

CROSS-BORDER ANALYSIS AND MAPPING

FINAL REPORT

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**to the European Union Emergency Trust Fund for Stability and Addressing the
Root Causes of Irregular Migration and Displaced Persons in Africa (EUTF),
Horn of Africa Window**



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1. Executive Summary

The main purpose of this Cross Border Study is to provide a mapping and analysis exercise of four cross border areas linking Kenya, Ethiopia, Somalia, Sudan and Eritrea. The field research took place during July and August 2016, and involved eight researchers in four cluster areas:

- Cluster 1: Southwest Ethiopia-Northwest Kenya
- Cluster 2: Kenya-Somalia-Ethiopia
- Cluster 3: Western Ethiopia-East Sudan
- Cluster 4: Eastern Sudan-Northwest Ethiopia-Eritrea¹

Methodology

The researchers collected the majority of the primary information on their respective clusters through semi-structured interviews and discussions with key informants and stakeholders. This was complemented with a review of documents collected from the field and researched online. The key research themes centred around migration and instability, as well geographic and demographic information, socioeconomic and political context, infrastructure and other key resources, sources of vulnerability, and existing interventions in the area.

Cross border areas are, by their nature, challenging contexts in which to work, and the researchers faced a number of obstacles in carrying out their work. Most notable amongst these were issues of security and access, as well as difficulties around getting some authorisations on time. The relatively short timeframe allocated to this project also presented a major challenge.

General findings

Common across all four border areas is low population density and limited infrastructure capacity, both typical of peripheral border areas. Water, livestock and land for farming and grazing are the main natural resources identified in the cross border clusters. Resource scarcity is widespread and caused by a combination of man-made (state-sponsored development projects) and natural (climate change and droughts) pressures. Most of the vulnerabilities identified in the study are also associated with resource scarcity. Livelihoods across the study area tend to be undiversified and reliant on scarce natural resources, and are therefore vulnerable to shocks and pressures. These vulnerabilities could be alleviated through better sharing of resources both across and within borders, and between local communities and commercial entities, as well as by initiating targeted interventions to build resilience, strengthen local infrastructure and improve access to basic services.

¹ Due to challenges around access, it was not possible to include Eritrea in the research study or findings. Consequently, the 'Eastern Sudan-Northwest Ethiopia-Eritrea' cluster focuses instead on Sudan and Ethiopia.

Economic activities in the four clusters tend to provide low levels of income; they are informal and dependent on natural resources. Pastoralism and agriculture are common to all the clusters (in varying proportions), and other informal employment opportunities were also identified in some areas. Trade in goods and animals, and relatively lucrative smuggling and trafficking networks are also a feature. In nearly all areas, a lack of adequate investment and targeted interventions undermines the productivity and profitability of these economic activities.

Instability is common to all the study to varying degrees, and manifests itself in a number of ways. It can take the form of clan conflict, as rival groups compete and fight over scarce resources (especially land and water), but also trade and political power. Instability is also linked to protracted conflict between government and rebel forces, as in Blue Nile State in the Western Ethiopia-East Sudan cluster. In the Kenya-Somalia-Ethiopia cluster, instability is frequently generated by violent attacks associated with Al-Shabaab. In this context, a number of different groups and actors are involved in conflict, and instability is taking place at local, regional, national and international levels.

Migration also occurs across the research areas, but in different ways, involving different people and to differing extents. Generally speaking, migration is more prevalent in Clusters 2, 3 and 4 than in Cluster 1, which has ceased to be an important migratory corridor since 2012. The research identified a wide range of migratory practices, including transhumance, labour migration, irregular migration, forced migration, displacement, migration for education and health purposes, family reunification, politically motivated migration, migration for flood retreat agriculture and community resettlement. In this context, the drivers of migration are multiple and often overlapping. They include: resource scarcity, development projects, conflict, natural disaster, coercion, unemployment, a lack of basic services, culture of migration, political participation, and so on. While the demographic profile of migrants (particularly in terms of their age, gender and access to resources) varies across the study areas, the research found that labourers, young people and pastoralists typically made up the majority of those moving.

A number of interventions are being carried out by NGOs, UN and governments in the cluster areas. Initiatives and activities that have achieved the best results have tended to be those that: adopt a cross-border and conflict-sensitive approach; involve and build on traditional institutions and practices; balance commercial interests and community needs; integrate peacebuilding; take a market approach; and support already-existing mechanisms. Based on this, a list of suggested project interventions has been provided for each cluster area, full details of which can be found in Section 4.

Cluster	Suggested Interventions
Cluster 1: Southwest Ethiopia- Northwest Kenya)	<ol style="list-style-type: none"> 1. Land and water resource mapping. 2. Integrated water management interventions at local, national and international levels. 3. Integration of peacebuilding into development works. 4. Rangelands rehabilitation. 5. Joint fishing zone. 6. Regional tourism sector. 7. Commercial agriculture and agro-pastoralism integration.
Cluster 2: Kenya- Somalia-Ethiopia	<ol style="list-style-type: none"> 8. Peace building activities. 9. Cross border livestock disease control programme. 10. Resilience activities that target the impact of drought on livestock and pastoralist livelihoods. 11. Integrated water management interventions at both a localised and regional level. 12. Renewable energy projects. 13. Support to technical training institute and a teachers training college. 14. Irrigation schemes. 15. Surveillance of livestock diseases.
Cluster 3: Western Ethiopia-East Sudan	<ol style="list-style-type: none"> 16. Communications campaigns, job creation, technical and vocational training, and business loans to discourage irregular migration. 17. Community resilience programmes. 18. Support to victims of irregular migration. 19. Government capacity building and provision of equipment for better migration management. 20. Cross border interventions linked to security and policing, but also socioeconomic activities, such as livestock, health and agriculture. 21. Peacebuilding activities between refugees and hosting communities, and better integration of refugee and local development projects.
Cluster 4: Eastern Sudan-Northwest Ethiopia-Eritrea	<ol style="list-style-type: none"> 22. Public awareness campaigns to raise awareness of the dangers of irregular migration amongst migrants and especially the youth. 23. Interventions that foster employment opportunities and economic empowerment, whilst also strengthening livelihoods and building community resilience. 24. Support to state infrastructure and capacity to ensure the proper implementation of policies and regulations designed to combat trafficking, smuggling and irregular migration. 25. Promotion of national and transnational cooperation and joint, cross-border interventions to tackle issues of smuggling and trafficking. 26. Regularisation of the employment and movement of farm labourers in order to better protect the rights of workers, reduce employer-employee tensions, and capitalize on the benefits accrued by foreign employment exchange services. 27. Protection and support services for intercepted or stranded migrants.

2. Research Background

2.1. Objectives

The overall objective of the Cross Border Study is to undertake, at the request of the EU and IGAD, as a preliminary step in pursuit of a comprehensive mapping of the Horn of Africa area, a mapping and analysis exercise that will provide evidence for a possible €80 million intervention in support of greater resilience in four cross-border areas, to be implemented through the EUTF Horn of Africa window:

- Cluster 1: Southwest Ethiopia-Northwest Kenya
- Cluster 2: Kenya-Somalia-Ethiopia
- Cluster 3: Western Ethiopia-East Sudan
- Cluster 4: Eastern Sudan-Northwest Ethiopia-Eritrea

It should be noted that Metema was subsequently included as a fifth cross border area, although the findings from this site (still being collected at the time of writing) will be incorporated into the 'Eastern Sudan-Northwest Ethiopia-Eritrea' report. Furthermore, due to challenges around access, it was not possible to include Eritrea in the research study or findings. Consequently, the 'Eastern Sudan-Northwest Ethiopia-Eritrea' cluster focuses instead on Sudan and Ethiopia.

The purpose of the Cross Border Study is to:

- Gain a better understanding of the drivers of instability and irregular migration, and the sources of resilience
- Catalogue the responses already provided by other donors, non-governmental and civil society organisations, the Intergovernmental Authority on Development (IGAD), and partner state governments to address the dynamics referenced above, and assess what is working well
- Map and assess potential partners
- Identify potential opportunities for engagement

2.2. Research Team

The core research team included one Research Coordinator based in Nairobi, and another in Addis Ababa. The roles of the Research Coordinators were to facilitate communications with EU representatives (in Brussels and the Delegations), recruit and supervise the field researchers, support logistics, engage with IGAD and other government representatives, monitor costs and budgets, and write up the final report. The wider Research and Evidence Facility (REF) management team were also involved in the project, including Team Leader and Key Experts.

This core team was supplemented by eight field researchers allocated to the different research zones. The researchers were selected based on their academic and professional background and experience, including first-hand knowledge of the relevant clusters.

2.3. Research Methodology

A group session was held with the researchers in Addis Ababa on Thursday 14th July, and Nairobi on Friday 15th July in order to clarify the study objectives and approach, and answer any questions or concerns. A research guide (see Annex 2) was developed from the terms of reference (TOR) (see Annex 1) and used to guide the researchers' work in the field. The guide included questions around the key themes of migration and instability, as well geographic and demographic information, socioeconomic and political context, infrastructure and other key resources, sources of vulnerability, and existing interventions in the area. While this report provides a comparative analysis of the different clusters, each cluster also developed its own individual report, as requested by the individual Delegations.

2.3.1. Fieldwork

The researchers collected the majority of the primary information on their respective clusters through semi-structured interviews and discussions with key informants and stakeholders. Interviewees included:

- Government officials from the following sectors: security, immigration, labour, agriculture and natural resources (incl. livestock, fisheries, water, energy), youth, finance and economic development
- Community members
- Migrants and refugees
- UN organisations
- NGO and civil society representatives

The information collected from these interviews was consolidated and supplemented through a review of documents collected from the field and from other publicly available sources. These included:

- Government documents
- UN and NGO reports
- Statistics and censuses
- Academic papers

Due to the short timeframe of this project, researchers were allocated 20 days to complete their research. This included approximately 15 days in the field and 5 days' write up, although final allocations varied. Following submission of field reports by the groups of researchers, the core team spent approximately one week finalising the content, structure

and analysis of this final report. Research was carried out at the clusters according to the timetables below:

Cluster	Dates in the field
Cluster 1: Southwest Ethiopia-Northwest Kenya	31 st July – 17 th August
Cluster 2: Kenya-Somalia-Ethiopia	25 th July – 11 th August
Cluster 3: Western Ethiopia-East Sudan	27 th July – 6 th August
Cluster 4: Eastern Sudan-Northwest Ethiopia-Eritrea	4 th August – 19 th August
Cluster 4: Metema	16 th August – 27 th August

2.3.2. Cluster areas

The cluster areas were determined by a series of maps provided by the EU in Brussels – these are presented in Annex 3. The sizes of each cluster varied and, due to the short timeframe of this project, it was not expected that researchers could visit every part of the cluster. Rather, the researchers focused their time in the area capitals in order to meet with and secure approvals from regional government, and then proceeded to key border areas. More details on these movements are provided in the individual field reports.

2.4. Stakeholder Engagement

In order to secure the official approvals needed to carry out the research, it was necessary to engage the governments of Eritrea, Ethiopia, Kenya, Somalia and Sudan on each of the different clusters. As a first step, a workshop was held in Nairobi on Thursday 7th July with representatives from IGAD, EU Delegations and the Research and Evidence Facility (REF). This was followed up with correspondence and numerous meetings over approximately six weeks. Once letters of authorisation had been secured from central governments, these had to be approved and, in some cases, replicated by the regional authorities at the cluster level. This required ongoing engagement with a number of different government institutions, including IGAD, IGAD Centre for Pastoral Areas and Livestock Development (ICPALD), IGAD Climate Prediction and Applications Centre (ICPAC), and the National Drought Management Agency (NDMA), as well as the various ministries dealing with security, agriculture and livestock issues, at both the central and regional government level.

The EU Delegations were also involved in the research process, and were kept abreast of project progress. Consultation sessions were held with the EU Delegation to Ethiopia in Addis Ababa on Thursday 14th July, and with the EU Delegations to Kenya and Somalia on Friday 15th July. During these sessions and in subsequent correspondence, the terms of reference and research guide were shared and discussed. Feedback from the Delegations

was captured and, where possible, incorporated into the researchers' workplans. Following this, group debriefing sessions were held in Addis and Nairobi with Brussels, EU Delegations, individual researchers and representatives from the REF on Tuesday 23rd and Thursday 25th August.

2.5. Challenges faced

The research team faced a number of challenges in carrying out this research project. These are elaborated in detail below:

2.5.1. Project timeframe

Given the scope and scale of this research, the six weeks allocated (from the IGAD workshop to submission of the field cluster reports) was not sufficient for carrying all of the various steps associated with the project: government engagement, mobilisation, field work, desk based research and write up. Given the complexity of conducting research in cross border areas, in future it is recommended that additional time be made available.

2.5.2. Government engagement

The deadline for this project also did not allow sufficient time for government engagement. Given the sensitive nature of border zones, government officials from a number of departments had to be involved in this process. During the initial Nairobi workshop, IGAD members highlighted that the planning of the project should be inclusive and on a participatory basis. Other government officials had concerns and questions around security, access and inter-country tensions. These issues had to be resolved through ongoing dialogue over time, before the necessary letters of authorisation were released. Even once letters were secured from central government, a similar process of dialogue and negotiation had to be held with government officials at the regional level.

Formal permission had not been granted by Sudan, Somalia and Eritrea, so fieldwork as of 31 August was not possible in those areas. Research teams covered these areas through a combination of their own previous professional experience working in these places, as well as interviews with others who are currently working in them. The team is continuing to try to gain authorisation to conduct field research in Sudan and Eritrea in September 2016. Should permission be granted, information gained from these field visits will be supplied as supplementary to the current report.

2.6.3. Security

Cross-border areas are places of heightened security and inter-country tension. This made crossing borders quite challenging and, in some cases, crossings had to be delayed, or abandoned altogether. The researchers' ability to access some of the clusters was also

hampered by security issues. Serious and violent clashes between protestors and government forces in Oromia and Amhara regions of Ethiopia led to a heightened security situation, in particular in the northern city of Bahir Dar. As the capital of the Amhara Region, Bahir Dar was an essential part of our government engagement strategy for accessing the border town of Metema. The unrest made it difficult for the researchers to government officials who were dealing with the security situation. In Southwest Ethiopia-Northwest Kenya cluster, a spike in cross border raids and killings led the Deputy Administrator in the town of Omorate to advise against attempting the crossing into Kenya. In the Kenya-Somalia-Ethiopia cluster, instability associated with Al-Shabaab and the presence of trafficking networks made crossing into Somalia highly risky. Ongoing hostilities and tensions along the Ethiopian-Eritrean border were also a security issue.

3. Research Findings

3.1. Context

3.1.1. Population

Cluster 1: Southwest Ethiopia-Northwest Kenya

The cluster area is a pastoral zone, with the majority of people living in rural areas. It is likely that population dynamics will be significantly affected by the anticipated influx of labour migrants attracted to work on local mega-projects, such as large-scale sugar projects. Some groups are settled, but many practice agro-pastoralism, with a reliance on rain-fed agriculture.

Cluster 2: Kenya-Somalia-Ethiopia

This cluster is made up of Gedo Region (Somalia), Doolow (Ethiopia), and Mandera country (Kenya), with the latter being by far the most densely populated. A number of different clans inhabit the cluster, including: Marehan, Rahanweyn, Ogaden, Harti and Bantu in Gedo; Degodia and Geremare in Doolow; and Garre, Murulle, and Degodia in Mandera.

Cluster 3: Western Ethiopia-East Sudan

This cluster is characterised by a diverse range of ethnic groups. On the Ethiopia side, these include Berta, Amhara, Gumuz, Oromo, Shinasha and Agew Awi. On the Sudan side, there more than a dozen ethnic groups, including the Ingessana, Berta, Burun, Gumuz, Hamaj, Jumjum, Koma, Ragarig, and Uduk. Nomadic groups are much more numerous on the Sudan side than in Ethiopia. The majority of people on both sides of the border live in rural areas. While population density is low, the number of people living in the area is predicted to grow significantly due to an influx of labourers, irregular migrants and refugees from Sudan, South Sudan and Eritrea.

Cluster 4: Eastern Sudan-Northwest Ethiopia-Eritrea

This cluster is made up of a number of different groups, principally the Tigrayan and Amhara. Tigrigna is the working language in the Humera zone (Amharic is the working language in Metema) and Ethiopian Orthodox Christianity is the dominant religion (although there are a significant number of Muslims as well). In Sudan, the population is predominantly Muslim. Arabic is the main language, but there are also sizeable Tigre, Beni Amer and other ethnic groups.

3.1.2. Infrastructure

Infrastructure relating to roads, transport, communications, water, sanitation, electricity, health, education, agriculture, banking and veterinary services, was limited across all four cluster areas. This can be attributed to low population density, lack of government presence and investment (in part due to the peripheral location of these areas), and conflict and instability. In the Kenya-Somalia-Ethiopia and Eastern Sudan-Northwest Ethiopia-Eritrea

clusters, for example, conflict and unrest have destroyed local infrastructure, delayed construction projects, and reduced government resources and services in Gedo and Blue Nile State. Furthermore, with the exception of some health and educational facilities, infrastructure is rarely shared across borders, and there is little evidence that governments are planning to improve cross border collaboration.

Cluster 1: Southwest Ethiopia-Northwest Kenya

Infrastructure in this cluster is very limited and, with the exception of some of the main routes that warrant state-sponsored upgrades, road networks tend to be under-utilised, basic and severely eroded by rainfall. Infrastructure is not planned with cross-border sharing or collaboration in mind. The only exception to this are small-scale infrastructure, such as churches, schools and health facilities which attract populations from both sides of the border.

Cluster 2: Kenya-Somalia-Ethiopia

Infrastructure in this cluster is also limited. On all three sides of the border, most road networks and airstrips are yet to be tarmacked. Access to electricity is low, although the cluster is endowed with vast, untapped solar and wind energy potential. Conflict in Gedo has been the main challenge to improving key infrastructure, such as airways and a dam project. Educational infrastructure has also been impacted and only four secondary schools are functional on the Somali side of the border. Mandera's infrastructure is relatively more developed with a greater number of educational, health, banking, communications and transport facilities. These attract people to move to Mandera county from across the cluster, in order to access such services. It can therefore be argued that cross-border sharing of infrastructure is occurring to a greater degree than in Southwest Ethiopia-Northwest Kenya cluster. Given the heightened security considerations across the Kenya-Somalia-Ethiopia cluster, there have been efforts to streamline security infrastructure and arrangements across borders.

Cluster 3: Western Ethiopia-East Sudan

As in the other clusters, infrastructure in Cluster 3 remains very limited. This relates to roads, transport, water, sanitation, electricity, veterinary services, agriculture, education and health. The state of affairs in Blue Nile State on the Sudanese side of the border has been severely undermined by the Second Sudanese Civil War, and renewed conflict since 2013. This destroyed much of the local infrastructure and reduced government resources and services. As a result, many areas remain without adequate health care and children in the area have not been vaccinated since the renewal of conflict. It is important to note that Blue Nile is home to the Roseires Dam, the main source of hydroelectric power in the Sudan until the completion of the Merowe Dam in 2010. On the Ethiopian side of the border, the Grand Ethiopian Renaissance Dam (GERD) is under construction.

Steps have been taken to share infrastructure across the border. In Kurmuk, there is a shared bridge, and the contract to construct a new road was given to the same company on both sides. Mobile telephone networks from both sides stretch tens of kilometres over the border, enabling border communities to make use of two networks. Nevertheless, further

progress could still be made, and transport infrastructure (roads and bridges) remains weaker on the Sudan side due to conflict in Blue Nile State.

Cluster 4: Eastern Sudan-Northwest Ethiopia-Eritrea

Infrastructure in the cluster is somewhat limited, however there is a well-built asphalt road that connects Humera to the Sudanese border town of Lugdi, and then on to Khartoum. Humera and Khartoum are also connected by public transport networks. The Kassala-Gedaref-Gallabat-Metema-Gonder(Azezo) highway is also an important road network that is shared across the border. Electric power, landline and mobile telephone networks, and internet service are available. However, the quality of these varies and is interrupted by power shortages. Agricultural infrastructure linked to local farming practices is also available, such as sesame cleaning machinery and storehouses.

3.1.3. Resources

Water, livestock and land for farming and grazing are the main resources identified in the cross border clusters. Fish stocks, flood retreat agricultural land, and minerals, marble, gold and quarry stone are other important resources found in some of the study areas. Local livelihoods in all four areas were largely or completely dependent on the availability of these resources. Resource scarcity, however, was widespread and caused by a combination of man-made (state-sponsored development projects) and natural (climate change and droughts) pressures. More than in any other cluster, water scarcity was a major resource issue in the Southwest Ethiopia-Northwest Kenya cluster, where the Gibe III dam and large-scale sugar projects in Ethiopia have severely limited water availability and displaced many communities from their lands.

In this context, competition over resources can be great, leading to conflict and instability, especially in areas characterised by inter-clan rivalries. Tensions are particularly prevalent in clusters 1 and 2 amongst communities living downstream from over-exploited river sources. In contrast, the successful sharing of the River Tekeze/Atbara² (in the Eastern Sudan-Northwest Ethiopia-Eritrea) shows that, in some contexts and with the necessary measures in place, river waters can be harnessed for irrigation and hydro power without undermining local livelihoods and stability.

Another positive example was found in the Western Ethiopia-East Sudan cluster, which demonstrated the most successful efforts at resource sharing. Rivers, forests, quarries, parks and infrastructure are shared across the border, and communities on both sides engage in gold mining, and the production of incense, gum arabic, charcoal and stones and sand for construction. Typically, however, the research found that resources are not being adequately shared across borders, or even across social groups or gender lines. Women, for example, often have less access to land, limited or no control over resources, fewer economic opportunities, and are exposed to gender-based violence.

² The river is known as the Tekeze in Ethiopia and the Atbara in Sudan.

Cluster 1: Southwest Ethiopia-Northwest Kenya

In this cluster, livestock, water, grazing land, flood retreat agricultural land and fish stocks are the main resources for local communities on both sides of the border. Water, in particular, is a major resource, and a key consideration when it comes to livelihoods. Agro-pastoralists' decisions on engaging in both retreat agriculture and seasonal migration with their herds are made to maximise access to river water. Likewise, major development initiatives, such as the Government of Ethiopia's villagisation programme, are made in a 'water-centred' manner, with village locations chosen specifically due to their proximity to water sources.

Competition over resources is often fierce – within countries and across borders – and conflict over access to land, water and fishing rights is common. While there are a few examples of cross-border collaboration (e.g. the Regional Pastoral Livelihoods Resilience Project), few resources are currently shared across national or local borders, or among different groups.³ Alliances between groups are negotiated for the purpose of resource sharing. However these tend to be short-term and to break down during times of resource scarcity.

Resource scarcity in the Southwest Ethiopia-Northwest Kenya cluster has been severely exacerbated by a number of state-sponsored development projects, mainly on the Ethiopian side of the border. The filling of the Gibe III dam and the absence of a simulated flood in 2015 to allow for flood retreat agriculture has had serious repercussions on water availability and fish stocks, and consequently on local livelihoods and food security. Sources indicate that in 2016 Gibe III officials are preparing to release the simulated floods by the end of August. Another pressure on natural resources is the transformation of communal lands into large-scale irrigated cash-crop schemes for sugar cane and cotton. These enterprises have displaced communities from their land and reduced the amount of water available to the Dassenech, Erbore and Turkana, who are downstream from the Omo and Woyto rivers. It would seem that upstream and downstream interests are not aligned, raising the risk of resource conflict. Indeed, full utilisation of the Woyto River has resulted in the total drying up of Chew Bahir (Lake Stephanie), and has rendered impossible flood retreat agriculture and dry season grazing by the Erbore and a section of the Hamar.

In general, management of resources in the Ethiopian and Kenyan sides of the border generally rests with the local communities themselves. These pursue a number of traditional coping strategies including: pastoralist migration, inter-tribe negotiations and insurance mechanisms; and societal behavioural control built on norms and custom. NGOs and other non-state actors also play a role in managing local resources. While degradation of resources, such as rangelands, through overuse does occur (particularly in the Turkana area), the research suggests that this is not as widespread as commonly assumed. When

³ The Regional Pastoral Livelihoods Resilience Project a five-year project funded by the World Bank that is being implemented in Ethiopia, Kenya and Uganda.

degradation does occur, the establishment of enclosures is an effective strategy for rehabilitating rangelands.

Cluster 2: Kenya-Somalia-Ethiopia

As in cluster 1, water scarcity is also common in many parts of the Kenya-Somalia-Ethiopia cluster. Water from the rivers Dawa and Ganale is a shared resource, and is widely used for irrigation by residents of the triangle, though particularly in Mandera county. According to local authorities, the potential for irrigation is believed to be between 10,500 to 15,000 hectares. Sources indicate that the Government of Kenya is developing a masterplan for the river Dawa, which will involve various developmental projects including increased irrigation, generation of hydro-electric power and revamping of the Malkamari National Park. A recent tripartite consultative process under the auspices of IGAD that sought to bring together government representatives from Ethiopia, Kenya and Somalia seems to have stalled. It is also important to note that Ethiopia has plans to dam the Shabelle River for irrigated agriculture in Somali Regional State. If not properly managed, this could produce communal tensions over the new farmland, pastoral clashes with farmers over access to the river, and possible cross-border tensions due to reduced water flow into Somalia.

Livestock is another key resource for households inhabiting the Kenya-Somalia-Ethiopia cluster. These include camels, goats, sheep and cattle. Cattle are no longer kept in large numbers because of the harsh climatic conditions and lack of sufficient water resources required to maintain large herds. Animals are used for food, as pack animals, or for ploughing. Livestock and their products (milk, meat, and skins) are also sold to generate household income. There have been reports of declining numbers of livestock in recent years, due to a combination of recurrent droughts, livestock disease and the obligations to pay religious or social contributions using animals as zakat or dowry payment.

Cluster 3: Western Ethiopia-East Sudan

There are a number of key natural resources found on both sides of the border, including cultivatable land, water sources, fish, wild game and gum arabic. Marble, gold and quarry stone are also mined. Of all the study areas, Cluster 3 demonstrates the most successful efforts at resource sharing. Rivers, forests, quarries and sands are shared across the border, as indicated by the crossing of Sudanese pastoralists into Ethiopia for grazing cattle and goats. Communities on both sides are engaged in gold mining, and the production of incense, gum arabic, charcoal and stones and sand for construction.

Cluster 4: Eastern Sudan-Northwest Ethiopia-Eritrea

The River Tekeze/Atbara is the main water resource shared by Ethiopia and Sudan. In spite of dam projects (already built in the case of Ethiopia and in the planning stage in Sudan), there seems to be sufficient water for both sides of the border. This is in contrast to other areas, such as the Southwest Ethiopia-Northwest Kenya and Kenya-Somalia-Ethiopia clusters, where the construction of water dams has been a source of contention and conflict. Sudan seems to have made more progress, in comparison to Ethiopia, in using the Atbara River for irrigation farming, and as a source for generating electric power.

3.1.4. Economic activities

Economic activities in the four clusters tend to provide small income opportunities and to be informal and dependent on natural resources. Pastoralism and agriculture are common to all the clusters. At the household level, the productivity and profitability of these activities is undermined by a lack of skilled human resources and new technologies, poor infrastructure, and crop and livestock disease. Agriculture is generally labour intensive and dependent on rain. Fishing techniques are also traditional, relying on hooks and traps. More modern, commercial agricultural projects have become increasingly common in clusters 1, 3 and 4. While these enterprises are modernising the production of significant quantities of cash crops, they are also leading to significant land and water pressures for local farmers. Furthermore, local communities are not necessarily benefiting from the employment opportunities created as, in the case of Western Ethiopia-East Sudan cluster, most of the workers involved in these projects come from other parts of Ethiopia.

Trade in goods and animals is more common in clusters 2, 3 and 4 than in cluster 1, and represents a key economic activity that takes place across international borders. In the Kenya-Somalia-Ethiopia cluster, this has been facilitated by the rise of small towns and settlements on both sides of the border. In the Western Ethiopia-East Sudan cluster, a border cooperation agreement between Ethiopia and Sudan has established joint market days, with people from both sides of the border allowed to officially buy and sell to each other. This represents the strongest example recorded in the research of state-sanctioned support towards cross border trade and economic activities, and a positive step that could be replicated in other cross border areas. In Southwest Ethiopia-Northwest Kenya, research suggested that the scale and profitability of trading and other service sectors in this cluster will expand once development projects become increasingly functional.⁴

Smuggling networks also constitute a major cross border activity that generates large economic gains. Products that cannot be produced locally, such as beverages, soap powders, detergents, perfumes, electronics and vehicle parts tend to be imported, mainly illegally by smuggling networks. Whilst the trade in commodities, foods and other goods helps to boost livelihoods and resilience, the illicit trade in guns and people undermines stability and propagates local corruption. Furthermore, the circulation of counterfeit and ineffective animal drugs is reportedly also a common issue, which leaves livestock vulnerable to disease.

In nearly all cases, a lack of adequate investment and targeted interventions undermines the productivity and profitability of economic activities. If these economic activities are to reach their full potential, greater support is needed to improve related infrastructure, institutions, inputs, marketing, and the availability of credit and insurance mechanisms. This

⁴ These projects include the Lamu Port South Sudan Ethiopia Transport (LAPSSET) Corridor, the discovery of fossil fuel and planned infrastructure projects, such as an international airport in Lokichoggio and Resort City at Eliye Springs.

is especially the case for the fishing industry in Southwest Ethiopia-Northwest Kenya cluster, where in spite of large fish stocks and the economic potential of fishing, it is yet to function as a significant or sustainable income earner for local populations.

Cluster 1: Southwest Ethiopia-Northwest Kenya

In this cluster, pastoralism and fishing, flood retreat agriculture and petty trading are the main economic activities practised by local communities. Due to poor access and a lack of investment, these activities are not as productive as they could be. For example, in spite of the economic potential of fishing, it is yet to function as a significant or sustainable income earner for local populations. A combination of inadequate fishing equipment, absence of market and marketing facilities, poor infrastructure and services (roads, storage, processing or cold chain, and extension services) and lack of institutions (such as legally established fishing cooperatives) have undermined the economic potential of the fishing industry in the cluster. These economic activities do not formally cut across the Kenya-Ethiopia border, although the research does point to the importance of cross border social connections in sustaining these economic activities.

Cluster 2: Kenya-Somalia-Ethiopia

In contrast, economic activities in this cluster seem to be much more prominent. Research pointed to four main livelihood systems: pastoralism, agro-pastoralism, formal and informal employment, and trading. Livestock rearing (pastoralism) is the main economic activity in the cluster, and households rely heavily on camels, goats, sheep and, to a lesser extent, cattle to meet their daily needs. Livestock marketing, mainly across the border with Somalia and into the Gulf states, generates enormous revenues for livestock owners, traders and marketing agents in the Kenya-Somalia-Ethiopia cluster.

Cross-border trade (including lucrative smuggling) of consumer goods, foodstuffs, cattle, camels, khat, cars and construction materials is also common, and is facilitated by the porous nature of parts of the border. Gun smuggling and human trafficking and smuggling are two of the most serious forms of illegal trade across the region's borders. Major human trafficking routes include Ethiopian trafficking into Somalia and Djibouti on towards Yemen and the Gulf, and Somali human trafficking into Kenya on towards South Africa, Europe, or North America. Efforts to crack down on this business have been limited due to weak government capacity and powerful interests profiting from it.

Economic activities across the Kenya-Somalia-Ethiopia cluster have been facilitated by a rise of small border towns and settlements on both sides of the border, most visible along the Somali-Kenyan border. In this light, the cluster constitutes an integrated cross-border economy, with a critical set of corridors for commerce and livestock sales for the entire region. Cross-border business partnerships exist and, while these can be a source of competition, have, for the most part helped to build resilience to conflict as both sides have a vested interest in maintaining peaceful and secure trade arteries.

Cluster 3: Western Ethiopia-East Sudan

Crop and livestock production are the main economic activities and sources of livelihoods in Cluster 3. Sorghum, maize, sesame, pulses, finger millet, niger seed and groundnut are the main crops grown. Women play a central role in all aspects of agriculture, including food production, processing and marketing. The area is also known for its gold mining, fisheries and wild food collection. The productivity and profitability of these economic activities is, however, undermined by a lack of skilled human resources and new technologies, poor infrastructure, and crop and livestock disease. Agriculture is labour intensive and dependent on rain. Fishing techniques are also traditional, relying on hooks and traps. Modern fishing using motorized boats and gillnets has been introduced in some parts of Metekel Zone (Ethiopia). However there remains a lack of technical skills and equipment needed to capitalise on these investments.

The Ethiopian side of the cluster has attracted large-scale investments in commercial agriculture, which are modernising the production of significant quantities of cash crops for export, including sesame, cotton, soybeans, oil seed and rice. It should be noted, however, that local communities are not always targeted, and most of the workers involved in these projects are from other regions of Ethiopia.

Similarly to the Kenya-Somalia-Ethiopia cluster, cross border trade in Western Ethiopia-East Sudan is a bustling economic activity. The border cooperation agreement between Ethiopia and Sudan has allowed for joint market days, with people from both sides of the border officially allowed to buy and sell to each other. Onions, soap, laundry materials, sugar and mats are some of the common merchandise that Ethiopians buy from Sudan. In turn, Ethiopian sellers supply the Sudanese with vegetables, eggs, chicken, coffee, leather shoes and cosmetics. There are restrictions, however, with a maximum limit of 2,000 Ethiopian Birr on transactions and a marketing scope of 90km from the border.⁵ Furthermore, illegal trade and smuggling of livestock, bamboo, alcohol and coffee also occurs. Nevertheless, this cooperation agreement represents one of the most decisive and legitimate steps towards an official cross border economy recorded in the study.

Cluster 4: Eastern Sudan-Northwest Ethiopia-Eritrea

Agriculture is the main activity in this cluster, and is divided between local farmers that cultivate approximately 42% of land, and large scale farming through investors, which takes up 58% of cultivable land.⁶ Sesame, sorghum and cotton are the main crops. Local farmers on the Ethiopian side do not generally practice irrigation farming from the River Tekeze/Atbara, and this has tended to be better utilised by Sudanese farmers. Since the area is rich in pastureland and water, livestock herding is an important household investment, with significant contribution to the household economy.

Cross border trade is also a key economic activity for communities living along both sides of the border. Commodities, mainly agricultural products, including coffee, sesame, sorghum,

⁵ 2,000 Ethiopian Birr is the equivalent of approximately US\$ 90.

⁶ In 2010 there were over 400 investors engaged in large scale farming, cultivating an average of 600 hectares of sesame.

red pepper, spices (especially ginger), chickpeas, beans, tomato, garlic, honey, hand-made clothes and fish are traded across the borders between Ethiopia, Sudan and Eritrea, both legally and illegally. Live animals such as goats, cattle, and camels are also bought and sold. Products that cannot be produced locally, such as beverages, soap powders, detergents, perfumes, electronics and vehicle parts tend to be imported, mainly illegally by smuggling networks.

Cross border trade is particularly active in and around Metema Woreda, and has been facilitated through a number of measures. Firstly, a cross border agreement allows trucks and drivers from both sides of the border to pass through Gallabat and Metema without the need for carrying passports or obtaining a visa. Secondly, the construction of the Kassala-Gedaref-Gallabat-Metema-Gonder(Azezo) highway is an invaluable shared infrastructure across the border, widely used for the transportation of goods and merchandise. Thirdly, weekly border markets have also been established as part of the cross-border collaboration effort by Ethiopian and Sudanese authorities, with the purpose of encouraging informal trade and social interactions.

3.1.5. Vulnerabilities

Across the study areas, vulnerabilities are generally associated with a reliance on undiversified livelihoods and, linked to this, a lack of household resilience. As a consequence, when natural and man-made shocks occur, and resources (such as water, land and livestock) become scarce, households become increasingly vulnerable.

Climate change is key to understanding these vulnerabilities. In recent years, the frequency, duration and intensity of droughts have increased. Consistent droughts and famine over years have depleted the livestock herds of poorer pastoralists, and left them with no alternative but to migrate to peri-urban or urban areas in search of casual job opportunities and/or humanitarian assistance. Conflict is another factor behind local vulnerabilities. For example, inter-clan fighting in the Kenya-Somalia-Ethiopia cluster has led to the displacement of tens of thousands of people, undermining their livelihoods and resilience. Conversely, vulnerabilities also sometimes lead to conflict and instability, as resource scarcity and livelihood pressures increase competition and tensions between groups and individuals. This is a frequent occurrence in the Southwest Ethiopia-Northwest Kenya cluster. (See section 3.2. below for further details.)

These vulnerabilities could be alleviated through better sharing of resources both across and within borders, and between local communities and commercial entities. Targeted efforts to mitigate the impact of large-scale development projects would also help to support livelihoods. Furthermore, programmes and interventions that strengthen livelihoods and resilience would also benefit local communities; in particular, farming and livestock schemes, such as irrigation, extension services, disease surveillance and vaccination campaigns.

Cluster 1: Southwest Ethiopia-Northwest Kenya

The main sources of vulnerability in this cluster are linked to resource scarcity caused by environmental and man-made factors. These include unpredictable weather patterns, environmental degradation, recurrent disasters (drought and epizootics) and resource pressure caused by population growth and large-scale development projects. The expansion of *Prosopis juliflora*, an invasive species, is also a concern. These have placed significant pressure on livelihoods and food security, and generated conflict and instability between groups competing for access to land, water and fishing rights. Resource scarcity is therefore the key vulnerability underpinning a range of wider problems.

Cluster 2: Kenya-Somalia-Ethiopia

Livestock dependence has created vulnerabilities given the susceptibility of livestock to drought and disease. Livestock are typically unprotected against disease because of the absence of veterinary services and vaccination campaigns and the widespread use of counterfeit and ineffective drugs. The absence of formal insurance mechanisms and disease surveillance has also left livestock owners vulnerable to livestock losses. As a consequence, the governments of Ethiopia, Somalia and Kenya have been accused of neglecting pastoralism as an economic developmental priority over the years.

Communities reliant on farming are also subject to a number of vulnerabilities, and sharecroppers and landless households are especially vulnerable. Farming is confined to river banks and canals, and yields therefore tend to be low. Farmers have little or no access to fertiliser, irrigation equipment, input credit or agricultural extension services, and there is a high risk of crop failure during drought years. While some farmers are successfully exporting their produce and cash crops to Somalia, marketing opportunities are generally limited. Food price seasonality is a particular risk for all farming households, and poorer farmers with undiversified incomes are often forced to sell produce immediately after harvest (when prices are at their lowest) to raise cash, and then buy food later in the year at much higher prices.

Cluster 3: Western Ethiopia-East Sudan

Residents of the cluster are affected by a number of vulnerabilities, typically associated with a lack of diversity of livelihood strategies and poor resilience to shocks and disasters when they occur. This includes loss of crops and livestock to disease and drought. Environmental issues such as land degradation, water pollution and deforestation are also prevalent. The arrival of new users of land – whether investors, spontaneous settlers or migrant agricultural workers – can also reduce the availability of land and water, and, when commercial and intensive farming occurs, lead to further land degradation. These pressures have created conflict over land, especially between indigenous and non-indigenous communities. Large scale development projects, such as the construction of the Grand Ethiopian Renaissance Dam (GERD) can also exacerbate these vulnerabilities.

Conflict in Blue Nile State between government forces and the Sudan People's Liberation Movement-North (SPLM-N) has also been a major factor in contributing to local

vulnerabilities. Due to its protracted nature, it has caused instability, undermined livelihoods, and led to widespread displacement.

Cluster 4: Eastern Sudan-Northwest Ethiopia-Eritrea

As in the other areas studied, vulnerabilities in this cluster are linked to livelihoods lacking in diversity and are reliant on external factors, such as weather patterns. For example, livelihoods in this cluster are dependent predominantly on agriculture and, particularly, on rain-fed agriculture. This undermines people's resilience to shocks, and inadequate or irregular rainfall or, conversely, flooding, has left many farming families food insecure. Land shortage is also a problem. While farmers generally do own their own plot, these tend to be very small, which makes it difficult to build a surplus and improve economic resilience. It is estimated that the majority of Ethiopian smallholders cultivate plots of 1 hectare or less, and consequently face annual periods of prolonged hunger before the harvest is ready. This shortage of land can be attributed to the expansion of commercial farming, which takes up 58% of cultivable land and the fact that plots must be divided between children when they come of age. Consequently, the size of plots diminishes with each generation. Land degradation through soil and land erosion and the unsustainable use of forest resources has also undermined people's resilience to vulnerabilities.

Commercial sex work is a relatively widespread activity in Metema town, and can be considered another vulnerability for young women and girls. The influx of transient populations and economic potential has been echoed by a rise in the number of women, both local and from outside, engaging in transactional sex. In some cases, these women may be stranded migrants who had originally intended to travel on to Sudan and beyond. Others are tricked or trafficked into moving to Metema by brokers who promise them employment opportunities that subsequently do not materialise.

3.2. Instability and migration, and their drivers

The research found that instability and migration are often closely connected. They share many of the same drivers. For example, unemployment, conflict, displacement, resource scarcity, natural disasters, development projects and a lack of basic services have led to both migration and instability across the four study areas.

Furthermore, instability can lead to migration, and migration can impact stability. For instance, as noted above, in the East Sudan-Ethiopia cluster, instability caused by the ongoing civil war in Blue Nile state has led to the displacement of between 115,000 and 165,000 people since the beginning of the conflict. In the same area, the large influx of labour migrants, irregular migrants and refugees is fostering instability by increasing the population, changing local dynamics and placing a serious strain on local resources. This has generated instability and conflict between competing groups.

The impacts of migration on stability are not always negative and, in many instances, movement and mobility can improve resilience and relations amongst different groups, with positive consequences for stability. For example, the seasonal migration of pastoralists and their livestock allows them to take advantage of water and grazing lands for their herds, thereby increasing their resilience and promoting greater stability. Likewise, the spreading of ethnic groups across borders through migration can help to build cross-border alliances and stability.

In spite of the interrelatedness of migration and instability, the two themes are explored under separate headings below. Due to the complex nature of migration and instability in the region, as well as the wide geographical focus of this research project, it was felt that this approach would help to convey the information and data collected more clearly and succinctly.

3.2.1. Instability and its drivers

Instability is a common characteristic across the clusters, which manifests itself in a number of different ways and to differing extents. It takes the form of clan conflict in clusters 1 and 2, as rival groups compete and fight over scarce resources (especially land and water, but also trade and political power). This is driven by a combination of factors, including historical clan rivalries and dynamics, resource scarcity and livelihood pressures.

In the Blue Nile State of the Western Ethiopia-East Sudan cluster, instability is linked to protracted conflict between the Sudanese government and rebel forces of the Sudanese People Liberation Movement (SPLM)-North. Centre-periphery relations are at the root of the conflict, manifested in the unequal distribution of economic, political and social opportunities between them.

In the Kenya-Somalia-Ethiopia cluster, instability is generated by terrorism associated with Al-Shabaab. The group has carried out a number of violent attacks on government installations and civilians. In addition to carrying out physical attacks, Al-Shabaab causes instability by creating suspicion and divisions among communities. It has successfully recruited unemployed youth with the promise of a paying job, and has exploited local clan and other grievances to meet its own objectives.

In this context, a number of different groups are involved in conflict and instability in the study areas. On a localised level, conflict occurs between neighbouring groups of indigenous people, as in the case of clusters 1 and 2. It can also occur between indigenous and non-indigenous groups, as in the case of Western Ethiopia-East Sudan, where investors and settlers have encroached on farming land. In Blue Nile State, conflict and instability occur on a national level between the centre and periphery. In the Eastern Sudan-Northwest Ethiopia-Eritrea cluster, instability is characterised by international tensions between countries (Ethiopia and Eritrea). Similarly, in the Kenya-Somalia-Ethiopia cluster, instability is taking place on an international level between the Government of Kenya and Somalia-based

Al-Shabaab. In these international scenarios, governments move to strengthen their borders. Ethiopia has been particularly effective in this regard, and movement across its borders with Eritrea and Somalia has been heavily restricted. This is in marked contrast to the borders with Sudan and Kenya, which are much more porous in comparison.

The Sudan-Ethiopia-Eritrea cluster demonstrates some positive examples in terms of reducing and, or mitigating instability and conflict. For instance, in contrast to clusters 1 and 2, water resources are being successfully shared across the border, even in the context of irrigation and hydro power generation. The successful exchange and adoption of social and cultural traits has contributed to the relatively peaceful co-existence of the two neighbouring people. The governments of Ethiopia and Sudan have also taken on an active role in dealing with questions of instability. For example, they intervene in localised conflict between individuals and households, and set up a joint security taskforce to share information and intelligence on potential terrorist activities. That said, instability is still a feature of the cluster, as indicated by the ongoing stalemate between Ethiopia and Eritrea, and the unrest occurring in nearby Gonder and Bahir Dar.

This highlights the important role of national governments in generating peace and stability. For example, limited delivery of public goods such as security in the Southwest Ethiopia-Northwest Kenya cluster has led to communities arming themselves for protection and the persistence of a 'gun culture', which further undermines peace and stability. In the Kenya-Somalia-Ethiopia cluster, security forces are present, but local communities demand greater engagement and trust-building.

Cluster 1: Southwest Ethiopia-Northwest Kenya

Instability and conflict occur frequently across this cluster. Conflict can be seen between the Nyangatom and Suri, Dassenech and Nyangatom, Dassenech and Hamer, Dassenech and Turkana, Nyangatom and Turkana, Hamer and Mursi, and Hamer and Erbore. The Hamer also fight with the Gabra, even if only rarely. On the Kenyan side, conflict over rangeland and water resources mainly arises between the Turkana and Pokot, Turkana and Samburu, Turkana and Gabra, and Turkana and Murle.

The main drivers of instability and conflict are resource scarcity (in particular water and grazing land) and increasing pressures placed on livelihoods and food security by development projects and schemes. These pressures make traditional pastoralists more likely to resort to violence to gain access to resources or to retaliate when resources are taken. When conflict becomes protracted, the emphasis tends to shift from resource scarcity to intercultural clan dynamics. At a macro level, the disputed Ilemi Triangle represents another potential driver of instability and conflict between Ethiopia, Kenya and South Sudan.⁷ The search for fossil fuels could escalate questions of access to and ownership of the disputed lands.

⁷ The Ilemi Triangle is found on the border areas between Ethiopia, Kenya and South Sudan.

The weak presence of the respective states in the cluster contributes to insecurity in the valley. State structures and representatives have limited presence. This means that communities tend to protect and arm themselves, leading to the persistence of a 'gun culture', which further undermines peace and stability. Regional initiatives have attempted to address this situation, but are often undermined by insufficient inter-state coordination. Some NGOs are attempting to promote greater resource sharing in an effort to reduce conflict, however these need to be combined with innovative governance, development and resource management structures.

Cluster 2: Kenya-Somalia-Ethiopia

Clan dynamics are a key driver of instability in this cluster, as clans compete over land, water, political power and trade. In Mandera county, the Garre, Degodia and Murule have been fighting periodically since the 1920s. In Gedo, factional fighting amongst different groups, and sub-sub clans of the Marehan has been a feature of local politics since the 1990s. In the much more stable and secured Doolow district of Ethiopia, the insurgency by the Ogaden National Liberation Front continues to pose a security risk. The most common conflict occurs between clans within Mandera county and at times, clans on the Kenya-Somalia border.

Conflict and instability has led to fatalities, injury and mass displacement. Fighting between Garre and Murule at El Wak (near the Kenya-Somalia border) between December 2004 and March 2005 left 90 people dead and displaced 30,000 more. Another conflict at El Wak, this time between the Garre and the Marehan, displaced a further 17,000 people between April and July 2005. In 2013, fighting broke out across the area between the Garre and the Degodia. It spread to the Murule and Marehan clans and led to further mass displacement. In 2015, violent conflict between the Murule of Mandera and the Marehan of Gedo Somalia left a dozen dead on both sides.

Conflict and instability amongst clans is traditionally driven by competition over water and grazing lands for their livestock, generally during dry seasons. Population increase and climate change have also contributed by further straining natural resources. Increasingly, however, political dynamics and participation are adding a new dimension to longstanding clan rivalries and animosity. Devolved county governance in Mandera county has seen majority clans or alliances monopolising power and resources to the detriment of minority clans. In August 2014, this led to violent clashes, which reportedly displaced over 18,000 households. Macro-level politics further escalates inter-clan dynamics.

Al-Shabaab is another driver of instability in the Kenya-Somalia-Ethiopia cluster. In Somalia, the group was dislodged from major towns in Gedo in 2014, but continues to control vast rural areas in the region including areas very close to the Kenyan border near Mandera. In retaliation for the Government of Kenya's decision to deploy troops in Somalia, Al-Shabaab launches regular attacks inside Kenya. They are facilitated by the porous nature of the Kenya-Somalia border. In 2014, Al-Shabaab members shot dead 28 non-Muslims travelling on a commuter bus from Mandera town to Nairobi. The following week, they killed 36 Christian quarry workers at Koromey, 15 Km away from Mandera town. The Mandera

County Governor has been the target of a number of Al-Shabaab attacks. In contrast, Ethiopia has been more successful at securing its border and its frontier districts with Somalia and prevent Al-Shabaab infiltration. Since the Garissa University college attack, the Government of Kenya has embraced a new community-led security approach. This has had some success in dismantling and disrupting Al-Shabaab cells in the north-east. Nevertheless, Kenyan villages and towns close to the Somalia border remain vulnerable, especially those along the border between Mandera and Wajir counties and along the Mandera-Arabiya-Lafey-Elwak road.

In addition to carrying out physical attacks, Al-Shabaab generates instability by creating suspicion and divisions among communities in the Kenya-Somalia-Ethiopia cluster. The group counts on a network of long-standing supporters in the area. For youth, the group offers the promise of a paying job in one of the poorest areas of the Horn. For clans and sub-clans, tactical affiliation with Al-Shabaab has been a useful means of countering a dominant rival. Al-Shabaab has successfully exploited local clan and other grievances to this end.

Cluster 3: Western Ethiopia-East Sudan

On the Sudanese side of this cluster, ongoing civil war in Blue Nile State has caused widespread instability and negatively impacted people's quality of life and livelihoods. According to UNOCHA, an estimated 60,000 people have fled their homes in Blue Nile state since 2015.⁸ Approximately 24,000 of them were relocated, 26,000 returned home, and about 10,000 people in the state remain displaced. This protracted conflict is taking place between the troops of the Sudanese government and rebel forces of the Sudanese People Liberation Movement–North (SPLM-N). Centre-Periphery relations are at the root of the conflict, according to informants from the Blue Nile region, manifested in the unequal distribution of economic, political and social opportunities between them. Other factors that have sparked anti-government sentiment include a shortage of jobs and employment opportunities, a lack of access to quality education, and limited livelihood opportunities. The presence of other rebel movements, such as the Benishangul People's Liberation Movement (BPLM), the Oromo Liberation Front (OLF) and Ginbot 7 can also generate instability.

Large scale migration is also undermining local stability. The large influx of labour migrants, irregular migrants and refugees (see section below for more details) is altering the population and changing local dynamics. For example, the population of Assosa has reportedly more than doubled in the past few years, and the radius of the town has expanded to include the resettlement centres which used to surround it. New settlements have also appeared. This influx is also placing a serious strain on local resources, which can generate instability and conflict between competing groups. Research found that schools and health centres were increasingly overcrowded, and that communication, water and electricity facilities were overburdened. There have also been increasing incidents of competition over land.

⁸ UN Office for the Coordination of Humanitarian Affairs

Broadly speaking, however, there is reportedly generally a good relationship between indigenous ethnic groups, including those across the border in Sudan, which could otherwise be a source of conflict and instability. While there have been political rivalries between the two main indigenous groups (Bertha and Gumuz), these have not turned violent. This can be partly explained by the fact that many of these groups live on both sides of the border; for example, the Gumuz, Berta (called Funj in Sudan) and Komo ethnic groups. This facilitates cross border relations for such groups, and leads to intermarriage and seasonal migration.

Cluster 4: Eastern Sudan-Northwest Ethiopia-Eritrea

Instability is also a feature of the Eastern Sudan-Northwest Ethiopia-Eritrea cluster. This is indicated most notably by the ongoing stalemate between Ethiopia and Eritrea, and the recent (and ongoing) unrest occurring in nearby Gonder and Bahir Dar. These protests centre around claims of unfair land and other resource allocation. A principal area of contestation involves the allocation of land historically under the control of Wolkait and Amhara farmers and investors in Northwest Ethiopia to Tigrayans. This is a process that began with the redrawing of regional boundaries following the overthrow of the Derg government in 1991 to reflect a policy of ethnic federalism, but opposition to it has intensified more recently. Nevertheless, research found that issues of interstate conflict and insecurity were less heightened in this cluster than in the other study areas, and there are some positive examples in terms of reducing and, or mitigating conflict particularly between Ethiopia and Sudan.

For instance, in contrast to clusters 1 and 2, water resources are being successfully shared across borders. There were no reports of localised or regional conflicts associated with water and the River Tekeze/Atbara. In spite of dam construction and irrigation practices, which have the potential to raise tensions, both sides of the Sudan-Ethiopia border continue to have access to sufficient water.

Localised and sporadic conflict has arisen when farmers have crossed over the border and cultivated land on the other side. Nevertheless, these conflicts are not common and do not usually escalate beyond an individual or household level to include a wider group. What's more, they have usually been contained by government interventions and an agreement between both sides met. Generally speaking, the intervention of actors other than the government in resolving conflict is not common. Land disputes between farmers and pastoralists is also reportedly common, particularly where commercial farms have expanded to obstruct nomadic corridors. Furthermore, research conducted in Metema highlighted violent attacks associated with travelling groups of seasonal migrant labourers, who are often armed and have been known to fight with rival groups or local populations.

A strong indicator of the stability of the region is the considerable level of cultural transaction. Sudanese foods are available in almost all snack houses in Humera, and restaurants often include dishes cooked according to Sudanese tastes and spices. Languages are also shared, and some Humera residents are able to communicate in Arabic, while many Sudanese migrant labourers and traders are seen trying to speak Amharic and/or Tigrigna.

This exchange and adoption of social and cultural traits contributes to the peaceful co-existence of the two neighbouring people.

The only security issue reported in Ethiopia is that of possible infiltration of terrorist groups. To mitigate against this risk, a joint security taskforce has been set up by the governments of Ethiopia and Sudan. This includes representatives from the police, security, customs, army, and local administrations. The taskforce meets on a quarterly basis, and regularly shares information and intelligence. In addition to having a security focus, the taskforce is also said to deter illegal migration and trafficking in persons, although it is not clear to what extent it is successful in achieving this.

3.2.2. Migration and its drivers

Migration occurs across the research areas, but in different ways, involving different people and to differing extents. Generally speaking, migration was more prevalent in clusters 2, 3 and 4 than in cluster 1, which has ceased to be an important migratory corridor since 2012. Since then, most migratory patterns in the Southwest Ethiopia-Northwest Kenya cluster have tended to stay within national borders and predominantly involve the seasonal movements of people and livestock in search of water and pasture. Transhumance is also a feature of the Kenya-Somalia-Ethiopia cluster, where pastoralism is a major livelihood activity.

Labour migration occurred in all clusters, and the seasonal migration of farm labourers was particularly prevalent in the Western Ethiopia-East Sudan and Eastern Sudan-Northwest Ethiopia-Eritrea clusters, where large influxes of Ethiopian and Sudanese workers migrated to work on commercial farms during the peak harvesting seasons. Irregular migration was a feature of most areas, and active trafficking and smuggling networks were identified in all clusters except for Southwest Ethiopia-Northwest Kenya. Forced migration and displacement as a result of conflict and natural disaster were also common across the three clusters. In the Kenya-Somalia-Ethiopia cluster, inter-clan fighting has displaced tens of thousands of people (as described in the previous section). Sudanese, South Sudanese, and Eritrean refugees were also present in the Western Ethiopia-East Sudan and Eastern Sudan-Northwest Ethiopia-Eritrea clusters. In addition, the researchers identified other forms of migration, including migration for education and health purposes, family reunification, politically motivated migration, migration for flood retreat agriculture and community resettlement.

In this context, the drivers of migration are multiple and often overlapping. They include: resource scarcity, development projects, conflict, natural disaster, coercion, unemployment, a lack of basic services, culture of migration, political participation, and so on. Contrary to popular assumptions, poverty and unemployment are not always the main drivers of migration and, in the Sudan-Ethiopia-Eritrea cluster, many migrants came from families with sufficient income to pay the large amounts requested by the smugglers. Research in this cluster found that, having failed to enrol in University, young people preferred to migrate to

Europe in search of a better life than to engage in low-level or menial employment. While migrants and their backgrounds, age, gender and resources varied across the study areas, the research found that labourers, young people and pastoralists typically made up the majority of those moving.

A number of specific migratory routes were identified by the researchers. In the Kenya-Somalia-Ethiopia cluster, two principle routes were identified from Ethiopia into Somalia and Djibouti on towards Yemen and the Gulf, and from Somalia into Kenya on towards South Africa, Europe or North America. Four specific routes were discovered in the Sudan-Ethiopia-Eritrea cluster from Humera into Sudan, with the most common route being Humera-Rawayan-Mai Kadra-Lugdi (which has an asphalt road)-Khartoum. In the majority of cases, however, routes varied and changed, and many migrants adopted circular itineraries and engaged in secondary migration.

Cluster 1: Southwest Ethiopia-Northwest Kenya

In contrast to the other areas studied, this cluster is not currently a major corridor for migration. This has not always been the case; in the past, there were two waves of large-scale, often irregular, migration: (i) in 1991, following the downfall of the Derg; and (ii) 2010 – 2012 when Ethiopians migrated in large numbers to South Africa in search of better economic opportunities. Some informants blamed insecurity and killings in Omorate town and in Turkana, as well as the hardships faced by migrants en route to South Africa, for the reduction in migratory flows. Others credit the Government of Ethiopia for rooting out illegal smuggling and trafficking networks, although the Moyale transit corridor remains a busy and well-utilised route.

In this context, most migration and mobility in the Southwest Ethiopia-Northwest Kenya cluster stay within national borders, and are characterised by:

- Transhumance: this comprises agro-pastoralists moving in search of better pasture and water during dry seasons.
- Flood retreat agriculture: a relatively localised migration, in terms of the distance covered, is also practiced by groups wanting to access flood retreat agriculture lands.
- Labour migration: workers move to take advantage of the employment opportunities associated with various public infrastructure projects and commercial farms occurring in the cluster, in particular, the Ethiopian Sugar Corporation and the LAPSET Corridor. Interviews with local and central government sources suggested that hundreds of thousands of workers are expected to move to the area from across Ethiopia and beyond to take up new jobs provided by these projects.
- Community resettlement: target communities have been moved and resettled as part of the Government of Ethiopia's villagisation scheme.

In this context, resource scarcity is once again a major factor in understanding the Southwest Ethiopia-Northwest Kenya cluster, and represents the main driver of migration; the migration patterns of agro-pastoralists are underpinned by the constant need to adjust to local resource dynamics and search for 'greener pastures'. A lack of available farmland and the appeal of large-scale development projects are also key drivers that explain why people move for work.

Cluster 2: Kenya-Somalia-Ethiopia

In contrast to cluster 1, the Kenya-Somalia-Ethiopia cluster is a major migratory corridor where migration, involving both people and animals, takes many different forms and means. In this context, the drivers of migration are many, and include: search for water and grazing lands, conflict and drought-induced displacement, forced evictions and political violence, unemployment, an absence of basic social services, and family reunification.

The following types of migration occur in the Kenya-Somalia-Ethiopia cluster:

- Transhumance is the oldest and one of the main forms of movement. In recent years, it has been negatively impacted by environmental degradation, water scarcity, climate change and an increase in human settlements, which are forcing pastoralists to move further and for longer periods of time in search of pasture and water.
- Irregular migration is another main form of mobility, and the cluster functions as a point of departure and transit for irregular migrants. This migration is generally driven by unemployment and/or displacement caused by natural disaster or conflict.
- Human trafficking and smuggling are major business activities that occur from, via and to the Kenya-Somalia-Ethiopia cluster. Data is limited, but two main routes have been identified: (i) from Ethiopia into Somalia and Djibouti on towards Yemen and the Gulf, and (ii) from Somalia into Kenya and on towards South Africa, Europe, or North America. Smugglers and traffickers are often well known, however as remittances associated with out-migration are important to the local economy, there is little community incentive to cooperate with law enforcement efforts to crack down on these networks.
- Displacement: Fighting between clans has led to widespread and ongoing displacement of local communities over the years. For example, between December 2004 and March 2005 fighting between the Garre and Murule clans displaced 30,000 people at El Wak. Between April and July 2005, conflict between the Garre and the Marehan displaced a further 17,000 people. In 2013, fighting broke out across the area between the Garre and the Degodia and spread to the Murule and Marehan clans, leading to further mass displacement.

- Labour migration is another form of migration that occurs in the Kenya-Somalia-Ethiopia cluster. Non-Somali Kenyans, mainly highland Kenyans, travel to Mandera town to take up government positions. Ethiopians also commonly migrate from Suftu and Doolow Ado to Mandera town in search of temporary manual labour opportunities.
- Migration for education occurs when Ethiopian and Somali nationals enrol in schools in Mandera county, where facilities are comparatively better. Due to a lack of employment opportunities in Somalia, many Somalis remain in Kenya once completing their education. Some Kenyan Somali college graduates seek work in Ethiopia, where the comparative skill level is lower. There are also reports of Kenyans migrating to Ethiopia to take advantage of lower fees and entrance qualifications at colleges and universities located there.
- Migration for health occurs when residents of Suftu (Ethiopia) and Beled Hawa (Somalia) travel to Mandera county to take advantage of better quality health services. Somali citizens also rely on Ethiopian health services, although this movement is undermined by restrictions on the Ethiopia-Somalia border.
- Migration for political purposes has occurred when clans seek to strengthen their voting numbers or their fighting capacity by importing clan members from across the border.

Cluster 3: Western Ethiopia-East Sudan

The border between Sudan and Ethiopia in this cluster area is generally flat, open and porous with many crossing points, including Guba, Sedal, Sherkole, Kumruk, Assosa, and Mao Komo. As a consequence, migration is common to this cluster, takes many different forms, and flows in both directions. In this context, the drivers of migration are diverse and many, and include political, environmental and economic – although the majority seem to move for economic factors, namely: unemployment, livelihood insecurity and the search for a better life. These migration dynamics are outlined in more detail below.

- Irregular migration is common across the cluster. Many irregular migrants make use of cross border market days when free movement is permitted once a form of ID is deposited at the border. This ID is returned upon re-crossing the border, however irregular migrants continue with their journey and leave behind their documents. Ethiopian migrants who enter Sudan irregularly reportedly hand themselves in back at the border. Once their identity is verified, they are allowed to return to Ethiopia regularly.
- Labour migration: people, mainly youth, from other parts of Ethiopia move to the area in search of employment in farming, mining, informal trade and service sectors. The supply of jobs does not, however, match demand, and many people engage in secondary migration to Sudan and beyond.

- Seasonal farm labour migration has been a very common form of movement in the cluster since the rise of mechanised commercial agriculture in the 1960s. On the Ethiopian side of the border, an estimated half a million workers are said to be employed on commercial farms during the peak production of sesame, corn and cotton. Most of these workers come from outside the area – from Amhara, Oromia and SNNPR. While data is limited, a large number of Ethiopians are also known to be employed in Sudan on agricultural farms, as well as on construction sites, restaurants and as domestic workers.⁹ The research uncovered a circular dynamic to seasonal labour migration, as many migrants move backwards and forwards between Ethiopia and Sudan to take advantage of the different agricultural seasons.
- Smuggling: These movements are often controlled by the so-called 'Salug', former labourers turned brokers who make a living facilitating employment of farm workers in Sudan and Ethiopia. Salug are said to have links to criminal gangs. The journeys of irregular migrants can be arduous; for example, en route from Almah (a transit point on the Ethiopia-Sudan border), irregular migrants must hide from security officials and make the 16-hour journey on foot through the desert to the farms.
- Trafficking: While official data is lacking, anecdotal evidence suggests that trafficking is occurring in the area.¹⁰ There are reports of internal trafficking of children on the Ethiopian side of the border, including girls for domestic labour or commercial sex work, and boys for the production of khat and peanuts, and cattle herding. Trafficking and other forms of irregular migration are facilitated by weak enforcement of the Trafficking in Persons (TIP) laws, gaps and challenges in the legal and justice sectors, and poor collaboration between police departments.
- Refugee movements: Ethiopia hosts more than 50,000 refugees from Sudan and South Sudan, as well as over 150,000 Eritrean refugees (UNHCR). An additional 112,000 Eritrean refugees were estimated to be living in Sudan as of the end of 2015 (ibid). Refugees often choose to leave camps and engage in income generation activities, such as agricultural labour and gold mining. Sudanese refugees have also been known to settle in Ethiopia without notifying the authorities or passing through the formal screening and refugee status determination (RSD) procedures. This irregular migration is generally facilitated by close ties with Ethiopians, who may be family members or friends. In addition, there are reports that some Eritrean refugees (exact numbers are not available) are recruited from camps in northern Ethiopia and sent to work on commercial farms in Ethiopia and Sudan. Eritreans also migrate irregularly to South Sudan. While conflict and instability there have deterred some from migrating to South Sudan, the borders are not closely controlled, and the

⁹ In a joint border meeting of Sudanese and Ethiopian officials, it was estimated in January 2016 that there were at least 3 million Ethiopian migrants in Sudan.

¹⁰ In one study, 85% of respondents from Guba, Pawe, Mandura, Kurmuk, Sherkole, Assosa, Mao Komo and Bambasi believed that human trafficking was taking place in their respective Woredas.

country continues to represent an important destination and/or place of transit for Eritreans. The preferred exit point from Ethiopia for most Eritrean migrants is through Mao Komo and, in some cases, Abramo-Assosa, both in Benishangul-Gumuz Region.

- Resettlement: Indigenous communities have been forced to move to make way for commercial farming activities and large-scale development projects. The Government of Ethiopia's villagisation programme has also led to the resettlement of indigenous groups. In addition, construction of the Grand Ethiopian Renaissance Dam (GERD) has seen the resettlement of 1,245 households in Guba Woreda.
- Migration for health purposes: with the renewal of war in Blue Nile State, people on the Sudanese side are crossing the border to take advantage of health care, especially for child birth, and also cheaper medicines in Ethiopia.
- Family visits and reunification: people have family and kin on both sides of the border, and move to visit these relatives.

Cluster 4: Eastern Sudan-Northwest Ethiopia-Eritrea

Migration is a common characteristic of this cluster, especially through Metema and the nearby crossing points. Two main forms of migration have emerged from the research: irregular out-migration, and seasonal labour migration to commercial farms.

- Irregular out-migration
Large-scale irregular migration is taking place in Cluster 4, often facilitated through smuggling and trafficking networks. The research identified four principle routes through Humera: The first, and most common, is the Humera - Rahwyen - Mai Kadra - Lugdi route, which has an asphalt road, up to Khartoum. The second is the Humera - Bereket - Digdema route, which has only a gravel road. A third is the Humera - Dima - Hamdite route. And the fourth, and least frequented, is the Humera - Rawyan - Tsebel route.

Ethiopian migrants intending to pass through to Sudan come to Humera from across the region, but mainly via Addis Ababa to Gonder. The movements of irregular migrants are often facilitated by smugglers, who use a range of tactics to move migrants across the border. Crossings are nearly always attempted at night. Bribery of border officials is also reported to be common. On some occasions, migrants will be obliged to cross the border on foot, before being met by a vehicle. Other times, they will cross the border by truck, often concealed inside or underneath the vehicle. Crossings may be made on a particular day when smugglers know the border official on duty, or when police presence is lower, such as during heavy rain or when a more urgent issue or event is occurring.

Most of these migrants are young (aged between 18 and 30 years) and literate. Data collected on irregular migrants intercepted at Metema showed that 66% of these migrants were aged between 18 and 30 years, 29% were under the age of 18, and only 5% were aged over 30 years. In terms of gender, 36% were female and 64% were male. Data on the numbers of irregular migrants passing through Humera was not available. However, it was reported that men far outnumber female migrants.

Contrary to popular assumptions, poverty and unemployment are not the only drivers of migration. In many cases, migrants come from families with sufficient income to pay the large amounts requested by the smugglers. Research found that many of these migrants were young Ethiopians who had failed to graduate from school and enrol in University. Not content to engage in low level or menial employment, these migrants opt to try to travel to Europe in search of better opportunities. Social and cultural factors, pressure from parents and peers and the presence of trafficking and smuggling networks, were also key drivers of migration in the Eastern Sudan-Northwest Ethiopia-Eritrea cluster.

Smuggling and trafficking networks are well organised with stations across the region. In addition to facilitating migration of people wanting to move, smugglers also actively recruit new migrants, often targeting young and vulnerable people. Reportedly, Eritreans are more likely to be trafficked than Ethiopian or Sudanese migrants, because traffickers believe they are more likely to have family in the diaspora who can pay large ransoms. Most of the people involved in trafficking and smuggling are originally from the border towns, and can therefore make use of their good local knowledge and contacts. According to informants, networks through Humera tend to start from Addis Ababa and then follow two principle routes: (i) Addis Ababa - Bahir Dar - Gonder - Humera, and (ii) Addis Ababa - Mekele, Shire - Humera.

- Seasonal labour migration linked to commercial farms

Thousands of labourers come to work on large-scale farms during peak agricultural seasons, such as weeding and harvesting. There are more than 400 large-scale farms in the area, mainly producing sesame, which is labour intensive and requires large numbers of seasonal workers. Exact figures do not exist, but this form of migration is estimated to attract around 200,000 people each year. Migrants stay in the region for a number of weeks or months before returning home or migrating somewhere else. Informants noted that the exceptionally high prevalence of HIV infection in the area is, at least partially, attributed to this influx of labourers. Due to a shortage of agricultural labourers in Sudan, many Ethiopian labourers also cross the border and work on Sudanese farms. Sudanese workers also regularly come to work on Ethiopian farms during the peak agricultural season.

Beyond the two main forms of migration outlined above, a number of other types of movement occur to a lower degree in the Eastern Sudan-Northwest Ethiopia-Eritrea:

- Refugee movements: Eritreans find it easier to pass into Ethiopia than Sudan. They tend to cross the border into Ethiopia and hand themselves over to the border police or the army, who will direct them to one of four refugee camps in northern Ethiopia. Having obtained refugee status, Eritreans will either wait to be resettled to a third country or use the remittances received from relatives abroad to pay smugglers to engage in secondary migration to another country; this is how many people begin their journeys towards Europe. Refugees from Eritrea, Sudan and Somalia, among others, pass through the Humera and Metema corridors on a regular basis. In Metema, police informants suggested that a minimum of 200 Eritrean refugees irregularly migrate to Sudan through Metema per week.
- Family visits and reunification: an estimated 600,000 Ethiopians and Eritreans migrated from Tigray to Sudan during the 1984 famine. Most, but not all, of these refugees repatriated starting from the early 1990s (most remaining in communities near the Sudan Border, at Ada Bai, Rawayan, Mai Kadra, Bereket, and other border settlements). Many people in Humera retain relatives in Sudan, whom they are entitled to visit provided they can produce the necessary paperwork. Nevertheless, some migrants who travel to Sudan for this purpose choose not to stay in Sudan, but rather migrate onwards towards Europe through Libya, Tunisia or Egypt.
- Business migration: Ethiopian businesspeople cross the border into Sudan and travel to Khartoum to carry out business transactions. In order to make this border crossing legitimately, they must provide the Humera immigration office with a letter from the Humera woreda administration, which states that they are law abiding citizens with a valid reason for travelling to Sudan. This migration flows both ways, and many Sudanese businessmen and visitors visit the Ethiopian side, mainly at Mai Kadra and/or Humera towns.

3.3. Cross border interventions

3.3.1. Existing initiatives in the areas

Cluster 1: Southwest Ethiopia-Northwest Kenya

The research identified 44 NGOs working in this cluster (24 in Ethiopia and 20 in Kenya). Few of these organisations are working on cross-border or parallel programming initiatives. Within Ethiopia, most of their programmes focus on livelihoods and resilience, and include interventions such as rangeland management, agriculture and water and sanitation. Projects dealing with conflict and instability are less common, perhaps as a result of the Charities and Societies Proclamation (No.621/2009), which has severely restricted NGO activities in these thematic areas. In Kenya, international donors and the Government of Kenya are collaborating on a number of large-scale projects designed to strengthen and diversify livelihoods, promote resilience and develop local markets. For a full summary of the region's initiatives and interventions, consult the individual field report.

IGAD is also active in the area. In the past, its main focus was on collection, analysis and dissemination of conflict early warning information. It is also involved in two regional projects: (i) the Regional Pastoral Livelihoods Resilience Project (RPLRP) and (ii) the Drought Resilience Sustainable Livelihoods Project (DRSLP), which focus on natural resource management, markets, livelihoods and disaster risk management. In spite of the regional focus of these projects, the present research suggests a weak collaboration between Kenya and Ethiopia, with little evidence of joint planning and consultation.

Cluster 2: Kenya-Somalia-Ethiopia

The research identified 24 interventions currently being implemented in this cluster. Most of these fall under two broad categories; (i) those that focus on resilience, especially climate change and drought, and their impacts on livelihoods, and (ii) those that focus on peace, security (especially border-security) and conflict-resolution. The majority of responses fall under the first category, perhaps as resilience is less politically charged than questions of peace and security, and therefore easier to implement. The fact that violent extremism has only spiked in recent years may also be a factor.

The majority of interventions occur within national borders; however, a few are being implemented across the cluster. These include the Climate Resilient Water Resources Development Projects, and the Community Sensitive Border Security and Management in the Kenya-Somalia-Ethiopia cluster. Some aid programmes, such as the Transition Initiative for Somalia (TIS) program (implemented by DAI) and the work of PACT in the Kenya border areas have also encouraged the sharing of cross-border facilities as part of an effort to strengthen local commitments to peace in border zones.

It should also be noted that, as a result of the increased threat posed by Al-Shabaab, international organizations are finding it increasingly difficult to operate in the region, especially on the Gedo side, but also in Mandera county, where they prefer to keep a low profile and often opt to engage local NGOs as implementing partners. Security challenges have caused some NGOs to reduce their operations, or even relocate to other areas altogether.

Government responses in the Kenya-Somalia-Ethiopia cluster tend to be driven by a focus on security (instability and conflict) rather than migration and displacement. This has certainly framed the Government of Kenya's interventions, which include official closure of the Kenya-Somalia border, increased military protection of government offices and installations, erection of a perimeter wall, and plans to established well-policed border crossings. While the Government of Ethiopia has securitised its border with Somalia, it has also sought to modernise rural livelihoods and economies through, for example, the mechanization of agriculture, and (usually) subtle discouragement of pastoralism.

Cluster 3: Western Ethiopia-East Sudan

The research identified 17 interventions in the cluster area. It was found that, with the exception of IOM, organisations tended to prioritise refugees, and were less focused on

initiatives for local people and hosting communities, and the issue of irregular migration. Furthermore, most international organisations did not implement their programmes with cross border operations or coordination in mind. The only exception was the ICRC, which collaborates with its Sudanese counterpart in locating lost or separated family members.

In contrast, the governments of Sudan and Ethiopia seem to be making greater progress in addressing the cross border issues of migration and instability. This includes:

- Establishment of cross border trade through shared market days on both sides of the border (see above for more details).
- The Government of Ethiopia established a Regional Council to prevent trafficking, which, whilst lacking in capacity, is taking steps to raise awareness of the dangers of irregular migration among young people.
- The Ethiopia-Sudan Joint Border Commission, which has economic, political and security elements. Structured at a national, regional and local levels, there are regular meetings between counterparts.

Cluster 4: Eastern Sudan-Northwest Ethiopia-Eritrea

The governments of Ethiopia and Sudan have also been active in implementing responses to cross border issues, such as security and irregular migration. These include:

- A joint security taskforce with representatives from the police, security, customs, army and local administrations (see above for more details).
- Mediation during occasional cross border conflicts involving, most often, farmers that have encroached on the land of another (see above for more details).
- Income generating activities launched by the Humera Town Administration, under the assumption that unemployment is the main cause of irregular migration of young people. These initiatives include the provision of training and loans, and generation of job opportunities through public works such as cobblestone laying projects. Generally, however, these efforts did not have much impact on levels of migration. Similarly, local Administration Offices in Metema collaborated to provide employment opportunities for unemployed youth from migration prone locations in North Gonder and Wollo.
- Community-based task forces, known as Community Discussion Forums, have been set up in 400 locations in Amhara, Tigray, Oromia, and in the SNNP regions. Their main purpose is to conduct public awareness campaigns to reveal the hazards of human smuggling and trafficking, and the need to provide information to local police and security agencies on these activities. Nevertheless, these activities have been undermined by poor coordination, accountability and data collection.
- In Metema, the Emergency Migrant Response Centre (EMRC) provides basic healthcare, food, shelter, sanitation, counselling and transportation to irregular Ethiopian migrants. This is a good example of a multi-stakeholder initiative as it brings together a number of partners including the town administration, Office of Labour and Social Affairs (OoLSA), Office of Administration and Security (OAS), police, Metema Youth Association and International Organization for Migration (IOM). Nevertheless, the centre does not involve Sudanese counterparts, and only

extends as far as Ethiopian nationals, meaning that foreign irregular migrants cannot benefit from these same services.

The number of non-state actors operating in the cluster area is very small, and none have a focus on migration. This represents a missed opportunity, as the social problems associated with irregular migration, including trafficking and the high prevalence of HIV and TB, are common. In this context, local authorities were unable to name any NGOs or their projects. The main NGOs operating in the area include: Organization for Social Services, Health and Development (OSSHD), Mums for Mums (MfM), Medecins sans Frontieres (MSF) Holland, ZOA Relief/Hope/Recovery and the Ethiopian Evangelical Church Mekane Yesus (EECMY).

3.3.2. Best practice and lessons learned

Across the study area, Initiatives and activities that have achieved the best results have tended to be those that:

- Adopt a cross-border approach. Given the cross border nature of the research areas, interventions that focus on one side of the border risk missing the wider dynamics and interrelationships of people and their social connections, economic activities, resources and movements. A cross-border approach is particularly relevant when it comes to interventions that focus on natural resources, and how best to share them, and livestock. Where a cross border approach is not feasible, interventions should seek, as far as possible, to offer parallel programming, so that similar services and activities are carried out on both sides of the border.
- Adopt a conflict-sensitive approach. All interventions should take into account the underlying conflict, instability and security issues of the area. Linked to this, steps should be taken to make sure that interventions themselves do not generate further instability or conflict through their activities, selection of beneficiaries and recruitment.
- Involve and build on traditional institutions and practices. For example, in the Southwest Ethiopia-Northwest Kenya cluster, the traditional practices of rangeland management have worked well in regenerating degraded pasturelands.
- Balance commercial interests and community needs. While the Government of Ethiopia's villagisation scheme has received much criticism, it has reportedly been more successful in Salamago Wereda, in Bodi. This is mainly because of the provision of free irrigation water for the village residents from the facilities of the sugar corporation. The Bodi have joined the villages, successfully produced two harvests of maize, and are expected to benefit through membership of the sugarcane outgrower scheme. It should be noted, however, that other groups in the

area, such as the Mursi, have not enjoyed these benefits, and there are concerns about land being taken from some groups to be given to others.

- Integrate peacebuilding. It is important to integrate peacebuilding into development works. This will help to ensure that projects are developed in a conflict sensitive manner and make use of early warning information, and conflict resolution and transformation tools. Involvement of non-state actors in peacebuilding initiatives and peace dialogue is an advantage.
- Take a market focus. For example, market integration of agro-pastoralists has worked well on the Kenyan side of the cluster.
- Support already existing mechanisms, especially informal cross-border arrangements between government or communities on issues such as disease surveillance and border security. Efforts to formalise and strengthen such arrangements would be very welcome.

4. Recommendations on Potential Opportunities for the EU

Based on their observations and interviews in the field, the researchers recommended the following programme interventions and implementing partners (as detailed in the tables below). For many of these interventions, the researchers also suggested that IGAD and/or relevant governmental ministries and line agencies assume an important role in terms of regional coordination and oversight.

It should be noted, that the researchers are not programme design or delivery experts, and that these interventions are suggestions only, which would require more detailed analysis, planning and stakeholder engagement by experts in programme design and delivery. Furthermore, as migrants (in many cases) do not originate from the cluster areas, interventions that seek to target migrants themselves may need to be implemented in areas of origin outside of the clusters themselves.

Cluster 1: Southwest Ethiopia-Northwest Kenya

Suggested Intervention	Potential Implementing Partners
1. A detailed, systematic and participatory land and water resource mapping exercise for the entire cluster.	Horn of Africa Regional Environmental Centre/Network (HoAREC/N)
2. Integrated water management interventions at local, national and international levels to ensure fair and sustainable access to water sources, and thereby build resilience, strengthen livelihoods and reduce instability.	Ethiopia: AFD, Catholic, GTLI, VITA, Farm Africa and EPaRDA Kenya: Catholic Diocese, Regal IR program, United States African Development Foundation and ACTED
3. Integration of peacebuilding into development works through mechanisms such as early warning information, field monitors, conflict indicators, conflict resolution and transformation tools, and dedicated studies into conflict prevention and resolution.	Ethiopia: PDC and PACT Kenya: Raim Raim, PACT Kenya, Mercy Corps, and KCCP
4. Rehabilitation of rangelands in agro-pastoral lowlands, through enclosures and greater reliance and use of local knowledge and customs.	VSF
5. Creation of a joint fishing zone in the border area to promote livelihood diversification, economic inter-dependence and greater resource sharing.	Ethiopia: Ministry of Livestock and Fisheries Resources Development; Regional and Zone Livestock and Fisheries Resources Development Bureau and Department; Omo Micro-Finance; and the Zone's Youth and

Suggested Intervention	Potential Implementing Partners
	Sport Department. Kenya: Ministry of Fisheries Development, and NGOs (such as Oxfam GB and SI).
6. Promotion of a sustainable regional tourism sector through infrastructural development (especially roads and hotels) and training for local communities in services and guiding.	N/a
7. Integration of commercial agriculture and agro-pastoralism through job creation and targeted CSR activities.	Ethiopia: AFD, Farm Africa, and VITA Kenya: Regal IR program, US African Development Foundation, PACT, Mercy Corps, Oxfam-GB, SI, SAPCONE and the FAO.

Cluster 2: Kenya-Somalia-Ethiopia

Suggested Intervention	Potential Implementing Partners
1. Peace building activities that build on the strengths and capacities of local actors.	IGAD, Pact, Red Cross, Danish Demining Group, AECOM and Interpeace.
2. A cross border livestock disease control and surveillance programme to counter the spread of transboundary animal diseases and promote better cross-border control.	IGAD and relevant Government Ministries in Somalia, Kenya and Ethiopia, with support from agencies and NGOs such as FAO, VSF, EPAG-K.
3. Recurrent and increasing drought are reducing herd sizes and undermining the local pastoral-based economy. In this context, interventions that target livestock are required to strengthen pastoralists' livelihoods and build resilience.	IGAD, FAO, RACIDA, Save the Children, EPAG-K, Lifeline Gedo and Red Cross.
4. Integrated water management interventions at both a localised and regional level in order to reduce resource tensions and promote fair and sustainable access to water sources.	IGAD and relevant Government Ministries and line agencies in Somalia, Kenya and Ethiopia, with support from agencies such as FAO (SWALIM), RACIDA and AgWA.
5. Renewable energy projects that tap into the natural resources to generate a green and sustainable energy supply, in particular solar and wind energy.	N/a
6. Support to Government of Kenya's plans to establish a technical training institute	Kenyan Ministry of Education, Science and Technology, and relevant line agencies.

and a teachers training college in Mandera County. These will build local capacity and reduce heavy reliance on workers from other parts of Kenya. Youth from neighbouring Somalia and Ethiopia would also benefit from the scheme.	
7. Irrigation schemes to decrease farmers' reliance on canal-based irrigation and improve productivity and diversity. Support to agricultural marketing and capacity building of farmers is also required.	FAO (SWALIM), Islamic Relief, AgWA, RACIDA and Aga Khan Foundation.

Cluster 3: Western Ethiopia-East Sudan

Suggested Intervention	Potential Implementing Partners
1. Projects that discourage young people from engaging in dangerous irregular migration through communications campaigns, job creation, technical and vocational training and business loans. The research identified livestock farming, fishing and gold mining as potential income generating opportunities for young people.	Bureau of Labour and Social Affairs; Bureau of Youth and Sport; Bureau of Education; Bureau of Agriculture; Bureau of Energy and Mines; Youth Associations; Regional Micro Finance Institution; Norwegian Refugee Council; Boro-Shinasha Development Association; and Civil Society Support Programme.
2. Support to community resilience by safeguarding their rights, environment and food security from issues such as large-scale development projects, climate change and land degradation. Also, increasing the productivity and profitability of local economic activities. Finally, by ensuring the hosting communities, not just refugee populations, are supported by development interventions.	Bureau of Agriculture; Bureau of Environmental Protection, Land, Administration and Use; Assosa Environmental Protection Association; Benishangul-Gumuz Development Associations Network (BGDN); World Vision Assosa; Administration for Refugees and Returnees Affairs; UNHCR; International Rescue Committee; Norwegian Refugee Council.
3. Support to victims of irregular migration and trafficking through humanitarian assistance and a passage home to stranded migrants, and, once home, rehabilitation and training initiatives.	International Organisation for Migration (IOM) and the Red Cross.
4. Capacity building of government	Bureau of Labour and Social Affairs; Regional

Suggested Intervention	Potential Implementing Partners
institutions in migration management and data collection, and support to the opening of regional Labour and Social Affairs bureaus.	Police; Bureau of Justice.
5. Enhanced cross border cooperation through better equipping of police force. Cross border interventions could also include joint socioeconomic initiatives linked to livestock, health and agriculture.	Police officers, health and agriculture departments located at the border areas; civil society organisations.
6. Peacebuilding activities between refugees and hosting communities, and better integration of refugee and local development projects, in order to reduce tensions and pressures between the two groups.	Administration for Refugees and Returnees Affairs; local elders; local government officials; refugee committees.

Cluster 4: Eastern Sudan-Northwest Ethiopia-Eritrea

Suggested Intervention	Potential Implementing Partners
1. Public awareness campaigns to raise awareness of the dangers of irregular migration amongst migrants and especially the youth.	Organization for Social Services, Health and Development (OSSHD); Mums for Mums (MfM).
2. While not all people migrate because of poverty and unemployment, these are certainly a major push factor for many. In this context, interventions should foster employment opportunities and economic empowerment, whilst also strengthening livelihoods and building community resilience.	Line agencies under Ministry of Labour and Social Affairs and Ministry of Youth and Culture; Bureau of Agriculture; Rural Land Administration Trade and Investment; youth and women associations; TdH Netherlands; ANPPCAN Ethiopia; Mahberehiwot for Social Development (MSD); World Vision; Action Aid; WABI; PADET; FSCE; CHADET; Organization for Social Services, Health and Development (OSSHD); ZOA Relief/Hope/Recovery; The Ethiopian Evangelical Church Mekane Yesus (EECMY); Mums for Mums (MfM).
3. Support to state infrastructure and capacity to ensure the proper implementation of policies and regulations designed to combat trafficking, smuggling and irregular	IOM, ERCS, UNODC, Ministry of Labour and Social Affairs, Federal and Regional Police, Immigration Authorities, Members of the Cross Border Joint Commission, Administration and Security offices.

Suggested Intervention	Potential Implementing Partners
<p>migration. This could include: tailored training programmes, provision of essential equipment; creation of joint investigation teams; and establishment of specialised police units at Zone and Regional levels to handle trafficking and smuggling cases. Any interventions should be preceded by a detailed assessment of existing capacities and gaps.</p>	
<p>4. Promotion of national and transnational cooperation and joint, cross-border interventions to tackle issues of smuggling and trafficking. This could involve financial and technical support, awareness campaigns and stakeholder engagement.</p>	<p>ILO; UNWOMEN; IOM; TdH Netherlands; ANPPCAN Ethiopia; Mahberehiwot for Social Development.</p>
<p>5. Regularisation of the employment and movement of farm labourers in order to better protect the rights of workers, reduce employer-employee tensions, and capitalize on the benefits accrued by foreign employment exchange services. This could involve legislative reform, bilateral agreements, creation of an employment exchange unit, and establishment of information recording and sharing systems.</p>	<p>International Labour Organisation (ILO); line agencies under Ministry of Labour and Social Affairs and Ministry of Foreign Affairs; Ethio-Sudan Joint Border Commission; IOM; and Red Cross and Crescent societies.</p>
<p>6. Intercepted or stranded migrants should be provided with protection and support services. Interventions could include expansion and replication of the Emergency Migrant Response Centre (EMRC); psychosocial, training, skills, technical and financial support for stranded and vulnerable migrants; and establishment of a formal referral system to facilitate the identification and provision of comprehensive services to victims of trafficking.</p>	<p>IOM; TdH Netherlands; ANPPCAN Ethiopia; Mahberehiwot for Social Development; Organization for Social Services, Health and Development (OSSHD); ZOA Relief/Hope/Recovery; the Ethiopian Evangelical Church Mekane Yesus (EECMY); Mums for Mums (MfM).</p>

Annex 1: Terms of Reference (TOR)

EUROPEAN EMERGENCY TRUST FUND FOR STABILITY AND ADDRESSING THE ROOT CAUSES OF IRREGULAR MIGRATION AND DISPLACED PERSONS IN AFRICA (EUTF)

CROSS-BORDER ANALYSIS AND MAPPING

TERMS OF REFERENCE

BACKGROUND INFORMATION

Partner countries

Eritrea, Ethiopia, Kenya, Somalia, Sudan, IGAD¹¹

Contracting Authority

EU Emergency Trust Fund Research and Evidence Facility

Regional background

For many years the Horn of Africa has been facing the challenges of extreme poverty, internal conflict, demographic pressure, environmental stress, weak institutions and infrastructure, and insufficient resilience to food crises. In some places this has led to displacement, criminality, radicalisation and violent extremism, as well as to irregular migration, trafficking in human beings and the smuggling of migrants. The security challenges have been increasingly linked to terrorist groups and illicit trafficking of all kinds, and the crisis has been exacerbated by the situation in Libya and Yemen, as well as by the internal conflicts in Sudan, South Sudan, and the Al-Shabaab insurgency.

The result is an ever-increasing forced displacement of people, within the region and beyond, with enormous humanitarian consequences. The economic environment in many parts of the Horn of Africa is deteriorating as economic activity and local and foreign investment decreases. Unemployment is rising, especially among young people. Growing inequality, lack of protection for vulnerable people, as well as limited rights and opportunities are producing a widespread sense of exclusion.

The region has a high population growth rate of 3% (with the total population doubling every 23 years) and an increasingly young population (over 60% of the estimated 242 million people in the region are young). If properly harnessed, this could represent a significant demographic dividend for the region, but must also be seen as an increased pressure on resources. However, the absolute number of poor people is increasing, while the number of people living on less than \$1 a day is only marginally declining.

Approximately 60-70% of the overall land area in the region consists of the remote and peripheral cross-border areas which have traditionally suffered from under-investment,

¹¹ Intergovernmental Authority on Development

although they are often the most vulnerable to instability. These are often arid or semi-arid areas, scarcely populated (estimated 30% of the overall population), where there are few government controls, and where criminal networks of traffickers and smugglers operate. The lack of equitable distribution of wealth to the detriment of peripheral areas and borderlands has resulted in a growing alienation between them and the central areas where power structures are concentrated. This tension between centre and periphery is at the root of the multiple political, economic, social and environmental vulnerabilities afflicting the region, whose effects transcend and spill over borders.

On 27 October 2015, the Council adopted *the Regional Action Plan for the Horn of Africa* and agreed to give priority to five groups of actions in the period 2015-2020, namely: regional security and stability, migration and forced displacement, counter-radicalisation and violent extremism, youth and employment, and human rights, rule of law and democratic governance. It also recognised that addressing these challenges will require interventions in **peripheral regions and across borders**, and will demand a better synchronised approach to the political, development, economic, migration, gender-based and security aspects of these issues.

The EU Trust Fund strategic orientation document for the Horn of Africa emphasises the **need for a new approach to peripheral and cross border areas**, providing a more targeted response to tackle the main determinants of vulnerability (marginalisation, exclusion, destitution) and targeting populations at risk (particularly youth) in particular where instability, forced displacement and irregular migration are playing out.

Current situation in the sector

At present, our knowledge of the cross-border and peripheral areas described above is limited, and we know very little about the security, political, economic, social, environmental and migration dynamics that affect them.

The European Commission wishes to explore the possibilities for a major project of around €80 million targeting up to four specific cross-border areas. These terms of reference set out the analysis that needs to take place, to provide us with the evidence on which to base a cross-border project proposal, and in particular to justify carrying out activities on a cross-border basis, i.e. using cross-border infrastructure, taking into account joint management of natural and other resources, working with areas under the jurisdiction of more than one local authority on both sides of the border. The EU does not wish to prejudge the analysis, but in the interests of providing a steer to the Expert Team, we can indicate that we would be interested to see a proposal that addresses resilience in some form – particularly in terms of the role that cross-border transactions and resource management play, especially in relation to water resources, in strengthening – or undermining - community resilience.

This analysis will form a discrete project for the purposes of the current exercise, but will almost certainly be the subject of further updating and possible expansion to other clusters in the future. Our long term objective will be to establish a greater knowledge of borderlands in the region, to help us respond operationally to the prevailing challenges.

The Research and Evidence Facility will assemble an Expert Team to undertake this study. As the eventual project proposal¹² must be in line with the aims and objectives of the EU Emergency Trust Fund (EUTF), the Expert Team should keep these objectives clearly in mind when identifying opportunities for future interventions. It will respond to the evidence obtained from this analysis and the collation of existing research; it should therefore be multi-faceted, addressing multiple vulnerabilities whose effects are of direct interest for the stability and development of the region, and for the EU. It will address factors contributing to instability and the root causes of irregular migration and displaced persons in Africa, through e.g. the creation of economic opportunities, the promotion of resilience, improving migration management and tackling overall governance deficiencies. The project should be implemented chiefly at local level.

A workshop took place in Nairobi in January 2016 to discuss the cross-border areas envisaged for an EU comprehensive stabilisation intervention, and engagement on three main cross border areas was considered relevant (Sudan-Ethiopia, Sudan-Ethiopia-Eritrea and Somalia-Ethiopia-Kenya). The EU Delegation in Addis Ababa subsequently made a study of six cross-border areas: Sudan-Ethiopia-Eritrea cluster; Ethiopia-East Sudan (Amhara cluster); Ethiopia-Somalia/Somaliland-Djibouti (Dikhil cluster); Kenya-Somalia-Ethiopia (the Mandera cluster); Uganda-South Sudan-Kenya-Ethiopia (Karamoja cluster); and South Sudan-Ethiopia (Gambella cluster). There is also interest in the area where the Omo river crosses the Ethiopia-Kenya border (South Omo cluster).

We would like to focus the analysis at the beginning on a limited number of clusters, in view of the complexity of managing cross-border activities, the heavy management required to coordinate activities and stakeholders in different sides of the border, and our own lack of direct experience of cross-border interventions. However, we would also like to introduce sufficient flexibility in the design of the project so that it could be scaled up in the future through the introduction of additional clusters based on experience drawn during implementation.

At this stage, we have selected the following four clusters to be the focus of this study:

- Sudan-Eritrea-Ethiopia;
- Mandera (Kenya-Somalia-Ethiopia);
- Amhara (Ethiopia-East Sudan);
- South Omo (Ethiopia-Kenya).

NB other clusters will be included in future studies.

Related programmes and other donor activities

USAID has conducted a number of activities in both clusters, amongst others a review of trades and markets relevant to food security in two of the clusters (2007); it has also conducted a conflict analysis of the Mandera cluster (2005), and implemented a number of

¹² The design of the interventions themselves will be the joint work of the European Commission (EUTF team and EU Delegations) together with partner countries

projects on conflict mitigation (PEACE I and II), as well as some cross border pilot livelihoods profiles (2009). The reports of these activities can be found on the internet.

The above information is only partial, and a more thorough collation of existing research conducted and programmes implemented in these four clusters is necessary.

Under the EUTF, a project worth €12 million was approved on 28 April 2016 to address stability through greater economic and livelihood opportunities in the North Eastern part of Kenya, Coastal Kenya and urban settings around Nairobi. Particularly in North East Kenya, the counties identified for the implementation of activities are: Garissa, Mandera, Wajir and Isiolo.

IGAD intends to establish a cross-border development facilitation and coordination unit in Moroto, Uganda, to serve as a pilot for the Karamoja cluster.

The World Bank is also planning a new *Initiative on Pastoralism and Stability in the Sahel and the Horn of Africa (PASSHA)* which will enhance monitoring and evaluation systems and knowledge on the link between pastoralism development and stability for regional organisations and programmes.

All countries in the region have EU-funded programmes that include conflict resolution - either as part of resilience programmes targeting diversified livelihood, food and nutrition security and natural resource management, or in specific livestock support projects.

OBJECTIVE, PURPOSE & EXPECTED RESULTS

Overall objective

The overall objective of this contract is as follows:

- To undertake, as a preliminary step in pursuit of a comprehensive mapping of the Horn of Africa area, a mapping and analysis exercise that will provide evidence for an €80 million intervention in support of greater resilience in four cross-border areas: the Sudan-Ethiopia-Eritrea cluster; and the Mandera (Kenya-Somalia-Ethiopia), Amhara (Ethiopia-East Sudan) and South Omo (Ethiopia-Kenya) clusters.

Purpose

The purposes of this contract are as follows:

- To gain a better understanding of the drivers of instability and irregular migration, and the sources of resilience; other dynamics affecting the areas, such as strategic, security-and crime-related, economic, political etc; and potential future scenarios;
- To catalogue the responses already provided by other donors, non-governmental and civil society organisations, IGAD, and partner state governments to address the dynamics referenced above; to assess what is working well, including activities carried out under existing protocols and working arrangements that span national borders, particularly where official cooperation is constrained; and to identify risks and constraints;

- To map and assess potential partners (including locally rooted organisations);
- To identify potential opportunities for engagement (and the baseline information that will need to be developed).

Results to be achieved by the Contractor

The Research and Evidence Facility should provide, in a single document:

- an in-depth analysis of the drivers of instability and irregular migration and other dynamics affecting the four locations, as well as an analysis of the size and profile of the target population;

comprehensive information on potential partners (including locally rooted organisations), and the areas in which they are able to operate;

recommendations on potential opportunities (and the associated risks) for productive engagement by the European Commission, where the EUTF would bring added value in the form of innovative measures, specific cross-border elements, actions targeting specific populations. NB these recommendations will be taken into account for the designing a project¹³, to be submitted to the EUTF Operational Committee towards the end of 2016. The current exercise will not be expected to produce concept notes or more detailed project plans;

identification of the baseline information and indicators that will need to be developed during the project formulation phase, to enable efficient monitoring of progress¹⁴;

an assessment of best practice and lessons learned from existing interventions (including what has worked and what has not worked, especially in terms of existing cross-border mechanisms), risks and potential mitigating measures against them.

as an annex, a catalogue of interventions by other donors, IGAD and partner states that address the dynamics in the four cluster areas.

ASSUMPTIONS & RISKS

Assumptions underlying the project

The Expert Team selected by the Research and Evidence Facility to carry out the analysis and mapping exercise will have the local knowledge, contacts and experience to fulfil the terms of reference, and would be able to do so even if there is a deterioration in security.

Partner governments at both national and regional level will facilitate access to the targeted areas.

¹³ Idem footnote 2

¹⁴ As different options for interventions could be proposed, the Expert Team is only expected to provide general formulation of indicators and baselines, which will have to be further refined in the project design phase

Risks

This is a research and evidence-gathering project, not a project designed to bring change, and so risks are assessed as low.

The Ethiopia-Eritrea border dispute may prevent official cooperation on the Sudan-Ethiopia-Eritrea cluster, although local, inter-village cooperation already takes place. Problems are likely to be posed by the closed border between Ethiopia and Eritrea, difficulties over getting travel permits to the border areas, and over data collection in Eritrea, and the suspension of Eritrea from IGAD. Nevertheless, this cluster represents an area of strategic interest for the EU, and so it is important for us to try to gain a better understanding of the local context.

In the Mandera (Kenya-Somalia-Ethiopia) cluster, there could be repercussions from the proposed closure of Dadaab refugee camp in Kenya and/or due to insecurity in the area. Researchers will need to be vigilant to security conditions on the ground and adaptations may have to be made to conduct the research to avoid giving the impression that the research is in any way associated with the discussions involving the Kenyan and Somali Governments and UNHCR about accelerated repatriation.

Recent reported fighting along the Eritrea-Ethiopia border may also preclude research in some relevant areas of that cluster.

A deterioration in security overall would hamper and possibly slow the work, but not necessarily prevent it.

SCOPE OF THE WORK

General

Project description

As appropriate, but with a recommended maximum of 40 pages, excluding annexes.

Geographical areas to be covered

- Sudan-Eritrea-Ethiopia;
- Mandera (Kenya-Somalia-Ethiopia);
- Amhara (Ethiopia-East Sudan);
- South Omo (Ethiopia-Kenya).

Target groups

See 4.2

Specific work

See section 2 above.

The Expert Team will consider all possible drivers of instability and irregular migration affecting the four clusters, including but not limited to:

- Prevalence, causes, manner and actual and intended destination of irregular migrants and other displaced people, including information on individuals' ability or desire to return home; data on migrant demographics, including wealth profile and use of remittances, ethnic/tribal/regional origins, educational levels, and if possible on extent and format of trafficking and smuggling networks;
- Prevalence, causes and effects of marginalisation and exclusion in general;
- Prevalence and reasons for conflict and violence including violent extremism, conflict over natural resources and the effects of climate change; socio-economic activities such as agriculture, fisheries and pastoralism, and other traditional systems

The Expert Team will also make an assessment of best practices and lessons learned from existing interventions (including what has worked and what has not worked), risks (including the attitude and intentions of the governments concerned) and potential mitigating measures against them.

It will also map and assess potential partners (including local organisations) and opportunities for engagement, as well as catalogue the responses already provided by other donors, IGAD, and partner state governments to address the dynamics; to assess what is working well; risks and constraints and options for future engagement.

The Expert Team will also consult the relevant EU Delegations and EU Member States, local NGOs and CSOs, other donors, IGAD, and partner state governments on responses currently being provided, as well as drawing information from local early warning systems, ACLED (the Armed Conflict Location and Event Data project), RMMS (Regional Mixed Migration Secretariat) and UN or other migration reports.

On the basis of the information and evidence acquired, the Expert Team will make an analysis of the overall situation, and will identify potential partners and opportunities for engagement by the European Commission that take full account of the four main areas of intervention.

Project management

Responsible body

EU Emergency Trust Fund Research and Evidence Facility

Management structure

The contractual relationship with the Expert Team will be established by the research and Evidence Facility, in accordance with the provisions of the contract between the Facility and the European Commission¹⁵. The Research and Evidence Facility will submit for approval of the EUTF HoA Team details of the Expert Team proposed for the assignment. The Expert Team should have appropriate experience and local knowledge to carry out the assignment.

¹⁵ Paragraph 4.3.3. of the terms of reference of the Research and Evidence Facility

The Research and Evidence Facility will be responsible for setting the terms of reference for the Expert Team, in line with this document, for determining fee levels, approving the CVs of team members, arranging or approving support services, and quality controlling the final product for presentation to the European Commission. There will not be a contractual relationship between the Expert Team and the European Commission.

The overall Expert Team will be made up of 2 researchers per cluster (total 8 researchers). One Research Coordinator (based in Nairobi) will be responsible for compiling and writing the final report and liaising between the field teams. Another Research Coordinator will also be assigned in Addis Ababa to provide logistical support to the teams while they are in the field (including facilitating passage across border and/or access to field sites), to gather information from organisations in Addis Ababa, and to report on the findings of field research for incorporation into the final report.

The Research Coordinator, Migration and Development Key Expert and REF Team Leader will work together closely to ensure that the team is clear about their assignment, to develop the detailed workplan for research, and to develop the research guides for the teams (to ensure harmonisation of results between the three teams).

Each team will be deployed for a total of 40 days' research time including travel. They will spend another 5 days writing up the results of their fieldwork into individual reports, which will be drawn from in the composition of the final report.

Fieldwork will be completed by 15 August, and the final report will be completed by 31 August for submission to DEVCO for feedback.

Contingencies have been included in the budget for delays that are not foreseen and for international flights if direct border crossings by land are not allowed.

Facilities to be provided by the Contracting Authority and/or other parties

The Research and Evidence Facility will provide the Expert Team with access to any relevant literature or information available to it.

LOGISTICS AND TIMING

Location

The work is likely to require extensive travel by the Expert Team to the geographical locations identified above, but the Expert Team may be based in the region or in Europe, wherever seems most appropriate.

Start date & period of implementation

The intended start date is 1st July 2016 and the period of implementation of the contract will be two months from this date.

A draft report is required by 20th August, and a final report by 31st August 2016.

Annex 2: Research Guide

EUROPEAN EMERGENCY TRUST FUND FOR STABILITY AND ADDRESSING THE ROOT CAUSES OF IRREGULAR MIGRATION AND DISPLACED PERSONS IN AFRICA (EUTF)

CROSS-BORDER ANALYSIS AND MAPPING

RESEARCH GUIDE

NB: This Research Guide should be read together with the complete Terms of Reference for the Study, which has been made available to all teams.

Questions to address

In general terms, the study teams are charged with gathering information relating to the security, political, economic, social, environmental and migration dynamics that affect the peripheral and border areas that they are assigned to. The purpose of this research is to identify and explore the possibilities for activities that can be proposed to be implemented in a cross-border or parallel way in border areas. The total amount to be committed for these activities (across all of the four clusters) is €80 million.

General

1. What is the size, population and ethnic composition of the border area? Specify the exact size and location of the border areas being studied.
2. What infrastructure is available on each side of the border? What cross-border infrastructure is available (e.g. roads, shared facilities, etc.)
3. How are resources managed and are there any joint or shared resource management mechanisms?
4. What economic activities are practiced in the border areas? What economic and social connections exist between communities on both sides of the border?
5. With reference to water resources specifically, what kinds of water management systems are in place, and are there any shared cross border systems or ways in which water management on each side of the border comes into contact with the other side (including in generating conflict)?
6. What are the sources of vulnerabilities in the border areas? – e.g. unemployment (how high is unemployment), high numbers of female headed households, limited land or landlessness, population pressure, insecure or irregular access to water,

fluctuating food or transport prices, irregular availability of waged labour opportunities, conflict with surrounding communities, etc.

7. What security concerns, if any, need to be considered?

Migration and Stability

1. What are the forms of migration in the area (displacement due to what? Labour migration? Seasonal migration for pastoral grazing or agricultural practices? Resettlement? Migration as a result of environmental change, Etc.
2. Is irregular migration (exit without authorisation, displacement, engagement in smuggling or trafficking networks) going on in this cluster? What information can be gathered about this? Are the numbers and frequency of migration known? Who is migrating? From where to where? Are the moves likely to be temporary or permanent?
3. What are the reasons that people move or migrate?
4. What are the principle causes of instability or conflict? Who are the main sources of instability/tensions that affect people in the area? How do these relate to dynamics across the border?

Actors/Activities

1. What responses are already provided by other donors, non-governmental and civil society organisations, IGAD, and partner state governments to address migration, displacement and instability? The team should map who is working in the area, on each side of the border. Any cross border activities should be noted. The activities of each actor should be noted, and a brief summary of what is known about each activity should be provided.
2. What priorities does IGAD identify for each cluster? What activities might be implemented there?
3. Please include activities carried out under existing protocols and working arrangements that span national borders, particularly where official cooperation is constrained. Also identify risks and constraints to implementing such activities.
4. What activities would you recommend be undertaken in these areas? What additional information may be needed to carry out the activities?
5. Please provide an assessment of best practice and lessons learned from existing interventions (including what has worked and what has not worked, especially in terms of existing cross-border mechanisms), risks and potential mitigating measures against them.

Information needed from Addis Ababa and/or Regional capitals:

1. Relevant area-based development plans or policies
2. IGAD IDRSSI plans/policies
3. Any programme evaluations, needs assessments, or analyses of ongoing or past work conducted in the area.
4. Discuss with EC Delegations priorities for programming, what the interests are in terms of finding information that can inform programming
5. Possibly discuss with line ministries (water, livestock and fisheries, agriculture, etc.) about needs in the selected areas.

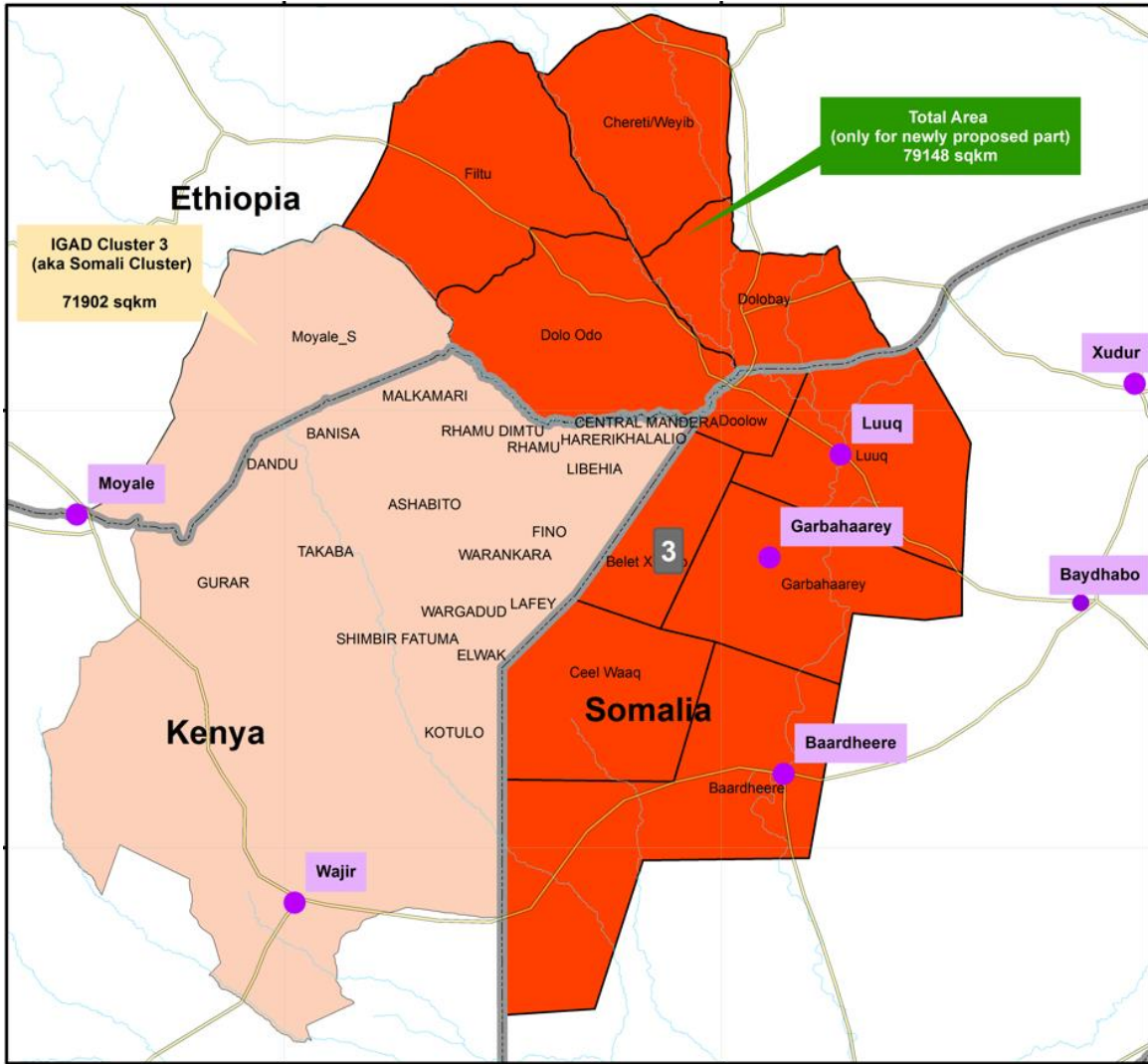
13 July 2016

Annex 3: Cluster Area Maps

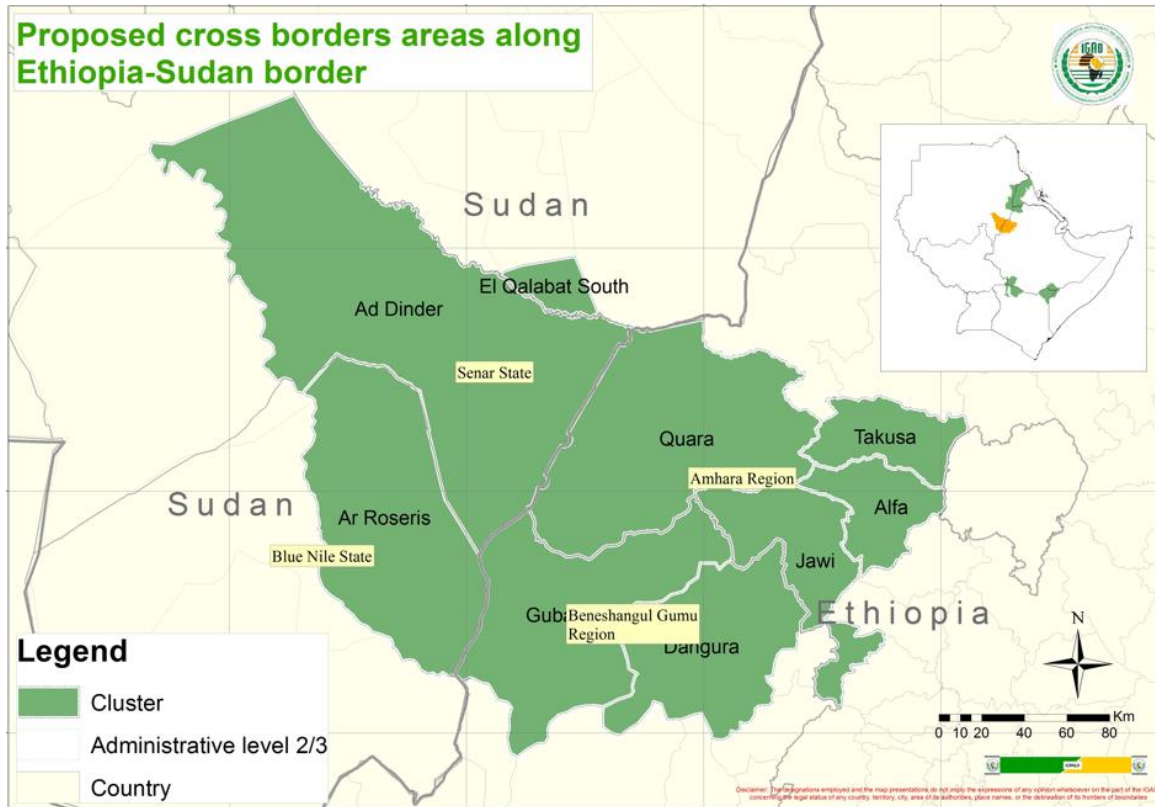
Cluster 1: Southwest Ethiopia-Northwest Kenya



Cluster 2: Kenya-Somalia-Ethiopia



Cluster 3: Western Ethiopia-East Sudan



Cluster 4: Eastern Sudan-Northwest Ethiopia-Eritrea

