

OCHA LESSONS LEARNED REVIEW
OF THE
KENYA NATIONAL ELECTION
HUMANITARIAN PREPAREDNESS PROCESS

CONSULTANT'S FINAL REPORT

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Robert Vandenberg
Senior Associate
Mosaic.net

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LIST OF ACRONYMS

ACAPS	Assessment Capacities Project
AusAid	Australian Agency for International Development
CP	Contingency Planning
CRC	Crisis Response Centre
DFID	Department for International Development, United Kingdom
DRR	Disaster Risk Reduction
ECB	Emergency Capacity Building Project
ECHO	European Community Humanitarian Aid Office
EHRP	Emergency Humanitarian Response Plan
ERF	Emergency Response Fund
EU	European Union
IASC	UN Inter-Agency Standing Committee
ISWG	Inter-Sector Working Group
KHPT	Kenya Humanitarian Partnership Team
KIRA	Kenya Initial Rapid Assessment (an assessment mechanism)
KRCS	Kenya Red Cross Society
LLR	Lessons Learned Review
MoSSP	Ministry of State and Special Programs
NDMA	National Drought Management Authority
NDOC	National Disaster Operations Centre
NFIs	Non-Food Items
NRC	Norwegian Refugee Council
OCHA	Office for the Coordination of Humanitarian Affairs
RTE	Real Time Evaluation
SDC	Swiss Agency for Development and Cooperation
UNDAF	United Nations Development Accountability Framework
WASH	Water, Sanitation, and Hygiene
WV	World Vision

1. EXECUTIVE SUMMARY

Between March 2012 and April 2013, the Office for the Coordination of Humanitarian Affairs (OCHA), Eastern Africa, ramped up its coordination of humanitarian preparedness efforts in Kenya. This was in response to a common risk assessment that suggested a high likelihood and significant potential impact of election violence as Kenya moved towards its latest round of national elections. During this preparedness period, OCHA, the Government of Kenya, and other humanitarian partners organized a number of preparedness activities, such as, risk assessment and mapping, scenario building, contingency planning, resource mobilization, pre-positioning of response resources, and situation reporting. National elections took place in early March 2013, and OCHA's humanitarian preparedness work quickly wound down after election results were announced and it became clear that election violence had largely been avoided.

After the immediate risk abated, and supported by the Kenya Humanitarian Partnership Team (KHPT), OCHA organized a lessons learned review (LLR) of this humanitarian preparedness process. The review was facilitated by an external consultant and took place in late May 2013 while memories of front-line officers directly involved in the preparedness process were still fresh.

In general, there was a high level of satisfaction within the government and among humanitarian partners in Kenya with the coordination, contingency planning, resource mobilization and information management that had characterized the preparedness process. This was summed up in the words of one respected, experienced, and high-level NGO representative who exclaimed, with justified pride: "by the end, we were over prepared".

The review consulted extensively and led to fifteen identified lessons learned that were endorsed by the KHPT. The period of reflection, and the new knowledge that resulted from the LLR, led to five recommendations which are presented as part of this final report. The recommendations have also been endorsed by the KHPT and can be summed up as follows:

- Further national humanitarian contingency planning capacity building should be integrated into Kenya's UNDAF;
- External investment in strategic, central-level, best-practice humanitarian preparedness coordination should continue so that humanitarian preparedness is not forgotten;
- Residual humanitarian response coordination structures at sub-national level, aligned with the government's own evolving disaster response architecture, should be encouraged;
- Additional investments should be made in a multi-sector, inter-agency, initial rapid assessment tool that can be used with credibility and consistency in Kenya; and
- The application of advanced social media technology to serve humanitarian preparedness should be encouraged through a coordinated, coalition approach.

2. BACKGROUND

Since 1992, Kenya has experienced pre-election violence in the lead up to national elections. In the 2007 to 2008 election campaign, more than 1,130 people died and at least 600,000 people over five provinces were displaced. Concerns regarding potential election violence, internal displacement of people, and related humanitarian issues, led OCHA, Eastern Africa, to prioritize preparedness including contingency planning prior to the Kenyan 2013 national elections. This is consistent with Inter-Agency Standing Committee (IASC)¹ guidelines. An inter-agency process to increase preparedness is considered best practice, and essential to ensure that humanitarian actors can effectively and efficiently manage conflicts and crises as they arise.

The process of developing and implementing a national contingency plan for Kenya, related to the risk of election violence, was led by the National Disaster Operations Centre (NDOC) within Kenya's Ministry of Provincial Administration and Internal Security. The government's Crisis Response Centre (CRC) under the Office of the Prime Minister and Coordinated by the Ministry of Special Programmes, was equally involved. Consistent with its global role and mandate, OCHA, in collaboration with its government interlocutors, assisted Kenya in its humanitarian preparedness, and helped coordinate the national contingency plan².

In April 2012, OCHA began to ramp up its coordination of preparedness efforts, and for the next 12 months, this was a major preoccupation of its Eastern Africa Regional office. National elections took place in Kenya on March 4, 2013, and in early April, Kenya's new President was sworn into office. Following this period of intense humanitarian preparedness activity, OCHA organized a LLR. This was discussed and supported by the KHPT. It was also discussed with the Evaluation Section of the Assistant Under-Secretary General for Humanitarian Affairs at OCHA's headquarters in New York. Terms of reference were approved for the review and an external consultant, Robert Vandenberg, a Senior Associate of Mosaic.net International, was commissioned by headquarters to lead and facilitate the lessons review work. The consultant was selected for his background in humanitarian work and also for his strong facilitation and cross-cultures communication skills.

¹ The UN Inter-Agency Standing Committee (IASC) is a global mechanism for inter-agency coordination of humanitarian assistance. Established in 1992, it is a unique forum involving key UN and non-UN humanitarian partners.

² *The National CP to Manage Possible Effects of the 4th March 2013 Electioneering – All Sector-Inclusive Disaster Management CP*. Ministry of State for Provincial Administration and Internal Security and Ministry of State for Special Programmes, January 2013.

3. PURPOSE AND OBJECTIVES OF THE REVIEW

The purpose of this LLR is to draw learning from those most directly involved with OCHA in recent preparedness and contingency planning activities. Conducting an LLR following a significant preparedness intervention is part of OCHA's ongoing commitment to promote learning and accountability. OCHA seeks to identify areas where humanitarian, development and government partners worked successfully together to strengthen emergency preparedness and response capacity in Kenya and globally. Specific objectives of this LLR are to:

- Assess the preparedness and contingency planning activities supported and facilitated by OCHA and associated partners to learn what worked well and what did not and why; and
- Identify where humanitarian and development partners might continue to strengthen emergency preparedness and response capacity in Kenya in the specific context of devolution and transition.

4. SCOPE AND USE OF THE REVIEW

The timeline considered by this review is the 12-months period from May 2012 to April 2013. The four key areas examined included a) preparedness coordination, b) contingency planning, c) resource mobilization, and d) information management and reporting. The primary users of the review are meant to be OCHA managers in the regional office and within headquarters, the members of the KHPT and their respective organizations, and other key stakeholders directly involved in humanitarian preparedness and contingency planning in Kenya.

5. METHODOLOGY OF THE REVIEW

This LLR assessed operational activity while memories of front-line officers were fresh and people could easily recall events. It adhered to the following principles:

- To be an inclusive, participatory process seeking input from front-line stakeholders directly involved in the activities reviewed;
- To focus on a limited number of key issues (coordination, contingency planning, resource mobilization, and information management);
- To provide a non-judgemental, safe environment without seeking attribution nor retribution for input and observations;
- To help build a shared understanding among participants of how activities unfolded, and the constraints and complexities faced; and
- To feed directly into action through a number of recommendations.

It was participatory in that it emphasized field personnel as sources of wisdom. It included three participatory focus groups which relied on small group work, brainstorming, sorting and prioritizing. In each of the three focus groups (with Kisumu hub partners, with the Inter-Sector

Working Group (ISWG) members, and with the KHPT), the consultant used “dot democracy”³ to facilitate peer review, and quantify qualitative data around what worked best, where gaps were experienced, and where consensus was strongest. The third focus group session, with members of the KHPT, helped verify key lessons learned and prioritize recommendations.

As part of its work, the LLR considered existing reviews, mission and hub reports, KHPT and ISWG minutes, and other written reflections on the preparedness effort. For example, as part of its own learning, OCHA staff had already visited each of eight coordination hubs in April and carried out hub-level lesson learned sessions there. This information was further collated and integrated by the consultant as part of this larger lessons learned review.

The consultant interviewed 65 people directly involved in the preparedness activities (see Annex 1). Interviews were one-on-one and face-to-face, in a few cases by telephone, and in small and large groups. There were also detailed discussion and reflections within the OCHA team. Through interviews with key partner representatives, the consultant himself was able to collect detailed reflections (primary data) from four of the eight hubs: Kisumu, Nairobi, Nakuru, and Isiolo.

The LLR included two-weeks of work by the consultant in Kenya. The consultant worked with his local OCHA contact to confirm specific review questions (lines of inquiry) organized under the four key areas reviewed. Sub-lines of inquiry provided further data and detail within each of these four main areas. Prior to interviews and group meetings, the consultant prepared interview protocols so that all scheduled interviews and group meetings effectively focused on the LLR’s objectives and scope. The local OCHA team provided excellent technical backstopping plus logistics and administrative support (transport, scheduling interviews, hotel bookings, office space, etc.).

6. FINDINGS OF THE REVIEW

6.1. Coordination

Humanitarian coordination is central to OCHA’s mandate. The review confirmed a wide ranging appreciation for OCHA efforts in this role. Election preparedness in Kenya involved a myriad of actors including an array of government ministries and departments, and at the sub-level level, District Steering Groups, District Commissioners, sector-specific District Technical Officers, and District Disaster Management Committees. There are also newer County-level structures coming

³ Dot democracy is a sorting and prioritization or rating technique often used by Mosaic.net to liven debate and discussion during facilitated sessions. The method uses stickers (small red and black dots) to allow participants to indicate or “vote” their level of agreement or preference.

into play. In addition to the government, important stakeholders included UN organizations, international NGOs, and national or civil society organizations (churches, mosques, chambers of commerce, local NGOs, etc.). Some of the key stakeholders interviewed as part of this review are summarized below (for a complete list, see Annex 1):

Government of Kenya: Prominent stakeholders met included the Crisis Response Center (CRC) under the Office of the Prime Minister and Coordinated by the Ministry of State for Special Programs, the National Disaster Operations Centre (NDOC) under the Ministry of Provincial Administration and Internal Security, and the National Drought Management Authority (NDMA), under the Ministry for the Development of Northern Kenya and other Arid Lands. NDOC, was established by an act of Parliament in 1998, and has been a focal point for coordinating response to domestic emergencies and disasters. Together with CRC, it serves as the command centre for communications and information relating to response operations.

United Nations: Most prominent included UNICEF and WFP. As might be expected, UNICEF was directly involved in education, nutrition, and water, sanitation and hygiene. UNICEF had resources and a strong field presence and experience which allowed it to take effective hub leadership in Kisumu and Garissa. Likewise, the WFP had strong field presence and experience, and its field-based infrastructure and food and logistics resources allowed it to take hub leadership in Mombasa and Isiolo. In addition, the consultant had discussions with IOM (shelter and NFIs).

NGOs: Many international NGOs, and their national Country Offices were directly involved in preparedness. Those interviewed by the consultant included CARE, CONCERN, World Vision (WV), Norwegian Refugee Council (NRC), and HelpAge. World Vision had sufficient field presence to take on a shared hub leadership role with WFP in Isiolo and Mombasa, while NRC took this responsibility in the Nakuru hub, and CONCERN in Nairobi. Perhaps the most important NGO interviewed was the Kenya Red Cross Society (KRCS). As government-delegated first responder, the KRCS has unparalleled access across the country. With a vast resource capacity through its connection to the International Federation of Red Cross and Red Crescent Societies (IFRC) and partner national societies (German Red Cross, British Red Cross, etc.) this Kenyan NGO is the front-end of the country's humanitarian response potential.

Annex 2 provides a timeline of major milestones for humanitarian preparedness related to potential election violence. Given the many stakeholders involved, and the often overlapping mandates, coordination became a key determinant of preparedness success. Starting in early 2012, OCHA began to envisage and encourage a strategic pathway for preparedness including the important 4-pillar preparedness approach: humanitarian *and* early warning, security and mass causality. In a series of high-level meetings, a specific approach and timeline was approved by the government through the CRC and NDOC. This further encouraged investment of human and financial resources by response partners. Direct involvement by KRCS, and its considerable resources, made full coordination possible.

Leadership and involvement of government in election preparedness in Kenya was complex and convoluted. However, the experience of the previous election, the referendum on the new constitution, and the looming risk of the 2013 national election, encouraged government focus on humanitarian preparedness despite many other political priorities and preoccupations. The 4-pillar preparedness advocated by OCHA allowed the government and the humanitarian community to focus attention on a humanitarian response mandate, while still encouraging other important coordination loci around police and anti-terrorism work, and flood and drought early warning. A willingness to commit from government was a prerequisite to effective coordination. The LLR found that helping GoK embrace its central role as disaster management authority, was a shared goal across the humanitarian community.

There were also efforts by OCHA to re-activate the KHPT, and in this way, support recommendation made by the OCHA-chaired Inter-Sector Working group. Consistent with global IASC humanitarian coordination architecture⁴, the KHPT, chaired by the Resident Coordinator, is a strategic and operational decision-making forum composed of operationally relevant humanitarian organizations (both UN and non-UN) focusing on common strategic and policy issues related to humanitarian action. In Kenya this team had lost its stamina and in early 2012 was not grasping the full implications of risk related to potential election violence. Changes at the Resident Coordinator level, and advocacy by OCHA, UNICEF and individual donor representatives (including EU, USAID and SDC), reactivated this important decision making body so that action could be taken on recommendations raised by the ISWG. In Kenya, throughout the election preparedness process, the ISWG acted as a technical team that provided inter-cluster (health, food, NFIs, education, water sanitation and hygiene, etc.) coordination and advice and direction to the KHPT.

6.1.1. Creation of Preparedness Synergy

A review during the LLR of the preparedness timeline, and the important milestones achieved, reminded stakeholders how different preparedness activities supported each other. Synergy in learning, collaboration, resource sharing and mobilization resulted when stakeholders were brought together around discreet preparedness activities. And preparedness led to new levels of coordination between early warning, peace-building and humanitarian groupings. One example was the convergence through the Isiolo hub of an established CBO consortium focused on prevention and peace building (Isiolo Working Group), with humanitarian stakeholders more focused on food and NFI distribution. Another example was the integration of government-chaired District Peace Committees and County Peace Forums into hub-level preparedness planning. As explained by one senior UN officer, “this helped imbed early warning, peace and conflict work into the bigger picture of preparedness efforts”.

⁴ See for example, *Handbook for RCs and HCs on Emergency Preparedness and Response*, IASC, 2010

Lessons Learned #1 - Synergy between discreet preparedness activities (revitalizing KHPT and ISWG, risk mapping, contingency planning, simulations, development of a rapid assessment tool, resource mobilization, reporting, etc.), many of them strategically orchestrated and process managed at least in part by OCHA, opened new communication channels and built trust between actors at sub-national level and between the sub-national and national level.

Also important was the protection that this wider collaboration and coordination provided. Pooling efforts, and in a sense, merging identities of humanitarian actors, made it more difficult to single out any one organization and accuse it of favouring one constituency over another. The humanitarian voice was louder, and was a stronger advocate for humanitarian preparedness when spoken from a coordinated position.

6.1.2. Creation of Coordination Hubs

Early coordination focused on government leadership, risk mapping, contingency planning, and rapid assessment methods. By June 2012, the concept of forming temporary coordination centres or “hubs”, geographically aligned with high-risk hotspots, was endorsed. Various partners stepped forward to volunteer as hub leads. They encouraged appropriate code-of-conduct through peer-to-peer scrutiny, sharing, and learning. Because they were authorized by central government, they formed a critical coordination role between Nairobi and counties and divisions. During the ECHO partner’s program review attended by the consultant, one spokesperson described these hubs as “small OCHAs located in the regions”.

Hub Coverage and Focal Point

- Nairobi Hub – CONCERN Worldwide
- Kisumu Hub – UNICEF
- Eldoret Hub – IOM/OCHA
- Nakuru Hub – Norwegian Refugee Council
- Lodwar Hub – OCHA
- Mombasa Hub – WFP/World Vision
- Garissa Hub – UNICEF
- Isiolo/Marsabit Hub – WFP/World Vision

The consultant visited the Kisumu hub, and also interviewed staff leading or directly involved in the Nairobi, Nakuru, and Isiolo hubs. Some of these hubs were late in getting established (for example Kisumu hub was not officially formed until January 2013), and at least one hub (Mombasa) had significant management challenges. However, in general, there was a strong consensus that these hubs played a very important coordination role. OCHA did not have sufficient resources to surge adequately in these eight hubs. Therefore, finding partners willing and able to use their own resources was important, although not without significant burden to organizational volunteers.

Lesson Learned #2 - Strategically located response coordination centres or “hubs” aligned with eight geographic “hotspots” were a very positive and effective innovation.

Given Kenya's complex political context, and the transition to devolution, hubs did not conform to sub-national political boundaries which meant there was not an automatic alignment with government departments and counties. OCHA pushed for expediency, believing that temporary coordination hubs were an important part of mobilizing coordination efforts to quickly build momentum. OCHA believed that the hubs themselves would be able to reach out to county and district-level government interlocutors. And this is indeed what happened. Typically, partners working at the hub level already had established relationships of trust with influential government representatives, including active County and District Commissioners, and with District Technical Officers. For example, when the consultant interviewed a technical officer in Kisumu working as a water engineer at provincial level, the individual was well versed on preparedness activities, having been directly brought into planning meetings and invited as a trainee and active participant to various contingency planning and rapid assessment workshops.

As part of election preparedness, eight humanitarian preparedness and response coordination hubs were established, aligned with identified potential hotspots across the country. The coordination hubs, run by UN and NGO agencies with established on-the-ground presence, provided support for information collection, analysis, dissemination and reporting. The hubs mobilized national capacities in support of wider Government contingency planning and enabled effective training, for example, KIRA workshops co-facilitated with experts from the Assessment Capacities Project (ACAPS), Emergency Capacity Building Project (ECB), and UNICEF. Training sessions included officers from the Government of Kenya (GoK), the Kenya Red Cross Society (KRCS), UN agencies and NGOs.

Lessons Learned #3 - Hubs were encouraged to work directly with County and District Commissioners, and they did. In this way, central disaster management coordination was strengthened “from below”.

In each case, clarity from OCHA and from senior host-organization managers regarding the terms of reference for hub coordination work helped the hubs quickly fulfill their roles. Each hub had its own context, unique coordination story, and specific lessons learned. That said, patterns can be observed. Hubs worked best when coordination capacity was already in place and being practiced. The institutional lead of the hub was an important determinant of success. For example, although the Kisumu hub started late, it was already active through long-standing UNICEF programming managed from its Kisumu field office. These contacts were tapped and local planning meetings adjusted so that preparedness became a central agenda item. The significant UNICEF office assets, and UNICEF surge field presence for several months before the election, meant that this hub played an important coordination role despite its late start.

In Isiolo, the already established collaboration between WFP and WV, the significant field infrastructure of these partners in Moyale, Marsabit, and Isiolo, and motivated, field-based professional humanitarian officers, assured effective coordination. For example, the WFP co-lead for the Isiolo hub had more than 6 years local experience to draw from, compared to surge

capacity which can sometimes bring in professionals with limited local knowledge. Joining WV's six Moyale-based sub-office staff and its network and experience in peace building, with WFP's 14 staff, and its network, logistics, and knowledge of Marsabit – where WFP has a sub-office – created a formidable coordination hub. Co-leading was considered “a very positive experience” for WV and WFP officers working at this hub. Local CSO representatives who had been active in the Isiolo hub and who were interviewed during the LLR considered hub-led coordination to have been “extremely important because it reduced duplication of effort” and sponsored preparedness planning activities.

The Isiolo hub supported closer collaboration with the active Isiolo County Governor, and with the local KRCS branch office. Hub coordination led to the creation of an equipped response centre in Isiolo in the days before the March 4 election, resourced with trained CSO volunteers. This helped build awareness around gender-based violence, an area in which these CSOs had strong competence based on locally relevant experience.

In the Nairobi hub, CONCERN, an international NGO, took the hub-lead role and used its established network, infrastructure and program resources to quickly mobilize and coordinate preparedness. In November, some of its existing program funds were re-profiled which allowed CONCERN to hire a full-time experienced consultant as hub coordinator. The coordinator's first task was relationship building with District and County Commissioners, and encouraging these individuals to lead and participate in preparedness activities. Likewise, the coordinator worked directly with KRCS interlocutors and with District Peace Committees to encourage coordinated involvement of these stakeholders.

In Nakuru, it was the NRC that volunteered as hub lead, starting in October 2012. Building on its core competence working with IDPs, and its experience mapping tensions in the area, NRC tasked 2 field-based officers full time to the coordination effort. The NRC relationship with OCHA was initiated within the Nairobi-based ISWG meetings which NRC was attending through the protection cluster. NRC's infrastructure in Nakuru, its on-the-ground local staff, established relationships with government, and its existing shelter program budget, funded by the Africa Development Bank, enabled NRC to be an effective host coordinator. The NRC was also able to mobilize additional surge capacity, including a 3-month Emergency Response Coordinator position, using additional funds that it managed to secure from the Norwegian government.

Lessons Learned #4 - Important determinates of hub effectiveness were a) baseline coordination capacity (what was already there, including management by experienced humanitarian professionals); b) clarity on hub roles and responsibilities; c) additional surge capacity over the short crisis period when the hubs were most active; and d) support from locally active and resourced partners.

6.1.3. Coordination of a Multi-Agency Rapid Assessment Tool

The real-time evaluation (RTE) of the Horn of Africa drought response commissioned by the IASC for Kenya highlighted the need for an interagency, multi-sector assessment framework to help coordinate, analyse, and assure timely response to humanitarian crisis. The UN and donors were keen to learn from the drought response, considered by many stakeholders to have been slow and at least initially, ineffective. The requirement for a tool that could help Kenya coordinate initial rapid assessments among humanitarian actors, immediately after a short-onset crisis erupts, was discussed, and it was agreed that such a tool should be available as part of election violence preparedness. Instigated by OCHA, and on behalf of the KHPT, in June 2012 a partnership was announced with UNICEF and the ECB, supported by ACAPS. This launched the development of a multi-sector, multi-agency Kenya Initial Rapid Assessment (KIRA) mechanism, initially, almost 100 percent funded by UNICEF. The mechanism – geared for rapid onset crisis – consciously drew on global best practise⁵.

“A formal humanitarian analysis through a structured analytical framework, can serve to improve the timeliness of the response to those in need, better engage preparedness steps, facilitate better decisions, and increase transparency in decision-making process”.

IASC RTE of the Humanitarian Response to the Horn of Africa Drought Crisis, Kenya, 2012

Following this June launch, a significant amount of coordinated effort took place, starting with advocacy and building support across government and the KRCS. Awareness, humanitarian partnership building, and KIRA design was followed with development of guidelines and templates, a KIRA website, and a training rollout for facilitators and trainers using the hub structure. In total more than 250 staff from UN agencies, NGOs, the KRCS and the Government of Kenya were trained between October 2012 and March 2013. Training was initially designed and delivered by ACAPs with support from the other organisations in the core team and was later taken up by Red R. The tool has now been piloted at least six times, since January 2013 in response to inter-communal violence and more recently, in response to floods.

The development of the tool is ongoing and as this LLR report is being written, the KIRA mechanism is being evaluated by an external consultant. Overall the tool has generated notable buy-in and there is growing consensus (GoK, KRCS, UNICEF, OCHA, ECHO and others) that KIRA is an appropriate step forward for Kenya. At the same time, significant concerns about some aspects of the KIRA mechanism were communicated to the consultant. Concerns include the timeliness with which KIRA is deployed, for example, after recent flooding, the first KIRA mission took more than 10 days to complete its report. Also, an ongoing commitment to an inter-agency and multi-sector approach, a pre-requisite for KIRA effectiveness, was questioned by

⁵ See for example, *IASC Multi-Cluster/Sector Initial Rapid Assessment (MIRA)*, IASC, March 2012

some members of the KHPT. Will a government department, or an institution closely affiliated with government, be able to maintain a neutral, non-politicized assessment? There were also questions about the effective link between assessment and appropriate response, and the potential weakness of data analysis. How will KIRA missions be coordinated and triggered? Where in government (or within the KRCS?) will KIRA be housed and owned? How will resources be provided to sustain KIRA capacity over time?

From the many interviews that were part of this LLR, how KIRA can be developed into a relevant, consistently used, government-owned, and effective humanitarian response tool remained to be clarified.

The planned second phase for KIRA's development, for which ECHO has provided 6 months of funding, should further develop the tool and strengthen its relevance. A KIRA is only as good as the analytical ability and range of sector and agency expertise of its implementing team. Further training and a recognized host within the government's new disaster management structures are required. Given the transitional nature of the government's present disaster-response structures⁶, it may be practical to call on KRCS to host a further iteration of KIRA's development until the GoK is ready to permanently integrate this tool into its government functions.

Lessons Learned #5 - KIRA supports and practises humanitarian preparedness coordination. There is growing consensus (GoK, KRCS, UNICEF, OCHA, ECHO and others) that the KIRA is an appropriate multi-sector/agency humanitarian response mechanism and an important step forward for Kenya.

6.2. Contingency Planning

Interagency contingency planning (CP) provides a common, over-arching framework to guide the collective action of humanitarian response. Experience confirms that effective humanitarian response at the onset of a crisis is heavily influenced by the capacities and resources available to responding agencies, but *also*, by their level of effective contingency planning. In the words of one senior, experienced humanitarian officer interviewed, “coordination works best when seen through the eyes of CP.”

Contingency planning helps to anticipate and solve challenges that arise during a humanitarian response, for example, availability of accurate needs assessment, clarity around leadership and decision-making authority, resource mobilization, and communications and reporting. The

⁶ The disaster management portfolio of the newly elected government is radically changing the old structure. The new organization will fall under the Executive Office of the President and Deputy President and be housed within the newly created Ministry of Interior and Coordination of National Government. The new structure will likely integrate or subsume all the departments previously tasked with humanitarian preparedness and response, including NDOC, CRC, and NDMA.

contingency planning process provides a valuable opportunity to better assess and understand sector capacity, and to build linkages and coherence between related sectors, and between humanitarian actors.

In Kenya, OCHA was instrumental in encouraging and coordinating CP in preparation for the 2013 national elections. This started with risk mapping in March 2012 using historical data from previous incidents of election violence. In April this was followed by preparatory meetings of the interagency Contingency Planning Taskforce and then rounds of CP meetings at national and local level. A risk map was developed and fine tuned with input from UWIANO⁷, UNDP, NDOC, and KRCS. This risk assessment then formed the basis of scenario building and the agreement that eight coordination hubs were required.

In June, OCHA helped facilitate an important national humanitarian workshop, with participation of KRCS, KHPT members, NDOC, MoSSP and CRC. The risk map was presented, and scenarios developed. Underlying CP principles were confirmed: national capacity as the starting point, KRCS as designated first responder, use of sector working groups (coordinated through the ISWG), and the setup of hubs. Consensus quickly formed around an agreed potential caseload of 450,000 affected people of which up to 150,000 would be internally displaced. This then formed the basis of further rounds of CP.

6.2.1. Government Leadership of Contingency Planning

Linking national, provincial (an older political demarcation now replaced by 47 counties), county, division, sector and partner contingency plans into coherent hub-level plans and then a single national contingency plan using an agreed scenario of 450,000 affected people was demanding, exhausting, and imperfect. And yet this participatory approach gave the CP process credibility, and encouraged collaboration and resource sharing. Partners showed that despite a complex, fluid environment, with collaboration of government, and with goodwill, national and hub-level plans could be put in place.

The KHPT, coordinated by OCHA, insisted that Kenya's government take full leadership in contingency planning. OCHA's central role in facilitating Kenya's Emergency

"Some of us were not afraid to talk about the risk of election violence. This allowed others to also talk. We called OCHA to come on board, to play a part".

Senior government official

⁷ The Uwiano Platform for Peace was launched in Nairobi in mid-2012 as a partnership of government (including the National Steering Committee on Peacebuilding and Conflict Management and the National Cohesion and Integration Commission), PeaceNet (a broad-based coalition of CSOs) and the UNDP. Uwiano is a Kiswahili word meaning cohesion. The project aimed to prevent referendum and election violence through collection of up-to-date information on tensions, hate speech, incitement, threats and violence throughout the country and to relay this information to security institutions and Peace committees in the best position to undertake appropriate actions including mediation.

Humanitarian Response Plan (EHRP)⁸ and the related Emergency Response Fund (ERF)⁹, meant it already had established competence in bringing various stakeholders together. OCHA actively encouraged both CRC and NDOC to be extensively engaged in CP through a number of national and local-level consultations. When interviewed, CRC, NDOC and NDMA all expressed gratitude for OCHA’s facilitation and guidance, and also pointed out that the government was always leading and in control of the process. Investment in government officers through training and in simulations, and an open invitation to KRCS to join in, improved government and KRCS commitment and involvement in contingency planning.

In past Kenya humanitarian preparedness efforts, roles and responsibilities within the government and for the UN were less clear. For this election, the first hurdle was permission to speak openly of election violence risk. The initial preference of government officials was to focus on positive news about upcoming elections rather than planning risk mitigation for a potential disaster. OCHA had a constructive working relationship with CRC stretching back to 2009. Well-established personal relations between senior officials from CRC and OCHA made it easier to build trust. Leadership from KRCS and certain government officials, that is, a willingness to speak openly about the potential for a humanitarian crisis, and the UN’s eagerness to initiate meaningful CP, starting with risk mapping and plausible scenarios, quickly overcame early reticence.

Lessons Learned #6 - Direct Government of Kenya involvement in contingency planning, and leadership from KRCS as designated first responders, was a key determinant of planning relevance. A critical “tipping point” of government commitment and leadership was reached to establish CP momentum and keep key departments on board.

During Kenya’s political transition and devolution of power to counties, external encouragement and peer support is likely to be required for further disaster risk reduction (DRR). Disaster preparedness capacity in Kenya, including additional humanitarian contingency planning capacity, should be integrated into the country’s long term development plans, including a government-endorsed UN Development Assistance Framework (UNDAF).

6.2.2. Linear Versus Continuum Approach to Contingency Planning

Many of those interviewed as part of this LLR observed that preparedness work, including CP, was impressive. As one very highly placed and influential NGO representative noted, “we [the

⁸ See *Kenya, Emergency Humanitarian Response Plan, 2013*, released December 2012. This final year of a 3-year strategy requested US\$ 743 million for humanitarian action in Kenya. The EHRP was produced by the UN in Kenya as part of the global Consolidated Appeal Process (CAP).

⁹ The Emergency Response Fund (ERF) for Kenya was established in June 2009 as a funding mechanism geared to support rapid life-saving assistance at the onset of a humanitarian crisis. Funding has primarily been channelled to NGOs. Since 2009, the Fund has disbursed over US\$5 million.

humanitarian partners, including the government] were *over* prepared.” And yet, many key informants, especially donor and NGO representatives, also expressed dismay that once the elections were over and results announced, and the immediate risk of disaster had abated, CP stopped.

In Annex 3, a linear model depicts CP as a step-by-step process with a start date, clear and definable process steps or components, and then an end date. This is the agreed IASC standard for an inter-agency CP process: a linear, start-to-finish schedule. This periodic (April 2012 to March 2013), event-specific approach is consistent with what the consultant observed in Kenya regarded the preparation for a humanitarian response to potential national election violence.

A less common and alternative continuum or cyclical approach is also modelled in Annex 3. Based on research done for the Humanitarian Policy Group by Richard Choularton, the continuum model embeds CP at the centre of a “permanent” emergency preparedness process. Unlike the linear model, the continuum approach envisages CP as an ongoing process that does not finish with the activation of the emergency response – or in the case of Kenya’s national elections, with the announcement of election results.

The continuum model may be more relevant in the context of Kenya, where the ongoing risk likelihood and impact of disaster is very high. The government’s capacity, together with the capacity of its first-responder, the KRCS, to manage humanitarian response is also relatively high and continues to improve; witness the new National Disaster Management Bill tabled in early 2013. Rather than occasional events to be managed as if they were linear and one-off, contingency planning for humanitarian response in Kenya should become fully institutionalized, triggered by a high-level designated disaster management center, and fully owned by the government.

Ongoing CP helps emergency managers anticipate and prepare for different possibilities. As response moves towards recovery and the support of durable solutions, CP can continue to help humanitarian actors anticipate and prepare for new situations. The continuous response cycle goes through one full loop when lessons learned are invested back into preparedness and a new cycle of CP is initiated, triggered quarterly or annually as early warning mechanisms indicate high likelihood of the next crisis. The continuum model encourages ongoing investment and engagement of humanitarian actors, and recognizes the dynamic nature of CP¹⁰.

Lesson Learned #7 - Sustained disaster management capacity requires ongoing institutionalized contingency planning efforts embedded at county and national level – a continuum approach – rather than a linear focus on sequential risk mitigation events.

¹⁰ *Contingency planning and humanitarian action – A review of practice*, by Richard Choularton. HPN Network Paper Number 59, March 2007, Humanitarian Policy Group, ODI, London, UK.

6.2.3. Importance of Simulations

There was a unanimous consensus that simulations of disaster scenarios were useful. They were appreciated by government officers tasked with preparedness responsibilities, and well received within the KRCS. The involvement of WFP in helping to fund and facilitate these simulations (using AusAid financial support) was mentioned and appreciated by many, including OCHA. The estimated cost of organizing and hosting a simulation exercise was said to be about \$US 10,000.

These OCHA-supported simulation activities complemented planning efforts within the Government of Kenya, KRCS, UN agencies, other NGOs, and civil society groups that took place across the country to mitigate potential violence through peace-building activities, conflict resolution, surveillance and ongoing analysis. Simulations brought stakeholders together – sometimes for the first time – and practised coordination and collaboration in the event of a crisis. The only complaint heard was that simulations organized were too short and too few.

The consultant was informed that at a simulation exercise held in December 2012, participants worked on response plans developed to provide food, shelter, household items, and nutritional support for a scenario in which 100s of thousands had been forced from their homes. Participants reviewed contingency plans, assessed capacity of humanitarian hubs, and reviewed the KIRA process. Those who participated directly described highly interactive events, sharing, real-time peer review, a new transparency, and overall, a very high level of sustained learning.

<p>Lessons Learned #8 - Well facilitated simulations are a valuable investment and help build trust, connections, confidence, and commitment. They mercilessly identify gaps and thus make contingency planning real.</p>
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6.2.4. Transparency of Preparedness Commitments

Contingency planning included needs assessment scenarios and related lists of requirements for stockpiling and pre-positioning. Firm commitments by each partner of human resources and an array of physical resources, including food and NFIs, were recorded as part of contingency planning and simulations. These tallies of commitments made were based on trust rather than physical checks or an activated monitoring system.

During the consultant's time in Kenya, many key informants met, especially UN, donor and INGO representatives, wondered why all of the preparedness work for the national elections had

not resulted into an exemplary response to flooding which was affecting the country¹¹. In other words, why was the preparedness to respond to election violence not easily transferred to a smaller, less complex and real, immediate crisis? There are different plausible explanations. However, the experience of slow mobilization of first-response resources for the floods left the strong impression with some interviewees that perhaps promises of pre-positioned capacity for election preparedness might have been over-estimated.

Assuming that credible CP leads to more successful resource mobilization - as this LLR provides ample evidence of (see resource mobilization section below) - quality control of the commitments made as part of a contingency plan might further boost preparedness. Verification should not be seen as policing or a search for control and compliance, but instead a natural part of results-based management, where commitments are verified in a non-judgmental, neutral manner. The consultant understood that this search for greater readiness assurance was especially important for donors and some senior UN and NGO representatives who are used to stringent program accountability regimes and expect the same to be applied in humanitarian preparedness work.

“We saw really good CP practise mapping capacity and commitments. And now, with monitoring systems more developed, we should move to greater transparency so that what is committed on paper and what is actually on the ground and available is one and the same”.

Senior UN Chief of Program

Lessons Learned #9 - A basic, third-party-neutral, or private-sector sourced, and multi-agency funded audit, or a creditable input-level monitoring system to assure pre-positioned supplies, budgets, and human resources are indeed on hand and not just on paper would give contingency plans and preparedness a further level of quality assurance.

6.3. Resource Mobilization

6.3.1. Preparedness Activities and Resource Commitments

Senior program managers within the UN and INGO organizations interviewed as par the LLW were unanimous in their conviction that solid preparedness work led directly to improved resource mobilization. As shown in Table 1 below, almost 50% of the \$47.3 million budget required in the national contingency plan was pledged by external donors as part of the preparedness process *before* the election took place.

¹¹ Cumulatively, an estimated 100,980 people have been affected and 93 deaths recorded since the onset of the rains in March 2012, as reported by the Kenya Red Cross Society (KRCS) in early June 2013.

Lessons Learned #10 - Preparedness activities including government leadership, realistic risk mapping, credible contingency planning, simulations, and hub coordination readiness led to impressive risk mitigation resource commitments including pre-positioning by government and other implementing agents. This was the basis of a significant first-response capacity.

Table 1 - Preparedness Funding by External Donors by Sector (USD Million)

Sector	Requested	Funded	Remaining Gap
Food	24	14.6	9.4
Protection	1.6	.50	1.1
Coordination & security	1.25	1.25	0
NFI and shelter	15.0	5.0	10
Nutrition	1.3	0.5	0.8
Education	2.1	0	2.1
Health	.65	0	.65
Multi-sector	0	1.2 ¹²	-1.2
WASH	1.4	0	1.4
Totals	47.3	23.05	24.25

Main Donors: Australia, USA, UK, EU, Norway, Switzerland. Additional funds available through KRCS, Government of Kenya and in-kind donations MSF, WHO, IOPM, ICRC, WV, CONCERN, NRC, etc.

Source: OCHA office files

Key donors, including USAID, ECHO, AusAid, Norway, DFID, and the SDC, pledged generously as part of their forward-looking disaster risk reduction programming. UN and donor representatives interviewed expressed confidence that flash appeals could have covered the remaining gaps “because emergency requests would have been evidence-based and coordinated”.

¹² Committed from local OCHA-managed Emergency Response Fund (ERF)

This is all the more impressive considering that global demand for humanitarian assistance far outstripped available funding, and that the potential need in Kenya vied for attention with other high-profile crises such as those in Syria, the Congo, Sudan, and Somalia.

6.3.2. Shared and Pooling Resources to Make Preparedness Real

The LLR confirmed that coordinated preparedness encouraged creative and strategic leveraging by experienced field-based program managers: a commitment from one agency or donor would then be used to convince and secure commitments from another agency or donor. In addition to leveraging more resources at central level, there were many examples of existing resources being shared at sub-national level. Interviewees recounted incidents of agencies collaborating to provide vehicles and to cover costs of government officers for KIRA training. In another example, the government’s health department responded to CP by flexing its delegated authority and adjusting its internal budgets, thereby repositioning regional supplies strategically in hospitals located new hotspots. A senior government official spoke of how effective this collaboration had been in health sector preparedness, and how, now that the immediate crisis was over, central Ministry of Health authorities were being challenged to rebuild centrally-held stocks of medical supplies.

Other creative sharing and pooling examples included CONCERN’s ability to leverage their existing development program funding with a small but important grant from OFDA. This was facilitated in part by a committed and well-positioned officer active in the KHPT and the ISWG. In Nakuru, NRC gained permission to reshuffle some of its budget lines for human resources within an already approved ADB contribution. And in another example, interviewees pointed to the remarkable collaboration around funding for KIRA, with OCHA providing leadership on coordination, UNICEF providing technical support and seed money, ACAPs leading the technical development of the mechanism, ECHO making a significant financial contribution, and ECB and Red R supporting implementation. In addition WFP provided resources and technical support for simulations. In some cases (UNICEF, NRC, WFP, and others) program funds already earmarked and locally available were internally “borrowed” for repositioning food and NFIs and then later reintegrated into regular programming. These “no-regret investments” were creative, inspired other partners to step forward with their own solutions to identified bottlenecks, and made preparedness real.

Lessons Learned #11 - UN resources, with important contributions from INGOs, made preparedness possible; and countless incidents of shared funding and pooling of resources between many agencies, made preparedness real.

6.3.3. Investment in OCHA as Catalyst for Resource Mobilization

Discussing scenarios and calculating resource-needs and mobilization plans, helped to build trust between partners and led to further engagement and constructive collaboration. Behind many of

these coordination efforts, OCHA worked as active facilitator. Estimates by the OCHA team in Kenya suggest that a total of roughly \$1.5 million was invested in making its preparedness program operational. This covered the cost of staff, program (hall rentals, meeting costs, etc.) and operation costs (vehicles, transport, office supplies, etc.). Clearly, with this relatively small budget, OCHA worked not as implementer but rather as coordination catalysts.

The “coalition” approach diplomatically and persistently advocated by OCHA was noted by a number of key informants as being the key to resource mobilization success. And as a bonus, the UNDP noted that the pooled resources approach offered protection for single institutions potentially being targeted and put at risk through individual peace building activities that were part of the Uwiano Platform for Peace.

The OCHA-managed Emergency Response Fund (ERF) for Kenya made available to the preparedness effort critical resources early in the process. Then in May, with the immediate crisis situation over, the use of the \$1.7 million remaining in the ERF was earmarked to support and speedup early recovery and reconstruction activities in flood-affected areas and became an opportunity to help transition further from temporary hub coordination to county-led coordination structures, at least in flood-affected areas.

Lessons Learned #12 - OCHA invested roughly \$1.5 million to cover its preparedness facilitation costs (includes staff, program and operation costs), not as implementers but as coordination catalysts: a relatively small investment in relationship to the \$48 million national contingency plan¹³. This was money well spent as it contributed to preparedness outcomes.

Well placed officers within the UN, and donor representatives, called for further investments by OCHA for at least another 12 months to assure the humanitarian coordination role is not lost during the present government transition.

6.4. Information Management

In general, the LLR found that information management improved steadily as preparedness gained momentum, CP intensified, trust between key partners increased, and coordination hubs became more-and-more active. International best-practise guidelines from the UN International Strategy for Disaster Reduction (ISDR), call for a single, shared disaster management operations centre¹⁴, and Kenya has made impressive moves in this direction; for example, the 2009 creation of the Crisis Response Centre (CRC) within the Office of the Prime Minister and coordinated by

¹³ *The National CP to Manage Possible Effects of the 4th March 2013 Electioneering – All Sector-Inclusive Disaster Management CP*. Ministry of State for Provincial Administration and Internal Security and Ministry of State for Special Programmes, January 2013.

¹⁴ The International Strategy for Disaster Reduction (ISDR) has been developed to assist in the implementation of the Hyogo Framework for Action 2005-2015 which strives to build resilience of nations in the face of disaster.

MoSSP, which has direct links to Permanent Secretaries and the Office of the Prime Minister. Also, new directives to help streamline information flow to a central command point are laid out in the National Disaster Management Bill drafted by government in 2013.

At the same time, it was clear that sole reliance on CRC and NDOC as information centres would not have been consistent with preparedness best-practise. The perceived bias of these centres toward government directives, and their lack of sufficient information technology capacity, made it important for OCHA to have its own “external” information management centre. This is borne out by the KIRA experience which found that even common and relatively stable operational data sets are still difficult to access by humanitarians in Kenya, and more rapidly fluctuating thematic datasets that need to be undated continuously around a crisis are generally not accessible in real time. In another example, up-to-date contact lists of the full range of humanitarian partners, not just government representatives but also donors, INGOs, and CSOs, and dissemination of these lists to front line disaster managers, was weak. A poignant anecdote shared with the consultant was that of a District Commissioner using a list of attendees at a KIRA training work shop as his key contact list when returning to his district office. Support for a constantly updated contact list and dissemination of this very basic preparedness service product is a priority and one of the gaps that OCHA worked to fill.

6.4.1. The Challenge of Downward Accountability

The ISDR guidelines call for a two-way exchange of pertinent technical and management information between internal and external stakeholders. In Kenya, this was facilitated by the creation of hubs, and information flow from these hubs to a central OCHA-managed data collection point. This data flow allowed the collation of standardized OCHA 3-W reports (who, what, where). These reports summarized **who** (which stakeholder) was doing **what** (and with what magnitude of resources), and **where** these activities were being done. Related maps provided an at-a-glance summary of this important information. Front-line workers interviewed confirmed that these 3-W reports helped facilitate coordinated planning and the identification of remaining gaps. Filling out the monthly 3-W reporting templates also encouraged implementing partners to keep their own in-house information systems updated.

In addition to the 3-W reports, OCHA compiled a collated situation report, rolling up standard data fields based on a template filled out by each hub. These were collated first at hub level, and then forwarded to Nairobi, and then compiled at weekly intervals. This increased to daily intervals for the final ten days before the election and the first seven days after the election. The situation reports provided summary statistics, for example, the number of reported election-related incidents of violence, verified when possible, plus narrative sections updating the general situation on the ground.

The quality of data provided by the hubs was of very high quality. In the words of one experienced information officer: “hub leads understood very quickly how the whole information

system depended on the accuracy of their reports.” Hubs were able to easily access situation reports from neighbouring hubs. This allowed hubs to have a larger picture of the unfolding situation, and also encouraged quality control of information as hubs competed with each other to provide excellence in information management.

The situation reports were overwhelmingly well received and were considered to have had high value to humanitarian actors working at Nairobi level. By being able to provide an accurate and highly summarized OCHA-produced situation report, inundation of the hubs and centre with requests for information was avoided.

From a hub perspective, dissemination of the “sitreps” downwards was a challenge since it was not initially clear who should get the information once compiled. Guidance on how to feed back information to stakeholders affiliated to the hub, and to individuals living in the hotspots (downward accountability) was absent. Reporting flow seemed primarily one way: up. There was no systematic feedback from those compiling the reports to those who were providing the raw data.

Lessons Learned #13 - From a hub perspective, dissemination was a challenge since it was not initially clear who should get situational information. Information management and reporting flow seemed primarily one way: up. Downward accountability by feeding back information to people living in hub-located hotspots was for the most part absent.

6.4.2. Coalition Approach to Information Management

An initial cautious approach to the Humanitarian Coordinator’s role earlier in 2012, and a related lack of urgency expressed by the KHPT, was noted by key donors. In fact, so concerned were some donor representatives that a formal high-level letter was sent to the UN urging stronger leadership and a revitalization of the KHPT. This issue was eventually resolved, and communication channels and information sharing at Nairobi level within the humanitarian community improved steadily in late 2012 and into 2013.

Within OCHA, there was an attempt to boost UN information management effectiveness and to complement existing government crisis response information centres. OCHA itself did not initially have enough HR capacity to meet information demands and so an additional information officer was brought in to facilitate timely production of situation reports. Also, UNICEF provided a data assessment technician, who was brought into the OCHA to help support development of a Kenya humanitarian partner’s response website, a portal for posting relevant information including links to sectors and hubs (<http://kenya.humanitarianresponse.info/>).

Additional surge capacity from within OCHA, and the growing capacity of the hubs, helped to assure that information flow improved. Daily reminders from OCHA by e-mail and telephone encouraged timely submission of reports from hubs and sector leads.

Partners directly involved in protection work noted that the ability to advocate around humanitarian principals was strengthened by this coalition approach to information and communication. The 3-W reports, accurate and timely situation reports, and the web-based *Humanitarian Response Kenya* portal improved the quality of contextual information and depth of understanding.

Lessons Learned #14 - Quality of preparedness programming, including ability to advocate around humanitarian principals such as protection, came through coalition approach to information and communication and thus improved contextual information and understanding.

Within UNICEF, there was a move towards its own crisis centre in the final weeks leading up to the national elections, complete with specially designated staff. The idea was to have a central communication control room to directly serve the Resident/Humanitarian Coordinator (a position held by the UNICEF Country Representative by then). The goal was that in this way the KHPT and other implementation partners would be better served with up-to-the-minute information during the height of a disaster. When interviewed, UN Women and WFP also took pains to explain the details of their own internal organizational efforts to collect information and provide timely situation reports.

When asked for their opinion of information management led by an OCHA control centre, OCHA information management specialists explained to the consultant that they preferred a diffused information collection structure. This way the risk of over reliance on any single information source was reduced. Also, the risk of perception and that a single UN source had a particular bias was reduced. While this professional viewpoint is certainly appreciated, from the consultant's perspective, it seemed that more clarity on information management roles and responsibilities within the UN might have led to greater efficiency. Deeper analysis, and ultimately, higher quality communications can come when OCHA, with its coordination mandate and convening expertise, has clear central information management system authority. Other agencies can contribute with resources and with allocated responsibilities.

6.4.3. Coordination of New Information Technology Development

Kenya is known for its leadership in using mobile phone platforms to facilitate banking, and micro-finance. It has also been using new social media information technology to support humanitarian preparedness and response. Tapping into the potential of social media, especially for real-time crisis and response monitoring, is being actively piloted by UNICEF (teachers as trusted sources), UN Women (gender-based violence prevention), UNDP and NSC (Peace Forum), by KRCS (logistics, receipt of NFIs, and cash transfers), and by other NGOs and INGOs.

The consultant was extensively briefed on UNICEF's exciting work within the education sector. Through partnerships with the primary and secondary teacher's associations in Kenya, and with support from a private survey technology company, trusted sources (teachers) are being

empowered through access to a free SMS service, to act as front-line monitors of violent incidents near or at their schools. Using simple survey questions, UNICEF has been able to gather daily situation reports from over 10,000 key informants. The real-time data collected in this way is much more valuable and focused than more free-flowing crowd-sourced information. The same technology can be used to report back through trusted sources to disaster-affected communities, for example, to confirm to the front-line what help is being planned or on its way.

OCHA has been instrumental in bringing two competing social media platforms, UWIANO and UCHAGUZI, to a single strategic planning table to work out possible synergies of collaboration. The UWIANO platform is more dependent on government contacts and was heavily promoted by UNDP and NSC. The UCHAGUZI platform is a more independent, civil society rooted platform, dependent on crowd-sourced data. OCHA has worked for years to help bring these two platforms together, and to improve the quality and reliability of the “noise” that can be generated by social media, for example, when 10,000 SMS messages suddenly inundate an information management system in an hour of massive social-media reporting.

OCHA has been active in coordinating “islands of innovation” and yet, the consultant saw too many examples of disconnected project teams working on their own sector-specific projects. Stove-piped pilots owned by individual agencies should be avoided when possible, and instead, replaced by a coalition approach to increase shared learned and efficiency. Humanitarianism in an electronic network age requires coordinated research and piloting to speed up innovation and adoption of proven methods. The scope for adapting and using these new tools are clearly enormous. One example suggested to the consultant is the potential of software to radically improve social connectivity by electronically managing “customer” relationships. In other words, using the power of computer memory and the internet to more make and organize appointments and connect people with each other. Imagine avoiding Nairobi’s traffic gridlock by meeting in cyberspace! The potential for helping improve preparedness and response is only slowly being understood and internalized. Present limitations include lack of access to relevant technology in many parts of the country, and especially where poverty and vulnerability to disaster is most acute. Another challenge is to assure reliability and validity of response data assembled.

Lessons Learned #15 - The potential of using social media for preparedness, and especially for early warning and real-time response monitoring, is being actively piloted in Kenya. Given humanitarian information is key to its mandate, OCHA coordination and leadership in this area needs further attention.

7. SUMMARY OF KEY LESSONS LEARNED

The observations and findings of this review have led to fifteen documented lesson learned as captured in the body of this report. For ease of reference, these lessons learned are listed below:

- 1) Synergy between discreet preparedness activities (revitalizing KHPT and ISWG, risk mapping, contingency planning, simulations, development of a rapid assessment tool, resource mobilization, reporting, etc.), many of them strategically orchestrated and process managed at least in part by OCHA, opened new communication channels and built trust between sub-national humanitarian actors and between sub-national and nation level.
- 2) Strategically located response coordination centres or “hubs” aligned with eight geographic “hotspots” were a very positive and effective innovation.
- 3) Hubs were encouraged to work directly with County and District Commissioners, and they did. In this way, central disaster management coordination was strengthened “from below”.
- 4) Important determinates of hub effectiveness were a) baseline coordination capacity (what was already there, including management by experienced humanitarian professionals); b) clarity on hub roles and responsibilities; c) additional surge capacity over the short crisis period when the hubs were most active; and d) support from locally active and resourced partners.
- 5) KIRA supports and practises humanitarian preparedness coordination. There is growing consensus (GoK, KRCS, UNICEF, OCHA, ECHO and others) that the KIRA is an appropriate multi-sector/agency humanitarian response mechanism and an important step forward for Kenya.
- 6) Direct Government of Kenya involvement in contingency planning, and leadership from KRCS as designated first responders, was a key determinant of planning relevance. A critical “tipping point” of government commitment and leadership was reached to establish CP momentum and keep key departments on board.
- 7) Sustained disaster management capacity requires ongoing institutionalized contingency planning efforts at county and national level – a continuum approach – rather than a linear focus on sequential risk mitigation events.
- 8) Well facilitated simulations are a valuable investment and help build trust, connections, confidence, and commitment. They mercilessly identify gaps and thus make contingency planning real.
- 9) A basic, third-party-neutral, or private-sector sourced, and multi-agency funded audit, or a creditable input-level monitoring system to assure pre-positioned supplies, budgets, and human resources are indeed on hand and not just on paper would give contingency plans and preparedness a further level of quality assurance.

- 10) Preparedness activities including government leadership, realistic risk mapping, credible contingency planning, simulations, and hub coordination readiness led to impressive risk mitigation resource commitments including pre-positioning by government and other implementing agents. This was the basis of a significant first-response capacity.
- 11) UN resources, with important contributions from INGOs, made preparedness possible; and countless incidents of shared funding and pooling of resources between many agencies, made preparedness real.
- 12) OCHA invested roughly \$1.5 million to cover its preparedness facilitation costs (includes staff, program and operation costs), not as implementers but as coordination catalysts: a relatively small investment in relationship to the \$48 million national contingency plan¹⁵. This was money well spent as it contributed to preparedness outcomes
- 13) From a hub perspective, dissemination was a challenge since it was not initially clear who should get situational information. Information management and reporting flow seemed primarily one way: up. Downward accountability by feeding back information to people living in hub-located hotspots was for the most part absent.
- 14) Quality of preparedness programming, including ability to advocate around humanitarian principals such as protection, came through coalition approach to information and communication which improved contextual understanding.
- 15) The potential of using social media for preparedness, and especially for early warning and real-time response monitoring, is being actively piloted in Kenya. Given humanitarian information is key to its mandate, OCHA coordination and leadership in this area needs further attention.

¹⁵ *The National CP to Manage Possible Effects of the 4th March 2013 Electioneering – All Sector-Inclusive Disaster Management CP.* Ministry of State for Provincial Administration and Internal Security and Ministry of State for Special Programmes, January 2013.

8. RECOMMENDATIONS

The lessons learned by humanitarian partners directly involved in the 2012 to 2013 national election violence preparedness experience, have been summarized in this report. They are in themselves calls to action, as new knowledge and skills encourage more of the behaviours and decisions that led to impressive humanitarian results, and adjustment where poor performance was most apparent. The recommendations made below are related to the lessons learned and collected as part of this LLR. They come from reflection by the external consultant and discussion within the OCHA team. Within the time limitations given, they were further verified and adjusted by the KHPT. They are structured to be of particular interest to OCHA and to KHPT members involved in similar preparedness efforts in Kenya. There may be of some relevance globally as well. The expectation is that these recommendations will be endorsed by stakeholders, and that an effort will be made to implement them through related actions.

8.1. Integrate Humanitarian Preparedness Capacity Building into UNDAF

Building national humanitarian contingency planning capacity in Kenya, based on a continuum of coordinated and coherent sub-national and sector contingency plans, and ongoing simulations with multi-sector and multi-agency participation, should be integrated into the country's UN Development Assistance Framework (UNDAF). New capacity building investments in this area should be made at both national and sub-national level as part of the UN's disaster risk reduction (DRR) programming. The KRCS and other effective NGOs should be included and have specific roles in this planning framework.

As the EHRP comes to a close, and the UNDAF, aligned with the new government's long term plans becomes the UN's central planning document, special attention should be given to disaster preparedness. As part of its winding down process, OCHA should work to assure humanitarian preparedness is a measureable performance indicator within the UNDAF. Strategic nurturing of disaster preparedness structures, including government-led sectors, sector leads, and coordination hubs should be central to risk mitigation within the UNDAF, and therefore a prioritized investment.

8.2. Continue with Central Coordination Investments into 2014

In Kenya, during transition and devolution of governance to counties, coordination of humanitarian preparedness should not be forgotten. A forum for continued information exchange, decision making, and planning among key partners, including the KRCS and other NGOs, will be required into 2014. Strategic, good-practise investments in humanitarian preparedness coordination need to continue, always with the goal of supporting leadership by capable, mandated institutional partners. This continued external support should be carefully aligned with Kenya's National Disaster Risk Management Policy and government structures.

8.3. Morph Support for Coordination Hubs to County-Level Support

In the highly volatile and unpredictable context of the recent national election process in Kenya, innovative and expedient creation or strengthening of coordination hubs, aligned with geographically located high-risk “hotspots”, was good practise. With this immediate disaster risk reduced, it is likely that humanitarian organizations will again begin to reach out in an uncoordinated way to the new authorities that are emerging at county level. District steering and disaster management committees will give way to county-level coordination forums. The challenge for the UN, the UNDAF, and partners active within the UNDAF, will be to morph the disaster preparedness support given to the hubs during the elections, into regional and county level support until effective county and national structures are in place. This will support DRR at sub-national level.

8.4. Invest Further in KIRA

A multi-sector initial rapid assessment tool, surge capacity to use the methodology advocated by the tool, multi-agency involvement during design and adoption, and financial support should be a humanitarian preparedness minimum standard in Kenya. To be sustainable, the KIRA capacity should ultimately be owned and housed by a capable and appropriately mandated government institution. Over the coming year or two, external humanitarian actors should invest significantly, and accept shared accountability for developing KIRA while building government capacity. In Kenya, county-level KIRA capacity should be part of a multi-hazard, contingency planning continuum.

8.5. Coordinate Development of Social Media Tools for Humanitarians

The application of advanced social media technology to serve humanitarian preparedness, especially for social connectivity, early warning, and real-time response monitoring, should be encouraged through a coordinated, coalition approach. Themes needing attention include the varying access to appropriate technology within the country, and issues of reliability and validity of response data assembled. Agency pilot projects should be collated and lessons learned reviewed to form the basis of new and improved approaches.

ANNEX 1 – Overview of Consultant’s Work Plan

DATE	EVENT/ORGANISATION	PARTICIPANTS
19/05	Briefing with OCHA-East Africa	<ul style="list-style-type: none"> ▪ Ms. Gabriella Waaijman, OCHA HoO ▪ Ms. Christine Nyawira & Ms. AnnMarie Ask, OCHA, Humanitarian Affairs Officers
20/05	Briefing, OCHA	<ul style="list-style-type: none"> ▪ Ms. Lucy Dickinson, OCHA Humanitarian Affairs Officers
	Focus group, Kisumu Humanitarian Hub, KRCS Office, Kisumu	<ul style="list-style-type: none"> ▪ 14 participants including representatives from: UNICEF, KRCS, CARE, Plan and other local NGOs
	Interview, Nyanza Province Water Service Board, Kisumu	<ul style="list-style-type: none"> ▪ Mr. Elisha Oraro, Engineer, Manager
	Interview, UNICEF Kisumu	<ul style="list-style-type: none"> ▪ Ms. Margaret Gwada, Head of Sub-Office, Lead Kisumu Humanitarian Hub
21/05	Briefing by OCHA-Kenya	<ul style="list-style-type: none"> ▪ Mr. Patrick Lavand’Homme, OCHA Head of Kenya Coordination
	Attended ECHO Partner’s Review Meeting, ECHO Office	<ul style="list-style-type: none"> ▪ Various KHPT and other humanitarian community representatives that work with ECHO
	Interview, UNDP	<ul style="list-style-type: none"> ▪ Mr. James Odong, Peace and Development Advisor
	Focus group, ISWG Cross Cutting Sectors Group	<ul style="list-style-type: none"> ▪ Cross Cutting Sectors Group, representatives from UN Women, Help Age, UNFPA, UNICEF
	Focus group, Inter Sector Working Group	<ul style="list-style-type: none"> ▪ ISWG members (14 participants in total)
22/05	Interview, UNICEF	<ul style="list-style-type: none"> ▪ Mr. Marcel Rudasingwa, UNICEF Representative, UN Resident Coordinator
	Interview, Crisis Response Centre (CRC)	<ul style="list-style-type: none"> ▪ Mr. Olekina Koitamet, CRC Director
	Interview, KIRA Evaluator	<ul style="list-style-type: none"> ▪ Ms. Camila Herd, External Consultant for the KISA evaluation
	Interview, National Disaster Operations Centre (NDOC), Office of the President	<ul style="list-style-type: none"> ▪ Mr. Kigotho, Director, and Mr. Munyi, and Dr Kiema
23/05	Participation in Kenya EHRP Mid-Year Review Workshop	<ul style="list-style-type: none"> ▪ Various KHPT, government, INGO, and NGO representatives
	Interview, WFP	<ul style="list-style-type: none"> ▪ Ms. Romina Woldemariam, Program Officer
	Focus Group consultation with donor group	<ul style="list-style-type: none"> ▪ Ms. Isabelle D’Haudt - ECHO ▪ Mr. Nicholas Cox - USAID ▪ Mr. Andre Siclari - SDC
	Interview, Concern, Nairobi Hub Lead	<ul style="list-style-type: none"> ▪ Ms. Camilla Herd
	KIRA Core Group	<ul style="list-style-type: none"> ▪ Ms. Heather Macey & Leticia Waniyaga - RedR ▪ Mr. Cunningham & Mr. Limbu - UNICEF ▪ Mr. Massimo Altamari- ECB

Friday 24/05	Interview, CONCERN Worldwide	<ul style="list-style-type: none"> Ms. Anne O'Mahony, Country Director
	Interview, NRC, Hub Lead	<ul style="list-style-type: none"> Mr. Eric Demers, Norwegian Refugee Council, Program Director
	Interview, IOM	<ul style="list-style-type: none"> Mr. Ahmed Sharif, Shelter Sector Coordinator
	Interview, WFP	<ul style="list-style-type: none"> Mr. Matthias Okhana, Recovery Unit, Resource Officer
	Planning meeting with OCHA staff	<ul style="list-style-type: none"> Mr. Patrick Lavand'Homme, Ms. Lucy Dickinson, Ms. Christine Nyawira, Ms. AnnMarie Ask
27/05	Briefing on lessons learned review at Isiolo hub	<ul style="list-style-type: none"> Ms. AnnMarie Ask, OCHA Humanitarian Affairs Officer
	Telephone interview, World Vision Isiolo	<ul style="list-style-type: none"> Mr. Safuna, World Vision, Co-Lead of Isiolo Hub
	Telephone interview, active consortium member, Isiolo	<ul style="list-style-type: none"> Ms. Abdia Mohamed, Isiolo Work Grouping Group member
	Telephone interview, WFP, Isiolo	<ul style="list-style-type: none"> Mr. Timothy Koskei, WFP Co-Lead of Isiolo Hub
28/05	Interview, OCHA	<ul style="list-style-type: none"> Mr. Patrick Lavand'Homme, OCHA Head of Kenya Coordination
	Discussions with OCHA team and planning for KHPT presentation	<ul style="list-style-type: none"> Ms. Lucy Dickinson, Ms. Christine Nyawira, Ms. AnnMarie Ask
	Interview, OCHA	<ul style="list-style-type: none"> Mr. Sanjay Rane and Mr. Matthew Conway, Public Information Officers, OCHA, East Africa Region
	Interview, UNICEF	<ul style="list-style-type: none"> Megan Giligan, Chief, Field Operations and Emergency
29/05	Preparation of presentation and small group work for KHPT	<ul style="list-style-type: none"> With OCHA team
	Interview, NDMA	<ul style="list-style-type: none"> Mr. Lembara Saiyana, Head of Contingency Planning
	Interview, Kenya Red Cross	<ul style="list-style-type: none"> Dr. Asha Mohammed, Deputy Secretary General, Regional Management Mr. Mahi Mohammed, Disaster Management Operations Advisor Mr. Sammy Oinyaku, Head of M&E
30/05	Preparation of presentation and small group work for KHPT	<ul style="list-style-type: none"> With OCHA team
	Final debriefing and handover to OCHA	<ul style="list-style-type: none"> Ms. AnnMarie Ask, OCHA Humanitarian Affairs Officer
	Focus group debriefing with KHPT on draft findings and recommendations	<ul style="list-style-type: none"> KHPT representatives including UN Resident Coordinator, UNICEF, WFP, CARE, IFRC, UNDP, etc. (13 participants in total)

ANNEX 2 – Time Line and Key Milestones for Preparedness Work

Prior to 2012	
2007/8	Violence around national elections kills over 1,130 and displaces 600,000
2009	Truth and Reconciliation Commission established
June 2009	Emergency Response Fund established to support rapid response at the onset of a disaster
August 2010	Kenya's new constitution promulgated providing for devolution to 47 counties
Late 2010	3-year interagency Emergency Humanitarian Response Plan (EHRP) released
2011 ongoing	Kenyan pastoral and marginal cropping communities endure severe food crisis caused by drought
2012	
Ongoing	In 2012, an estimate 450 people were killed in Kenya and 120,000 displaced in inter-communal violence
January	International Criminal Court (ICC) confirms charges against four senior Kenyan contributing to ethnic polarization
March - April	Risk mapping
March	Preparatory meetings of the interagency Contingency Planning Taskforce start
April	OCHA helps start CP process at local and national level
April	Electoral and Boundary Commission (IEBC) final report on election boundaries released creating tensions between ethnic communities
May	Discussions regarding addressing identified gap for coordinated approaches to rapid assessment
May - June	Consultations with government counterparts and KRCS on conflict mitigation mechanism, process, structure, and leadership
June	Partnership announced between UNICEF, OCHA, ECB, & ACAPS for development of KIRA
June	National workshop in Nairobi chaired by GoK, scenario development, NDOC 4-pillars concept embraced by government, alignment with KRCS as first responder, hub agreement, sector CPs start
June - July	Field consultations in hubs
August	First draft of CP endorsed by KHPT
September - October	First iteration of KIRA tool developed
September - January	Eight regional coordination hubs setup and help facilitate hub planning workshops
October onwards	KIRA trainings at national and hub level including
December - January	Sector specific plans and financial requests for preparedness
December - February	Disaster simulations national, GoK, and three at hub-level
December onwards	Tana River and three other KIRA missions. Prepositioning of food and NFIs begins

2013	
Early January	GoK CP finalized and signed off by Permanent Secretaries
January	ECHO announces additional funding for KIRA training through Red R
January	Humanitarian Response website launched
February - March	Hubs begin to meet weekly and situation reports begin to be produced daily; surge staff to hubs; early warning cooperation using Skype, e-mail and SMS
March	National elections take place March 4 and the IEBC announce presidential results on March 9
Early April	Kenya's new President sworn into office
April	KRCS independently launch KIRA mission in North Eastern Kenya in response to floods
May	OCHA formalizes lessons learned review and ECHO launches evaluation of KIRA

ANNEX 3 – Continuum Model of Contingency Planning

The linear model breaks down CP into a step-by-step process with clear and definable components. The agreed IASC standard for an interagency CP process is shown in Figure 2, and focuses on inter-agency collaboration for CP and implementation. This is consistent with what the LLR observed in Kenya regarded preparation for a humanitarian response to potential national election violence.

Figure 3 shows a less common alternative continuum or cyclical approach modelled by CARE. Here, CP is placed at the centre of emergency preparedness. Unlike the linear model, the continuum approach envisages CP as an ongoing process that does not finish with the activation of the emergency response, or in the case of Kenya’ national elections, with the announcement of election results.

The continuum model may be more relevant in the context of Kenya, where the ongoing risk likelihood and impact of disaster is high. The government’s capacity, together with the capacity of its first-responder, the KRCS, to manage humanitarian response is also relatively high and continues to improve (witness the new National Disaster Management Bill tabled in early 2013). Rather than occasional events to be managed as if they were linear and one-off, contingency planning for humanitarian response in Kenya should become fully institutionalized, triggered by a high-level designated disaster management center, and owned by the government.

Ongoing CP helps emergency managers anticipate and prepare for different possibilities. As response moves towards recovery and the support of durable solutions, CP can continue to help humanitarian actors anticipate and prepare for new situations. The response cycle is complete when lessons learned are invested back into preparedness and new cycles of CP, and is triggered again when early warning mechanisms indicate high likelihood of the next crisis. The continuum model encourages ongoing engagement of humanitarian actors, and recognizes the dynamic and continuous nature of CP.

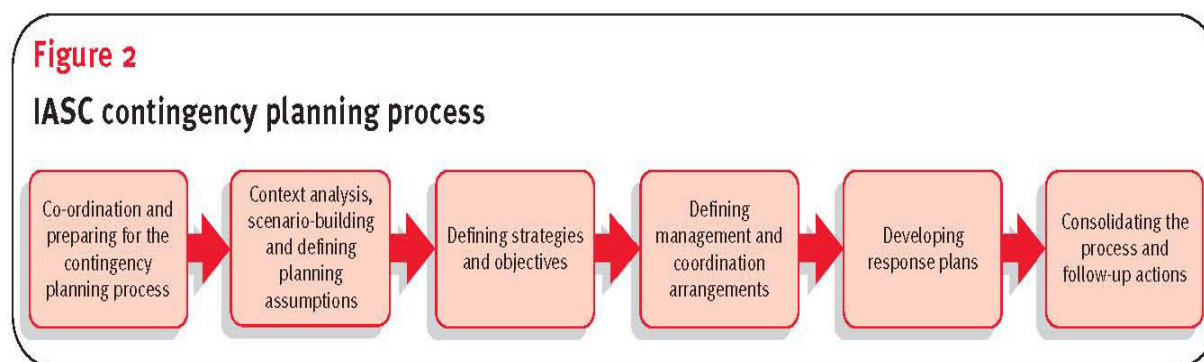
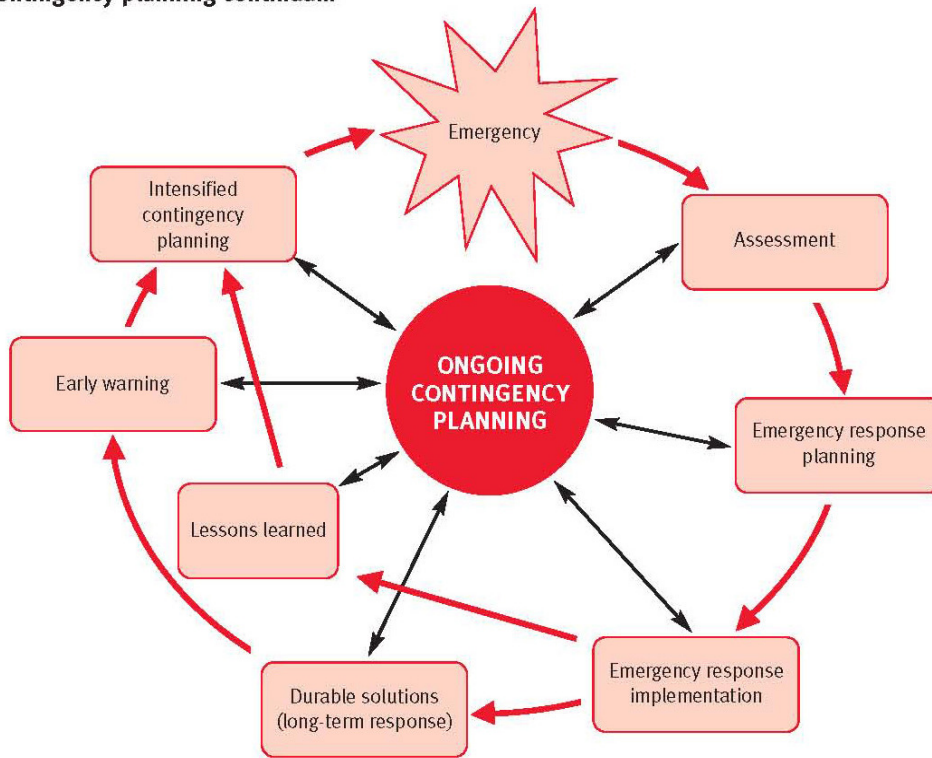


Figure 3

The contingency planning continuum



Source: CARE International

These diagrams, the concepts presented in this annex, and extensive direct quotations, were taken liberally from: *Contingency planning and humanitarian action – A review of practise*, Richard Choularton, Humanitarian Practise Network Paper (HPN) #50, March 2007. The paper was commissioned and published by the HPN at Overseas Development Institute (ODI), London, UK.