INSIGHTS FROM RESILIENCE POLICY WORK IN KENYA: A REALIST EVALUATION CASE STUDY

BRACED
KNOWLEDGE MANAGER

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Acronyms

3As and T	Anticipatory, Absorptive and Adaptive Capacities and Transformation
ADA	Adaptation Consortium
ALDEF	Arid Lands Development Focus
ASAL	Arid and Semi-Arid Lands
BRACED	Building Resilience and Adaptation to Climate Extremes and Disasters
BRACED-X	Extension Phase of Building Resilience and Adaptation to Climate Extremes and Disasters
CEC	County Executive Committee
CLA	Community Land Act
CMO	Context-Mechanism-Outcome
CMRD	Centre for Mapping, Research and Development
DFID	UK Department for International Development
DRR	Disaster Risk Reduction
EA	Evaluation Activity
EIA	Environmental Impact Assessment
EQ	Evaluation Question
FCDC	Frontier County Development Committee
FE	Final Evaluation
FGD	Focus Group Discussion
ICMO	Intervention-Context-Mechanism-Outcome
ICT	Information and Communications Technology
IIED	International Institute for Environment and Development
IP	Implementing Partner
KES	Kenyan Shilling
KII	Key Informant Interview
KM	Knowledge Manager
MoU	Memorandum of Understanding
MP	Member of Parliament

MTR	Mid-Term Review
NDMA	National Drought Management Authority
NRM	Natural Resource Management
NGO	Non-Governmental Organisation
P&P	Pastoralism and Policy
PPG	Pastoralist Parliamentary Group
PROGRESS	Programme for Resilience Systems
PT	Programme Theory
ToC	Theory of Change
UK	United Kingdom
WAJWASCO	Wajir Water Sewerage Company
WAPC	Ward Adaptation Planning Committee
WASDA	Wajir South Development Association

1. INTRODUCTION

1.1 What is BRACED?

The long-term vision of the Building Resilience and Adaptation to Climate Extremes and Disasters (BRACED) programme is to improve the wellbeing of the most vulnerable by strengthening resilience to shocks and stresses associated with climate extremes and disasters in the Sahel, East Africa and Asia. This has been achieved through scaling up proven technologies and practices; research and evaluation to build knowledge and evidence on how best to strengthen resilience in different contexts; and enhancing local and national capacity to respond to climate-related shocks and stresses.

The £92 million UK-funded programme originally ran from August 2013 for four years, operating in thirteen countries under fifteen projects.[1] At the end of October 2018, the UK Department for International Development (DFID) decided to extend the BRACED programme for another 15 months, from 1 January 2018 to 31 March 2019. This period (and the implementation wrap-up period that

1 BRACED operated in 13 countries – Burkina Faso, Chad, Ethiopia, Kenya, Mali, Mauritania, Niger, Senegal, South Sudan, Sudan, Uganda, Myanmar and Nepal – through many projects working across regions or countries. It was implemented by 15 non-governmental organisation (NGO) consortia involving local government and civil society, research institutes, UN agencies and the private sector.

followed between 1 April 2019 and 30 June 2019) is referred to as BRACED-X. The extension was organised into two windows: implementation and policy. While the former aims to deliver results for individuals, households and communities (Components A and B of the BRACED programme), the latter aims to accelerate policy-influencing activities at national and local levels (Component D).

BRACED is on track to support over 7 million vulnerable people, especially women and girls, by helping them become more resilient to climate extremes. BRACED-X is a continuation of the BRACED programme. Its purpose is to consolidate and expand work already completed by nine of the original fifteen Implementing Partners (IPs). In addition, through helping improve national policies and institutions to better integrate disaster risk reduction (DRR), climate adaptation and development approaches, the programme is expected to indirectly help many millions more.

Funded under Component D, five out of nine BRACED-X projects have implemented Policy Activities in Asia and sub-Saharan Africa. These are Anukalan (Nepal), Livestock Mobility (Sahel), Decentralised Climate Funds (Senegal and Mali), Climate and Meteorological Service Advancement (Ethiopia) and PROGRESS-X (Kenya).

The objective of this strand of work is to support and ensure the sustainability of achieved under BRACED, by influencing policy and decision-making processes to foster the institutionalisation of project activities implemented during the past three years. It is also responding to the recognition of a disconnect between the evidence base created under BRACED as to what works to increase climate resilience and adaptive capacity, which needs to be brought to bear at key policy actors and processes … It is expected that working with policymakers, at different levels of government, as well as implementing community-based activities, projects will lead to increase likelihood of transformational change (including scaling and sustainability) that reaches beyond the local level to bridge scales from local to regional and national levels.[2]

1.2 Case study purpose and scope

1.2.1 The BRACED-X Final evaluation

This case study, along with the synthesis of Final Evaluations (FEs) delivered by BRACED-X IPs, was undertaken by the Evaluation Activity 2 (EA2) team of the BRACED Knowledge Manager (KM) to answer the fundamental learning question: What works to build resilience to climate extremes, in what contexts, for whom and why?

This case study could be considered a 'deep dive' into policy work at the project level, examining how change happens between the project activities and project-level outcomes. It is designed to complement the FE work of BRACED-X IPs,

2 BRACED KM, 2018. BRACED-X ToC. Final version. April.

working with the project to develop Programme Theories (PTs) specific to their Theory of Change (ToC) and to map relevant stakeholders for realist interviews. The instrument design, data collection and analysis were carried out by the EA2 team in the period between March and May 2019.

1.2.2 Purpose

This case study evaluates the policy component of the Programme for Resilient Systems (PROGRESS) with the purpose of identifying what has worked to influence policy so that it better reflects the needs of pastoralists in one of Kenya's largest districts, Wajir county. It explores this question in relation to three specific policy areas: Water Governance, Land Governance and Natural Resource Management (NRM), with the aim of using the findings to inform interventions in the support of pastoralism in other arid and semi-arid land (ASAL) areas.

While the policy case study report is a stand-alone product, the data and results have been used in the FE synthesis along with FE reports produced by the nine IPs.

1.2.3 Scope and coverage

Implemented in two semi-arid geographies in East Africa, Wajir county in Kenya and Karamoja region of Uganda, PROGRESS aimed to build the resilience of pastoralist communities against natural shocks and stresses through interventions targeting governance, employment and reduced gender inequality.

PROGRESS was implemented in two phases by a consortium led by Mercy Corps. The main phase lasted four years, from 2014 to 2017, and was followed by a 18-month extension that commenced in January 2018 and continued with the most impactful interventions of the main phase.

The activities implemented in Wajir under Phase 1 focused on market systems strengthening, financial services, climate-smart technologies, governance and gender. The project extension took the most successful activities of Phase 1 forward and complemented them with an additional policy-influencing component. Given its additionality to activities started under Phase 1, its clearly defined scope and its thematic focus, the policy component of PROGRESS-X was selected for further examination by the BRACED KM team.

This case study examines results of the additional component and how and why they were achieved in the context of increasing climate variability. It specifically looks at how technical assistance promotes evidence-informed county-level governance and the engagement of pastoralist communities in local policy processes. It maps out how changes happened between the project component- and project-level outcomes, identifies relevant actors, explores factors that enabled these processes and describes the specific contexts in which the changes happened.

2. BACKGROUND ON THE PROJECT

2.1 Situational analysis

2.1.1 Geography

Wajir is one of Kenya's 47 counties. Located in the north-east of the country, it is the third largest, with a population of over 657,000[3] covering an area of 55,840 km^2.[4] Sharing borders with Somalia to the east and Ethiopia to the north, Wajir is landlocked and characterised by its drylands and numerous open plains.

2.1.2 Livelihoods and local economy

Wajir's economy and the livelihoods of local communities depend largely on transhumant pastoralism. Livestock represents the main source of income for more than half of households in Wajir, over 80% of which are considered 'poor' or 'very poor'.[5]

3 KNBS, 2013. Exploring Kenya's Inequality: Pulling Apart of Pooling Together? Wajir County.

4 EEAS. Wajir County at Glance. Delegation of the EU to the Republic of Kenya and EEAS.

5 Krätli S. and Swift J., 2014. Counting Pastoralists in Kenya. Nairobi: DLCI/REGLAP.

With transhumant pastoralism the predominant livelihood strategy in Wajir, pastoralists' mobility and access to natural resources, like water and rangelands, are essential to sustain the poorest and most vulnerable communities.[6]

Although critically important for local communities and economies, transhumant pastoralism is increasingly challenged by recurring droughts in combination with constraining human activities, such as encroachment of neighbouring agriculturalists and farming herders, irrigation developments, tourism and conservation programmes in key grazing and watering areas and land investments by outside investors.[7]

As a result, pastoralists have to find ways to respond to the loss of key grazing areas by crowding herders onto less productive rangelands, which has put them into competition and at risk of conflict with other herders. These emergency responses have undermined the welfare of their livestock and aggravated environmental degradation.[8]

Pastoralist have been further challenged by water stresses, which is an inherent issue in Wajir caused by increasing drought conditions in combination with an inappropriate placement of water resources to ensure sustainable utilisation of water across the rangelands, as well as weak water governance. Water access has become a high priority for Wajir, which is manifested in the County Integrated Development Plan for 2018–2022, in which the water sector has the largest budget, of KES 35.8 billion.[9]

2.1.3 The policy problem

Mercy Corps identified the mobility of pastoralists in Wajir and their access to resources, primarily water and grazelands, as the most important indicator of resilience of local communities. With persistent water scarcity,[10] land alienation, insecurity and increasing climate variability, the ability to access resources in new areas has become an integral part of adaptation strategies of local communities. However, this coping mechanism, and more importantly a production strategy, is undermined by weak policy and legislation, pointing to the inherent problems of governance and misrepresentation of pastoralist livelihoods.[11, 12]

6 BRACED, 2017. Supporting Policy and Practice in Pastoralist Areas.

7 Little, P. and McPeak. J., 2014. Resilience and Pastoralism in Africa South of the Sahara, with a Particular Focus on the Horn of Africa and the Sahel, West Africa. 2020 Conference Paper.

8 Ibid.

9 Mercy Corps, 2018. Wajir Water Case Study Concept Note.

10 IIED, 2019. Improving the Governance of Rural Water Points in Wajir County. Policy Brief.

11 Mercy Corps, 2017. PROGRESS' Application for BRACED-X Policy Window.

12 Little and McPeak, 2014, p. 13.

The PROGRESS extension targeted inadequate policy in the areas of land, water and NRM with the aim of improving understanding of factors that strengthen pastoralists' resilience, introducing a policy and legal framework to protect communal pastoral resources and provisions and increasing the number of functional community-based institutions in Wajir.[13]

These objectives are in line with the evidence from the work of the International Institute for Environment and Development (IIED) and the Adaptation Consortium (ADA Consortium) in Kenya that suggests that collaboration between community and local government systems makes the government more accountable to local citizens and able to respond to climate change in a manner that is more appropriate and timely and that benefits the more vulnerable – thus contributing to goals related to resilience, governance and peace-building.[14] Efforts to improve this collaboration were started by the main phase of PROGRESS and further expanded in the programme's extension.[15]

2.2 Objectives and expected results

2.2.1 Policy-influencing objective

The policy component was introduced with the long-term objective of further improving livestock production and boosting the income of pastoralist communities in Wajir by improving NRM as well as rangeland and water governance at the county level. This vision was operationalised through the three sets of Policy Activities with the aim of enshrining pastoralism as a viable and sustainable form of livelihood in county policy. This would legally protect pastoralists' access to rangeland, water and other necessary natural resources.

To this end, there was a need for senior government officials at both national and county levels to better understand the importance of pastoralism for sustainable NRM and its potential economic benefit for local communities, as well as the environmental, socio-economic and political challenges facing pastoralists.

13 Mercy Corps, 2017. Theory of Change Narrative for PROGRESS' Extension Phase.

14 Mercy Corps, 2017. PROGRESS' Application for BRACED-X Policy Window.

15 Description governance work delivered under Phase 1 of PROGRESS is presented in Annex 11.

The recent shift of political and economic power from Nairobi to county capitals[16] has opened up an opportunity to influence policy by working with influential county government officials who have the legislative powers and access to budgets to protect pastoralism at the county level. The key to this is to enable significant decision-makers to realise the importance of pastoralism for sustainable development and to provide them with tools and approaches to engage with pastoralist communities and to use local knowledge to inform their policy decisions.

2.3 What change did the project aim to achieve, and how?

2.3.1 Project Theory of Change

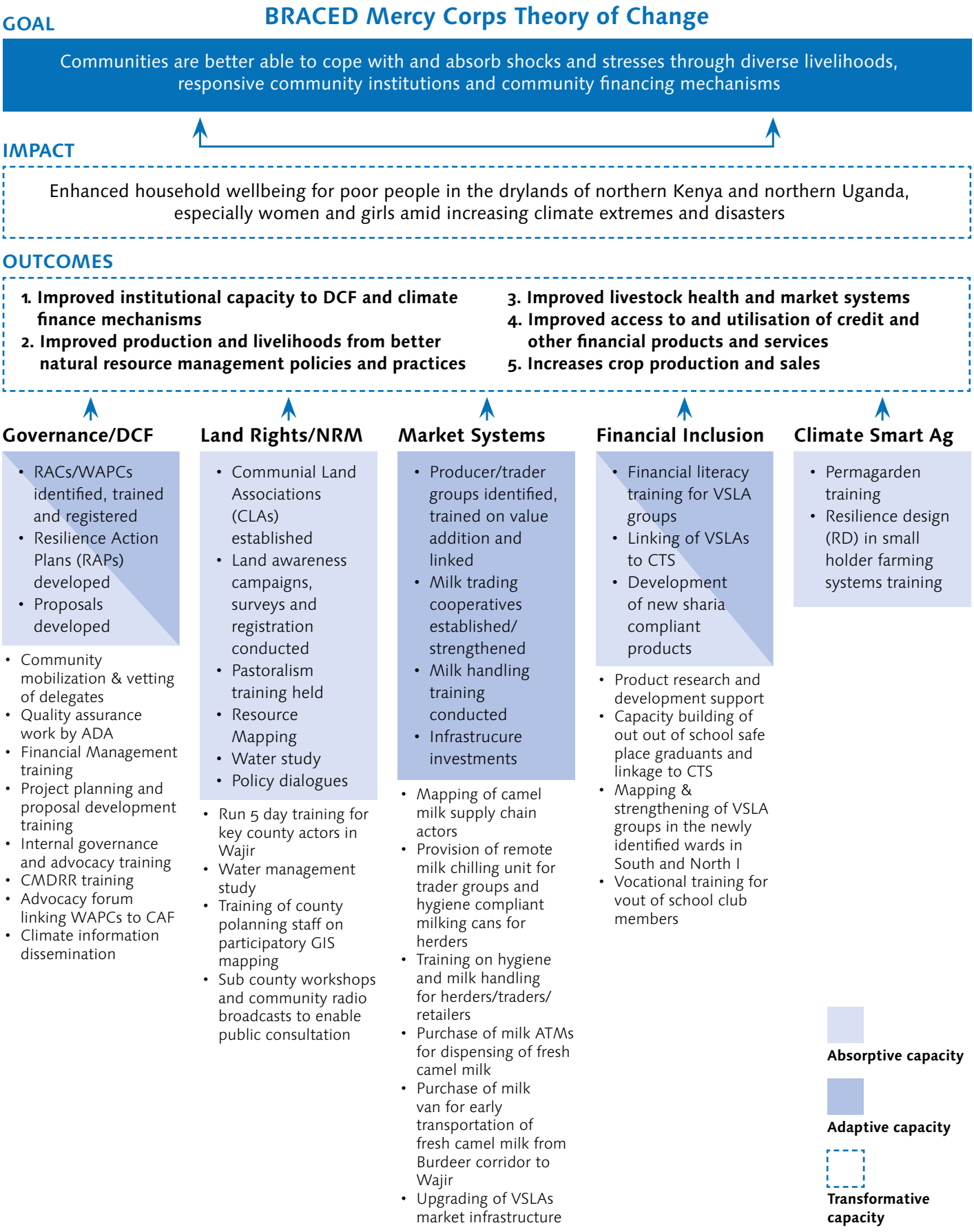
The overall project ToC encompasses activities implemented in Wajir county in Kenya and Karamoja sub-region of Uganda. Figure 1 illustrates how its five components in the areas of agriculture, private sector development and governance come together to improve local communities' resilience to the impacts of climate change.

The policy-influencing component was designed specifically for the context of Wajir, to build the capacity of the county government in developing an appropriate policy and legislative environment to support pastoralist livelihoods and the wider economy.[17]

16 The Kenyan government launched a devolution process in 2010, with its first county assemblies, governors and senators elected on 4 March 2013. See, for example, World Bank, 2013. A Background Brief on Kenya's devolution. Washington, DC: World Bank.

17 Mercy Corps, 2017. Theory of Change Narrative for PROGRESS' Extension Phase.

Figure 1: PROGRESS-X overall ToC[18]



18 Mercy Corps, 2018. PROGRESS XFE Inception Report, 18 December.

2.4 Implementation status

2.4.1 Status at Final Evaluation[19]

By April 2019, when the fieldwork was conducted, PROGRESS-X was on track to complete all three Policy Activities:

Policy Activity 1: Resource Mapping Exercise for Wajir County

The county-wide geographical information system (GIS) resource mapping exercise was completed.[20] The natural resource maps, which feature, for example, boreholes and grazing areas, are being designed to inform policy and planning around water and rangeland management. Their creation involved workshops with five county government departments and the National Drought Management Authority (NDMA), which continue to receive technical support on data collection and entry from the University of Southampton.[21]

To collect community data on NRM, the project facilitated consultations with pastoralist communities within Wajir and cross-county with other pastoral groups from Isiolo, Marsabit, Garissa and Mandera. This was supported by a five-day participatory GIS mapping training for eleven county planners, four civil society organisations and the director of Wajir Community Radio.[22]

The team also developed community radio content in local languages to inform local communities about the data collection activities and their purpose and invited them to participate.[23]

Policy Activity 2: Pastoralism and Policy (P&P) Training Course

The five-day P&P training was delivered to participants from relevant county governments and representatives from civil society organisations from Wajir, Isiolo and Marsabit. Its content was tailored to the context of northern Kenya and took into consideration new policy and legislation. The aim to raise participants' awareness of factors that strengthen pastoralism was achieved and steps have been taken to integrate pastoralism into county policy and planning.[24]

19 Changes from the original project design, including the background to Kenya's Community Land Act, are laid out in Annex 7.

20 PROGRESS-X built on earlier work done by Arid Lands Development Focus (ALDEF) within the ADA Consortium.

21 Mercy Corps, 2018. BRACED-X Quarterly Progress Report for Q15.

22 Mercy Corps, 2018. BRACED-X Quarterly Progress Report for Q14.

23 Source 13

24 Mercy Corps, 2018. BRACED-X Quarterly Progress Report for Q14.

Policy Activity 3: Water Governance Study

A desk review of national and Wajir county water policies was delivered. The findings and related discussions with relevant stakeholders in the county informed an approach and methodology for delivery of the water governance study.[25]

2.4.3 Target beneficiaries[26]

Depending on their involvement in PROGRESS-X activities and their benefit from the project outputs and outcomes, beneficiaries of PROGRESS-X can be split into three categories:

Category 1: Selected senior officials from the following departments of the Wajir County Government: Lands and Fiscal Planning; Information and Communications Technology (ICT); Water; Livestock and Agriculture; and Environment, Energy and NRM, as well as the **CEO of the Wajir Water Sewerage Company (WAJWASCO) and Wajir Community Radio**

Category 2: Selected civil servants from the following departments of the Wajir County Government: Lands and Fiscal Planning; ICT; Water; Livestock and Agriculture; and Environment, Energy and Natural Resources, as well as **staff from WAJWASCO and Wajir Community Radio**

Category 3: Pastoralists and other members of local communities in Wajir county

Involvement of beneficiaries of PROGRESS-X Policy Activities and their anticipated benefit from those activities is laid out it Annex 8.

25 Ibid.

26 The policy component of PROGRESS-X targets the same beneficiary categories as PROGRESS. The main difference between the policy-influencing work and other activities implemented by PROGRESS and PROGRESS-X in Wajir is that the policy component primary targets senior government officials and civil servants in technical roles. The aim is for government staff to become advocates and enablers of policy changes that would ultimately benefit pastoralist communities.

3. METHODS

3.1 Evaluation Questions

Evaluation Questions (EQs) answered by this case study were informed by headline EQs that BRACED-X IPs answered in their FE reports. The realist-informed case study EQs were kept simple and narrow in focus to examine only the policy-influencing component of PROGRESS-X's work.

EQ1: To what extent has the policy-influencing component led to anticipated changes and results?

EQ2: How and why has the policy-influencing component led to observed results and changes?

EQ3: What key resilience-strengthening lessons can be learnt and replicated from the policy-influencing component?

These three EQs guided the data analysis and are further explored in Section 5 and Section 6.

3.2 Evaluation methodology

The case study is grounded in the methodological approach of realist evaluation. This approach identifies PTs about how a project or programme is expected to work. These PTs are explored in the document review phase and translated into Intervention-Context-Mechanism-Outcome (ICMO) configurations. These hypothesised configurations are then tested and refined in the field and used to build explanations of why interventions may or may not work in practice (Box 1).

Box 1: Realist evaluation[27]

Realist evaluation identifies theories about how a project or programme is expected to work. These are used to build explanations of why interventions may or may not work in practice. Both implicit and explicit theories may have informed the design of the programme interventions, as well as other relevant theories that offer alternative explanations. These are referred to as 'Programme Theories'.

Realist evaluation then focuses on understanding how contextual factors, such as changes to the climate, political structures, cultural norms, location and participants, shape and influence how the PTs play out in practice.

Context is understood as the most important influence on whether an intervention succeeds in activating a change process (often referred to as a '**mechanism**') that will cause an outcome. Causation in realist evaluation therefore rests on understanding the influence of context on 'mechanisms' and **outcomes**.

Interventions interact with a series of mechanisms that may operate in different ways in different contexts. This is because people respond to the intervention according to their context.

Assumptions are embedded in the PT, as contextual factors or mechanisms that are thought to influence whether or not an outcome arises. These are explicitly tested through testing CMO configurations.[28]

Given the thematic focus of this case study, we refer to PTs as policy-influencing theories or simply as Theories.

27 This is an excerpt borrowed from Evaluation Support and Synthesis Design Report, January 2016.

28 Punton, M., Vogel, I. and Lloyd, R., 2016. Reflections from a Realist Evaluation in Progress: Scaling Ladders and Stitching Theory. CDI Practice Paper 18. Brighton: IDS.

Realist evaluation allows us to 'interrogate' the PROGRESS-X ToC and 'formalise' important questions about how, why, for whom and in what contexts the policy-influencing intervention has worked, in order to bring more depth to the case study as well as BRACED-X synthesis that builds on it. It continues the approach laid out in the BRACED Mid-Term Review (MTR) and FE, and the BRACED-X project-level FEs conducted by IPs.

> Realist evaluation is a theory-based evaluation approach. Rather than asking 'does this programme work?' it asks 'how and why does this programme work or not work, for whom, and in what circumstances?'[29]

By opening up the 'black box' between the policy-influencing efforts and their outcomes, through developing and testing theory about how, why and in what contexts those project components contribute to particular outcomes, realist evaluation has enabled us to better understand why and how those interventions have worked in some contexts, and less so in others.

> Central to realist evaluation is the idea that programmes do not work in the same way for everyone, in every location. Context shapes how and why programmes contribute or fail to contribute to change for different participants in different places.[30]

Applying a realist approach to data collection, we were able to collect rich context-specific evidence on what has worked, and not worked, and to identify how, why and to what extent those outcomes have, or have not, been achieved in different contexts. Based on those findings, we are able to provide implementers with information that can help them adapt interventions in order to improve their effectiveness, scale them up or roll them out to new locations.

29 Ibid.

30 Westhorp, G., 2014. Realist Impact Evaluation: An Introduction. London: ODI.

3.3 Case study process

The case study was conducted between March and May 2019 with fieldwork conducted in Kenya in April 2019. The process was split into three distinct phases: (i) document review, (ii) primary data collection and (iii) data analysis and report writing.

- **Phase 1:** The desk-based document and data review was complemented by work on the design of the case study process and data collection tools.
- **Phases 2 and 3:** Applying a realist approach to the evaluation required coordination between activities of the last two phases and resulted in a substantial overlap between them. This was necessary because of the need to analyse the data collected in the document review in April to hypothesise initial policy-influencing theories and ICMO configurations that underpin them to inform our data collection tools for Phase 2.

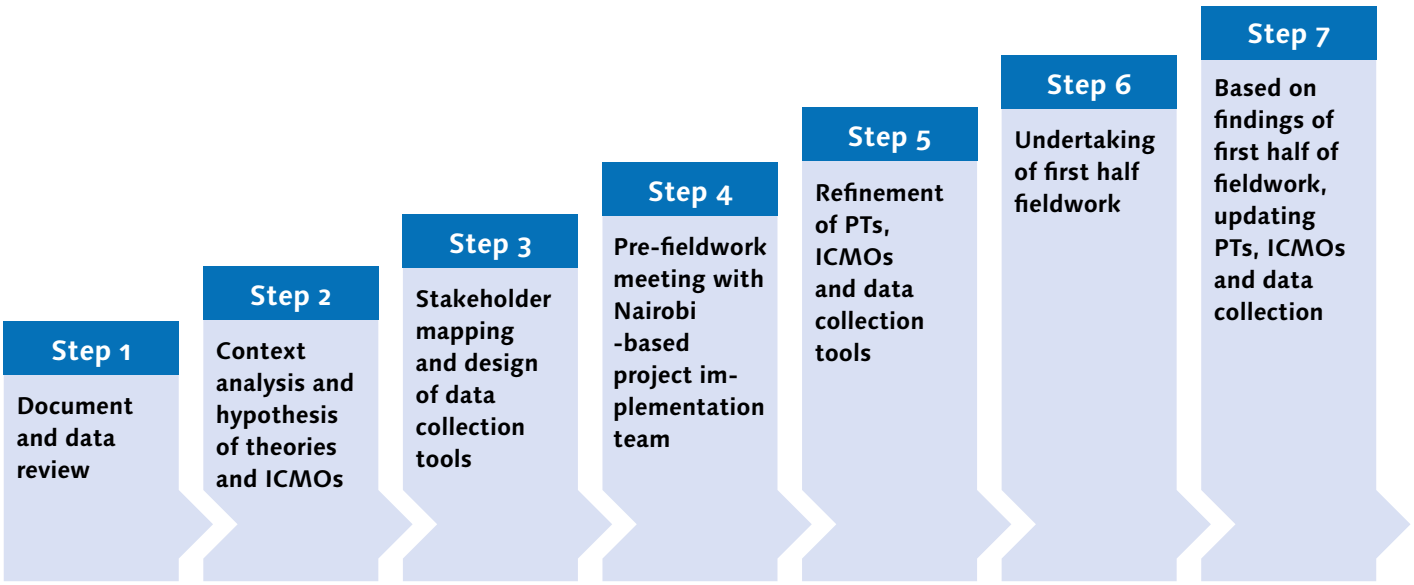
Table 1 presents details on the approach to data collection and analysis.

Table 1: Approach to data collection

Phase 1: Document review (March – April 2019)	Phase 2: Primary data collection (April 2019)	Phase 3: Data analysis and report writing (April – May 2019)
• **Review of 12 project documents** produced by Mercy Corps and KM. These included an MTR, FE inception report, ToC narrative, proposals for funding and quarterly progress reports to KM • **Review of 6 project** outputs related to policy-influencing: 3 for water governance, 1 for NRM and 2 for P&P • **3 academic papers** • **Conference paper**	Fieldwork in Nairobi and Wajir comprised: • **4 focus group discussions (FGDs)** in Wajir on the subject of geographical information system resource mapping, P&P and water governance • **5 key informant interviews (KIIs)**, of which 2 were conducted in Wajir (a manager of Wajir Community Radio, a member of the Department of Lands and Fiscal Planning); 2 remotely with implementation team members from IIED; and 1 in Nairobi with the PROGRESS-X project director • **Fieldwork kick-off and wrap-up meetings** in Nairobi with the Nairobi-based members of the PROGRESS-X implementation team	Following the realist approach to evaluation, data was analysed in 4 stages: • Secondary data identified in the document review informed **hypothesised policy-influencing theories and detailed ICMO configurations** that underpinned them. These were presented to core members of the **PROGRESS-X** implementation team prior to data collection • Data collected against the ICMOs in the fieldwork kick-off meeting was a**nalysed and used to update the ICMOs and fine-tune the tools for data collection** • 2 days into data collection in Wajir, collected data was used to f**urther refine the ICMOs and data collection tools** • Final analysis took place in May 2019 and comprised **data-coding, detailed ICMO analysis and refinement of the hypothesised policy-influencing theories**

Data has been collected in nine steps, cutting across all three phases of the data collection process (Figure 2).

Figure 2: Data collection steps



3.4 Sampling

Secondary data review was conducted as part of the first data collection phase and covered 22 documents. The approach to document selection was driven by the following factors: availability of documents and the thematic focus of the three Policy Activities. The three categories of documents, based on the purpose of the review, are presented in Annex 12.

Primary data collection was conducted with participants of each of the three Policy Activities as well as staff of the project team. The total of two KIIs and four FGDs were conducted with the project beneficiaries alone. Their participants were selected based on their organisation, role and involvement in the project's Policy Activities; their availability also played role.[31] Structure and list of the four FGDs are presented in Annex 9.

Primary data was also collected from members of the project team in person in four KIIs, two of which were conducted remotely and two in Nairobi, and an FGD (split into four parts, each of which has its own source number), which took place in Nairobi as part of the pre-fieldwork meeting.

31 The member of the County Executive Committee for Lands (the CEC for Lands) would have made a key informant for Policy Activity 2; however, she could not take part in an interview owing to conflicting commitments.

The total sample was 18 key informants, which is extremely low considering that pastoralism is the main form of livelihood in Wajir with the population of over 657,000.[32] This is included as one of the limitations set out in Section 4.3. However, given the thematic focus of the case study and the evaluation approach used, the interviewees' knowledge and experience of the Policy Activities delivered by PROGRESS-X were given more importance than the size of the population sample.

Data sources were anonymised by assigning each primary data collection activity a source number. A source number key is attached in Annex 2.

32 KNBS, 2013. Exploring Kenya's Inequality: Pulling Apart of Pooling Together? Wajir County.

4. PROGRAMME THEORIES AND CONTEXT-MECHANISM-OUTCOME CONFIGURATIONS

While the project designed a clear ToC for its activities, including the policy component, the PTs and respective Context-Mechanism-Outcome (CMO) configurations set out in this section were created by the KM team for the purpose of this case study.

As noted in Section 3.2, the case study report refers to the PTs as policy-influencing theories or simply as Theories.

In contrast to ICMOs, CMOs do not take into consideration specific aspects of the intervention that have enabled the observed change. Whole ICMOs were developed from the hypothesised CMO configurations using primary data collected in the field.

The policy-influencing theories were designed based on a review of the project documentation, project outputs and academic literature, and updated in the second phase of data analysis.

By applying a single policy-influencing theory to each of the three Policy Activities, we teased out six theory-specific CMO configurations for every activity, or their clusters in cases where the resulting CMOs would be identical for two or more Policy Activities. An interim version of the CMOs as they were refined during the fieldwork is attached in Annex 1.

The interim PTs and CMOs were further refined in Phases 2 and 3 of data analysis and their final versions are presented in Annex 10.

4.1 Analytical approach

The transcripts were collated and analysed in an Excel spreadsheet.

Data analysis was guided by the theories set out in Table 2, which were mapped onto the relevant Policy Activities. The table shows how the original theories hypothesised in Phase 1 of data analysis were refined halfway through the fieldwork during data collection Phase 2. It was the refined theories that guided the final analysis and report writing.

Table 2: Policy-influencing theories

Theory number and name	Original theory	Refined theory
Theory 1: Capacity	Improved capacity and increased awareness raise political ambition	In contexts where resources already exist, improving capacity, understanding and awareness of government officials improves the confidence in their skills and new tools and approaches and raises their political ambition
Theory 2: Analytical rigour	Analytically rigorous applicable tools raise political ambition	Where communities have trust in the project, technical knowledge and exposure to the realities of pastoralism improve understanding of the needs of pastoralists and increase motivation to adjust policies and practices to better work for pastoralists
Theory 3: Cross-departmental working	Work across departments results in long-term policy change	Where relationships between the project and stakeholders exist already, work across departments results in long-term policy change
Theory 4: Ownership	Training increases ownership of tools and approaches introduced by the project among the training participants and mobilises their support of the approach and results in allocation of the government's resources (like finance, time, commitment) to enable their wider /long-term rollout	In contexts where resources (financial budgets, decision-making power) are available, new tools and skills gained to inform policy (if considered useful) mobilise support of the new tools and/or approach and result in allocation of the government's resources (like finance, time, commitment) to enable their wider/long-term rollout
Theory 5: Incentives	Application of credible sanctions and incentives to induce and/or compel change can increase political will to promote and sustain change	This theory was refuted based on feedback from the project team members received in a pre-fieldwork meeting in Nairobi
Theory 6: Collaboration	Collaborative policy design (working in partnerships, shared understanding) creates buy-in and results in long-term policy change	Existing relationships and the trust of key stakeholders enable the project to work with multiple actors simultaneously, which creates a shared understanding across the key players (individuals, organisations), trust and new relationships, which combined are likely to contribute to transformational change

Policy-influencing theories were the primary unit of analysis. We kept data related to ICMO configurations for each of the theories together and refined the theories based on collected evidence halfway through the data collection process and during the final data analysis and report writing.

So as not to limit collected data to the theories we intended to test, in each data collection exercise we emphasised that the theories presented were hypothesised and to be tested in the interview. We asked informants for their opinions on those theories and also for alternative explanations. Answers were captured in the interview templates and all evidence was used to support, refine or refute each of the theories.

4.2 Strength of evidence

The strength of evidence for the final policy-influencing theories is only as strong as the evidence that has been identified in support of the ICMOs that underpin them. To this effect, the extent to which we are confident that the final theories explain the outcomes and change processes is based on a combination of the strength of evidence in support of their outcomes, and how the theories compare to the project ToC, as well as the degree and extent to which the ICMOs that underpin them are evidenced by the project itself.

To provide an accurate picture of the strength of evidence for each ICMO that we identified in support of the final theories, we scored its individual parts, which we call 'nuggets of evidence'[33] about contexts, mechanism and outcomes, with a traffic-light colour code. Table 3 presents assessment criteria for applying the three colours (dark green for strong evidence, light green for some evidence, yellow for limited evidence). While Section 5 refers to findings of limited, some and strong evidence based on the strength of evidence of the nuggets that underpin them, the detailed ICMOs and their colour coded nuggets are presented in Annex 10.

33 Pawson R., 2006. Evidence-based Policy: A Realist Perspective. London: SAGE, for example, refers to 'nuggets of evidence' as segments of primary and secondary data that help refine or consolidate a theory that is tested by the evaluation in an ongoing iterative process of placing nuggets of information within a wider ICMO.

Table 3: Strength of evidence of ICMOs

Evidence source	Triangulation of source		
	Once	Twice	Multiple times
Implementation team	Limited evidence	Limited evidence	Some evidence
Stakeholder enabling change	Limited evidence	Some evidence	Strong evidence
Stakeholder in charge of change	Some evidence	Strong evidence	Strong evidence

4.3 Limitations

Potential bias in the scope of collected evidence. The nature of realist interviewing means that both the initial and the refined theories that were tested in data collection activities may have predetermined the scope of the evidence collected. Although informants were asked about alternative explanations for the outcomes they identified, it is likely that alternative contributing factors do exist but were not elicited.

Limited opportunity to triangulate. Realist interviewing requires theories to be tested and refined multiple times with different informants so that all their parts are supported with strong evidence. When the theories were updated for the second time halfway through the fieldwork, opportunities to test their refined versions were limited. As a result, most theories have some parts that are supported by strong evidence (these are often 'nuggets' supporting their mechanisms and outcomes) and some parts that have not been tested as many times (these are mostly nuggets explaining the intervention itself and the contexts that enabled the observed change to happen). Details about the enabling environment were often teased out towards the end of the data collection phase from members of the project team and less likely to be triangulated.

Weak strength of evidence, therefore, does not necessarily mean the theory is less valid. Instead, it highlights that some of the evidence that underpins it is anecdotal and that the whole theory needs to be further tested and refined in KIIs and/or FGDs with representatives from primary beneficiary categories 1, 2 and 3. Parts could also be triangulated with secondary data from literature on recent political developments in Kenya and socio-economic development of pastoralist communities in Wajir. PTs identified in this case study will also be triangulated by evidence from other projects funded by Component D of BRACED-X as part of the synthesis of BRACED-X FEs.

This limitation also applies to the evidence that underpins initial actions taken by the member of Wajir's County Executive Committee (CEC) for Lands to influence the Community Land Act (CLA), which are set out in Annex 7 and Section 5. Given the limited availability of key informants, we were unable to triangulate this information and therefore classify the collected evidence as limited.

Short timeframe for outcomes to materialise. The case study was delivered in time for project closure. This means that evidence on policy-influencing activities and their results was collected before the final policy workshop. Given that the implementation and evaluation activities took place concurrently and that policy change takes time, it is reasonable to assume that it was too soon to collect outcome-level evidence for policy-influencing at both the county and the national levels. The findings presented in this report are therefore limited to what could be evidenced at that point in project implementation.

Small sample size compared to the total beneficiary population. The total sample of 18 key informants is extremely low compared to the overall population of Wajir, where pastoralism is the main source of livelihood. As set out in Section 3.4, the key informants' knowledge and experience of the Policy Activities implemented by PROGRESS-X were the key criteria for their selection. However, it also substantially limited the number of beneficiaries interviewed for this case study.

Availability of key informants. Selection of county government participants for KIIs and FGDs was affected by the limited availability of some representatives. The CEC for Lands, for example, is a key figure driving policy change at the inter-county and national levels. As it was not possible for her to take part in any of the data collection activities, evidence on the processes taking place to influence the Rangeland Management Bill and CLA is limited in strength.

5. FINDINGS

5.1 To what extent has the intervention led to anticipated changes and results?

The policy component was designed to support the project's overarching goal of improving resilience of rural communities by diversifying their livelihoods, increasing responsiveness of institutions and improving access to community financing mechanisms. The component's specific objectives were three-fold: (i) raise awareness among policy-makers and civil servants of the economic, social and environmental benefits of pastoralism; (ii) help them realise the importance of local knowledge for policy-making and equip them with skills, tools and opportunities to engage with pastoralist communities and capture their feedback and knowledge; and (iii) create new partnerships to make water governance and management of water sources more efficient and open to participation of local communities.

Although it is too soon to collect definitive evidence at outcome level, it has been possible to map out changes emerging from the component's implementation. These results are presented in relation to each of the three policy-influencing activities together with emerging evidence on how they are likely to contribute to transformational change.

Drawing on definitions presented in the KM Working Paper,[34] the policy component forms a cornerstone of PROGRESS-X's trajectory towards transformational change by meeting the following criteria:

- **Helping 'leaders' see the need for change and then carry it through**[35] by changing policy-makers' perceptions of pastoralism and enabling them to realise its benefits and challenges and the urgent need to act to protect it in policy;
- **Fundamentally changing the institutional 'rules of the game'**[36] by embedding pastoralism in county and national policy and regulation and engaging Ward Adaptation Planning Committees (WAPCs) in policy design and implementation;
- **Taking advantage of 'policy windows'**[37] where county governments enjoy legislative powers, have access to substantial budgets and are well represented in the national government by the Pastoralist Parliamentary Group (PPG);
- **Engaging with issues of power at multiple levels**[38] by engaging pastoralist county policy design and implementation, improving collaboration between the county government and WAJWASCO and supporting representatives from the county government to influence policy at the national level;
- **Introducing tools and processes that have the capacity to lead to a wider and sustained change**[39] by training civil servants in participatory data collection and resource mapping with the use of GIS to inform policy-making with community knowledge.

Policy Activity 1: Resource Mapping Exercise for Wajir County

Key message: Policy-makers' exposure to the realities of affected communities improves their understanding of the issue and the importance of local knowledge for decision-making

34 Bahadur, A. V., Peters, K., Wilkinson, E., Pichon, F., Gray, K. and Tanner, T., 2015. The 3As: Tracking Resilience across BRACED. BRACED KM Working Paper.

35 Francis et al., 2003 and Kotter, 1995 in Bahadur et al., 2015.

36 Béné et al., 2012 in Bahadur et al., 2015.

37 Michaels et al., 2006 in Bahadur et al., 2015.

38 Kapoor, 2007 in Bahadur et al., 2015.

39 Bahadur et al., 2015.

Although the resource maps were not yet being used to inform policy-making at the time of the case study fieldwork, it was possible to observe the changes that had resulted from their design process: trainings on participatory data collection had exposed civil servants to the realities of pastoralist communities, local communities had improved their knowledge of local resources and government staff had started to appreciate local knowledge as an essential input into decision-making. These government-supported changes to informing decision-making at the county level represent an incremental, but solid, step towards transformational change.

Enabled by existing relationships with the government developed through PROGRESS and other projects, meaningful engagement with policy-makers was also possible because the project intervention offered a tested GIS mapping tool that was fit-for-purpose in supporting resource mapping efforts to meet the national requirement of a county-wide spatial plan with a particular focus on zoning of urban land, farming land and land for livestock.[40] This built on earlier work done by GEODATA and ALDEF within the ADA Consortium that designed and trialled the approach.

The participatory nature of the data collection processes delivered to inform the resource maps was new to the government. **While supporting the county government with the mapping exercise and speeding up the mapping process,**[41] PROGRESS-X used a bottom-up approach that promoted the participation of pastoralist communities. This not only improved data quality but also strengthened engagement between civil servants and local communities – giving pastoralists an opportunity to have their voices heard.[42] The resulting resource maps will become the basis for future position-making. They are expected to put pastoralist communities at the heart of planning and to enhance transparency and accountability in policy-making.[43] The spatial plan that will draw on the resource maps will also inform the town and urban plan for water and infrastructure development, which demonstrates serious ownership of the GIS tool by the Department of Lands.[44]

The participatory approach to data collection encouraged communities to draw water points, grazing lands, sources of minerals and other natural resources onto blank maps. This visualisation empowered them by realising their knowledge and enabled them to replicate the mapping exercise for a wider range of natural resources.[45] This improved communities' understanding of the resources they have access to in their wards and promoted informed coordination of resources at the ward level.[46]

40 Source 2.

41 Source 13.

42 Source 2.

43 Source 12.

44 Source 14.

45 Source 13.

46 Ibid.

Policy Activity 2: Pastoralism and Policy Training Course

Key message: Convening senior policy-makers to discuss cross-cutting issues improves their understanding of those issues, promotes mutual understanding, raises their ambition and creates buy-in to project activities

The five-day P&P training course took place in the week of 23 April 2018. It was led by IIED with support from Mercy Corps and delivered for the Wajir county government CECs, chief officials and directors in Isiolo. The primary aim was to help policy-makers and planners understand the scientific rationale that underpins sustainable pastoralism to advocate for the economic, social and economic benefits of pastoralist livelihoods and argue for their inclusion in national and county policy. The P&P training course was combined with a workshop on policy formulation process with an overview of current policies in place and the option of formulating viable policies that would protect pastoralism at the county level.[47] It was purposely delivered at the beginning of the project extension period to spark interest among participants in both natural resource mapping and water governance.

Having attended the P&P training course, senior county officials from across departments of the county government whose work relates to land and water governance, livestock, environment and natural resources realise the importance of pastoralism as a sustainable and resilient form of livelihood and the role of policy in protecting it.[48, 49] The training course highlighted the role of pastoralist communities' NRM in the context of new national-level policies that dismiss pastoralism and pose a threat to community land ownership that underpins pastoralist livelihoods. This realisation created buy-in to the resource mapping work as well the water governance study, to work with pastoralist communities to learn about their needs and protect pastoralism as a form of livelihood.

This process was further incentivised, and to some extended sped up, by national directives requiring the translation of existing national policy – namely, the Rangeland Management Bill and the CLA – into county policy and its implementation at the county level.

47 IIED and Mercy Corps, 2018. Pastoralism and Policy Training: To Understand Scientific Rationale Underpinning Sustainable Pastoralism. Video.

48 Ibid.

49 Source 9.

Policy Activity 3: Water Governance Study

Key messages:

- **In-person interaction with local communities enables policy-makers to understand the importance of local participation in management and governance of natural resources**
- **To build a foundation for transformational change, stakeholders must have a shared understanding and pro-pastoralist attitudes and be well connected to effectively collaborate, including with pastoralist communities; policy-makers must have suitable opportunities to influence policy and skills and knowledge to drive the change forward**

The water governance study (a technical report), blog and policy brief have been delivered and were planned to be officially launched in the policy workshop scheduled for May 2019. The outputs have been shared with the BRACED KM and the policy brief was presented at the BRACED Annual Learning Event in Nairobi in February 2019. The outputs will be disseminated more widely to other donors, governments and non-governmental organisations (NGOs). A working paper is also being developed as well as a second policy brief.[50, 51]

While it is too early to comment on the changes resulting from the policy-influencing outputs as such, evidence has been found on incremental changes generated by the implementation process itself. These include improved communication on the subject of water governance within the Department of Water and between the Department and WAJWASCO, as well as relocation of staff responsible for management of water sources closer to communities, changes to the draft county policy on water governance, changes to the governance structure of WAJWASCO and, primarily, awareness of the importance of effective water management based on inputs from pastoral communities.[52, 53]

Engagement on the subject of water governance was enabled by existing relationships that the project staff have with the county Department of Water, WAJWASCO and Wajir Community Radio, which build on previous work and engagement.[54, 55, 56]

50 Source 2.

51 Source 14.

52 Source 13.

53 Source 10.

54 Source 11.

55 Source 13.

56 Source 10.

The 'eye-opening' experience[57] of visiting local communities and awareness of the issues, their implications for local communities and options for addressing them have resulted in quick changes to water management structures and approaches of both the Department of Water and WAJWASCO. These include inclusion of community members and female representatives on the board of WAJWASCO; decentralisation of water management staff so they are located closer to communities; and the county government's plans to continue working with water user associations on community-level water management.[58, 59, 60]

At the community level, participatory data collection enabled collection of data on water points and their characteristics, as well as creation of community-defined criteria for what they consider to be water point quality.[61] It also enabled communities to share their needs and grievances, which informed the water governance study. The process also sensitised them to their role in keeping the Department of Water and WAJWASCO accountable by raising their grievances to Wajir Community Radio.[62] The Department's commitment in addressing the grievances was obvious during the case study fieldwork, which took place just before the rainy season began. Department officials were in the field attending to communities with restrained access to water for most of the four days of the fieldwork, which made it difficult to get some of the staff to interview.

Stepping stones towards transformational change

As a result of the three Policy Activity packages, policy-makers became aware of the importance of pastoralism and the need to protect it in policy. Changes were made to the draft county rangeland management policy and other policies on NRM to include plans and guidelines to protect pastoralists and to change their wording to reflect pastoralism as a form of livelihood. To ensure that new generations of policy-makers will have a good understanding of pastoralism, conversations have started about opening up a training for civil servants.[63]

> My perception of pastoralism has totally changed. I have learnt so much. We commit to training field officer at sub-county levels about everything we have learnt here.[64]

57 Source 11.

58 Ibid.

59 Source 13.

60 Source 10.

61 Source 2.

62 Source 13.

63 Source 9.

64 IIED and Mercy Corps, 2018. Pastoralism and Policy Training. Video.

Changes were also made to NRM practices and organisational structures to bridge the community–government disconnect. Members of rural and pastoralist communities were hired by the Department of Water; WAJWASCO included female community representatives on its management board; a partnership on drilling boreholes was formed between the Departments of Land and Water; staff from WAJWASCO and the Department of Water were stationed closer to rural communities; and an Environmental Impact Assessment (EIA) became a requirement in drilling boreholes.

The county budget for spatial planning has been used for resource planning using GIS with plans to set up a GIS plan, and there is interest from other departments in using the tool for mapping other resources and infrastructure.[65]

Furthermore, there is anecdotal evidence that the P&P training course has inspired action at the inter-county level, led by the Wajir CEC for Lands, who has made initial steps to coordinate her peers from other wards in the ASAL region to redraft the CLA – a national policy that requires registration of communal land into private ownership by 22 April 2019. This presents a substantial threat to pastoralists as it puts the land that remains unregistered past the deadline at risk of being withdrawn from its users.[66]

> The CEC for Lands was shocked in the P&P workshop where a lawyer presented the details of the Land Act and what this would mean for the local people.[67]

Wajir's CEC for Lands, joined by CECs from the frontier counties, triggered a discussion with county governors at the inter-county level with the aim of lobbying the national government. These discussions on redrafting the CLA to recognise 'pastoralist lands' are based on work done in West Africa by IIED, where similar laws prevented communal land from being assigned to specific clans. Communities and clans work in slightly different ways across the county; this issue cannot be resolved in a single piece of legislation without creating conflict.[68] The GIS mapping tool plays a key role in informing this work bottom-up – mapping rangeland, water sources and other natural resources. Box 2 describes in detail the process of influencing the CLA at the national level.

65 Source 4.

66 Source 14.

67 Ibid.

68 Ibid.

Box 2: Influencing the Community Land Act

We have learnt that, for the CLA to be influenced, the groundwork has to be done at the county level first by mapping the land used by pastoralists. Only then can the issue be taken up to the PPG, which has the power to write an amendment to the CLA, which it can also pass based on its large presence in Parliament (115 MPs, 15 governors, 21 senators and 400 members of the County Assembly). To buy more time, the CEC for Land and other CECs in the Frontier County Development Committee (FCDC) are lobbying the Council of Governors to push back the deadline for registration. Discussion with the 10 FCDC governors is currently on-going. Once the Council of Governors is on board, talks will start with the PPG.[69]

The county government is in a good position to influence the following county policies:

- County policies on water, NRM and livestock, which include plans and guidelines to protect pastoralists, have been prepared by respective departments and are to be passed at the County Assembly.[70]
- County-specific rangeland and NRM bills have been redrafted to demystify their language and reflect pastoralism.[71, 72]

Having closely engaged senior officials from the Departments of Lands, Water, Livestock and others, the project has initiated changes to how policy is influenced and formulated from the community to the inter-county level. Resulting changes to policy have been based on an improved understanding of pastoralism; a new appreciation of community knowledge and the community role in NRM; and new connections across the levels as well as within them. Anecdotal evidence suggests the personal interest and commitment of key players, like Wajir's CEC for Lands and others – such as the County Director for Livestock Production – have further increased the likelihood of PROGRESS-X achieving transformational change in Wajir but also substantial policy changes at the national level.

69 Ibid.

70 Source 13.

71 Source 14.

72 Source 9.

5.2 How and why have particular intervention packages led to observed results and changes?

Participatory data collection and GIS resource mapping (**Policy Activity 1)** formed a backbone of the transition from becoming aware of the importance of pastoralism and the need to change policy to preserve it (Policy Activity 2) to delivery of the water governance study to inform water management at the local and county level and Wajir's water policy **(Policy Activity 3).**

Drawing on this complementarity of the three policy-influencing activities and the links made between them, this section presents evidence collected on the specific processes and outcomes of those activities in relation to the five theories presented in Table 3 of Section 4.2 and Annex 1.

We first map out the broader scope of **Theory 1: Capacity**, which forms an overarching frame for the remaining theories that follow:

- **Theory 2: Analytical rigour**
- **Theory 3: Cross-departmental working**
- **Theory 4: Ownership**
- **Theory 6: Collaboration**

The theories are used to map the processes that lead from individual Policy Activities to evidenced outcomes and to underpin them with relevant evidence.

In the remainder of Section 5, we present analysis for each of the five policy-influencing theories in the context of the three Policy Activities. Each analysis begins with a policy-influencing theory as tested in the field. Analysis is then provided based on detailed evidence presented in Annex 11. Each of the theory-specific analyses comprises a summary of findings combined with the strength of evidence in their support.

Theory 1: Capacity

Theory as tested in the field: In contexts where resources already exist, improving capacity, understanding and awareness of government officials improves the confidence in their skills and new tools and approaches and raises their political ambition

Key messages:

- **Knowledge of stakeholders enables design of project tools and activities that meet stakeholders' needs and helps identify windows of opportunity that accommodate their application and further enable the desired change**
- **Stakeholders' motivation was further strengthened by introducing tools and approaches that have been previously applied and tested (demonstrated) and adjusted to the local context**
- **Existing relationships and trust of key stakeholders enabled their timely mobilisation and participation in Project Activities, which further strengthened their buy-in and raised their ambition by introducing new knowledge and enabling an exposure to the realities of pastoralism**

Refined versions of the policy theory are detailed in the two ICMO configurations below. While the first (ICMO for Policy Activity 2) presents the results of the P&P training course and the process by which the changes were achieved, the second, a single ICMO for Policy Activities 1 and 3 combined, details how the results of Policy Activity 2 were leveraged by the other two Policy Activities to achieve changes in the county policy as well as in the day-to-day practices of the government and other key stakeholders.

Policy Activity 2

The fieldwork alone identified weak evidence in support of the P&P training course having changed the mindsets of participants. However, there is some evidence that this has happened from another source: a video filmed by Mercy Corps immediately after the training course in which one of the senior government officials (the CEC for Agricultural Land and Livestock) states that his perception of pastoralism has totally changed as a result of the information provided. The information presented in the training course engaged its participants in the design of the rest of the project, which made the consequent activities and outputs reflective of the government's needs and priorities.

- **Informing the intervention design by stakeholders' needs** strengthened demand for tools and activities introduced by the project. This was supported by some evidence from the context of Policy Activities 1 and 3. In the context of resource mapping, for example, the interest in GIS existed prior to PROGRESS-X; some government officials were already familiar with the approach and keen to learn the skills. Introducing the training in its use as part of the project meant that the project team could leverage the government's budget for resource mapping to build a government-funded GIS lab (strong evidence)

- This was further enabled by **the trust** that key stakeholders had in the project team. The project team knew stakeholders' needs and challenges and used this knowledge to design an intervention that could support policy-makers, and other key stakeholders, while changing their opinion on pastoralism. Despite weak evidence, this trend has been reported by all three Policy Activities (weak evidence)

The P&P workshop **changed policy-makers'** attitudes towards pastoralism and **raised their ambition** to make changes to policy and implementation process in order to protect pastoralist livelihoods and day-to-day practices. This has been supported by strong evidence from Policy Activity 2.

This was a result of:

- **Implementing the intervention at a time of policy developments** at both the national and the county level. Opening participants' mind to a new perception of pastoralism in the context of new policies that could threaten it presented an opportunity to turn around the potentially harmful policies to protect pastoralism (intervention) This was further enabled by the **devolution process**, which has given the county government more legislative power and access to public budgets (context)

… with the following outcomes:

- Technical information presented in the P&P training course enabled participants to come to their own conclusions and come up with practical actions, like limiting the number of boreholes. It also improved the understanding of why GIS is important and created buy-in to consequent activities (strong evidence)
- The training course catalysed engagement around issues related to pastoralism as it made the government aware that pastoralism was at a crossroads and urgent policy action was needed to protect it (some evidence)
- The government is now reviewing the county-level land management strategy and bill and national livestock policy as a result of what was presented and learnt in the training course (some evidence)
- The Water Department Taskforce was set up as a result of the training to deliver the water governance study. The county chief officer for water coordinated this cross-organisational effort (weak evidence)
- The collaborative approach put the government in the driving seat of change; the project secured not only the time of government staff but also resources, like government vehicles, and access to the government's budget line for resource mapping (weak evidence)
- Having realised the importance of pastoralism, the county government is now looking into ways to make the training course available to other ASAL counties (some evidence)

Policy Activities 1 and 3

Diverse stakeholders gained **shared understanding** through **exposure to the realities** of pastoralist communities. This opened up new conversations and contributed to shared approaches and creative solutions (strong evidence)

This was enabled by:

- The project's **participatory approaches** to data collection (water governance study, resource mapping), which opened the government's eyes to reality and improved their understanding of the challenges and issues facing pastoralist communities (intervention)
- The project's ability to bring **together key stakeholders** and provide them with unique opportunities to jointly identify new evidence in support of action to protect pastoralism (intervention)
- **Support from Wajir Community Radio,** which was trusted and well connected to local communities, enabling pastoralists to participate in data collection conducted by WAJWASCO and the Department of Water. To promote community participation, the project also leveraged local governance structures, WAPCs, set up by PROGRESS, PROGRESS-X and the ADA Consortium (intervention)
- **Policy window of opportunity.** The ambition was further increased as it was feasible to reflect the findings in the water governance policy as well as the new approach to water governance that was being drafted (context)

… with the following outcomes:

- Water officers identified practical solutions, like relocation of water maintenance staff closer to rural communities, and became aware of the importance of water user associations' role in the management of rural water sources if adequately supported (strong evidence)

> Once the planning has been done, we realised that we're depleting our [natural] resources.[73]

- Participatory data collection enabled productive dialogue and made the relationship between the Department of Water and WAJWASCO more collaborative. It also identified practical solutions to the issues they had observed, like neglected water sources (some evidence)
- Approaches to water management have already started to change and new policies have been drafted but not yet passed (strong evidence)

73 Source 8.

- GIS is likely to be used to inform wider resource mapping exercises in the future – serving numerous departments and drawing on larger datasets. It has also sped up the process of spatial mapping (weak evidence)

Policy-makers became **motivated** to engage in the project implementation to achieve envisaged changes, adopted tools and participated (and in some case led) activities introduced by the project (some evidence)

- This was enabled by using **tested tools and approaches** designed and previously trialled. At least one government official was familiar with the GIS approach to resource mapping before PROGRESS-X started as Wajir South Development Association (WASDA) had used it at the ward level in the past. It also helped that the tools are visual, versatile and relatively easy to use (intervention)

… with the following outcomes:

- Improved stakeholder engagement: WAPCs and the radio enabled rural communities to participate in data collection, but also to raise grievance to members of the county government. It was the involvement of local radio that motivated local community members and enabled them to participate by translating and pre-recording their contributions (weak evidence)
- Pastoralist communities learnt how to identify and map natural resources in their area and the data they provided will enable the government to protect grazing lands from settlements and overexploitation (strong evidence)
- Technical information presented in the P&P training course enabled participants to come to their own conclusions and come up with practical actions, like limiting the number of boreholes. It also improved the understanding of why GIS is important and created buy-in to consequent activities (strong evidence)
- The training course was a catalyst of issues related to pastoralism as it made the government realise that pastoralism was at a crossroads and urgent policy action was needed to protect it (some evidence)

Thoughtful sequencing and linking between activities of the policy component enabled outcomes of one activity, like policy-makers' raised ambition to engage with the project, to be leveraged by consequent Policy Activities.

Therefore, as is illustrated later in this section, some of the outcomes of Theory 1 formed the 'context' of Theories 2, 3, 4 and 6.

The role of 'sequencing and linking' as a mechanism is further explored in relation to Theory 6.

Theory 2: Analytical rigour

Theory as tested in the field: Where communities have trust in the project, technical knowledge and exposure to the realities of pastoralism improve understanding of the needs of pastoralists and increase motivation to adjust policies and practices to better work for pastoralists

Key messages:

- **Demand and uptake of the GIS tool for resource mapping was further strengthened by engaging stakeholders in project implementation, which enabled them to become aware of the importance of local knowledge for policy-making**
- **Introducing evidenced knowledge that is relevant to stakeholders' needs and disproves widely held views and producing recommendations that are practical (in both the P&P training course and the water governance study) changed stakeholders' perceptions and equipped them with a clear roadmap for change**
- **Existing networks and trust of key stakeholders enabled the project to improve communication and collaboration between pastoralists and key decision-makers. Exposing key decision-makers to the realities of pastoralism made them aware of the importance of local knowledge for NRM and governance**

We found that analytical rigour formed a backbone to the success of all three Policy Activities.

(i) In the case of **resource mapping** through the use of GIS, it was the tool's ability to perform a task that the county government was **required to deliver** by national legislation. The GIS introduced by the project offered a **simple tool** for eliciting relevant, quality and context-specific data. Its wider adoption as intended by several county departments was a result of the following change process.

Participatory data collection **enabled exposure** of government staff to the realities of rural communities, which some described as an 'eye-opening' experience, and confirmed their interest in community knowledge (strong evidence)

> It is too early to speak about policy outcomes, [but] the process [participatory approach] has shifted mindsets to pro-pastor lenses.[74]

74 Source 7.

This was enabled by:

- The GIS training being **relevant and applicable** to local context (intervention)
- Some government officials **already being familiar** with the use of GIS for resource mapping from work previously done in a neighbouring county Isiolo (context and intervention)
- The GIS making possible **technically rigorous** mapping while being **uncontroversial** and **easy to use** and to adapt to different purposes (intervention)
- A **WhatsApp group** on Resource Management, which comprised the government technical staff and senior officials, making it possible for the University of Southampton to provide civil servants with timely technical assistance and to answer their ad hoc queries (intervention)

… with the following outcomes:

- GIS resource mapping will be used to inform policy-making at the county level (strong evidence)
- The aim is to create a simple platform where the maps and data can be stored so the data can be used by the various county departments (e.g. Education, Veterinary, Health), but also donors, to inform their planning and decisions about allocation of resources, such as where to locate a health facility. The plan is to map out both social and physical infrastructure as well as natural resources like water and grazing areas. The Veterinary Department, for example, has used GIS to collect and analyse data on animal health, and the Environmental Systems Research Institute for East Africa has signed a memorandum of understanding (MoU) with the Kenyan Institute of Planners to help promote GIS-based planning and GIS-based decision-making in Kenya (some evidence)
- Financial resources will be allocated towards participatory processes, enabling communities to inform policy (strong evidence)
- As the GIS project activity was introduced at a time when spatial planning was demanded by national legislation, the county government could finance the resource mapping exercise from a budget for spatial mapping, which is a legal requirement set out by the national government for all counties. If the project had not provided GIS, the county government would have bought the software and delivered the training internally. This would most likely be a geo-data training by a local consultant. Sub-county spatial plans would have been conducted using aerial photography (weak evidence)

Moreover, **attitudes of the government staff have shifted** towards pastoralists and rural communities, which have become appreciated for their knowledge (weak evidence)

This was enabled by the Wajir Community Radio, which:

- **Sensitised local communities** to increase their participation and enabled collection of quality data (intervention)
- Broadcasted in **four local languages**, including Borana. The station staff participated in data collection to translate for local communities and pre-recorded contributions of community members who were interested but could not be present (intervention)

(ii) The **high-quality technical content** of the **P&P training course**; the **relevance of its subject** to the CLA that the county government was to translate into county policy; and the **practicality of the recommendations** put forward in the course were the primary drivers of the change in attitudes of its participants. These included members of the 'political elite', who were able to initiate action to protect pastoralism in policy.

The training course **changed the thinking** of county government officials, with many senior people across the government thinking about pastoralism in new ways. It opened their eyes to the benefits, and realities, of pastoralism, changing their perspectives and motivating them to act to protect it (strong evidence)

> [His] perception of pastoralism has totally changed.[75]

It also **created buy-in** among key decision-makers in the county government (strong evidence)

This was a result of:

- The actual **technical content** of the training course, which made its participants realise that pastoralism was a dynamic form of livelihood and that it would not die out, which was contrary to their initial beliefs. The participants also learnt new technical knowledge that made them aware of the unsustainability of current approaches to resource management (intervention)
- Partialism was a **new concept** to WAJWASCO, which was familiar with issues of water access in settlement areas only (context)

75 IIED, Mercy Corps (2018). Pastoralism and Policy Training: To Understand Scientific Rationale Underpinning Sustainable Pastoralism. Video.

… with the following outcomes:

- The practical knowledge disseminated in the P&P training course has led the Department of Water to think about what it can do and alternative solutions to current practice (strong evidence)

> Even the chief of water said that this has really changed his mind about water and pastoralism.[76]

- Buy-in among civil servants is manifested in the government's intention to train additional civil servants on climate change issues and to integrate pastoralism in the training curriculum for government staff. With awareness now raised on the importance of pastoralists' knowledge, additional staff have already been trained in GIS mapping (strong evidence)
- Moreover, because the training course targeted 'county elites' who have mandates to make decisions about resources and financial allocations from the county budget, the technical content of the training course created excitement and influential champions, such as the CEC for Lands and the CEC for Livestock, who opened their eyes to the benefits and realities of pastoralism and demanded further action. For example, participants of the training selected the water governance study as the first policy issue to address (strong evidence)

> [Before the P&P training course] their mind was closed, but now they have a clear idea of pastoralism and how to manage pastoralists.[77]

(iii) As for the **water governance study**, it was primarily the **participatory approach** to data collection that exposed civil servants to the realities of pastoralist communities and changed their attitudes towards pastoralism. This in combination with **cross-organisational collaboration** on the water governance study resulted in changes to the management of water sources and practical recommendations informed by relevant, quality and context-specific data, which are expected to influence relevant policy at the county level.

76 Source 13.

77 Source 13.

In Madaraka Day celebrations held on 1 June 2019 in Wajir, the deputy governor of Wajir announced that findings of the water governance study 'will be incorporated in the draft Wajir County Water Management Bill 2019'.[78]

The **eye-opening** nature of the data collection process changed civil servants' views of pastoralism, which in turn made findings of the water governance study relevant to inform a draft county policy on water governance (strong evidence)

This was a result of:

- **Technical quality** of the water governance study that met the county government's standards. The government appreciated its technical quality, the level of **community involvement** in data collection and the applicability of the recommendations it put forward (intervention)
- Wajir Community Radio enabling community inputs into the water governance study, and also into the GIS mapping, by **sensitising pastoralist communities** on the study's objectives. It also translated and pre-recorded their inputs when needed (intervention)
- Pastoralism being a **new concept** for WAJWASCO, which had worked only with settlements, as the company is responsible only for household access to water, not for water for livestock (context)
- An existing gap between the resources and responsibilities of the government and other donors, on the one hand, and community needs, on the other, with no channels for consultation between the two (context)

… with the following key outcomes:

- The bottom-up approach to data collection that informed the water governance study improved its quality, which was appreciated by the government and other stakeholders like the World Bank. The World Bank, for example, appreciated that WAJWASCO's proposal for future collaboration in Wajir was informed by an honest independent study that applied a bottom-up approach to data collection (strong evidence)
- WAJWASCO realised that, in the future, it had to make decisions in consultation with local communities and included representatives from pastoralist communities on its management board (strong evidence)
- Government officials have been pushing to oversee water schemes and have requested small budgets to improve piping. The county government has also come up with a public–private partnership model through which communities and water user associations can manage water sources and channel grievances, and has plans to train water user associations (strong evidence)

78 Madaraka Day speech by HE Ahmed Muktar Ali, Deputy Governor of Wajir county, 1 June 2019

- The study was also appreciated by local communities as its findings were informed by their needs and grievances (strong evidence)

We also found that civil servants took a **personal interest** in local communities (weak evidence)

This was a result of:

- The water officers hearing things **first-hand from communities**. This was a new experience for them, as they had not gone often to the countryside in the past. In interviews, communities said they had never seen them. The study and policy brief highlighted this problem (intervention)
- Working with Wajir Community Radio, which meant **communities were accommodating** and willing to share their grievances and findings. Communities were willing to facilitate a policy change; this was a channel to share their grievances so things could change and the data collection process accommodated even the critics (intervention)

… with the following outcomes:

- Civil servants become hard to reach during the drought season, when they spend much of their time in the field. Government officials have since been paying frequent visits to rural communities to address issues related to water access. Even in a small drought they are were out in rural areas taking action (weak evidence)

Theory 3: Cross-departmental working

Theory as tested in the field: Where relationships between the project and stakeholders exist already, work across departments results in long-term policy change

Key messages:

- **By working with a diverse group of stakeholders, many of whom had influential mandates and access to resources, and improving their understanding of pastoralism, the project created 'multi-purpose coalitions' and provided them with support to address time-sensitive issues faced by pastoralist communities**
- **Involving the multi-purpose coalitions in implementation of project activities enabled them to own the outcomes of their work (GIS maps, findings of the water governance study) and put forward context-informed recommendations that were specific to the stakeholders' needs**

As set out earlier in this section, we found that existing relationships, from previous engagement though BRACED-funded PROGRESS and other projects, between key stakeholders and the project implementation team formed a backbone to on-boarding of stakeholders. Leveraging these connections and the trust of influential representatives of key organisations, the project team managed to secure the time of key stakeholders for the P&P training course very quickly. It was during the course that people changed their opinions about pastoralism and understood the need for quick policy action to protect it. The P&P training course brought together influential representatives working on water and land governance and NRM, and related policy concerning pastoralism. Given the complexity of the action required to protect pastoralism in policy, securing a shared understanding among these actors and creating new partnerships to achieve change was an essential ingredient in the intervention's success.

In this context, the P&P training course enabled the creation of a platform on which new '**multi-purpose coalitions**' were built and from where concrete actions were taken forward in the other two Policy Activities. We found strong evidence that discussions among representatives of different departments in the P&P workshop improved understanding of others' work and sparked motivation to collaborate.

> We realised that resources have to be shared and taken care of [in collaboration].[79]

The Water Governance Taskforce, for example, was set up in the aftermath of the P&P training course to get the study off the ground and was led by the director in charge of planning at the Department of Water (strong evidence)

This was a result of:

- Participants of the P&P training course being **carefully selected to represent departments that work on various aspects of** pastoralism, as the implementation team knew that protecting pastoralism by means of county-level policy required a holistic approach. The training helped agree on shared objectives and an action plan, which the government owned from then onwards. The water governance was identified as the first area to address (intervention)

79 Ibid.

- Sharing a border with other ASAL counties with **widespread pastoralism,** like Isiolo, which has addressed many issues related to pastoralism already, Wajir County Government being under pressure to support pastoralists in Wajir, such as by improving NRM and water governance. As pastoralists and their livestock regularly cross county borders, primarily in drought when local resources like water and grasslands become scarce, the neighbouring counties had a stake in improving conditions for pastoralism in Wajir (context)

- The county government **having access to resources but not the knowledge/evidence** to allocate the resources to the right places, which has been a real challenge. The water governance study was conducted to show the gaps and thus provide the evidence to inform resource allocation. As a result of devolution, the county government is responsible for allocation of financial resources from the national budget (context and intervention)

… with the following outcomes:

- The Water Governance Taskforce and other new collaborations have been formed. The GIS mapping tool is enabling county departments to work together in the long term in the government-financed GIS lab that is currently being set up. The departments plan to train their staff, who will be able to use the GIS lab in the future (weak evidence)

The multi-purpose coalition enabled the implementation team to assume the role of a neutral player and facilitate change driven by key stakeholders. This put the key decision-makers in the driving seat of change, sustained their interest, made policy recommendations specific to their realities and generated buy-in to policy change. Having provided substantial inputs into the policy-influencing products, like the water governance study, stakeholders had an interest in the findings, which they found relevant, and the recommendations, which were practical and context-informed (strong evidence)

This was a result of:

- WASDA and other project implementation partners having worked with key stakeholders in Wajir and other ASAL counties in the past, and being **considered trusted partners** as a result. The project team was seen as a neutral partner that was promoting a change in the interest of pastoralists, no one else (intervention)

- **Participatory approach.** The water governance study was developed with inputs from and reviews by key stakeholders. The report was coordinated by IIED but technical inputs came from the key stakeholders, primarily WAJWASCO and the Department of Water. The CEC for Water, for example, co-designed the final report and was consulted on preliminary findings in end-of-fieldwork meetings and the final version of the study in a feedback and validation workshop that involved key decision-makers on the subject (intervention)

… with the following outcomes:

- Incremental but important changes have already been made. In the case of water governance, for example, staff of WAJWASO and the Department of Water are now spending more time in communities addressing issues related to water access, both organisations have hired staff from rural communities and stationed their staff closer to rural areas and WAJWASCO has included female members from rural communities on its management board (strong evidence)

Using a WhatsApp group to coordinate the work on the water governance study, for example, enabled all key stakeholders to understand one another's positions and to resolve *ad hoc* disputes. This created a **shared understanding** and helped IIED better understand individual positions and reflect these in the recommendations put forward by the study, which further increased the likelihood of them being adopted. The water governance WhatsApp group saved time, allowed members to participate from abroad and enabled them to bring up ideas that would be more difficult to communicate otherwise. Discussions are encouraging, motivate action and resolve disagreements; this was appreciated as the government's official means of communication is on paper (strong evidence)

This was a result of:

- The **WhatsApp group** that was set up to coordinate work on resource mapping, for example, helping spread the word to other county departments. For example, the CEC for Education joined the group to learn how best to use GIS for use in mapping vocational institutions and their progress. Other WhatsApp groups existed already and the project was able to tap into them. For example, the FCDC coalition has a WhatsApp group to coordinate policy-influencing at the national level. Influencing participants of the cross-county formal and informal groups represents an opportunity for the project to influence policy at the national level (context and intervention)

… with the following outcomes:

- Discussions in the WhatsApp group and feedback in meetings with key decision-makers on findings emerging from participatory data collection provided further guidance for the water governance study and helped in phrasing recommendations so they would reflect the realities of each stakeholder. As a result, the findings and recommendations the report put forward were then considered practical and informed by local context and will inform the county water strategy (strong evidence)

Theory 4: Ownership

Theory as tested in the field: In contexts where resources (financial budgets, decision-making power) are available, new tools and skills gained to inform policy (if considered useful) mobilise support of the new tools and/or approach and result in allocation of the government's resources (like finance, time, commitment) to enable their wider/long-term rollout

Key messages:

- **By introducing practical tools that are relevant to stakeholders' needs and enable participation of local communities, the project improved collaboration between key decision-makers and pastoralists. It improved decision-makers' understanding of pastoralism and the value of local knowledge for NRM and governance**

The fieldwork showed that, while availability of financial resources plays a role in stakeholders' ability to sustain action to protect pastoralism, the **connections and capacity** created among the stakeholders, as well as with external organisations working on climate resilience in Kenya, was equally important in the long-term sustainability of the project.

All three Policy Activities made their participants realise the **importance of collaboration**. The P&P training course clarified that the solution to pastoralism was beyond the scope of a single organisation's work and required action by a variety of stakeholders now and in the future. This awareness also grew during data collection for resource mapping and the water governance study, when the community radio enabled community participation by sensitising on the issue and recording and translating their contributions. Moreover, bringing people together from different departments also showed that actions in one sector could undermine the work of others and that cross-departmental coordination was required (strong evidence)

This was a result of:

- The implementation consortium being involved in a number of climate resilience projects in the area, having **local connections** and being a**ble to identify opportunities** of benefit from mutual collaborations and make introductions beyond the scope of the project (intervention)
- **Stakeholder disconnect:** Key stakeholders not being used to engaging with others to identify solutions. Different aspects of water access, for example, are worked on by the Department of Water, WAJWASCO, the Department of Livestock and Agriculture and the Wildlife Department. The project brought the key stakeholders together to discuss and identify solutions that would be feasible for all (context)

… with the following outcomes:

- New relationships have been created between county departments, like the Department of Lands and Fiscal Planning and the ICT Department, which are now working together to set up a GIS lab to serve several county departments. The lab is now constructed and is ready to continue running without the support of the project. The Department of Water has also been working with local communities to build capacity of water user associations and is identifying public–private partnerships to better address their need (some evidence)

Closed involvement in the project's implementation and selection of the project's priorities further encouraged stakeholders to take ownership of the envisaged actions. As set out above, having changed their attitudes towards pastoralism and set up functional partnerships and collaboration channels, the implementation team took on a facilitator role and let the stakeholders to drive the change. This relative autonomy strengthened the **stakeholders' understanding** of the solution required and their **ownership** of the process to deliver it. In the case of the water governance study, for example, the staff of WAJWASCO who participated in the data collection learnt about the different aspects of their own jobs on the ground and the company's senior management was closely involved in writing the report. This encouraged them to be owners of the study and propose relevant practical measures. The Department of Water was involved in writing the report and referred to it as theirs (limited evidence)

This was a result of:

- The implementation team **understanding the interests and needs of key stakeholders** targeted by the project, **identifying mutual** benefits in their collaboration and providing opportunities for them to make connections and discuss the issues they share (intervention)
- **Issues faced by pastoralists not being fully taken on board by all stakeholders.** WAJWASCO, for example, was not familiar with the concept of pastoralism. It was a new concept for them as in the past it would work mostly in settlements (context)

… with the following outcomes:

- Spatial planning was acknowledged by the deputy governor of Wajir as part of the Madaraka Day speech in June 2019 as an 'important framework for efficient, productive and sustainable use of land'.[80]
- As part of the same speech, the deputy governor also announced that findings of the water governance study 'will be incorporated in the draft Wajir County Water Management Bill 2019'.[81]

80 Madaraka Day speech by HE Ahmed Muktar Ali, Deputy Governor of Wajir county, 1 June 2019

81 Ibid.

- The content of the P&P training course is to be embedded in a curriculum for all county government officials. The county government and Mercy Corps are currently discussing this (weak evidence)

The combination of the **practical and versatile tools and approaches** introduced by the project and their **demonstration effect** was important for their wider adoption. The use of GIS for resource mapping, for example, created buy-in from other county departments, which were able to see how it would benefit their own work.

The resource mapping exercise demonstrated the potential of GIS and led the county government to realise what it needed to do to maximise its benefits. The Ministry of Education, for example, would like to use it to map data related to primary education, ideally with the use of open source data verified by local communities. A total of 25 chiefs of staff have expressed their interest in the use of GIS and the Ministry of Land and Fiscal Planning is now thinking about how best to accommodate everyone's needs and aspirations in the use of GIS (some evidence)

This was a result of:

- The proposed solutions, GIS tool and knowledge disseminated in the P&P training course being **practical, versatile and relevant** to the work of all stakeholders targeted (intervention)
- **Resources to take GIS forward existing.** The government already had resources and the GIS training was a catalyst that sped up the resource mapping process. It changed the way the mapping was done by introducing a bottom-up process that involved local communities (context)

… with the following outcomes:

- Ownership of the process sparked motivation to allocate resources towards desired change. The demand for GIS from various county departments has been factored into the future GIS budget financed by the Department of Land and Fiscal Planning and the ICT Department. The Department of Land and Fiscal Planning has already allocated KES 20 million towards the lab. Once it is set up, the departments will employ their staff to continue work on resource mapping using GIS at a wider scale (weak evidence)
- The benefits that the bottom-up approach to resource mapping brought to the participating government departments sparked interest from other parts of the county government. To accommodate the demand, the Council of Governments engaged the United Nations Development Programme to support the resource mapping efforts in Wajir, primarily in relation to urban planning. It also asked Mercy Corps to bring on board the regional Centre for Mapping, Research and Development, which works in 10 countries and is externally funded by the United States Agency for International Development and the United Nations. Its centre for East and Central Africa is based in Nairobi and an MoU has been signed between the county government and Mercy Corps, under a different project, to facilitate a meeting to discuss

the government's use of free open source data for its resource mapping work. The meeting happened in Nairobi in the last week of March. The implementation team was also able to introduce the Department of Water to the DFID-funded Building Research Capacity for Sustainable Water and Food Security in Drylands of Sub-Saharan Africa project for the latter to support the government with a hydrological study that was identified in the P&P training course as one of the priorities (some evidence)

Evidence that underpins these observations is presented in the form of an ICMO below. This policy-influencing theory is in parts supported by anecdotal evidence. This limitation is further discussed in Section 4.3, where we propose triangulation of such PTs in interviews with key informants from beneficiary categories 1, 2 and 3 to allow for their testing and further refinement. All PTs will also be triangulated by evidence from other projects funded by Component D of BRACED-X as part of the synthesis of BRACED-X FEs.

Theory 6: Collaboration

Theory as tested in the field: Existing relationships and the trust of key stakeholders enable the project to work with multiple actors simultaneously, which creates a shared understanding across the key players (individuals, organisations), trust and new relationships, which combined are likely to contribute to transformational change

Key messages:

- **Knowledge of wider policy developments and stakeholder landscapes enabled the project team to design activities that addressed stakeholders' imminent challenges. This strengthened their motivation to participate**
- **Engaging a variety of diverse well-connected stakeholders and leveraging their existing relationships and communication channels enhanced the project's outreach**
- **Qualities of the project team, and the wider implementation consortium, like independence and track record of relevant work in the county, enabled them to leverage their past work and connections to a variety of key stakeholders and also build on the project's outcomes by their other initiatives contributing to the project's sustainability**
- **Previous partnership with a local organisation that is well connected to and trusted by pastoralists enabled participation of local communities in Policy Activities, which made their outputs more credible to both the government and the international community**

- **Aligning the pro-pastoralist agenda with policy-makers' broader needs and sequencing the Project Activities to generate their buy-in to the project implementation enabled it to embed local knowledge in policy products that met the needs of the government and therefore are more likely to result in a sustained change**

Using this theory, we present emerging evidence that the project's ability to (i) identify and tap into the existing windows of opportunity, (ii) leverage its independence, existing relationships with key stakeholders and their trust and (iii) carefully sequence the project's Policy Activities to gradually build stakeholders' ownership of the change process formed three key cornerstones to concrete paths towards transformational change:

(i) **Tapping into existing windows of opportunity:** As set out in Theory 1, the project leveraged its knowledge of the policy context to initiate action to protect pastoralism while addressing the needs of key stakeholders.

The project team engaged with senior representatives of key stakeholder organisations to **identify stakeholders' needs** and **help them become aware of the gaps in their work.** The team then used the findings to finalise the project design. This motivated the stakeholders' engagement as the Project Activities were informed by their needs and therefore supported delivery of other aspects of their work. The water governance study, for example, shed light on the lack of clarity on responsibility for the management of various water sources in rural areas and the need for clear policy and action. This led to buy-in from the Department of Water. The P&P training course deepened understanding and got the county chief officers for water and livestock on board as it showed the importance of water access for pastoralism and rural development (strong evidence)

This was a result of:

- Since **devolution** in 2010, the county government enjoying more decision-making power. This has come with more responsibility and resulting needs for capacity-building and access to reliable data to inform county-level decisions (context)
- **New policies** having been introduced at the national level that pose a threat to pastoralist livelihoods. Wajir's government was under pressure to translate this legislation into county policies. County-level policies on NRM and land ownership, for example, were already being drafted at the time of the project's implementation. The water bill, water strategy and water policy were all in draft as well (context)
- **The team not going in blind;** it knew what the needs were. This knowledge of context and key stakeholders enabled the team to design an intervention with the government's needs at its heart (intervention)

… with the following outcomes:

- Buy-in from all stakeholders was created by introducing a credible take on pastoralism, which offers a viable solution to the impacts of climate change on rural communities. This realisation, in the context of new anti-pastoralist policies at the national level, initiated urgent action led by members of the county government (limited evidence)

(ii) **The team's independence and its existing networks enabled stakeholder engagement at multiple levels:** By showcasing the benefits of pastoralism and local knowledge to groups of diverse stakeholders, the project changed the way policy-makers at all levels of the county government think about pastoralism. Moreover, it was able to leverage existing organisational structures, relationships and communication channels to communicate the need to protect pastoralism beyond its immediate stakeholders. Further details are presented in Theories 2, 3 and 4.

This was a result of:

- Government officials not using email, as official correspondence is done on paper. However, informally, it is well **connected on WhatsApp** at all levels, including in separate groups for chiefs of staff, directors and CECs. This existing network was an opportunity to communicate the agenda of pastoralism higher up to key decision-makers. The team tapped into these informal networks within the government by getting some members of the WhatsApp groups on board with the pro-pastoralist agenda (context)

- As set out in Theory 4 (and also below), the project tapping into the **existing communication channels and trust** established between the community radio and pastoralist communities. The project's collaboration with the radio enabled community participation (context and intervention)

… with the following outcome:

- Buy-in of 'pastoralism champions' who regularly engaged with key policy-makers in the county generated interest among the highest ranks. For example, the final policy workshop is to host 10 CECs and 25 chiefs of staff who have expressed an interest. Through the champions, the implementation team tapped into the existing WhatsApp networks when coordinating the final policy workshop, the aim of which is to coordinate with other actors and projects that work on issues related to pastoralism beyond the timeframe of PROGRESS-X (some evidence)

- We identified limited evidence that the project team will leverage the existing communication channels to ensure long-term sustainability of its Policy Activities, for example the use of GIS for resource mapping0

Independence of the implementation team was leveraged particularly during the P&P training course, when the knowledge IIED presented was perceived as independent of national agenda and therefore more credible by the government attendees. The project team's reputation contributed to its success in changing participants' perspectives of pastoralism.

'Neutrality of the project team' as a mechanism is further discussed in relation to Theory 3, where it is supported by strong evidence.

This was a result of:

- Embedding pastoralism in policy being a **complex task** that requires changing the attitudes of various influential stakeholders across ASAL counties (context)
- PROGRESS-X being part of **long-term efforts** of members of the implementation consortium and building on work implemented under PROGRESS (intervention)

… with the following outcome:

The project team's networks enable it to implement work complementary to this component as part of other projects. For example, it is planned to air radio programmes on water governance beyond the timeframe of the project. This is possible as PROGRESS-X is part of a wider and long-term collaboration in the county led by individuals from Mercy Corps, IIED and WASDA (limited evidence)

As already mentioned, the project also engaged Wajir Community Radio. The radio had the **trust of pastoralists** and **enabled a discussion** between local communities and the government (and WAJWASCO). The station regularly airs the voices of members of pastoralist communities and spreads awareness of political developments in Wajir in four languages. It also provides a means of raising grievances and a platform for policy-makers to take part in interviews that will be listened to in rural areas. There is limited evidence that the radio improved the government's accountability and made its relationships with local communities more collaborative.

> The radio is a very important tool for information sharing and convincing the community… [pastoralist communities] don't speak to the government. They first tell [the radio]… [the radio] became a centre of information sharing… [the communities] trust us. When they need anything from the government, they just give [the radio] a call.[82]

82 Ibid.

This was a result of:

- Wajir Community Radio being **respected** and having the trust of **rural communities**, making it well placed to enable conversations between the government and pastoralists, as well as high-level policy-makers (intervention)

… with the following outcomes:

- Community inputs into the policy-influencing products, such as the water governance study, have generated interest from other donors. The study was appreciated in particular by the World Bank, which is considering supporting further work on water management in the county now that 'the truth about water governance in Wajir was told' in the report (some evidence)

> The water study was the best in Wajir county and I think if implemented by the county government, Wajir will be very far in terms of water governance and service delivery… we might not see pastoralist safari, we might not see human safari if the government adopts the findings of the study which they said they would… they are really, really committed themselves.[83]

(iii) **Careful sequencing and layering** of activities enabled the project to first generate an initial buy-in to the pro-pastoralist agenda and then leverage it to initiate action at both the community and the county levels. As already set out, Mercy Corps began its policy-influencing work with a face-to-face interaction in the P&P training course. The buy-in to pastoralism it created motivated participants to select and deliver other activities with a pro-pastoralist agenda.

Participants of the P&P training course and trainings on GIS mapping **became real champions** – promoting change to enable both bottom-up data collection and pastoralism. As outlined above, the message the project promoted has been shared using existing trust and communication channels – with other policy-makers on social media (WhatsApp) and with pastoralist communities through the radio – with a positive response from communities as well as the key decision-makers in the county, such as the CEC for Lands, who has coordinated action to protect pastoralism in national policy (limited evidence)

83 Source 13.

> The message has really reached each and every person in the county.[84]

Moreover, aligning the 'pro-pastoralism' agenda with existing windows of opportunity and stakeholders' broader needs, as outlined above, and introducing tools that enable inputs of pastoralist communities to inform the solutions (GIS maps) and decision-making processes (water governance) is likely to result in a sustained change.

For example, including the GIS maps in the spatial plan required by the national government will allow these products informed by local knowledge to further inform planning decisions at the county level. This also means that the resources identified by pastoralist communities and captured in those maps will become legally protected when the spatial plan is approved by the County Assembly and signed off by the county governor. The County Government Act and Fiscal Planning Act and the Constitution itself are helpful as they determine that the state has to regulate the use of grazing lands (limited evidence)

Key finding: IF policy-makers understand the benefits of pastoralism, have trust in and access to pastoralist communities and possess effective tools and approaches to collect and use community data to inform policy-making, and collaboration across all key stakeholders is strengthened, THEN the capacity of the government and pastoralist communities around planning and management of water, rangeland and natural resources will be improved AND adaptive and transformational resilience capacities of pastoralist communities to manage the shocks and stresses of climate extremes and disasters will be improved at the individual, community and county level.

84 Ibid.

6. DISCUSSION AND CONCLUSIONS

6.1 Changes and results

To what extent has the policy-influencing component led to anticipated changes and results?

Key messages:

- **The policy component was implemented to plan and has achieved changes in practices, processes and mindsets of key stakeholders**
- **The project introduced tools and participatory approaches for pastoralist communities to inform natural resource management and policy, built their capacity to map natural resources and contributed to the government's improved accountability to local communities**

The three Policy Activities have been implemented according to plan and, at the time of the case study fieldwork, had achieved immediate and short-term outcomes in terms of change in practices, processes and mindsets. Their implementation also improved stakeholders' collaboration, community participation and government accountability. The most significant evidenced results are:

- Improved approaches to water management at the community level, including increased representation of members of rural communities in decision-making structures and reallocation of staff closer to communities;
- Adoption of the GIS mapping tool and participatory approaches to data collection;
- A changed view of pastoralism and improved understanding of the benefits it has for sustainable development, as well as day-to-day challenges faced by pastoralists, and the recent threat posed by the CLA;
- Improved coordination among departments within the government and between the government and external organisations, like WAJWASCO and Wajir Community Radio, on water governance and other issues of importance for pastoralist communities;
- Community participation in county governance by leveraging existing structures at the ward level;
- Improved accountability of the government evidenced by frequent visits to local communities and presence of its senior representatives on the community radio.

These changes represent key stepping stones to the long-term outcomes set out by the project; however, our ability to reflect on the extent to which the anticipated long-term changes have been achieved is limited by the timing of the case study, which was carried out towards the end of the project's 18-month implementation period.

Long-term outcomes, like changes to policy and governance of natural resources, are expected to take longer to materialise. However, given the range of short-term outcomes that have been evidenced for each of the Policy Activities already, it can be said with confidence that a solid foundation for the long-term changes, including transformational change, has been built.

The ToC narrative for the policy component of PROGRESS-X (Box 3) sets out the following changes envisaged by the project team: (i) access to information, (ii) stakeholder engagement in dialogues, (iii) informed citizens and governments and (iv) sustainable management of natural resources.

We have identified evidence in support of the following:

Access to information

- PROGRESS-X improved access to information for pastoralist communities by building their capacity to map natural resources in local areas and strengthening collaboration between the government and community radio. Senior government representatives have begun sharing information about their policy work with pastoralist communities while members of local communities have used the radio as a grievance mechanism. The improved communication enabled by the radio is likely to sustain beyond the project's timeframe; however, the radio's reliance on external funding presents a risk to long-term sustainability.
- The project improved the government's access to local information, like community knowledge, feedback and grievances, by building the capacity of its staff in the use of GIS for resource mapping and in adopting participatory approaches to data collection. As mentioned above, the community radio has played an integral part in engaging local communities in data collection and provides a platform for their grievances and concerns. Given the availability of government funding for the GIS lab, the requirement to perform spatial planning and interest from other county departments, this GIS use is likely to be sustained into the future and even scaled out beyond the initial scope of the natural resource mapping.

Engagement in stakeholder dialogues

- Participatory data collection demonstrated to the government the importance of regular dialogue with rural communities and highlighted the value of community engagement and knowledge for policy-making. The engagement processes were supported by the community radio as well as WAPCs set up by PROGRESS, PROGRESS-X and the ADA Consortium. It is expected that these community-led governance structures, as well as the community radio, will remain functional and support stakeholder engagement beyond the timeframe of the project extension.

Informed citizens and the government

- Engaging with the community radio, senior county government officials have shared their views on pastoralism and policy with local communities.
- The community radio and WAPCs have also played an integral role in raising pastoralists' grievances with the government, which has improved the government's accountability on issues like access to water.
- Furthermore, participatory approaches to data collection to inform GIS mapping, and the water governance study, have improved communities' knowledge of local resources. Given the availability of government funding to sustain GIS mapping beyond the timeframe of the project extension, communities are expected to benefit from participatory approaches and community consultations in the future.

Sustainable NRM

While it is too early to evaluate changes to policy, the project has enabled improvements to water management at the community level.

Responsible organisations became aware of the importance of water access for pastoralist communities and the severe issues and risks they face. They also came to recognise the value of community knowledge for water management and governance and the importance of participatory approaches for maintaining water sources in remote areas. This has led to the following outcomes:

- WAJWASCO has included community representatives on its management board and the Department of Water has hired staff from local communities.
- Both WAJWASCO and the Department of Water have relocated some of their staff responsible for maintenance of water sources into the field to improve service in remote areas that the study identified as prone to neglect.

Based on the findings, we have updated the ToC narrative, which is presented in Box 3.

Box 3: Updated ToC narrative for the policy component

Original ToC narrative for policy component as presented in PROGRESS-X FE Inception Report

IF communities, governments and stakeholders have access to information AND stakeholders engage in dialogues to identify ways of effectively managing land and water resources, THEN citizens and governments will be more informed AND natural resources will be sustainably managed in ways that build rather than erode resilience to climate change.[85]

Updated ToC narrative for policy component based on case study findings

IF policy-makers understand the benefits of pastoralism, have trust in and access to pastoralist communities and possess effective tools and approaches to collect and use community data to inform policy-making, and collaboration across all key stakeholders is strengthened, THEN the capacity of the government and pastoralist communities around planning and management of water, rangeland and natural resources will be improved AND adaptive and transformational resilience capacities of pastoralist communities to manage the shocks and stresses of climate extremes and disasters will be improved at the individual, community and county level.

85 Mercy Corps, 2017. Theory of Change Narrative for PROGRESS's Extension Phase.

6.2 Potential barriers

While evidence is emerging that changes to policy and NRM are likely to be achieved, this does not mean there are no risks, barriers or limitations. The case study fieldwork highlighted several:

- National policies are not pro-pastoralist and are often biased towards economically more developed counties. Counties with higher productivity rates are likely to receive a larger share of resources, with the importance of pastoralism for sustainable NRM ignored.[86]
- Pastoralists move across county boundaries and beyond the geographic scope of this project.[87] Coordinated cross-county action in ASAL regions to promote and protect pastoralism is therefore required.
- Although the county government better understands the importance of pastoralism and the need to protect it, the county is large in area and changes at this level are likely to take time.[88]
- Frequent changes in government staff pose a risk to sustainability; this is being mitigated by the continuous work of the project team, as part of other interventions, with the government to create an institutional home (and an internal training centre) for pastoralism.[89]

How and why has the policy-influencing component led to observed results and changes?

Key messages:

- **The project leveraged existing relationships between its consortium partners and key stakeholders, including trust among pastoralists in the community radio, as well as existing communication channels and ward-level governance structures, for stakeholders' timely and wide mobilisation behind the pro-pastoralist agenda**
- **Knowledge of the key stakeholders and their challenges, perceptions and needs enabled design of activities that presented 'mind-changing' evidence and accommodated 'eye-opening' exposure to the realities of pastoralism, which changed participants' perceptions of pastoralism and raised their ambition to protect it**

86 Source 9.

87 Source 2.

88 Source 13.

89 Ibid.

- **Participatory implementation of project activities, stakeholder-led community data collection and tools introduced by the project established new channels for cross-stakeholder collaboration, made participants aware of the importance of local knowledge and generated ownership of the project outputs and findings, as well as the tools and processes it introduced**

Drawing on the contexts and mechanisms identified for each of the five policy theories, as presented in Annex 1, we summarise key drivers of change in Table 4. The project aspects that have enabled change are outlined in the 'How' column and summaries of the wider contexts in which changes took place are presented under the 'Why' heading. In the third column, we link the changes to clusters of results as presented in our answer to EQ1.

Table 4: Key drivers of change

How	Why	Most relevant for results
The policy component was well timed, appropriately sequenced and well suited to address existing needs	Being familiar with policy landscapes at both county and national levels and aware of the needs and positions of key stakeholders, the project team identified appropriate windows of opportunity and relevant tools and activities to address those needs while improving awareness of government staff of the benefits of pastoralism and the value of community knowledge for policy-making and embedding multiple channels for their engagement with pastoralist communities. It was important that this happened early in project implementation to achieve timely stakeholder buy-in and encourage government's ownership of the subsequent project activities. (based on Theories 1 and 6 and supported by weak evidence)	(i) Access to information, (ii) Engagement in stakeholder dialogues, (iii) Informed citizens and government
The project brought all key stakeholders on board with pastoralism and mobilised them in a timely manner to protect it	PROGRESS-X was able to leverage existing relationships of its core project delivery team and wider consortium members with key stakeholders, like members of the county government and the community radio, which had the trust of pastoralist communities, to engage them in the project. It also used WAPCs, ward-level governance structures, to strengthen collaboration between local communities and the government in the project's data collection activities. Its existing connections to key stakeholders and local communities, in combination with the team's knowledge of the stakeholders' perceptions, challenges and needs, enabled their timely engagement in project activities and mobilisation towards the shared objective of protecting pastoralism. (based on Theory 2 and supported by strong evidence)	(i) Access to information, (ii) Engagement in stakeholder dialogues, (iii) Informed citizens and government
An 'eye-opening' experience encouraged participants to act and collaborate to achieve change	The project was able to identify what knowledge should be presented to change policy-makers' perceptions of pastoralism and arrange for their expose to the realities of rural communities, which made them further aware of the severe challenges faced by pastoralists to get them think about both policy and practical approaches to address the issues. This 'eye-opening' experience brought relevant stakeholders on the same page relatively early in the project implementation stage leaving enough time to act. (based on Theory 2 and supported by strong evidence)	(iv) Sustainable NRM

How	Why	Most relevant for results
Neutrality of the project team and transferability of the tools and knowledge introduced by the project enabled wider uptake	The knowledge presented in the P&P training course was relevant to representatives from several departments. The GIS tool introduced by the project for resource mapping was identified as helpful for the work of other departments too. Both the GIS approach to resource mapping and new 'eye-opening' knowledge about pastoralism were introduced by a trusted team and organisations that were independent of the national government's agenda. This enabled a safe space for discussion among representatives from several county departments as well as WAJWASCO and the community radio and promoted a shared understanding across all parties and new collaborations. Sustainability was further enhanced by the visual and transferable aspect of the GIS tool, which appealed to policy-makers from across the county government and increased the likelihood of its wider uptake. (based on Theories 3 and 6 and supported by strong evidence)	(i) Access to information, (ii) Engagement in stakeholder dialogues, (iii) Informed citizens and government, (iv) Sustainable NRM
By playing the role of a 'neutral' facilitator, the team put stakeholders in the driving seat of change – promoting their ownership of the process and outcomes	Generating the interest of key stakeholders in protecting pastoralism and letting them select the issues they wanted to take forward as part of the P&P training course enabled the participants to become key drivers of the change process. Supported with the GIS tool, trainings, technical guidance and a network of other stakeholders (like the community radio), representatives from the government and WAJWASCO became the owners of the project outputs, like the GIS maps and water governance study, as they led the processes that produced them. Perceiving these products as their own made the stakeholders that delivered them real advocates for change – promoting these products and their findings in Wajir and beyond. (based on Theory 5 and supported by limited evidence)	(ii) Engagement in stakeholder dialogues, (iii) Informed citizens and government, (iv) Sustainable NRM

The transformative potential of the policy component is evidenced by the following changes:

- The P&P training course and fieldwork facilitated by PROGRESS-X changed policy-makers' perceptions of pastoralism. Introduction of this knowledge in the context of hostile policies further motivated them to promote and protect it as a sustainable form of livelihood.
- This motivation in combination with new tools and bottom-up approaches to data collection led to concrete steps to protect pastoralism in county policy and engage pastoralist communities in management of water sources.
- Furthermore, initial steps have been taken by the CEC for Lands to coordinate wider support from senior representatives of other county governments and the PPG to influence CLA at the national level.
- Although structural changes within the government have not been identified, new collaborations have been created across departments and relationships with key stakeholders, like the community radio, members of pastoralist communities and WAJWASCO, have been strengthened.

Although it is too soon to assess whether the policy component of PROGRESS-X has achieved a transformational change, we have been able to identify a successful approach to influencing policy from the bottom up. Whether such tools and approaches will be adopted in other counties is still to be seen, as is whether the initial steps taken will result in changes to national policy.

6.3 Resilience-strengthening lessons

What key resilience-strengthening lessons can be learnt and replicated from the policy-influencing component?

Key messages:

- **Knowledge of the local political and socio-economic context based on past work experience and familiarity with the stakeholder landscape enabled the project to target key stakeholders with activities tailored to meet their specific needs**
- **The project's ability to identify key stakeholders that are influential and well connected within existing structures enabled it to generate a wider momentum behind the pro-pastoralist agenda**
- **Understanding of the targeted issue and stakeholders' needs in the context of wider policy developments enabled the team to identify and leverage windows of opportunity**
- **Existing relationships and the trust of key stakeholders enabled their swift on-boarding and consequent mobilisation behind the pro-pastoralist agenda as well as their participation in project implementation**
- **Collaborative project design and careful sequencing of activities enabled the implementation team to play a neutral supervisory role and put the key stakeholders in the driving seat of the change process**
- **Playing a neutral role and putting stakeholders in the driving seat of change generated their ownership of the project outputs and findings as well as the tools and processes it introduced**
- **Tailoring the intervention design to local context, emergent opportunities and stakeholders' specific needs generated stakeholder buy-in and ownership of the project's tools and approaches. It also demonstrated their benefit to the broader beneficiary community, increasing the likelihood of their wider uptake and long-term sustainability**

Interventions that aim to strengthen resilience through policy-influencing should consider the following insights, lessons learnt and intervention characteristics that have, in the case of PROGRESS-X, enabled changes in the direction of anticipated outcomes:

1. **Ensure there is a good understanding of local context.** Knowledge of local political and socio-economic context based on past work experience of implementing organisations whose team members are familiar with the stakeholder landscape and, primarily, the needs, challenges and biases of individual stakeholder groups enabled PROGRESS-X to identify key stakeholders (decision-makers and influencers) to target and to tailor the design to their specific needs, challenges or knowledge gaps, while taking into account the resources they might be able to contribute if persuaded that the changes promoted by the project were beneficial to them and therefore presented a sensible investment.

2. **Invest in mapping and understanding stakeholders who may enable or constrain the target policy change.** Protecting pastoralism in policy, as intended by PROGRESS-X, requires action and inputs from several government departments and WAJWASCO as well as the national government and pastoralists themselves. To be able to influence the diverse actors at multiple levels, the project needed to leverage existing relationships and networks to spread the message of pro-pastoralism beyond the groups of its primary beneficiaries (categories 1, 2 and 3) to decision-makers in the national government as well as to non-participating county departments and members of rural communities. To do this, it partnered with Wajir Community Radio, which created an effective engagement bridge from local communities to various departments of the county government and WAJWASCO. The project also targeted key influencers among political appointees within the county government, including CECs and chiefs of staff who were well connected to their equivalents in Wajir and other ASAL counties on WhatsApp. Involving the CEC for Lands in the P&P training course, for example, escalated action on revision of the CLA at the inter-county level with the aim to take it to the PPG, which has a large influence in Parliament.

3. **Identify windows of opportunity as far as possible.** Understanding of policy developments at the county and national level enabled the team to identify and leverage windows of opportunity resulting from the 2010 devolution process as well as more recent directives at the national level requiring county governments to deliver a county-wide spatial map and put community land into private ownership. These were key tasks that the county government needed assistance with primarily if it wanted to turn those policy changes into developments that would protect the future of pastoralism.

4. **Build trust with key stakeholders, which may take time but is worth the investment.** The trust of key stakeholders, from members of pastoralist communities to senior policy-makers and civil servants in technical roles, was crucial in delivering the project within the timeframe of 18 months.

This trust was created through PROGRESS and other past and present interventions implemented by members of the project consortium. The trusting relationship individuals and organisations involved in the project implementation had with key stakeholders targeted by PROGRESS-X enabled their participation in the 'on-boarding' P&P training course. This was a key moment that raised the ambition of important stakeholders (decision-makers, influencers) to drive the project agenda and anticipated changes forward.

5. **Adopt a collaborative approach and carefully consider the sequencing of activities.** The P&P training course helped key stakeholders become aware of the importance of pastoralism for local development and resilience of rural communities, brought the diverse groups of participants on the same page and raised their ambition. It also enabled the participants to identify their priorities to be supported by the project, form new partnerships – for example the Water Governance Taskforce – and identify civil servants and staff to deliver Policy Activities that that were collaboratively identified and agreed on. This buy-in enabled the project team to take on the neutral role of a project coordinator while the Project Activities were largely delivered by their stakeholders.

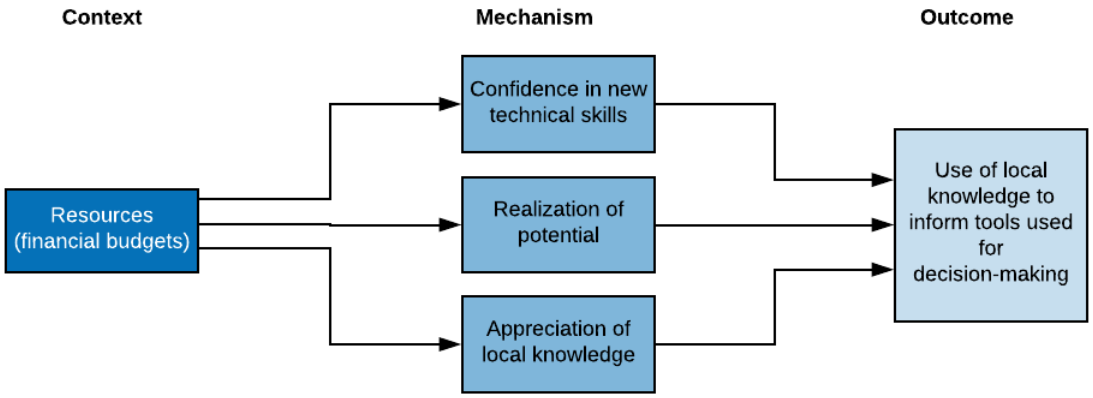
6. **Consider your position in the local 'system'.** Playing a neutral role not only promoted stakeholders' buy-in to the Project Activities but also generated their ownership of outputs and outcomes of those activities by putting them in the driving seat of change. Carrying out the fieldwork that underpinned both the resource mapping and the water governance study exposed the technical staff to the realities of pastoralism – strengthening their buy-in, improving their understanding of issues faced by pastoralists and supporting their findings and solutions with evidence. This 'eye-opening' experience highlighted the importance of community knowledge and participatory data collection for informing policy and contributed to the sustainability of the tools and approaches introduced by the project.

7. **Get the delivery right – this can also support building trust.** The technical rigour of the GIS mapping in combination with the versatility of its application and its visual aspect made it appealing to other county departments. Being able to tap into the window of opportunity created by the national government's requirement for spatial mapping has given the project access to a county budget to build a GIS lab and therefore contribute to the sustainability of the Project Activity. As the GIS lab is intended to serve other departments, this is also likely to secure a scale-out of the use of GIS by other county government departments.

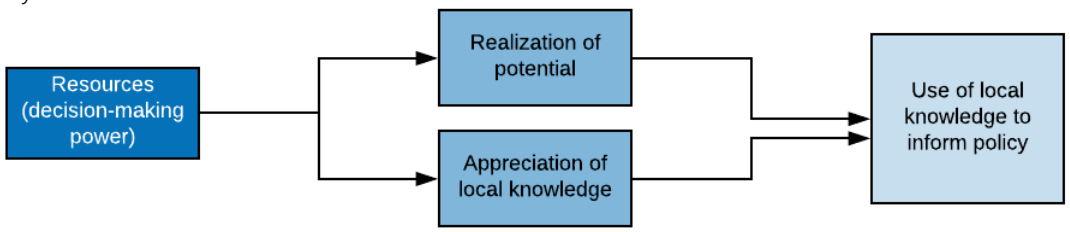
Annex 1: Policy-influencing theories and CMOs

Theory 1. Capacity: In contexts where resources already exist, improving capacity, understanding and awareness of government officials improves the confidence in their skills and new tools and approaches and raises their political ambition

Theory 1 expressed as a CMO for Policy Activity 1: Resource Mapping Exercise for Wajir County

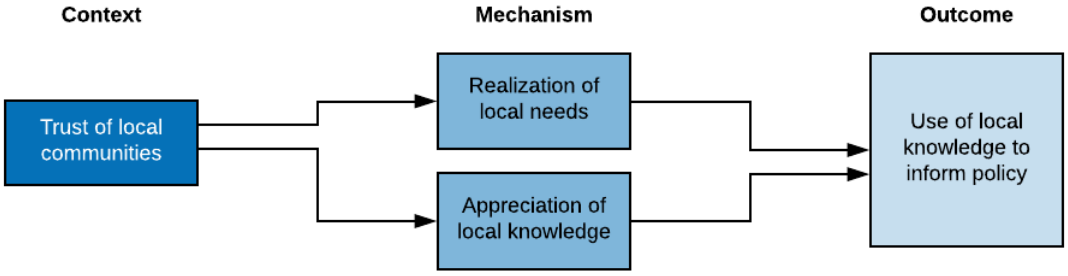


Theory 1 expressed as a CMO for Policy Activity 2: Pastoralism and Policy Training Course, and Policy Activity 3: Water Governance Study



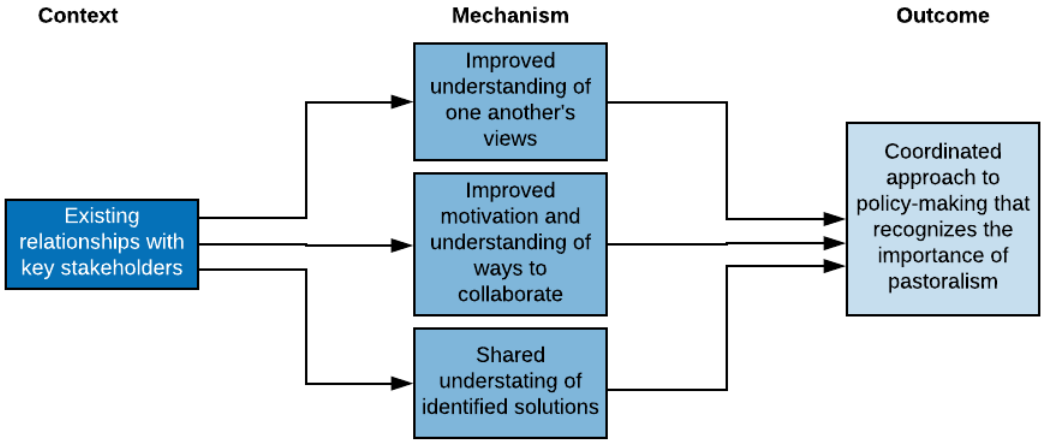
Theory 2. Analytical rigour: Where communities have trust in the project, technical knowledge and exposure to the realities of pastoralism improve understanding of the needs of pastoralists and increase motivation to adjust policies and practices to better work for pastoralists

Theory 2 expressed as a CMO for all three Policy Activities



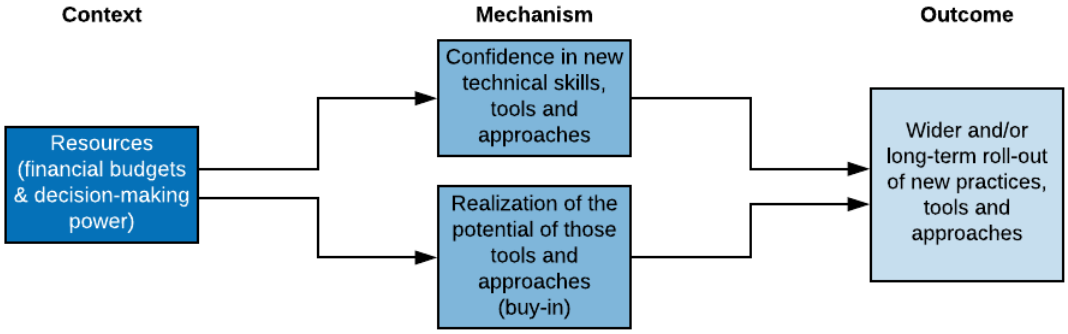
Theory 3. Cross-departmental working: Where relationships between the project and stakeholders exist already, work across departments results in long-term policy change

Theory 3 expressed as a CMO for all three Policy Activities



Theory 4. Ownership: In contexts where resources (financial budgets, decision-making power) are available, new tools and skills gained to inform policy (if considered useful) mobilise support of the new tools and/or approach and result in allocation of the government's resources (like finance, time, commitment) to enable their wider/long-term rollout

Theory 4 expressed as a CMO for Policy Activity 1: Resource Mapping Exercise for Wajir County, and Policy Activity 3: Water Governance Study



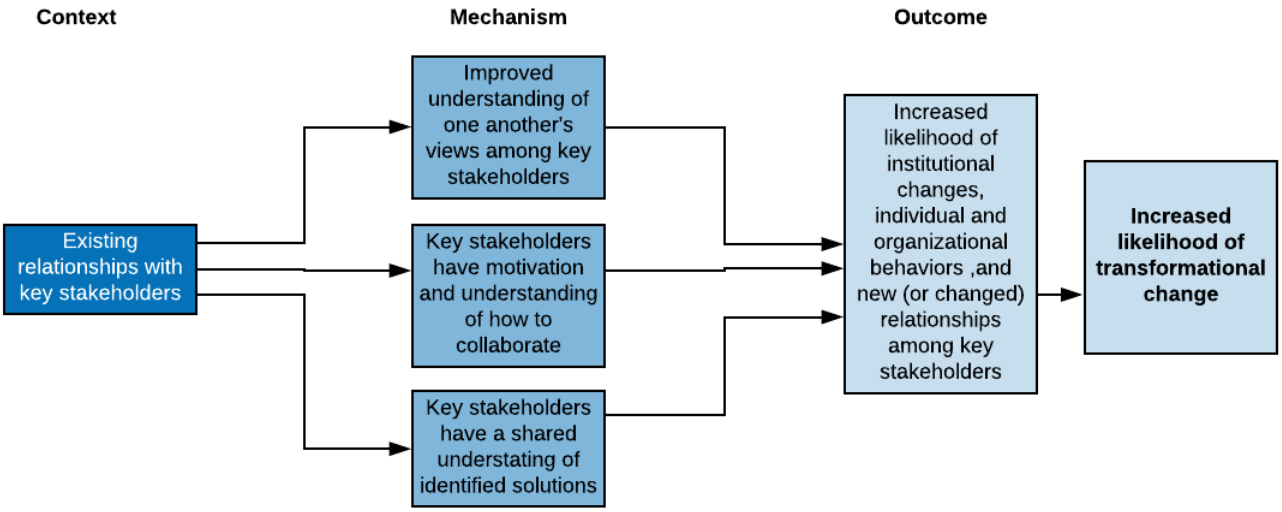
It is assumed that this theory does not apply to Policy Activity 2.

Theory 5. Incentives: Application of credible sanctions and incentives to induce and/or compel change can increase political will to promote and sustain change

This theory was refuted based on feedback from some of the core members of the project implementation team in a pre-fieldwork meeting in Nairobi.

Theory 6. Collaboration: Existing relationships and the trust of key stakeholders enable the project to work with multiple actors simultaneously, which creates a shared understanding across the key players (individuals, organisations), trust and new relationships, which combined are likely to contribute to transformational change

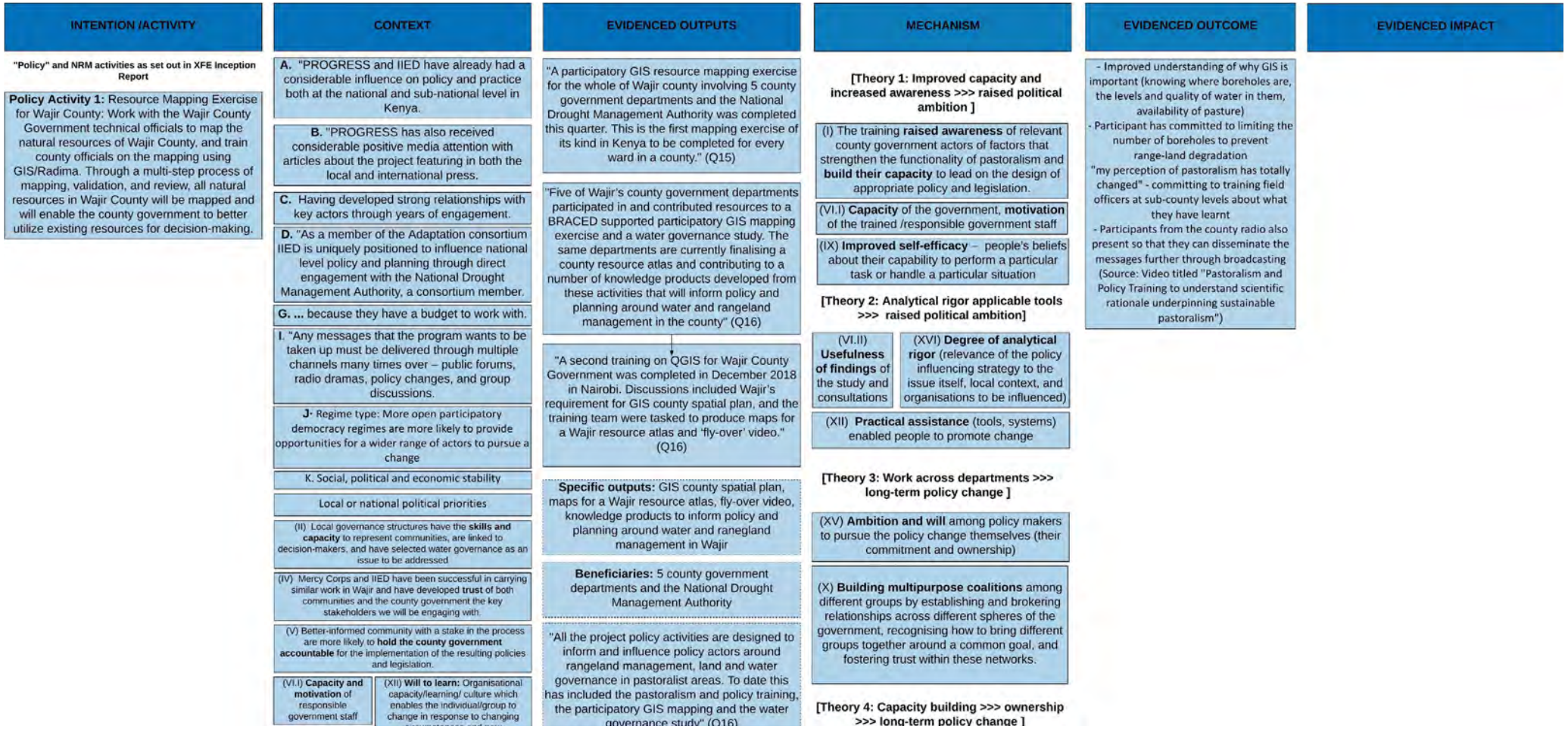
Theory 6 expressed as a CMO for all three Policy Activities



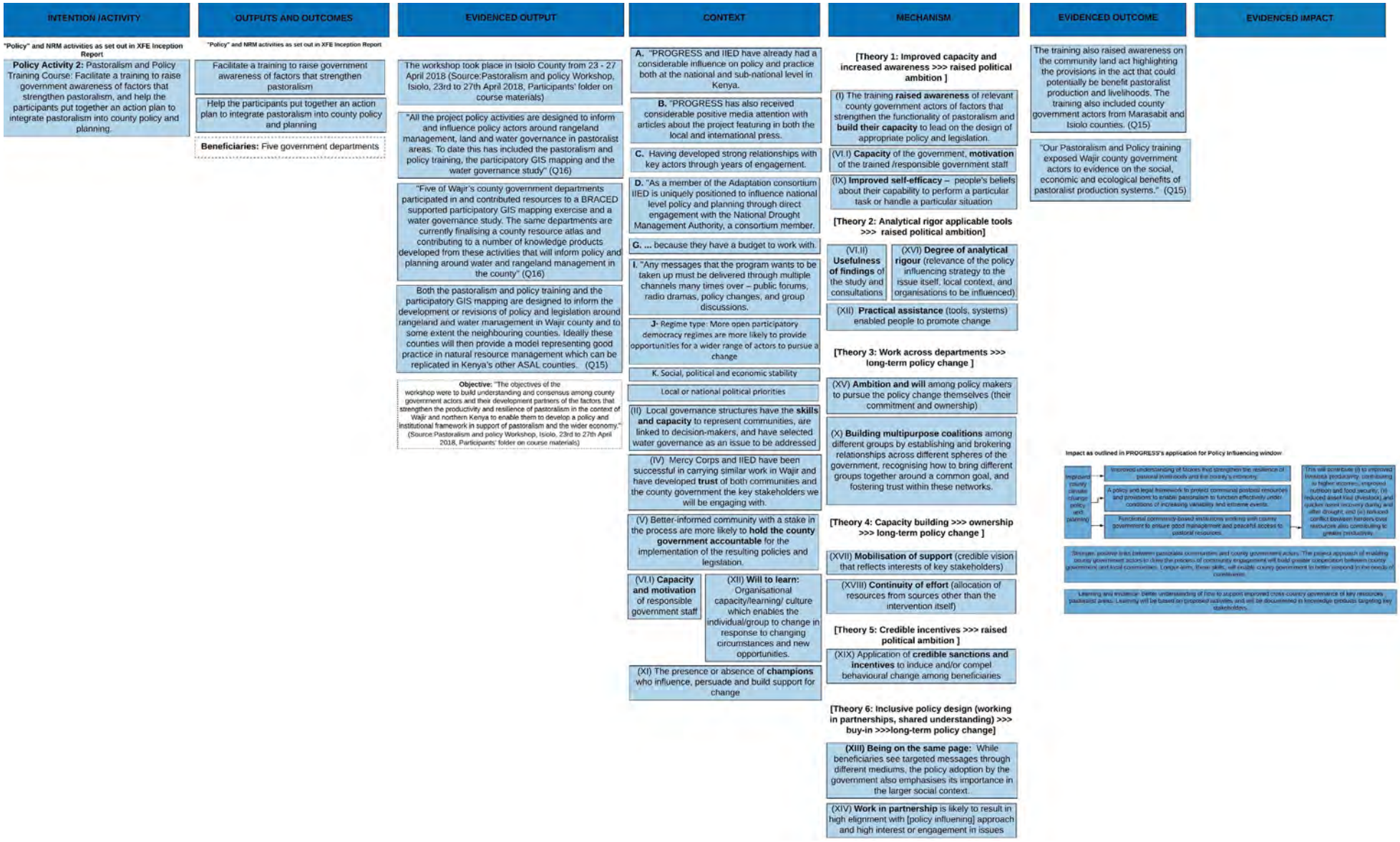
Annex 2: Sources

Source #	Information source	Date
1	Email from Ben Nemeth, Final Evaluation Lead, to Bara Sladkova	11/03/2019 (11:27)
2	Interview with Ced Hesse, Principal Researcher, Climate Change at IIED	05/04/2019
3	FGD with Ben Nemeth, Diyad Hujale and John Burns	08/04/2019
4	Feedback on ICMOs for Policy Activity 1 (resource mapping) from Ben Nemeth and Diyad Hujale	08/04/2019
5	Feedback on ICMOs for Policy Activity 2 (P&P training course) from Ben Nemeth and Diyad Hujale	08/04/2019
6	Feedback on ICMOs for Policy Activity 3 (water governance) from Ben Nemeth and Diyad Hujale	08/04/2019
7	Interview with John Burns, Project Director, PROGRESS-X	08/04/2019
8	FGD with participants of the GIS and Quantum GIS trainings	09/04/2019
9	FGD with selected participants of the P&P training	09/04/2019
10	FGD with representatives from WAJWASCO	11/04/2019
11	FGD with representatives from the Department of Water	11/04/2019
12	Interview with Hasan, Fiscal Planner, Department of Land and Fiscal Planning	12/04/2019
13	Interview with Halim Kahir, Radio Station Manager, Wajir Community Radio	12/04/2019
14	Wrap-up interview with Diyad Hujale, Coordinator and Learning Manager, PROGRESS-X	15/04/2019
15	Interview with Claire Bedelian, Research Consultant, IIED	18/04/2019

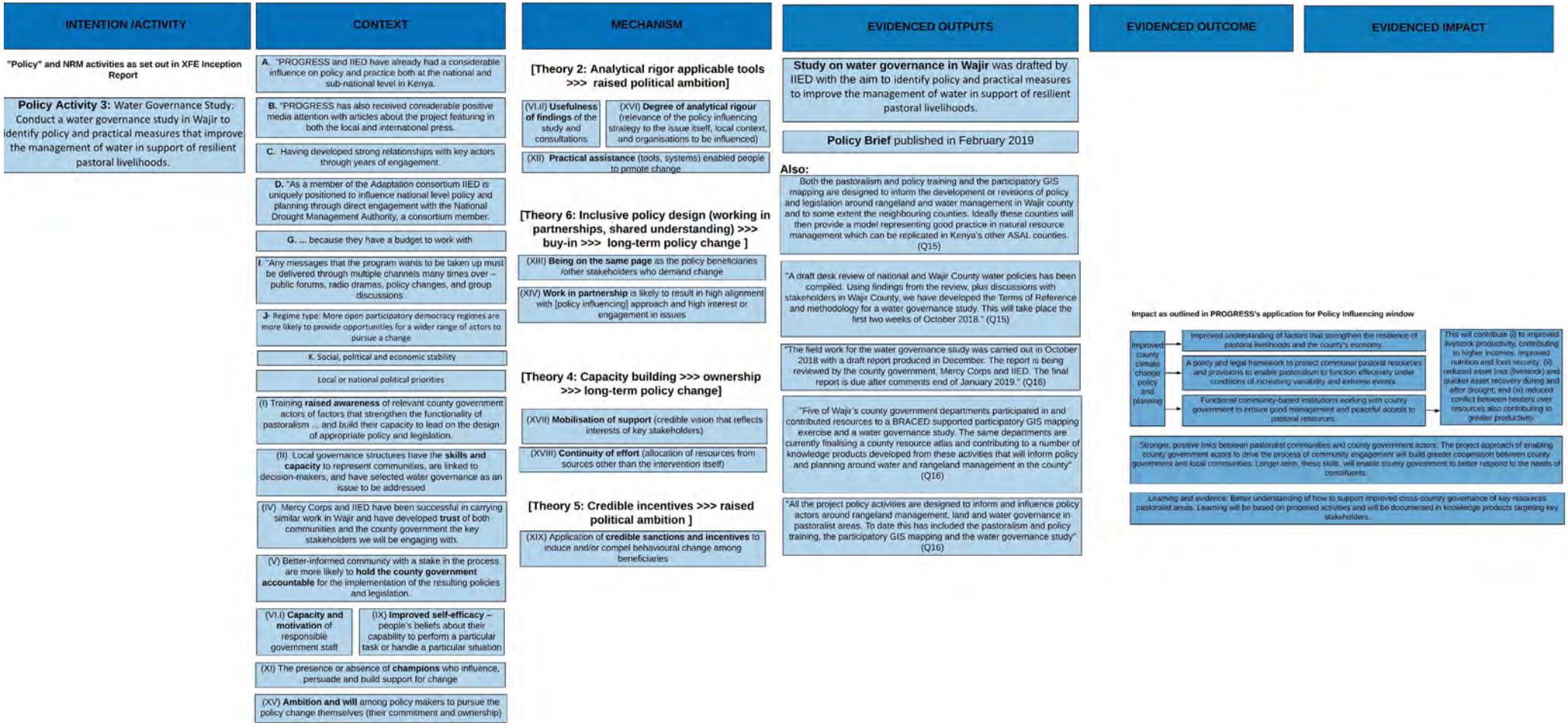
Annex 3: Hypothesised ICMO for Policy Activity 1



Annex 3: Hypothesised ICMO for Policy Activity 2



Annex 3: Hypothesised ICMO for Policy Activity 3



Annex 4: Original version of a template for KII and FGD

Case study and country	PROGRESS-X
Interviewee name	[General template]
Position and organisation	
Gender	
Age	
Interviewer name	
Date of interview	
Consent given? (Y/N)	
General notes and observations	

Evaluation Questions

- To what extent have particular interventions led to anticipated changes and results?
- Specifically focusing on understanding 'mechanisms' (the causal forces or powers that explain why a change happens), and the contexts or conditions that affect or create mechanisms, how and why have particular intervention packages led to observed results and changes?
  - What has the project learnt about delivering these packages of interventions?
  - What evidence is there that the interventions and the mechanisms that support them have the potential to deliver 'transformational outcomes'?
  - What are important contextual factors – conditions that cause the mechanisms to occur that lead to outcomes?
- Based on your accumulated knowledge and understanding, what key resilience-strengthening lessons can be learnt and replicated from your project?
  - What difference has PROGRESS-X made? How, why, for whom and in what circumstances?

INTERVIEW QUESTIONS START HERE

Introduction

Thank you very much for agreeing to help with our work.

I have been reading about how PROGRESS-X has been influencing policy in Wajir. During the interview, I'm hoping to learn more about the outcomes and test out some of my early ideas of the contexts in which influencing happened and how. I'll use your feedback to test and refine the theories.

I'm planning to record our conversation so that I can make sure I don't miss anything. We may also include anonymised quotes in our report; is that OK with you?

The case study report will be finalised by the end of April and made available in May/June 2019, and the Synthesis Report in June/July 2019

1. Could I start by asking you just to give me a brief overview of your role and responsibilities on PROGRESS?

2. I'd like to better understand the outputs and outcomes of the policy-influencing work

Training on GIS mapping and the county spatial plan: What has been the outcome of the county spatial plan in terms of policy-influencing? Have you identified any relevant outcomes or indications of success? Could you describe them and the processes by which they have been achieved? Who was involved? What was the role of PROGRESS-X in this? Who are the main beneficiaries of those outcomes? Have you identified any barriers or lessons learnt for resilience programming? Can you think of any alternative explanations?

Maps for a Wajir resource atlas: How have the maps for the Wajir resource atlas been used? Have there been any signs of those outcomes? Could you describe them and the processes by which they have been achieved? Who was involved? What was the role of PROGRESS-X in this? Who are the main beneficiaries of those outcomes? Have you identified any barriers or lessons learnt for resilience programming? Can you think of any alternative explanations?

Fly-over video: What is the purpose of the fly-over video? Is it intended to be used for policy-influencing, or demonstration? What audiences was it designed to target? If it is to be used for demonstration, to whom and with what purpose? Have there been any outcomes? … [elicit specific drivers of observed /experienced outcomes, their beneficiaries, specific contexts which have enabled those changes, and any alternative explanations /other contributing factors]

Knowledge products to inform policy and planning around water and rangeland management in Wajir: Have the knowledge products to inform policy and planning around water and rangeland management been delivered? What were the outcomes? Could you describe them and the processes by which they have been achieved? Who was involved? What was the role of PROGRESS-X in this? Who are the main beneficiaries of those outcomes? Have you identified any barriers or lessons learnt for resilience programming? Can you think of any alternative explanations?

Training on pastoralism to raise government awareness of factors that strengthen pastoralism: Would you say that the training on pastoralism has raised awareness of the government to strengthen pastoralism policy? Would you be able to describe any outcomes and processes that have led into them? Who participated and what was the role of PROGRESS-X in this? Who are the main beneficiaries of those outcomes? Have you identified any barriers or lessons learnt for resilience programming? Can you think of any alternative explanations?

Influencing other county governments: I read that both the P&P training and the training on GIS mapping have been attended by county government officials from Marsabit and Isiolo countries. Are you aware of any outcomes in terms of influencing policies in those counties? Could you provide specific examples? … [elicit specific drivers of observed /experienced outcomes, their beneficiaries, specific contexts which have enabled those changes, and any alternative explanations /other contributing factors]

An action plan to integrate pastoralism into county policy and planning: Has the action plan been developed and integrated into county policy and planning? If so, how? Would it be possible to describe the process? Who participated and what was the role of PROGRESS-X in this? Who are the main beneficiaries of those outcomes? Have you identified any barriers or lessons learnt? Can you think of any alternative explanations?

What has been the outcome of the **water governance study** in terms of policy-influencing/cross-county governance of key resources in pastoralist areas? What county-level government actors did participate in its development? How has the study informed and influenced actors around water governance? What practical and policy measures were identified? Have you identified any relevant outcomes or indications of success? Could you describe them and the processes by which they have been achieved? Who was involved? What was the role of PROGRESS-X in this? Who are the main beneficiaries of those outcomes? Have you identified any barriers or lessons learnt for resilience programming? Can you think of any alternative explanations?

Would you agree that the P&P training and the training on GIS mapping will contribute to water policy development? Has any such outcome been evidenced? What was the exact process? Who was involved? How did PROGRESS-X contribute to this change? Who were the main beneficiaries?

I saw that a **policy brief** was also created. What was the policy-influencing objective of the policy brief? What audiences was it designed to target? Have you identified any relevant outcomes or indications of success? Could you describe them and the processes by which they have been achieved? Who was involved? What was the role of PROGRESS-X in this? Who are the main beneficiaries of those outcomes? Have you identified any barriers or lessons learnt for resilience programming? Can you think of any alternative explanations?

3. Questions to test mechanism-specific theories

Theory 1: Improved capacity and increased awareness > raised political ambition

Would you describe the outcomes of the GIS training as improved capacity and increased awareness of the ways to strengthen resilience of local communities? Would you agree that these outcomes raised ambition of the government officials? What was the exact process? Who was involved and what was the role of PROGRESS-X in this? Who were the beneficiaries? Have you identified any barriers to success or lessons learnt for resilience programming?

Theory 2: Analytical rigour and applicable tools > raised political ambition

Have you received any feedback from participants on the usefulness of the training and the findings of the GIS mapping, the degree of analytical rigour or application of the GIS tool itself? If so, how has it helped influence policy? Has it resulted in any specific outcomes? Who were the main beneficiaries? What was the role of PROGRESS-X in ensuring quality, applicability and analytical rigour? Have you identified any barriers to success, or any lessons learnt for resilience programming?

Theory 3: Work across departments > long-term policy change

We think that working with several government departments has likely promoted shared understanding, enabled cross-departmental collaboration and created cross-departmental partnerships, which has strengthened the likelihood of long-term policy change. Would you agree or are there any nuances you would add? Could you describe a specific example? What was the outcome? Who was involved and what role did PROGRESS-X play in this? Who were the main beneficiaries? Have you identified any barriers or lessons learnt for resilience programming?

Theory 4: Capacity-building > ownership > long-term policy change

We think that the training likely increased ownership of the GIS mapping tool and the participatory approach to data collection by government officials who took part in the training. We think it is likely that the training mobilised their support of the approach and resulted in allocation of resources (like finance, time, commitment) to NRM mapping to support its wider and long-term rollout. Would you agree with this? Are there any nuances you would add? Are there any specific outcomes you could share? What was the process of achieving them? Who was involved and what was the role of PROGRESS-X in the process? Who were the final beneficiaries? Have you identified any barriers or lessons learnt for resilience programming?

Theory 5: Credible incentives > raised political ambition

We think that application of credible sanctions and incentives to induce and/or compel change can increase political will to promote and sustain change. Would you agree and/or add any nuances? Are there any practical examples of this from your work on PROGRESS-X? What were the outcomes? … [elicit specific drivers of observed /experienced outcomes, their beneficiaries, specific contexts which have enabled those changes, and any alternative explanations /other contributing factors]

Theory 6: Collaborative policy design (working in partnerships, shared understanding) > buy-in > long-term policy change

We think that inclusion of policy-makers and other relevant stakeholders in the process of data collection and the formulation of findings and recommendations promotes shared understanding and increased likelihood of the recommendations being adopted and long-term policy change. Would you agree and/or add any nuances? Are there any practical examples of this from your work on PROGRESS-X? Has it resulted in any specific outcomes? Who were the main beneficiaries? What was the role of PROGRESS-X in ensuring quality, applicability and analytical rigour? Have you identified any barriers to success, or any lessons learnt for resilience programming?

Ask about any contribution of the following:

(a) Have the WAPCs set up by PROGRESS-X (either of the phases) resulted in any policy-influencing outcomes? …

(b) Have the Early Warning and Public Health Messages distributed by Wajir County Radio resulted in any policy-influencing outcomes? … [elicit specific drivers of observed /experienced outcomes, their beneficiaries, specific contexts which have enabled those changes, and any alternative explanations /other contributing factors]

4. Contexts [elicit specific examples]

I have identified a number of factors that might have contributed to the policy-influencing outcomes you have mentioned. Would you be able to share any specific examples of how any of the following contexts might have enabled policy change?

Existing influence and connections and positive reputation[90]

(A') PROGRESS-X and IIED have already had a considerable influence on policy and practice at both the national and the sub-national level in Kenya.

(B') PROGRESS-X has also received considerable positive media attention, with articles about the project featuring in both the local and international press.

(C') Having developed strong relationships with key actors through years of engagement.

(D') As a member of the ADA Consortium, IIED is uniquely positioned to influence national=level policy and planning through direct engagement with NDMA, another Consortium member.

(IV') Mercy Corps and IIED have been successful in carrying similar work in Wajir and have developed trust of both communities and the county government, the key stakeholders we will be engaging with.

Financial resources available

(G') … because they have a **budget to work with.**

(I') Any messages that the project wants to be taken up must be delivered through multiple channels many times over – public forums, radio dramas, policy changes and group discussions.

Stable economic and political environment

(J') **Regime type:** More open participatory democracy regimes are more likely to provide opportunities for a wider range of actors to pursue a change

(K') **Social, political and economic stability**

90 Numbers and letters in square brackets link the hypothesised contexts to hypothesised ICMOs for the three Policy Activities presented in Annex 3.

Climate resilience (pastoralism, NRM) already prioritised by national/county government

Local or national political priorities

(II') Local governance structures have the **skills and capacity** to represent communities, are linked to decision-makers and have selected water governance as an issue to be addressed.

Positive attitude, capacity, motivation of county officials/local communities

(V') **Better-informed community** with a stake in the process are more likely to hold the county government accountable for the implementation of the resulting policies and legislation.

(V.I') **Capacity and motivation** of responsible government staff.

(XII') **Will to learn**: Organisational capacity/learning/culture that enables the individual/group to change in response to changing circumstances and new opportunities.

(XI') Presence or absence of **champions** who influence, persuade and build support for change.

5. Barriers [elicit specific examples]

Some of the project documents suggest several barriers that have been encountered. I'd be interested to know whether you have experienced any of these barriers in your work; if so, could you provide specific examples and, where appropriate, approaches to overcoming them?

(1') Many of the policies are still new, with limited or no implementation frameworks in place; laws for implementation have not been enacted; where laws have been enacted, regulations are not in place.

(2') Institutional capacity is inadequate, especially at devolved levels; counties do not have institutional, technical and financial resources needed to perform their functions effectively and sustainably.

(3') Competition between national and county governments on the distribution of powers, functions and resources has continued to undermine the effective implementation of devolution.

(4') Inadequate awareness about the new policies and laws and poor organisation on the part of pastoralists constrain their capacity to make demands on institutions to deliver, and to monitor performance.

Wrap-up

This might be difficult to answer with precision, but would you be able to estimate the male to female ratio among the beneficiaries of the policy (i) outputs and (ii) outcomes? Were any of the achieved policy changes designed specifically with women and/or marginalised groups in mind? What have been the outcomes for those groups?

Have there been any other actors working on policy in Wajir with the objective of influencing policy on the subject of climate resilience of local pastoralist communities?

In addition to what has already been discussed, have you come across any other unanticipated enablers and/or constraints – i.e. things that have got in the way of the activity working and/or bringing about change?

Is there anything that we should have discussed but have not covered?

In addition to what has already been discussed, have you identified any resilience-strengthening lessons learnt that could be replicated by other programmes?

Is there any county government official in particular that I should speak to when I'll be in Wajir?

If needed, could I please contact you again to follow up on what we have discussed today?

Annex 5: Example of an updated version of a KII template

Case study and country	PROGRESS-X – PA3. Water Governance
Interviewee name	
Position and organisation	
Gender	
Age	
Interviewer name	
Date of interview	
Consent given? (Y/N)	
General notes and observations	

Evaluation Questions

To what extent have particular interventions led to anticipated changes and results?

Specifically focusing on understanding 'mechanisms' (the causal forces or powers that explain why a change happens), and the contexts or conditions that affect or create mechanisms, how and why have particular intervention packages led to observed results and changes?

What has the project learnt about delivering these packages of interventions?

What evidence is there that the interventions and the mechanisms that support them have the potential to deliver 'transformational outcomes'?

What are important contextual factors – conditions that cause the mechanisms to occur that lead to outcomes?

Based on your accumulated knowledge and understanding, what key resilience-strengthening lessons can be learnt and replicated from your project?

What difference has PROGRESS-X made? How, why, for whom and in what circumstances?

INTERVIEW QUESTIONS START HERE

Introduction

Thank you very much for agreeing to help with our work.

I have been reading about how PROGRESS-X has been influencing policy in Wajir. During the interview, I'm hoping to learn more about the outcomes and test out some of my early ideas of the contexts in which influencing happened and how. I'll use your feedback to test and refine the theories.

I'm planning to record our conversation so that I can make sure I don't miss anything. We may also include anonymised quotes in our report; is that OK with you?

The case study report will be finalised by the end of April and made available in May/June 2019 and the Synthesis Report in June/July 2019

6. Could I start by asking you just to give me a brief overview of your role and responsibilities on PROGRESS?

7. I'd like to better understand the outputs and outcomes of the policy-influencing work

What has been the outcome of the water governance study in terms of policy-influencing and improving access to water in more general? I heard that the Department of Water and WAJWASCO engaged in the development – primarily data collection and review of draft versions of the document? With that results? Point out the Water Policy – what changes have been made to it? What other changes have already been implemented on the ground? What was PROGRESS-X's role in getting to those results? Who were the main beneficiaries? Have you identified any barriers or alternative explanations?

8. Questions to test mechanism-specific theories

Theory 1: In contexts where resources already exist, improving capacity, understanding and awareness of government officials improves the confidence in their skills and new tools and approaches and raises their political ambition

We think that the process of collecting data for the water governance study increased ambition of the government and the Department of Water because it helped them better understand the needs of pastoralism. We understand they already had resources to manage boreholes in communities but didn't know where the need was. The water governance study and the data collection process enabled them to improve efficiency of resource allocation.

Would you agree and/or add any nuances? Would you describe the outcomes of the water governance study, or the data collection processes that preceded it, as improved understanding of pastoralism? Would you agree that the improved understanding has improved allocation of resources to better serve communities? What was the exact process? Who was involved and what was the role of PROGRESS-X in this? How? Who were the main beneficiaries? Have you identified any barriers to success or lessons learnt for resilience programming?

I was told that the draft water policy has now changed wording so it better reflects pastoralists and their needs. Would you agree? How do you think the change happened and whom do you think will be the main beneficiaries?

I heard that the water bill had already been drafted and that the gaps in it were identified by two other projects (Ahodi and Rapid). Would you say that PROGRESS-X has leveraged results of those projects? If so, how and with what results? At what stage was the existing county-level water policy? Did it take into account pastoralism? If the water governance study had not taken place, would the policy address issues in pastoralism at all? How? What was the role of the P&P training in this?

Theory 2: Where communities have trust in the project, technical knowledge and exposure to the realities of pastoralism improve understanding of the needs of pastoralists and increase motivation to adjust policies and practices to better work for pastoralists

From our document review, we think that the technical knowledge, the relevance of findings to local contexts and the actors they target and exposure to the realities of pastoralism have improved understanding of the needs of pastoralists and increased motivation to adjust policies and practices to better work for pastoralists.

Would you agree and/or add any nuances? Are there any practical examples of this from your work on PROGRESS-X? What have been the specific outcomes? What was the role of PROGRESS-X in ensuring quality, applicability and analytical rigour? Who were the main beneficiaries? Have you identified any barriers to success, or any lessons learnt for resilience programming?

I was told that some action had already taken place on ground. Would you know anything about what that was and why the action was initiated? What were the outcomes and what was the role of PROGRESS-X? Who were the main beneficiaries? Have you identified any barriers to success, or any lessons learnt for resilience programming?

I heard Oxfam has published a governance study as well. What was the difference between the two studies? Which one did you think the Department of Water and WAJWSCO found find more helpful and why? With what outcomes?

Has the training on P&P played any role in improving knowledge of pastoralism? Who has attended it and with what results?

Was it the same people who collected the data who co-wrote the water governance study and briefs? If so, what difference has this made? If not, how was data, knowledge and experience (reflections) communicated from the data collection team to the people responsible for writing of the study? Was WAJWASCO involved in the write-up as well? If so, what difference has this made and how?

Theory 3: Where existing relationships between the project and stakeholders exist already, work across departments results in long-term policy change

We think that working with several government departments has likely promoted shared understanding, enabled cross-departmental collaboration and created cross-departmental partnerships, which has strengthened the likelihood of long-term policy change.

Would you agree or are there any nuances you would add? Could you describe a specific example and results? What were the outcomes and beneficiaries? Who was involved and what role did PROGRESS-X play in this? Have you identified any barriers? Can you think of alternative explanations?

Theory 4: In contexts where resources (financial budgets, decision-making power) are available, new tools and skills gained to inform policy (if considered useful), mobilise support of the new tools and/or approach and result in allocation of the government's resources (like finance, time, commitment) to enable their wider/long-term rollout.

We think the training on participatory data collection and the process of collecting data has increased ownership of the findings of the study by the government officials and WAJWASCO staff who participated in the training. We think it is likely that the training mobilised their support to the approach and resulted in reallocation of resources towards measures that support pastoralism.

Would you agree with this? Are there any nuances you'd add? Are there any specific outcomes you could share? What was the process of achieving them? Who was involved and what was the role of PROGRESS-X in the process? Who were the final beneficiaries? Have you identified any barriers or lessons learnt for resilience programming?

Theory 5: Removed

Theory 6: Existing relationship and the trust of key stakeholders enable the project to work with multiple actors simultaneously, which creates a shared understanding across the key players (individuals, organisational), trust and new relationships, which combined are likely to contribute to transformational change

We think that inclusion of all relevant actors in the process of data collection and formulation of findings and recommendations promotes shared understanding and improves communication among key players, which results in new collaborations and increased likelihood of the recommendations being adopted by all actors and sustained over the long term.

Would ou agree and/or add any nuances? Are there any practical examples of this from your work on PROGRESS-X? Has it resulted in any specific outcomes? How did they come about? What was the role of PROGRESS-X? Who were the main beneficiaries? Have you identified any barriers to success, or any lessons learnt for resilience programming?

I heard that the Department of Land and the Department of Water have set up a partnership that enables them to collaborate on drilling on boreholes. They have also started doing an EIA. Do you know anything about that? What are the outcomes and for whom? What was the role of PROGRESS-X in this?

What was the role of the Water Department Taskforce that was headed by the CEC for Water and coordinated by the county chief officer for water? Was it set up as a result of the P&P training? How was PROGRESS-X involved in this? Why was it set up? And what were its results? Has it improved communication? How does it compare to the WhatsApp group? Do you think the WhatsApp group has made any difference? If so, how? Whose idea was it? Do you think WhatsApp has helped in influencing policy in any other way?

Ask about any contribution of the following:

(a) Have the WAPCs set up by PROGRESS-X (either of the phases) resulted in any policy-influencing outcomes?… [elicit specific drivers of observed /experienced outcomes, their beneficiaries, specific contexts which have enabled those changes, and any alternative explanations /other contributing factors]

(b) **Has Wajir Community Radio supported any policy- influencing outcomes?** I heard it was brought on board to support data collection processes? Why and with what results?... [elicit specific drivers of observed /experienced outcomes, their beneficiaries, specific contexts which have enabled those changes, and any alternative explanations /other contributing factors]

9. Contexts [elicit specific examples]

I have identified a number of factors that might have contributed to the policy-influencing outcomes you have mentioned. Would you be able to share any specific examples of how any of the following contexts might have enabled policy change?

Existing influence and connections and positive reputation[91]

A') PROGRESS-X and its implementing organisations **have already had a considerable influence** on policy and practice at both the national and the sub-national level in Kenya.

(B') PROGRESS-X has also received considerable **positive media attention**, with articles about the project featuring in both the local and international press.

(C') Having developed **strong relationships** with key actors through years of engagement.

(D') As a **member of the ADA Consortium**, IIED is uniquely positioned to influence national=level policy and planning through direct engagement with NDMA, another Consortium member.

(IV') Mercy Corps and IIED have been **successful in carrying similar** work in Wajir and have developed trust of both communities and the county government, the key stakeholders we will be engaging with.

Q: Has either of the organisations worked with IIED, Mercy Corps or WASDA before? What implications has it had for the water governance work?

[NEW context – the PROGRESS-X consortium well networked]

I heard that PROGRESS-X was able to link the Ministry of Water with the DFID-funded Building Research Capacity for Sustainable Water and Food Security in Drylands of Sub-Saharan Africa project, which is implemented across Kenya, on water quality in Wajir, which I believe was identified as a priority by the Department of Water when formalising the Water Taskforce.

Q: Would the Department of Water get to work with this project otherwise? What difference did PROGRESS-X make to this and with what outcomes?

Financial resources available

(G') … because they have a **budget** to **work with**.

(I') Any messages that the project wants to be taken up must be delivered through multiple channels many times over – public forums, radio dramas, policy changes and group discussions.

Q: Did both organisations have the resources to support this work? What resources did they contribute (e.g. staff time, computers, GIS mapping tool)? Would they participate if they didn't?

91 Numbers and letters in square brackets link the hypothesised contexts to hypothesised ICMOs for the three Policy Activities presented in Annex 3.

Stable economic and political environment

(J') **Regime type:** More open participatory democracy regimes are more likely to provide opportunities for a wider range of actors to pursue a change

(K') **Social, political and economic stability**

Climate resilience (pastoralism, NRM) already prioritised by national/county government

Local or national political priorities

(II') Local governance structures have the skills and capacity to represent communities, are linked to decision-makers and have selected water governance as an issue to be addressed

Positive attitude, capacity, motivation of county officials /local communities

(V') **Better-informed community** with a stake in the process are more likely to hold the county government accountable for the implementation of the resulting policies and legislation.

(V.I') **Capacity and motivation** of responsible government staff.

(XII') **Will to learn**: Organisational capacity/learning/culture that enables the individual/group to change in response to changing circumstances and new opportunities.

(XI') Presence or absence of **champions** who influence, persuade and build support for change.

Q: What were the attitudes of the two organisations and their staff? Were they interested in the subject of pastoralism before the work on water governance started? If so, why?

10. Barriers [elicit specific examples]

(1') Many of the policies are still new, with limited or no implementation frameworks in place; laws for implementation have not been enacted; where laws have been enacted, regulations are not in place.

(2') Institutional capacity is inadequate, especially at devolved levels; counties do not have institutional, technical and financial resources needed to perform their functions effectively and sustainably

There is (3') Competition between national and county governments on the distribution of powers, functions, and resources have continued to undermine the effective implementation of devolution

There is (4') Inadequate awareness about the new policies and laws and poor organization on the part of pastoralists constrain their capacity to make demands on institutions to deliver, and to monitor performance

Wrap-up
This might be difficult to answer with precision, but would you be able to estimate the male to female ratio among the beneficiaries of the policy (i) outputs and (ii) outcomes? Were any of the achieved policy changes designed specifically with women and/or marginalised groups in mind? What have been the outcomes for those groups?
Have there been any other actors working on policy in Wajir with the objective of influencing policy on the subject of climate resilience of local pastoralist communities?
In addition to what has already been discussed, have you come across any other unanticipated enablers and/or constraints – i.e. things that have got in the way of the activity working and/or bringing about change?
Is there anything that we should have discussed but have not covered?
In addition to what has already been discussed, have you identified any resilience-strengthening lessons learnt that could be replicated by other programmes?
Ask Claire for the final field report and the pre- and post- survey that was administered before and after the P&P training.
If needed, could I please contact you again to follow up on what we have discussed today?

Annex 6: Document log

Project documents	Category
MTR 2016	Programme Theory
FEX IR 2018	Programme Theory
FE Report 2018	Programme Theory
Logframe Revised_Sep_2017	Programme Theory
PROGRESS Narrative Application (Proposal)	Context analysis
ARS reports	Programme Theory
MRR case study	Context analysis
Component D - policy reports	Context analysis
Brinkerhoff, D. W. (2000). Assessing political will for anti-corruption efforts: an analytic framework. Public Administration and Development: The International Journal of Management Research and Practice, 20(3), 239-252.	Policy influencing
Quarterly progress report - Q16	Programme Theory
Quarterly progress report - Q15	Programme Theory
MRR - PROGRESS_Case Study document review	Context analysis
BRACED FM Newsletter No.45 December 2018	Programme Theory
BRACED - Mercy Corps - B16 - ARS Year 2 - NARRATIVE	Programme Theory
6 policy documents on Ben's G Drive	Context analysis
BRACEDx Theory of Change	Programme Theory
PROGREX TOC_Narrative	Programme Theory
Theory of Change PT and CMO protocol notes	Programme Theory
PROGRESS Application for BRACED-X	Programme Theory
Mercy Corps - BRACED-X - POL - PROGREXP - proposal	Programme Theory
PROGRESS - MRR Case Study Report_DRAFT	Programme Theory
Q15 Policy Reporting Synthesis	Programme Theory
FM_D1_Policy_Proposal_PROGRESS	Programme Theory
FM_D1_Quarterly_Progress_PROGRESS_Q13	Programme Theory
FM_D1_Quarterly_Progress_PROGRESS_Q14	Programme Theory
FM_D1_Quarterly_Progress_PROGRESS_Q15	Programme Theory
PROGRESS ARS Yr3 FM & KM Combined feedback + JB	Programme Theory
IIED (2019). Improving the governance of rural water points in Wajir County. Policy brief. February.	Project output
Little, P. D., & McPeak, J. G. (2014). Resilience and pastoralism in Africa South of the Sahara, with a particular focus on the horn of Africa and the Sahel, West Africa. In conference paper (Vol. 9).	Context analysis
Young, Shaxson, Jones, Hearn, Datta and Cassidy (2014). ROMA: A Guide to Policy Engagement and Policy Influence. Overseas Development Institute (ODI) Research and Policy in Development.	Policy influencing
Mercy Corps (2018). Community Mobilisation and Vetting of Delegates for the Establishment of Ward Adaptation and Planning Committees (WAPCs). BRACED Concept Note.	Context analysis
Wajir County Water Governance Study	Project output
Review of Wajir Water Policies	Project output
Tsui, Hearn and Young (2014). Monitoring and Evaluation of Policy Influence and Advocacy. Working Paper 395. ODI.	Policy influencing
Training report from the P&P workshop	Project output
Video from the P&P workshop	Project output
GIS flyover video	Project output

Annex 7: Changes from the original project design

The majority of the policy component was implemented as planned and on time; however, one of the Project Activities had to be scaled back to account for wider political developments. While Project Activities 2 and 3 were implemented in line with their original design, the Resource Mapping Exercise for Wajir County (Project Activity 1) was adjusted to take into account the unfavourable political climate in 2019. The intention was to take the fieldwork beyond the collection of data for resource mapping to also document conflict hotspots within Wajir and cross-border with neighbouring counties, to identify consensual rules of access and control of key pastoral resources, which would be based on negotiation, the principle of reciprocity and user rights. The results would be to inform changes to the Rangeland Management Bill, and related policy, to secure communal land ownership. This would also require making changes to current regulations for the management of pastoral resources consistent with provisions under the CLA, the Constitution and the National Land Policy.[92]

However, the political events of 2019 made the work on land ownership too sensitive to be undertaken within the indicated timeframe, owing to three developments:

The project was implemented at the time of a regular national boundary review, which takes place every 10 years, to revise the electoral map. As part of the process, this also opens up the Rangeland Management Bill to discussion. This sensitive time was likely to raise political and tribal tensions and further complicate the revision of the Rangeland Management Bill.

The CLA as proposed currently works to privatise community land, and does not do enough to formalise communal lands. To challenge it, changes to the Rangeland Management Bill, which informs it, have to be made first.[93]

Led by Wajir's CEC for Lands, the FCDC, an emerging coalition of northern county governors, formed plans to engage all its member counties in creating harmonised rangeland management bills across ASAL.[94]

Despite the setbacks, anecdotal evidence reported by a PROGRESS-X team member suggests that in the long run the project outcomes are likely to influence both the CLA and the Rangeland Management Bill that informs it. The box below presents the background to this emerging process of CLA revision.

92 Mercy Corps, 2017. PROGRESS' Application for Funding under Component D of BRACED-X for 01/01/2018–31/03/2019.

93 Source 1.

94 Source 14

Background to Kenya's Community Land Act

History of communal rangeland management

Three kinds of authorities register and manage land in Kenya. Public land is managed by the Nairobi-based National Land Commission; private and public land is managed by a land secretary at the county level; and pastoral land, most of which is communal, used to be in trust of the county council. In 2012, the CLA, which is based on private ownership, changed this. The CLA assigns patches of land to clans, disregarding the concept of communal land ownership that forms a backbone to pastoralism. Historically, multiple clans would use the same land, and it was this regular use that would imply their right to it. Without a formal agreement, elders would coordinate access to the land, facilitate visits by neighbouring pastoralists during the short-term dry season and grant them 'visitor' rights. This form of informal land management would allow for free movement of people and livestock while preventing degradation of rangeland and water depletion and controlling animal-borne diseases. In some counties, this traditional system has become more official, such as under the Borana people in Isiolo.[95]

Current challenges and actions

The project team member pointed out that the biggest challenge for the CEC for Lands in relation to rangeland management is a regulation derived from the CLA that requires all communal land to be registered into private hands by the end of April 2019. Any land that remains unregistered will become the property of the government. It was also reported that the CEC is now working with other Wajir CECs and the FCDC to lobby the national government through their MPs and senators as well as the PPG, which has a large influence in Parliament and the County Assembly to press for amendments to the CLA.[96]

As a result of the above-mentioned political sensitivities, the team requested a reallocation of funds for outputs in support of the water governance work as an entry point to indirectly influence rangeland governance. The team asked that funds for the intended NRM workshop be reallocated to fund the multi-stakeholder policy workshop planned for May 2019.[97] The BRACED Fund Manager approved the change; however, a question remains as to whether this could have been foreseen at the time of project design work.

95 Ibid.

96 Ibid.

97 Mercy Corps, 2019. BRACED-X Quarterly Progress Report for Q16.

Annex 8: Beneficiaries of PROGRESS-X Policy Activities

Beneficiary category	Involvement in project activities	Anticipated benefit from project activities
Category 1: Selected senior officials from the following departments of the Wajir County Government: Lands and Fiscal Planning; ICT; Water; Livestock and Agriculture; and Environment, Energy and NRM, as well as the CEO of WAJWASCO and Wajir Community Radio	Involvement in trainings and validation workshop to learn about the realities of pastoralism, its benefits for rural development and the relationship between pastoralism and policy. Examples of such activities include: • Participation in the P&P workshop • Participation in water governance study validation workshops • Participation in training in GIS mapping	Access to quality data relevant to inform policies in draft • Improved understanding of pastoralism and related benefits for rural development • Access to practical and context-relevant recommendations on subject of water governance • Improved relationships within the government and between the government departments and their stakeholders
Category 2: Selected civil servants from the following departments of the Wajir County Government: Lands and Fiscal Planning; ICT; Water; Livestock and Agriculture; and Environment, Energy and Natural Resources, as well as **staff from WAJWASCO and Wajir Community Radio**	Involvement in activities such: • Training on participatory data collection • Supervised delivery of participatory data collection • Report writing • Training on GIS and QGIS mapping • Creation of GIS maps	• Improved knowledge of the needs of pastoralists and local communities and improved skills to collect and analyse community data. • Improved relationships within the government and between the government departments and their stakeholders
Category 3: Pastoralists and other members of local communities in Wajir county	Some of the pastoralists and other local community members were expected to participate in data collection exercises to inform GIS maps and the water governance study. Other community members would benefit passively.	• GIS maps, the water governance study and policy on NRM informed by local knowledge • Pastoralism protected by policy and more likely to remain a viable form of rural livelihood for local communities • Improved knowledge of natural resources in their area • Improved relationships with the county governments • Improved government accountability and access to water

Annex 9: Structure and list of FGDs

List of FGDs

FGD objective	Participant affiliation	Participants characteristics
FGD (1) with selected participants of the GIS and QGIS trainings and a training on participatory data collection elicit feedback on CMOs for Policy Activity 1: Resource Mapping Exercise for Wajir County	1. Representative from the NDMA (M) 2. County director of IT, Wajir Department of ICT (M) 3. Assistant county director of IT, Wajir Department of ICT (M) 4. Director of Wajir Community Radio (F) 5. Representative of Wajir Department of Lands and Fiscal Planning (M) 6. Representative of WASDA (M)	All 6 participants were working age with a female to male ratio of 1:5
FGD (2) with selected participants of the P&P training to elicit feedback on CMOs for Policy Activity 2: Pastoralism and Policy Training Course	1. County Director, Livestock Production, Wajir Department of Livestock (M) 2. Representative of WASDA (M)[98] 3. Representatives of Mercy Corps Kenya[99] 4. Director of Wajir Community Radio (F)[100] 5. Representative of Wajir Department of Agriculture, Livestock, Fisheries and Alternative Livelihoods (M) 6. Representative of Ministry of Environment, Energy and NRM (F)	All 6 participants were working age with a female to male ratio of 2:4[101]
FGD (3) with senior management and staff of WAJWASCO to elicit feedback on CMOs for Policy Activity 3: Water Governance Study	1. Operational Manager (and a data collector for the water governance study), WAJWASCO (M) 2. Operational Manager (and a data collector for the water governance study), WAJWASCO (M) 3. CEO, WAJWASCO (M) 4. Director, WAJWASCO (M)	All 4 participants were working age and male
FGD (4) with senior officials from the Wajir County Department of Water to elicit feedback on CMOs for Policy Activity 3: Water Governance Study	1. Director in Charge of Planning (and water governance taskforce leader), Wajir Department of Water (M) 2. Director in charge of administration, Wajir Department of Water (F)	Both participants were working age with a female to male ratio of 1:1

The KIIs were conducted with a manager of Wajir Community Radio and a representative of the Department of Lands and Fiscal Planning. Both participants were working age with a female to male ratio of 1:1.

98 This was the same WASDA representative who took part in FGD 1.

99 The driver from Mercy Corps was also present in the FGD but did not contribute to the discussions.

100 This was the same representative from Wajir Community Radio who took part in FGD 1.

101 Note that one female and one male participant also took part in FGD 1.

Primary data was also collected from members of the project team in person in four KIIs, two of which were conducted remotely and two in Nairobi, and a FGD (split into four parts, each of which has its own source number), which took place in Nairobi as part of the pre-fieldwork meeting. All five participants were working age with a female to male ratio of 1:4.

A fieldwork wrap-up meeting was conducted in Nairobi to present initial findings and collect feedback. This was attended by three members of the project implementation team. All meeting participants were working age and male.

The overall population sample of 18 participants in KIIs and FGDs combined is:

- Six senior government officials and two members of the WAJWASCO senior management team (beneficiary category 1);
- Five junior to mid-level civil servants and two junior to mid-level WAJWASCO staff (beneficiary category 2);
- Two representatives from Wajir Community Radio and WASDA (beneficiary category 2); and
- Five members of the project implementation team.

Note that pastoralists and other community members (beneficiary category 3) were excluded from the data collection. This decision was made on the following two bases:

Case study focus: Although pastoralists participated in two of the three policy activities, they were not specifically targeted and change in their behaviour was not anticipated.

- Limited fieldwork timeframe: Wajir-based fieldwork was planned for only four days, which meant it was possible to conduct only a limited number of KIIs and FGDs.

Data collection tools used in each of the data collection stages are presented in the table below. Actual templates are enclosed in Annexes 3, 4 and 5.

Data collection tools

Data collection tool	Data collection phase	Purpose	Link to template
Hypothesised ICMOs for Policy Activities 1, 2 and 3	**Phases 1 and 2:** The ICMO diagrams were hypothesised in Phase 1 based on secondary data collection in Phase 1 and then presented in the pre-fieldwork meeting to selected members of the project implementation team	To elicit feedback on the hypothesised ICMOs and use the feedback to reject, refine or support the policy-influencing theories that they underpin	Annex 3
Original version of a template for KII and FGD	**Phase 2:** The first version of the template was prepared as part of Phase 1 and refined based on the feedback provided in the pre-fieldwork meeting.	To collect primary data on policy-influencing theories relevant to the policy activities that informants took part in	Annex 4
Updated version of the template for KII and FGD	**Phase 2:** Policy-influencing theories in the original template were refined using primary data collected in the first two days of the fieldwork in Wajir and further tested in the KIIs and FGDs that followed	To test the refined policy-influencing theories by presenting them to KII and FGD participants and use their feedback to reject, support or refine them	Annex 5
Document log	**Phase 1:** A document log was created in Microsoft Office Excel	To keep track of secondary document sources, their purpose and progress of their review	Annex 6
Microsoft Office Excel used for data collection and analysis	**Phase 3:** Completed interview templates were collated in an Excel spreadsheet where the data was analysed	To organise collected data by policy-influencing theories, analyse evidence for each and assess the strength of evidence for information nuggets	Data collection and analysis spreadsheet can be provided on request

Annex 10: Detailed evidence for each ICMO

Theory 1: Capacity

Theory as tested in the field: In contexts where resources already exist, improving capacity, understanding and awareness of government officials improves the confidence in their skills and new tools and approaches and raises their political ambition

Evidence (evidence strength of each I, C, M, O is indicated by a colour code)
Updated policy-influencing theory for Policy Activity 2:

Intervention

[I1] Key stakeholders trusted the implementation team. This trust was based on past collaborations and effective persuasion by team members, who are recognised for their knowledge and convening abilities.[102] This enabled the project to identify windows of opportunities, like the government's upcoming work on spatial planning, which it could support with approaches that met the government's needs and promote pastoralism.

[I2] Being familiar with the county's political and socio-economic context, the implementation team was able to work with the county government to tailor the P&P training course, which IIED developed in collaboration with Tufts University, to stakeholders' beliefs, needs and challenges.[103] This made it possible to put forward context-specific recommendations in the course. [104] Knowledge of local context, issues faced by pastoralists and the stakeholder landscape enabled the team to involve the government's key decision-makers in the P&P training course.

[I3] The P&P training course was well timed and the policy activities that followed it were well sequenced, as the deadline to register land into private ownership was imminent and resource mapping was on the government's agenda as a result of a national directive that required each county to have a county-wide spatial plan. Staff time, facilities and resources to perform GIS planning were therefore available. Water governance as a subject was less sensitive, as other projects had identified issues prior to PROGRESS-X, and was thus selected as the first issue to work on following the P&P training course. [105]

Context

[C1] The CLA poses a threat to pastoralism as it requires writing the land that pastoralists use for grazing their livestock into private ownership, and the deadline for the process to be completed by was imminent.[106] It is not too late to act to protect pastoralism, as these anti-pastoralist policies have not yet been translated into county legislation. Pastoralists who have settled down as a result of unfavourable conditions, primarily drought, are willing to go back to their pastoralist form of livelihood once it becomes feasible.[107]

[C2] The devolution process has given the county government more legislative power and access to substantial financial budgets.[108, 109]

Mechanisms

[M1] The content of the training changed attitudes to pastoralism and raised participants' ambition to protect it in their day-to-day practices and county-level policy.[110, 111] It presented evidence that contradicted widely held myths about pastoralism and made participants to come up with their own conclusions.[112] It also presented technical knowledge about pastoralism and showed the negative impact that the CLA could have on pastoralist livelihoods if simply translated into county policy.[113, 114] The new knowledge created buy-in to other policy activities. It improved understanding of why GIS is important and raised ambition to use it. Based on what they learnt, participants were inspired to carry out practical actions, like limiting the number of boreholes to prevent rangeland degradation.[115]

[M2] The P&P training course brought the most relevant senior county government officials on board, changed their mindsets, sensitised them to the project's agenda and served as a platform to collaboratively finalise the project's scope and design so it reflected the government's needs and priorities.[116, 117]

106 Ibid.

107 Source 13.

108 Source 3.

109 Source 7.

110 Source 2.

111 IIED and Mercy Corps, 2018. Pastoralism and Policy Training. Video.

112 Source 5.

113 IIED and Mercy Corps, 2018. Pastoralism and Policy Training. Video.

114 Source 8.

115 IIED and Mercy Corps, 2018. Pastoralism and Policy Training. Video.

116 Source 5.

117 Source 15.

Outcomes

[O1] The training course was a catalyst of issues related to pastoralism. Its module on land ownership in the workshop made the government aware that that the community needed more ownership and think about the ways to best register land in the county. The government became aware that, to ensure pastoralists' access to communal grazelands, it had to act fast and at scale by bringing together the whole county leadership. The workshop informed this decision.[118]

[O2] The government is now reviewing the county-level land management strategy and bill and national livestock policy as a result of what was presented and learnt in the training course. The issue was primarily in the language, so the government brought on board an expert to support the re-draft and demystify the language. Specific sections on pastoralism are now to be included in all documents, and participants of the training course are asked to feed into relevant parts.[119]

[O3] The training course gave rise to the idea to manage water through the management of rangeland. As a first step, the Water Department Taskforce was set up as a result of the training to deliver the water governance study. The county chief officer for water coordinated this cross-organisational effort.[120]

[O4] As a result of the collaborative approach that put the government in the driving seat of change, the project secured not only the time of government staff but also resources, like government vehicles, and access to the government's budget line for resource mapping, which was used to set up a GIS lab.[121]

[O5] Having become aware of the importance of pastoralism, the county government is now looking into ways to make the training course available to other ASAL counties, e.g. through the Kenyan School of Government, which should have a similar course.[122]

Updated ICMO for Policy Activity 2:

Interventions delivered by teams that **[I1]** are trusted by targeted stakeholders, **[I2]** understand their needs and **[I3]** are able to tailor the design of their projects, that are implemented in contexts where **[C1]** targeted stakeholders are under an imminent time pressure to act and **[C2]** have power and access to resources, are more likely to **[M1]** influence key decision-makers and raise their ambition to make changes to policy and implementation process, and [M2] take ownership the project policy activities. Such interventions are more likely to result in the following outcomes: **[O1]** fast action at cross-departmental scale, **[O2]** revision of existing policies and strategies, **[O3]** creation of new partnerships, **[O4]**

118 Source 9.

119 Ibid.

120 Source 6.

121 Source 3.

122 Source 9.

reallocation of resources (finance, staff time) towards action to achieve envisaged changes and likely **[O5]** scale-up of such activities to other counties.

Updated policy-influencing theory for Policy Activities 1 and 3:

Intervention

[I1] At least one government official was familiar with the GIS approach to resource mapping before PROGRESS-X started as WASDA had used it at the ward level in the past. PROGRESS-X scaled it up.[123] Introduced tools are visual,[124] relatively easy to use and versatile.

[I2] To enable participation of local communities, PROGRESS-X patterned up with Wajir Community Radio, which pastoralist communities trusted. It also leveraged existing structures like WAPCs, set up by PROGRESS and other projects before PROGRESS X started.[125, 126]

Context

[C1] Interest in GIS existed prior to PROGRESS-X. The government was 'hungry for knowledge' as the national government required spatial mapping. There was a large amount of interest in GIS mapping as some were already familiar with the approach, and a budget for spatial planning was available.[127, 128] The government was also aware of gaps in existing water policy, which other projects in the past had identified.[129]

[C2] Pastoralist communities are traditionally self-organised. They also participate in WAPCs and collaborate with community radio.[130]

[C3] The county government is relatively small and well connected on WhatsApp, use of which is preferred over email.[131]

Mechanisms

[M1] WAPCs and the radio enabled rural communities to participate in data collection, but also to raise grievance to members of the county government. It was the involvement of local radio that motivated local community members and enabled them to participate by translating and pre-recording their contributions.[132]

123 Source 3.

124 Source 8.

125 Source 13.

126 Source 3.

127 Source 2.

128 Source 4.

129 Source 6.

130 Source 13.

131 Source 14.

132 Source 13.

[M2] Participative approaches to data collection (water governance study, resource mapping) opened the government's eyes to reality and improved their understanding of the challenges and issues facing pastoralist communities. With support from the radio, WAJWASCO and the Department of Water learnt about the importance of local knowledge for resource management and policy-making.[133] It 'opened their minds'.[134] Water officers realised what needed to be done, that they should be based at the sub-county level and that water user associations could play role in management of water sources if adequately supported – this increased their ambition as it was feasible to reflect the findings in the water governance policy, and the new approach to water governance, which was being drafted.[135, 136, 137]

[M3] Bringing together actors from the government and other key stakeholders and providing unique opportunities to explore the realities of pastoralism together sparked new conversations and contributed to shared understanding and creative solutions. Involving the Department of Water and WAJWASCO in the water governance study and providing participants with the thinking space in the field, for example, started a productive dialogue and made their relationship more collaborative.[138] The data collection exercise, for example, offered an opportunity for the implementation team, WAJWASCO and community members to think about practical solutions to the issues they had observed, like neglected water sources.[139]

A similar trend was observed in the case of resource mapping, where the participatory approach to data collection exposed the technical staff to the realities of pastoralism.

> Once the planning has been done, we realised that we're depleting our [natural] resources.[140]

The GIS training raised awareness of senior government officials and political appointees as well as other civil servants like technical staff. This was important for building the capacity to deliver GIS mapping, but also to obtain wider political buy-in. Once the political appointees were on board with the participatory approach to data collection and GIS mapping, they generated further buy-in from other government departments through conversations in

133 Source 7.
134 Source 11.
135 Source 13.
136 Source 10.
137 Source 2.
138 Source 15.
139 Source 11.
140 Source 8.

WhatsApp groups and with CECs and in governmental meetings.[141] The visual aspects of GIS mapping made the distribution of resources on the ground clearer to decision-makers. This is considered helpful for informing their decisions about resource allocation and provided further evidence that pastoralism was a sustainable form of livelihood.[142] The issues of the water exploitation, settlements, health facilities and pastoralist routes were given as examples. The transparency that the GIS introduced and the versatility of its application have motivated other departments, such as the Departments for Livestock and Education, to adopt it.[143]

Outcomes

[O1] Approaches to water management have already started to change. EIA is now required for drilling, ESRI Eastern Africa has signed an MoU with the Kenyan Institute of Planners to use GIS-based planning and GIS-based decision-making in the country[144] and water management staff have been stationed closer to rural communities.[145, 146] The amount of new boreholes has gone down, to reduce impact on local grazelands,[147] and communication channels like WAPCs and the community radio have been identified to enable local communities to inform planning processes at the county level. Budgeting is also being discussed so the county government is better able to better respond to issues like broken boreholes during the dry season.[148] Discussion has started, some immediate changes to water management have been implemented on the ground and a new partnership on drilling boreholes has been formed between the Department of Lands and the Department of Water as a result of the training course;[149] new policies have been drafted but not yet passed.[150]

[O2] Pastoralist communities learnt how to identify and map natural resources in their area and the data they provided will enable the government to protect grazing lands from settlements and overexploitation.[151] Community members were heard to say that the process was really eye-opening, as it made them

141 Source 4.

142 Source 9.

143 Source 8.

144 Message form a member of a WhatsApp group on resource mapping read out by Source 2.

145 Source 13.

146 Source 11.

147 Source 9.

148 Source 3.

149 Message form a member of a WhatsApp group on resource mapping read out by Source 2.

150 Source 10.

151 Source 8.

realise what resources they had and where.[152,153] As a result, pastoralist communities are better able to manage the resources they have at their disposal and raise grievances to relevant authorities in community discussions and through the radio.[154]

[O3] GIS, introduced by PROGRESS-X, is likely to be used to inform wider resource mapping exercises in the future – serving numerous departments and drawing on larger datasets. It has also sped up the process of spatial mapping.[155]

Updated ICMO for Policy Activities 1 and 3:

If interventions that **[I1]** introduce tools and approaches that (at least some) stakeholders are familiar with and that **[I2]** partner up with organisations that are trusted by local communities are implemented in contexts where **[C1]** there is demand among key stakeholders for tools and activities introduced by the project, **[C2]** local communities are self-organised and **[C3]** the government is well connected, **[M1]** communities are more likely to see benefit in participation and enable an 'eye-opening' experience for targeted stakeholders. As a result of the exposure to this eye-opening experience, **[M2]** diverse stakeholders gain shared understanding and **[M3]** become motivated to collaborate to achieve envisaged changes by adopting tools and activities introduced by the project. Outcomes are likely to be: **[O1]** changed practice informed by tools and approaches introduced by the project, reallocation of resources to support the new processes, changes to policy to reflect the needs of communities, increased accountability of the government and **[O2]** communities becoming more empowered. **[O3]** Wider uptake of introduced tools and approaches beyond the scope of targeted audience is also likely.

Theory 2: Analytical rigour

Theory as tested in the field: Where communities have trust in the project, technical knowledge and exposure to the realities of pastoralism improve understanding of the needs of pastoralists and increase motivation to adjust policies and practices to better work for pastoralists

Evidence (evidence strength of each I, C, M, O is indicated by a colour code)
Updated policy-influencing theory for all three policy activities

Intervention

[I1] The water governance study was developed with inputs from and reviews by key stakeholders. The report was coordinated by IIED but technical inputs came

152 Source 13.

153 Source 10.

154 Source 10.

155 Source 3.

from the key stakeholders, primarily WAJWASCO and the Department of Water. The CEC for Water, for example, co-designed the final report and was consulted on preliminary findings in end-of-fieldwork meetings and the final version of the study in a feedback and validation workshop that involved key decision-makers on the subject.[156, 157]

[I2] Participants of the P&P training course were carefully selected to represent departments that work on various aspects of pastoralism, as the implementation team knew that protecting pastoralism by means of county-level policy required a holistic approach.[158] The objective of the P&P workshop was to get everyone on the same page. This was identified as a need and informed the programme design. The training helped agree on shared objectives and an action plan, which the government owned from then onwards.[159] The resource mapping component involved the county government from the beginning as well, primarily representatives from the departments whose work concerns pastoralism: Land and Fiscal Planning; ICT; Water, Energy, Environment and Natural Resources; Agriculture, Livestock and Fisheries; and three others. The county departments were asked to provide time of senior representatives (government appointees) to ensure political goodwill and guidance as well as top civil servants, who became the technical experts. [160]

[I3] The WhatsApp group that was set up to coordinate work on resource mapping, for example, helped spread the word to other county departments – e.g. the CEC for Education joined the group to learn how best to use GIS for use in mapping vocational institutions and their progress.[161] Other WhatsApp groups existed already and the project was able to tap into them. For example, the FCDC coalition has a WhatsApp group to coordinate policy-influencing at the national level. Influencing participants of the cross-county formal and informal groups represents an opportunity for the project to influence policy at the national level.[162]

Context

[C1] WASDA and other project implementation partners have worked with key stakeholders in Wajir and other ASAL counties in the past, and were considered trusted partners as a result.[163, 164] The project team was seen as a neutral partner that was promoting a change in the interest of pastoralists, no one else.

156 Source 10.

157 Source 15.

158 Source 2.

159 Source 7.

160 Source 3.

161 Source 4.

162 Source 3.

163 Source 5.

164 Source 9.

[C2] Sharing a border with other ASAL counties with widespread pastoralism, like Isiolo, which has addressed many issues related to pastoralism already, Wajir County Government was under pressure to support pastoralists in Wajir, e.g. by improving NRM. As pastoralists and their livestock regularly cross county borders, primarily in drought when local resources like water and grasslands become scarce, the neighbouring counties had a stake in improving conditions for pastoralism in Wajir.[165, 166]

[C3] As a result of devolution, the county government is responsible for allocation of financial resources from the national budget, e.g. for infrastructure for primary education.[167] In the case of GIS, for example, the project budget is additional to and leverages the government's existing resources for spatial mapping, so department work that concerns pastoralism has access to GIS mapping.[168] The county government has access to resources but not the knowledge/evidence to allocate the resources to the right places, which has been a real challenge. The water governance study will help show the gaps and thus provide the evidence to inform resource allocation.[169]

Mechanisms

[M1] Discussions among representatives of different departments in the P&P workshop improved understanding of others' work and sparked motivation to collaborate.[170]

We realised that resources have to be shared and taken care of [in collaboration].[171]

The water governance WhatsApp group saved time, allowed members to participate from abroad and enabled them to bring up ideas that would be more difficult to communicate otherwise.[172] Discussions are encouraging, motivate action and resolve disagreements – this was appreciated as the government's official means of communication is on paper.[173]

165 Source 5.

166 Source 13.

167 Source 4.

168 Source 3.

169 Source 13.

170 Source 9.

171 Ibid.

172 Source 14.

173 Source 11.

M2] The P&P workshop catalysed ambition among senior officials.[174] It enabled the creation of a platform on which new 'multi-purpose coalitions' were built and from where concrete actions were taken forward in the other two Policy Activities.[175] The Water Governance Taskforce, for example, was set up in the aftermath of the P&P training course to get the study off the ground and was led by the director in charge of planning at the Department of Water.[176, 177]

[M3] Having provided substantial inputs into the policy-influencing products, like the water governance study, stakeholders had an interest in the findings, which they found relevant, and the recommendations, which were practical and context-informed.[178, 179]

Outcomes

[O1] The P&P training course has brought everyone on the same page. All stakeholders have become champions for pastoralism in the understanding that pastoralism brings a solution to the long-term problem of climate change. As the course trained the focal people from each of the key departments, it has become easier for the participants to implement policy changes at county level.[180] Incremental but important changes have already been made. In the case of water governance, for example, staff of WAJWASO and the Department of Water are now spending more time in communities addressing issues related to water access,[181] both organisations have hired staff from rural communities and stationed their staff closer to rural areas[182] and WAJWASCO has included female members from rural communities on its management board.[183]

[O2] New collaborations have been formed. The GIS mapping tool is enabling county departments to work together in the long term in the government-financed GIS lab that is currently being set up. The departments plan to train their staff, who will be able to use the GIS lab in the future.[184]

174 IIED, Mercy Corps (2018). Pastoralism and Policy Training: To Understand Scientific Rationale Underpinning Sustainable Pastoralism. Video.

175 Source 4.

176 Source 11.

177 Source 15.

178 Source 10.

179 Source 11.

180 Source 13.

181 Source 11.

182 Ibid.

183 Source 13.

184 Source 8.

[O3] Discussions in the WhatsApp group and feedback in meetings with key decision-makers on findings emerging from participatory data collection provided further guidance for the water governance study and helped in phrasing recommendations so they would reflect the realities of each stakeholder.[185] The findings and recommendations the report put forward were then considered practical and informed by local context[186] and will inform the county water strategy.[187]

Updated combined ICMO for all three policy activities:

When an intervention **[I1]** is participatory in nature, **[I2]** involves decision-makers from key organisations and **[I3]** introduces effective channels for communication, and is implemented in contexts where **[C1]** there is existing trust between the project team and key stakeholders and stakeholders **[C2]** are under peer pressure to address the issue targeted by the intervention and **[C3]** have decision-making power and access to resources, the intervention is more likely to **[M1]** improve stakeholders' understanding of one another's roles in achieving a solution, **[M2]** enable a surge in ambition and creation of coalitions capable of driving the desired change and **[M3]** create buy-in to the identified policy solution. As a result, **[O1]** actions are likely to take place and changes to happen quickly across the county government, and the results are likely to be sustained long term as a result of **[O2]** new collaborations, and **[O3]** policies informed by the project policy-influencing products, which are well tailored to policy-makers' positions.

Theory 3: Cross-departmental working

Theory as tested in the field: Where relationships between the project and stakeholders exist already, work across departments results in long-term policy change

Evidence (evidence strength of each I, C, M, O is indicated by a colour code)
Updated policy-influencing theory for all three policy activities

Intervention

[I1] The implementation team understands the interests and needs of key stakeholders targeted by the project, identifies mutual benefits in their collaboration and provides opportunities for them to make connections and discuss the issues they share.[188]

185 Source 15.

186 Source 9.

187 Source 15.

188 Source 4.

[I2] The implementation consortium is involved in a number of climate resilience projects in the area, has local connections and is able to identify opportunities of benefit from mutual collaborations and make introductions beyond the scope of the project.[189]

[I3] The proposed solutions, GIS tool and knowledge disseminated in the P&P training course were practical, versatile and relevant to the work of all stakeholders targeted.[190]

Context

[C1] Issues faced by pastoralists were not fully realised by all stakeholders. WAJWASCO, for example, was not familiar with the concept of pastoralism. It was a new concept for them as in the past it would work mostly in settlements.[191]

[C2] Key stakeholders were not used to engaging with others to identify solutions. Different aspects of water access, for example, are worked on by the Department of Water, WAJWASCO, the Department of Livestock and Agriculture and the Wildlife Department. The project brought the key stakeholders together to discuss and identify solutions that would be feasible for all.[192]

[C3] Resources to take GIS forward existed. The government already had resources and the GIS training was a catalyst that sped up the resource mapping process. It changed the way the mapping was done by introducing a bottom-up process that involved local communities.[193, 194, 195]

Mechanisms

[M1] The P&P training course clarified that the solution to pastoralism was beyond the scope of a single organisation's work and required action by a variety of stakeholders now and in the future.[196, 197] This awareness also grew during data collection for resource mapping and the water governance study, when the community radio enabled community participation by sensitising on the issue and recording and translating their contributions. It would have been difficult to collect data from communities without a partner that the communities trusted.[198] Moreover, bringing people together from different departments also

189 Ibid.

190 Ibid.

191 Source 10.

192 Source 3.

193 Source 13.

194 Source 14.

195 Source 8.

196 Source 9.

197 Source 3.

198 Source 13.

showed that actions in one sector could undermine the work of others and that cross-departmental coordination was required.[199, 200]

[M2] Having built the capacity of key stakeholders, changed their attitudes towards pastoralism and set up functional partnerships and collaboration channels, the implementation team took on a facilitator role and let the stakeholders to drive the change. The relative autonomy strengthened their understanding of the solution required, commitment and buy-in.[201] In the case of the water governance study, for example, the staff of WAJWASCO who participated in the data collection learnt about the different aspects of their own jobs on the ground and the company's senior management was closely involved in writing the report. This encouraged them to be owners of the study and propose relevant practical measures.[202] The Department of Water was involved in writing the report and referred to it as theirs.[203]

[M3] The resource mapping exercise demonstrated the potential of GIS and led the county government to realise what it needed to do to maximise its benefits. The Ministry of Education, for example, would like to use it to map data related to primary education, ideally with the use of open source data verified by local communities.[204] Twenty-five chiefs of staff have expressed their interest in the use of GIS and the Ministry of Land and Fiscal Planning is now thinking about how best to accommodate everyone's needs and aspirations in the use of GIS.[205]

Outcomes

[O1] The content of the P&P training course is to be embedded in a curriculum for all county government officials. The county government and Mercy Corps are currently discussing this.[206, 207]

[O2] Ownership of the process sparked motivation to allocate resources towards desired change. The demand for GIS from various county departments has been factored in the future GIS budget financed by the Department of Land and Fiscal Planning and the ICT Department. The Department of Land and Fiscal Planning has already allocated KES 20 million towards the lab. Once it is set up, the departments will employ their staff to continue work on resource mapping using GIS at a wider scale.[208]

199 Source 3.

200 Source 9.

201 Source 14.

202 Source 15.

203 Source 11.

204 Source 8.

205 Source 4.

206 Source 5.

207 Source 13.

208 Source 4.

[O3] The benefits that the bottom-up approach to resource mapping brought to the government sparked interest from other departments. To accommodate the demand, the Council of Governments engaged the United Nations Development Programme to support the resource mapping efforts in Wajir, primarily in relation to urban planning. It also asked Mercy Corps to bring on board the regional Centre for Mapping, Research and Development, which works in 10 countries and is externally funded by the United States Agency for International Development and the United Nations. Its centre for East and Central Africa is based in Nairobi and an MoU has been signed between the county government and Mercy Corps, under a different project, to facilitate a meeting to discuss the government's use of free open source data for its resource mapping work. The meeting happened in Nairobi in the last week of March.[209, 210] The implementation team was also able to introduce the Department of Water to the DFID-funded Building Research Capacity for Sustainable Water and Food Security in Drylands of Sub-Saharan Africa project for the latter to support the government with a hydrological study that was identified in the P&P training course as one of the priorities.[211]

[O4] New relationships have been created between county departments, like the Department of Lands and Fiscal Planning and the ICT Department, which are now working together to set up a GIS lab to serve several county departments.[212] The lab is now constructed and is ready to continue running without the support of the project.[213, 214] The Department of Water has also been working with local communities to build capacity of water user associations and is identifying public–private partnerships to better address their needs.[215]

Updated combined ICMO for all three Policy Activities:

Interventions that **[I1]** understand interests and needs of key stakeholders, **[I2]** are well connected to the resilience community and able to make introductions to support key stakeholders and **[I3]** introduce practical solutions and versatile solutions that are relevant to stakeholders' needs, that are implemented in contexts where **[C1]** issues targeted by the intervention are not fully realised, **[C2]** actions by diverse stakeholders are required and **[C3]** resources to implement solutions exist, make it more likely that stakeholders will **[M1]** realise the importance of collaboration, **[M2]** understand the actions required and take ownership of the required change. They are also more likely to be **[M3]** willing to apply the envisaged solution at a scale that is larger than the project's scope. Based on the new knowledge, capacity and collaborations, stakeholders are likely to **[O1]** embed aspects of the project in their processes, **[O2]** allocate resources to

209 Ibid.

210 Source 8.

211 Source 14.

212 Source 8.

213 Source 12.

214 Source 13.

215 Source 10.

achieve the envisaged change, **[O3]** identify wider application for the tools and approaches introduced by the project, secure external support and **[O4]** sustain the new practices, partnerships and collaborations established by the project.

Theory 6: Collaboration

Theory as tested in the field: Existing relationships and the trust of key stakeholders enable the project to work with multiple actors simultaneously, which creates a shared understanding across the key players (individuals, organisations), trust and new relationships, which combined are likely to contribute to transformational change

Evidence (evidence strength of each I, C, M, O is indicated by a colour code)
Updated policy-influencing theory for all three policy activities

Intervention

[I1] PROGRESS-X was part of long-term efforts of members of the implementation consortium and building on work implemented under PROGRESS. This enabled the policy component to draw on existing relationships. The project team members also plan to implement work complementary to this component as part of other projects. For example, it is planned to air radio programmes on water governance beyond the timeframe of the project. This is possible as PROGRESS-X is part of a wider and long-term collaboration in the county led by individuals from Mercy Corps, IIED and WASDA.[216]

[I2] The team did not go in blind; it knew what the needs were. This knowledge of context and key stakeholders enabled the team to design an intervention with the government's needs at its heart.[217] It thought carefully about the intervention sequence and who to engage in what activities to cover all levels of the governmental hierarchy, and engaged the government in the project design as soon as its high officials were on board with the pro-pastoralist agenda following the P&P training course.[218]

[I3] The implementation partner had the trust of key stakeholders based on previous engagement and was appreciated by their government for its independence and its good reputation as a researcher. This independence, research skills and collaborative approach motivated the government to participate.[219]

[I4] The project engaged Wajir Community Radio, a local player that is respected and has the trust of rural communities, which was well placed to enable

216 Source 2.

217 Source 7.

218 Source 4.

219 Source 6.

conversations between the government and pastoralists,[220] as well as high-level policy-makers, to spark their interest. The water study and brief and GIS resource maps were presented to several CECs and chiefs of staff, the county secretary and the director for disasters to showcase the partnership between Mercy Corps and the county government when the recently appointed deputy regional director of Mercy Corps visited Wajir.[221]

Context

[C1] Embedding pastoralism in policy is a complex task that requires changing the attitudes of various influential stakeholders across ASAL counties.'

[C2] New policies have been introduced at the national level that pose a threat to pastoralist livelihoods. Wajir's government is under pressure to translate this into county policies. County-level policies on NRM and land ownership, for example, were already being drafted at the time of project implementation. The water bill, water strategy and water policy were all in draft as well. This was the right time for delivery of the water governance study and sharing its findings, which increased the likelihood of the recommendations being accepted. '

[C3] Since devolution in 2010, the county government has enjoyed more decision-making power. This has come with more responsibility and resulting needs for capacity-building and access to reliable data to inform county-level decisions. This presented a window of opportunity for the implementation team, which understands the government's needs and has access to resources to support it with relevant tools, skills and knowledge.

[C4] Government officials do not use email, as official correspondence is done on paper. However, informally, it is well connected on WhatsApp at all levels, including in separate groups for chiefs of staff, directors and CECs. This existing network was an opportunity to communicate the agenda of pastoralism higher up to key decision-makers. The team tapped into these informal networks within the government by getting some members of the WhatsApp groups on board with the pro-pastoralist agenda.'

Mechanisms

[M1] Independence of the implementation team was leveraged particularly during the P&P training course, when the knowledge presented was perceived as independent and therefore more credible by the government attendees. This trust contributed to its success in changing participants' perspectives of pastoralism.[222]

[M2] The radio brought the trust of local communities and enabled a discussion between them and the government (and WAJWASCO). The station regularly airs the voices of members of pastoralist communities and spreads awareness

220 Source 13.

221 Source 14.

222 Ibid.

of political developments in Wajir in four languages. It also provides a means of raising grievances and a platform for policy-makers to take part in interviews that will be listened to in rural areas.[223] This improved the government's accountability and made its relationships with local communities more collaborative.

The radio is a very important tool for information sharing and convincing the community… they don't speak to the government. They first tell us… we became a centre of information sharing then they trust us. When they need anything from the government, they just give us a call.[224]

[M3] The project engaged with senior representatives of key stakeholder organisations to help them realise where the gaps in their work were. This sparked engagement as the activities the project offered provided solutions to other aspects of the stakeholders' work. The water governance study, for example, shed light on the lack of clarity on responsibility for the management of various water sources in rural areas and the need for clear policy and action. This led to buy-in from the Water Department.[225, 226, 227] The P&P training course deepened understanding and got the chief officers for water and livestock on board as it showed the importance of water for pastoralism and rural development.[228]

[M4] Sequencing and layering of activities created buy-in and initiated action at all levels. People who took part in the P&P training course and trainings on GIS mapping became real champions – promoting change to enable both bottom-up data collection and pastoralism.[229] The message the project promoted has been shared on social media and on the radio, with a positive response from communities[230] as well as the key decision-makers in the county, such as the CEC for Lands, who coordinates action to reflect the needs of pastoralists in national policy.[231]

Outcomes

[O1] Buy-in from all stakeholders was created by introducing a credible take on pastoralism, which offers a viable solution to the impacts of climate change on rural communities. This realisation, in the context of new anti-pastoralist policies at the national level, initiated urgent action led by members of the county government.[232]

223 Ibid.

224 Ibid.

225 Source 2.

226 Source 10.

227 Source 8.

228 Source 15.

229 Source 13.

230 Ibid.

231 Source 14.

232 Source 6.

The message has really reached each and every person in the county.[233]

[O2] Buy-in of 'pastoralism champions' who regularly engaged with key policy-makers in the county sparked interest among the highest ranks. The final policy workshop is to host 10 CECs and 25 chiefs of staff who have expressed an interest.[234] Through the champions, the implementation team tapped into the existing WhatsApp networks when coordinating the final policy workshop,[235] the aim of which is to coordinate with other actors and projects that work on issues related to pastoralism beyond the timeframe of PROGRESS-X.[236]

[O3] Including the GIS maps in the spatial plan required by the national government will allow them to inform decisions about local planning. This means that the resources reflected in those maps will become legally protected when the spatial plan is approved by the County Assembly and signed off by the county governor. The County Government Act and Fiscal Planning Act and the Constitution itself are helpful as they determine that the state has to regulate the use of grazing lands.[237]

[O4] The rigour, quality and credibility of the policy-influencing products, such as the water governance study, have sparked interest and likely investment of other donors. The study was appreciated in particular by the World Bank, which is considering supporting further work on water management in the county now that 'the truth about water governance in Wajir was told' in the report.[238, 239]

The water study was the best in Wajir county and I think if implemented by the county government, Wajir will be very far in terms of water governance and service delivery ... we might not see pastoralist safari, we might not see human safari if the government adopts the findings of the study which they said they would ... they are really, really committed themselves.[240]

Updated combined ICMO for all three Policy Activities:

Interventions that are implemented by **[I1]** established consortia that **[I2]** understand the local context and targeted stakeholders **[I3]** and have their trust, and **[I4]** engage a range of key stakeholders from the government to organisations with strong links with communities, in contexts where the targeted issue **[C1]** is complex and **[C2]** requires urgent action by a variety of actors, the key stakeholders **[C3]** have the authority and resources to take action and **[C4]** are well connected to key decision-makers, the intervention is likely to **[M1] (see Theory 3)** be perceived as credible, **[M2]** spark appetite for collaboration among

233 Source 13.

234 Source 4.

235 Source 14.

236 Source 15.

237 Source 8.

238 Source 6.

239 Source 3.

240 Source 13.

all key stakeholders who **[M3]** perceive envisaged action in alignment with their own agenda and **[M4]** generate buy-in to pastoralism within the government. As a result, the following outcomes are more likely: **[O1]** quick action at the national level to achieve desired change, **[O2]** sustained change beyond the project's timeframe, **[O3]** desired change embedded in national policy and **[O4]** aspects of the work continued by the government and other donors.

Annex 11: Phase 1 of PROGRESS

The Final Evaluation (FE) of PROGRESS identified the project's holistic community approach and development of linkages between pastoralist communities and the county government as the primary drivers for building resilience.[241] This was achieved primarily by the project's governance component.

Designed in response to the issue of under-representation of communities in county-level decision-making around climate and resilience investments, which were manifested in poorly designed interventions dismissive of community needs and priorities, PROGRESS's drew on participatory approaches previously introduced in Wajir by ALDEF and the ADA Consortium.

PROGRESS engaged with the county government with the objective of improving its collaboration with pastoralist communities. Building on a solid foundation laid by the ADA Consortium, it also worked with pastoralist communities to set up eight WAPCs to access climate finance and represent pastoralists needs and priorities in decision-making processes on resource planning and disaster response at sub-county and county levels.

While this approach was introduced by the ADA Consortium, PROGRESS, and later PROGRESS-X, scaled it up to the whole county.

Both PROGRESS and the project extension provided WAPCs with capacity-building to advocate for local investments, develop community action plans, apply for funding from the County Climate Change Fund (CCCF), and participate in identification and planning of infrastructure projects to mitigate the local effects of drought. WAPCs and radio were also used to disseminate improved climate information to pastoralists to improve their decision-making.[242]

241 Mercy Corps, 2018. PROGRESS BRACED Programme Final Evaluation, 18 February, p. 4.

242 Ibid., pp. 9–10.

Other governance work of Phase 1

> 'This has included supporting the development of a number of policy documents including the first County Gender strategy in Kenya, the second County Climate Information Services (CIS) Plan,[243] and a County Livestock Feed Policy document. The first two of these policy documents were officially launched by the Governor of Wajir at a ceremony to mark this milestone on 22nd March, 2017.'[244]

The FE indicated that PROGRESS's governance work resulted in high levels of county government commitment towards policy work and infrastructure investment and set out realistic expectations that WAPCs would sustain in operation beyond the project's timeframe.[245]

As a result of the main phase,

> … the community members have seen improved community and government relationships with enhanced information flow, increased community participation in crucial government decisions, and the county government has enhanced service delivery to communities. This enhanced linkage and improved dialogue points to the likelihood of absorptive capacities so that when the next disaster strikes a community there will be a coordinated, appropriate response between the community and county government.[246]

243 Both County CIS Plans were designed and developed by the ADA Consortium with BRACED covering the cost of printing and the launch.

244 Mercy Corps, (2017). BRACED: Supporting Policy and Practice in Pastoralist Areas. April.

245 Mercy Corps, 2018. PROGRESS BRACED Programme Final Evaluation, 18 February, p. 4.

246 Ibid., p. 24.

PROGRESS has not only set up the bottom-up governance mechanisms and enabled communities in the eight wards to access finance from the CAF, but also, working with the ADA Consortium and the CCCF Secretariat, has helped demonstrate the feasibility of this approach to the national government, which has since made steps to scale up the approach nationwide. This scale-up to every county in Kenya will be managed and administered through NDMA with a possibility of funds coming through the National Treasury. Furthermore, the approach, which has been consolidated into government guidelines (a toolkit), enables WAPCs to apply for funding from Wajir's CCCF, which receives 2% of the county's development budget as stipulated by the Climate Change Act passed by the Wajir County Government in 2016.[247]

The decision-making space

Encouraged by the success, the project extension implemented in Wajir and led by Mercy Corps, supported by consortium partners IIED, the University of Southampton and WASDA, continued working with Wajir County Government, the county's main decision-making body, to develop an appropriate policy and legislative environment to support pastoralist livelihoods and the wider county economy.

The additional policy component expanded on the work implemented in Wajir under Phase 1 and comprised the following activities:

Policy Activity 1: Deliver a natural resource mapping exercise for Wajir county and a training for Wajir County Government technical officials on how to map natural resources using GIS to enable evidence-informed decision-making resulting in more efficient use of existing resources. This built on an earlier work done by GEODATA and ALDEF within the ADA Consortium, which piloted the approach itself.

Policy Activity 2: Deliver a training to Wajir County Government officials to raise awareness of factors that strengthen pastoralist resilience, advocate for the social and ecological benefits of pastoralism and facilitate development of an action plan to integrate pastoralism into county and national policy and planning, including training on formulation of policy on land registration. This P&P training was based on an earlier approach developed by IIED and Tufts University, which PROGRESS-X adapted to the context of Wajir.

Policy Activity 3: Conduct a water governance study in Wajir to identify policy and practical measures that improve the management of water in support of resilient pastoral livelihoods.[248]

247 Burns, J., 2018. BRACED Supporting Decentralised Climate Finance in Kenya. Mercy Corps.

248 Mercy Corps, 2018. PROGRESS XFE Inception Report, 18 December.

Prevalent narrative and key directions for change

As set out in ToC for the policy component (see Section 2.3 of the case study report), PROGRESS-X aimed to address the issues of inadequate capacity, weak policy and lack of evidence by improving understanding of pastoralist resilience, introducing tested tools for participatory data collection and promoting effective policy and legal framework to protect pastoralist livelihoods.[249]

Its activities targeted key decision-makers within the county government as well as civil servants with technical roles, senior management and other staff of WAJWASCO and members of rural communities, with a particular emphasis on bridging the disconnect between them. It provided technical assistance to county government officials to improve their understanding of pastoralism as a sustainable form of livelihood and its multiple challenges caused by the changing climate as well as recent policy developments. To protect pastoralism by county policy, PROGRESS-X supported policy-makers in data collection to inform policy-making at the county level. It trained selected civil servants in participatory data collection and GIS mapping and promoted the use of community knowledge in evidence-informed policy-making.[250] To enhance participation of pastoralist communities in data collection, it collaborated closely with Wajir Community Radio, which sensitised communities on the work of PROGRESS-X, enabled their participation by translating and pre-recording their inputs, broadcast the project's messages and findings back to the communities and made communication between the county government and community representatives more effective.

249 Ibid.

250 Mercy Corps, 2017. Theory of Change Narrative for PROGRESS' Extension Phase.

Annex 12: Overview of secondary data review documentation

Category	Purpose	Quantity
Academic literature on the subject of policy-influencing	To identify relevant policy-influencing theories to be explored, tested and refined by the case study	**3 academic documents.**[251] ROMA: A Guide to Policy Engagement and Policy Influence by the Overseas Development Institute (ODI);[252] ODI's Working Paper on Monitoring and Evaluation of Policy Influence and Advocacy;[253] and Assessing Political Will for Anti-Corruption Efforts by Derick W. Brinkerhoff[254]
Project documents produced by Mercy Corps and BRACED KM. This group also includes a **conference paper**	To better understand the intervention context and policy-influencing activities of PROGRESS-X and use information about the activities to refine the policy-influencing theories identified by in academic literature	**12 project documents.** These include an MTR, FE Inception Report, ToC narrative, proposals for funding and quarterly progress reports submitted to KM. The context analysis was also informed by a **conference paper** titled Resilience and Pastoralism in Africa South of the Sahara, with a Particular Focus on the Horn of Africa and the Sahel, West Africa[255]
Project outputs delivered with the intention to influence policy in the areas of water governance, management of rangeland and NRM and to document those efforts	To learn more about the project outcomes, get a better understanding of the progress of policy-influencing activities and the extent to which evidence can be collected in the field and support some of the hypothesised CMOs with outcome-level evidence	**6 project deliverables**: Review of Wajir Water Policies, Wajir County Water Governance Study, Policy Brief on Improving the Governance of Rural Water Points in Wajir County, report and video from the P&P workshop and GIS flyover video

251 The academic documents were selected om a pool of literature on policy influencing provided by Ben Nemeth and Jen Leavy using criteria of relevance to the policy work under evaluation and usefulness for the evaluation approach applied.

252 Young, J., Shaxson, L., Jones, N., Hearn, S., Datta, A. and Cassidy, C., 2014. ROMA: A Guide to Policy Engagement and Policy Influence. ODI Research and Policy in Development.

253 Tsui, Hearn, S. and Young, J., 2014. Monitoring and Evaluation of Policy Influence and Advocacy. Working Paper 395. ODI.

254 Brinkerhoff, D. W. (2000). Assessing Political Will for AntiÐCorruption Efforts: An Analytic Framework. Public Administration and Development: The International Journal of Management Research and Practice 20(3): 239–252.

255 Little and McPeak, 2014.

BRACED aims to build the resilience of more than 5 million vulnerable people against climate extremes and disasters. It does so through a three year, UK Government funded programme, which supports 108 organisations, working in 15 consortiums, across 13 countries in East Africa, the Sahel and Southeast Asia. Uniquely, BRACED also has a Knowledge Manager consortium.

The Knowledge Manager consortium is led by the Overseas Development Institute and includes the Red Cross Red Crescent Climate Centre, the Asian Disaster Preparedness Centre, ENDA Energie, ITAD, Thompson Reuters Foundation and the University of Nairobi.

The BRACED Knowledge Manager generates evidence and learning on resilience and adaptation in partnership with the BRACED projects and the wider resilience community. It gathers robust evidence of what works to strengthen resilience to climate extremes and disasters, and initiates and supports processes to ensure that evidence is put into use in policy and programmes. The Knowledge Manager also fosters partnerships to amplify the impact of new evidence and learning, in order to significantly improve levels of resilience in poor and vulnerable countries and communities around the world.

This paper has been awarded with the BRACED Knowledge Manager's SILVER Accreditation. The purpose of Gold and Silver Accreditation is to set apart knowledge and evidence that significantly advances understanding of what it takes to build resilience to climate and disaster extremes. To be awarded, publications are reviewed by an Accreditation Board whose aim is to identify BRACED funded products that significantly advance knowledge, thinking or practice.

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