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STAKEHOLDERS' MAPPING AND ANALYSIS, CAPACITY GAPS IN NEEDS ASSESSMENT & CAPACITY DEVELOPMENT PLAN

Executive Summary & Briefing Notes

Support for Effective Cooperation and Coordination of Cross-border Initiatives in Southwest Ethiopia-Northwest Kenya, Marsabit-Borana & Dawa, and Kenya-Somalia-Ethiopia (SECCCI) -T05.491 (T005)

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**BRIEFING NOTES: CONSOLIDATION OF FINDINGS OF
STAKEHOLDERS' MAPPING, CAPACITY GAPS IN NEEDS
ASSESSMENT AND PLANNING, AND CAPACITY
DEVELOPMENT PLAN**

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I. THE RATIONALE

1. The context

The cross-border areas are characterized by poor infrastructure and basic service provision, low literacy levels and high poverty levels. The livelihood of most of the people in the region strongly depends on rain-fed agriculture and pastoralism. The limitations imposed by conditions in the arid and semi-arid lands are seriously affecting agriculture which employs about 60-80% of the population, thus leading to increased insecurity situation in view of the competition between communities to access these limited natural resources. As to pastoralism, the scarcity of resources has triggered conflict among resident pastoralist communities, especially over water and grazing land. The instability caused by climate change, insecure land tenure, poor infrastructure, minimal investment, and political marginalization has further undermined the ability of pastoralist communities to respond, leading to increasing levels of poverty and marginalization in the region over the past ten years.

Governments in the sub-region recognize the need to put in place the right trade and investment policies as well as enabling environments to deepen and diversify the sources of economic growth and thereby stimulate job creation. Such government policies would enable the communities from moving effectively from humanitarian assistance to sustainable human development, and which in turn would depend primarily on increased Cross-border cooperation.

2. Objectives and scope of SECCCI/UNDP Project

The project “Support for Effective Cooperation and Coordination of Cross-border Initiatives (SECCCI)”, co-funded by the European Union’s (EU) Emergency Trust Fund for Africa, is a three-year project (February 2018 – February 2021) with the overall goal to address the drivers of conflict and instability, irregular migration and displacement in the cross-border areas of the Horn of Africa (HoA) through improved cross-border cooperation. Led by UNDP, the project is implemented in partnership with IGAD and UNEP.

Geographically, the project is implemented in the three following clusters: at the Kenyan and Ethiopian border encompassing Omo-Turkana (Cluster I) as well as Marsabit-Borana and Liben (Cluster II), and at the border between Kenya, Somalia and Ethiopia encompassing Mandera-Gedo-Doolow-Dawa (Cluster III).

	Geographical area	Cluster name
Cluster I	Southwest Ethiopia & Northwest Kenya	South Omo (Ethiopia) & Turkana (Kenya)
Cluster II	Kenya and Ethiopia border	Marsabit County in Kenya and Borana & Liben Zone in Ethiopia.
Cluster III	Kenya – Somalia - Ethiopia	Mandera, Gedo and Doolow -Dawa

The Project has three expected results:

- Regional Policy frameworks, structures and protocols for cross-border cooperation between national and local Governments, the private sector, civil society and international technical and financial partners are strengthened.

- Capacity of communities, local governments and civil society to fully engage in processes for development planning and results are built.
- Effective cooperation & coordination, M&E of cross-border initiatives in place, including involvement of relevant national and regional actors in these processes.

3. Scope of the briefing notes

The briefing notes are related to the second expected result: “Capacity of communities, local governments and civil society to fully engage in processes for development planning and results are built”. It consolidates the findings of the stakeholders’ mapping and analysis, the capacity gaps in needs assessment and planning and the capacity development plan. For each of the four functional capacities, the briefing notes present the gaps identified in both stakeholders’ mapping and the survey on capacity gaps, together with the related recommendations and capacity development responses.

II. CAPACITY RESPONSES TO CAPACITY GAPS IDENTIFIED IN THE STAKEHOLDERS’ MAPPING AND IN THE NEEDS ASSESSMENT AND PLANNING

Several gaps were identified by the targeted organizations during the process of implementation of their interventions and which need to be remedied in future local development planning. Gaps are related to the engagement of stakeholders and local communities; the identification of the communities’ needs as well as to the formulation and participation in local development planning.

A. Capacity to engage stakeholders

1. Capacity gaps: Engagement and mobilization of stakeholders

This is related to the capacity of the organization to engage relevant stakeholders in the identification and assessment of needs of beneficiaries in the cross-border clusters as well as the capacity to develop accountability mechanisms that ensure multi-stakeholder participation and a free flow of knowledge and information among partners and stakeholders. This would include sharing of data and information with the public that would ensure transparency and accountability in return. Such participation will ensure ownership of the assessment by stakeholders and local communities.

The most important gaps identified by the organizations are related to the fact that often stakeholders are not involved in needs assessments, strategic planning and local development planning. Sub-national entities, INGOs and NGOs are implementing, in some instances, ready-made solutions to communities, without involving the communities in the identification of their needs through consultations and dialogue. They also failed to communicate their plans effectively leading to a situation where both primary and secondary stakeholders are not informed, thus leading to failed interventions. Furthermore, communities were not always aware of the benefits of the protocols and agreements and the role they can play in advancing cross-border development.

The most important capacity gaps in engaging stakeholders are presented below. It should be noted that for cluster III, the data per type of organizations are mentioned only for those stakeholders with percentages exceeding the cluster average.

Capacity gaps in stakeholders' engagement and mobilization	Percentage of stakeholders with Partially developed capacity				
	Average cluster 2	Average cluster 3	NGO	Public Office	INGO
Ability to mobilize stakeholders in the preparation of a strategic plan	75				
Ability to mobilize stakeholders in the preparation of a development plan	75	34.6			55.5

2. Relevant recommendations and Capacity development responses: Stakeholders' engagement and mobilization

The following recommendations are related to the capacity development responses identified in the stakeholders' mapping and analysis.

- (1) Enhance the capacity of organizations in community level consultations and engagement which is critical in effective project implementation while avoiding the provision of ready-made solutions to communities.
- (2) Organizations need to communicate effectively their plans to stakeholders, as lack of information could lead to failed interventions.
- (3) Involvement of all stakeholders in the future should become a practice in the work of the organizations (sub-national entities, INGOs and NGOs). It should guide the design of future projects in local development planning, so that the project activities could better benefit community members.
- (4) The community needs to be involved in local planning and in the identification of priorities when providing support to marginalized people.

The following table presents proposal of priority tailored training to address the capacity gaps in stakeholders engagement.

Proposals of priority tailored training	Capacity gaps
Stakeholders' engagement and mobilization	Ability to mobilize stakeholders in the preparation of a strategic plan and a development plan
	Sharing data in cross-border areas
	Sharing the findings of an assessment with the public

B. Capacity to identify and assess needs

1. Capacity gaps: Identification and assessment of needs

This is related to the abilities of the relevant national and sub-national entities and civil society organizations to effectively access, gather, analyze and synthesize data and information, with the aim of assessing needs of target groups/beneficiaries. This includes the capacity the organizations in conducting or participating in a needs assessment, the capacity in the design of needs assessment and data collection tools, and the ability to engage in cross-border cooperation and coordination in a needs assessment.

Capacity gaps are related to the weak capacity of organizations in the design and implementation of needs assessment. Some organizations plan without undertaking needs assessment, particularly when funding is easily secured, and which might lead to failure in interventions. Other gaps are related to the community expectations which go beyond what the organizations can meet, as communities have also basic needs (i.e. food). Organizations face difficulties in data processing, in translating data into projects and in mobilizing resources to support effective data collection. Though organizations conducted needs assessment in cross-border areas, the emphasis of most organizations was particularly in cross-border conflict, peace and security, gender equality, youth and development, while a few of them is involved in important areas for livelihoods of the communities, namely agriculture and agropastoralism.

The most important capacity gaps in needs assessment are presented below.

Capacity gaps in needs assessment		Percentage of stakeholders with Partially developed capacity (%)				
		Average cluster 2	Average cluster 3	NGO	Public office	INGO
Conducting a needs assessment	Leading and conducting a needs assessment		69.2	85.7		
	Conflict/Gender Sensitive, baseline assessments	85	42.3	57.1	50.0	
Design of the methodology of a needs assessment	Capacity to collect secondary data	75	34.6	71.4		
	Skills in qualitative, participatory research methods	85	38.5	71.4		
	Capacity in designing the tools for primary data collection	75	34.6	42.9	37.5	
Data analysis and data sharing	Data management and analysis	85	73.1	85.7		
	Sharing data in cross-border areas	80	54	57.1		55.6
	Sharing the findings of an assessment with the public		42.3		62.5	44.4
Other related capacity gaps	Technical and sector expertise	85	38.5	42.8		
	Understanding of cross-cutting issues, such as gender and environment	90				

2. Relevant recommendations and Capacity development responses: Identification and assessment of needs

The following recommendations are related to the capacity development responses identified in the stakeholders' mapping and analysis.

(1) Organizations should pursue the Community Driven Development (CDD) approach in their programing that would provide local decision-makers the responsibility over resources and planning decisions in order to more accurately and efficiently identify the needs on the ground. Community-driven development (CDD) programs operate on the principles of transparency, participation, accountability, and enhanced local capacity.

(2) Organizations would need to form consortia in order to be able to meet the needs of communities, as community expectations go often beyond the mandate of individual stakeholders or beyond its limited resources.

(3) Develop the capacity of organizations in needs assessment, data processing and analysis, as some organizations plan without undertaking such an assessment, particularly when funding is easily secured.

The following table presents proposals of priority tailored training that address the gaps identified in the capacity needs assessment.

Proposals of priority tailored training	Capacity gaps
Conducting a needs assessment	Leading and conducting a needs assessment
	Conflict/Gender Sensitive, baseline assessments
Secondary data and research	Capacity to collect secondary data
	Skills in qualitative, participatory research methods
Design of the tools of a needs assessment: primary data	Capacity in designing the tools for primary data collection
Data management and analysis	Data management and analysis

C. Capacity to translate the needs into the formulation of a development plan

1. Capacity gaps: Formulation of a development plan

This is related to the capacity of the relevant national and sub-national entities in translating the needs into the formulation of development plans and programmes with well-defined objectives, activities and indicators, and related budget.

The major gaps are related to the weak capacity of organizations in translating the findings of a needs assessment into projects and development plans. The major gap in the planning process is related to the fact that projects submitted by some organizations were not based on the communities' priorities. The other gap is related to the numerous duplications and overlapping of interventions which are leading to competition between stakeholders.

The challenges faced in the implementation of local development plans emerge from the difficult accessibility of cross-border areas due to security issues and the threats of violent extremism. The other challenge is related to the lack of information available to the local community in cross-border areas on the drought, and which is hindering the response to drought and the strengthening of the coping mechanisms of the communities. Organizations face a number of difficulties in cross-border cooperation in local planning, such as:

- Structural and donor rigidity during sectoral drought response period
- Political influence and operation of some organizations in certain areas of the counties regardless of the level of vulnerability
- In some cases, junior officers are delegated to cross-border meetings and who cannot give directions and make decisions on important engagements and partnerships.
- Inconsistence attendance by organizational and departmental heads
- Lack of monitoring feedback on the approved organizational projects/activities

The other challenges faced are related to weak capacity of the peace committees, the internal conflict among peace committees' members, the lack of involvement of religious leaders in conflict mitigation and reconciliation as well as the poor capacity of the local leaders who can play a key role during project implementation.

The most important capacity gaps in development planning are presented below.

Capacity gaps in development planning		Percentage of organizations with Partially developed capacity				
		Average cluster 2	Average cluster 3	NGO	Public Office	INGO
Programme/ Project design	Skills in the formulation of development programmes and project design	85	53.8	57.1		
	Formulation of programmes in conflict affected environments		53.8			55.6
Strategic planning	Use of SWOT analysis in strategic planning		34.6		37.5	
	Capacity of the organization in strategic planning	75				
Development planning	Implementation of results-based management planning through SWOT analysis	80	42.8	57		44.5
	Capacity of the organization in evidence-based development planning	75				
	Capacity to use SWOT analysis in development planning		46	57.1	50	

2. Relevant recommendations and Capacity development responses: Formulation of a development plan in cross-border areas

The following recommendations are related to the capacity development responses identified in the stakeholders' mapping and analysis.

- (1) Enhance the partnership between county government and administration office and the stakeholders operating in cross-border areas particularly in local development planning.
- (2) There is a need to consider the cross border/cross country context and dynamics, cross-border co-existence and inter-relations when designing cross border projects
- (3) When designing new projects in local development planning, there is a need to review existing policies and programming practices and adopt new policies that would improve the provision of appropriate services to target beneficiaries.
- (4) Conflict mitigation and peacebuilding efforts oriented towards local communities should start with increasing dialogue among peace committee members who may come from different cultural groups and in increasing their awareness on the root causes of conflict.

(5) Enhance the capacity of religious and community leaders in the field of peacebuilding and local development, as these leaders can play an effective role in influencing the community especially in conflict mitigation and reconciliation.

(6) Local development planning needs to focus on improving the resilience of the beneficiaries against climatic shocks and ensure ownership by the local community of the local development interventions.

(7) It is important to improve the planning process through the empowerment of local organizations and the development of their capacity in the formulation and implementation of projects on the communities' priorities, so as to enhance the success of the projects.

The following table presents proposals of priority tailored training that address the gaps identified in the capacity assessment related to the formulation of development plans.

Proposals of priority tailored training	Capacity gaps
Project design and formulation	Skills in the formulation of development programmes and project design
	Formulation of programmes in conflict affected environments
Strategic planning	Capacity of the organization in strategic planning
SWOT analysis	Use of SWOT analysis in strategic planning
	Capacity to use SWOT analysis in development planning
Planning for disaster and crisis response	Cross-border capacities for early warning, preparedness, mitigation and response to disasters
Facilitators for Moderating Dialogues	Capacity of peace committee members in moderating dialogues

D. Capacity to monitor and evaluate

1. Capacity gaps: Monitoring and evaluation

This is related to the capacity of the national and sub-national entities to devise a monitoring and evaluation system to monitor the progress of work and evaluate results against set objectives, as well as the capacity to ensure through M&E mechanisms access to information and knowledge for all stakeholders.

Capacity gaps in M&E	Per cent of stakeholders with Partially developed capacity				
	Average cluster 2	Average cluster 3	NGO	Public office	INGO
Capacity to monitor and evaluate	75				
Ability to integrate Conflict related issues in monitoring and evaluation		30.8		37.5	
Ability to prepare the terms of reference for external mid-term and final evaluation of the plan/projects		34.6		37.5	

2. Relevant recommendations and Capacity development responses: Monitoring and evaluation

(1) There is a need for a bottom-up approach in designing projects, planning and periodic monitoring of project outputs through redesigning customized programs and replicating and sharing the best practices.

(2) Monitoring and evaluation should be a continuous exercise. A periodic monitoring of project outputs would be critical for the redesigning of the programs/projects. Monitoring and evaluation is another important activity that needs to be conducted in all programmes of the sub-national entities and NGOs.

Proposals of priority tailored training	Capacity gaps
Planning, Monitoring and Evaluation	Capacity to monitor and evaluate
	Ability to integrate Conflict related issues in monitoring and evaluation

III. RECOMMENDATIONS TO BE CONSIDERED IN THE DESIGN OF NEW PROJECTS

In addition to the training proposals mentioned above and which can be implemented within a year period as indicated in the report on Capacity development plan, there is a need to take into consideration the following when designing new projects in cross-borders areas targeting sub-national entities, NGOs and CBOs.

1. Support the organizations in governance issues

To be effective, the capacity development responses/plan should encompass and go beyond the development of capacity in the areas related to needs assessment and planning. It should include the strengthening of the organization in terms of governance, leadership, mutual accountability mechanisms, decision making process, institutional reforms and policy and legal framework. Capacities, in fact, need to become embedded in processes and incorporated in the culture of the organization, in order to ensure the sustainability of the capacity development. There will be therefore a need to conduct an organizational capacity assessment and development with emphasis on governance issues, without which it would be difficult to sustain the results of training of individual staff.

2. Creation of core units on capacity development

The creation of core units on capacity development will contribute to a more effective and sustainable capacity development interventions. A core unit could be formed by several organizations which have a capacity in a specific specialized area (such as M&E, strategic planning, governance, human resource management, financial management, needs assessment, etc...). Mapping of skills in capacity-building among organizations and the formation of core units will be the first step. This would be followed by building the capacity of these units as part of a Training of Trainers programme. The units will be therefore in charge of supporting the various stakeholders in capacity development. This would ensure the sustainability of capacity development interventions.

2. Forming consortia/networks among organizations as a means to enhance capacity development

The promotion of coalitions/networks or the formation of consortia among few organizations will enable the organizations to better meet the needs of communities, as community expectations go often beyond the mandate of individual stakeholder or beyond its limited resources. This would require enhanced cooperation among relevant organizations through joint programming, interventions and resources sharing.

Future projects need to involve a larger number of NGOs and CBOs in project implementation. The formation of a consortium of a certain number of NGOs and CBOs (for example 3 to 5) should be a requirement and not optional when bidding to a project for funding purposes. By doing so, capacity of small NGOs and CBOs will be enhanced when operating under one umbrella.

4. Creation of an online platform

Though serious efforts have been undertaken in cross-border coordination, there are still gaps in information sharing and coordination as several organizations work in silos without cooperating with others. The creation of an online platform would also support capacity development. The platform would allow for coordination of capacity development interventions that would be initiated by various organizations with the purpose of avoiding duplications which could lead to competition between stakeholders and to a wastage of resources. It would also enable the various organizations to share ideas and express their needs in capacity building, thus maximizing the benefits of training for all stakeholders.

EXECUTIVE SUMMARY: STAKEHOLDERS' MAPPING AND ANALYSIS

Introduction

Stakeholder mapping involves identifying, analyzing, categorizing and prioritizing the stakeholders and organizations according to their interest, needs and influence in the local planning and development processes. The stakeholders' mapping was implemented in the three following clusters: Cluster I: the Kenyan and Ethiopian border encompassing Omo-Turkana; Cluster II: Marsabit-Borana and Liben; and Cluster III: the border between Kenya, Somalia and Ethiopia encompassing Mandera-Gedo-Doolow-Dawa.

The mapping is based on a short questionnaire, which was filled in, however, by few stakeholders as the response rate as compared to total number of stakeholders varies from a low 9.2% in cluster III; to 21.6% in cluster I; and 30.1 % in cluster II.

STAKEHOLDERS' MAPPING AND ANALYSIS IN CLUSTER I

Local planning and development processes are with varying degrees relevant and important to stakeholders covered in the mapping exercise. The relevance is related to SECCCI's support to local planning and development processes in several thematic areas. The interventions of the stakeholders complement the SECCCI project in local development planning. Local development planning processes are considered by most stakeholders as critical for identifying and responding to community needs.

Though the stakeholders are active in several thematic areas, those that have presence in the two sides of the border (Kenya and Ethiopia) focus more on the promotion of peacebuilding and peaceful coexistence among different communities in cross-border areas. Other stakeholders who support specific sectors, such as the agro-pastoral sector, also aim to promote peaceful coexistence between communities in cross-border areas. Stakeholders work closely in the planning process with the various administration offices at the county and sub-county levels as well as with CSOs.

Several gaps were identified by the stakeholders during the process of implementation of their interventions and which need to be remedied in future local development planning. Gaps are related to the engagement of local communities, to the lack of identification of the communities' needs as well as to the approach followed by sub-national entities. Other gaps are related to the weak capacity of organizations involved in local planning, particularly in the design and implementation of needs assessment and their translation into projects and plans. Peace committees across borders also suffer from poor capacity.

List of stakeholders covered in the mapping (Cluster I)

Name of organization	Location	Stakeholder type
ACME Development Organization (ACME)	Kenya	NGO
Agency for Cross-border Pastoralists Development (APAD)	Kenya	NGO
Elemi Development Organization	Kenya & Ethiopia	NGO
Danish Demining Group (DDG)	Kenya & Ethiopia	INGO
Kaputir Resource Management Organization (KARMO)	Kenya	CBO
Catholic Diocese of Lodwar Development Directorate	Kenya	CBO
SAPCONE	Kenya & Ethiopia	NGO
TODANYATU Community Based Organization	Kenya	CBO

Recommendations related to future design of projects

The following recommendations are related to the design of new projects in local development planning, based on the gaps identified by the stakeholders:

1. Stakeholders should pursue the Community Driven Development (CDD) approach in their programming that would provide local decision-makers with the responsibility over resources and planning decisions.
2. Enhance the capacity of stakeholders in community-level consultations and engagement which is critical in effective project implementation, while avoiding the provision of ready-made solutions.
3. Organizations need to communicate effectively their plans to stakeholders, as lack of information could lead to failed interventions.
4. Stakeholders would need to form consortia in order to meet the needs of communities, as community expectations go often beyond the mandate of individual stakeholders or beyond its limited resources.
5. Develop the capacity of stakeholders in needs assessment, data processing and analysis, and in the translation of data into programmes and projects, as some organizations plan without undertaking such an assessment, particularly when funding is easily secured.
6. Enhance the partnership between county government and administration offices and the stakeholders operating in cross-border areas, particularly in local development planning.
7. Support awareness of communities on how they can benefit from the existing protocols and agreements between governments and on the role, they can play in cross-borders development.
8. Conflict mitigation and peacebuilding efforts oriented towards local communities should start with increasing dialogue among peace committee members who may come from different cultural groups and by increasing their awareness on the root causes of conflict.
9. Enhance the capacity of religious and community leaders in the field of peacebuilding and local development, as these leaders can play an effective role in influencing the community.

STAKEHOLDERS' MAPPING AND ANALYSIS IN CLUSTER II

The SECCCI project is considered highly relevant to the stakeholders and to the needs of the local communities, as the project has involved the stakeholders in the initiation, formulation and planning of local development. The development planning has been addressing community needs particularly in livelihoods, job security for unemployed boys and girls, as well as identification of community needs in the area of water, climate change and sustainable peace. Particular emphasis was placed in meeting the needs of women in the local development planning process.

The SECCCI project has developed the capacity of stakeholders, including women's capacity in peace building and conflict resolution, management of natural resources and training of local water committee management. It provided opportunity for enhanced cross-border peace dialogue meetings along the porous Kenya/Ethiopia border.

The stakeholders were involved in all phases of the SECCCI project, particularly in conducting assessments at the grassroots level and in supporting local development plans, as well as in supporting training at grassroot levels. The stakeholders have influenced, in varying degrees, the local development planning process, by involving other sub-national entities in carrying out assessments of community needs and bring all stakeholders on board in the formulation of local development plans through community discussions. Women and youth were particularly involved in community facilitation and in local development. Several

sub-national entities are involved in the formulation and implementation of local development plans across border in various thematic areas/sectors.

List of stakeholders covered in the mapping (Cluster II)

Name of organization	Location	Type of Stakeholder
Borena Zone Administration Office	Ethiopia	Public Office
Borena Zone Women's Affairs Office	Ethiopia	Public Office
Borena Zone Planning & Economic Development Cooperation Office	Ethiopia	Public Office
Borena Zone Water, Mineral & Energy Office	Ethiopia	Public Office
Borena Zone Disaster Risk Management Office	Ethiopia	Public Office
Dawa Zone Administration Office	Ethiopia	Public Office
National Drought Management Authority (NDMA) - Marsabit	Kenya	Public Office
ODP VSF Vétérinaires Sans Frontières (VSF) Germany - Marsabit	Kenya	INGO

Recommendations related to future design of projects

The following recommendations are related to the design of new projects in local development planning, based on the gaps identified by the stakeholders:

1. Involvement of all stakeholders in the future should become a practice in the work of the organizations (sub-national entities and CSOs), so that the project activities could better benefit community members.
2. There is a need to consider the cross-border/cross country context and dynamics, cross-border co-existence and inter-relations when designing cross-border projects.
3. When designing new projects in local development planning, there is a need to review existing policies and programming practices that would improve the provision of appropriate services to target beneficiaries.
4. Monitoring and evaluation should be a continuous exercise. A periodic monitoring of project outputs would be critical for the redesigning of the programs/projects.

STAKEHOLDERS' MAPPING AND ANALYSIS IN CLUSTER III

The SECCCI/UNDP project is highly relevant to the stakeholders covered in the mapping. The agro-pastoral sector, which is of great importance to the communities in cluster III, has been dealt with by the concerned government administration in both Kenya and Ethiopia. Development planning, which was supported by SECCCI's interventions, resulted in improved capacities of the communities, local government and civil society. Other areas such as peacebuilding and conflict mitigation efforts by stakeholders are relevant to the SECCCI project, particularly to one of its main objectives, which is the strengthening of the peace dialogue among communities in cross-border areas. The cross-border initiative in Somalia focusses on peace building and early warning and early action response, as the area involves irregular migrations of pastoralists during drought between Kenya, Ethiopia and Somalia.

Local development planning is conducted mainly by government offices with the participation of stakeholders from the civil society. The planning process in the Mandera County government is guided by the Vision 2030 document, the ministry's strategic plan, the sectoral plan, the County Integrated

Development Plan and Annual work plans. The ministry involves the beneficiaries in local planning and development processes at the grassroots level: Sub-County, Ward and Village level.

Cross-border collaboration in local development planning was initiated mainly by the county government in the Kenyan side, more particularly by the County Steering Group (CSG) which conducts regular meetings with other organizations working on the other side of the border. However, the challenge faced by the stakeholders in Kenya and Ethiopia is security, as it is difficult to easily cross the border although there is potential for cooperation in trade of livestock.

The major gap in the planning process is related to the fact that projects submitted by some organizations for approval by CSG in Mandera County were not based on the communities' priorities. The other gap is related to the numerous duplications and overlapping of interventions which are leading to competition between stakeholders. The challenges faced in the implementation of local development plans emerge from the difficult accessibility of cross-border areas due to security issues. The other challenge is related to drought as lack of information related to drought by the local community in cross-border areas is hindering the response to drought and the strengthening of the coping mechanisms of the communities.

List of stakeholders covered in the mapping (Cluster III)

Name of stakeholder	Location	Type of Stakeholder
Mandera County Government-Ministry of Agriculture, Livestock, Fisheries and Irrigation	Kenya	Public Office
IGAD-CEWARN Field Monitor	Kenya	INGO
Mandera Mediation Council (MMC)	Kenya	CBO
NIWETU-DAI	Kenya	INGO
Livestock Office, Dollo Ado Administration	Ethiopia	Public Office
Reconciliation Development Initiatives- RDI	Somalia	INGO

Recommendations related to future design of projects

1. Local development planning needs to focus on improving the resilience of the beneficiaries against climatic shocks and ensure ownership by the local community of the local development interventions.
2. It is important to improve the planning process through the empowerment of local organizations and the development of their capacity in the formulation and implementation of projects on the communities' priorities, so as to enhance the success of the projects.
3. The community needs to be involved in local planning and in the identification of priorities when providing support to marginalized people.
4. The creation of a platform where all organizations submit their project ideas needs to be supported with the purpose to avoid duplications and overlap of interventions which are leading to competition between stakeholders and implying a wastage of resources.

**EXECUTIVE SUMMARY: CAPACITY GAPS IN NEEDS
ASSESSMENT AND PLANNING**

I. THE SCOPE OF THE ASSESSMENT

The assessment aims to: (1) Identify the technical gaps of relevant organizations in the three clusters in terms of carrying out needs assessments related to cross-border development needs; and (2) Identify and prioritize capacity gaps of local organizations in the participation in, and formulation of development plans.

The capacity gaps of relevant organizations in needs assessment and planning are assessed through the following functional capacities: (1) Capacity to engage stakeholders; (2) Capacity to identify and assess needs; (3) Capacity to translate the needs into the formulation of a development plan; and (4) Capacity to monitor and evaluate.

The report on capacity gaps in needs assessment and planning was based on review of secondary data, an online questionnaire, group discussions with respondents and key informant interviews. The report is limited to the analysis of results in Cluster II and Cluster III which have completed the questionnaire. As to Cluster I, only 4 organizations responded to the questionnaire and which analysis cannot provide significant results

II. CAPACITY GAPS IN NEEDS ASSESSMENT AND PLANNING IN CLUSTER II

Almost all organizations (20) in Cluster II (21 stakeholders) responded to the online questionnaire. They are distributed as follows: 40% from Dawa, 40% from Borena and 20% from Marsabit. With the exception of VSF Gemany (INGO), all organizations are national and sub-national entities (public offices). The organizations cover one or several thematic areas/sectors in their interventions. The three most important ones are: Cross-border conflict, peace and security; Gender equality, youth and development; and Health, water and sanitation.

1. Capacity to engage stakeholders in the design and implementation of needs assessment and local development planning

Almost all respondents stated they were able to identify and engage stakeholders in their interventions in needs assessment and in planning. As to the sharing of the data, the major gap was in cross-border cooperation in data sharing. The mobilization of stakeholders in the preparation of a strategic plan and a development plan is not evident.

2. Capacity to identify and assess the needs of local communities

Almost all respondents claimed they have experience in conducting or participating in needs assessments. When asked about their skills in various areas related to needs assessment, most of the respondents indicated to have partially developed skills in several areas (as indicated in the table below).

The capacity of the organizations in the design of the tools of a needs assessment includes the capacity in the collection of secondary and primary data. The capacity in the collection of secondary data varies among the three areas of the cluster. While in Marsabit, all respondents indicated they have a developed capacity in data collection, all organizations in Borena and Dawa (except one) have declared to have a partially developed capacity. The two major reasons that explain the partially developed capacity are related to the lack of staff and the lack of qualified human resources in the responding organizations. The capacity of organizations in the design of the tools of primary data is way less developed than their capacity in the

collection of secondary data. In spite of the fact that most of the respondents indicated that they were trained in needs assessment, they have partially developed capacity in the design of the relevant tools, namely: Key informant interviews, Focus groups, Community group discussion and Quantitative surveys.

All interviewed organizations declared having experience in conducting or participating in joint needs assessments with another organization in the same geographical area, as well as cross-border areas, particularly in cross-border conflict, peace and security, gender equality, youth and development. This is less evident in trade, health, water and sanitation, agriculture and agropastoralism.

3. Capacity to translate the needs into the formulation of a development plan

The survey shows that the capacity of the responding organizations in translating the needs into programmes/projects and into a strategic and development plan is partially developed. This includes the capacity to formulate the goals, strategic objectives and outputs of the strategic plan with their related indicators, as well as the ability to develop an annual plan of activities with a timeframe and budget. This includes also the capacity in formulating a development plan in line with the national development strategy as well as in line with the Sustainable Development Goals (SDGs), the use of tools such as the SWOT analysis in the preparation of a development plan, the formulation of outputs with their related indicators and the development of an action plan.

4. Capacity to monitor and evaluate

Monitoring and evaluation are particularly relevant to public offices which are involved in development planning, as monitoring and evaluation plans have to be prepared in the planning phase. The capacity of responding organizations in M&E is not well developed, as indicated in the table below.

Conclusions

In summary, the most important capacity gaps are as follows:

Stakeholders' engagement and mobilization	Percentage of organizations with Partially developed capacity (%)
Ability to mobilize stakeholders in the preparation of a strategic plan	75
Ability to mobilize stakeholders in the preparation of a development plan	75

Needs assessment	Percentage of organizations with Partially developed capacity (%)
Qualitative, participatory research methods	85
Technical and sector expertise	85
Understanding of cross-cutting issues, such as gender and environment	90
Conflict/Gender Sensitive, baseline assessments	85
Data management and analysis	85
Capacity to review documents and collect the required data on a specific thematic area/sector	75
Capacity in designing the tools for primary data collection	75

Development planning	Percentage of organizations with Partially developed capacity (%)
Skills in the formulation of programmes and in project design	85
Capacity of the organization in strategic planning	75
Capacity of the organization in evidence-based development planning	75
Identification of capacity gaps in the organization through SWOT analysis	75
Implementation of results-based management planning through SWOT analysis	80

M&E	Percentage of organizations with Partially developed capacity (%)
Capacity to monitor and evaluate	75
Sharing data across borders	80

III. CAPACITY GAPS IN NEEDS ASSESSMENT AND PLANNING IN CLUSTER III

A total of 26 organizations representing 50 percent of total stakeholders in Cluster III responded to the online questionnaire. They are distributed per country as follows: 6 from Kenya, 10 from Ethiopia and 10 from Somalia; the disaggregation by type of organizations is as follows: 8 public offices, 7 NGOs, 2 CBOs and 9 INGOs. The two most important thematic areas/sectors covered by the organizations are: Health, water and sanitation and Cross-border conflict, peace and security.

1. Capacity to engage stakeholders in the design and implementation of needs assessment and local development planning

While most respondents in Kenya and Ethiopia were able to identify relevant key stakeholders in the design and implementation of needs assessment, only one third of respondents in Somalia was able to identify them. Almost all targeted organizations in the survey confirmed they were sharing the findings of the needs assessment with stakeholders. Sharing the findings with the public is less evident particularly in Somalia as well as by the Public offices in the cluster. When asked about the sharing of data with stakeholders on both sides of the border, the results are less encouraging, particularly for the NGOs and INGOs.

The ability to mobilize stakeholders in the development of the strategic plan is less evident, particularly in both Ethiopia and Somalia. This also includes the ability of the responding organizations in Somalia to engage appropriate stakeholders in the provision of inputs during the planning process.

2. Capacity to identify and assess needs of local communities

The capacity of leading a needs assessment is not quite developed in most of the organizations, as the respondents were more likely to participate in an assessment conducted by another organization. The findings show that INGOs have the most developed capacity in leading and conducting a needs assessment as compared to Public offices and NGOs. None of the CBOs has such capacity.

When asked about their skills in various areas related to needs assessment, the areas where the respondents have partially developed skills are in Data management and analysis; Conflict/ Gender Sensitive, baseline assessments; Technical and sector expertise; Qualitative, participatory research methods; and

Understanding of cross-cutting issues, such as gender and environment. When comparing the level of capacity among different types of organizations, NGOs appear to have the highest percentage of respondents with partially developed capacity.

Most of the organizations of the sample consider having a developed capacity in the collection of secondary data. When comparing between different types of organizations, the findings of the survey reveal that NGOs have the highest percentage of respondents with partially developed capacity. The organizations indicated several reasons for their partially developed capacity, namely: Lack of qualified staff, lack of human and financial resources, little experience in the collection and analysis of data, and the daily workload which prevents them to collect and analyze data. The capacity of organizations in designing tools of primary data is way less developed than the capacity in collecting secondary data. While almost all INGOs have a developed capacity in the design of the tools for primary data collection, the percentage of respondents with partially developed capacity is the highest for CBOs, followed by NGOs and Public offices.

Almost all interviewed organizations consider having experience in conducting or participating in joint needs assessment with another organization in the same geographical area, while a lower percentage in joint needs assessment in cross-border areas. Cooperation between the three countries of the Cluster in joint needs assessment in cross-border areas was concentrated mainly in the following thematic areas/sectors by order of importance: Cross-border conflict, peace and security; Health, water and sanitation; Gender equality, youth and development; and Agriculture.

3. Capacity to translate the needs into the formulation of a development plan

The survey shows that the capacity of the organizations in the formulation of programmes and in project design as well as in the formulation of programmes in conflict affected environments is not well developed. The organizations with less developed capacity in the formulation of programmes and project design are the CBOs, followed by the NGOs and Public offices. INGOs, however, have the highest percentage of organizations with less developed capacity in the formulation of programmes in conflict affected environments, followed by the Public offices and NGOs.

One of the main requirements to prepare a strategic plan and development plan is the identification of the needs of a community or a target group or sector. Although the majority of organizations claimed to have the skills related to strategic planning, those with partially developed capacity have gaps in developing indicators for the goals, strategic objectives and outputs of the strategic plan, developing an annual plan of activities with a timeframe, as well as applying conflict/gender sensitive programming in strategic planning and project implementation.

The capacity of the organizations to conduct a SWOT analysis varies between the three countries, with Somalia having the lowest capacity. The SWOT analysis was considered useful by the majority of respondents in the formulation of a strategic plan, the identification of capacity gaps in the organization and the implementation of a results-based management planning. Public offices have used more than any other organizations the SWOT analysis in results-based management.

4. Capacity to monitor and evaluate

The capacity of organizations in monitoring and evaluation is quite developed. The main areas where the organizations have less developed capacity are by order of importance: Ability to prepare the terms of

reference for external mid-term and final evaluation of the plan/project; the ability to integrate conflict related issues in monitoring and evaluation; and the integration of gender equality in the formulation of performance indicators.

Conclusions

In summary, the most important capacity gaps are as follows:

Needs assessment	Percentage of organizations with Partially developed capacity (%)				
	INGO	NGO	CBO	Public office	Total organizations
Sharing the findings of an assessment with the public	44.4	14.3	50	62.5	42.3
Sharing data in cross-border areas	55.6	57.1	100	37.5	54
Leading and conducting a needs assessment	55.5	85.7	100	62.5	69.2
Capacity to collect secondary data	11.1	71.4	50.0	25.0	34.6
Skills in qualitative, participatory research methods	22.2	71.4	100	12.5	38.5
Technical and sector expertise	33.3	42.8	50	37.5	38.5
Capacity in designing the tools for primary data collection	11.1	42.9	100	37.5	34.6
Conflict/Gender Sensitive, baseline assessments	11.1	57.1	100	50	42.3
Data management and analysis	66.7	85.7	100	62.5	73.1

Development planning	Percentage of organizations with Partially developed capacity				
	INGO	NGO	CBO	Public office	Total
Skills in the formulation of development programmes and project design	44.4	57.1	100	50	53.8
Formulation of programmes in conflict affected environments	55.6	42.8	100	50	53.8
Capacity to use SWOT analysis in development planning	33.3	57.1	50	50	46
Implementation of results-based management planning through SWOT analysis	44.5	57	50	25	42.8
Use of SWOT analysis in strategic planning	22.2	28.5	100	37.5	34.6

M&E	Percentage of organizations with Partially developed capacity				
	INGO	NGO	CBO	Public office	Total
Ability to integrate Conflict related issues in monitoring and evaluation	22.2	28.6	50	37.5	30.8
Ability to prepare the terms of reference for external mid-term and final evaluation of the plan/projects	33.3	28.6	50	37.5	34.6

EXECUTIVE SUMMARY: CAPACITY DEVELOPMENT PLAN

I. THE SCOPE OF THE CAPACITY DEVELOPMENT PLAN

The proposed Capacity Development Plan is based on the findings of the capacity gaps in needs assessment and planning as well as on the stakeholders' mapping and analysis. The capacity development plan also elaborates on the requirements for an effective and successful plan. The topics of the training are formulated for the most important capacity gaps that need to be addressed. The following table consolidates the capacity gaps that are addressed in a number of proposals of priority tailored training.

Proposals of priority tailored training	Capacity gaps
Stakeholders' engagement and mobilization	Ability to mobilize stakeholders in the preparation of a strategic plan and a development plan
	Sharing data in cross-border areas
	Sharing the findings of an assessment with the public
Conducting a needs assessment	Leading and conducting a needs assessment
	Conflict/Gender Sensitive, baseline assessments
Secondary data and research	Capacity to collect secondary data
	Skills in qualitative, participatory research methods
Design of the tools of a needs assessment: primary data	Capacity in designing the tools for primary data collection
Data management and analysis	Data management and analysis
Project design and formulation	Skills in the formulation of development programmes and project design
	Formulation of programmes in conflict affected environments
Strategic planning	Capacity of the organization in strategic planning
SWOT analysis	Use of SWOT analysis in strategic planning
	Capacity to use SWOT analysis in development planning
Planning for disaster and crisis response	Cross-border capacities for early warning, preparedness, mitigation and response to disasters
Facilitators for Moderating Dialogues	Capacity of peace committee members in moderating dialogues
Planning, Monitoring and Evaluation	Capacity to monitor and evaluate
	Ability to integrate Conflict related issues in monitoring and evaluation

II. PROPOSALS FOR PRIORITY TAILORED TRAINING

Training objectives are presented for each of the training proposals.

1. Stakeholders' engagement and mobilization in needs assessment and development planning

- To identify the Organization's key stakeholders and their concerns and expectations, and to explore how they influence the Organisation;
- To enhance capacity of the participants in identifying the Organization' allies and opponents when taking a course of action;
- To provide the participants with tools to explore how an organization can bring new supporters to its position.

2. Conduct a conflict sensitive needs assessment

- Define the scope and rationale of the assessment
- Identify the users of the assessment and decide on the assessment products
- Formulate an assessment methodology

- Organize and manage the assessment
- Analyze the findings of the assessment

3. Secondary data and research

The purpose of the course is to help participants to identify issues that need further research and identify sources for the research.

4. Capacity development of stakeholders in the design and collection of primary data

4.1 Designing surveys

The purpose is to assist organizations in the design of surveys related to specific target groups/sectors and prepare the closed and open-ended questions. The course will also provide the organizations with an overview of the rationale for surveys and how they can structure ways to carry them out.

4.2 Using Focus Groups

The purpose is to enhance understanding of the participants on the benefits of a focus group and the ways it should be handled and to enable them to identify the specific issues to be addressed.

5. Data management and analysis

- To build the knowledge and skills of the participants – technical and management staff - in the methods and tools of Data management, analysis and reporting.
- To enable participants to use the data in the analysis of the needs of target groups/sector and more particularly to enable them to lead emergency response information management (conflict, drought, climatic changes, etc...).

6. Project design and formulation

- Understand the importance of project design and formulation and the challenges faced in this regard;
- Learn about the principles, components and basics of project design and formulation
- Learn about Project Cycle Management;
- Design a project theory of change and results framework;
- Prepare an action plan and a budget

7. Strategic planning

The proposed training course aims to support organizations in the formulation of a concrete, relevant and feasible strategic plan with the participation of relevant stakeholders. In the course, the participants work together, with the support of a facilitator, to formulate the main components of a strategic plan: vision, mission, strategy, goals, objectives and related indicators, plan of action and a corresponding budget.

8. SWOT Analysis

- To identify the internal strengths and weaknesses of an organization
- To identify the opportunities and threats in the external environment through the PESTEL assessment

9. Planning for disaster and crisis response

The overall aim of the training is to build the knowledge and skills of the participants – technical and management staff - in crisis contingency planning, resource needs assessment and mobilization planning, to enable participants to lead emergency response for disaster and crisis.

10. Building capacity of facilitators for moderating dialogues with emphasis on Peace committees

- To facilitate a process of economic, political and social cohesion inclusive of all communities in cross-border areas
- To identify, select, capacitate and train a group of dialogue facilitators from the peace committee members as well as religious and community leaders, who can moderate and actively support cross-border dialogue in conflict mitigation and peacebuilding.

11. Planning, monitoring and evaluation

The proposed training aims to enhance the understanding of participants on the linkages between planning, monitoring and evaluation, the RBM results chain and the results matrix, the preparation of a monitoring plan, the collection of data and the preparation of a monitoring report.

III. REQUIREMENTS FOR AN EFFECTIVE CAPACITY DEVELOPMENT PLAN

1. Organizational change: a requirement for capacity development and its sustainability

To be effective, the capacity development responses/plan should encompass and go beyond the development of capacity in needs assessment and planning. It should include the strengthening of the organization in terms of governance, leadership, mutual accountability mechanisms, decision making process, institutional reforms and policy and legal framework. Capacities, in fact, need to become embedded in processes and incorporated in the culture of the organization, in order to ensure the sustainability of the capacity development.

2. Forming consortia or coalitions among organizations as a means to enhance capacity development

The promotion of coalitions/networks or the formation of consortia among few organizations will enable the organizations to better meet the needs of communities, as community expectations go often beyond the mandate of individual stakeholder or beyond its limited resources. This would require enhanced cooperation among relevant organizations through joint programming, interventions and resources sharing.

3. Creation of an online platform

The creation of an online platform would allow for coordination of capacity development interventions among organizations with the purpose of avoiding duplications which could lead to competition between stakeholders and to a wastage of resources. It would also enable the various organizations to share ideas and express their needs in capacity building, thus maximizing the benefits of training for all stakeholders.

4. Creation of core units on capacity-building

The creation of core units on capacity development will contribute to a more effective and sustainable capacity development interventions. A core unit could be formed by several organizations which have a capacity in a specific specialized area (such as M&E, strategic planning, governance, human resource management, financial management, needs assessment, etc...). There will be a need to build the capacity of these units as part of a Training of Trainers programme. The units will be therefore in charge of supporting the various stakeholders in capacity development.

