



**Intergovernmental Authority on Development**

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**Djibouti, Eritrea, Ethiopia, Kenya, Somalia, South Sudan, Sudan and Uganda**

# **IGAD Regional Disaster Resilience and Sustainability Platform**

*For*

*Coordinating and Monitoring the Implementation of the IGAD Initiative to  
End Drought Emergencies in the Horn of Africa*

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## **ABBREVIATIONS AND ACRONYMS**

COMESA	Common Market for East and Southern Africa
EAC	East African Community
EC	European Commission
EU	European Union
FAO	Food and Agriculture Organization
IGAD	Intergovernmental Authority for Development
INGOs	International Non-Governmental Organizations
NGOs	Non-Government Organizations
OIE	Organization for Control of Epizootics
TA	Technical Assistance
TOR	Terms of Reference
USAID	United States Agency for International Development
UN	United Nations

## Executive Summary

The ever decreasing interval between drought and famine events and their recurrent nature in the IGAD region and especially the recent (2010-2011) drought and famine situation that left over 13 million people in Djibouti, Ethiopia, Kenya and Somalia in need of food assistance have served to demonstrate the gravity of the inability of IGAD Member states to allocate the required resources to put in place adequate measures to enhance resilience of the affected communities. It is now generally accepted that there is a need for coordinated and sustained long term regional approach to addressing the situation through priority national and related regional disaster risk reduction and dryland development initiatives.

The famine rekindled discussions within and between the IGAD Secretariat, Member states, development and implementing partners, UN agencies and civil society on the need for a paradigm shift from emergency responses to regionally coordinated long term interventions aimed at enhancing drought resilience in target communities. The September 2011 Summit of IGAD and EAC Heads of State held in Nairobi, Kenya mandated IGAD to lead and coordinate the implementation of the initiative to end Drought Emergencies in the Horn of Africa.

This document presents the IGAD Regional Disaster Resilience and Sustainability Platform including the purpose, objectives, organizational structure and functions of the various units in the structure of the Platform and the institutional arrangements. The Platform brings together the partners and stakeholders including Member States (MS), IGAD Secretariat, the AU, other RECs, Development Partners, Implementing Partners and UN agencies, Civil Society and specialized research and training institutions, that will provide resources (human, financial and physical) for the Initiative and coordinate the implementation of identified priority regional, and related national, interventions/actions that create and/or enhance resilience against drought-related disasters.

The 3-tier platform comprising a General Assembly (GA) of all participating stakeholders, a 30-member Platform Steering Committee (PSC), and a Platform Coordinating Unit (PCU) is in the process of being established. The Platform Coordination Unit (PCU), that will be hosted by the IGAD Secretariat has two basic functions namely, knowledge management and coordinating the implementation of regional (and national) actions funded by MS and partners under the drought resilience initiative and knowledge management. Programme implementation remains the function of the MS governments at the national level and the IGAD Secretariat and its satellite units at the regional level. Implementation on the ground will primarily be undertaken through or in collaboration with the relevant MS training and research institutions, UN agencies, CGIAR, INGOs, NGOs, CBOs and the private firms.

## Introduction

Pastoralists and agro-pastoralists in the ASALs of the IGAD region face production and economic constraints that are exacerbated by vulnerability to climate extremes – drought and floods. A severe drought that persisted over most parts of the eastern sector of equatorial GHA since the last quarter of 2010 and through 2011 with far reaching socio-economic implications that include poor access to water and pasture, energy and food; famine; loss of livestock, life and property; mass migration and environmental refugees, among others triggered internal discussions within the IGAD Secretariat and Member states on the urgent need for a paradigm shift from emergency response to joint long term interventions aimed at creating drought disaster resilience.

The September 2011 IGAD Summit<sup>1</sup> noted that the Nairobi Action Plan should compliment and support medium and long-term efforts being undertaken by IGAD in conjunction with the African Development Bank Group to mitigate the effects of drought. The Summit pledged to allocate a significant portion of national revenue to fund dryland projects while reforming the system of emergency humanitarian response in the region to enhance resilience and promote long-term solutions. The Summit also undertook to support the Dry land Initiative that was launched by six Horn of Africa countries namely; Djibouti, Ethiopia, Kenya, Somalia, South Sudan and Uganda to promote integrated rural development. The Summit tasked IGAD to provide leadership of the shift from individual member state emergency response strategies to coordinated regional long term interventions aimed at creating drought resilience.

Participants at the consultative meetings organized by IGAD and AfDB<sup>2</sup> in Djibouti to discuss the livestock sector and the response to the prevailing (and recurrent) drought and famine situation in the IGAD region underscored the importance of a coordinated regional approach to address effects of climate change and risks within the IGAD region. The participants highlighted the need for IGAD and MS, to move the region from a “fire

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<sup>1</sup> IGAD summit of September 8<sup>th</sup>-9<sup>th</sup> September 2011 held in Nairobi, Kenya

<sup>2</sup> IGAD-AfDB consultative meetings – September 14<sup>th</sup> -15<sup>th</sup> 2011 and November 15<sup>th</sup> -16<sup>th</sup> 2011, Djibouti

brigade approach to drought management” to an approach based on disaster risk reduction for sustainable development. The participants recommended that IGAD forms a “Regional Disaster Resilience and Sustainability Platform”. According to the participants the Platform, would play a key role in mobilizing resources (human, physical and financial) and coordinating the implementation of priority regional disaster risk reduction and dryland development projects. It was expected that the Platform would serve to enhance the resilience of the pastoralists and agro-pastoral in the ASALs in the IGAD region rather than wait till drought escalates to famine. Such an outcome would be in line with the regional leaders’ commitment to end drought emergencies in the Horn.

## Background

The IGAD region is endowed with dryland crops, livestock and natural resources and traditional markets in the region and the Middle East for non-wood forest products and livestock and livestock products. With an area of 5.2 million sq. Km, an estimated 200 million people, a livestock population of over 336 million ruminants and an even larger population of wildlife and exotic plants, the IGAD region could easily be the engine of economic development in Africa. Despite the great potential, however, IGAD member states are struggling to cope with recurrent floods, droughts and famine that have exacerbated poverty and environmental degradation in the region’s vast arid and semi-arid lands (ASALs). Livestock, rain-fed crop agriculture and exploitation of dryland products (non-wood forest products), the main products in the ASALs, continue to bear the brunt of climate extremes (drought and floods), poor resource allocation by the public sector and resource conflict.

One of the major development challenges in IGAD Member States is allocating adequate financial, human and physical resources to cater for the ever increasing priority needs. The 2010-2011 famine in the region affecting some 13 million people in Djibouti, Ethiopia, Kenya, and Somalia demonstrates the grave consequence of the inability to allocate adequate resources needed to put in place adequate measures to enhance resilience of the vulnerable communities. In addition the cyclic famine re-emphasizes the need to have

long term regional approaches to addressing the famine situation through implementation of strategic priority regional and national dryland development initiatives. The recurrent food and humanitarian crises in the Horn of Africa are almost becoming a cliché to many people making the resource-rich region have some of the world's highest levels of malnutrition.

In the past individual member state governments, development partners, UN agencies, NGOs and other agencies have mounted campaigns to reduce drought emergencies. These efforts, however, have not achieved long term improvement in resource stability, food security and quality of life. It is, thus evidently clear that to sustainably generate wealth and create employment, there is an urgent need for a paradigm shift in the region's response to climate extremes - from emergency response to drought and floods to enhancing the resilience of vulnerable pastoral and agro-pastoral communities in the IGAD region. The shift would ensure that drought and/or floods do not become emergencies next time round. This is more so now that there is consensus that the guiding principle of any development strategies targeting the ASALs in the IGAD region should be people-centred - their welfare and livelihoods. In line with this principle the IGAD Secretariat, member states, development and implementing partners, UN agencies and other stakeholders meeting in Djibouti in November 2011 recommended that IGAD establishes a multi-sectoral and multidisciplinary regional Disaster Resilience and Sustainability Platform to foster coordinated resource mobilization and inclusive design and implementation of regional dryland emergency and development programmes alongside evidence-based participatory development of supportive policies.

### **The Platform**

The IGAD Secretariat, IGAD Member States and such number and composition<sup>3</sup> of partners as will be determined by IGAD Secretariat from time to time **will constitute the IGAD institution** referred to as the **IGAD Regional Disaster Resilience and Sustainability Platform, hereafter referred to as "the Regional Platform"**.

The IGAD Regional Platform is to provide a mechanism for coordinated and harmonised implementation of development partner funded actions at the national and regional

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<sup>3</sup> This proviso is intended to allow IGAD Secretariat to admit more members to the Platform without necessarily co-opting them into the Platform Steering Committee (which will initially have 30 members).

levels with the aim of sustainably enhancing disaster resilience of vulnerable communities especially those in the pastoral and agro-pastoral areas to end drought emergencies in the Horn of Africa.

The **specific objectives** of the IGAD Regional Platform are to:

- a. coordinate the identification, prioritization and elaboration of national and regional interventions aimed at building drought resilience especially in the IGAD arid and semi-arid lands (ASALs);
- b. mobilize resources (human, physical and financial) to address the identified priority interventions and
- c. to collect, analyse and disseminate/publish information on the implementation of the interventions at national and regional levels.

## **Platform Structure and Composition**

There are five (5) categories of Platform members namely:-

- i. Member States, AU, RECs;
- ii. Funding Development Partners and, Implementing Partners and UN Agencies;
- iii. Technical Partners including National and International training and research organizations; and
- iv. Private Sector Actors including the farmers and trader associations
- v. Civil Society Partners: National and regional civil society organisations that play an active role in dryland development, pastoralism and disaster risk management in IGAD Member States.

The Platform has three main organs that is embedded with the IGAD structure (see Platform Organogramme):-

- i. All Platform Members - General Assembly
- ii. Platform Steering Committee (PSC)
- iii. Programme Coordination Unit

A summary of the functions of the main organs of the Regional Platform is provided in Table 1.



The Platform meets twice a year as a General Assembly (GA) of all its members chaired by the country chairing IGAD meetings. The GA makes recommendations to the IGAD Executive Secretary who may seek Council guidance on their implementation. The two meetings should be piggy-backed IGAD ministerial meetings or Summits. The GA gives instructions and general directions to the PSC. The PSC and the IGAD ES work together to implement the decisions of the General Assembly and the different regional Ministerial fora. The IGAD Executive Secretary will handle applications to join the Regional Platform.

Provision is made for establishment of a Multi-donor Trust Fund and/or Facility within the purview of the Executive Secretary.

The Regional PSC Committee will initially<sup>4</sup> have 30 members including:-

- i. IGAD Secretariat (6)
- ii. Member States (8)
- iii. AUC and NEPAD (1)
- iv. EAC and COMESA (2)
- v. IGAD Business Forum (2)
- vi. IGAD NGO Forum (1)
- vii. Development (6) and Implementing partners (2)
- viii. Technical partners (2)
- ix. Regional Platform Coordination Unit (Ex-officio, Secretary).

The Chair of the PSC will be the IGAD ES, with the Director of Agriculture and Environment Division or his/her appointee/nominee as the alternate chair (refer to organogramme - Figures 1). The participation of national level PSCs in the coordination meetings of the Regional PSC ensures that there is integration and harmony between regional and national programme implementation. The advantage of having a big Steering Committee is that sub-committees can be formed to handle such issues as joint programming and funding.

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<sup>4</sup> This proviso allows the ES IGAD to adjust the numbers as appropriate to accommodate changing circumstances

The Platform Coordination Unit (PCU) will comprise of a Platform Manager, Operations officer, Technical Assistants (TAs) and service units of admin and finance, Procurement, M and E, Communication, Socio-economic and programme/project assistants. The responsibilities of some key officers of the Platform Management will include the following:-

- i. The Platform manager will be in-charge of day to day operations of the Platform including financial transactions. He/she will be responsible for maintaining relations with all partners including MS, development and implementing partners and other stakeholders.
- ii. Two Senior Officers, who will be in-charge of programming,
- iii. Admin, Finance and Procurement Unit - Will be tasked with Platform specific activities.
- iv. Additional Technical Assistant(s) may be provided to support the PCU in joint programme programming. The experts will be recruited for fixed terms using terms of reference (TORs) designed to meet specific needs and tasks.. Technical assistant(s) will be recruited and contracted through open competitive bids or offered/availed by partners as in kind contribution. The latter TAs must meet the TORs drawn up by the Platform Management/PSC.
- v. Communications expert - The communication expert will develop and implement the Platform's communication strategy, undertake knowledge management, develop Platform publications, develop and maintain the Platform's website.

## **Planning and Funding for the Platform**

### ***a. Funding***

- i. Voluntary contributions to the platform will be used to cover activities identified in the Platform Annual and Three-Year Action Plans and core functions such as expenditures on operations, governance and travel.
- ii. Financial and other resources that support activities recognized as part of the Platform will be provided by Platform members and partners, including bilateral and multilateral development partners, member states, UN agencies, research and knowledge dissemination organizations and international, continental, regional and national institutions.

*b. Annual and multi-year action plans*

The first Three-Year Action Plan will be prepared following the strategic direction given by the IGAD Policy Organs, IGAD Secretariat and PSC. Subsequent multi-year action plans will be prepared by the Platform Coordinator and approved by the PSC. The approved Three Year Action Plan will be broken down into Annual Program of Activities which include approved regional priority activities.

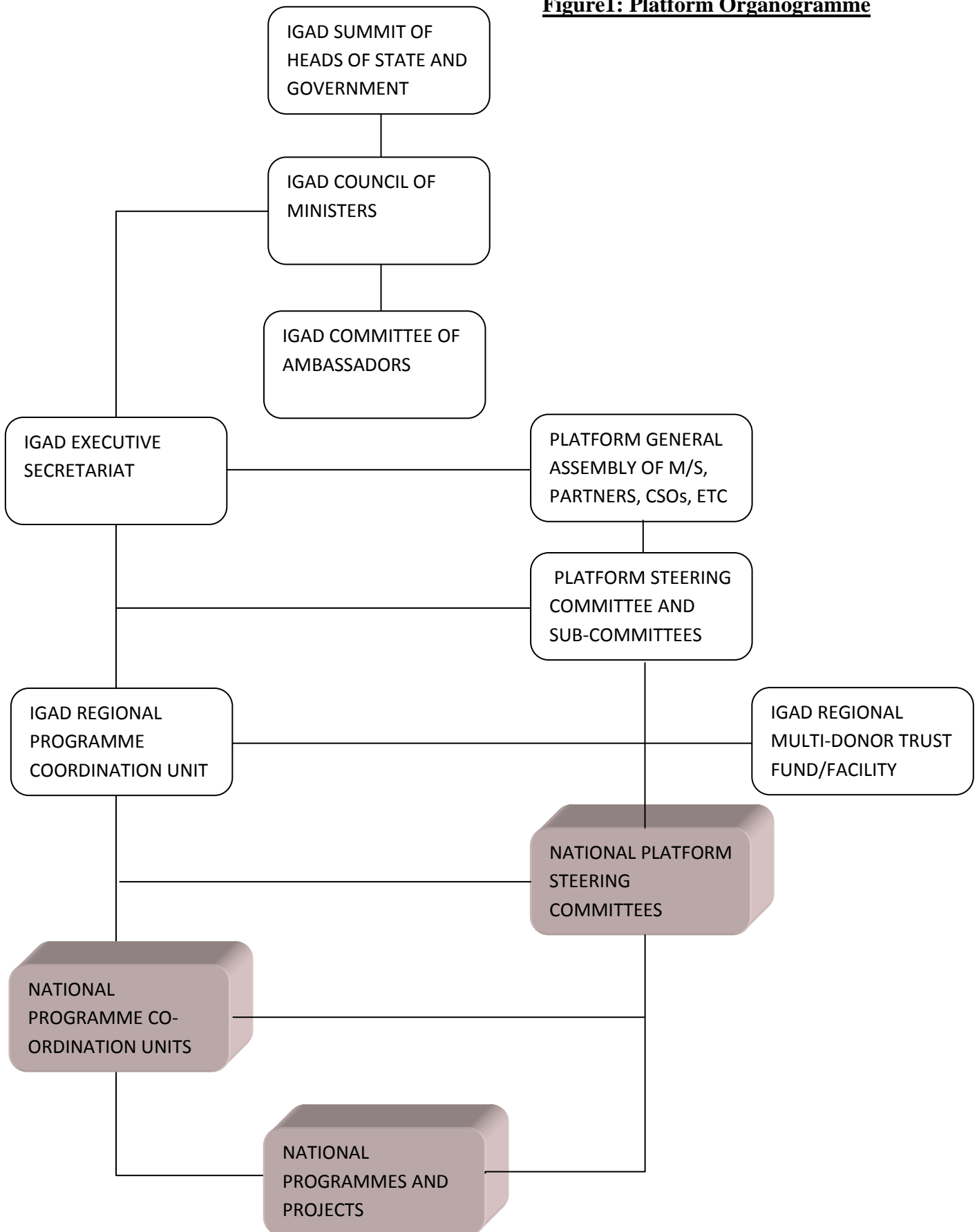
*c. Budget guidelines*

- i. The budget of activities to be undertaken by the Platform Coordination Unit will be prepared and used in compliance with the accounting principles and procedures of IGAD. The Budget will, as a rule, reflect the full costs of carrying out activities, including salaries, benefits, consultants' fees, travel and other costs.
- ii. Annual Financial Plan which includes all proposed funding sources for Platform activities, will be submitted annually to the PSC for approval and subsequently distributed to all stakeholders.

**Table 1. Elements of the IGAD Regional Disaster and Sustainability Platform**

ORGAN	COMPOSITION	HEAD/LEADER	REPORTS TO	FUNCTIONS	MEETINGS
General Assembly (GA)	All eligible stakeholders (not more than 100)	Current Chairing country of IGAD	IGAD Executive Secretary	Gives general directions to PSC and PCU. Mobilises Resources. Appoints co-chair for PSC.	Twice a year preceded by PSC meeting
Platform Steering Committee (PSC)	All member states (8), IGAD Sec (6), AU/NEPAD (2), RECs (2), NGO& IBF (2), Donors (8), Tech Partners (2).	Chaired by ES or his/her appointee	General Assembly	Manage PCU, ensure programme coordination, synchronization, alignment and funding -- may create sub-committees on joint programming and on funding; Liaise with national PSCs; Recruit PCU staff and M&E consultants	Four times a year Hold (virtual) monthly meetings with national PCUs
Platform Coordination Unit (PCU)	Up to 8 tech staff	PCU Coordinator hosted by IGAD Secretariat	Reports to PSC and supervised/ overseen by IGAD Executive Secretary	Implement decisions of PSC and GA; Coordinate with MDTF/F; Service meetings of GA and PSC; Undertake knowledge management; undertake rigorous programme and donor coordination; prepare annual work plans and budgets; produce publications	Weekly internal management meetings; Monthly virtual meetings with national project coordinators
Multi-donor Trust Fund/ Facility (MDTF)	Fund management staff	Manager	PSC with ES as supervisor	Mobilise resources (funds, expertise, etc); Manage the fund/facility	Like PCU
IGAD Secretariat	Technical divisions "implementing" regional software programmes	Directors	Executive Secretary, whose office does M&E	Plan and "implement" regional software programmes/interventions	Weekly for projects Monthly with PCU Six-monthly to prepare for GA
National Platform Steering Committee (NPSC)	All participating sector ministries and all participating partner institutions	Lead/ chairing Ministry	Permanent Secretary (or equivalent) of Lead Ministry	Ensure effective management and coordination of projects implemented under the Drought resilience initiative Liaise with and participate in PSC meetings.	Quarterly preceding PSC meetings
National Project Co-ordination Unit (NPCU)	As specified in project document	Coordinator of the NPCU	Permanent Secretary with oversight by NPSC	Like PCU. Implement decisions of NPSC and directives of PS; Undertake knowledge management; ensure coordination, harmonization, alignment of HoA Initiative national projects; Plan/budget for the Unit	Weekly; Monthly preceding virtual meeting PCU at the IGAD Secretariat

**Figure1: Platform Organogramme**



## **Annex 1: IGAD Regional DISASTER RESILIENCE AND SUSTAINABILITY platform Rules of Procedures**

### **GENERAL**

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#### **RULE 1: DEFINITIONS**

In these rules:

- IGAD Secretariat means the Secretariat in Djibouti established by the Member States as one of the four hierarchical policy organs of IGAD.
- IGAD Region means the geographical location which the IGAD Member States occupy.
- The IGAD Regional Platform or IGAD Regional Disaster Resilience and Sustainability Platform means an institution of IGAD established to facilitate, support and coordinate the identification, prioritization and alignment of national regional actions designed to enhance resilience in vulnerable communities in the ASALs of the IGAD region.
- IBF means Intergovernmental Authority on Development (IGAD) Business Forum comprising of members drawn from the National Chambers of Commerce and Industry, and accredited Business Associations in the eight IGAD Member States.
- INGO means Intergovernmental Authority on Development (IGAD) Non Governmental Organizations' forum comprising members drawn from the national, regional and international NGOs in the eight IGAD Member States.
- Member States means the countries that are members of IGAD, namely; Djibouti, Eritrea, Ethiopia, Kenya, Somalia, South Sudan, Sudan and Uganda.
- General Assembly - means the meeting of all the members of the Platform.
- Regional Platform Coordination Unit means hosted by IGAD Secretariat that handles the day to day operations and technical issues of Platform.

#### **Rule 2 - REPRESENTATION**

The IGAD Secretariat, IGAD Member States and such number and composition<sup>5</sup> of partners as will be determined by IGAD Secretariat from time to time will together

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<sup>5</sup> This proviso is intended to allow IGAD Secretariat to admit more members to the Platform without necessarily co-opting them into the Platform Advisory Committee (which will initially have 30 members).

constitute the IGAD Regional Disaster Resilience and Sustainability Platform, hereafter referred to as “the Regional Platform”. The Regional Platform sessions shall include:-

**a. The Regional Platform General Assembly**

The Regional Platform General Assembly, which will be chaired by the IGAD ES or his/her appointee, will meet on the **last Wednesday of October each year** and will be attended by representatives of the following institutions:-

- *AU Institutions and MS*: IGAD, IGAD MS, EAC, COMESA and AU;
- *Development Members/Partners*: Development Partners, Implementing Partners and UN Agencies;
- *Technical Members/Partners*: National and International training and research organizations;
- *Private sector* including the farmers, pastoralists and trader associations
- *Civil Society Partners*: National and regional civil society organisations that play an active role in dryland development, pastoralism and disaster risk management in IGAD MS

Each institution represented at a meeting of the General Assembly will have one vote.

**b. The Regional Platform Steering Committee**

IGAD Secretariat, IGAD Member States and a selected number of partners, as determined by the ES IGAD, will constitute the Regional Platform Steering Committee (PSC). The PSC will meet at least 4 times a year (**on the last Thursday of Jan, April, June and October each year**) in a manner and form (physical or virtual) as determined by the ES IGAD to be most cost effective. The members of PSC shall provide services *Pro-bono*. The Regional Platform Steering Committee will initially<sup>6</sup> have 30 members including:-

- x. IGAD Secretariat (6)
- xi. Member States (8)
- xii. AUC and NEPAD (1)
- xiii. EAC and COMESA (2)
- xiv. IGAD Business Forum (2)
- xv. IGAD NGO Forum (1)

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<sup>6</sup> This proviso allows the ES IGAD to adjust the numbers as appropriate to accommodate changing circumstances

xvi. Development (6) and implementing partners (2)

xvii. Technical partners (2)

The Regional Platform Coordination Unit (Ex-officio, Secretary)

### **Rule 3 - PURPOSE AND OBJECTIVE**

The Regional Platform shall, *inter-alia*, have the following purpose and objectives:-

The **purpose** of the proposed institution, the IGAD Regional Platform, is to sustainably enhance disaster resilience of vulnerable communities especially those in the pastoral and agro-pastoral areas.

The **objectives** of the IGAD Regional Platform are to:-

- a. facilitate and coordinate the identification and prioritization of regional interventions aimed at enhancing resilience especially in the IGAD arid and semi-arid lands (ASALs);
- b. mobilize resources (human, physical and financial) to address the identified interventions and
- c. monitor the implementation of the interventions and evaluate the outputs/outcomes against agreed indicators.

### **RULE 4 - TERMS OF REFERENCE AND FUNCTIONS**

#### **a. The Terms of reference for the Regional Platform**

The Regional Platform will principally have coordinating and supervision functions and adopt a three pronged approach to coordination of its functions/activities including but not limited to:-

##### ***i. Knowledge management and information sharing for decision making***

- Accessing and disseminating global knowledge related to the Platform activities to the stakeholders while providing mechanisms for sharing common institutional and implementation strategies for enhancing sustainable resilience against



disasters and thus ensure complementarity with IGAD strategies and national priorities of Member States.

- Facilitate evidence based policy making process and advocacy to enhance resilience of target communities
- Host and facilitate gatherings, meetings, workshops and conferences in support of the Platform's stated objectives.

*ii. Joint programming*

- Facilitate and promote interactions between Platform partners to harmonize and improve coordination of identification, prioritization, alignment of actions aimed at enhancing resilience of communities in IGAD ASALs, mobilizing appropriate resources and forging common understanding and joint ownership of agreed priority and actions.
- Based on identified priority areas of intervention, facilitate joint design and implementation and monitoring of emergency and development programmes and projects
- Support and facilitate Member States to establish national platforms to function alongside the regional platform to facilitate dialogue on on-going, dryland development initiatives, among others, at the national and regional levels.

*iii. Direct supervision of interventions through continuous internal and short term external monitoring and evaluation missions*

- Provide strategic guidance for the coordinated, harmonised and aligned planning and, implementation of programmes at national and regional levels.
- Provide leadership in the development and standardization of continuous and external monitoring and evaluation of regional development initiatives.

**b. Functions of the General Assembly**

The functions of the General Assembly shall be but not limited to:-

- i. Provide guidance and policies for operations of the Platform
- ii. Support and facilitate the Regional Platform Steering Committee to mobilize resources
- iii. Receive progress reports of the Regional Platform

### c. **Functions of the Regional Platform Steering Committee**

The functions of the Regional Platform Steering Committee shall be but not limited to the following:-

- i. Liaising with various development and implementing partners including Member states to identify, prioritize and align areas of intervention at regional and mobilizing resources (human, financial and physical) for the proposed interventions and monitoring the subsequent interventions
- ii. Coordinate actions at regional and member state levels including supporting Monitoring and Evaluation missions and socio-economic and conflict analysis.
- iii. Approving [endorsing]
  - the selection of organizations/service providers to be tasked with implementing the Platform's activities and monitoring their performance.
  - the Three-Year Action Plans, the annual Program of Activities and the associated budget
  - Platform M and E reports
- iv. Guiding and orienting the platform management, programming, communication strategy and monitoring and evaluation strategy.
- v. Amend and adopt and its own rules of procedure

### d. **The functions of the Regional Platform Coordination Unit**

The functions of the Regional Platform Coordination Unit shall be but not limited to the following:-

#### *i. Day to day operations and joint programming and*

- Manage the day to day operations of the Platform Communication and liaison with development and implementing partners, MS and other stakeholders
- Develop the multi-Year Action Plan and the annual Program of Activities including a provisional budget to implement the Platform's strategy.
- Prepare financial and technical reports on disbursements and activities at every PSC meeting or at six-monthly intervals;
- Support the Executive Secretary to develop the agenda and manage all PSC and Platform meetings

- Propose lead organizations responsible for implementing the Platform's activities approval by PSC.
- Undertake other tasks as directed by the ES, PSC and/or the General Assembly

*ii. Knowledge management and information sharing*

- Knowledge management including documenting and sharing the impact of the Platform through ex-post assessment of selected activities, best practices and lessons learnt. The team will organize, through appropriate means, a broad dissemination of lessons learnt and best practices from its activities and other relevant forms of knowledge at the General Assembly.
- Ensure wide dissemination of Platform information relating to progress and status of drought resilience attained.
- Install and use modern tools for tracking progress of implementation of Platform programmes and projects.
- Ensure that "Intellectual property rights" in any products developed with funding from the Platform are retained by the Platform and administered by IGAD. In addition ensure that products developed as part of the Platform activities and initiatives are widely and publicly available and that non-exclusive rights to exploit the related intellectual property rights are easily granted and not unduly withheld.

*iii. Supervision of Regional Platform interventions*

- Establish standardized continuous M and E system with built-in programme adjustment as need arises
- Institutionalize programme and financial M and E systems in all Platform interventions/actions

**RULE 5 - VENUE AND FREQUENCY OF MEETINGS**

- a. The General Assembly meeting of Regional Platform shall be held twice a year back to back with PSC meetings on the **last Wednesday of October** in any of the IGAD Member States on a rotational basis or by invitation or both.

- b. The Regional Platform Steering Committee (PSC) will meet at least 4 times a year (**on the last Thursday of Jan, April, June and October each year**) in one of the Member States and in a manner and form (physical or virtual) as determined by the ES IGAD.

#### **RULE 6 - NOTICE AND QUORUM OF MEETINGS**

- i. Notices, with agendas calling for meetings of the General Assembly shall be circulated at least 21 days prior to the event while the dates for the Regional Platform Steering committee are fixed in these rules but may be amended by the PSC or General Assembly.
- ii. The quorum for meetings shall be 50% + 1 of all the voting Members attending the meeting.

#### **RULE 7 - AGENDA OF MEETINGS**

- i. The General Assembly (GA) shall adopt its agenda at the opening of each Session while the agenda for the PSC will be developed by the Platform Coordination Unit (PCU) under the direction of the IGAD ES or his/her appointee.
- ii. Items for inclusion in the Agenda shall be submitted to the PCU with all relevant documentations at least 14 days prior to the GA or PSC session.
- iii. Urgent matters may, however, be brought before the PCU and/or ES for consideration before the opening of the meeting.

#### **RULE 8 - WORKING LANGUAGES**

The working languages of the Regional Platform will be English and French.

#### **RULE 9 - RECORD KEEPING**

Rapporteur at all GA, PSC and technical meetings of the Regional Platform shall be the PCU.

#### **RULE 10 - DUTIES OF THE CHAIRPERSON**

The Chairperson shall:

- Convene the sessions of the Regional PSC and GA,
- Guide the proceedings
- Submit to a vote matters under discussion and announce the results of the vote taken;

- Submit for approval the records of the sessions;

#### **RULE 11 - MAJORITY REQUIRED**

- i. The GA and PSC shall make maximum effort to take all the decisions by consensus. If, however, consensus cannot be reached, decisions will be made based on a simple majority of those attending.
- ii. Questions of procedures shall require a simple majority of the members of the GA or PSC.
- iii. Whether or not a question is one of procedure shall also be determined by a simple majority.

#### **RULE 12 - DECISIONS OF THE GENERAL ASSEMBLY**

- i. The texts of all proposed decisions shall be submitted in writing to the GA for adoption.
- ii. The original mover of a proposed decision or amendment may, prior to being submitted to a vote, withdraw the decision or amendment. Any other member may, however, reintroduce the proposed decision or amendment that has been withdrawn.

#### **RULE 13 - POINT OF ORDER AT A SESSION OF THE GENERAL ASSEMBLY**

- i. During deliberations on any matter at a GA session, a Member may raise a point of order. The Chairperson, in accordance with these Rules, shall immediately decide on the point of order.
- ii. The member may appeal against the ruling of the Chairperson. The ruling shall immediately be put to a vote and decided upon by simple majority.

#### **RULE 14 - LIST OF SPEAKERS AND USE OF FLOOR AT A SESSION OF THE GENERAL ASSEMBLY**

- i. The Chairperson shall, subject to Rule 16, during the debate, grant the use of the floor in the order in which the speakers indicate their intentions.
- ii. A delegate shall not have the floor without the consent of the Chairperson.
- iii. The Chairperson may, during the debate:-
  - read out the list of speakers and declare the list closed;

- call to order any speaker whose statement deviates from the issue under discussion;
  - accord the right of reply to any participant where, in the Chairperson's opinion, a statement made after the list is closed justifies the right of reply; and,
  - limit the time allowed to each speaker irrespective of the issue under discussion, subject to sub rule iv herebelow.
- iv. The Chairperson may, on procedural questions, limit each intervention to a maximum of five (5) minutes.

#### **RULE 15 - CLOSURE OF DEBATE AT A SESSION OF THE GENERAL ASSEMBLY**

When a matter has been sufficiently discussed, a member may move for the closure of the debate on the item under discussion. In addition to the proposer of the motion, two other members may briefly speak in favour of and two others against such motion. The Chairperson shall immediately thereafter put the motion to a vote.

#### **RULE 16 - ADJOURNMENT OF DEBATE AT A SESSION OF THE GENERAL ASSEMBLY**

During the discussion of any item, a member may move for adjournment of the debate on the item under discussion. In addition to the proposer of the motion, one member may speak in favour of and one against the motion. The Chairperson shall immediately thereafter put the motion to a vote.

#### **RULE 17 - SUSPENSION OR ADJOURNMENT OF THE MEETING**

During the discussion of any matter, a member may move for the suspension or adjournment of the meeting. No discussion on such motion shall be permitted. The Chairperson shall immediately put such motion to a vote.

#### **RULE 18 - ORDER OF PROCEDURAL MOTIONS AT A SESSION OF THE GENERAL ASSEMBLY**

Subject to Rule 16, the following motions shall have precedence in the order listed below, over all other proposals or motions before the meeting:-

- to suspend the meeting;
- to adjourn the meeting;

- to adjourn the debate on the item under discussion;
- to close the debate on the item under discussion.

#### **RULE 19 - IMPLEMENTATION**

The GA and PSC shall lay down guidelines and supplementary measures for the implementation of these Rules.

#### **RULE 20 - AMENDMENTS**

Members of GA and PSC may propose amendments to these Rules and submit the proposed amendments to the IGAD Secretariat at least 21 days before the meetings.

#### **RULE 21 - ENTRY INTO FORCE**

These Rules as approved by the first General Assembly of the Regional Platform on the (day, month and year) in (city, country), shall enter into force on this (date, month and year).

## Annex 2: Conflict of interest

### a. Definition

- i. The concept of “conflict of interest” refers to possible unethical outcomes that may occur when PSC of the Regional Platform PSC members are involved in making decisions that can directly or indirectly affect their own or their institution’s financial interests or those of close associates, including closely connected organizations.
- ii. A conflict can arise when a PSC member is responsible for mobilizing resources for the PSC of the Regional Platform while his/her own organization is in competition.
- iii. A conflict of interest can also arise when a PSC member is responsible for reviewing the performance of an individual or organization for whose performance the member or his/her institution is at least partially responsible.

### b. Categories of conflicts of interest:

#### i. *Pecuniary (financial) interests*

- A pecuniary interest refers to a direct, indirect or deemed financial interest that a member or his/her organization holds in relation to decisions or actions taken by the PSC of the Regional Platform.
- A pecuniary interest does not have to be a cash interest but can refer to monetary benefits received as an increase in asset value. In the present case, pecuniary interest extends to the disbursement of, access to, or use of any funds, either directly or indirectly, related to PSC of the Regional Platform action on national and international sources of funding.

#### ii. *Programmatic interests*

This refers to direct benefits accruing to a special programme or department in a public sector, civil society or private sector organization by virtue of promoting a proposal or a level of funding for a proposal, or recommendations regarding the utilization of awards, or the monitoring of project performance that disregards the goals of IGAD or the Member State interests.

#### iii. *Administrative interests*



This refers to specific policy positions originating in the Regional Platform members' organization that might influence decisions regarding the approval of proposals, levels of funding, utilization of awards, or monitoring of performance.

**c. Possible conflicts of interest include:**

- i. Representatives of organisations who may feel obligated to support the position of a funding agency, or who may be hesitant to express disagreement with a funding agency because of existing or potential financial support.
- ii. Individuals who are nominated to the PSC of the Regional Platform in their capacity as a member of an NGO, service or faith-based organization, and who are also employees of an agent contracted to implement interventions by the Regional or National Platforms to implement interventions/activities,
- iii. Representatives of organizations who have not and/or do not benefit from funding through the PSC of the Regional Platform, and who for that reason, may not fully engage with the PSC of the Regional Platform.

**d. Disclosure protocols:**

- i. All members and alternates must declare any individual and/or organizational interest that may or will arise in the course of undertaking their duties on behalf of the PSC of the Regional Platform. The magnitude or extent of the interest is irrelevant to the determination as to whether the interest exists.
- ii. As long as the member declares his/her interest in a particular issue or organization to the PSC of the Regional Platform in advance of agenda discussions, there is no conflict of interest.
- iii. All disclosures of interest must be explicitly noted in the minutes of meetings, and should be reiterated in the event that it directly relates to a PSC of the Regional Platform action under discussion. Failure to disclose an interest constitutes a conflict and a breach of duty.
- iv. The following protocol applies to members declaring interests:-
  - Disclosure of the interest is made as soon as possible after the commencement of the meeting.
  - The member withdraws from his/her place, leaving the room in which the meeting is held while the matter is being considered.

- The member refrains from taking part in the discussion of the matter and from voting on any question relating to the matter.
- The member refrains from attempting in any way, before, during or after the meeting, to influence the decision of the PSC of the Regional Platform with respect to the matter.
- The constituency alternate member takes the place of the representative, the latter having been disqualified from taking part in any further deliberations of the matter in which he/she has a conflict of interest.

**e. Actions/resolutions:**

*i. Suspected conflict of interest*

- If a suspected conflict of interest is reported, the Chairperson of the PSC of the Regional Platform will review the matter to determine whether the member has failed to declare an interest, and is in breach of his/her responsibility. If the matter is deemed substantive, the organisation will be immediately requested to withdraw the member in question.
- In case the issue is related to the Regional Platform Coordination Unit is the grounds for conflict of interest, the Chairperson will review the matter and take action as described above.

*ii. Preventing conflicts of interest*

- Members of the PSC of the Regional Platform will seek to reduce the possibility of conflicts of interest occurring in the course of their work on the PSC of the Regional Platform.
- The Chairperson may call for an ad hoc Ethics Committee to assist in identifying, investigating and resolving potential conflicts of interest. The mandate of this committee would include the structure, processes and activities of the PSC
- This committee could have a representative from each of the constituencies on the PSC, and could conduct a survey of potential conflicts of interest and advise on how to resolve such conflicts.

*iii. Mitigating Chairperson/PR conflict of interest*

In general, the person chairing the meeting of the PSC will not have a vote on the PSC (with the exception of a tie-breaking vote), and will not participate in decisions related to PR performance.

**f. A conflict of interest clause:**

- i. This will be incorporated in all contracts and agreements governing expenditure of IGAD Regional and National Platform monies. The clause will allow reference of potential or suspected conflicts to the Ethics Committee. Any conflicts that cannot be satisfactorily resolved will lead to the suspension of the relevant contract or agreement.
- ii. Upon accepting the membership or alternate membership the PSC of the Regional Platform Conflict of Interest Declaration must be signed.
- iii. If a PSC member fails to disclose an interest and a financial benefit has occurred either directly or indirectly, the PSC will take all reasonable measures to revoke any benefit. In addition, the PSC member and his/her associates shall be reported to the relevant organisation they represent for further investigation and disciplinary action.
- iv. The PSC shall make every effort to ensure that its head of the resource mobilization and allocation are not from a constituency or organisation that benefits from Platform financing. If this is not possible, the PSC shall put in place and make public a written conflict of interest plan to reduce to a minimum this inherent conflict of interest.

This plan should be signed by the person involved. As necessary, and in particular where the PSC is determining which organizations shall benefit from implementing activities under the Regional Platform, members and alternates shall declare where they have a potential conflict of interest, and shall as necessary sign a conflict of interest certification in this regard, in which the conflict of interest is indicated.

When the PSC of the Regional Platform publishes its list of PSC members and their organizations, it will indicate for each organization whether or not it benefits from Platform finances.

### **Annex 3: PSC Conflict of Interest Declaration:**

I, (name), agree by my signature below, to comply with the conflict of interest guidelines for the IGAD Regional Disaster Resilience and Sustainability Platform.

As a PSC member, I shall not discuss, advocate, or vote on any matter in which I have an interest which reasonably might appear to be in conflict with the concept of fairness in dealing with Regional Platform business.

A conflict of interest or a potential conflict occurs if my organization or I have a separate, private, or monetary interest, either direct or indirect, in any issue or transaction under consideration. If I violate this provision, I will be subject to removal from the PSC and may face further disciplinary action.

If I believe I have a conflict or potential conflict of interest on a particular issue, then I will state this belief to the other members of the PSC during a meeting. I will state the nature of the conflict, acknowledging that I have a separate, private, or monetary interest, either direct or indirect, in the issue or transaction under consideration. I will then excuse myself from considering and voting on the matter.

In cases where I declare a conflict or potential conflict of interest, I shall excuse myself from the PSC meeting until all discussion, consideration, and voting is completed on the matter in question.

If I have any questions or need assistance regarding the interpretation of the Platform Rules of Procedure or other conflict of interest matters, I will contact the PSC or IGAD Secretariat for assistance with questions and interpretations. PSC or IGAD Secretariat will provide a recommendation on whether or not I should excuse myself from voting.

I may request a response in writing.

PSC of the Regional Platform Member Name –

Member Signature –

Date

Witness Name -

Witness Signature -

Date

**2. PSC Conflict of Interest Declaration:**

I, (name), agree by my signature below, to comply with the conflict of interest guidelines for the IGAD Regional Disaster Resilience and Sustainability Platform. As PSC member, I have an interest in ..... which will be discussed on..... in accordance with the agenda of .....

I will excuse myself from the meeting about which I acknowledge a conflict of interest or potential conflict of interest until all discussion, consideration, and voting is completed on the matter in question.

If I have any questions or need assistance regarding the interpretation of the Rules of Procedure or other conflict of interest matters, I will contact the PSC or the IGAD Secretariat, to assist me with questions and interpretations and will provide a recommendation on whether or not I should excuse myself from voting. I may request a response in writing.

PSC Member Name -

Member Signature - Date

Witness Name -

Witness Signature -

Date

### Annex 3: Risk Analysis

Risks	Mitigation strategy	Assumptions
<b>Fluid security situation in the programme areas</b>	Significant increase in the level of tension in the targeted area will undermine the capacity to operate efficiently and will therefore decrease the level of expectations on this project.	<b>Security situation in the programme areas remains stable</b>
<b>Delayed access to funding through the MDTF facility arrangement</b>	The procedures and the process of accessing funds needs to be clearly defined and established (signed off) from the outset. Development partners not willing to use the facility or JFA can funds components of the programme directly.	<b>Funds will be available in a timely manner</b>
<b>Limited access to some of the project area</b>	Partnership with MS organs and structures and local organizations will be used to enhance quality of monitoring, with third party monitoring where deemed to be appropriate.	<b>Platform staff and partners have access to project areas</b>
<b>Community dynamics limiting labour mobility</b>	The community dynamics in most ASALs in the IGAD region including Djibouti, Ethiopia, Northern Kenya, South Sudan, Sudan, Somalia and North Eastern Uganda, represents a critical risk to consider when developing new or existing businesses. Programming will of necessity be inclusive and conflict and gender sensitive and responsive.	<b>Programme implementation is not hampered by clan dynamics</b>
<b>Key actors in selected interventions not participating in projects</b>	Participation of all or majority of actors in platform interventions is essential for success of the programmes. Programming will be based on accurate and up to date information and data and target community involvement to enable all or majority of actors access programme benefits.	<b>Key actors in selected selected interventions are willing to participate in the project.</b>