRV climate changes.	Adaptation integrated into policy. Strengthened capacity at local and national level to recognize and prioritise climate risks to environmental systems. (S)
Water and Sanitation	Impacts on water and sanitation assessed Climate change risks appraised within all new investment decisions. Action focused on most vulnerable areas/sectors.	Integration of climate change resilience building into water and sanitation planning. (S)
Population, Urbanisation and Housing	Mainstream climate resilience requirements into housing and urbanisation development plans at national and county levels.	Improved climate resilient housing and effective emergency measures in place for high risk areas. (S)
Gender, Vulnerable Groups and Youth	Identify targeted interventions to address vulnerability of groups at high risk of climate impacts.	Increased knowledge, empowerment, adaptive capacity & development potential of marginalised groups. (A)
Decentralisation/Devolution	Integrate climate change resilience strategies into County development and action Plans	Foundation provided for long-term climate-resilient development. (A)

3.4.6 National Institutional Environment

a. Laws and Regulations governing national institutions in terms of resource sharing, planning and review modalities

The Climate Change Authority Bill (2012) has also proposed that a new Climate Change Authority be established to help the country address the threat of climate change. Currently, this is being handled by the Climate Change Unit (CCU) in the Office of the Prime Minister and the Climate Change Secretariat (CCS) at the MEMR. The proposed authority will advise the national and county governments on measures necessary for mitigating and adapting to the effects of climate change. It will also guide implementation of regional and international conventions to which Kenya is a party and report regularly on the country’s adherence to its international obligations relating to climate change.

b. Financial and budgetary support

No national framework for reporting on climate change is in place at this time. The majority of climate change financing is not yet sufficiently earmarked as such nor is it captured in the GoK budget. Therefore it is difficult to track and monitor. Financial reforms are currently underway to strengthen public financial management (PFM) systems and to allow more detailed project reporting in the future.

A number of development partners supporting PFM are also engaging in climate change (for example SIDA, CIDA and DFID); it is hoped that capacity development for climate change financing will be a part of this process.

4. Summary of Actions

4.1 Develop human resource capacity to operate the MRV+ System

A key finding of this CDP was the grossly understaffed CPUs and M&E units in various MDAs. The Steering Committee should review the governance requirements of the MRV System, as set out in the MRV+ Design. Based on the level of staff proposed, determine the key personnel required to operationalise the System; The Steering committee (SC) as part of its activities may see how to increase staffing levels and qualifications at national and sub-national level in order to facilitate the effective implementation of the MRV+ System and timely reports; The table below summarizes the HR capacity development (numbers and roles) proposed for each of the MRV+ System components.

Table ___ Human Resources Required for the MRV+ System Governance Structure

System component	People Required	Total Number of People
Steering Committee	Chair from NCCC, a representative from the NMESC, representatives from all MRV+ system components and from across all sectors and key MDAs and CSOs (NEMA, KNBS, KNS, NPND&V3020, Ministry of Finance, 6 GHG inventory sectors, 9 government sectors, NGO council, Kenya Private Sector Alliance)	Limit to 20

System component	People Required	Total Number of People
Management Team	Director, operations manager and two administrative assistants	4
DSROAs	Staff are embedded in other components or commissioned for a short period of time (e.g. environmental lawyers) so no additional staff to add to the MRV ⁺ capacity here.	0
CCRDR	A manager from KNBS, two data supply clerks carrying out initial QA/QC and completeness checks on data and storing data and reports in the system, an information request desk officer to deal with requests for information from the system.	4
Data and QA/QC Working Group	A coordinator from KNBS, one person from each of the TAGs and GHG inventory sector leads	10
Indicators and Baselines Working Group	A coordinator from MED, one person from each of the TAGs and representation from key MDAs (T21/KNBS, KBS, MEMR/NEMA)	10
Synergies and Project Interface (SPI)	Team leader from one of the TAGs, representative from each of the TAGs, the Data and QA/QC working group, the Indicators and Baselines working Group. Representation from at least one development partner that has experience of looking at synergies (e.g. CARE International)	6
TAGA	Team leader and 9 other staff to cover the breadth of adaptation technical areas	10
TAGM	Team leader and 9 other staff to cover the breadth of mitigation technical areas	10
TAGD	Team leader and 1 other person	2
TAGGHGI	Manager and 4 other staff to oversee and coordinate the breadth of GHG technical areas covered in the GHG technical team	5
GHG Technical Team	Managed by the TAGGHGI Manager with a number of GHG technical experts covering the six IPCC Emissions sectors. The actual number of experts will be determined by the TAGGHGI when they identify the data required for the GHGI.	Minimum 10
Total Number of Staff required for the MRV ⁺ System	The maximum number of staff will depend on how many GHG technical experts are needed in the GHG Technical Team, but the <u>total should not exceed one hundred people.</u>	91+

4.2 Promote use of electronic reporting systems

A policy on funds for capacity building needs to be considered in the use and application of electronic systems for MRV and M&E of climate data, for improved record keeping and management, as well as data accuracy through periodic system checks. The policy should include mention of funds for formal training on these systems and development of training curriculum and materials as well as evaluation of training. All possible efforts should be made to ensure integration of electronic systems for climate change data MRV and M&E are compatible and integrated into existing systems in order to promote ownership and wider use. MDAs and LGAs should foster climate change results reporting by electronic means to help ensure accurate and harmonized data and reports on climate change initiatives at both national and sub-national levels. To effectively achieve this outcome, Local Area Networks

(LAN) as well as Wide Area Networks (WAN) should be established to ensure improved communication and access to real time data.

4.3 Clarify institutional mandates

A key finding of the CDP is the conflicting or non-existent mandates to require or enforce data sharing and reporting on CC information within and between CC actors. To address this concern, TAGs representing key MDAs for the MRV+ System should be involved updating of policies and periodically reviewing legal requirements and regulations. The possibility of amending the Climate Change Bill of June 2012 to include institutional mandates for information sharing and enforcement may be explored. As part of this effort, SC members need to review organization management and reporting structures within MDAs and LGAs as well as between state organs and NSAs, with focus on enhancing reporting efficiencies and cooperation;

4.4 Address multiple reporting lines and duplication of efforts

TAGs should address reporting routes within MDAs and LGAs to limit duplication and promote efficiencies in reporting. The MED within the MNPD & Vision 2030 in its coordinating role could take a lead role to examine where opportunities exist for duplicities and multiplicities in reporting so as to reduce the burden of reporting by CPUs and M&E units and enhance efficiencies and accuracy through single reporting lines. TAGs should increase awareness of MDAs on MRV+ methods and reporting requirements.

4.5 Promote public, private partnerships in development of MRV and M&E frameworks

A key lesson learned at a validation workshop held on 20th September by the Adaptation sub-component of the KCCAP Nairobi is that climate change impact and vulnerability assessment data generated by civil society organizations (CSOs) is used to determine appropriate climate change responses. However Monitoring information is not being used in policy decision making. A recommended action for the CDP, going forward is therefore the need for the MRV+ System to build M&E and MRV partnerships with CSOs and to promote their capacity so that impact and vulnerability assessment and monitoring data is used for informing CC decisions at national and sub-national levels.

4.6 Promote indigenous knowledge on MRV and M&E of CC

According to Subcomponent 3's findings, indigenous knowledge on CC abounds as all communities have had their experiences addressing climate issues. Therefore To be most effective is to try to merge modern and traditional methods and knowledge as it's difficult for communities to abandon traditional knowledge for modern knowledge especially if they don't understand modern ones. This implies the need to consider and document traditional knowledge and methods in MRV and M&E of CC monitoring and impact measurement and to develop appropriate tools for gathering this data and information through collaboration with NSAs who have this experience (e.g. CARE International in North Eastern Kenya).

4.7 Conduct a comprehensive capacity assessment involving all actors

Due to time and other constraints, the current CDP was limited in providing the planned level of detail due to the methodology and narrow scope of informants. Therefore an important action point for the immediate future would be to conduct a comprehensive capacity assessment survey using scientific methods and involving all identified CC actors in Kenya. The aim of this survey would be to identify capacity constraints and opportunities in the areas of MRV of CC mitigation; and Monitoring and Evaluation of CC adaptation. A key feature of this study would be a report with the survey outcomes and recommendations for addressing the findings with specific timelines. A Capacity Building Strategy would be a subsequent activity that would include a work plan and list of key actors to be involved and the specific capacities to be developed or built in the short medium and long term with identified institutions and individuals. This would help Kenya in meeting its local, regional and international reporting obligations on CC outcomes, impacts.

5. Annexes

Annex 2: Interview Guide and checklist for CDP Consultations with MDAs

August 2012

National Climate Change Response Strategy Action Plan:

Capacity Needs Assessment

A. Human Resources (M&E)

Key questions

- i. Is the existing human resource base adequate?
- ii. Is it skilled/ which ones? Gaps?
- iii. Is it well-placed to support implementation of the national framework?

Key issue

- i. Existing expertise in MRV, GHG inventory and M&E
- ii. Technical support
- iii. Training needs
- iv. Challenges

Capacity needs

- i. M&E of adaptation indicators
- ii. Information management
- iii. Data systems
- iv. GHG Inventory
- v. MRV of mitigation indicators?

Challenges

B. Organization Capacity

Key question

- i. Do organizations and government agencies have the capacity to contribute and support the implementation of the national framework?

Key issues:

- ii. Physical Resources
- iii. Structures/Processes/Systems
- iv. Financial capability
- v. Information management
- vi. Public-Private Partnership

Capacity needs of organizations

- i. Monitoring and reporting of performance
- ii. Effective M&E policies/systems/procedures
- iii. Communication
- iv. Integration of Climate change on SPs
- v. Resource mobilization
- vi. Data Collection, processing, analysis and reporting

Challenges

C. National Institutional Environment

Key questions

- i. Is the national regulatory framework effective in supporting implementation of the framework?

Key issues

- ii. Policies, laws and Regulations
- iii. Relevant policies

Challenges

Capacity needs:

- i. Supportive and enabling Policy Environment
- ii. Policy gaps/weaknesses

D. Awareness on Climate change

Key questions

- i. To what extent are climate change actors knowledgeable about climate change?

Key issues

- ii. Public Awareness on climate change
- iii. Knowledge gaps on mitigation and adaptation actions

Challenges

Capacity needs

- i. Information access and dissemination

E. Indigenous knowledge

- ii. How much indigenous knowledge on Climate Change is available?
- iii. What form does this knowledge take?
- iv. Impact: how much involvement by local groups?

F. Cross cutting issues (indicators reported?) on:-

Gender

HIV,

Malaria,

Human Rights,

ICTs,

Other Subcomponents,

Knowledge Management.

Annex 2: Guiding principles for the NPBMF Capacity Development Plan

Effective capacity-development requires a long-term commitment to address capacity gaps in the areas of knowledge generation and dissemination, as well as in the processes that catalyze efforts to move from knowledge to action.

- a. Capacity-development principles for the National Performance Benefit Framework (NPBMF) and the MRV+ System within is that it is **research-driven, country and context specific, adapted and aligned** to priorities and to the widely varying scientific capacities across the country. It also in principle requires periodic reviews of the required capacities needed to operationalise the system by ensuring adequate staffing levels and efficiencies.
- b. Capacity development is in principle **country-driven**: therefore Kenya must determine and drive capacity development activities from their early conception to evaluation.
- c. Capacity development is **issue-based**: therefore the CDP is based on the specific issues to be addressed, in this case measuring, reporting and verifying, climate change mitigation action outcomes, monitoring and evaluating climate change adaptation action outcomes and reporting on the synergistic effects on development initiatives. The CDP is not designed as a specific tool, programme or expertise.
- d. **Relevance, ownership and sustainability** are as key principle of the CDP to ensure success of capacity development activities in the medium and longer term.
- e. Capacity-building works best if it **first achieves local benefits** on local priorities, then addresses participation in global climate research, rather than the reverse.
- f. Capacity-building should emphasize active participation in **long-term research** initiatives and international science programs that are relevant to the country's priorities.
- g. Capacity-building should not be targeted solely at the scientific community but rather should be done in a **holistic**, integrated manner that builds capacity for interaction and dialogue among scientists, policy makers, and other societal decision-making groups, where the scientific community's role is to provide the science-base for a rational, constructive dialogue among stakeholders with different views.
- h. Capacity-building should occur within a framework of integrated, interdisciplinary problem solving that reaches across a **broad swath** of sectoral and **livelihood interests, including agriculture, forestry, fisheries**, water resources management, meteorology and climatology, energy, public health, **disaster management, urban planning, and rural development**, among others.
- i. Capacity-building should promote **gender parity** and support the participation of women in climate research, decision-making and sectoral interests.