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Regional Economic Development Services Office for Eastern and Southern Africa

Strategic Plan 2001-2005

Strengthening Partnerships and Capacity

"What do we in Africa expect from our partners to improve the prospects for our development? We seek five kinds of international solidarity: We ask partners to support conflict prevention and peace processes, to foster ethical behavior by public and private actors, and to seek the high moral ground in international discussions. Second, we invite partnerships to reinforce homegrown policies and Africa-led initiatives and to facilitate a process of consensus building around shared goals and priorities. Third, partnership should also share reasonable risks. New leaderships are coming to the fore in Africa, and while it is easy and important to back acknowledged winners, it is even more insightful to support emerging winners. Fourth, in our bid to reduce poverty and encourage growth, Africa can learn much from partner countries where social development has been well practiced Fifth, in mobilizing resources for Africa's development, we must exercise the most insightful and highest quality modalities of cooperation with a continent that cannot afford mistakes."

K.Y. Amoako, from "Address at the U.S.-Africa Ministerial,"
the White House,Washington, D.C.,16 March 1999

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This Strategic Plan for FY 2001-2005 for REDSO/ESA has been a work in progress for several years. Much effort was spent figuring out how to best address the ever evolving and expanding mandates and initiatives in the face of diminishing human, OE and program resources. These challenges reflect the on-going management dilemma of the Agency. The difference here has been the felt-need to address them using a sub-regional rather than bilateral perspective.

Regionalism is the cornerstone of this strategy. The focus is upon empowering African organizations to identify and solve their own problems. The strategy's key elements are:

- Strengthening the capacity of African organizations to play a lead role in critical areas;
- Improving networks and partnerships so that a broader cross-section of the population works together to solve common problems;
- Providing access to appropriate technologies and better practices;
- Enhancing the policy environment, and
- Expanding access to information.

Extensive research was done and consultations were conducted with a wide host of donors, African partners, Global and Africa Bureau colleagues and client USAID missions in preparation for this strategy. What emerged was a striking convergence of thought, both in the development literature and among those consulted, around the importance of the above elements and themes in promoting a healthy, food secure and peaceful ESA region.

The strategy was developed in accordance with the planning parameters. A conservative approach was taken in developing the resource request in view of Africa Bureau and Agency constraints. To this end, the strategy straight-lines the OE budget at $5.7 million for each of the five years; straight-lines program and OE funded staffing at the Bureau approved level of 128 (with additional proposed program PSCs for the expanded Sudan STAR program and GLJI activities in Burundi), and maintains OYB request levels at $25.2 million per year (including Sudan and Somalia at $3 million each). Also included is a higher budget scenario that increases program funding for Burundi, Somalia and Sudan, reflecting greater Congressional, NSC and

State Department interest and potential breakthroughs in ongoing peace processes. Should REDSO's Non-Presence Country portfolio significantly expand, additional OE resources would be necessary as well.

We look forward to the strategy's review and hope that everyone will share in our excitement as we to begin this fresh start. We hope it will bear bountiful fruit for a beleaguered region.

Steven G. Wisecarver
Acting Director
REDSO/ESA

TABLE OF CONTENTS

Executive Summary 5

PART ONE: ASSISTANCE ENVIRONMENT 8
Introduction 8
Regional Overview: Trends in the 1990's 9
Regionalism: Opportunities and Constraints 14
Strategic Reasons For REDSO/ESA Regional Program 18

PART TWO: REDSO'S ROLES AND RESPONSIBLITIES 23
Evolving Roles and Responsibilities 23
Customers/Partners and Consultative Process 28

PART THREE: STRATEGIC OVERVIEW 30
REDSO's Strategic Construct 30
Relationship between REDSO Strategy and GHAI Strategy 35

STRATEGIC OBJECTIVE FIVE: ENHANCED AFRICAN CAPACITY TO ACHIEVE REGIONAL FOOD SECURITY 35
- Strategic Objective Statement 35
- Problem Statement 36
- Progress to Date 37
- Development Hypothesis and Critical Assumptions 38
- Results Framework 39
- Linkage to Agency, AFR/SD and Global Objectives 44
- Partners and Consultative Process 44
- Funding Scenarios and Their Implications 46

STRATEGIC OBJECTIVE SIX: ENHANCED CAPACITY FOR MANAGING CONFLICT IN THE REGION 47
- Strategic Objective Statement 47
- Problem Statement 48
- Progress to Date 49
- Development Hypothesis and Critical Assumptions 50
- Results Framework 52
- Linkage to Agency, AFR/SD and Global Objectives 56
- Partners and Consultative Process 57
- Funding Scenarios and Their Implications 58

STRATEGIC OBJECTIVE SEVEN: ENHANCED REGIONAL CAPACITY TO IMPROVE HEALTH SYSTEMS 59
- Strategic Objective Statement 59
- Problem Statement 60
- Progress to Date 61

Development Hypothesis and Critical Assumptions 62
Results Framework 63
Linkage to Agency, AFR/SD and Global Objectives 68
Partners and Consultative Process 69
Funding Scenarios and Their Implications 70

STRATEGIC OBJECTIVE EIGHT: EFFECTIVE SERVICES TO ESA MISSIONS AND SUPPORT TO REGIONAL PARTNERS 70
Strategic Objective Statement 70
Problem Statement 71
Progress to Date 72
Development Hypothesis and Critical Assumptions 72
Results Framework 73
Linkages to Agency, AFR/SD and Global Objectives 78
Partners and Consultative Process 78
Funding Scenarios and their Implications 79

STRATEGIC OBJECTIVE NINE: EFFECTIVE DELIVERY OF USG ASSISTANCE TO NON-PRESENCE COUNTRIES 79
Strategic Objective Statement 79
Problem Statement 80
Assistance Goals, Objectives, and Results Frameworks 81
Link to Other REDSO Objectives, USG Policy, and Regional Performance Plan 84
Funding Scenarios and Their Implications 85

PART FOUR: RESOURCE REQUIREMENTS 92
Program Funding Requirements 92
Program Funding Scenarios and Their Implications 92
Workforce and Operating Expense Requirements 103

ANNEXES 106

ACRONYMS

ACTS	African Centre for Technology Studies
AEC	African Economic Community
AFR/DP	Africa Bureau/Development Planning Office
AFR/EA	Africa Bureau/East Africa Office
AFR/SA	Africa Bureau/South Africa Office
AFR/SD	Africa Bureau/Sustainable Development Office
AFSI	Africa Food Security Initiative
AIDS	Acquired Immune Deficiency Syndrome
APP	Agency Performance Plan
ASARECA	Association for Support to Agricultural Research in East and Central Africa
ATRIP	African Trade and Investment Policy Program
BHR	Bureau for Humanitarian Response
CAFS	Centre for African Family Studies
CECORE	Centre for Conflict Resolution
CEWARN	Conflict Early Warning and Response Network
CGIAR	Consultative Group of International Agricultural Research
COMESA	Common Market for East and Southern Africa
CPAF	Conflict Pilot Activities Fund
CQUICK	Conflict Quick Response Fund
CRHCS	Commonwealth Regional Health Community Secretariat
CRM	Coastal Resources Management
CRMCBP	Coastal Resources Management Capacity Building Program
CSOs	Civil Society Organizations
DMC	Drought Monitoring Centre
DRC	Democratic Republic of Congo
EAC	East African Community
ECA	Economic Commission for Africa
ECCAS	Economic Community of Central African States
ECOWAS	Economic Community of West African States
EDDI	Education for Democracy and Development Initiative
ESA	East and Southern Africa
ESABO	East and Southern Africa Business Organizations
EU	European Union
FCC	Federal Communications Commission
FFP	Food For Peace
GDP	Gross Domestic Product
GHA	Greater Horn of Africa
GHAI	Greater Horn of Africa Initiative
GLJI	Great Lakes Justice Initiative
GTN	Global Technology Network
GTZ	Gesellschaft für Technische Zusammenarbeit (German Development Cooperation)
HASP	Horn of Africa Support Project
HIV/AIDS	Humane Immuno-deficiency Virus/Acquired Immune Deficiency Syndrome

IASP	Inter-Agency International Affairs Strategic Plan
ICTs	Information and Communication Technologies
IDPs	Internally Displaced Persons
IEDI	Internet Economic Development Initiative
IGAD	Inter-Governmental Authority on Development
IR	Intermediate Result
ISA	Initiative for Southern Africa
ISGM	Institutional Strengthening and Grant Management
IWG	Inter-Agency Working Group
NGOs	Non-Governmental Organizations
NPCs	Non-Presence Countries
OAU	Organization of African Unity
OAU/IBAR	Organization of African Unity Intergovernmental Bureau for Animal Resources
OECD/DAC	Organization for Economic Cooperation and Development/Development Assistance Committee
OFDA	Office of Foreign Disaster Assistance
OFDA/ARO	Office of Foreign Disaster Assistance - Africa Regional Office
PASA	Participating Agency Service Agreement
PHN	Population, Health and Nutrition
PVOs	Private Voluntary Organizations
RCO	Regional Contracting Officer
RCQHC	Regional Centre for Quality of Health Care
REDSO/ESA	Regional Economic Development Services Office for East and Southern Africa
RF	Results Framework
RFMC	Regional Finance Management Centre
RFP	Request for Proposals
RFS	Request for Solicitation
RLA	Regional Legal Advisor
SACB	Somalia Aid Coordination Body
SADC	Southern Africa Development Community
SO	Strategic Objective
TTCA	Transit Traffic Coordination Authority for the Northern Corridor
UMA	Arab Maghreb Union
UN	United Nations
UNDP	United Nations Development Program
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNICEF	United Nations Children's Fund
UNISOM	United Nations Mission to Somalia
USAID	United States Agency for International Development
USDA	United States Department of Agriculture
USG	United States Government
WIOMSA	Western Indian Ocean Marine Sciences Association
WSP	War-torn Societies Project

Executive Summary

Introduction: At the beginning of a new millennium, the Africa Bureau has articulated a vision "of a new Africa that is viewed as an equal partner by the global community; an Africa that is future oriented, responsive to citizens through robust democratic institutions; an Africa committed to developing strong market economies and to investing in education, training and infrastructure" (Lowery Derryck 2000). REDSO's new strategy for 2001-2005 will directly contribute to achieving this vision through its partnerships with, and capacity building of, regional African organizations.

Until the mid-1990's, REDSO traditionally focused on providing services to bilateral missions in the region, implementing limited regional activities. REDSO will continue to provide the full complement of core services in the areas of contracting, legal, financial management, food for peace, information technologies, conflict management, health, population and nutrition, and Reg. 216 guidance. More traditional technical services in areas such as agriculture, economics, behavioral science, democracy and governance, among others, will decrease as REDSO increasingly focuses on its regional agenda of food security and conflict management in the Greater Horn, as well as on health and HIV/AIDs throughout East and Southern Africa.

Regional Overview: At the same time that civil conflict subsided in a number of East and Southern African countries, violence both internally and across borders has emerged in others. Mechanisms to manage conflict remain weak. The impact of conflict has been to delay or even to reverse development efforts. Economic performance throughout the region has been similarly uneven. Highest performance has been primarily the result of improved policies rather than weather or other exogenous factors. Unsustainable resource exploitation practices threaten the environmental wealth of ESA which contains many of the world's protected areas (e.g. Serengeti, Ngorongoro, Rwenzori Mountains) and biodiversity hot spots (e.g. Eastern Arc Mountains, Ethiopian Highlands).

HIV/AIDS is now the leading cause of death in Africa. The impact extends to national productivity, comparable to the effects seen in Europe as a result of World War I. The Clinton Administration recently declared HIV/AIDS a threat to American national security, as economic disruption and further impoverishment caused by the disease seem likely to lead to increased conflict. The gap remains between men's and women's opportunities and participation in economic and social development. Women and children are the most vulnerable to conflict in the region, and shoulder the burden of economic rebuilding. However, women are increasingly playing important roles as peacemakers and mediators. Rapid global advances in the information and communications technologies have opened windows of opportunity for accelerated social and economic development.

Opportunities and Constraints: There have been substantive successes in some areas, particularly in countries that have enacted appropriate policies. African leaders are increasingly engaged in peace processes in the region. Regionally oriented organizations have emerged and strengthened. Regional economic and political integration is critical for success in the global economy. "A regional approach is vital, not only to encourage trade flows between African countries themselves, but also, and perhaps more importantly, to provide a wider platform to encourage investment. Infrastructure, information and communications technology, and financial services play an

important role in this process. Without access to these services, most people will be excluded from development and growth will be slowed" (World Bank 2000). Regional sharing of information is critical to solve health, conflict, and food security challenges. A number of regional organizations are focused on the task of building a regional economic, and eventually political community, starting with free trade areas. REDSO will focus its efforts on the strengthening of these regional organizations.

Strategic Reasons for the REDSO Regional Program: The Institute for National Strategic Studies "Strategic Assessment 1999" argues that "African institutional development is the single most important objective over the mid-term...non-state actors and/or institutions should receive priority attention and funding...the United States will need to focus on regional and sub-regional solutions because of the inadequacies of Africa's national states" (1999:167). There is a growing unease with the relative amount of humanitarian versus development assistance being provided in the region. The Inter-Agency International Affairs Strategic Plan (IASP) indicates that the USG will seek to reduce regional conflicts in part by finding ways to "address the root causes of conflict both multilaterally and bilaterally, using development assistance and support to democracy" (USAID General Notice 0623).

The Greater Horn of Africa Initiative (GHAI) was launched in 1994 based on a recognition of the need for a new framework and new approaches to address post-Cold War problems in this region. Consultations with governments and civil society indicated that a commitment to African capacity to resolve problems must underlie all efforts, and that food security and conflict are linked. The GHAI strategy is therefore guided by the principles of African ownership, strategic coordination, linking relief to development, a regional perspective, and promoting stability. Increased use of information and communications technologies (ICTs) is critical to the success of REDSO's regional agenda.

REDSO's Evolving Roles and Responsibilities: REDSO's regional programs have been refocused to take better advantage of synergies between activities. REDSO has been restructured to facilitate coordination of the GHAI. The provision of services to bilateral USAID Missions to implement the GHAI and to achieve a convergence of GHAI regional and bilateral programs will take priority over other types of technical services. Core services will be made available to all Missions in East and Southern Africa, though with priority to the Greater Horn and smaller Missions. Technical services outside the Greater Horn are expected to decline. REDSO also has full implementation responsibility for programs in three countries where there is no bilateral USAID Mission. Somalia and Sudan have ISPs. An ISP for Burundi will be developed within the next year. A number of management issues continue to constrain efforts to improve linking relief to development and improved synergies between humanitarian and development assistance.

Customers/Partners: REDSO addresses the needs of African citizens through regional organizations. Key partners are the InterGovernmental Authority on Development (IGAD), the U.N. Economic Commission for Africa (ECA) , the Common Market for East and Southern Africa (COMESA), the East African Community (EAC), the Association for Support to Agricultural Research in East and Central Africa (ASARECA), the Commonwealth Regional Health Community Secretariat (CRHCS), and several others. Bilateral missions, USAID/W bureaus and offices, U.S. Embassies

and the State Department, as well as international research institutes and PVOs/NGOs, are also key REDSO partners.

REDSO's Strategic Construct: Regionalism is the cornerstone of the new REDSO strategy. REDSO sees development as the expansion of choices, and therefore focuses on empowering African organizations to identify and solve their own problems. The key elements of REDSO's strategy are strengthening the capacity of African organizations to play a lead role in critical areas, improving networks and partnerships so that a broader cross-section of the population works together to solve common problems, providing access to appropriate technologies and better practices, enhancing the policy environment, and expanding access to information.

The REDSO strategy fully supports the GHAI strategy with a focus on food security and conflict management, with the addition of improving health systems. To this end, REDSO has identified five strategic objectives. These are

SO5: Enhanced African Capacity to Achieve Regional Food Security;
SO6: Enhanced Capacity for Managing Conflict in the Region;
SO7: Enhanced Capacity to Improve Health Systems;
SO8: Effective Services to ESA Missions and Support to Regional Partners; and
SO9: Support to Non-Presence Countries.

The general building blocks for achieving these objectives are:

Organizational Strengthening;
Increased Availability of Appropriate Technologies and Practices;
Increased Networking and Cooperation;
Increased Availability of Information and Use of Communication Technologies; and,
Improved Policy Environment.

Results: At the end of the five-year strategy, there will be a number of mature, sustainable regional organizations in ESA that have the internal capacity to operate effectively to achieve their and the region's agendas in the areas of conflict management, food security and provision of health services.

PART ONE: ASSISTANCE ENVIRONMENT

Introduction

At the beginning of a new millennium, the Africa Bureau has articulated a vision "of a new Africa that is viewed as an equal partner by the global community; an Africa that is future oriented, responsive to citizens through robust democratic institutions; an Africa committed to developing strong market economies and to investing in education. training and infrastructure" (Lowery Derryck 2000). To play a part in achieving this vision, the Regional Economic Development Services Office for Eastern and Southern Africa (REDSO/ESA) has looked closely at its programs, priorities and comparative advantage and has devised a strategy that supports United States Government (USG) interests in the region, responds to the expressed needs of Africans and their institutions, is flexible enough to cope with changing resource allocations, and can show results within a five-year time frame.

In preparing the strategy for 2001-2005, REDSO reexamined its role and relationship to bilateral missions, other donors and African organizations working in the region. Analyses by staff indicated that REDSO has a crucial role in facilitating the growing regional agenda of governments and civil society by strengthening regional institutions, enhancing networks, transferring knowledge and helping to create a positive policy environment. This review included a range of considerations: individual country and Mission programs; USG strategic interests; visions and plans of important regional organizations; relevant technical analyses; and the regional nature of the key problems facing the ESA-- food security, conflict and HIV/AIDS.

Traditionally the scope of REDSO's activities covered twenty-two countries of East and Southern Africa (ESA). For most of the Office's history, the emphasis was on providing business, technical and analytical support services to achieve USAID bilateral mission objectives while REDSO implemented limited regional activities. REDSO will continue to provide core services and more limited technical services to a range of bilateral missions (see Parts Two and Three). However, a regional program emphasizing food security and conflict management in the Greater Horn of Africa, and health and HIV/AIDS activities in all of the ESA, has emerged as a complement to Mission efforts in the region. The rationale for expanding REDSO's regional role was articulated in 1997 by the then REDSO Director (Brown 1997). Events in the region since then serve only to confirm the importance of such a role for USG engagement in ESA.

Contextualizing the REDSO strategic plan for the next five years entails an appreciation of the current and frequently changing economic and political situations in ESA, especially within the Greater Horn of Africa (GHA) and the Great Lakes. The GHA consists of the following ten countries Burundi, Djibouti, Eritrea, Ethiopia, Kenya, Rwanda, Somalia, Sudan, Tanzania and Uganda The Great Lakes consists of Rwanda, Burundi and the Democratic Republic of Congo (DRC). It is critical to understand the existing REDSO program and evolving priorities since the Greater Horn of Africa Initiative (GHAI) was conceived in 1994, and its Strategic Plan was approved in fall 1997. Finally, some sense of REDSO's own operating environment and constraints

as well as the views of its major "customers" and "stakeholders" in both the United States and the region is important. In the remainder of Part One, these elements will be presented.

Regional Overview: Trends in the 1990's

A Conflicted Region: Looking at the ESA region as a whole, only marginal progress has been made in terms of economic, political and social indicators although there was considerable optimism at the beginning of the 1990's. Civil wars ended in Mozambique, Ethiopia, Namibia and South Africa, with the latter peacefully transitioning to majority rule. Several countries instituted multiparty electoral systems and economic reforms. Yet progress is uneven and easily reversed as seen by the violent border dispute between Ethiopia and Eritrea and Mobutu Sese Seko's removal in Zaire (renamed Democratic Republic of Congo--DRC), which has not resulted in a more democratic or peaceful regime. In addition, observers are becoming concerned about the spread of current violent confrontations over land ownership in Zimbabwe, a country that has been a model of stability since independence in 1980.

Competition is an inevitable part of life for virtually every citizen of the Greater Horn of Africa (GHA), whether it is competition over natural resources -- a plot of land, a scrap of pasture, or access to a watering hole -- economic position and access, or political power. In combination with the political and economic liberalization that began in much of the region a decade or so ago, and a weakening of indigenous systems of governing and social control, uncontrolled competition has become an increasingly dominant factor shaping day-to-day existence in the region. This, combined with a proliferation of small arms, despots who refuse to relinquish power and entrenched corrupt elites, creates a high level of volatility in the region.

Unfortunately, mechanisms to manage conflict are still weak or non-existent in many states of the GHA where violent conflict has become endemic. Currently armed conflicts are occurring within Kenya, Sudan, Uganda, Burundi, Somalia and Rwanda, and between Eritrea and Ethiopia. Of the ten GHA countries, only two, Tanzania and Djibouti, have not experienced major violent conflict in recent decades. Even these two countries are facing armed or occasionally violent opposition groups. The costs of these conflicts, ranging in the GHA from ethnic cleansing to inter-group cattle rustling to genocide and war, can retard or reverse a country's development efforts by years. Among such costs are the following:

- *The human toll* in lives lost and the collateral damage when families cannot meet basic needs, with particular consequences for women and children;
- *Impacts on communities* as conflict and war destroy social fabrics and indigenous coping mechanisms;
- *The effects on national economies* as resource bases are devastated and resources channeled from productive to military requirements;
- *Repercussions within national political institutions* when traditional institutions and power relations are altered;
- *Threats to regional stability and security* if national political disputes spill over into neighboring countries;
- *Humanitarian and reconstruction aid costs* incurred to rebuild strife-or-war-torn societies;
- *A rising price tag for peacekeeping,* which is now reaching unprecedented levels; and

- *Lost opportunities for development, commerce and investment* as scarce funding is siphoned off into emergency relief, which has tended to become the dominant assistance modality in recent years.

In addition to the financial costs of assisting refugees and internally displaced persons (IDPs) and addressing other problems cited above, there are often very high political costs for the USG. US foreign policy and international cooperation are all negatively impacted as foreign policy goals are thwarted and prospects for international order are diminished.

Economic Zigzags: Economic growth rates have been uneven as well. Some countries such as Uganda and Mozambique have grown well above global levels, but in many others, economic growth is not even keeping pace with population growth. However, the Agency Performance Plan (1999c) states that Africa, where performance has been weakest, has achieved striking improvements in some of the indicators tracked. Of note is the analysts' conclusion that this is mainly because of improved policies, rather than because of weather, terms of trade, or other exogenous factors. The target for "average annual growth of more than 1 percent in per capita income" was exceeded in seven ESA countries, while two just fell short of the mark; however it was negative in three other countries. The Economic Freedom Index is used to measure increased openness and greater reliance on private markets. Here, Africa showed the lowest rate (50%) of improvement in all parts of the world USAID assists (i.e. Latin America and Caribbean countries were at 80%) and progress declined in some African countries.

For agricultural growth, USAID's Agency target is "average annual percentage growth in agriculture at least as high as population growth in low-income countries". This was met in 7 of the 8 ESA countries considered. Agriculture growth was greatest in Malawi (24 percent) and Rwanda (10 percent); however, in Rwanda high population growth rates as a result of repatriation following the 1994 civil war resulted in negative agricultural growth per capita. Overall, agricultural growth outpaced population growth by 7 percent for USAID countries in Africa having agricultural programs.

Sustainable management of natural resources is also tracked by USAID. Since 1991, the average annual growth in income generated through USAID-funded natural resource management programs in Africa has doubled every year. In the countries where USAID is active in biodiversity conservation efforts, populations of key indicator species are stable or increasing (USAID 1999c).

Poverty Reduction: There are roughly 300 million poor and near-poor people in Africa. Many of these people who exist on less than $2 per day live in ESA (World Bank 1999). The Africa Bureau Vision Statement (Lowery-Derrick 2000) identifies alleviating poverty as the heart of USAID's mission of economic development. Poverty alleviation is seen as the business primarily of the sustainable development countries -- those that are stable, moving toward greater popular participation, and able to effectively engage in the traditional sectors. The OECD/DAC Informal Network on Poverty Reduction is producing Guidelines for Development Partnerships in Support of Poverty Reduction which will synthesize knowledge and experience in working with development partners towards a shared development goal: reducing extreme poverty by half by 2015 (DAC 1999). One way to alleviate poverty is by promoting regional policy coherence, e.g., in international and regional trade rules, agriculture, and environment.

Regional Food Insecurity: Overall food security for populations in ESA remained an elusive goal during the 1990s. There were some successes in certain years within individual countries with increased production and/or purchasing power occurring. The decade began with a food crisis in southern Africa that was alleviated by outstanding cooperation between national governments, regional organizations, donors, NGOs and the private sector. The specter of another famine in the north, similar to the one, which killed millions in Ethiopia in the mid-1980s, prompted the creation of the GHAI. Fortunately, weather conditions improved in the early to mid 1990's, and the immediate crisis was averted. Nevertheless, on-going (Sudan, Somalia) and new (Rwanda, Burundi, DRC, Ethiopia, Eritrea) conflicts, uneven weather patterns including the El Nino of 1997/98 followed by several years of drought in the Horn, plus the cyclones and flooding of early 2000 in the south, have all conspired to make the ESA region overly dependent on external sources of food assistance.

The "U.S. Action Plan on Food Security" states that "food security occurs when all people at all times have physical and economic access to sufficient food to meet their dietary needs for a productive and healthy life" (IWG 1999). Using this definition, the prognosis for the GHA countries is not positive. A USDA (1999) study evaluated the availability and distribution of food in 66 countries and analyzed trends through 2008. The report paints a disturbing picture for sub-Saharan Africa. *It is expected that two-thirds of the region's population will be undernourished by 2008 and consumption is expected to fall below the minimum nutritional requirements for 80 percent of the populations.*

Human Capacity Constraints: The COMESA Vision and Strategy for the 21st Century (2000:11) quotes a United Nations report, which estimates that between 1960 and 1975, 27,000 high-level Africans left the continent. Between 1975 and 1987, this number almost doubled, representing 30 percent of the highly skilled labor pool. Africa lost 60,000 professionals (doctors, university lecturers, engineers, etc.) between 1985 and 1990 and has been losing an average of 20,000 annually since. There are only about 3,300 scientists (Msc. and PhD. level) in national agricultural research institutions and universities in the ten countries represented by ASARECA, up considerably from between 300-400 in the early 1960s (1997:33), but nowhere near enough to tackle the region's research challenges. The African Center for Technology Studies (ACTS) has noted that it lacks senior researchers and capacity for policy analysis and communication of policy options, while WIOMSA identified the lack of adequate financial systems, the need for better strategic planning, better inter-disciplinary research, and improved governance. The IGAD Council of Ministers recently approved an administrative analysis intended to identify areas where continued institutional strengthening is required. Most recently, at the COMESA meeting of Ministers, Soludo (2000:20) noted that "the failure of past aid programmes (including the McNamara basic needs model) was because they failed to address the issues of capacity and capability." Thus, capacity strengthening coupled with policies encouraging professionals to stay, must be an integral part of any program to assist regional organizations to implement their agendas.

Health and the HIV/AIDS Pandemic: Sub-Saharan Africa continues to have some of the highest annual population growth rates in the world. The ESA countries are no exception, with rates ranging from 3.36 percent in Eritrea and 3.52 percent in Burundi to 0.57 percent in Zimbabwe. Although declines have been noticeable since the mid-1990's, infant and maternal mortality remain extremely high. For instance, infant mortality rates range from a high of 197.8 per thousand live

births in Angola to a low of 55.2 in South Africa. Maternal mortality in Africa is among the highest in the world, with women in Africa facing a 1 in 6 likelihood of dying from pregnancy-related causes (Inter-Agency Group for Safe Motherhood 1997).

However, progress in improving health standards is completely overshadowed by the worldwide epidemic of HIV/AIDS. HIV/AIDS is now the leading cause of death in Africa. Six of every 10 men, 8 of every 10 women and 9 of every 10 children with HIV live in Africa. The epidemic is affecting life expectancy rates, national productivity, and the coping ability of national health care systems. Life expectancy in many ESA countries is expected to decrease by at least 20 to 30 years (Botswana, Kenya, Lesotho, Malawi, Namibia, Rwanda, South Africa, Swaziland, Tanzania, Zambia, and Zimbabwe) because of HIV/AIDS (U.S. State Dept./BOIESA 1999). Infant and child mortality rates are expected to double and even triple early this century. It is also estimated that by 2010, up to 8-9 percent of all children under 15 in 19 African countries will be orphans (BUCEN 1996 in Hunter and Williamson, nd).

The effect of the AIDS epidemic goes beyond health issues to impact key areas of development: economic growth, education, food security, and gender equity. Recent studies estimate that the economic costs of infectious diseases—especially HIV/AIDS and malaria—are already significant and their increasingly heavy toll on productivity, profitability, and foreign investment will be reflected in GDP losses of 20 percent or more by 2010 in some sub-Saharan countries (CIA 2000). President Mbeki has stated that South African economic growth rates could slow by 1 percent a year because of AIDS. Research also confirms the negative effects of AIDS deaths on staple crop production and animal husbandry, on school dropout rates, particularly of girls, and on family and community disintegration (Stover et al 1999). The increasing number of AIDS orphans is likely to add to the growing marginalized populations of street children and young female sex workers. In addition, the conflict levels in the region contribute to the spread of the epidemic. Sero-prevalence data from the armed forces shows a high HIV positive rate among the military (between 10-60 per cent), while refugee camps are environments that facilitate the spread of the epidemic.

The cumulative effect of HIV/AIDS on human resources in Africa is likely to be comparable to the effect on Europe of deaths caused by World War I and the subsequent upheavals in economic and social structures. Demonstrating its commitment to combating HIV/AIDS, the Clinton Administration has formally designated the disease as a threat to U.S. national security (Gellman 2000). The National Intelligence Estimate (CIA 2000) suggests that dramatic declines in life expectancy are the strongest factor for "revolutionary wars, ethnic wars, genocides and disruptive regime transitions" in the developing world. The social consequences of AIDS appear to have "a particularly strong correlation with the likelihood of state failure in partial democracies." On February 8, 2000 a White House interagency working group was formed to develop a series of expanded initiatives to drive international efforts to address the HIV/AIDS crisis around the world.

Insufficient Progress on Gender: Although African women have made significant advances over the last three decades there is still a large gap between men's and women's opportunities and their participation in economic and social development. Studies suggest that if African women were given equal access to education and other productive resources, national growth rates could be as much as 0.8 percentage points higher (World Bank 2000). Economic and legal barriers, as well as social discrimination, continue to prevent women in Africa from improving their status and

productivity and achieving their full potential. These disparities have persisted despite the high returns to society from investments in women's education and health. The United Nations Economic Commission for Africa provides grim statistics on African women (ECA 1999:25-32). It notes that 70 percent of all African women over 25 are illiterate compared to 40 percent in East and South East Asia; 45 percent of African females are under the age of 15; and, fifty percent of women marry before the age of 18. Maternal mortality rates in sub-Saharan Africa are the highest in the world accounting for 40 percent of the world's maternal deaths (1,500 per 100,000 births); the fertility rate of 6.0 is the highest in the world with contraceptive prevalence rates the lowest in the world. Finally, the HIV/AIDS pandemic is increasing more rapidly among women than men in Africa.

The unequal power relations between men and women in all spheres are played out with special poignancy in the sexual arena where women and young girls are often forced into sexual relations through economic coercion or physical violence. Women and children are the most vulnerable from the numerous wars and conflicts in the region (Byrne 1995) and at the same time shoulder the burden of reconstruction as new heads of households. The exclusion of women's input to public policies and programs reinforces gender inequalities and denies African society the social and economic gains to be made from women's full participation in development. Fortunately, changes are beginning to emerge and women are increasingly taking more active and visible roles particularly as peacemakers and mediators in the region. For instance, Somali and Burundian women have insisted that they be part of peace discussions in their countries.

Environmental Insecurity: The many millions of poor in the REDSO region are disproportionately affected by degraded environmental conditions. Environmental stresses are frequently contribute to the recent series of conflicts and humanitarian emergencies in Africa (Winterbottom & Neme 1997). Some factors causing environmental stress are: the widespread depletion of soil fertility; the failure to fully develop and rationally use water resources; conflict between pastoralists and settled farmers; uncontrolled clearing of vegetative cover; exploitation of mineral resources with insufficient respect for local rights; inadequate attention to environmental protection; and inequitable distribution of economic benefits. The result has been to heighten the region's vulnerability to periodic drought and other natural and man-made disasters. Food security and health conditions have also been severely impacted, and the prospects for sustainable growth have been undermined.

Regional organizations need to be able to enhance the livelihoods of poor people who depend on land, water, forests, and biodiversity by helping to manage natural resources in a sustainable manner. Likewise, people's vulnerability to environmental risks such as natural disasters, severe weather fluctuations, and the impacts of climate change needs to be diminished. Regional environmental challenges can be partially addressed by 1) promoting environmental monitoring and early warning, 2) emphasizing synergies between local, regional, and global issues, 3) facilitating international and regional cooperation, and 4) local, national and regional capacity strengthening.

Difficulties in Harnessing Information for Development: Information and communication technologies (ICTs), driven by the convergence of computers, telecommunications, and traditional media, are crucial for the knowledge-based economies and societies of the future. Rapid advances in technology and the diminishing cost of acquiring new information and communication tools have

opened windows of opportunity for accelerated social and economic development. These new technologies are giving African countries direct access to the world's knowledge base, expertise, markets, and financial resources. Internet connectivity has jumped from four countries in Africa connected in 1995 to 49 by the end of 1998. In a globalized economy, technology can bring unprecedented competitive advantages. For example, ICTs have reduced the time it takes to identify and exploit opportunities for trade, investment and finance, particularly for small players. ICTs are also a powerful tool in the democratization process and in expanding access to social services (ECA 1999).

To join the information revolution, however, Africa needs to develop capacity to tap into the global system of information and knowledge, and adapt it to solve its problems. This calls for public policies to address a range of serious impediments, including inadequate telecommunications systems, restrictive laws and regulations obstructing flows of information, and the shortage of trained professionals in computers, data management, science, engineering, and business. Compared to the world average of roughly one user for every 40 people, Africa has one Internet user for every 500 people.

Regionalism: Opportunities and Constraints

Bright Spots: Lest the previous narrative seem all too bleak, there are bright spots on the horizon. As noted, agricultural production in a number of countries has exceeded population growth rates. Macro-economic growth continues in selected countries and debt relief based on positive policy trends appears in sight for some (Uganda, Tanzania, Mozambique). HIV/AIDS rates of infection are decreasing in Uganda, suggesting that with the right policies and practices it is possible to cope with this deadly disease. There have been small successes in the conflict arena—Dinka/Nuer and Nuer/Nuer cessation of hostilities in southern Sudan, selected pastoral groups are now using common grazing areas they had previously abandoned in Kenya (e.g. in the Baringo region), and peace seems to be holding in the Somaliland and Puntland regions of Somalia. ICTs are changing the landscape in how people interact and do business in Africa. Also, women are taking on more visible leadership roles and aggressively tackling some issues (e.g. land reform in Rwanda, sexual harassment and abuse in Tanzania and Kenya).

African leaders have become more proactive in addressing the region's problems. The Djibouti Peace Initiative under President Guellah is actively engaging all parties in Somalia in the search for an end to the conflict there. The IGAD-sponsored and USAID-assisted Sudan Peace Talks Secretariat has had several rounds of negotiations so far with limited success and, although the Sudan People's Liberation Army (SPLA) pulled out of the last round in May 2000, USG sources still remain cautiously optimistic about the future of the talks and the possibility of progress.. With the demise of ex-President Nyerere of Tanzania, ex-President Mandela of South Africa has taken over as chief negotiator for peace in Burundi. His tough attitude may be encouraging formerly recalcitrant factions to come together for discussions. At the COMESA Heads of State meeting in May 1999, the Presidents identified conflict as an issue for the region that needed to be addressed by national governments and regional organizations. At their May 2000 session, they spent several hours discussing a proposed Peace and Security Protocol.

Economic and Political Integration: Africans (Soludo 2000) and African organizations (COMESA 2000, ECA 1999, IGAD 1996) all agree that regional economic and political integration are prerequisites for successful competition in the globalized economy of the 21st Century. "Whether it be among developing or developed countries, it is no longer a question of choice between intraregional integration arrangements and active participation in the international economy. It is also not a question of one complementing the other. The two imperatives are interdependent and should be pursued in parallel...In short, the integration process within Africa is essential towards achieving international competitiveness for the continent" (ECA 1999:55). Soludo argues that "enormous opportunities exist which individual countries can exploit to initiate the competitiveness of their economies. However, such activities can only take the economies to a limited extent. They would need a regional anchor in order to sustain the effort" (2000:11). The reality of his argument is stark when considering that "Africa is the most subdivided continent with 165 borders demarcating the region into 51 countries; 22 of which have a population of 5 million or less, and 11 of which have a population of under 1 million. The limitations of size in the development struggle are very real... Agriculture and food security are obvious areas for increased cooperation. Regional grain marketing and drought early warning systems, for example, would benefit virtually all African states" (Soludo 2000:18, quoting Jaycox 1992). A recent study compiled by African organizations and the World Bank also states that "a regional approach is vital, not only to encourage trade flows between African countries themselves, but also, and perhaps more importantly, to provide a wider platform to encourage investment. Infrastructure, information and communications technology, and financial services play an important role in this process. Without access to these services, most people will be excluded from development and growth will be slowed" (World Bank 2000).

Peace and Development: There is also widespread recognition within Africa and the international community that peace and development are fundamentally intertwined, and as long as recurrent conflicts in the continent continue to threaten stability, sustainable development will remain illusory (ECA 1999). This was recognized when IGAD was revitalized in the mid-90's and the result was that conflict prevention, resolution and management is one of three priority areas for IGAD along with food security and environmental protection and infrastructure development (IGAD 1996:9). Similarly, COMESA's recently approved Vision Statement notes that "today, in the COMESA region, conflicts threaten to erode the modest gains that had been made through political and economic reforms. Peace in the region remains fragile. Conflicts in the Horn, the Great Lakes and Angola continue and constitute a direct threat to COMESA as an economic bloc. Economic development, indeed human development, is impossible in a climate of insecurity, instability and war" (COMESA 2000:12). Though formed for economic purposes, COMESA sees a role for itself, in concert with the OAU, IGAD, SADC and the UN, in focusing on conflict prevention (developing a policy and protocol on peace and security), post-conflict reconstruction and the arbitration of trade disputes through the COMESA Court of Justice so that they do not escalate into violent conflicts.

Regional Approaches and Integration: Professionals directly tackling such problems as low agricultural production, provision of health services, prevention of HIV/AIDS, and localized conflict management have also recognized the benefits to be gained from regional sharing of best practices and regional approaches. Consequently a number of regional non-government organizations have been created with varying levels of organizational and technical capacity.

The blueprint for Africa's regional integration is the Abuja Treaty, which came into force in May 1994 and has a schedule of 34 years, extendable to 40 years, to create a full fledged African Economic Community (AEC). The sub-regional pillars for an African Common Market are now in place. These are: the Arab Maghreb Union (UMA), the Economic Community of West African States (ECOWAS), the Economic Community of Central African States (ECCAS), the Common Market for Eastern and Southern Africa (COMESA), the Southern African Development Community (SADC) and the Intergovernmental Authority on Development (IGAD). In addition, the East African Community (EAC) overlaps with IGAD, COMESA and SADC. The proliferation of overlapping regional schemes has resulted in conflicting spheres of jurisdiction (see Figure I), where different organizations in the same region have the same mandate, or where a country belongs to two or more organizations that are pursuing different policies at a particular time. The organizations operating within the REDSO geographic region are COMESA, IGAD, EAC, ECCAS, and SADC. The former three have been partners in REDSO programs to date. The latter is a key partner for the Regional Center for Southern Africa (RCSA).

Since the GHAI was first conceived in 1994, regionalism, albeit still a fragile concept in some contexts, is beginning to emerge quite strongly in ESA. This requires donors and aid agencies to begin thinking beyond traditional bilateral programming and to adopt a regional focus and partnerships with regional organizations as Africans themselves adopt new approaches to solve the challenges on the continent. With their strategic locations on the continent, REDSO and the RCSA have critical roles to play in assisting African partners who are promoting regionalism and helping the bilateral missions become more effective in a regional context. Regionalism is a critical theme for achievement of both the GHAI, the Great Lakes Justice Initiative (GLJI) and the Initiative for Southern Africa (ISA).

In addition to sometimes conflicting jurisdictions and policies where there is overlap between regional schemes, the ECA (1999) has identified a number of challenges to regional integration that are applicable both to intergovernmental as well as non-governmental cooperation. Inadequate political commitment is a serious challenge where regional protocols are signed by member states but either not ratified or not implemented. Understanding of the long-term benefits of supra-nationality and serving the common will for national interest is still nascent. Limited financial and administrative resources coupled with weak human and institutional capabilities at the regional, sub-regional and country level all need to be addressed. The private sector and civil society are still insufficiently consulted by national governments seeking regional integration while regional civil society organizations (CSOs) themselves must address many of the same challenges as their inter-governmental counterparts. Conflicts within the region also hamper regional cooperation, but REDSO has noted a positive sign at the technical level where professionals still attend meetings and engage in substantive discussion, i.e. at ASARECA, IGAD and COMESA meetings.

Regional African Organizations: Organizations with a regional agenda have proliferated within the last decade. Some are inter-governmental and have multi-sectoral foci such as IGAD, COMESA and EAC, and SADC. Other inter-governmental organizations, including the Commonwealth Regional Health Community Secretariat (CRHCS) and the Organization for African Unity/Intergovernmental Bureau for Animal Resources (OAU/IBAR), work in more limited areas such as health or livestock. Both small and large non-governmental and professional associations have begun tackling regional problems. A few such potential partners are the following: the

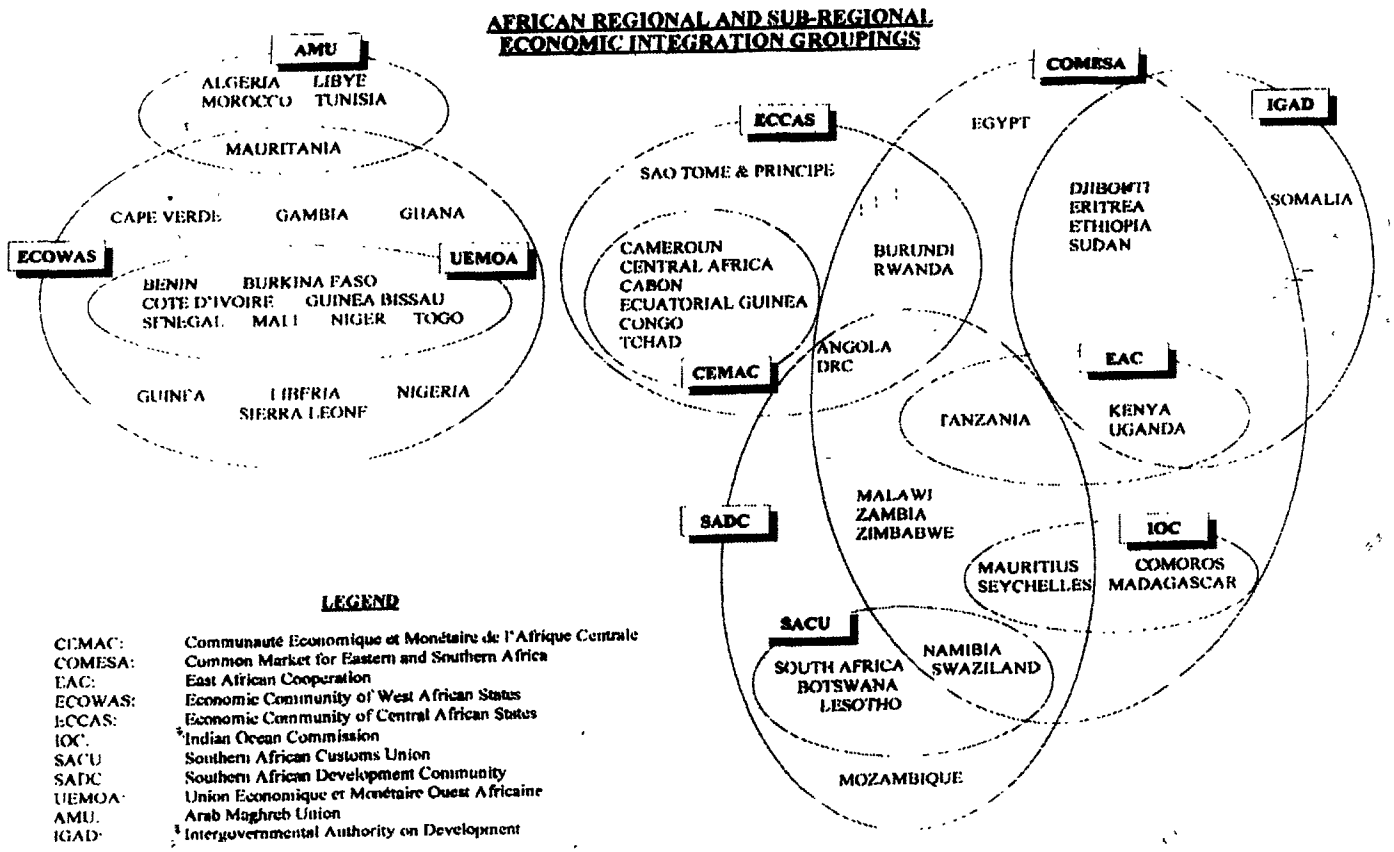

Figure 1. African Regional Economic Integration Groupings

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Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA), the Western Indian Ocean Marine Sciences Association (WIOMSA), the African Centre for Technology Studies (ACTS), the Eastern and Southern Africa Business Organization (ESABO), the International Association of Impact Assessment (IAIA) regional and national chapters, and the Regional Centre for Quality of Health Care (RCQHC). Other smaller NGOs have important roles to play as well such as the Centre for Conflict Resolution (CECORE), the Forest Action Network (FAN) and the Lawyers Environmental Action Team (LEAT) among others. This provides new opportunities for REDSO and other donors to support African-led initiatives to address regional challenges. The overlapping mandates and agendas of several of these organizations, while challenging to successful implementation as identified above, also encourage synergies between sectors and programs.

For instance, IGAD's long-term vision is of regional integration with initial priority placed on food security and environmental protection, conflict prevention, management and resolution, humanitarian affairs and infrastructure development (IGAD 1996). COMESA's "image of the future (10 years and beyond) is one of a fully integrated, internationally competitive regional economic community with high standards of living for all its people" (COMESA 2000:23). In the short to medium term the emphasis is on trade development and investment, specifically the elimination of impediments with the private sector playing a central role.

ASARECA's "primary goal is to enable agricultural research in the ECA sub-region to play a leading role in promoting market/income generation oriented agriculture. The secondary goal is for ASARECA to serve as the main forum where strategies and ideas for agricultural research and their relationship to agricultural development in the sub-region are conceived and exchanged" (ASARECA 1997:76). Similarly, for the health sector, CHRC's vision is the attainment of the highest level of physical, mental and social well being for all people of eastern and central Africa by promoting the highest standards of health (1999). CHRC's mandate as articulated under the 1974 convention establishing it follows: to promote and encourage efficiency and relevance in the provision of health services in the region. Key objectives to further this aim include maintaining and extending cooperation among member states for the improvement of health services and harmonizing and facilitating cooperation between health administrations of member states and international health institutions and organizations.

Regionalism and the emergence of credible regional partners creates an opportunity for REDSO to further USG interests on a number of key trans-boundary issues such as conflict, HIV/AIDS, food security and environment. African partners have identified the same issues and constraints as the USG that require urgent attention. A regional program focusing on capacity strengthening while tackling the problems by providing policy analyses, sharing best practices, providing new technologies, and reinforcing networking and cooperation is timely and appropriate.

Strategic Reasons For REDSO/ESA Regional Program

USG Strategic Interests in the Region: Despite the end of the Cold War, Eastern and Southern Africa, especially the Horn of Africa, remains of strategic interest and importance for the United States Chapter Ten of the Institute for National Strategic Studies' "Strategic Assessment 1999" looks at sub-Saharan Africa in general and assesses its strategic importance for the U.S. It notes

that promoting stability and economic growth are key to providing increased markets, maintaining access to strategic resources, countering narcotics trafficking, epidemics and environmental problems, and forestalling massive humanitarian tragedies. Of direct relevance to REDSO's proposed strategy are the following parts of the assessment: "African institutional development is the single most important objective over the mid-term...non-state actors and/or institutions should receive priority attention and funding...the United States will need to focus on regional and subregional solutions because of the inadequacies of Africa's national states" (1999:167).

According to the East Africa Sub-Regional Performance Plan (State Nd.), humanitarian response and democracy/human rights form the two pillars of U.S. national interests in East Africa. In addition, Sudan poses a potential threat to U.S. national security through its support for terrorism and suspected development of weapons of mass destruction, while Somalia is serving as a platform for terrorist organizations, threatening U.S. national interests in the region. Of growing importance are the strategic goals of economic development, open markets/U.S. exports and health/population. With HIV/AIDS recently declared a national security threat to the United States, Africa should command a larger share of attention.

The REDSO strategy also supports Mission Performance Plans (MPPs). For instance, the Kenya MPP for FY 2000-2002 (2000 NAIROBI 03052) has as its top priorities the following: U.S. national security interests, humanitarian assistance, economic development and democratization. Kenya is the hub for U. S. and other nations' diplomatic efforts in the region to promote regional conflict resolution especially in the Greater Horn and Great Lakes regions. This is one example of many in which REDSO's strategy at the regional level supports bilateral priorities.

While the USG is committed to providing humanitarian assistance to the region, there is a growing unease with the relative amount of humanitarian aid compared to development assistance being provided. For instance, $16 million of humanitarian assistance and $2.3 million of development assistance was obligated for Somalia in FY 99. As long as there are complex emergencies and conflicts, which are prevalent in the ESA region , it is difficult to put into place the structures necessary for these nations to develop economically and politically over the long term. No longer is it only Embassy staff focused on preventing, mediating and responding to political turmoil; USAID staff must also address the implications of conflict in all their activities. Incorporating a conflict perspective has become necessary in the pursuit of development outcomes, especially in the GHA region where most, if not all, countries can legitimately be considered in transition. The Inter-Agency International Affairs Strategic Plan (IASP) indicates that the USG will seek to reduce regional conflicts in part by finding ways to "address the root causes of conflict both multilaterally and bilaterally, using development assistance and support to democracy" (USAID General Notice 0623). Even prior to this, there was a growing recognition of the need to begin looking at the Horn from a regional perspective, which prompted the creation of the GHAI.

<u>The Greater Horn of Africa Initiative (GHAI)</u>: The GHAI was launched in 1994, following a visit to the GHA region by the USAID Administrator and a determination by President Clinton that the USG should develop a new framework for an approach to addressing post-Cold War realities in this troubled part of the world. Many factors, including population growth, land tenure issues, ethnic conflict, poor governance, environmental challenges, the availability of arms, and uneven terms of trade, have triggered crisis and change in the Greater Horn. These factors are regional and inter-

related, making development complex. In the humanitarian area, natural disasters such as drought and flooding continue to be exacerbated by more complex political emergencies. For example, the failed state of Somalia has led to seemingly interminable instability; the genocide in Rwanda spawned region-wide military convulsion.

The tumult has also given birth to a new African determination to take responsibility for problems and begin to fashion solutions (IGAD 1996, COMESA 2000). Africans and African institutions want to reduce dependency on the international community for economic survival and political growth. In designing the Strategic Plan for the GHAI, USAID consulted with more than 1,000 people in the region, including heads of state, government officials at all levels, staff working for regional and local organizations, both governmental and non-governmental, and aid workers. In these consultations, people repeatedly raised two themes: 1) a commitment to African capacity must underlie all efforts in the region; and 2) food security and conflict cannot be considered independent of the other .

As a result, the GHAI strategy in general and REDSO's strategy in particular are based on providing the tools to strengthen African capacity to address these key regional problems. In developing a strategic plan to implement the GHAI, USAID thoroughly reviewed its operational principles and practices over the last several decades and determined that it would have to begin doing business differently to assist to improve conditions in the region. Five new operating principles underpin the GHAI: 1) African Ownership; 2) Strategic Coordination; 3) Linking Relief to Development; 4) Regional Perspective; and 5) Promoting Stability. These principles shape how REDSO's regional program will be implemented, how and what type of services will be provided to client missions and how USAID's development and humanitarian assistance activities will be integrated for best effect in the region. It should be noted that while these principles were developed under the GHAI, REDSO staff firmly believe they should underlie all assistance efforts throughout the ESA region. These GHAI principles are a valid and widely agreed upon foundation for REDSO's strategy that will remain pertinent beyond the life of the Presidential Initiative. The GHAI principles are detailed below.

African ownership: GHAI efforts will continue to build upon and respond to the growing evidence of African leadership in the GHA. Where there is an absence of political will on the part of a government or other actor potentially involved in an activity, efforts should be made to ensure that the resultant US leadership is rooted in local priorities and realities, and that activities are designed on the basis of widespread consultation. Further, it suggests that opportunities to respond to local, national and regional efforts be taken advantage of wherever possible, with an increased focus on capacity strengthening.

Strategic coordination: Entails both the more effective coordination of all USAID assets and actions, as well as coordination between USAID and other USG agencies and US, international and local partners. It aims to ensure that activities are undertaken within the context of a precise framework or set of agreed-upon parameters, that comparative advantage is maximized, that duplication of effort and contradictory actions are minimized, and that gaps are identified and addressed.

Linking relief and development: Providing humanitarian assistance which reinforces longer-term development goals and deploying development assistance in such a manner as to prevent or reduce potential crises and the attendant need for humanitarian assistance. It also aims to ensure that transitions are better understood and more effectively supported.

Regional perspective: This principle involves analyzing and responding to events within the context of a regional perspective and ensuring that GHAI activities achieve optimal regional impact where possible. Further, it aims to promote joint activities where possible. For REDSO, taking a regional perspective also acknowledges that the key issues for the region -- food security, conflict, and HIV/AIDS -- know no boundaries and are complex enough to require coordinated efforts at both regional and national levels.

Promoting stability: Aims to ensure that all programming reflects an awareness of the fact that each of the GHA countries is vulnerable to significant economic and/or political change. As such, one of its purposes is to promote advance planning and preparedness as well as flexible programming to respond should these changes occur. Further, this principle aims to ensure that programs take advantage of opportunities to promote positive change in the midst of crisis.

REDSO believes that these principles have certain implications for its new strategy. For example, African ownership implies that the most appropriate role for a donor to play is as a facilitator of African efforts. Therefore, in this strategy there is an emphasis on providing technical assistance and catalytic funding support for the strengthening of African organizations. Convergence of the REDSO strategy with the GHAI Strategic Plan is one way that REDSO is practicing the principle of strategic coordination.

Other Relevant USG Initiatives: The Africa Seeds of Hope Act (1998) supports USAID's Food Security Initiative to refocus USG resources on agriculture and rural development, increasing productivity, leading to higher rural incomes and improved food security. The Act requires USAID and USDA to develop a plan to coordinate the work of U.S. land grant universities, international agriculture research centers and African national agriculture research and extension centers. REDSO's work with partners such as ASARECA, IGAD and others supports the Seeds of Hope Act and AFSI.

The African Growth and Opportunity Act (TITLE I of the Trade and Development Act) was enacted in May 2000. It provides for increased access to the US market and encourages trade and investment between the United States and ESA through the reduction of trade and investment barriers. The Act supports the expansion of United States assistance for regional integration efforts. It also supports negotiations of trade agreements and requires that the implications for, and the role of, regional and sub-regional organizations in these agreements be addressed. The Act specifically calls for USAID to continue to support programs which help create a receptive environment for trade and investment, including: investments in human resources, and implementation of free market policies such as policies to liberalize agricultural markets and improve food security, and provide support for the rule of law and democratic governance on a bilateral and regional basis. In addition, the Act states that the HIV/AIDS crisis should be a central component of USG foreign policy in Africa.

The Africa Trade and Investment Policy Program (ATRIP) promotes trade-related policy reform and stronger business linkages between Africa and the United States. ATRIP has supported Investor Roadmaps identifying constraints to investment and proposing solutions, as well as harmonization of grades and standards. Additionally, ATRIP is providing specialized telecommunications training with the U.S. Federal Communications Commission (FCC). A proposal is being developed specifically in support of telecommunications policy harmonization in East and Southern Africa.

The Leland Initiative encourages African governments to establish a competitive environment for information technologies, helps to establish basic infrastructure, and encourages the expansion of Internet access and usage. The President's Internet for Economic Development (IED) Initiative is an Inter-agency Working Group seeking to develop and utilize the Internet to enhance economic growth and foster the free flow of ideas, covering Mozambique, South Africa, Uganda, and Egypt in the ESA region. The Education for Democracy and Development Initiative (EDDI) aims to secure Internet connections to 30 African universities and hundreds of schools and NGOs, linking them with U.S partners to promote education, training and outreach on a wide variety of topics. EDDI recently pledged up to $2 million for Kenya's universities, schools, and NGOs, providing links to partner institutions in the USA, while Uganda, Rwanda, South Africa, and Botswana are targeted in the ESA region. The Global Technology Network (GTN) facilitates trade via the Internet for agriculture, information and communications, the environment, energy, and health, bringing together buyers and sellers.

The Great Lakes Justice Initiative (GLJI) was announced by the Secretary of State in 1997, endorsed by President Clinton in 1998, and first funded in FY 1999. The Initiative's objective is to secure an end to the costly conflict that ravages the Great Lakes region (Rwanda, Burundi and the DRC). With an emphasis on justice, the Initiative supports expansion of the rule of law, civil society, economic empowerment, and the role and contribution of women.

In response to the growing impact of the HIV/AIDS epidemic, President Clinton authorized the U.S. Leadership in Fighting the Epidemic (LIFE) Initiative, making US $200 million available in FY2000/2001 to combat HIV/AIDS. Funds will be made available through US agencies, including USAID and the US Centers for Disease Control and Prevention, other units in the Department of Health and Human Services, with field activities coordinated by USAID. The initiative is designed around four main categories: primary prevention, care and support, AIDS-affected children, and capacity strengthening. FY2000 funds under LIFE have been allocated to fourteen countries in sub-Saharan Africa, India, and to REDSO and the regional program in West Africa.

In developing the new strategy, REDSO was cognizant of the development challenges in the region described in this section and mindful of the various Presidential Initiatives and Congressional Acts and has tried to balance resource allocations and expectations accordingly. Next, Part Two will describe REDSO's evolving roles and responsibilities.

PART TWO: REDSO'S ROLES AND RESPONSIBLITIES

Evolving Roles and Responsibilities

REDSO's roles and responsibilities continue to evolve to meet the changing needs of our African customers and partners, the Agency, the Africa Bureau, and bilateral missions. 1999 STATE 223751 identified and rank ordered four priorities for REDSO. However, 2000 NAIROBI 2038 noted a number of issues REDSO faced in responding to the Africa Bureau's parameters setting cable and identified areas where clarification was still needed. 2000 STATE 85864 instructed REDSO to use its own judgment in preparing the new strategic plan. REDSO concurs that all four priorities are important and they constitute the basis for the revised strategy with a different order. REDSO has tried to balance carefully all four priorities taking into account ever changing political and budgetary realities.

Currently, REDSO has four major responsibilities: 1) management of a regional program advancing achievement of USG priorities in the region, including most importantly, the GHAI; 2) implementation of Non-Presence Country (NPC) programs which presently include Sudan, Somalia and Burundi; 3) coordination and reporting on the overall implementation of the GHAI; and 4) provision of services to Missions (with priority to GHA countries). These four responsibilities, along with other REDSO responsibilities such as linking relief to development, promotion of gender sensitive programming and assistance in compliance with USG environmental regulations, are described below.

Regional Program: In designing the new regional strategy REDSO was realistic about what could be accomplished. On-going activities that have shown promise such as regional trade, market-oriented agriculture research, management of trans-boundary natural resources, regional health initiatives, and promising best practices in conflict management will be continued. Both the strategy and the management structure have been reorganized to take better advantage of synergies between activities. An approach to conflict has been designed that will allow REDSO and its partners to be engaged in a range of activities while doing the analyses to enhance our expertise in this emerging sector. Our valued regional health programs are being continued but will be refocused in order to better address HIV/AIDS, which threatens our success in every other area. Above all, though, we have designed a framework that takes a consistent approach to enhancing African capacity and complements bilateral programs. It will leave effective regional institutions in place at the end of the strategy. This program will be described in detail in Part Three. Figure Two illustrates REDSO in relationship to the key USG actors.

Implementation of Non-Presence Country (NPC) Programs: USAID has no USDH employees stationed in Sudan, Somalia, Burundi, or Djibouti although there are considerable resources going to the first three countries. REDSO has full implementation responsibility for three NPCs at this time--Sudan, Somalia and Burundi--in coordination with BHR, OFDA/ARO and AFR/EA/GLJI. Sudan and Somalia have their own Integrated Strategic Plans (ISPs). Sudan's new ISP was approved in March 2000. The Somalia ISP which covered 1997-1999 was extended by USAID/W in November 1999 through September 2001. However, a revision of the strategy will take place in late 2000 Current activities in Burundi consist of humanitarian assistance or are part of the Great

Lakes Justice Initiative. There is no ISP for Burundi but a plan will be elaborated for USAID/W review and approval in FY 2001. To ensure that sufficient management attention is provided to

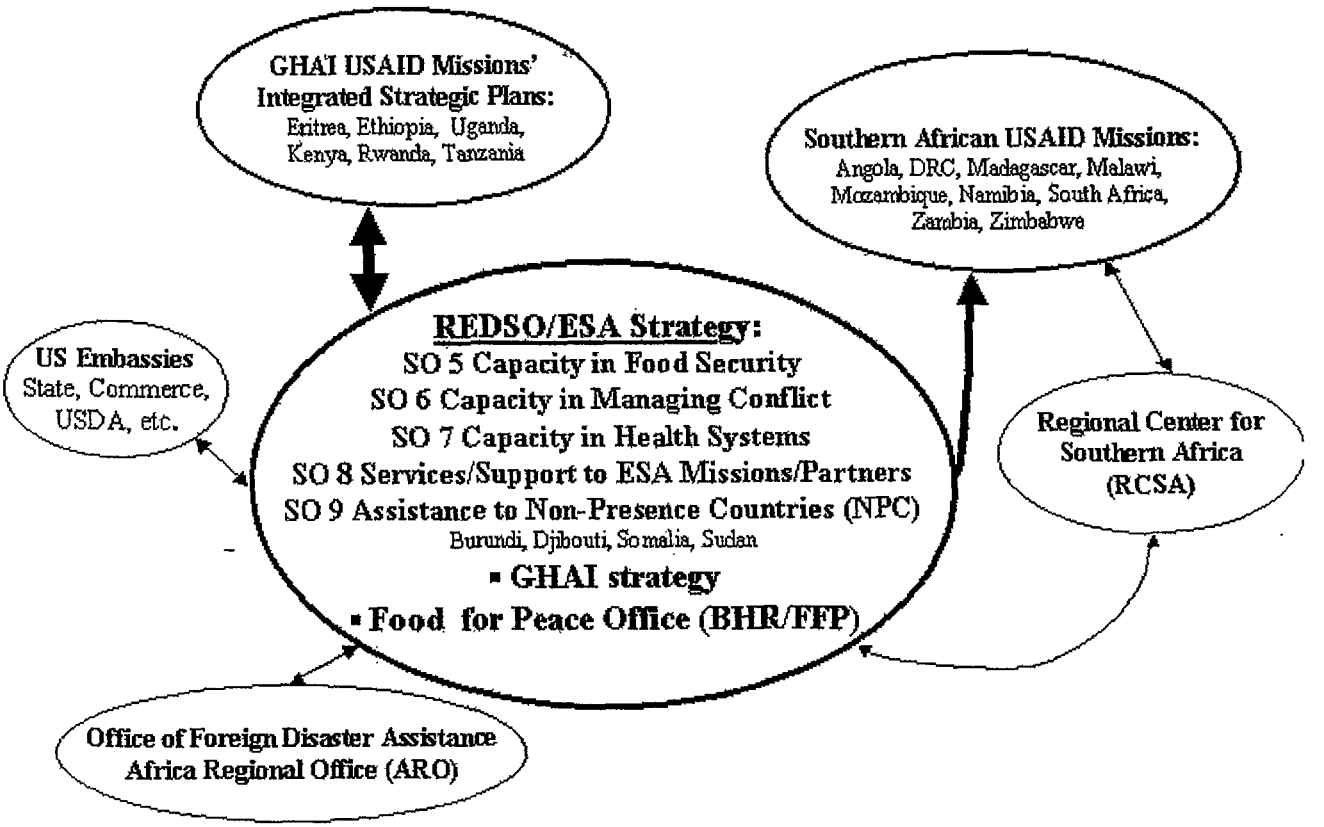


Figure 2. REDSO & other Key U.S. Government Actors in ESA Region

the NPCs, specific personnel have been assigned to these programs under a single management unit, while support from REDSO technical and core staff is available as required. REDSO has designed SO9 for NPCs described in Part Three since the development assistance funding, at least for Somalia and Sudan, is allocated under the REDSO OYB. Reporting for all three countries, however, will remain separate and provided as an R4 type annex to REDSO's R4.

Implementation of the GHAI and REDSO's Role: REDSO recognizes that it has an important role to play in coordinating the implementation of GHAI funded activities. Certain activities such as chairing regional coordination meetings, reporting responsibilities, and providing guidance on bilateral responsibilities in implementing these activities are ongoing and will continue.

The concept of convergence is at the heart of the GHAI and REDSO can play a facilitative role in assisting missions to converge. Examples of how REDSO can play this role include: 1) providing guidance on how to develop an ISP and participating on a Mission's ISP drafting team; 2) analyzing a mission's food security, conflict or information portfolio to identify ways the mission portfolio can more fully incorporate the GHAI IRs into their strategic objectives; or 3) working with a mission to more fully integrate the GHAI principles throughout their bilateral portfolio. REDSO remains willing and able to undertake these activities to facilitate convergence.

Although 1997 STATE 213889 outlined then-Administrator Atwood's original ideas on the topic of convergence, there is no uniform understanding or operational definition of convergence around the GHAI strategy. 2000 NAIROBI 2038 highlighted the Mission's concerns about the lack of clarity on Bureau, Agency and USG expectations around convergence. To date, few country strategies have been modified to converge with GHAI objectives and principles, per Agency policy. For example, USAID/Ethiopia's soon to be submitted ISP will demonstrate the efforts the mission is making towards convergence. A continuing difficulty is achieving convergence in the use of the full range of USAID and USG development and humanitarian resources. Operating units have questioned the wisdom of pursuing convergence so late in this Administration. The signals delivered orally by the Administrator and Senior Management in the Africa Bureau about the continued relevance of the GHAI sent an important message at the Mission Directors' conference in March 2000. Further written guidance would send an important message to all USAID entities about the priority of the GHAI and would enable REDSO to take an even greater role in fostering convergence. As a next step, REDSO proposes to convene the Field Steering Committee to develop additional guidance on convergence.

REDSO has taken some management steps to ensure that the coordination of GHAI implementation and reporting of results is effectively discharged. Three offices have either been created or restructured. These offices are responsible for Food Security, Non Presence Countries/Conflict and Population, Health and Nutrition (PHN) and are headed by senior experienced U.S. Direct Hire managers. The GHAI Secretariat and Horn of Africa Support Program (HASP) management unit have been incorporated into the Project Development and Implementation (PDI) Office because of the cross-cutting nature of their responsibilities. Overarching management and coordination of activities under the GHAI Secretariat and Horn of Africa Support Project (HASP) remains with PDI, but most activities to be supported will be reported under the appropriate technical SO. For instance, results achieved from institutional strengthening and grants provided under the Institutional Strengthening Grant Making (ISGM) Program to NGOs working on food security will be reported under the Food Security SO. A similar situation concerns support to IGAD for Project Profiles and any follow-on activities. This integration of IGAD and ISGM activities should facilitate coherence in results reporting and will ensure that measurable results are achieved over time. This management structure will also allow the Secretariat to continue and enhance its collaboration with REDSO SO teams, GHA missions and Washington units. The GHAI Secretariat will continue to oversee the production of an annual report on GHAI results. The provision of core and technical services to support Mission efforts to implement the GHAI or to achieve convergence will become of highest priority.

Services REDSO makes a distinction between core and technical services. The former are defined to include legal, contracting, financial management, Food for Peace, Environment/Regulation 216,

selected population, health and nutrition (PHN) services, with a special emphasis on HIV/AIDS prevention, information and communications technologies, conflict management, and performance monitoring and evaluation (PME) support. Designated as technical services are economic analysis, agriculture, natural resources management, and general democratic governance support, among others. All Missions in the ESA are eligible for core services although GHA and small missions will receive priority. This is reflected also by the inclusion of a Services Strategic Objective described in Part Three of this strategy.

The first year of the strategy will be viewed as a test year to determine with some precision whether adequate management of the regional program can be maintained while still providing selected technical services to Missions and to provide a transition phase for Missions to begin acquiring services elsewhere. At a minimum, GHA and non-presence countries will have first priority in allocation of technical staff time. It is assumed that technical staff time allocated to non-GHA countries will decrease over time, and is unlikely to be approved unless all other responsibilities are covered or there is a strong argument that the TDY supports REDSO's regional program or GHAI objectives.

Linking Relief to Development—Humanitarian Assistance and BHR: REDSO is committed to approaches that more effectively link relief and development. The presence of several USAID entities in the USAID/Kenya complex, including BHR/FFP and BHR/OFDA allows unique opportunities to put this principle into action. However, outstanding issues make this difficult as the following case illustrates. REDSO has been given responsibility for implementing and reporting on the Sudan development assistance program but has not yet received any delegations of authority that are provided to all bilateral country programs. The BHR/OFDA office has the authority and responsibility to manage all disaster funds, but cannot delegate that authority, either to its staff in the Africa Regional Office (ARO) in Nairobi or to the Africa Bureau staff in REDSO. The BHR/FFP office has the authorities and responsibility to manage all food aid programs and maintains FFP officers and staff within REDSO. From the point of view of Congress, there is no single report (such as the Congressional Presentation) where the assistance program to Sudan, funding levels, and results are described. To date the field managers (REDSO, ARO and FFP) of the Sudan program have worked well together and anticipate preparing a joint annual results report. However, there is a worry that unclear lines of authority may lead to a dispersion of information about program activities, miscommunication, and a weakened ability to report to Congress on progress and achievements of the program. A similar situation exists with respect to Somalia. In addition, the independence of different operating units in Washington, D.C. and the field amplifies the difficulty of effectively programming humanitarian funds according to relief to development precepts in all countries. A number of issues concerning the REDSO and BHR relationship identified in 1999 STATE 223751 and the March 14, 2000 Sudan ISP issues paper remain unresolved. REDSO concurs with the suggestion that a conference in Nairobi to discuss and resolve these issues should be planned for early in FY2001.

Gender: REDSO is committed to enhancing women's roles in economic and social development by providing a full time FSN staff member to provide services to missions on gender issues. In addition, REDSO has identified regional partners involved in gender studies and advocacy work who have the potential to take the lead in articulating women's concerns in regional and international forums. One partner is the Eastern African Sub-Regional Support Initiative for the

Advancement of Women (EA-SSI). EA-SSI has facilitated networking and expanded collaboration and information sharing between the different actors and stakeholders in eastern Africa addressing issues identified at the Fourth World Conference on Women (Beijing Platform for Action).

Another potential partner to advance regional women's concerns is the ECA's Africa Center for Women. As the UN entity charged with ensuring the implementation of the Beijing and Africa Platforms for Action, the ECA is the most legitimate regional organization that can present gender-sensitive policy issues for consideration to regional governments. While continuing to provide services to Missions, REDSO will work with these two, and other regional partners, to ensure that a gender perspective is included on regional and national agendas.

Environment: REDSO has multiple roles with regards to environmental compliance in the region. First, REDSO has on staff an American professional (on a PASA) who devotes approximately 50% of his time providing services to missions in the region and will be recruiting a full time FSN to assist in this area. Second, REDSO provides environmental compliance assistance to its own SO teams and promotes environmentally sustainable programming internally. Third, REDSO cooperates with AFR/SD to expand the capacities of Africans in environmental compliance. In addition, REDSO will join forces with other development partners in seeking ways to integrate environmental concerns into poverty alleviation and economic development strategies.

Environmental technical analysis is judged to be optional for global or regional strategies that cover multiple countries (revised draft ADS Chapter 201-3-3.10). Nevertheless, REDSO undertook an Environmental Threats and Opportunities Assessment, and identified issues and opportunities for adding value to the strategy through integration of environmental considerations. Conduct of this Assessment brings the REDSO Strategic Plan into technical compliance with the environmental legal framework applicable to USAID strategic planning, including Sections 118 (Tropical Forests) and 119 (Endangered Species) of the Foreign Assistance Act. Likewise, the integration and application of USAID's Environmental Procedures (22 CFR 216) into all USAID's obligation actions serves also to advance the environmental soundness of REDSO's and the region's bilateral missions' programs.

Throughout the region, countries are developing policies and regulatory structures to prevent, avoid and mitigate actions that cause environmental harm. REDSO will assist an African-led process to develop environmental management and assessment policies, and promote the harmonization of environmental review processes among countries in the GHA region. A primary approach will be to support capacity building to improve environmental review, planning and management, leading to implementation of environmentally sound activities by USAID Missions, Africans and other collaborators and partners.

REDSO and AFR/SD have been developing and implementing an environmental management capacity building initiative. Initially, this has been primarily intended to support USAID/AFR Missions, and their implementing agents and collaborators, particularly NGOs/PVOs. Training is provided throughout the region to increase national level capacities to conduct, coordinate and review environmental impact assessments. The establishment of professional networks will be promoted to facilitate the application and relevance of environmental procedures to transboundary development. This activity also will support bilateral Missions' obligation to address the environmental soundness of development programming by their partners by strengthening the

capacity of national partners to conduct environmental reviews and promote transparency in environmental legislation.

The emerging consensus is that emergency and transition programs also need to scrutinize and anticipate environmental consequences of their actions, particularly where programs explicitly seek to integrate and link relief to development. Consistent with the need for new and innovative approaches to humanitarian interventions, REDSO will continue to assist in looking for approaches to mitigate the potential for unintended environmental harm in ways, which enhance the effectiveness of the assistance provided. PVOs using Title II for development have in recent years undergone intensive upgrading with respect to their compliance with USAID's Environmental Procedures (Knausenberger et al. 1996; Bingham et al. 1999). Such tools can be adapted for both emergency and transition assistance modalities.

Customers/Partners and Consultative Process

Our ultimate customers are African citizens themselves, but with REDSO operating primarily through regional intermediaries, we expect to touch the lives of these customers only indirectly. Our most immediate customers are also our most important partners: regional African institutions, be they inter-governmental or non-governmental organizations, universities or research institutions, private think tanks, business and professional associations or others. More detail is provided about these organizations in Annex Two. Listed here are those most important and those relevant to achievement of our regional objectives: the Inter-Governmental Authority on Development (IGAD), the Economic Commission for Africa (ECA), the Common Market for Eastern and Southern Africa (COMESA), East African Community (EAC), Association for Strengthening Agricultural Research in Eastern and Southern Africa (ASARECA) and its networks, Eastern and Southern Africa Business Organization (ESABO), Centre for African Family Studies (CAFS), Commonwealth Regional Health Community Secretariat (CHRCS), the Regional Centre for Quality of Health Care (RCQHC), Organization of African Unity Intergovernmental Bureau for Animal Resources(OAU/IBAR), African Centre for Technology Studies (ACTS), Centre for Conflict Resolution (CECORE).

Other important partners include AFR/SD, AFR/EA, AFR/SA, Global Bureau , BHR and OFDA/ARO, the State Department and U.S. Embassies in the ESA region, with whom we implement some of our programs and a range of international PVOs, cooperating agencies, universities, CGIARs, and consulting firms who also help implement programs. The nature and details of the relationship with USG partners and other donors will be more clearly defined as the Results Packages for each of the SOs are established.

REDSO used a number of different occasions to consult with bilateral Missions and other USAID partners as the strategy was being designed. An earlier version was shared during the RESO/ESA 2000 scheduling conference in November 1999. The GHAI Bilateral Coordinators' meeting in Nairobi in February 2000 allowed SO teams to share the latest iterations with Mission staff and Political Officers from Embassies in the region. NAIROBI 2038 was produced and sent to all Missions prior to the Mission Director conference in March 2000 in order to elicit Mission and USAID/W feedback and response. During regular TDY's to Missions and USAID/W, REDSO staff briefed their colleagues on the status of strategy development. Issues have been raised when

USAID/W and mission staff have visited REDSO. Finally, pieces were shared with mission and Bureau colleagues at various stages in the process.

The rationale and logic behind REDSO's choice of five SOs will be described next. Three of the SOs—health, conflict management and food security—respond directly to priority issues in the region. The other two respond to REDSO's imperatives to provide services to Missions and implement programs in NPCs.

PART THREE: STRATEGIC OVERVIEW

REDSO's Strategic Construct

The starting points for REDSO's new strategy are 1) an appreciation of the importance of regionalism to solve critical transnational challenges, 2) the need for access to information and the capacity to utilize it in order to achieve development objectives, and 3) the recognition that REDSO is but one player among many contributing to achievement of the GHAI. REDSO has long recognized the importance of a knowledge transfer and capacity strengthening role and has gradually evolved many of its programs in that direction. Solving many of the issues of strategic importance to the USG and to USAID in the region such as conflict, HIV/AIDS and food security cannot rely on traditional bilateral approaches. Instead they are dependent on rapidly expanding information and communication systems to share best practices and innovative approaches across national borders. Furthermore, the USG continues to be viewed as a leader in ideas in many sectors. Reduced levels of development resources reinforces the importance of USAID playing a catalytic role by working with regional partners and in leveraging other donors once the way has been paved by pilot activities and approaches.

It is no longer acceptable for knowledge and information to remain largely in the hands of expatriates helping Africans solve their problems. Instead, REDSO's partners have shown interest in -- indeed insisted upon -- assuming responsibility for their own fates. REDSO's staff is committed to building the capacity of Africans (individuals, institutions and organizations) to identify and solve their own problems. Although development is traditionally measured through socioeconomic indicators, an alternative and increasingly accepted view is that development is really about expanding choices. On an individual level this means choices such as how to be governed, how to make a living, when to have children and how large a family to have. Other choices might be about whether to participate in traditional rituals such as female genital cutting, or who and when to marry, being able to express dissent without fear of persecution, practice one's religious beliefs and whether to be at peace or at war. At the level of regional organizations, this means choosing to harmonize trade policies for the betterment of all citizens, deciding to become or not become involved in national or cross-border conflicts that risk destabilizing the region as a whole or adopting common standards of basic health care for citizens.

Development therefore can be seen as providing people with the knowledge and capacities to entertain alternatives and decide how to take best advantage of the resources and opportunities that they have (World Bank 1999). The problems that have been addressed in REDSO's programs have been chosen for their high priority to Africans, the USG and USAID, and for their need for informed regional solutions. REDSO is uniquely situated to play a role in the region as a knowledge transfer and capacity strengthening mission to help people make informed choices. Among our professional staff, many have resided long-term in the region or are nationals. Through their service functions they have gained incomparable understanding of local and regional problems and solutions. They also have established wide ranging networks and contacts.

REDSO's comparative advantage is to reinforce the nascent sense of regionalism that now exists and to enhance African capacity to achieve regional food security, manage conflict and improve health systems. REDSO is not reducing its implementation role in the region, and may be

expanding it if the high funding scenario is approved. There are useful lessons learned worldwide to share with REDSO's partners, but of greater relevance is the regional knowledge of direct applicability that can be made available through a regional program. REDSO's regional activities have been selected to complement USAID bilateral programs by addressing critical themes (see below) affecting all countries in the region. The approach adopted is to: 1) strengthen technical and organizational capacity; 2) improve networks and partnerships; 3) provide access to appropriate technologies and better practices; 4) enhance the policy environment; and 5) expand access to information.

"Capacity" is interpreted at three different levels throughout this strategy: namely, 1) individual, 2) group or organizational, and 3) critical mass of individuals and organizations at a regional level. The conventional view of capacity refers to individual or group ability to do something. This definition applies to the technical and organizational strengthening activities proposed at the Intermediate Results (IR) level by each of the Strategic Objectives (SOs). For instance, on one level, individuals have technical skills in selected disciplines; at another level, an organization has an articulated strategic plan, can solicit and generate funds and is fully functional. The expanded definition on the third level applies to the "enhanced capacity" anticipated at the SO level itself. This expanded capacity refers to the capability within the regional system to accomplish its objectives. This capability therefore includes individual or group ability combined with the tools—i.e. technologies, practices, networks—and the environment (policies, procedures, political will) required to effect change. For instance, there is a critical mass of organizations and individuals within the region who are able to identify and address particular problems such as conflict mitigation or HIV/AIDS reduction.

REDSO has identified five Strategic Objectives (SO) to achieve its goal of A Healthy, Food Secure and Peaceful Region (see Figure Three). These are:

SO5: Enhanced African Capacity to Achieve Regional Food Security;

SO6: Enhanced Capacity for Managing Conflict in the Region;

SO7: Enhanced Capacity to Improve Health Systems;

SO8: Effective Services to ESA Missions and Support to Regional Partners; and

SO9: Effective Delivery of USG Assistance to Non-Presence Countries.

The strategy was prepared when the Agency was revising the ADS. Therefore SO 8, which would have been considered a Strategic Support Objective under the old ADS is hereby presented as an SO according to the new guidance. The numbering responds to instructions to not repeat SO numbers used under the old strategy.

The results frameworks are not identical for each of the three technical SOs—Food Security, Conflict Management, and Health-- but the building blocks for achieving them are remarkably similar. This suggests that there are key interventions and results required to achieve the expanded

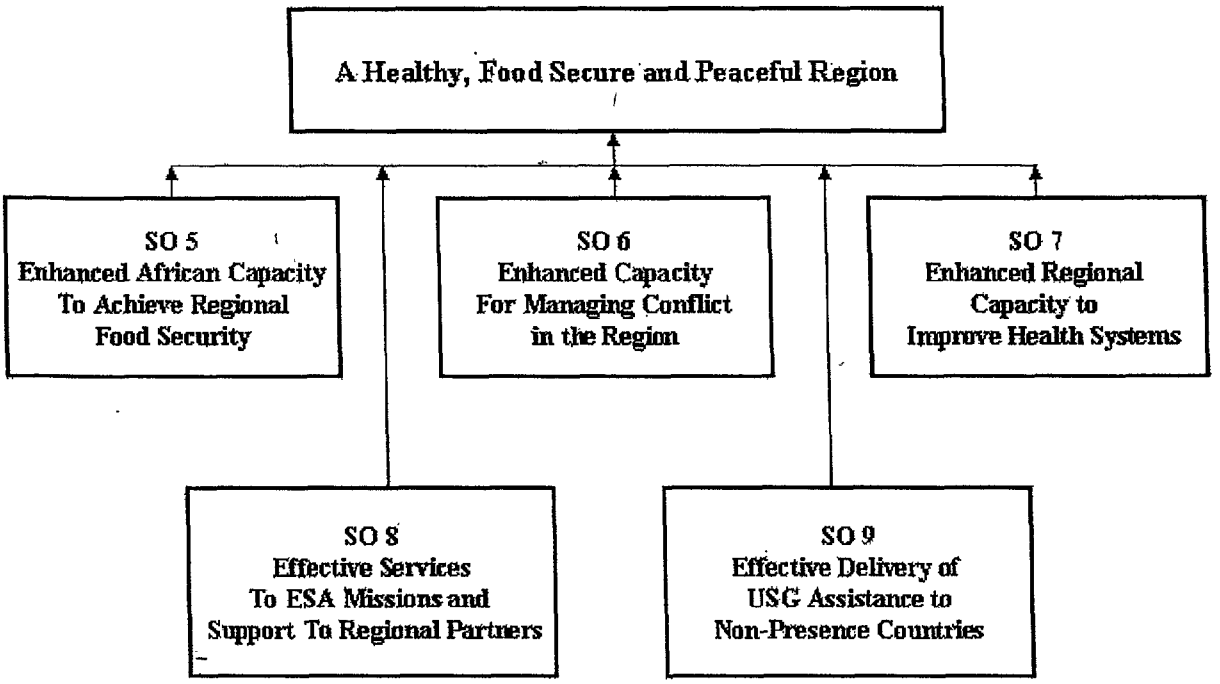


Figure 3. RESULTS FRAMEWORK FOR THE FY 2001-2005 STRATEGIC PLAN

REGIONAL ECONOMIC DEVELOPMENT SERVICES OFFICE
for EASTERN AND SOUTHERN AFRICA (REDSO/ESA)

definition of enhanced African capacity across sectors. The common themes are as follows: 1) organizational strengthening; 2) increased availability of appropriate technologies and practices; 3) increased networking and cooperation; 4) increased availability of information and use of communication technologies; and 5) improved policy and regulatory environment. These are described next.

Organizational Strengthening: In their efforts to accomplish programmatic goals, donors have often paid less attention than necessary to the sustainability of African organizations or overarching institutions. Additionally, African governments have rarely had the budgets to maintain institutions at an appropriate level once donor support was withdrawn. Although the knowledge base of Africans has increased exponentially since independence, it is still weak compared to that of developed nations. As technologies continue to proliferate elsewhere, Africans continue to be disadvantaged and unable to use the latest or most appropriate techniques or methodologies to develop their countries. Key skill areas have been identified under each SO that need to be strengthened to assure African capacity to solve problems.

REDSO has identified a limited number of partners with whom systematic organizational strengthening will be undertaken. In addition, selected regional professionals and organizations will receive more targeted assistance. Areas that will be improved include: governance and management practices, strategic planning, monitoring and evaluation, human resources management, program design, service delivery, financial management, fund-raising, and technical skills including areas such as information technologies and advocacy. It is expected that organizations will be at varying levels ranging from nascent to emerging to expanding to mature.

Increased Availability of Appropriate Technologies and Practices: Much of Africa's intellectual capacity resides in universities and not in applied research institutions or think tanks. Furthermore, many Africans have been hindered by narrow Western notions of disciplinary boundaries derived from academics in the developed world. The importance of multi-disciplinary engagement to solve important social and technical problems is just beginning to be appreciated in the region and skills in many applied areas of research still need to be enhanced. There is great benefit from not reinventing the wheel in every single country so researchers in regional institutions have an important role to play by identifying agendas and helping locate the activities in appropriate institutions.

Dissemination in this case does not imply getting the results out to the end user but disseminating them to decision-makers that then become responsible for putting them into practice. For instance, REDSO is not responsible for getting seeds into farmers' fields, but instead making sure that the new varieties developed are circulated within the region and reach the hands of national research and extension services and private input suppliers, who will get them to the people. REDSO will not measure success at the level of improved household nutrition but rather if new practices are disseminated to the appropriate researchers or policy-makers in several countries. REDSO cannot be held responsible for all the necessary regulatory and procedural changes needed at the national level, but can identify best practices and share success stories across organizations and government institutions.

Increased Networking and Cooperation: An integral part of adopting a regional approach to problem solving is the necessity to improve and increase networking and cooperation between regional and national stakeholders. Yet, the various players in Africa—government, private sector, research institutions, and civil society--often view each other with mutual suspicion and hesitate to work together. This lessens their ability to identify and implement solutions to common issues. Collaboration is less than optimal within national boundaries and only just beginning regionally or internationally. An important theme for all of REDSO's strategic objectives is support for and expansion of networks and partnerships to address regional needs. For instance, if ASARECA and its networks are to be truly market oriented they need to forge stronger relationships with private sector firms and business associations, such as ESABO, in the region. Or, if IGAD is to play a strong role in the area of conflict management, it needs to have strong partnerships with the OAU, civil society organizations and national governments.

Increased Availability of Information and Use of Communication Technologies: Africans' ability to solve problems has been limited by their isolation from the rest of the world due to distance and lack of good communication or information sharing technologies. The public and private sector are traditionally mistrustful of one another so information is not readily shared between them. Further, civil society organizations, which are just beginning to emerge, often threaten the political establishment. A culture where government officials consider to be secret and confidential much information that elsewhere would be in the public domain has further limited access to information. Each of REDSO's SOs aims to enable a much larger number of individuals and organizations to be able to share a wide range of locally and internationally derived information. This will enable them to be better informed to make decisions. For instance, private sector associations such as ESABO are interested in learning more about climatic conditions throughout the region so that they can position themselves to provide food commercially or through food aid channels when emergencies occur.

Central to achievement of all the objectives is increased use of new types of information technologies. The USG, through Leland and the IED, has been emphasizing the provision and utilization of new ICTs in Africa. REDSO is uniquely placed to ensure that this occurs within regional institutions and to assist national organizations to link regionally through provision of equipment and training to maximize utilization of these technologies for the exchange of knowledge and information.

Improved Policy and Regulatory Environment: Weak regulatory and policy environments have been identified as constraints to achievement of all of the SOs—health, conflict management and food security. In many cases, regional organizations have identified what they want to achieve, e.g., the EAC hopes to establish a free trade area but national governments hesitate to engage due to lack of information on the positive and negative implications of harmonization. In other cases, the successful implementation of policies adopted in one country, e.g., new health sector financing approaches, need to be shared regionally to allow other countries to make the necessary legal and policy changes. Each of the SO teams has identified the importance of enhancing the policy environment in order to achieve the proposed results.

Relationship between REDSO Strategy and GHAI Strategy

REDSO has the mandate to converge with the GHAI strategy, just as bilateral GHA missions do. This strategy demonstrates convergence with both the GHAI objectives and principles. Underlying the entire strategy is the conviction that support to regionalism is REDSO's appropriate niche. The strategy directly supports the GHAI strategy with its focus on food security and conflict and adds a critical component emphasizing health and HIV/AIDS prevention that is not limited to the GHA region. Improved access to regional analytical information has been deemed so critical by each of the SO teams that information sharing and networking is fully incorporated into each of their Results Frameworks. The strategy fully embraces the five GHAI principles as fundamental to the way business is done. African partners, who identified the types of capacity strengthening assistance that would help them to achieve their mandates, drove the REDSO strategy. This approach may not produce results as quickly as traditional development assistance modes, but over the long term -- by empowering them with the appropriate knowledge, tools and environment -- the sustainable capacity of Africans to take charge will be accomplished. It should be noted that, if current funding levels prevail, REDSO core funds will be used primarily to pay for staff, while GHAI designated funds will be allocated to programs to support GHAI objectives.

The remainder of this Part describes the five Strategic Objectives in detail. Part Four will discuss resource requirements.

STRATEGIC OBJECTIVE FIVE: ENHANCED AFRICAN CAPACITY TO ACHIEVE REGIONAL FOOD SECURITY

Strategic Objective Statement

REDSO's SO5 is **Enhanced African Capacity to Achieve Regional Food Security**. The case for REDSO's strategic decision to focus on food security has been amply made in the U.S. Action Plan on Food Security (IWG 1999) and the GHAI Strategic Plan (USAID 1997b). Climatic vagaries, such as continuing droughts in the GHA and flooding in southern Africa, are partly to blame for much of the chronic food insecurity in the ESA. Other factors such as low and unsustainable production practices, inappropriate household nutrition practices, low purchasing power, and difficulties moving food, seed, people, and other goods within the region, also contribute. Poverty, war and civil strife, inappropriate national policies, environmental degradation, high population growth, high HIV/AIDS infection rates, and gender inequalities further exacerbate the situation. While primary responsibility lies with individual countries to develop their own economies, it is becoming increasingly clear that creating the milieu in which both national and regional food security can occur requires a regional perspective (USAID 1997).

Tackling the root causes of food insecurity in the ESA is clearly beyond REDSO's, or even the Agency's, manageable interest. However, REDSO can play an important role enhancing African regional partners' capacity by strengthening individual technical and organizational management abilities, and helping them develop the tools (i.e. technologies, better practices, and networks) and the environment (i.e. policies, procedures and political will) needed to fulfill their food security agendas This SO will assist regional organizations in becoming more capable, so that they are recognized as providing "value added" with their respective agendas and they can increase cooperation and coordination to ultimately enhance food security. REDSO's main partners are

regional governmental and non-governmental organizations who either tackle regional problems directly or encourage national organizations to adopt a regional perspective or harmonize approaches.

Four Intermediate Results (IRs) are required to achieve the SO. These are:

I.R. 5.1	Regional Organizations Strengthened;
I.R. 5.2	Improved Regional Availability of Appropriate Technologies/Practices;
I.R. 5.3	Increased Networking and Cooperation; and
I.R. 5.4	Selected Policy, Regulatory and Procedural Changes Advocated by African Partners.

Problem Statement

Food security exists "when all people at all times have physical and economic access to sufficient food to meet their dietary needs for a productive and healthy life...Food security is dependent on food *availability* through agricultural production, imports and government policies including nutrition safety nets; social, educational and economic conditions that enable individuals to gain *access* to food by earning income to buy food and through community food security activities; and full *utilization* of food through the presence of adequate diet, safe water, sanitation, education, and health care" (IWG 1999).

Based on a USDA analysis, by the year 2008, Burundi, Eritrea, Rwanda, and Somalia will be highly food insecure with consumption meeting less than 75 percent of requirement. Ethiopia, Kenya, Sudan, Uganda and Tanzania will be moderately food insecure, i.e. meeting only 75 per cent of requirement (1999:8). Further south and west, the Democratic Republic of Congo (DRC), Lesotho. Madagascar, Malawi, Mozambique, Zambia, and Zimbabwe are all considered moderately food insecure. Where there is some measure of food security, it is tenuous at best. For example, the recent cyclones and floods in early 2000 in southern Africa show how any positive trends in production or overall economic growth can be rapidly wiped out.

Gender is a critical dimension of food security. Women throughout Africa play a dominant role as farmers, agricultural workers, care-givers for both children and people living with HIV/AIDS, and as natural resource managers. New studies indicate that household food security depends not only on the income, but also on who earns that income. When women control their income there is a direct contribution and improvement to household food security and child nutrition Given these critical gender dimensions, regional food security strategies must ensure positive impacts of new technologies on women as well as rectify women's limited access to policy and decision-making forums. Empowering women to participate meaningfully in regional affairs is a key step and the level at which this SO will focus.

Many food security problems are regional in nature and can only be solved through a coordinated regional effort. African leaders and governments are beginning to recognize the interdependencies among their economies and are increasingly turning to regional organizations to tackle problems of mutual interest. A regional approach to food related research, for example, has emerged as Africans acknowledged that no individual government has either the scientists or resources to undertake research on all the relevant commodities and ecosystems required (ASARECA 1997). Since climatic extremes do not usually affect all of ESA in the same season, the ability to trade food and other goods freely across borders within the region is a cost-effective method to deal with food shortages. In addition, the feasibility of adopting inexpensive nutritional supplementation also could be shared from one country to the next.

Inter-governmental, non-governmental and private sector associations with regional agendas and varying levels of capacity, have appeared over the last few years. While some organizations have clearly articulated mandates, strong management structures and well-trained professional staff, others are at nascent stages in their development. Some organizations have programs that are well conceived and ready for donor support, while others have good ideas but nascent technical and managerial abilities. One approach would be to support only the programs of mature organizations, since even these would benefit from institutional strengthening. Another approach would be to focus exclusively on capacity strengthening of both mature and weaker organizations, and then provide program funding at a later date. REDSO has chosen to work with both types of regional organizations, because improved capacity is best achieved by providing opportunities for organizations to implement programs. For SO5 this means programs that address the urgent need to improve food availability, access and utilization that exists in eastern and southern Africa (ESA), particularly in the Greater Horn region.

Progress to Date

REDSO's achievements in agriculture (in collaboration with AFR/SD and Global) include organizational strengthening, policy analyses and new technology dissemination. For instance, stakeholders defined ASARECA's regional strategic priorities for agricultural research while the agendas of commodity networks have been aligned to the regional strategy of market based research. ASARECA's capacity has been strengthened in strategic planning, financial management, and procurement. Promising technologies have been identified, tested and disseminated while policy analyses have been undertaken.

REDSO can point to a number of accomplishments in reducing regional transportation costs as a result of REDSO-financed studies, conferences and advocacy activities. For instance, in East Africa significant progress has been made in harmonizing and enforcing axle-load limits while common road engineering standards have been established. A Roads Authority Board in Kenya and a Commercial Truckers' Association in Uganda have been created. There is increased use of improved information technology (Advanced Cargo Information System), privatization of selected operations at ports, improvements in customs clearance procedures for cargo, and improvements and privatization of railway communication systems. Also, traditional trading routes have opened up in the complex environment of Southern Sudan with increased road access to populations at risk. National level workshops convened by the Governments of Ethiopia and Eritrea focused attention on regional transportation issues in the Northern Tier countries.

In addition to the analytical work undertaken on informal cross-border trade issues in the region, decision-makers now understand the magnitude and implications of this trade. Specific analyses have been provided to assist decision making by ministers on the EAC Trade and Cooperation treaty. The EAC and COMESA are working together to identify winners and losers from the respective trade agreements. Procedural constraints are being identified by Investor Roadmaps funded by REDSO, bilateral missions and the African Trade and Investment Policy Program (ATRIP) in 12 ESA countries and for the region. IGAD and COMESA members have been sensitized on the commitments, opportunities and challenges of the WTO.

REDSO assistance through studies, conferences, training and dissemination of best practices has produced other results. Quantification of the magnitude of long-term food aid needs and alerting the region to these needs has taken place. Regional conferences on climate monitoring and locally initiated food needs assessments have improved emergency preparedness. A regional water hyacinth management plan for Lake Victoria is being developed and implemented. In partnership with AFR/SD and missions, over 700 practitioners from 350 organizations have been trained in Environmental Impact Assessment procedures. PROFILES has been introduced as a tool to quantify the effects of mild and moderate malnutrition on the region in terms of lost productivity, effects on educational systems, morbidity, mortality and increased health care costs. Research and conferences to develop multi-sector links, including how agriculture, market economies and gender relate to nutrition and food security, have created new networks of professionals. Studies have been undertaken to identify better practices in community-based nutrition programs to provide tools and innovative ideas for food security organizations. The Eastern African Sub-Regional Initiative for the Advancement of Women (EA-SSI) is engaged in post-Beijing research, networking and advocacy on gender issues of relevance to food security.

Development Hypothesis and Critical Assumptions

The rationale for REDSO's SO 5—"Enhanced African Capacity to Achieve Regional Food Security"—is that the GHA will never become a food secure region until Africans and their organizations have the capabilities to direct the process. Over-reliance on donor assistance to provide emergency food to populations inhabiting what could be a food-surplus region suggests that there are some building blocks that need to be put into place before food security is achieved. While much of the progress required is at the national level, regional collaboration within the ESA is an essential component of enhanced food security due to the small size of many African economies (median GDP of $2 billion or about the output of a town of 60,000 in a rich country—World Bank 2000) and the cyclical nature of droughts and flooding in the GHA.

The underlying hypothesis is that when regional organizations are strengthened, when there is improved regional availability of appropriate technologies and practices, when networking and cooperation among organizations are increased, and when policy, regulatory and procedural constraints are removed, then the foundation will be in place for the GHA to begin achieving food security.

Three critical assumptions underlie the achievement of this SO. The first is that the political will in support of regionalism and regional problem solving remains among decision-makers. The second

is that regional partners are willing to coordinate and cooperate in the interest of achieving long-term food security. The third assumption is that while regional organizations address the issues that are regional in nature, national governments will create an environment conducive for enhanced agricultural production, economic growth and provision of social services.

Results Framework

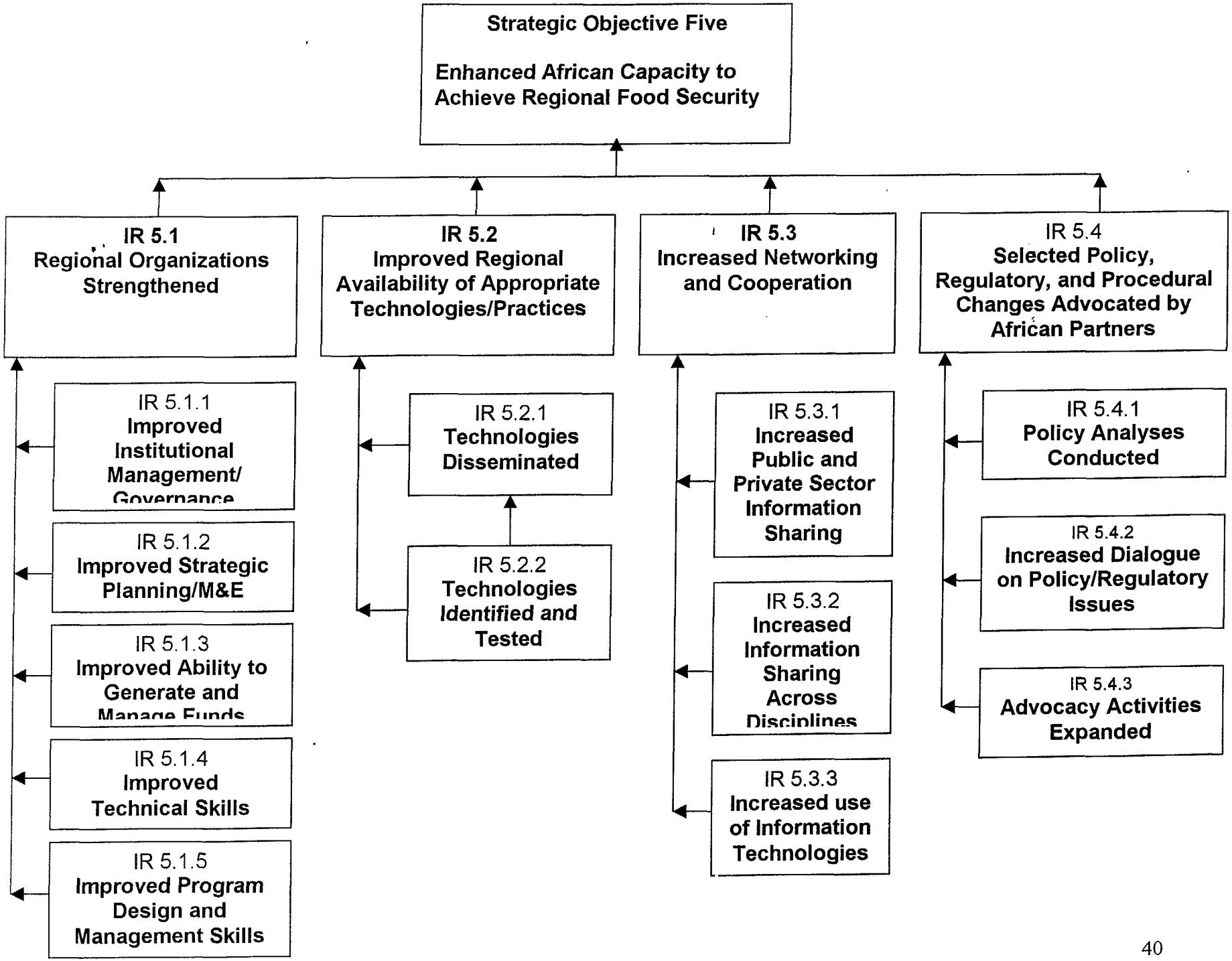
The results framework for SO 5 is presented in graphic form on the next page. It outlines the four key intermediate results viewed to be both necessary and sufficient for enhancing capacity for regional food security, and the sub-intermediate results necessary to achieve each of them.

Regional food security will not be achieved within the duration of this strategy due to the magnitude and complexity of the problem. Instead, the conditions should be in place where a number of the key partners will be in a position to play important roles to utilize resources more effectively and efficiently and to implement their own agendas for moving towards regional food security and improved nutritional status of their populations. REDSO is assisting in a number of areas where partner action could begin to show progress toward improved food security. It is anticipated that, during the next five years and partly as a result of REDSO's support, some higher-order results will be achieved, such as increased regional trade flows, increased production of selected crops, and improved environmental management as a result of common frameworks. We believe, however, REDSO's manageable interest under SO 5 lies primarily at the capacity strengthening level.

SO5: Enhanced African Capacity to Achieve Regional Food Security

Indicators: *Number of partner organizations with diversified sources of funding*
Number of policies harmonized in two or more countries
Number of technologies/practices adopted in two or more countries
Number of partner organizations with an African "owned" vision
Gender concerns incorporated into programs and policies of selected partners

When the SO is achieved, there will be a number of regional organizations taking the lead in identifying and implementing a regional agenda for food security. These organizations will be sustainable; they will have begun to come to agreement on areas of comparative advantage; and they will have started harmonizing policies and procedures in areas of mutual interest. REDSO defines sustainability as the ability of an organization to: a) define a relevant mission; b) follow sound management practices, and c) develop diversified income sources in order to assure the continuity of high quality services and meet the needs of all its constituents. At the end of the five-year strategy period, fewer donor resources will be required for capacity strengthening while more resources will be invested in programs identified and designed by our African partners.


Strategic Objective Five
Enhanced African Capacity to Achieve Regional Food Security
IR 5.1 Regional Organizations Strengthened
IR 5.2 Improved Regional Availability of Appropriate Technologies/Practices
IR 5.3 Increased Networking and Cooperation
IR 5.4 Selected Policy, Regulatory, and Procedural Changes Advocated by African Partners
IR 5.1.1 Improved Institutional Management/ Governance
IR 5.1.2 Improved Strategic Planning/M&E
IR 5.1.3 Improved Ability to Generate and Manage Funds
IR 5.1.4 Improved Technical Skills
IR 5.1.5 Improved Program Design and Management Skills
IR 5.2.1 Technologies Disseminated
IR 5.2.2 Technologies Identified and Tested
IR 5.3.1 Increased Public and Private Sector Information Sharing
IR 5.3.2 Increased Information Sharing Across Disciplines
IR 5.3.3 Increased use of Information Technologies
IR 5.4.1 Policy Analyses Conducted
IR 5.4.2 Increased Dialogue on Policy/Regulatory Issues
IR 5.4.3 Advocacy Activities Expanded

Illustrative results include the following: organizations such as ASARECA, OAU/IBAR, ACTS, WIOMSA will not be dependent on any one donor organization; seed trade within the EAC will have been harmonized; and IGAD member states will have reached agreement on common transportation standards and procedures. Other results might include: the water hyacinth control program will be operational in all Lake Victoria countries; the OAU/IBAR fee-for-service veterinary approach will have been adopted in several countries: and nutrition policy will be playing a more prominent role across sectors. Policies on regional telecommunications harmonization will have been adopted by COMESA; agreement will have been reached by EAC countries on similar Environmental Impact Assessment procedures; and several countries will have ratified the Nairobi Convention for coastal resources management.

IR 5.1 Regional Organizations Strengthened

Indicators: *Number of partner organizations with approved strategies*
Number of partner organizations implementing regional programs

Improving human and organizational capacity clearly remains a challenge. REDSO will address the organizational needs of selected partners as well as some of the capacity needs of a broader range of researchers and practitioners in the region to tackle food security problems. A limited number of partner institutions, or divisions therein, are being identified (including those funded under the ISGM) with whom organizational assessments will be undertaken, if not already done. A specific action plan will then be identified to enable the organization to progress toward maturity and sustainability. Technical assistance, REDSO staff time, training and equipment will be provided to strengthen the internal management and governance of organizations, strengthen their strategic planning and monitoring and evaluation, improve their ability to manage and generate funds, strengthen their ability to communicate and transfer information, and upgrade their technical, policy, advocacy, and program design and management skills.

Illustrative results include the following: ASARECA will be managing an agreed-upon regional agricultural research agenda; OAU/IBAR will be certified as capable of managing donor resources; ESABO will be delivering services and will be recognized by members and inter-governmental organizations as an advocate for private sector interests; gender considerations will be integrated into strategy and program development of selected partner organizations; and selected ISGM partners will have moved to emerging or mature NGO status.

IR 5.2 Improved Regional Availability of Appropriate Technologies and Practices

Indicator: *Number of technologies or practices available in three or more countries in the region*

Regional partners and the USG have identified the need to transform African agriculture and to increase the regional availability of appropriate technologies and practices in order

to improve food security (COMESA 1999, ASARECA 1997, Kean et al 1999, USDA 1999, USAID 1997). These might include new seeds that are higher-yielding or higher in nutritional content than those currently planted, affordable vitamin supplementation, new processing technologies, livestock vaccines, early warning systems, improved nutrition interventions, and better natural resource management practices. Practical, affordable, appropriate innovations and better practices have been developed by the public and private sectors in the region and around the world, but these are not necessarily being made widely available. Regional organizations have an important role to play in identifying, testing and disseminating innovations to national entities that then can apply them locally. "Improved availability" means that REDSO's role is to work with its African partners to identify, test and disseminate these technologies and practices to regional and national organizations and decision-makers that are responsible for getting them adopted at the ground level. Funding, external technical assistance and REDSO staff time will be provided to the commodity networks and to other organizations involved in the transfer of technologies and practices.

Some illustrative results are as follows: water hyacinth control program approaches will be available in all Lake Victoria countries; OAU/IBAR fee-for-services veterinary approach will have been piloted in several countries; high yielding varieties suitable for multiple country use will be available; higher nutrition varieties suitable for multiple country use will be available; there will be improved geographical targeting of food aid; and gender considerations will be incorporated into the development of new technologies.

IR 5.3 Increased Networking and Cooperation

Indicators: *Number of formal or informal agreements between partners*
Degree of professional collaboration among partners

The effectiveness of regional organizations to address food security challenges depends on their ability to share information across national, sectoral and disciplinary boundaries. Networking is defined here as the regular exchange of critical programmatic information among individuals and organizations working toward common objectives. Regional food security can be enhanced by improved information sharing, the use of common or joint data bases, the adoption of new methodologies for networking among partners, and improved cooperation through agreements between organizations. Poor telecommunications links between countries and limited access to efficient and affordable services means that information sharing and networking in the region has had to rely primarily on expensive professional conferences. However, with the advent of electronic communication, much of this can now take place virtually, except for specific training or policy dialogue that requires personal interactions. There will be a strong reliance on modern information technologies to enhance networking and cooperation and to achieve the other IRs. Training, equipment and some technical assistance will be required to achieve this IR.

Illustrative results include the following: key staff in regional institutions will have internet access and access to appropriate data bases; four regional commodity networks will be managed within the region; ASARECA, IGAD, EAC and COMESA will have signed agreements on appropriate areas of responsibility; and improved regional early warning systems will be in place.

IR 5.4 Selected Policy/Regulatory/Procedural Changes Identified

Indicators: *Number of policies being reviewed by regional bodies for potential harmonization*
Number of regulations being reviewed by regional bodies for potential harmonization
Number of procedures being reviewed by regional bodies for potential harmonization

Inappropriate regional, national and local policies, regulations and procedures (e.g., macro-economic, trade, agricultural, nutritional or gender-biased) have all been identified as contributing to food insecurity, poverty and environmental degradation (ACTS 1997, COMESA 1999, Kean et al 1999, Pinstrup-Andersen et al 1999, USDA 1999, USAID 1997). REDSO can play a facilitative role in enabling public, private and non-governmental organizations to identify and analyze the policy and regulatory issues and provide forums for dialogue and tools for advocacy so that policy-makers have the right information on which to act. Policy areas identified by regional institutions for priority consideration include trade (in seed and other inputs, livestock and agricultural products more broadly), coastal resource management, water rights, transportation, telecommunications, nutrition, and gender.

REDSO, in consultation with partners and stakeholders, will engage in an exercise to identify, and then support activities needed to improve the environment for regional policy harmonization. This includes undertaking priority policy and regulatory analyses, supporting advocacy activities and introducing new methods to assist policy dialogue. One aspect of the approach will be to rely on local and regional technical assistance and training to the extent possible for the design and implementation of activities. For instance, policy analyses will be led and training will be provided primarily by African experts in the region or elsewhere in the South when feasible.

Illustrative results are as follows: analyses to promote harmonized seed trade within the EAC will be completed; Regional Investor Roadmap recommendations will be advocated by COMESA to member states; and ESABO will be interacting closely with COMESA, EAC and IGAD on selected policy issues. Formal meetings will have been held to discuss harmonizing transportation policies among IGAD member states. Stakeholders will have been assisted in their advocacy efforts on specific issues (i.e., transportation, coastal resource management, pastoralists, and women's concerns).

Linkage to Agency, AFR/SD and Global Objectives

SO5 directly supports SO 1 of the GHAI: "Strengthened African Capacity to Enhance Regional Food Security" (USAID 1997b). The new objective builds on the successes of regional food security activities over the last several years and will include organizations that operate in some, if not all, the GHA countries. Anticipated results amplify those expected under the GHAI. This strategy presents a vision for the solution of problems in the GHA that requires broader collaboration within the ESA (e.g., increased trade between the Horn and southern Africa, and support to a range of regional organizations).

SO5's activities are also completely congruent with the "U.S. Action Plan on Food Security: Solutions to Hunger" (IWG 1999). REDSO's regional activities are an important complement to other USG assistance, such as the Seeds of Hope Act, ATRIP and the Trade and Development Act of 2000, in dealing with world hunger. Those international interventions proposed in the U.S. Action Plan that are appropriate for a regional mission have been incorporated into the new REDSO strategy: support for appropriate technologies and practices in agriculture, nutrition, telecommunications, and natural resources management; efforts to improve regional policies and remove administrative barriers, especially for trade; inclusion of women; enhanced information sharing and early warning; and strengthened organizational capacity.

SO5 contributes to the achievement of three Agency goals: "Broad-Based Economic Growth and Agricultural Development Encouraged" (One), "The World's Environment Protected for Long-term Sustainability" (Five) and "Lives Saved, Suffering Associated with Natural and Man-made Disasters Reduced, and Conditions Necessary for Political and/or Economic Development Reestablished" (Six).

SO5 complements four of AFR/SD's SOs: "Adoption of Improved Strategies, Programs and Activities for Accelerated, Sustained and Equitable Economic Growth" (SO2); "Adoption of Improved Agricultural Policies, Programs and Strategies" (SO3); "Adoption of Affordable and More Effective Mechanisms for Producing, Sharing and Using Development Information" (SO4); and "Accelerate Progress in the Spread of Strategically Viable and Environmentally Sound Environmental Management Systems" (SO5). REDSO's SO5 also supports AFR/SD's SSO: "Adoption of Effective Tools, Methods and Approaches for Improving Application of Environmental Procedures and Strategies in Mission's and Africans' Programs." REDSO's strategy was also designed to be complementary to bilateral mission programs in the region based on an informal review of related mission programs and identification of gaps.

Partners and Consultative Process

REDSO has identified some key African partners with whom to work in accomplishing this SO. Some of them are also critical partners in other sectors, i.e., the conflict and health SOs. Inter-governmental organizations such as IGAD, COMESA and the EAC have key roles to play in harmonizing regional trade, facilitating the transfer of technologies, reducing regional transportation costs, improving the management of trans-

boundary natural resources and adopting common policies to enhance food security. OAU/IBAR has a primary focus on livestock health, marketing and regional trade, while also engaging in conflict mitigation when hostilities between groups reduce their ability to be effective. ASARECA has a critical role in identifying regional issues while facilitating the interactions of international and national agricultural research institutions as they engage in activities of the commodity networks. Other NGOs such as WIOMSA, ACTS, ESABO, and CAFS are important advocates for civil society interests on topics of regional concern.

In developing SO5, REDSO built upon the very wide-ranging consultative process undertaken with partners for the GHAI (between 1994-1997), engaged current and potential partners on their needs and agendas, and examined our on-going portfolio of activities to identify successful approaches and lessons for future programming. Most partners have either recently engaged in, or are currently involved in, their own strategic planning processes. This provides an ideal opportunity for REDSO to identify an appropriate niche for assistance. As part of the consultative process, REDSO has tried to remain true to all of the GHAI principles, but especially to African ownership. REDSO is but one player among many of the USG contributing to the achievement of this SO and the GHAI. They include the bilateral missions, AFR/SD, Global and BHR Bureaus, as well as the Departments of State, Commerce and Agriculture.

Within REDSO, extensive consultation across sectoral teams took place during the strategic planning process in order to identify and strengthen synergies. In some cases different teams are working with the same partners (IGAD, COMESA, EAC, OAU/IBAR), albeit sometimes with different organizational units. Results achieved by one team will positively affect those achieved by another team. For example, regional telecommunications harmonization will benefit everyone, as will reduced or mitigated conflict or improvements in health. REDSO will continue to do business differently by using funding creatively to strengthen results. For instance, OAU/IBAR is provided support from both the Food Security and Conflict Teams for regional border harmonization activities that reduce conflict and improve the environment for pastoral production systems.

Achieving results in this SO also requires close collaboration with other USAID units, particularly AFR/SD, the Global Bureau, OFDA/ARO, FFP, REDSO/PHN and REDSO/Conflict. The history of joint planning and funding for many critical activities is expected to continue. While REDSO can help set the stage for African organizations to enhance regional food security, achieving food security in the region will require convergence of the efforts of bilateral missions, other USG agencies and other donors. By applying the GHAI principles to the design and implementation of this SO, convergence can be facilitated but it will require explicit effort on the part of both bilateral and REDSO staff to achieve.

Continued funding from other donors to many of REDSO's partners will augment the impact of USAID's resources. Key donors include the European Union (ASARECA, IGAD, OAU/IBAR, COMESA, EAC, TTCA), UNDP (ASARECA, EAC); UNICEF and

DFID (OAU/IBAR, COMESA, EAC), and the World Bank (IGAD, COMESA, EAC, TTCA). Other donors also contribute: IDRC for ASARECA; Ford and MacArthur Foundations and NORAD for ACTS; British Council for COMESA and EAC; CIDA, SIDA and Italy for IGAD; and UNCTAD for TTCA.

Funding Scenarios and Their Implications

Achievement of results under this SO is predicated on low and high funding scenarios based on the assumption that combined food security funds (i.e. economic growth, agriculture and environment) will not drop below FY 2000 levels. The low scenario expects approximately $7.4 million available to SO5 under these three controls. The high scenario assumes about $9.74 million being made available annually.

Detailed design of results packages remains to be completed. This requires organizational assessments of key partners, identification of a policy and procedural agenda in consultation with partners, identification of specific gaps for improved networking and coordination, and clarification of REDSO and other USG contributions to programs of key partners. The design of the results packages will enable appropriate targets to be selected for the results indicators and ascertain exactly what activities can take place. By merging the Agriculture, Economic Growth, Trade and Transportation and Environment/Natural Resource Management teams into one SO5 team, economies in staffing and synergies in programming will be much more attainable than they were previously. Given planned future OE levels, the achievement of SO5 will be negatively impacted by the need to abolish two USDH positions—that of Economist and Agriculture Officer—who will need to be replaced by senior US PSCs using program funds.

Achievement of this SO is heavily dependent on the utilization of GHAI-designated funds. The SO Team assumes that regional funds for food security will continue to be made available to REDSO even after the end of the GHAI Strategy in 2002.

At low funding levels, REDSO's program will build on progress achieved to date in the areas of regional agricultural research and nutrition, regional trade and economic growth and expand in the area of environment/natural resources management. If REDSO is to achieve the types of results desired in terms of capacity strengthening (IR 5.1) with the regional agricultural networks however a trade-off may need to be made on the amount of funding to support IR 5.2 for technology dissemination. REDSO plans to engage in a dialogue with AFR/SD and Global to explore creative ways to ensure that sufficient funds continue to go to the CGIAR system in support of the USG commitment to cutting hunger in half in Africa. Of concern also is the new need to provide funding for FEWSNET to ensure sufficient regional reporting continues. REDSO anticipates submitting a request for ATRIP funding to expand work in the area of livestock and livestock marketing in support of the USAID/Ethiopia-led Southern Tier Initiative. The Food Security team plans to identify a regional trade agenda, based on our partners' prioritization of need, that will merge all trade-related activities under one results package. At the low levels of funding, it is unlikely that REDSO will be able to add additional partners other than those described here, and it may be difficult to fund in a

timely way all the partners already selected by the ISGM Advisory Board. IR 5.3, in particular the ICT networking aspect, is also likely to get short shrift under the low scenario which may be mitigated somewhat by close collaboration with Leland and IED. Under the low scenario, there is no funding for follow-on activities to the IGAD Project Profiles once the current design phase is complete and it would be unlikely under the higher scenario as well.

At the higher funding levels, REDSO expects to be able to achieve the Results Framework in its entirety. It should be possible to fund a larger number of ISGM NGOs plus others, and perhaps expand work with other regional organizations. Increased work in the area of ICT should also be feasible.

STRATEGIC OBJECTIVE SIX: ENHANCED CAPACITY FOR MANAGING CONFLICT IN THE REGION

Strategic Objective Statement

REDSO's SO 6 is **Enhanced Capacity for Managing Conflict in the Region**. Violent conflict, as described in greater detail in the Problem Statement below, is a major problem not only in the Greater Horn of Africa (GHA), but also in the entire East and Southern Africa (ESA) region. The root sources of violent conflict are many and varied. Eliminating, or at least reducing, them are critical long-term goals for the entire development community—USAID, other donors, and most importantly, African governmental and non governmental stakeholders at the local, national and regional levels. In the shorter term, however, there is an urgent need throughout the region for more effective management of conflicts so that their violent consequences can be prevented or reduced.

To effectively manage conflicts, the people involved need the support of strong organizations dedicated to conflict prevention, mitigation, and response. They also need new approaches and tools that have worked in contexts similar to their own. Finally, they need more and better mechanisms for productive inter-group and interpersonal communication. At the present time, however, all of these essential ingredients to effective conflict management are in very short supply in the region.

Increasing the supply of these key components to conflict management in the region is the focus of REDSO's SO 6. Several important considerations led to the choice of this strategic objective. First is the recognition that the threat and reality of violent conflict is, above all, a regional problem requiring concerted regional solutions in many of its most serious manifestations. Second, REDSO is uniquely situated to help build region-wide capability, especially by strengthening regional institutions and facilitating the cross-border transfer of best practices, tools, and mechanisms. Third, building capacity for conflict management in the region is not only the most appropriate place to start in this nascent program area, but also clearly within REDSO's "manageable interest," given a five-year time frame and very limited resource levels.

The achievement of SO 6 -- "enhanced capacity for managing conflict in the region" -- depends on the achievement of three key intermediate results (IRs):

I.R. 6.1 African Conflict Management Organizations Strengthened;

I.R. 6.2 Increased Use of Best Practices; and

I.R. 6.3 Increased Communication Among Stakeholders in Conflict Situations.

The combination of these three distinct but interrelated IRs working together will significantly increase the chances that conflicting forces can be steered into appropriate channels, that ongoing violent conflicts can be subdued, and that the effects of such conflicts will not lead to violent repetition. By focusing on the strengthening of capacities, REDSO aims to contribute ultimately to more just and peaceful development in the region, especially in the midterm.

REDSO will also work to build capacity in a fourth area, namely, the skills and information among practitioners in the bilateral Missions, who are taking on the challenges in the new and growing field of conflict management. This effort—including training, technical assistance and the performance of flashpoint, vulnerability and policy analyses—is included under Strategic Objective Eight, "Effective Services to ESA Missions and Support to Regional Partners". It will increase USAID's understanding of ways to analyze the root causes of conflict, approaches to reducing potentially violent conflict across sectors, and ways to ensure that USAID activities mitigate and do not exacerbate conflict.

Problem Statement

Conflict has always been part of the African landscape, but, as noted in Part I, the character, scale and intensity of violent conflict have increased significantly in recent years. These developments are having major consequences for the success of vital development processes in the region and the USG programs put in place to support them. Rapid political, economic and socio-cultural change has contributed to undermining traditional means to moderate or prevent conflict. At the same time, new technologies (such as modern weapons) have proliferated. Institutionalized violence now threatens the existence of some states and is preventing the reconstruction of others. Violent conflict creates havoc and tragedy at all levels within the region, from small pastoralist communities to full fledged war between nations, and is a major impediment to sustainable socio-economic and political development.

This high level of violent conflict in the region, ranging from conflict at the local level to conflict at the inter-state level, has many roots, but it is also the manifestation of a serious lack of sufficient capacity to manage potentially violent conflict effectively among stakeholders at all levels. Under any circumstances, this lack of capacity would be a

major constraint to reducing violent conflict, but it is especially acute in the current era of rapid political and economic change. Some changes include: the transformation in the scale and intensity of violent conflict ushered in by modern weaponry and the emergence of tools that can be used to provoke violence on a mass and systematic scale (e.g., hate radio in Rwanda). Other changes include: political competition that can lead to a total breakdown of governing and social control (e.g., Somalia), political systems that are not accountable to the diversity of peoples and interests they serve (e.g., Sudan and Uganda), and the balkanization of organized interests that could potentially pull together to demand greater government accountability and responsiveness (e.g., Kenya).

Another critical element of the capacity problem in the region is the fact that women have been allowed little participation in the processes for managing conflict. Women's peace movements have mushroomed throughout Africa, yet despite their prominent participation, women's concerns are often entirely neglected in peace negotiations and bargaining as a result of their general exclusion from ordinary decision-making processes. A good example is the Somalia peace conference where, early on, women's organizations were denied entry and only allowed in as observers after intervention of the Life and Peace Institute and President Meles Zenawi of Ethiopia. There are some examples of the formal involvement of women in conflict management—e.g., the Women's Peace Center in Burundi, and the community-level peace processes in the Wajir area of Kenya—but these are clearly the exception rather than common practice.

Progress to Date

REDSO and its partners have made some progress during the past few years toward developing an effective regional approach to improve the capacity to manage conflict. Committed to the goal of achieving convergence with the GHAI strategy, REDSO has established a working relationship with GHAI coordinators in the bilateral missions to promote a regional approach to conflict prevention, mitigation, and response. REDSO has also created several regional funds for use by bilateral missions and partners for addressing conflict management issues. These include the Conflict Pilot Activities Fund (CPAF), the Conflict Quick Response Fund (CQUICK), and the Institutional Strengthening and Grant Making (ISGM) program.

Results from SO6 activities are being achieved. For example, the conditions are being created for displaced Acholi people to return home following amnesty as part of the reintegration, reconstruction and reconciliation process in northern Uganda. The managerial and organizational capacity of the National Unity and Reconciliation Commission in Uganda is being strengthened. Root causes of cross-border conflict in the pastoral areas of Kenya have been examined and the analysis is being used for USG decision-making purposes. Some Nuer-Nuer and Dinka-Nuer communities have ceased fighting as part of the people-to-people reconciliation process in southern Sudan. A conflict flashpoint study in Tanzania identified potential steps for solving the impasse between political parties on Zanzibar and warned of increasing religious tensions on the Mainland. The War-Torn Societies project in Somaliland and Puntland successfully

brought together stakeholders to identify ways to move forward post-conflict, and highlighted the importance of women in the reconciliation process.

A Conflict Early Warning and Response Network (CEWARN) is in the initial design stages at IGAD, with REDSO and GTZ support, which aims to link civil society and government in an information grid with a key partner being the Africa Peace Forum through the Forum for Early Warning and Early Response (FEWER). In support of COMESA's nascent Court of Justice, REDSO has supplied equipment and funded a fact-finding trip of COMESA representatives to investigate trade-related claims made by Ethiopia and Eritrea in association with their ongoing conflict. Seven cases are before the COMESA Court of Justice at this time. REDSO supported analyses and workshops to discuss a Peace Protocol for Peace and Security for COMESA member states. Following review by member state officials and Cabinet Ministers, this outline was discussed at length in a closed session at the recent Heads of State meetings in Mauritius in May 2000.

Development Hypothesis and Critical Assumptions

The typical approach taken to "managing" conflict by the authoritarian regimes that dominated much of Africa during the 1970s and 80s was suppression and control of resources and power on behalf of a few by a domineering state machinery. Since the end of the cold war, the U.S. has joined many other countries in championing competitive, free-market economic systems and democratic political systems based on the rule of law, competitive processes like elections, and power-balancing structures. If these are in place, the argument goes, processes of development can occur, and the stakeholders involved in the processes will work together to achieve progress. The goal of such systems is not to suppress and bottle up conflict, but to channel, dilute or manage competition through widely accepted mechanisms and processes. In this way, violent conflict is prevented or mitigated on a sustainable basis.

The transition from the old system of controlling competition to a newer system based on peacefully managing open competition has rarely been a smooth one. In fact, the transition to more democratic systems, and the process of creating and defining effective institutions for promoting dialogue and managing competition, can itself entail considerable conflict. The resulting danger—and all too often the reality in many states of the GHA region—is that, while caught in this limbo with weak and undefined institutions, competition for control over resources, institutions and economic and political power will lead to uncontrolled conflict and, eventually, violence and destruction. One of the key assumptions made about an effective, democratic political system is its ability to provide mechanisms for the peaceful management of competition and conflict, and avoidance of violence and warfare.

A related issue is how conflict management programs can best realize sustainable impact in the region across state boundaries and within a context of such diversity. For example, there are few significant conflict situations that are not multi-faceted and complex; therefore, single tools to address such problems are rarely sufficient. Similarly, "quick

fixes are not viable solutions" (INSS 1999:165). Discussed more fully below, and emphasized in the INSS report, "African institutional development is the single most important objective over the midterm. It cuts across security, political and economic policy areas. African progress remains fragile because it is not sufficiently underpinned by strong institutions." (1999:167). Indeed, USAID experience in a number of sectors demonstrates the value of independent organizations in achieving sustainable participatory development. Promoting demand for more democratic governance through the development of civil society organizations is a key USAID strategy. The work of Robert Putnam on the beneficial effect of a density of civic organizations on political and economic life is an authoritative example (1993).

Just as information technologies, such as radio, show powerful potential for promoting harmful conflict, as in Rwanda, they also show potential for promoting understanding and a culture of tolerance, as is the case in Burundi and Somaliland. People-to-people reconciliation, workshops and training that are sponsored and endorsed by religious groups and Internet connectivity may strengthen the voice of disempowered groups of people and promote peaceful dialogue. A key aspect of the current African landscape is the relative imbalance of power between the leaders of governments and the perpetrators of violence. Conflict management organizations and interests—whether operating in local, national, or international networks—can work together in a concerted and informed manner to have a dissuading impact on potentially deadly processes and perpetrators.

SO 6 is based on the following basic hypothesis: If competition and conflict are managed more effectively in the ESA region than they have been managed in the past, then there will be less violent conflict in the region. In order for conflict to be managed more effectively on a long-term sustainable basis, however, there must be increased capacity for conflict management, in terms of appropriate mechanisms, policies, and institutions. More specifically, this capacity includes the synergistic combination of 1) the institutional and technical capacity of regional organizations, 2) an expanded base of innovative, complementary and mutually reinforcing methods and tools for influencing the outcomes of potentially violent conflict; and 3) the capacity for broader and more effective communications, both to identify and share tools and approaches and to facilitate dialogue among conflict stakeholders.

Testing this hypothesis and achieving measurable results in this new and very difficult field will take time and sustained effort. Given the potential magnitude of destruction and misery typically unleashed by uncontrolled violent conflict, it is anticipated that: 1) even small interventions in conflict management can lead to favorable consequences; 2) in the near term, the combination of resources applied will increase the learning curve and realize some synergistic impact; 3) even minor impact will allow policy makers to judge the value of USAID's investments being made in this new sector; and, 4) in the medium and longer term, USAID may be encouraged by results to make a sustained commitment of resources to the problem.

Results Framework

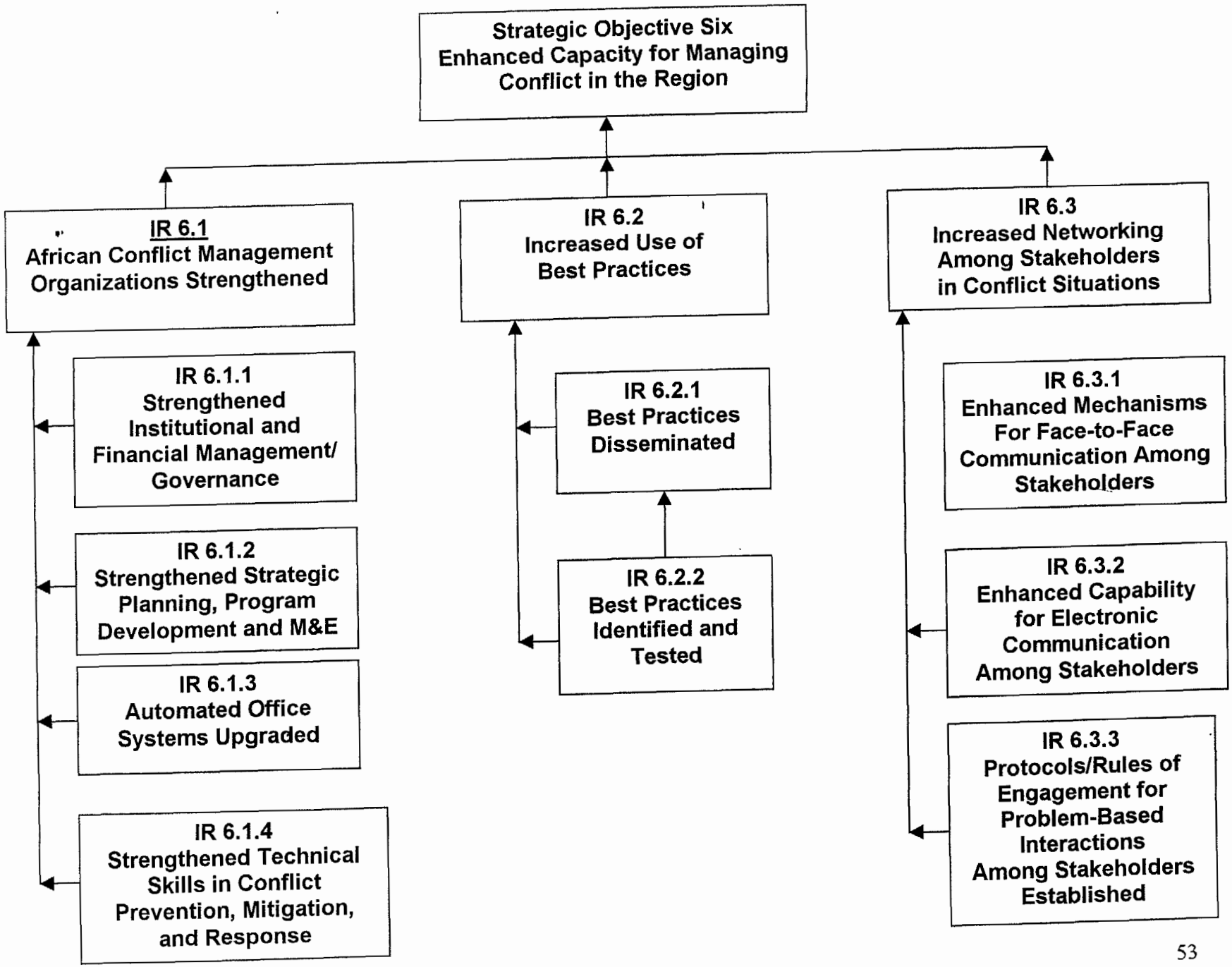
The results framework for SO 6 is presented in graphic form on the next page. It outlines the three key intermediate results viewed to be both necessary and sufficient to enhancing capacity for more effective conflict management in the region, and the sub-intermediate results needed to accomplish each of them.

SO 6: Enhanced Capacity for Managing Conflict in the Region

Indicators: *Demonstrated use of a regional Conflict Early Warning and Response Network (CEWARN)*
Demonstrated use of the COMESA Protocol for Peace and Security
Number of selected conflict situations in which more effective conflict management can be plausibly attributed to this SO

When the SO is achieved at the end of the five-year strategy period, IGAD, COMESA, and EAC will be working closely with OAU to maintain systems for conflict early warning and response. Those systems will involve modern communications technology, networks of participants and organizations from civil society, parliaments, and the private sector, and a legal framework for action that will place a strong demand on early and concerted action to avoid conflict. There will be a tool kit of readily understood and widely acceptable best practices, and people and organizations trained to use them effectively. The media and ICT programs will be far more effective in helping focus attention on dangerous political and socio-economic trends. Finally, networks of interested stakeholders, including women's organizations and those representing marginalized viewpoints, will be better informed and better able to work together to hold government and institutions of governance accountable for actions that increase the risk of violent conflict.

Strategic Objective 6 concurrently addresses three problems that translate into three intermediate results. The first is the lack of capacity of organizations at the regional, national and local levels to design and manage conflict management approaches, institutions, programs and activities on an effective and sustainable basis. The second is the dearth of appropriate and effective technologies and policies that can help systematically and structurally channel competitive processes. The third is the lack of adequate opportunities for sharing information and analysis and for coordinating responses through networks and regional mechanisms.


Strategic Objective Six
Enhanced Capacity for Managing Conflict in the Region
IR 6.1
African Conflict Management Organizations Strengthened
IR 6.2
Increased Use of Best Practices
IR 6.3
Increased Networking Among Stakeholders in Conflict Situations
IR 6.1.1
Strengthened Institutional and Financial Management/ Governance
IR 6.1.2
Strengthened Strategic Planning, Program Development and M&E
IR 6.1.3
Automated Office Systems Upgraded
IR 6.1.4
Strengthened Technical Skills in Conflict Prevention, Mitigation, and Response
IR 6.2.1
Best Practices Disseminated
IR 6.2.2
Best Practices Identified and Tested
IR 6.3.1
Enhanced Mechanisms For Face-to-Face Communication Among Stakeholders
IR 6.3.2
Enhanced Capability for Electronic Communication Among Stakeholders
IR 6.3.3
Protocols/Rules of Engagement for Problem-Based Interactions Among Stakeholders Established

IR 6.1: African Conflict Management Organizations Strengthened

Indicators: *Number of partner organizations implementing conflict management programs (disaggregated by type, e.g., gender, sector or regionally based)*
Number of organizations operating at the regional level
Gender concerns incorporated into programs and policies of selected partners

A key starting point for increasing regional capacity to manage conflict is to strengthen the technical and organizational capacity of African partners. SO6 aims to strengthen selected organizations not only because of the pivotal role they are expected to play in achieving long-term conflict prevention in the region, but also because of the central role they will play in helping achieve results under IRs 6.2 and 6.3. By strengthening specific key organizations that are committed to addressing conflict issues, the ability to use appropriate best practices, and the capability to network with other organizations, the result will be a broader institutionalization of conflict management capacity in the region.

Organizational strengthening will focus on such areas as strategic planning, program design and management, technical and analytical skills, financial management, monitoring and evaluation, development of automated office systems, coordination, and fund raising. Special emphasis will be placed on ensuring that organizations receive adequate communications equipment and training to have full connectivity with regional partners. Assistance will be provided largely in the form of grants and technical assistance, based on needs assessments carried out with the organizations. A key means for ensuring development of sustainable capacity in many cases will be the provision for funding of conflict management activities that will put improved organizational capacity to use. A number of criteria will be used in selecting organizations for assistance. These include: demonstrated commitment to conflict management issues, and receptivity to assistance, innovation regarding effective use of best practices. Other potential criteria are: potential for realizing impact on a broad scale (whether due, for example, to membership, advocacy activity, or ability to develop and test best practices appropriate for wide use) and position in the region (geographic, gender-based, ethnic).

Examples of organizations to be strengthened include: community based organizations and local NGOs such as the Wajir Peace and Development Committee in Kenya; national-level governmental and non-governmental organizations such as the Unity and Reconciliation Commission in Rwanda (governmental) and the Center for Conflict Resolution (CECORE) in Uganda (non-governmental), and regional organizations such as the Africa Peace Forum and the East Africa Media Institute. At the regional inter-governmental level, support for the COMESA Court of Justice and the IGAD Secretariat for the Sudan Peace Process are priorities. The Conflict Unit at IGAD is already receiving considerable capacity strengthening assistance from the Canadian government.

IR 6.2: Increased Use of Best Practices

Indicators: *Number of organizations (disaggregated by type, e.g., gender or sector or regionally based) adopting USAID-identified best practices after one year of introduction*

Even strong partners will be able to do little to promote peaceful approaches to conflict management in the absence of tested and effective best practices. In addition to addressing the organizational capacity gap, an effective conflict management program must also address the technology, or in this case, the best practices, gap. The region still lacks access to an adequate tool kit of appropriate practices and policies with which to address the threat of violent conflict.

This IR will expand the size of the conflict management tool kit for the region by identifying, testing and disseminating best practices or conflict management methodologies and approaches. A number of potential tools have already been identified including: the use of broadcast media and electronic connectivity (internet) as tools for promoting peaceful conflict management approaches, the role of religious and other middle-level institutions and actors in conflict management and peacebuilding, support for local-level peace initiatives and indigenous peacemaking methods, and improving community-based methods for managing land and water resources to reduce the potential for violent conflict over these resources. The differential roles of women and men in conflict situations and the application of best practices wil be examined for all those tested.

Since the field of conflict management is relatively new, systematic evaluation of these conflict management and peace building practices will be undertaken. The results will be disseminated to African peace-building institutions and organizations, bilateral Missions, USAID/W and other donors. Best practices and lessons learned will be catalogued and then shared via a series of case study monographs, best practice reports, and dissemination workshops.

Illustrative results include: an increase in FM radio stations in the region airing soap operas promoting tolerance among diverse ethnic groups and hosting talk shows discussing critical conflict and governance issues; religious organizations and other NGOs using local level committees to identify and respond to early warning signs of impending conflict at local levels. Other potential results include: religious organizations and other NGOs advocating for increased government transparency and reduced abuse of power; improved methods among pastoralist and farmer groups to reach agreement over sustained use of land and water resources; and NGOs using modern and traditional legal systems for restitution as a means to prevent violent conflict.

IR 6.3: Increased Networking among Stakeholders in Conflict Situations

Indicators: *Establishment of a regional Conflict Early Warning and Response Network (CEWARN)*
Ratification of COMESA Peace Protocol by at least seven member states
Degree of professional collaboration among partners
Number of formal or informal agreements between partners

A regional capacity to exchange views and accurate information on a timely basis is critical to the effective management of conflict. Given the relative weakness of regional networks and the number of actors that potentially help empower operations of a conflict management system, there is benefit to be gained by increasing coordination and collaboration among regional stakeholders. Generating, analyzing and sharing information is a crosscutting theme within IR 6.3. An important focus is the development of appropriate information and communication technologies - not only to link organizations in a virtual sense - but also to serve as a key means for disseminating best practices and reporting on their use. The focus on enhancing information and communication mechanisms, both virtual and face-to-face, and establishing accepted norms for interaction in conflict situations will expand, strengthen and accelerate the flow of information and views. Such coordination can increase the impact of advocacy efforts and empower communities through uniting their voices and through sharing successes and failures. Under the Leland Initiative, for example, USAID has helped establish electronic connectivity between and among governmental and non-governmental organizations. Improved, rapid and regular communication increases regional capacity for monitoring and management of threatened and actual violent conflict.

Regional networks offer major potential for building capacity for managing conflict and building peace. Examples of IR 6.3 activities include development of the IGAD Conflict Early Warning and Response Network (CEWARN), the COMESA Protocol for Peace and Security, and electronic networks promoting connectivity among key institutions in the region. Results will include: an early warning and response system operating at the local, state and regional level; establishment of internet linkages among peacebuilding organizations in the region; a broad legal framework guiding roles and responsibilities of states in relation to threats of violent conflict in the region; and, institutionalized methods for involving civil society, the for-profit sector, and institutions of government (parliament, ministries of international affairs, justice, internal affairs) in managing key regional conflicts.

Linkage to Agency, AFR/SD and Global Objectives

SO6 directly supports SO 2 of the GHAI "Strengthened African Capacity to Prevent, Mitigate and Respond to Conflict" and contributes directly to achievement of GLJI goals. The new objective builds on and expands activities undertaken over the last several years and will focus primarily on organizations working in some, if not all, the GHA countries. Anticipated results contribute to achievement of the GHAI Strategic Plan.

Conflict prevention, mitigation and response is a new programming area in USAD; in many ways it is uncharted territory. USAID General Notice 0623, states current policy: "the Agency remains committed to develop more preventive country and/or regional strategies that address the root causes of deadly conflict and economic and political crises where these threaten USAID strategic objectives or broader U.S. national interests. Our goal is to improve the use of development assistance to mitigate and to the extent possible prevent economic and political crises." (1999:1). Guidelines for implementing the policy are lacking. One of the major tasks therefore for REDSO is taking leadership to develop, guide and implement emerging policy, based on experience in the region.

Agency Goal Two "Democracy and Good Governance Strengthened" emphasizes capacity building and African ownership: "programmatic support remains centered on civil society and governance – that is, providing to the people of Africa the capacity to address their own economic, political and social needs. The political dimension of development, of people fully participating in economic and political processes and decisions, underscores future endeavors" (USAID 1999c:72).

Agency Goal Six -- "Lives saved, suffering associated with natural or man-made disasters reduced, and conditions necessary for political an economic development reestablished" -- places priority on "peaceful, democratic changes in conflict-prone countries of strategic importance and humanitarian concern to the United States. Among the preferred approaches are: "1) analysis and development of program tools to address specific transition issues, 2) risk taking through pilot testing new approaches, including support for a wide range of 'change agents' in a society, 3) sector expertise, including the area of media (for example, to promote reconciliation and demobilization), 4) fast assistance, allowing for eventual establishment of longer term programs or reorientation of existing programs in response to changed conditions, and 5) using regional platforms and hubs with access to areas outside the capital city" (USAID 1999c:166). The activities of REDSO's SO6 utilize all of these approaches.

Partners and Consultative Process

Key development partners are the Intergovernmental Authority on Development (IGAD), based in Djibouti, and the Common Market for East and Southern Africa (COMESA), based in Lusaka. There is a wide range of non-governmental organizations active in conflict management and peace building. Some of the potential partners who were consulted include: Africa Peace Forum, Mwengo, Forest Action Network, New Sudan Council of Churches, PeaceNet, and National Christian Council of Churches. While many are weak institutionally, their number and competence are growing throughout the region. Other bilateral donors are becoming increasingly active in the field including the German agency GTZ and the European Union who work with IGAD on programs in conflict management. The War-Torn Societies Project is funded through UNDP and the UN system. Design of the regional CEWARN, based at IGAD, involved intensive discussion with the various stakeholders, including representatives from IGAD, GTZ, EU, REDSO/ESA, and the implementing partners: Forum for Early Warning and Early

Response (FEWER), SaferWorld (England), the Swiss Foundation for Peace, and York University (Canada).

Design of this new Conflict SO required considerable consultation both within the region and beyond. The SO6 team consulted with the REDSO's SO 5 and 7 staff to ascertain where synergies could be achieved. For instance, some organizations with mandates in the area of food security also work on resource management and conflict issues. Over the strategy period, additional effort will be made to address the impacts of the region's high rates of HIV/AIDS infection on conflict-related issues. Conflict and DG Staff from USAID/W have worked with REDSO to design the strategy through lengthy TDY's and attendance at regional meetings. The Peace Building Project Workshop in December 1999 and the GHAI Bilateral Coordinators' meeting in February 2000 provided opportunities for bilateral mission staff, USAID/W, Embassy Political Officers, and African practitioners to comment on the evolving approach. When attending Agency DG meetings, REDSO staff also discussed the strategy.

Funding Scenarios and Their Implications

Achievement of this SO is heavily dependent on the utilization of GHAI-designated funds. The SO Team assumes that regional funds for food security will continue to be made available to REDSO even after the end of the GHAI Strategy in 2002. Under the low scenario, the ongoing program can be maintained, but at a limited level. In a time of significantly increasing demand, CPAF and CQUICK will be squeezed as will support for DG/Conflict activities at IGAD, including training and organizational strengthening. Assuming successful design of CEWARN and implementation throughout the region, funds are minimal to help IGAD build an effective conflict early warning and response system based on regular face-to-face as well as electronic communication among the variety of stakeholders such a system requires. Similarly, assuming continued successful development of a Protocol for Peace and Security for COMESA member states, significant additional funds will be required to move design of such a protocol into implementation. In both cases, with IGAD and COMESA, other donor involvement is being sought but none is assured at this point. Finally, although funds are adequate to complete current tasks in the Peace Building Project, successful implementation of that program will lead to additional high priority activities in terms of dissemination of best practices and implementing additional flashpoint analyses in the future.

Results anticipated in this SO are based upon the assumption that conflict funding will not fall below FY 2000 levels, approximately $3.3 million. Continued funding at this level may lead to significantly reducing the scope of CQUICK and CPAF activities, depending on the cumulative value of funding requested in the various proposals received. REDSO staff has the responsibility for the approval, management and closeout of the relatively small grants under these programs, as well as the larger activities involving regional organizations. With the increase in numbers of proposals funded, these activities will bring a greater management burden to REDSO.

At a higher level of funding, USAID will be able to continue to play the leading donor role in developing successful IGAD and COMESA activities. Additional inter-state regional activities that could be funded might be associated with the East Africa Cooperation and the OAU. With additional funding, support for regional and country-level organizations involved in peace building efforts can be rationalized into a larger and more easily USAID managed mechanism, possibly utilizing one mechanism to cover, for example, the range of activities funded under CPAF and CQUICK.

CPAF is currently funded through a Limited Scope Grant Agreement (LSGA) with COMESA (though management is in-house in REDSO); CQUICK is handled in-house at REDSO. The intention is to combine the two activities into one mechanism and, via a RFP or RFS, use a single organization with the management capacity to manage the grants programs and provide institutional strengthening as required. This will significantly reduce the work demands upon all USAID staff in REDSO and the overall funding level to COMESA. However, this is only possible with increased funding. If this rationalization of the program can be accomplished, REDSO envisages that it can manage a larger dollar program without any increase in staff as enumerated in this Strategic Plan. If a higher level of funding is made available to REDSO, the assumption is that such funds (approximately $4.3 million) will be available for a minimum of three years.

STRATEGIC OBJECTIVE SEVEN: ENHANCED REGIONAL CAPACITY TO IMPROVE HEALTH SYSTEMS

Strategic Objective Statement

REDSO's Strategic Objective 7 is **Enhanced Regional Capacity to Improve Health Systems** in Eastern and Southern Africa (ESA). Accomplishing this will involve continued assistance to African regional institutions and other regional entities in four areas. First, activities will aim to strengthen the institutional capacity and sustainability of regional partner institutions. Second, focus will be given to expanding the base of human, technical and program resources available to improve systems throughout the region. Third, efforts will be made to increase the analysis, dissemination and application of information to enhance sector programs. Finally, SO 7 seeks to enhance the policy environment by improving regional dialogue on regional policy issues in key technical areas that include HIV/AIDS, maternal and child health and nutrition, reproductive health, infectious disease, and health care financing.

This strategy builds on program efforts underway since 1995. REDSO's successful experience in fostering the exchange and adoption of systems, tools and better technical practices throughout the ESA region using African health networks has indicated that the approach is responsive to development needs, has the commitment of African partners, and is consistent with REDSO's broad objectives and mandate. In implementing SO 7, REDSO will work with three principal partners – the Commonwealth Regional Health Community Secretariat (CRHCS) in Arusha, Tanzania, the Center for African Family

Studies (CAFS) in Nairobi, Kenya, and the Regional Centre for Quality of Health Care (RCQHC) at Makerere University in Kampala, Uganda. Each of these partners has been selected because of their technical familiarity with the networking approach and their experience in working with health care community stakeholders.

REDSO's perspective is a cross-regional one, with activities covering 22 countries. Approaches are, however, sub-regional in practice, with groups of countries involved in specific activities and outputs produced at a country-specific level. SO7 will attempt to increase synergies with other REDSO programs by adding special focus to the Greater Horn of Africa (GHA) region, particularly GHA non-presence countries, which are characterized by extreme food insecurity, political instability, conflict and major health challenges, including the HIV/AIDS pandemic.

Four Intermediate Results (IRs) are required to achieve this SO. These are:

I.R.7.1	Improved Viability of Regional Partner Institutions;
I.R. 7.2	Broadened Technical Resource Base;
I.R. 7.3	Expanded Utilization of Critical Information; and
I.R. 7.4	Expanded Policy Dialogue.

Problem Statement

Health status indicators in sub-Saharan Africa are among the worst in the world, with extremely high rates of infant, child and maternal mortality and morbidity. The most challenging development threat facing Africans today, however, is the HIV/AIDS epidemic. Out of 33 million adults and children estimated to be living with HIV world wide, two-thirds (nearly 23 million) live in sub-Saharan Africa. It is estimated that by 2000, approximately 10 million children under 15 in ESA had lost one or both parents to AIDS. In addition to causing intense suffering and pain and ultimately death in the sub-Saharan region, the HIV/AIDS pandemic overwhelms already weak health systems, undermines economic development by devastating the labor force, and is an important factor in the resurgence of opportunistic infections such as tuberculosis and meningitis.

There have been some improvements in health status in the region. They are difficult to sustain however, given the continuing and accelerating spread of HIV/AIDS, the increasing infection of young women, the resurgence of TB and malaria, falling rates of immunization, and the inability of most national health systems to provide for the increasing health needs of the population. Drugs, contraceptives, and equipment continue to be in short supply, compounded by faulty logistics systems while hospitals and health service providers are overloaded. These pressures on the system will be increased by population momentum resulting in ever-increasing proportions of young people entering their reproductive years. Women, men and children are differentially affected by health problems and respond differently to service provision approaches and interventions.

Historically, donors have provided development assistance in the health sector through a bilateral approach. Development trends worldwide, however, demonstrate the importance of viewing problems and opportunities from a wider, transnational perspective. For example, epidemiological trends have shown that infectious diseases such as HIV/AIDS, tuberculosis, and malaria cross national borders and shift from national concerns to major regional disease burdens. In addressing these transnational health challenges, the traditional bilateral planning and programming approach to development assistance is insufficient. Rather, it needs to be complemented by a broader, more inclusive, and less restrictive approach to development.

While there is clearly a need for regional approaches and solutions to the growing HIV/AIDS pandemic and other health problems, it is also clear that regional health systems lack the capacity and resources to respond effectively. Additionally, cooperation and collaboration in program and resource planning between countries on public health issues remains limited and informal in ESA. Regional approaches require harmonization of ideas across borders, recognizing that the same health problem experienced in different countries will not necessarily have the same contexts and concerns. Regional consensus-building and program implementation work is consultative, time-consuming and arduous. The process relies on the support of a diverse range of stakeholders, including health practitioners, managers and policymakers in the traditional, private and public sectors as well as influential community members. Multi-country approaches attempt to further the adoption of better practices that will strengthen institutions, expand skills, and improve performance throughout the sector. This ambitious goal will not advance without sustained investments in capacity building.

For the purposes of this strategy, health systems are defined as the institutions, management and technical structures, human and financial resources, policies, and community norms that have an impact on the development and delivery of health sector programs and contribute to the quality of health care of the population. Viable regional approaches to enhancing the capacity to improve these health systems are nascent yet promising. There are few African institutions with regional public health mandates and strategies in ESA. Those that do exist uniformly lack adequate human, financial and institutional resources and technical capacity to achieve results. Further, they lack the capacity to influence the policy environment to ensure sustained improvements to regional health systems. Reinforcing the technical and institutional capacity of African organizations and professionals to transfer information, skills and technologies regionally for strengthening health systems and to undertake policy dialogue and advocacy for sustaining these systems is a critical development need.

Progress to Date

There have been notable successes in the health sector at the national and local level throughout the region. For example, Uganda has begun to reverse a devastating epidemic of HIV infection among young people. Kenya has made great strides in family planning and health care financing. There have been successful pilot programs in various areas

including interventions in social marketing, integration of health services, provision of youth services, training methodologies, management and information systems and programs which have differentially targeted men, women and influential decision-makers (political and religious). These examples, and other successful efforts, provide a promising array of better practices, which, if spread and adopted throughout the region, can have a significant impact on health practices and outcomes.

Key stakeholders in the health sector have acknowledged the importance of using regional approaches to planning and program development. Experience has demonstrated that achieving results relies on partners sharing lessons learned across borders, adopting better practices and technologies, and packaging and disseminating critical information to target audiences efficiently and effectively by using multiple networks and channels, including information technology.

This regional networking, cross-border approach to addressing regional health issues has been tested and refined by REDSO over the past five years and is now accepted as a critical strategy in building capacity in the region. REDSO's role since 1995 has been to foster African ownership of the process of regional exchange and adoption of better practices, technologies and tools. To this end, REDSO's strategy has supported the development of African health networks which use a joint planning and programming approach to define mutual areas of concern and expand the use of better practices to address these issues. Accordingly, networks in quality of care, national health accounts and logistics are now operational, and other networks that focus on issues such as adolescent reproductive health and food and nutrition are in the early stages of development. REDSO has supported regional capacity building activities to further enable African institutions and networks of health care professionals, practitioners, and policymakers to assume the process of regional networking.

Development Hypothesis and Critical Assumptions

While the ultimate goal of any health sector program is improvement in health outcomes, achieving and sustaining this goal requires effective health systems. SO 7 is based on the hypothesis that strengthening the capacity of regional health systems will lead to improved health policies, programs, and service delivery at national and local levels throughout the region. These improvements will, in turn, lead to improved health outcomes for the ultimate customers, namely the women, men and children throughout the region. It is also hypothesized that in order to improve regional system capacity, four key improvements are necessary.

First, regional health sector programs must be implemented by institutions with the capacity to design and deliver effective programs on an ongoing basis (*IR 7.1, Improved Viability of Regional Partner Institutions*). IR 7.1's strategic approach will focus on ultimately enabling regional institutions to develop, implement, manage and support improved health sector programs. Focus will be given to improving their viability - their management and planning systems as well as institutional financing strategies. These 'viable' institutions will thus have the programmatic, organizational and financial

resources and capacity to effectively function in implementing their mandates over time, with a minimum of external input.

Second, it is necessary to develop and strengthen the range of human and program resources available throughout the region to effectively improve health systems. (*IR 7.2, Broadened Technical Resource Base).* This requires expanding the cadre of trained people who can contribute to program design and implementation. It also requires strengthening regional partnerships and collaborative south-to-south approaches to further strategic coordination and to increase African ownership and commitment to long-term solutions. Finally, there is a need to establish linkages with other, non-health sectors to explore the potential for cross-sectoral coordination to address the broad range of factors that affect health status.

Third, individuals and institutions involved in strengthening health systems must have appropriate information in order to successfully develop, apply and assess approaches to improving health systems. *(IR 7.3 Expanded Utilization of Critical Information*). This requires disseminating state of the art knowledge, sharing of successful practices and applying lessons learned to maximize synergies, enhance efficiency, and further sustainability by increasing local ownership and commitment to long-term solutions.

Finally, to sustain improvements in health status throughout the region, health programs and the health systems that affect them must be set within a supportive policy environment. (*IR 7.4, Expanded Policy Dialogue*). Effective policy dialogue requires that policy recommendations are based on sound data derived from careful analysis of program issues and that a process of advocacy is effected to support policy discussion.

SO7's critical assumptions are that there will be continued political and program support for African regional partnership and dialogue both within and outside Africa, that conditions will continue to allow cross-border cooperation on activities, and that REDSO's mandate will continue to emphasize the development and implementation of regional programs.

Results Framework

The results framework for SO 7 is presented in graphic form on the next page. It outlines the four key intermediate results viewed to be both necessary and sufficient to enhancing regional capacity to strengthen health systems, and the sub-intermediate results needed to accomplish each of them.

SO 7: Enhanced Regional Capacity to Improve Health Systems

Indicators:	*Number of regional strategies to address health systems implemented* *Number of selected better practices implemented regionally* *Gender concerns incorporated into programs and policies of selected regional partners*

In the next five years, REDSO will continue to work towards this goal of transferring networking responsibilities to African institutions. These institutions, while long experienced in the sector, require targeted strengthening to enable them to lead the process of developing regional sector approaches based on regional priorities. REDSO will also continue to support existing networks; help identify new technical and program areas where the networking approach would help the diffusion of better practices, strengthen the cadre of professionals that can assist in the adaptation and application of these practices, and foster improved communication between sector partners. REDSO's vision is that these networks, African-led and African-centered, will ultimately assume roles as catalysts for improved health systems throughout the ESA region.

SO 7 will focus on fostering partnerships across countries within the region to increase cross-border and sub-regional development of strategies – namely, plans and approaches- to address specific health issues. In recent decades, health providers have recognized that men, women and children have different needs and respond best to gender and age specific interventions. Within ESA, practitioners have piloted a range of successful approaches that will be shared. As noted earlier, the concept of 'regional' to date has in fact involved the implementation of programs across some countries in the region, not in all 22 ESA countries. SO 7 will seek to expand approaches across the region as much as possible. However, in most cases, partnerships will likely be formed at the subregional level and outputs will be country-specific.

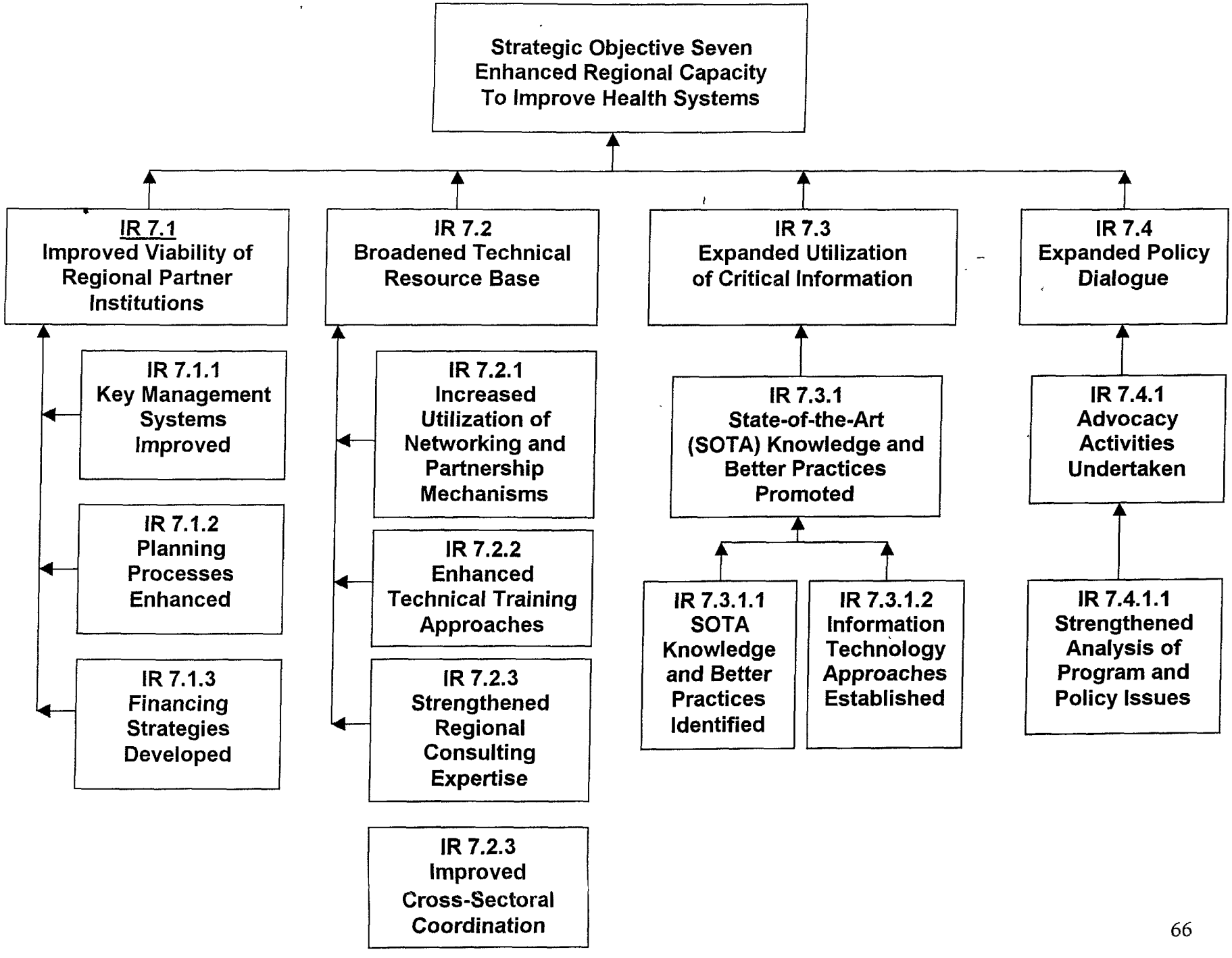
At the end of REDSO's five-year strategy period, African partners will be fully engaged in managing the networking and exchange of better practices processes, network activities will lead to greater coordination throughout the region in developing joint strategies and approaches to specific health problems in key technical areas, and there will be increased south-to-south consulting and technical exchange that results in improvements to health systems and better quality health programs at the country level throughout the region.

<u>IR 7.1: Improved Viability of Regional Partner Institutions</u>

Indicators: *Percentage of partners' planned targets achieved*
Leadership of partner institutions in regional strategy development (standards for measurement of the concept of 'leadership' will be defined later)

Targeted institutional and human capacity development (e.g., through training, TA and other approaches) will help establish and strengthen operational support systems and enhance skills in critical management areas such as planning, training and human resource development, health management information systems, logistics management, quality improvement and assurance, and supervision and monitoring. Emphasis will also be given to improving partner awareness of financing strategies utilized throughout the region to support identification of potential strategies for institutional financing.

strengthening partner institutional capacity in this manner should lead to better achievement by partners of planned results and should also enable them to play a more vital role in catalyzing partnerships and strategic coordination throughout the region. By the end of the strategy period, partners will be more mature regional organizations, with clearly defined mandates and management and planning systems to support these mandates, and with financing strategies in place that will sustain regional networking activities after USAID funding ends.


Strategic Objective Seven
Enhanced Regional Capacity
To Improve Health Systems
IR 7.1
Improved Viability of Regional Partner Institutions
IR 7.2
Broadened Technical Resource Base
IR 7.3
Expanded Utilization of Critical Information
IR 7.4
Expanded Policy Dialogue
IR 7.1.1
Key Management Systems Improved
IR 7.1.2
Planning Processes Enhanced
IR 7.1.3
Financing Strategies Developed
IR 7.2.1
Increased Utilization of Networking and Partnership Mechanisms
IR 7.2.2
Enhanced Technical Training Approaches
IR 7.2.3
Strengthened Regional Consulting Expertise
IR 7.2.3
Improved Cross-Sectoral Coordination
IR 7.3.1
State-of-the-Art (SOTA) Knowledge and Better Practices Promoted
IR 7.3.1.1
SOTA Knowledge and Better Practices Identified
IR 7.3.1.2
Information Technology Approaches Established
IR 7.4.1
Advocacy Activities Undertaken
IR 7.4.1.1
Strengthened Analysis of Program and Policy Issues

IR 7.2: Broadened Technical Resource Base

Indicators: *Number of activities using African consultants (disagreggated by African-led and non-African-led)*
Number of cross-sectoral organizations and individuals participating in regional health activities

Improving health systems throughout the region depends on the presence of a broad base of technical professionals and mechanisms that promote south-to-south networking and partnership approaches both within the health sector and across other sectors. The process of training and human resource development must be institutionalized to meet ongoing needs for Africans equipped to improve health systems in the region. Activities will support the expanded development of networking and partnership mechanisms, the establishment of systems for developing an African consulting cadre, and the design of approaches to furthering cross-sectoral coordination to maximize program and technical resources and impact. By the end of the strategy period, there will be decreased reliance on expatriate advisors and organizations and increased utilization of African specialists in networking and technical assistance activities throughout the ESA region.

IR 7.3: Expanded Availability of Critical Information

Indicator: *Number of strategies within the region that include state-of-the-art (SOTA) knowledge or better practices*

To improve regional health systems on a continuing basis, processes must be in place that support the ongoing dissemination and adaptation of state-of-the-art (SOTA) technical knowledge and better practices by African institutions and networks. Better practices are defined as those, which are effective, can be institutionalized in Africa, have measured positive results, and are likely to be replicable. IR 7.3 activities will thus support the development of regional capacity to keep technical knowledge current, to identify better practices from the region (including gender and age differentiated provision approaches), to share information on these practices throughout the region, and to adapt and implement these practices at the country level. Focus will be given to the utilization of modern information technologies (ICT) to support the dissemination of information through a wide range of approaches including web-sites, shared databases, and electronic mailings. By the end of the strategy period, networks in key technical areas will be operating on a regular basis with network members sharing information, exchanging lessons learned, and supporting the application of better practices in countries throughout the region. ICT approaches will be integrated into the networking approach, with partner organizations using ICT for information dissemination as much as feasible.

IR 7.4: Policy Dialogue Promoted

Indicators: *Number of policy working groups formed to address regional policy issues*
Number of policy agendas developed by working groups

Regional capacity to improve health systems requires a policy environment that not only enables the enhancement of health systems but also promotes and sustains these systems. Accordingly, efforts will focus on promoting policy dialogue on critical regional health issues among health sector leaders and other key decision makers. Activities will emphasize strengthening regional capacity to develop a regional policy agenda, conduct policy analysis to inform policy development, and undertake advocacy activities to support policy reform and development. By the end of the strategy period, there will be increased regional coordination to foster policy change. Regional organizations will be working collaboratively to identify legal and regulatory constraints to the achievement of health objectives throughout the region and to advocate for regional and country-specific policy formulation and implementation.

Linkage to Agency, AFR/SD and Global Objectives

SO 7 contributes to the REDSO/ESA strategic goal of "a food secure, peaceful and healthy region" by building the capacity of regional health systems to support improved health outcomes. Its focus on supporting health networks and partnerships to facilitate the sharing of information, models and technologies throughout the region embodies the Greater Horn of Africa Initiative's (GHAI) emphasis on African ownership, strategic coordination, and regional approaches. SO 7 also directly supports REDSO's food security SO5 by strengthening the critical link between nutrition and food security. SO 7's support for activities to improve nutritional outcomes among vulnerable groups affected by food insecurity, particularly women and children, directly enhances the synergies between SO 5 and SO 7. Lastly, SO 7 contributes to REDSO'sSO6 for conflict management by emphasizing the prevention of HIV transmission and the mitigation of the HIV/AIDS pandemic to reduce the economic, demographic, and social consequences of AIDS and their potential implications for political stability. The relationship between diseases and politics was described in a recent study examining the destabilizing effect of AIDS that could hasten state failure in partial democracies (CIA 2000).

SO 7 is envisioned to be complementary and additive to country-specific PHN strategies throughout the region. SO7's support to regional, cross-border initiatives in population, health and nutrition through health networks is intended not only to build on approaches implemented by ESA bilateral missions, but to provide a forum in which to collaboratively address health sector needs identified by missions, governments, NGOs and donors.

Finally, SO7's focus on regional capabilities to strengthen health systems will ultimately lead to the development of enhanced programs in family planning and reproductive health, maternal and child health, HIV/AIDS, and infectious disease throughout the region. Accordingly, SO 7 contributes to Agency Goal Four, "World Population Stabilized and Human Health Protected", as well as each of its five Strategic Objectives: (1) Unintended and Mistimed Pregnancies Reduced; (2) Infant and Child Health and Nutrition Improved and Infant and Child Mortality Reduced; (3) Death and Adverse Health Outcomes to Women as a Result of Pregnancy and Childbirth Reduced; (4) HIV

Transmission and the Impact of the HIV/AIDS Pandemic Reduced; and (5) The Threat of Infectious Diseases of Major Public Health Importance Reduced.

Partners and Consultative Process

During the development of the networking strategy, REDSO undertook broad consultation with partners in all aspects of its activities to ensure African ownership of priorities and activities. Meetings, customer surveys, polls, consensus building and voting were all used to ensure that the PHN portfolio of activities reflects the needs and priorities of our African counterparts.

REDSO recognizes the need to transfer responsibility and ownership of activities and the networking process to our three African partners, CRHCS, CAFS and the RCQHC, who are also our key clients. As a result, REDSO conducted a series of meetings with these partners and other network members to clearly identify their priorities, needs and organizational vision. In undertaking this process, REDSO sought to clearly establish the commonalties among our partner organizations and from those, to establish a shared vision and clear priorities. Partners agreed that the SO 7 Results Framework accurately reflects their vision and priorities.

REDSO actively seeks to collaborate with other donors on areas of mutual interest in the health sector. During the current strategy period, REDSO initiated communication with donor agencies to identify areas of common interest and available resources. Agencies such as the UNFPA, Rockefeller Foundation, and JICA joined African and USAID partners in the process of identifying and implementing priority health areas for networking activities. Donor working groups were then convened to address areas of coordination and, in some cases, to jointly plan and fund activities.

Achievement of SO 7 will require ongoing collaboration with a wide range of partners. REDSO will continue to facilitate this process and to support joint planning and programming where appropriate and feasible. Donor representatives will be included in regional conferences and workshops. During these workshops, African participants typically lead the identification of priority issues and, during discussions with donors and other partners, share critical information about problems, best practices and lessons learned. Through a consultative process, African partners identify priority needs in a particular area. From this, donors identify areas within their manageable interest and collaborate to determine where resources might best be applied to maximize success.

Achieving results under SO 7 will also require close and continued collaboration with other REDSO teams, other ESA Missions, and USAID/Washington's AFR/SD and the Global Bureau. Joint planning and funding for cross-cutting activities in nutrition and food security are already underway under the GHAI umbrella. Efforts will be made to expand coordination between the SO 7 team and the other REDSO SO teams. Particular emphasis will be given to building synergies between PHN activities in HIV/AIDS and activities in economic growth, conflict and democracy, as well as to involving non-presence countries in PHN regional networking and partnership activities.

Funding Scenarios and Their Implications

The programmatic implications of REDSO's contribution to SO 7 during the strategy period 2001 – 2005 is discussed below, taking into consideration the potential impact of high versus low funding scenarios on the proposed program and planned results.

At a low level of funding of approximately $5 million, REDSO support would ensure the continuation of activities currently underway. Specifically, SO 7 would continue networking and information dissemination activities to support the exchange and application of better practices through the ESA region. Additionally, institutional strengthening efforts with REDSO's current three African institutional partners would continue. With the low budget scenario as currently envisioned, however, there would be little to no funding available to either expand work with our current partners or increase the number of African partner institutions, nor would there be sufficient funding to routinely include non-presence countries in ESA regional networking activities. Finally, there would be limited funding for investments in health program sustainability – e.g., in policy related activities with our African partners.

At the high level of funding of approximately $6.6 million, REDSO's program would take significant strides in both expanding current partner activities and increasing its number of partners, in integrating non-presence countries more routinely into regional PHN activities, in building up a cadre of regional consultants both within and outside of the health sector, and in furthering advocacy and policy dialogue throughout the region.

STRATEGIC OBJECTIVE EIGHT: EFFECTIVE SERVICES TO ESA MISSIONS AND SUPPORT TO REGIONAL PARTNERS

Strategic Objective Statement

REDSO's Strategic Objective 8 will contribute to the achievement of USAID client mission and regional partners' strategic objectives and will further the GHAI goals of enhancing African capacity in conflict mitigation, prevention and response (CPMR); food security; and enhanced information dissemination and utilization by decision-makers in the region. REDSO will accomplish this objective through the provision of core services and selected technical services, an enhanced coordination role in the implementation of GHAI and via technical assistance to strengthen regional partners' systems. SO 8 constitutes one of REDSO's principal mandates and encompasses its traditional "service provider" role, yet refocuses this role to emphasize core services (defined below), GHAI coordination, partner capacity building, and training.

Four Intermediate Results contribute to the achievement of SO 8:

IR 8.1 Effective Core Services to Client Missions;

IR 8.2 Improved Coordination of the Implementation of the Greater Horn of Africa Initiative;

IR 8.3 Cross-Cutting Activities to Strengthen Regional Capacity, Cooperation and Information Use; and

IR 8.4 Training to Enhance Human Capacity in USAID Missions and Partners Organizations.

Problem Statement

Since its inception in 1972, REDSO's traditional role in the ESA region has been to provide a broad array of technical and support services to bilateral USAID missions lacking specialized in-house expertise to design, implement and evaluate development assistance and humanitarian programs. In 1990, REDSO had 37 U.S. direct hire employees to provide this support and had virtually no regional program implementation responsibilities. In 1995, direct hires had decreased to 29 and REDSO had been given implementation responsibilities for an approximate $10 million annual regional portfolio. In 2000 REDSO's authorized USDH level has further declined to 19 and its regional development assistance portfolio has increased to $25 million annually, including two Presidential Initiatives and management responsibility for three non-presence countries.

Declining OE resources have made it impossible for REDSO to maintain the level of service provided by USDH throughout the 1980's and early 1990's. Efforts to maintain reasonable staff levels using USPSCs, FSNs and other mechanisms such as Fellows has been constrained by staffing ceilings. This is an acute problem for REDSO because these non-USDHs are now, within legal limits of delegations of authority, undertaking many of the program management and service roles previously played by USDHs. In addition, using program funded staff instead of USDHs further decreases the amount of funding available for programs.

Over this past decade, USAID's Africa Bureau declined from approximately 300 field officers in the early 1990s to an authorized level of only 207 projected for the end of 2000, and some 24 USAID overseas missions were closed from 1994 to 1998. As a result, a severely downsized USAID is now experiencing critical shortages of senior technical officers in all backstops and in core support cones (legal, contracting, financial management, Food for Peace, Environment/Regulation 216 and others). Services from these support cones are critical to implementing development programs and ensuring compliance with statutory and regulatory requirements. ESA bilateral missions are stretched razor thin as a result of down-sizing and OE cuts. Nine USAID missions in the region now have 7 or fewer direct hire officers.

The implications for the Agency are clear: (1) USAID must restructure its processes, work force and organization (both in the field and in USAID/W) to reflect current and future resource constraints; (2) USAID must move toward a more regional approach and concentrate limited human and OE resources in larger focus country bilateral missions or

in regional service centers to manage non-presence country programs and provide support to smaller surrounding missions; (3) convergence and better coordinated programming must be sought to maximize synergies, minimize duplication of effort among USAID missions, donors and other regional players; (4) continuous training and human capacity strengthening will be essential to increase USAID and partner staffs' productivity and ability to do "more with less," (5) the capacity of USAID partners and institutions must be strengthened in order to maximize the effectiveness of assistance and to achieve sustainable impact with ever declining USG resource levels, and (6) partnerships must be formed with donors, host countries and African institutions to help emerging economies in the region to better benefit from the information revolution. REDSO's Strategic Objective 8 is designed to support these areas and activities.

Progress to Date

To date, REDSO has measured its progress in this area by the percentage of client mission service demands met. Additionally, REDSO has been evaluated on the blend and quality of skills provided versus the technical and program skills required. This emphasis on maintaining a high level of staff skills has ensured that client missions obtained the type of assistance needed for enhanced program impact. REDSO service providers are, of necessity, well versed in Agency reengineering goals, core values, sector priorities and operational procedures, as well as in policy initiatives and the national interest.

REDSO has met or exceeded targets in this SO, with client USAID missions and regional African partners having positively rated the quality of REDSO services and support. REDSO's quantitative measure for the SO has traditionally been, "service days performed as a percentage of service days agreed-to." In this area, REDSO has generally met 85-90% of performance levels, exceeding the target rate of 80%. This is noteworthy given the many key personnel vacancies REDSO has experienced and the regional implementation responsibilities that have been added to the REDSO program over the past five years.

Development Hypothesis and Critical Assumptions

The development hypothesis underlying Strategic Objective 8 is that the provision of REDSO's core services, at a minimum, is essential for our bilateral mission partners being able to achieve their sustainable development and humanitarian objectives in an accountable manner. By providing core services, training, coordinating the implementation of the GHAI and assisting key regional organizations not easily covered by the sectoral SOs, REDSO ensures that USG sustainable development objectives are achieved.

There are several critical assumptions: the USG will remain committed to providing sufficient program resources for development assistance and humanitarian programs in the ESA region; the volatile operating environment of the ESA requires a flexible workforce, service provision in the midst of crisis, focus on strengthening African capacity to respond to crises and training to improve our workforce's ability to operate in

the midst of crisis; the Agency's declining Operating Expense budget and straight lined or declining personnel levels will mean that bilateral missions will continue to require REDSO core support; REDSO will not be subject to further significant OE or staff cuts. At 19 USDH, *REDSO is at a bare minimum to maintain oversight accountability*-- 4 USDH devoted to program development and implementation and mission management, 12 USDH to provide core support services (legal, contracting, food for peace and financial management), 2 USDH technical officers to manage regional portfolios in Food Security and PHN and 1 USDH to oversee non-presence programs and conflict management activities. African institutional strengthening and enhanced regional integration and cooperation provide the most promising approach to promote sustainable advances in food security, economic reform, improved health, and better governance in the ESA region.

Results Framework

The results framework for SO8 is presented in graphic form on the next page. It outlines the four key intermediate results (IRs) to be both necessary and sufficient for achievement of the RF.

S.O. 8 Effective Services to ESA Missions and Support to Regional Partners

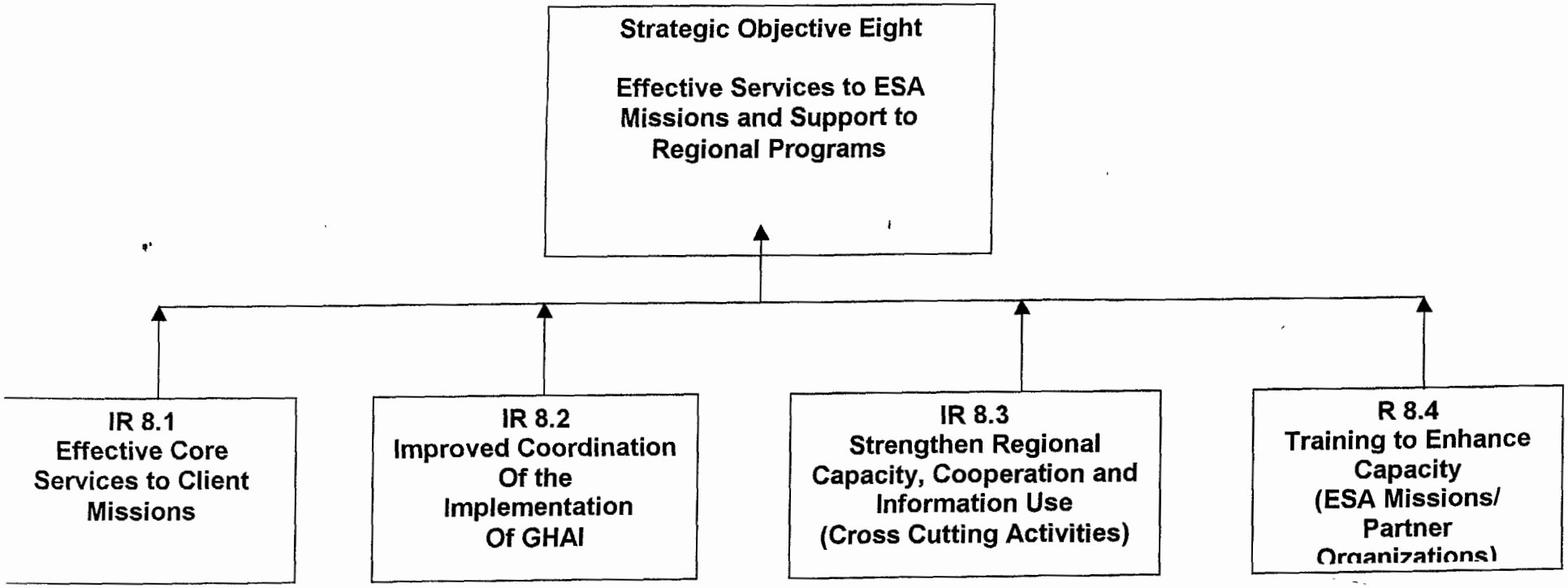
Indicators: Percentage of client mission demand for core services met
Customer satisfaction (Aggregate Performance scores)
Number of GHA Missions with ISPs

SO 8 is, in essence, what was formerly considered a Strategic Support Objective (SSO) (but which new ADS guidance now terms an "SO"). The SO supports the ability of client bilateral missions and selected regional partners, with special attention to IGAD, our principal partner, to achieve their strategic objectives. It also offers flexibility in supporting new issues and activities as they emerge.

<u>IR 8.1: Effective Core Services to Client Missions</u>

Indicators: Customer Satisfaction surveys scores (disaggregated by skill areas)

1999 STATE 223751in providing strategy parameters, defined core services as contracting and financial management support, legal advice, Food For Peace (FFP) services, environmental (Regulation 216) support and analyses. REDSO/ESA has further identified the following services as "core" based on Agency priorities, significant demand in the ESA region and an absence of other viable service providers. The expanded definition of core includes: performance monitoring and evaluation (PME) services, selected population, health and nutrition (PHN) services, with a special emphasis on


Strategic Objective Eight
Effective Services to ESA Missions and Support to Regional Programs
IR 8.1 Effective Core Services to Client Missions
IR 8.2 Improved Coordination Of the Implementation Of GHAI
IR 8.3 Strengthen Regional Capacity, Cooperation and Information Use (Cross Cutting Activities)
R 8.4 Training to Enhance Capacity (ESA Missions/ Partner Organizations)

HIV/AIDS prevention, and Information Communications Technology (ICT) support to USAID missions in the ESA region. In an era of ever-dwindling USDH staff in missions, REDSO's cadre of core professionals provides vital support to the achievement of results and accomplishing ESA and Agency goals and objectives.

Illustrative results include client mission financial management, procurement and legal services needs are met in a timely manner such that the normal planning, implementation and obligation cycle is orderly. Subject to mission demand for the core services in the skill areas listed above, missions will have the tools required to develop strategic plans, results packages and PMPs in accordance with the ADS guidance. Also, missions' technical staff and partners will have state of the art information on HIV/AIDS and other PHN related issues and ICT opportunities will have been explored at a minimum.

REDSO will continue to play an important role in the Agency's restructuring and implementation of new business processes. For example, USAID's new core accounting system, scheduled for rollout in 2001/2002, will further centralize financial management operations worldwide. It is currently envisioned that approximately eight regional accounting centers will be established, (including one in REDSO/RFMC) to assume many of the financial management functions formerly handled in bilateral controller offices. The Management Bureau and Office of Procurement are also exploring regional alternatives to present bilateral mission structures, including the establishment of Regional Business Centers (RBCs) which would consolidate contracting, controller, legal and other support functions into regional service centers to provide support to surrounding missions. REDSO would serve as one of these centers for the ESA region.

<u>IR 8.2 Improved Coordination of the Implementation of the Greater Horn of Africa Initiative (GHAI)</u>

Indicators: *Percentage of all REDSO/ESA technical service provided to GHA Missions*
Number of regional GHAI coordinating events held
Number of Linking Relief and Development analyses provided to GHA Missions and their partners
Percentage of requests for convergence assistance responded to
Customer Satisfaction survey scores on Customer Surveys (disaggregated by GHAI skills areas)

There are two broad sets of activities that contribute to the achievement of this intermediate result: 1) support to enhance Mission convergence with the GHAI strategy and 2) field coordination of the initiative. In the former case, REDSO/ESA staff will provide technical and strategic services to bilateral USAID missions in the GHA region to assist their efforts at convergence with the GHAI objectives and principles. This assistance will, by definition, be diverse in nature and could include activities such as identifying opportunities for bilateral sectoral convergence with GHAI objectives or assisting bilateral missions with the integrated strategic planning process. Field coordination activities are equally diverse and will include efforts such as holding regular

regional coordination meetings of the bilateral coordinators and Field Steering Committee, reporting on GHAI results, and identifying and facilitating opportunities for GHAI collaboration among USAID entities.

REDSO will continue to provide selected technical and advisory services to ESA missions over the next year but "non-core" services will gradually be scaled down or out. This decision was made in order to meet REDSO's regional implementation responsibilities (SOs 5-7) and carry out regional initiatives and implement NPC programs (SO9). 1999 STATE 223751 requested REDSO to define the criteria by which "non-core" services would be provided to client USAID Missions in the ESA region. They are, in priority order: 1) services to GHA Missions to support convergence with the GHAI Strategy, including technical assistance, which advance the GHAI objectives of food security, conflict prevention and mitigation, and access to information as well as strategic assistance on integrated strategic planning and the application of the GHAI principles; 2) services to non-GHA missions in the areas of CPMR, Food Security, and information technology; and 3) other technical services on an "as available" basis.

With the restructuring of REDSO described in Part Two, overarching coordination of implementation and reporting on GHAI will be the responsibility of the GHAI Secretariat and HASP management unit. Staff from these two units, assisted by other SO teams will be available, on demand, to help coordinate Missions' implementation of the GHAI. The provision of core and technical services to support Mission efforts to implement the GHAI or to achieve convergence will become of highest priority.

Some illustrative results are: all GHA missions will have ISPs that reflect convergence with the GHAI strategy; each GHA country will have a core group of people equipped with linking relief and development analysis tools; regularly held meetings of both bilateral coordinators and the Field Steering Committee. It is also reasonable to expect that bilateral missions will have partners that are working with the REDSO core partners in achieving the objectives and principles of the GHAI strategy.

<u>IR 8.3: Cross-Cutting Activities to Strengthen Regional Capacity, Cooperation and Information Use</u>

Indicators: *Number of TDY days to IGAD and COMESA for core institutional/organizational strengthening support*
Number of regional institution systems (financial, administrative, information) revised or strengthened

This Intermediate Result includes activities broader than food security, conflict management or health that directly support strengthening African capacity or the GHAI principles of strategic coordination, linking relief and development, enhanced regionalism and African ownership. For instance, IGAD is a key partner for REDSO as the intergovernmental entity with 7 out of 10 GHAI countries as member states. REDSO is committed to assist IGAD to become a premiere sub-regional organization and is providing technical assistance and equipment to enhance IGAD's capacity to fulfill its

regional mandates. Similarly, institutional strengthening support is being provided to the United Nations Economic Commission for Africa and the East African Sub-Regional Initiative for the Advancement of Women (EA-SSI). Although expanded use of ICTs is a priority for the sectoral SOs, there is broader regional work in the telecommunications and information sector that will be accomplished under this IR. Standard organizational strengthening activities will be undertaken. Other activities include: audits and evaluations not covered by sectoral teams; activities to enhance donor or USAID bilateral coordination; conferences for African regional institutions; and, liaison activities with other USG agencies which complement REDSO's efforts to promote regional integration and utilization of information by decision-makers.

Illustrative results include: IGAD will have in place a financial management system of international standards and it will be operating with a functioning procurement system. On the program side, IGAD will be holding regular dialogue sessions with member states on policy and procedural harmonization. Based on an upcoming institutional assessment, IGAD and REDSO will have a clear work plan and identified priorities for institutional strengthening over the life of this strategy. It is also reasonable to expect that IGAD, EAC, and COMESA will have signed protocols that clearly delineate their roles and responsibilities in the region. Finally, EA-SSI will be playing a prominent regional role in gender analysis and advocacy.

IR 8.4: Training to Enhance Human Capacity in USAID Missions and Partner Organizations

Indicators: *Customer satisfaction scores on training evaluations*
Number of Missions participating in REDSO/ESA-sponsored training events
Number of "Linking Relief and Development" training sessions held for GHA Missions

Since its inception, REDSO has been a center of excellence in strengthening USAID's and its partners' capacity to plan, achieve and judge program results. This IR will provide a broad range of training opportunities to the region to enhance program implementation, accountability and effectiveness. Illustrative training activities include Cognizant Technical Officer (CTO) training, Writing Statements of Work and Program Descriptions, Host Country Contracting, Managing for Results, Supervisory Skills, Government Ethics and Ethical Decision-Making, Internet Use, Software Training (Word, Access, Excel, Outlook), Voucher Examiner Training, Financial Analysis, Pipeline, Accruals and Project Officer Certification Training, Program Monitoring and Evaluation, compliance with USG environmental regulations, Performance Based Budgeting, and training in the principles of linking relief and development, among others. These activities will be open to client mission personnel, partner institutions, contractors and grantees.

REDSO will also undertake "virtual" training activities, including the establishment of a "technology laboratory" where regional experience with emerging appropriate

technologies will be shared via the REDSO Website. REDSO's EXTRANET program, to be carried out in collaboration with IRM/CIS, will extend training and advisory services to the region's bilateral USAID Missions and program partners.

REDSO's training activities will help facilitate USAID's acute need to invest in the re-tooling of its staff and partners to be responsive to the requirements of the GPRA. There will be more opportunities for hands-on training that allows participants to share their experiences and become engaged in facilitating their own learning process.

Linkages to Agency, AFR/SD and Global Objectives

Through the provision of core services, REDSO/ESA aims to support the achievement of the Strategic Objectives of bilateral missions in the region, thus supporting all Agency goals. The priority given to technical and strategic service provision to GHA missions to enhance convergence directly supports the Agency goals of broad based economic growth and agriculture encouraged; the world's environment protected for long-term sustainability; world population stabilized and human health protected; lives saved, suffering associated with actual or man-made disasters reduced, and conditions for political and/or economic development reestablished.

The prominence of GHAI in this current strategy reflects its stature as a Presidential Initiative and the importance of making significant progress toward its objectives in the remaining year of this Administration. Additionally, it reflects a commitment to enhancing partner capacity to achieve GHAI objectives past this Administration. It further demonstrates a commitment to institutionalize certain ways of doing business in the Africa Bureau and the Agency that have emerged as "better practices" based on the experience of the GHAI. The emphasis on the provision of core services and training, including in ICTs, in this Strategic Objective directly contributes to the Agency goal that USAID Remains a Premier Bilateral Development Agency.

Partners and Consultative Process

REDSO has consulted extensively with regional African partners, USAID Missions, USAID/W, U.S. Embassies throughout the region and, other USG agencies and donors in the development of this SO. Because this SO contributes to the achievement of partners' and client missions' stated goals and objectives, and enhances the capacities of these organizations, the SO enjoys the commitment of its development partners. In the proposed support to African partners, for example, REDSO is coordinating closely with other principal donors, each of whom is taking a discrete portion of institutional strengthening activities.

The sole exception to commitment for this proposed strategy may be in REDSO's dropping of most technical (non-core) services to client USAID missions. Feedback at the REDSO/ESA 2000 Scheduling conference in November, 1999 and in customer surveys in February/March 2000 indicated a general concern, especially from downsized and smaller missions, that "customer service (to missions) is taking a back seat to

REDSO's implementation strategy." In the past, one of the keys to REDSO staff's effectiveness has been the synergy stemming from their knowledge of problems in the region and of lessons learned which can be applied and disseminated from one USAID program to another. With the dropping of most technical services, these synergies will be diminished. This is an issue that will require further discussion with the Africa Bureau, Bureau for Management and Global Bureau to identify alternate sources for missions to obtain these services.

Funding Scenarios and their Implications

Under the low scenario of approximately $3.5 million REDSO will be able to maintain program-funded core services, lead the field coordination of the GHAI, implement cross-cutting activities to strengthen regional partner capacity and information communications use and provide key training opportunities to missions and partners. The program-funded core services to be provided include: Food for Peace (FFP) services; environmental (Regulation 216) support and analyses; performance monitoring and evaluation (PME) services; selected population, health and nutrition (PHN) services, with a special emphasis on HIV/AIDS prevention; conflict management services, and Information, Communications Technology (ICT) support to USAID missions in the ESA region. Non-core services will be quite limited, with selected assistance being provided as per the criteria previously indicated which first emphasizes services to GHA Missions to support their convergence with the GHAI Strategy.

Under the high scenario at $4.5 million REDSO is prepared to introduce or strengthen existing highly targeted programs to enhance GHAI coordination and convergence. Selective small grants to the offices of key government policy makers would provide links to the Internet and enable their full participation in regional policy discussions. Donor coordination mechanisms would be enhanced through more frequent in-person meetings to harmonize approaches with partners. Additionally, this SO would document lessons learned and develop and disseminate tools for applying the GHAI principles in a more systematic manner. Specialized mentoring services would be provided by regional information technology firms to important regional organizations like EAC, ECA and CHRCS to help them build Web sites and establish effective online electronic conferences.

STRATEGIC OBJECTIVE NINE: EFFECTIVE DELIVERY OF USG ASSISTANCE TO NON-PRESENCE COUNTRIES

Strategic Objective Statement

As a result of legislative restrictions and security concerns, USAID has no U.S. Direct Hire employees stationed in Sudan, Somalia, Burundi, or Djibouti. Nonetheless, the Administration and Congress have charged USAID with providing substantial amounts of development, humanitarian, and emergency assistance to all but Djibouti. Because there are no USAID officials based in these countries, they are referred to as "non-presence."

Development assistance is managed from Nairobi according to policy set by Washington with significant programming oversight exercised by the Department of State, USAID/Washington, and the National Security Council. Humanitarian and emergency assistance is programmed collaboratively by both Washington and Nairobi-based staff. Management oversight for emergency assistance is provided by OFDA/Washington, but monitored by field staff based both in REDSO and the Africa Regional Office (ARO) of OFDA. The Food for Peace Office in Washington and in REDSO program and monitor the provision of food aid. Responsibility for the Africa Bureau's overall program coordination function is fulfilled by the Non-Presence Countries/Conflict Office (NPC/C).

USAID's intra-agency task is to effectively, and to the extent possible, efficiently program, deliver, monitor, account for, and report on assistance to the Non-Presence countries. Preparation of separate R4 documents for Sudan and Somalia is managed by the NPC/C Office.

Problem Statement

USAID activities address four essential problems in the NPCs. Conflict is the major constraint to economic and social development. Sudan has been embroiled in a civil war for almost 18 years that has cost the lives of at least two million people. Various factions of the National Democratic Alliance (NDA) -- its main member the Sudan People's Liberation Movement -- contend with the Khartoum-based government of Sudan for control of the countryside and newly exploited petroleum resources. Ongoing peace negotiations, sponsored by IGAD, have not yet produced the breakthrough needed to resolve the conflict.

At the end of the 1980's, the dictatorship of Siad Barre spread civil war throughout Somalia, which led to the disintegration of the Somali state in 1991. The UNISOM mission of 1993, though it brought relief to millions of people affected by drought and famine, failed to end the insecurity that prevailed, and unintentionally strengthened the power and influence of warlords. UNISOM's failure additionally called into question the ability of the United Nations and its member states to undertake peacekeeping missions.

In Burundi, the assassination of President Melchior Ndadaye in October 1993, following his election in June of that year and the hand-over of power by a military government, ignited renewed ethnic conflict between Tutsi and Hutu. After three years of leadership vacuum, general unrest, and increasing genocidal violence, former President Pierre Buyoya resumed power via a military coup d'etat in 1996 which immediately brought condemnation by the international community and an economic embargo which has been disastrous for Burundi's economy.

Food insecurity is a second major problem addressed by U.S. assistance. In the Greater Horn countries of Sudan, Somalia, and Djibouti, which are located in a region characterized by cyclical drought and agro-pastoralism, the threat of famine is ever-present. Compounded by civil conflict and the unstable weather patterns brought by El

Nino and La Nina, food insecurity has been a constant feature of life. In Burundi, the civil conflict and economic embargo have had a larger negative effect than unfavorable weather, but the results are the same.

Lack of access to health care is a third major problem addressed by U.S. assistance. Part One and SO7 described the poor health conditions that prevail in large parts of sub-Saharan Africa. These conditions are even worse in countries devastated by conflict and famine. Civil war has destroyed what little health care infrastructure formerly existed. According to their means, such trained personnel as existed emigrated or fled to safe areas. And the lack of educational opportunity in war-torn countries has resulted in lost generations unable to provide or administer even the most basic social services.

Life-threatening emergencies that demand a crisis response is the fourth problem targeted by U.S. assistance. Food aid, water resource development, and health care are USAID's common responses to the needs of people whose circumstances, affected by civil conflict or drought, do not enable them to satisfy their own basic requirements. Over the years, USAID has been extremely effective in delivering emergency assistance. Lessons learned from past experience are helping to ensure that, given the imperatives of humanitarian aid, that U.S. assistance does not exacerbate or prolong conflict.

Assistance Goals, Objectives, and Results Frameworks

Integrated Strategic Plans (ISPs) exist for Sudan and Somalia. These documents provide the strategic and programmatic rationale for the planning, provision, implementation, and results reporting of assistance in these countries. Because changing circumstances require flexibility, the Sudan and Somalia ISPs have been conceived and approved to cover a medium-term period of only three years. There has been no ISP yet elaborated for Burundi but it is expected that a plan to help implement a peace agreement will be jointly conceived by State, USAID/W, and the NSC in early FY 2001. The USAID Djibouti mission closed in 1996 and there is no strategic plan for that country, and no near-term plans to resume significant assistance to it. Seen below are summaries of the ISP Results Framework for Non-Presence Countries' assistance programs in Sudan and Somalia.

Sudan: The ISP, which covered 1997-1999, turned a new page in the USG assistance program to Sudan. Drawing on the positive results of rehabilitation activities, a greater emphasis on self-reliance was brought into the relief program, and resumption of development assistance was proposed for Sudan. In 1998, the Sudan Transitional Assistance for Rehabilitation (STAR) program was launched with GHAI development assistance funds, with the objective of increasing participatory democracy and good governance practices in opposition-held areas of Sudan while reducing heavy reliance on relief. The sub-results to be achieved are (a) increased participation by civilians in local administration, including the management of humanitarian assistance, rehabilitation and small-scale economic recovery programs; (b) increased levels of accountability and transparency, and greater respect for human rights, on the part of civil authorities; and (c) increased capacity of institutions to foster democratization and good governance. As a

result of the desire of southern Sudan people and leadership to speed a transition to greater self-reliance, in late 1999, an interagency Sudan Country Program Team revised the Integrated Strategic Plan, which was submitted to Washington and approved in March 2000. Its Results Framework is summarized here:

Goal: A less vulnerable, more self-reliant population better prepared for a transition to peace.

Strategic Objective 1: Enhanced environment for conflict reduction;
Strategic Objective 2: Enhanced food security through greater reliance on local resources; and
Strategic Objective 3: Enhanced primary health care through greater reliance on local capacities.

Somalia: Nine years after the Somalia government collapse in 1991, the Somali people continue to struggle against insecurity and adverse weather. UNDP's Human Development Index in 1998 ranked Somalia at the absolute bottom worldwide: the average life expectancy was between 41 and 43 years; the adult literacy rate barely 15%; and 25% of children never reach five years of age. Though no hard data yet exists for 1999, the situation has not improved significantly. Drought continues to cause untold hardship on the agro-pastoral populations in the south, with as many as 1.2 million at risk from rainfall predicted to be insufficient in the year 2000.

Security and access continue to be the most challenging obstacles in the implementation of humanitarian and development programs in southern Somalia. While road access is open in most areas, security on the road continues to be a major constraint, both for Somalis trying to conduct normal business transactions and for the relief community in its efforts to deliver supplies.

Glimmers of hope emerged in 1999: the political maturation of Somaliland and, to a lesser extent, Puntland in the north was notable. In May, the Saudi Arabian government revoked its livestock ban, which had put Somaliland's economy into a steep tailspin since early 1998. In June, the Rahanweyn Resistance Army (RRA) liberated Bay and Bakool Regions from Hussein Aideed's forces, and subsequently formed an administration in the regions. In September, Djiboutian President Ismail Omar Guelleh launched a new peace initiative at the U.N. General Assembly. The Djibouti Initiative is supporting efforts by Somali civil society to negotiate an end to clan conflict and identify the structures of what might become a new Somali government. Though total USG funding, including disaster and refugee assistance, approached $25 million, inadequate development assistance funding has severely limited USG ability to nurture secure areas of Somalia and implement the peace dividend "building blocks" approach along a transition from relief to development.

The current ISP summary framework, seen below, was conceived in 1996 and covered the period 1997-99. It was extended by USAID/W in November 1999 for a period of two years to September 2001. However, events in Somalia suggest that U.S. assistance

should transition more quickly from relief to a greater emphasis on development and self-reliance. It is therefore likely than an inter-agency team will undertake a revision of the strategy in late 2000.

Goal: A less vulnerable, more self-sufficient population.

Strategic Objective 1: Improved foundation for food crop production in target areas;
Strategic Objective 2: Critical needs met for targeted vulnerable groups; and,
Special Objective: Increased community capacity to meet their needs.

Burundi: With an emphasis on justice, the Presidential Great Lakes Justice Initiative (GLJI) supports expansion of the rule of law, civil society, economic empowerment, and the role and contribution of women. Since the Initiative was first operationalized in FY 1999, programming and activity implementation are still getting underway. An Integrated Strategic Plan has not yet been produced, but a plan should be elaborated and submitted for Washington review and approval in FY 2001.

In the summer of 2000, REDSO will work with an inter-agency team to identify and design a mix of interventions to tentatively constitute a "shelf" program plan for additional funding that may become available, should Mr. Mandela's efforts to help end the civil conflict be successful. This "shelf" plan will serve as the starting point for the elaboration of an ISP. This planning effort will proceed from a solid basis provided by the United Nations' country assessment, "At the Crossroads: Recovery and Development Challenges in Burundi," completed in September 1999. Elements that might notionally constitute activities in the "shelf" program for immediate funding and accelerated impact, or which could be included in a medium-term program, could include:

- demobilization and reintegration into civil society of members of the military/militia (consisting of training in the gainful pursuit of economic activities: agricultural, vocational, commercial, combined with a microfinance program);
- repatriation of refugees and resettlement of Internally Displaced People (IDPs);
- improvements in the justice system through training of judges and magistrates, updating the legal code, rehabilitating justice infrastructure, and equipping justice offices;
- assistance for the adjudication of land disputes, with priority placed on those arising from squatters, "newcomers," or repatriates;
- increased efforts to expand the role of civil society and create private-public partnerships with civil administrators;
- information, education, and communication to combat HIV/AIDS;
- the rehabilitation of small-scale economic and social services infrastructure; revitalization of the educational system, and;
- a privatization program to reduce the burden on the national treasury of inefficiently managed state-owned enterprises and mitigate the results of the economic embargo.

Link to Other REDSO Objectives, USG Policy, and Regional Performance Plan

The activities funded by the U.S. in the Non-Presence Countries are designed to complement REDSO strategic objectives of increased regional capacity for conflict management, enhanced food security, and health care. NPC interventions are also designed to support the Presidential Greater Horn of Africa (GHAI) and Great Lakes Justice Initiatives (GLJI) objectives of conflict resolution and food security (GHAI), and support improvement of the justice system and expanded civil society (GLJI).

NPC activities are intended to reinforce all five GHAI operating principles of promoting African ownership; encouraging strategic coordination among partners and USG agencies; linking relief and development; employing a regional perspective; and promoting stability, as well as strategic convergence at the regional level.

They also support the broader foreign policy and agency goals of delivering humanitarian assistance to save lives, reduce suffering, and reinforce development potential. Along with the other REDSO SOs and proposed interventions, all NPC activities likewise support specific elements of the State Department's Regional Performance Plan (RPP), as well as Embassy Burundi's and Embassy Djibouti's Mission Performance Plans (MPP).

Sudan: USG policy towards Sudan is focused on three key elements: (1) an end to state-sponsored terrorism; (2) an end to destabilization of states in the region; and (3) an end to human rights violations, including the civil war and its devastating humanitarian impact.

To help end the civil war, the U.S. supports negotiations aimed at producing a comprehensive settlement. At present, the peace process is being nurtured under the auspices of IGAD. The U.S. has provided financial assistance to the IGAD Peace Fund and, through it, to the IGAD Peace Secretariat for Sudan. The USG has also appointed a special envoy whose mandate includes the IGAD-sponsored peace talks, human rights, and humanitarian issues. The Sudan Transition and Rehabilitation (STAR) project provides development assistance to help restore hope in southern Sudanese for a better life and to promote greater self-reliance. At the same time, the U.S. seeks to energize grassroots conflict resolution by providing financial assistance for meetings, workshops, and encounters, which promote inter-ethnic reconciliation. Nonetheless, while the conflict continues, the United States is committed to assisting civilian victims to meet their food, health, water and sanitation needs.

An expansion of STAR project activities to new geographic areas and new sectors, approved in the revised Sudan ISP, envisions a significant level of new assistance to be provided to the National Democratic Alliance (NDA) for leadership training, administrative and logistical support, and office operations to facilitate their more direct involvement in the peace process. The intent is to help the NDA become a credible entity, joining opposition organizations from all parts of Sudan, able to negotiate from a position of unity, and thus potentially hasten an end to the civil war.

Somalia: The paramount goal of US policy in Somalia is to encourage the return of Somalia to the international community as a legitimate and reliable member. The U.S. strategy for building peace in Somalia is to work through IGAD, the IGAD Partners' Forum, and the U.N.-coordinated Group of External Actors on Somalia. USG assistance to Somalia seeks to reward civil society and participatory governance structures in areas of relative stability and to ensure that continuing instability in parts of Somalia does not spread to other countries in the Horn. A "bottom-up," "building blocks" approach is intended to shore up local and regional leadership structures that can provide the foundation, region by region, for a potential future national government. One obvious way to promote this objective is by furnishing increased assistance -- the peace dividend identified by the IGAD Partners' Forum -- for successful local administration and governance in secure areas -- in Somaliland, Puntland, and possibly Bay and Bakool, for example. The peace dividend, regretfully, has not been forthcoming. Food aid and emergency assistance remains by far the largest part of donor support.

USAID has also helped establish and lead a unique and fairly effective donor coordination group known as the Somalia Aid Coordination Body (SACB). The SACB is comprised of some 150 organizations, including multilateral and bilateral donors, UN Agencies, and international NGOs. The SACB has established sector committees to address specific problems, such as governance, food security, and health in order to ensure coordinated, cost-efficient, and effective programs to foster development and to meet the basic human needs of Somalis.

Burundi: As described by the U.S. Ambassador to Burundi in 1999, U.S. policy is to facilitate a just peace agreement that represents the interest of all Burundians. In support of the Arusha peace negotiations, now led by Nelson Mandela, the U.S. seeks to promote a transition to democratic institutions, to oppose human rights violations -- particularly of people forced into regroupment camps, to provide humanitarian assistance, to encourage economic reform, and to protect American citizens. These policy elements are captured in the Burundi Mission Performance Plan recently submitted to Washington.

All of USAID's non-emergency activities in Burundi are intended to support implementation of the Great Lakes Justice Initiative, announced by the Secretary of State in 1997, endorsed by President Clinton in 1998, and first funded in FY 1999. The Initiative's objective is to secure an end to the costly conflict that ravages the Great Lakes region. Humanitarian assistance is provided through USAID's Office of Foreign Disaster Assistance and Food for Peace Office.

Funding Scenarios and Their Implications

Per USAID/W guidance, the current Sudan and Somali ISPs are to be implemented with a straight-lined amount of annual development assistance funding of $3 million for each country. Figures for emergency assistance and food aid are also straight-lined, though planning for humanitarian assistance in out-years is always dicey because of the changing circumstances that characterize conflict and weather. The Sudan and Somali development assistance is currently included in GHAI funds allocated to REDSO.

However, GHAI funds were not originally intended to finance purely bilateral activities, especially for extended periods of time. Moreover, because With no additional funds provided to implement the Sudan and Somalia programs, regional GHAI program activities have necessarily been cut back.

The following summary table is based both on guidance provided in 1999 STATE 223751 and recent instructions from Washington. REDSO has been unofficially informed that assistance for Sudan, particularly for strengthening the Sudanese National Democratic Alliance, will be substantially increased. By the same token, U.S. assistance for Burundi will likely also be considerably increased if Mr. Mandela's efforts to broker a peace are successful. Further, should the Djibouti peace initiative for Somalia be successful, REDSO foresees an increase in the amount of development assistance, which will, as in Burundi, help implement a peace accord and provide support to a new national governing structure. The table below thus shows increases in the out-years for development assistance and Economic Support Funds and a decrease in humanitarian and emergency assistance.

Operating expenses (OE) are included for each major non-presence country because REDSO funds some personnel in the Khartoum office whose duties are essentially administrative or financial management. Since the Office of Foreign Disaster assistance has agreed to fund the U.S. PSC Liaison Officer position and two FSN professionals beginning in late FY 2000, REDSO's OE costs for the Khartoum office have been considerably reduced. The savings have been indicatively allocated to Somalia and Burundi to help cover REDSO FSN personnel costs related to financial management and procurement.

Non-Presence Countries Financial Summary Table

Country: SUDAN	FY 2000	FY 2001	FY 2002	FY2003	FY2004	FY 2005
Emergency Assistance	20,000,000	20,000,000	20,000,000	17,000,000	15,000,000	12,000,000
USG Food Aid	35,000,000	35,000,000	35,000,000	30,000,000	26,000,000	24,000,000
Development Assistance	4,000,000	4,000,000	4,000,000	5,000,000	6,000,000	7,000,000
ESF ESF/DA Swap	5,000,000 250,000	5,000,000	5,000,000	5,000,000	5,000,000	5,000,000
Operating Expenses	200,000	200,000	225,000	250,000	275,000	300,000
Fiscal Year Totals	**64,450,000**	**64,200,000**	**63,225,000**	**57,250,000**	**52,275,000**	**48,300,000**

Country: SOMALIA	FY 2000	FY 2001	FY 2002	FY2003	FY 2004	FY2005
Emergency Assistance	8,000,000	8,000,000	8,000,000	6,000,000	5,000,000	4,000,000
USG Food Assistance	12,000,000	12,000,000	12,000,000	10,000,000	8,000,000	6,000,000
Development Assistance	3,000,000	4,000,000	4,000,000	5,000,000	6,000,000	7,000,000
ESF	150,000					
Operating Expenses	100,000	100,000	125,000	150,000	175,000	200,000
Fiscal Year Totals	**23,250,000**	**24,100,000**	**24,125,000**	**21,150,000**	**19,175,000**	**17,200,000**

* Figures for Somalia out-years of FY 2002-2005 are illustrative, assume that the "peace dividend," "building blocks" approach will be funded, and a decreasing amount of IDA and food aid.

Country: BURUNDI	FY 2000	FY 2001	FY 2002	FY2003	FY2004	FY2005
Emergency Assistance	12,000,000	*12,000,000	*12,000,000	*10,000,000	*9,000,000	*8,000,000
USG Food Aid	11,500,000	*11,500,000	*8,000,000	*7,000,000	*6,000,000	*5,000,000
Development Assistance	0	0	0	*10,000,000	10,000,000	10,000,000
ESF	*5,000,000	*10,000,000	*10,000,000	0	0	0
Operating Expenses	100,000	100,000	125,000	150,000	175,000	200,000
Fiscal Year Totals	***28,500,000**	***33,600,000**	***30.125,000**	**27,150,000**	**25,175,000**	**23,200,000**

* Figures for Burundi funding are illustrative, assume that peace negotiations will be successfully concluded, assume ESF support for FY 2001 and 2002, a change to DA funding in FY 2002 and thereafter, and a decreasing amount of IDA and food aid.

Staffing

The following table reflects REDSO conclusions about the number and type of personnel that will be required to adequately manage assistance for non-presence countries. It includes proposed increases, both in offshore hire and local hire U.S. Personal Services Contractors (PSCs) and in Foreign Service National (FSN) PSCs.

Only one USDH position is projected for the Non-Presence Countries Office. Note that the incumbent of this position also supervises the REDSO Conflict Team. The additional U.S. PSCs requested for the Sudan program reflect the expanded management burden that increased funding for Sudan activities is expected to bring. The FSN Project Development Officer and local hire U.S. PSC Executive Assistant will fulfill the functions of assuring that proper documentation is prepared, planning and logistical support for Executive and Legislative branch visitors, preparing response to inquiries from Washington, preparing for donor coordination meetings, and preparing reporting documents for the entire Non-Presence Countries/Conflict Office. Proposed FSN staff additions for the Sudan program reflect REDSO's desire to create a southern Sudan Field Office either in Yambio or Rumbek as part of an expanded in-country USG presence, assuming that Washington decision-makers, including State's Bureau for Diplomatic Security, concur and that legislation restrictions will accommodate establishment of the office.

Non-Presence Countries Staff				
Position	**FT/PT**	**Funding Source**	**Type**	
Chief, Non-Presence Countries Office	FT	OE	USDH	
Project Development Officer	FT	PROG/DA	FSNPSC	*
Executive Assistant	FT	PROG/ESF	LHUSPSC	*
Program Assistant	FT	PROG/DA	FSNPSC	
Secretary, NPCO	FT	PROG/DA	FSNPSC	
Activity Manager, STAR, Sudan	FT	PROG/DA	OHUSPSC	
Activity Manager, STAR 2, Sudan	PT (50%)	PROG/DA	OHUSPSC	*
Activity Manager, STAR/NDA, Sudan	FT	PROG/ESF	OHUSPSC	*
Secretary, Sudan	FT	PROG/ESF	FSNSPSC	*
Administrative Specialist (Khartoum)	FT	OE	FSNPSC	
Administrative Assistant (Khartoum)	FT	OE	FSNPSC	
Secretary (Khartoum)	FT	OE	FSNPSC	
Activity Monitor (Southern Sudan Field Office-SSFO)	FT	PROG/DA	FSNPSC	*
Administrative Assistant (SSFO)	FT	PROG/DA	FSN PSC	*
Driver (SSFO)	FT	PROG/DA	FSNPSC	*

Non-Presence Countries Staff				
Position	**FT/PT**	**Funding Source**	**Type**	
Activity Manager, Somalia, Water/Health/Emergency Assistance	FT	PROG/DA	OHUSPSC	
Activity Manager, Somalia, Civil Society/food	FT	PROG/DA	FSNPSC	*
Secretary, Somalia	PT (70%)	PROG/DA	FSNPSC	
Activity Manager, Burundi	FT	PROG/ESF	OHUSPSC	*
Activity Manager, Burundi (Nairobi)	PT (50%)	PROG/ESF	FSNPSC	*
Secretary, Burundi	PT (30%)	PROG/ESF	FSNPSC	*

*indicates proposed new position

Management Factors

New and expanded activities for southern Sudan and for the National Democratic Alliance (NDA) cannot be properly managed without an increase in Non-Presence Countries' professional and support staff.

Among the management factors identified during the Sudan ISP review as requiring further assessment in expanding the STAR project include:

- Programming and reporting will require REDSO personnel to travel more often than they have in the past;
- The level of attention from Washington policymakers devoted to Sudan demands that Sudan staff possess up to date information on political developments, the peace process, partners, activities, opportunities, and problems;
- The number of planning and coordination meetings with NDA personnel, donors, and partners continue to increase and will put greater demands on staff, both of REDSO and USAID/Eritrea.

Based on this assessment, REDSO will expand its program coordination, monitoring, and reporting capacities by establishing a small field office in southern Sudan within the premises of one of Operation Lifeline Sudan's new regional hubs in Bahr el Ghazal or Western Equatoria.

Nairobi staff will also have to be prepared to assist USAID/Eritrea and other bilateral missions with the increased management responsibilities attendant to the expanded project.

Recent informal instructions from Washington have also led the Non-Presence Countries/Conflict Office to begin planning a significant expansion of support for the NDA. An infusion of ESF in the amount that is being contemplated by Washington justifies a concomitant expansion of USAID's management capacity.

Somalia will continue to require the limited and modest number of staff proposed in this summary strategy document. This is the minimum number that can plan and manage Somalia activities. However, were development assistance or ESF to be substantially increased, staff would have to be increased commensurately.

On instructions from Africa Bureau senior management, the NPC/C Office expanded its caretaker role for the Burundi non-emergency program by assuming responsibility for management of Great Lakes Justice Initiative (GLJI) activities. REDSO's Regional Financial Management Center had already been serving as the accounting station for Bujumbura for both emergency and development assistance. But because of workload, staffing shortages, and the demands of the Sudan and Somalia programs, REDSO's assumption of responsibility for the planning and management of the Burundi GLJI activity portfolio has been gradual. A U.S. Personal Services Contractor is being recruited for posting to Bujumbura to be REDSO's on-site manager of GLJI activities and also serve as GHAI coordinator. The second STAR/Sudan activity manager will also be expected to devote up to 30% of his/her time to Burundi affairs.

REDSO has also discussed a potential role for the USAID Regional Food Security Officer based in Kigali. The function of this role could range from assuming the responsibility of field coordinator for all non-emergency activities in Burundi to serving only as food security coordinator/monitor. The former may be the preferred function and would require the officer to institute regular visits to Bujumbura. A decision on this role should be taken during the REDSO strategy review.

PART FOUR: RESOURCE REQUIREMENTS

Program Funding Requirements

This section provides estimated resource requirements needed to achieve the results described in the Strategic Plan. REDSO is presenting two funding scenarios in this section. A "low" scenario is presented based on the control level outlined in the 1999 parameters cable from the Africa Bureau (1999 STATE 223751) which will allow the Mission to achieve modest results. The second scenario is a "high" one based on the restoration of $6 million of GHAI funds currently being used for Somalia and Sudan bilateral programs, and increased funding for Burundi, Sudan and Somalia, reflecting greater Congressional, NSC and State Department interest and potential breakthroughs in ongoing peace processes.

Table 1 shows program resources requirements by strategic objective based on the FY 2001 level of $25.17 million communicated to the Mission by the Bureau. Future years (FY 2002 through FY 2005) are essentially straight lined at $25.2 million. Table 2 shows program resource requirements by strategic objective for the high scenario. This high scenario reflects the restoration of GHAI funding to $15 million for regional and service activities ($6million currently going to Sudan and Somalia being restored and these bilateral programs are funded separately). Thus, REDSO's share of resources without including the NPCs would be $25.2 million. NPC programs (Somalia, Sudan and GLJI-Burundi) would begin at $22 million and increase to $29 million with the Somalia and Sudan programs growing in response to anticipated development needs and political imperatives, and potential breakthroughs in the peace process in Burundi.

Program Funding Scenarios and Their Implications

The following description of results, which are likely to be accomplished under the low and high funding scenarios for each Strategic Objective, repeats the information provided under the individual SO narratives. For SOs 5-8, the difference is the restored $6 million allocated across the SOs. Detailed design of results packages under each SO remains to be completed. This requires organizational assessments of key partners, identification of policy and procedural agenda in consultation with partners, identification of specific gaps for improved networking and coordination, and clarification of REDSO and other USG contributions to programs of key partners. The design of the result packages will enable appropriate targets to be selected for the results indicators and ascertain what activities can take place.

Strategic Objective 5: Enhanced African Capacity to Achieve Regional Food Security: Achievement of results under SO 5 is predicated on low and high funding scenarios based on the assumption that combined food security funds (i.e. economic growth, agriculture and environment) will not drop below FY 2000 levels. The low scenario expects $7.4 million available to SO5 under these three controls. The high scenario assumes about $9.6 million being made available annually.

By merging economic growth, agriculture and environment into one SO5 team, economies in staffing and synergies in programming will be improved. Given planned future OE levels, the achievement of SO5 will be negatively impacted by the need to abolish two USDH positions—that of Economist and Agriculture Officer—who will need to be replaced by senior USPSCs using program funds.

At low funding levels, REDSO's program will build on progress achieved to date in the areas of regional agricultural research and nutrition, regional trade and economic growth and expand in the area of environment/natural resources management. If REDSO is to achieve the types of results desired in terms of capacity strengthening (IR 5.1) with the regional agricultural networks however, a trade-off may need to be made on the amount of funding to support IR 5.2 for technology dissemination. REDSO plans to engage in a dialogue with AFR/SD and Global to explore creative ways to ensure that sufficient funds continue to go to the CGIAR system in support of the USG commitment to cutting hunger in half in Africa. Of concern also is the necessity to provide funding for FEWSNET to ensure that sufficient regional reporting continues. REDSO anticipates submitting a request for ATRIP funding to expand work in the area of livestock and livestock marketing in support of the USAID/Ethiopia-led Southern Tier Initiative.

The Food Security team plans to identify a regional trade agenda, based on our partners' prioritization of need, that will merge priority trade-related activities under one results package. At the low levels of funding, it is unlikely that REDSO will be able to add additional partners other than those described previously and it will be necessary to delay the next round of grants under the ISGM program. IR 5.3, in particular the ICT networking aspect is also likely to get short shrift under the low scenario. For the low scenario, there is no funding for follow-on activities to the IGAD Project Profiles and it is unlikely under the higher scenario as well.

At the higher funding levels, REDSO expects to be able to achieve the Results Framework in its entirety. It will be possible to continue the ISGM program at its current momentum for the life of the program and perhaps expand work with other regional organizations. Increased work in the area of ICT should also be feasible.

Strategic Objective 6: Enhanced Capacity for Managing Conflict in the Region: Under the low scenario, the ongoing program can be maintained, but at a limited level. In a time of significantly increasing demand, CPAF and CQUICK will be squeezed as will future support for DG/Conflict activities at IGAD, including training and organizational strengthening. Assuming successful design of CEWARN and implementation throughout the region, funds are minimal to help IGAD build an effective conflict early warning and response system based on regular face-to-face as well as electronic communication among the variety of stakeholders that such a system requires. Similarly, assuming continued successful development of a Protocol for Peace and Security for COMESA member states, significant additional funds would be required to move design of such a protocol into reality. In both cases, with IGAD and COMESA, other donor involvement is being sought but none is assured at this point. Under this scenario, as was stated under the SO 5 discussion, it will be necessary to delay by 4-6 months the next round of grants

under the ISGM program. Finally, although funds are adequate to complete current tasks in the Peace Building Project, successful implementation of that program will lead to additional high priority activities in terms of dissemination of best practices and implementing additional flash point analyses in the future.

Results anticipated in this SO are based upon the assumption that conflict funding will not fall below that for FY 2000, approximately $3.3 million. Continued funding at this level may lead to significantly reducing the scope of CQUICK and CPAF activities, depending on the cumulative value of funding requested in the various proposals received. REDSO/ESA/DGC staff has the responsibility for the approval, management and closeout of the relatively small grants under these programs, as well as the larger activities involving regional organizations. With the increase in numbers of proposals funded, these activities will bring a greater management burden to REDSO.

At a higher level of funding of $4.3 million, USAID would be able to continue to play the leading donor role in developing successful IGAD and COMESA activities. It will also be possible to continue the ISGM program at its current momentum for the life of the program. Additional inter-state regional activities that could be funded might be associated with the East Africa Cooperation and the OAU. With additional funding beyond the $4.3 million level, support for regional and country-level organizations involved in peace building efforts can be rationalized into a larger and more easily USAID managed mechanism, possibly utilizing one mechanism to cover, for example, the range of activities funded under CPAF and CQUICK.

CPAF is currently funded through a Limited Scope Grant Agreement with COMESA (although management is in-house in REDSO); CQUICK is handled in-house at REDSO. If resources beyond the $4.3 million are made available, the intention is to combine the two activities into one mechanism and, via an RFP or RFS, use a single organization with the management capacity to manage the grants programs and provide institutional strengthening as required. This would significantly reduce the work demands upon all USAID staff in REDSO and the overall funding level to COMESA. However, this is only possible with increased funding over $4.3 million. If this rationalization program can be accomplished, REDSO/ESA/DGC envisages that it can manage a larger dollar program without any increase in staff as enumerated in this Strategic Plan.

Strategic Objective 7: Enhanced Regional Capacity to Improve Health Systems: The total estimated USAID contribution to SO7 during the strategy period 2001 – 2005 is provided considering both low and high funding levels to illustrate the potential impact of different funding scenarios on the proposed program and planned results.

At a low level of funding of approximately $5 million, the USAID contribution to the SO 7 program would support the continuation of activities currently underway. Specifically, SO 7 would continue networking and information dissemination activities to support the exchange and application of better practices through the ESA region. Additionally, institution strengthening efforts with REDSO's three current African institutional partners would continue. With the low budget scenario as currently envisioned, however,

there would be little or no funding available to either expand our work with our current partners or increase the number of African partner institutions. Furthermore there would not be sufficient funding to routinely include non-presence countries in ESA regional networking activities. Finally, there would be limited funding for investments in health program sustainability – e.g., in policy related activities with our African partners.

At the high level of funding of $6.6 million, on the other hand, USAID's contribution would enable the program to make significant strides in both expanding current partner activities and increasing its number of partners, in integrating non-presence countries more routinely into regional PHN activities, in building up a cadre of regional consultants both within and outside of the health sector, and in furthering advocacy and policy dialogue throughout the region.

Strategic Objective 8: Effective Services to ESA Missions and Support to Regional Partners: Under the low scenario of approximately $3.5 million REDSO will be able to maintain program-funded core services, lead the field coordination of the GHAI, implement cross-cutting activities to strengthen regional partner capacity and information communications use and provide key training opportunities to missions and partners. The program-funded core services to be provided include: Food for Peace (FFP) services; environmental (Regulation 216) support and analyses; performance monitoring and evaluation (PME) services; selected population, health and nutrition (PHN) services, with a special emphasis on HIV/AIDS prevention; conflict management services, and Information, Communications Technology (ICT) support to USAID missions in the ESA region. Non-core services will be quite limited, with selected assistance being provided as per the criteria previously indicated which first emphasizes services to GHA Missions to support their convergence with the GHAI Strategy.

Under the high scenario at $4.5 million REDSO is prepared to introduce or strengthen existing highly targeted programs to enhance GHAI coordination and convergence. Selective small grants to the offices of key government policy makers would provide links to the Internet and enable their full participation in regional policy discussions. Donor coordination mechanisms would be enhanced through more frequent in-person meetings to harmonize approaches with partners. Additionally, this SO would document lessons learned and develop and disseminate tools for applying the GHAI principles in a more systematic manner. Specialized mentoring services would be provided by regional information technology firms to important regional organizations like EAC, ECA and CHRCS to help them build Web sites and establish effective online electronic conferences.

Strategic Objective 9: Effective Delivery of USG Assistance to Non-Presence Countries: Per USAID/W guidance, the current Sudan and Somalia ISPs are to be implemented with a straight-lined amount of annual development assistance funding of $3 million for each country. For Sudan the guidance is for funding through FY 2002 and for Somalia through FY 2001. Estimates for emergency assistance and food aid are also straight-lined, though planning for humanitarian assistance in out-years is always uncertain because of unpredictable conflict and weather. The past and current Sudan and Somalia

development assistance has been taken from GHAI allocations to REDSO. However, GHAI funds were not originally intended to finance purely bilateral activities, especially for an extended period of time. Moreover, because Sudan and Somalia funds have not been additive, regional GHAI program activities have necessarily been cut back. The low scenario presented in this section assumes that the practice of funding both the Sudan and Somalia DA programs out of GHAI funds will continue.

The high scenario for this SO assumes that Sudan and Somalia will be funded by non-GHAI development assistance beginning in 2001. The high scenario is further based on guidance provided in the REDSO parameters cable (STATE 223751) regarding REDSO's responsibilities with respect to the Sudan and Somalia programs, as well as the Burundi GLJI program. It is also based on recent communications from Washington. REDSO has been unofficially informed that assistance for Sudan, particularly for strengthening the Sudanese National Democratic Alliance, will be substantially increased, primarily from Economic Support Funds (ESF). By the same token, indications are that U.S. assistance for Burundi will likely also be considerably increased if Mr. Mandela's efforts to broker peace are successful. Furthermore, should the Djibouti peace initiative for Somalia be successful, REDSO foresees an increase in the amount of development assistance that will, as in Burundi, help implement a peace accord and provide support to a new national governing structure. The tables for Sudan, Somalia and Burundi below thus show increases in the out-years for Development Assistance and Economic Support Funds and decreases in humanitarian and emergency assistance.

High Scenario Non-Presence Countries Financial Summary Table ($ 000s)

SUDAN	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
Emergency Asst.	20,000	20,000	17,000	15,000	12,000
USG Food Aid	35,000	35,000	30,000	26,000	24,000
Development Asst.	4,000	4,000	5,000	6,000	7,000
ESF	5,000	5,000	5,000	5,000	5,000
FY Totals	**64,000**	**64,000**	**57,000**	**52,000**	**48,000**

SOMALIA	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
Emergency Asst.	8,000	*8,000	*6,000	*5,000	*4,000
USG Food Aid	12,000	*12,000	*10,000	*8,000	*6,000
Development Asst.	4,000	*4,000	*5,000	*6,000	*7,000
FY Totals	**24,000**	***24,000**	***21,000**	***19,000**	***17,000**

* Figures for Somalia out-years of FY 2002-2005 are illustrative, assume that the "peace dividend," "building blocks" approach will be funded, and a decreasing amount of IDA and food aid.

BURUNDI	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
Emergency Asst.	*12,000	*12,000	*10,000	*9,000	*8,000
USG Food Aid	*11,500	*8,000	*7,000	*6,000	*5,000
Development Asst.	0	0	*10,000	10,000	*10,000
ESF	*10,000	*10,000	0	0	0
FY Totals	***33,000**	***30,000**	***27,000**	***25,000**	***23,000**

* Figures for Burundi funding are illustrative, assume that peace negotiations will be successfully concluded, assume ESF support for FY 2001 and 2002, a change to DA funding in FY 2002 and thereafter, and a decreasing amount of IDA and food aid.

TABLE 1: PROGRAM RESOURCE REQUIREMENTS BY STRATEGIC OBJECTIVE PARAMETER CONTROL LEVEL: FY2001-2005 ($25.2 Million)

STRATEGIC OBJECTIVES	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
SO5: Enhanced African Capacity to Achieve Regional Food Security	7,405	7,400	7,400	7,400	7,400
SO6: Enhanced Capacity for Managing Conflict in Region	3,294	3,300	3,300	3,300	3,300
SO7: Enhanced Regional Capacity to Improve Health Systems	5,020	5,000	5,000	5,000	5,000
SO8: Effective Services to ESA Missions & Support to Regional Partners	3,451	3,500	3,500	3,500	3,500
SO9: Effective Delivery of USG Assistance to Non-Presence Countries					
Somalia - DA	3,000	3,000	3,000	3,000	3,000
Sudan - DA	3,000	3,000	3,000	3,000	3,000
TOTAL OYB LEVELS	**25,170**	**25,200**	**25,200**	**25,200**	**25,200**

TABLE 2: PROGRAM RESOURCE REQUIREMENTS BY STRATEGIC OBJECTIVE MISSION REQUEST LEVEL: FY2001-2005 ($54.0 Million)

STRATEGIC OBJECTIVES	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
SO5: Enhanced African Capacity to Achieve Regional Food Security	9,600	9,600	9,600	9,600	9,600
SO6: Enhanced Capacity for Managing Conflict in Region	4,300	4,300	4,300	4,300	4,300
SO7: Enhanced Regional Capacity to Improve Health Systems	6,600	6,600	6,600	6,600	6,600
SO8: Effective Services to ESA Missions & Support to Regional Partners	4,500	4,500	4,500	4,500	4,500
SO9: Effective Delivery of USG Assistance to Non-Presence Countries					
Somalia - DA	3,000	4,000	5,000	6,000	7,000
Sudan - DA	4,000	4,000	5,000	6,000	7,000
- ESF	5,000	5,000	5,000	5,000	5,000
Burundi - DA	0	0	10,000	10,000	10,000
- ESF	10,000	10,000	0.	0	0
TOTAL OYB LEVELS	**47,000**	**48,000**	**50,000**	**52,000**	**54,000**

NB: For details on Food Aid and Emergency assistance provided to Non-Presence Countries, refer to funding section under Strategic Objective 9.

TABLE 3: PROGRAM SUMMARY BY AGENCY GOALS
PARAMETER CONTROL LEVEL: FY 2001-2005 ($25.2 Million)

AGENCY GOALS STRATEGIC OBJECTIVES	Broad Based Economic Growth & Agricultural Development Encouraged	Democracy and Good Governance strengthened	Human Capacity Built Through Education and Training	World Population Stabilized & Human Health Protected	The World's Environment Protected for Long Term Sustainability	Lives saved, Suffering Associated with Natural and Man-Made Disasters Reduced, and Conditions Necessary for Political and/or Economic Development Re-established	TOTAL
SO5: Enhanced African Capacity to Achieve Regional Food Security	31.0				6.0		**37.0**
SO6: Enhanced Capacity for Managing Conflict in Region	2.4	13.1			1.0		**16.5**
SO7: Enhanced Regional Capacity to Improve Health Systems	1.1			24.0			**25.1**
SO8: Effective Services to ESA Missions & Support to Regional Partners	10.0			4.4	3.0		**17.4**
SO9: Effective Delivery of USG Assistance to Non-Presence Countries							
Somalia - DA	6.0	4.0		2.5	2.5		**15.0**
Sudan - DA	6.0	4.0		2.5	2.5		**15.0**
TOTAL	**56.5**	**21.1**		**33.4**	**15.0**		**126.0**

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TABLE 4: PROGRAM SUMMARY BY AGENCY GOALS

Mission Request Level: FY 2001-2005 ($54.0 Million)

AGENCY GOALS STRATEGIC OBJECTIVES	Broad Based Economic Growth & Agricultural Development Encouraged	Democracy and Good Governance strengthened	Human Capacity Built Through Education and Training	World Population Stabilized & Human Health Protected	The World's Environment Protected for Long Term Sustainability	Lives saved, Suffering Associated with Natural and Man-Made Disasters Reduced, and Conditions Necessary for Political and/or Economic Development Re-established	TOTAL
SO5: Enhanced African Capacity to Achieve Regional Food Security	41.4				8.0		**49.4**
SO6: Enhanced Capacity for Managing Conflict in Region	2.4	17.3			1.9		**21.6**
SO7: Enhanced Regional Capacity to Improve Health Systems	1.1			31.8			**32.9**
SO8: Effective Services to ESA Missions & Support to Regional Partners	13.5			5.3	3.9		**22.7**
SO9: Effective Delivery of USG Assistance to Non-Presence Countries							
Somalia - DA	12.0	8.0		3.0	3.0		**26.0**
Sudan - DA	12.0	8.0		3.0	3.0		**26.0**
- ESF						25.0	**25.0**
Burundi - DA	15.0	15.0					**30.0**
- ESF						20.0	**20.0**
TOTAL	**97.4**	**48.3**		**43.1**	**19.8**	**45.0**	**253.6**

Workforce and Operating Expense Requirements

This section provides estimated workforce and operating expense (OE) requirements for the planning period. The Total Direct Workforce is 122 employees, with 10 additional other staff. The four positions above the levels approved in the 2001 R4 Total Direct Workforce approved level of 118 reflect the significant increased responsibilities mandated by Africa Bureau for programs in non-presence countries since that time. The OE requirements match the parameter instructions of $5.7 million per year and are based on a vulnerability-risking, absolute bare minimum program oversight level for 19 U.S. Direct Hire (USDH) in FY 2001 (18 thereafter), 2 U.S. Personal Service Contractor (USPSC) and 54 Foreign Service National (FSN) full-time employees. The following table shows the REDSO workforce in detail.

REDSO/ESA Workforce, FY 2001-2005

	OE USDH	OE USPSC	PRG USPSC	OE FSN	PRG FSN/TCN	Total
Office of the Director	2	1	0	0	0	3
Program Development & Implementation	2	0	5	6	6	19
Regional Legal Advisor Office	3	0	0	2	0	5
Office of Procurement	4	1	1	8	0	14
Regional Financial Management Center	3	0	0	35	0	38
Food for Peace Office	2	0	0	1	1	4
Office of Food Security	1	0	6	0	9	16
Office of Non-Presence Countries & Conflict	1	0	8	1	7	17
Office of Population, Health & Nutrition	1	0	1	1	3	6
Total Direct Workforce	**19**	**2**	**21**	**54**	**26**	**122**
TAACS	1					
PASAs	2					
Fellows	7					

REDSO/ESA Operating Expense Requirements, FY 2001 - 2005
(19 Full-time USDH Employees in FY 2001 and 18 USDH in FY 2002 - 2005)

Cost Category	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005
USDH Costs	1,563,465	1,706,793	1,661,100	1,646,563	1,646,563
PSCs (FSN & US)	1,606,173	1,503,687	1,641,008	1,717,605	1,717,605
Staff De. & Site Visits	702,877	711,864	682,169	682,169	669,754
Office Operations	1,017,885	1,057,656	993,623	931,414	943,829
NXP/EXP	510,000	420,000	420,000	420,000	420,000
NPC Support:	300,000	300,000	300,000	300,000	300,000
Total REDSO/ESA	**5,700,400**	**5,700,000**	**5,697,900**	**5,697,751**	**5,697,751**

NOTES:
This is a five-year budget projection beginning with 2001. The budget is based on an FTE of 19 USDH and 54 FSNs in FY2001. Beginning in FY 2002, the FTE level will be reduced 18 USDH and FSNs remain at 54. We are assuming an average exchange rate of 70 shillings to 1 dollar. In REDSO's drive to lower OE cost we converted 2 USDH and seven FSN positions to program funding. The Kenya Complex is researching the feasibility of implementing a new method of shipping household effects that could provide estimated savings of 40% on our current cost. If this method proves to be viable, we will implement it in FY 2001.

1. **USDH Costs:** This consists of USDH benefits, education and statutory travel, education and residence costs. We are basing the budget on the individual rotation of the 18 USDHs. The residential lease costs is budgeted in each of the five years at $20,000 per house, including one reserved house.

   Evacuation, medical and other mandatory travel has a 5% annual inflation rate. Residential security is straight-lined at $170,000 for all five years. This amount assumes that REDSO/ESA receives at least $400,000 in assistance for the security guard contract through a separate appropriation and a reduced replacement contract. Residential maintenance is budgeted at a conservative $5,500 per annum. We used the same method in budgeting residential utilities at $7,600. These figures do not include an inflation factor.

2. **PSCs (FSN and US):** In FY 2001 USPSCs, costs reflect an offshore temporary controller who is expected to depart at the end of FY 2001. This USPSC was required due to the unexpected departure of the RFMC Director this FY. The FSN salaries reflect an annual increase of 10% in FYs 2001, 2002 and 2003. In FY 2004 and 2005 the annual FSN salary increase is only 5%.

3. **Staff Development and Site Visits:** This line item consists of staff training, training travel, conferences, and travel to client missions. This conservative amount assumes that the clients will assist in paying the cost of REDSO/ESA site visits beginning in FY 2003. In addition, REDSO has begun bringing training into the region when

possible to realize savings over sending individual staff members to international training sites.

4. **Office Operations:** Office operations consist of ICASS, rent, utility, security, maintenance, manpower contract and miscellaneous items. ICASS is budgeted at $304,000 for FY 2001 and $288,000 for the four remaining out years. In FY 2003, rent cost will decrease by 50% because of the anticipated move to the NOB midyear 2003, after which there will not be any office rent cost. The move to the NOB will not affect the warehouse cost. These amounts do not include an inflation factor.

5. **NXP/EXP:** In FY 2001 the budget is $510,000. Beginning in FY 2002, these costs are straight-lined at $420,000 per year. We derived this figure in conjunction with the USAID/Kenya Executive Officer.

6. **Non-Presence Countries (NPC) Support:** Beginning in FY 2001, the cost for NPC support for Burundi and Somalia is budgeted at $50,000 and for Sudan at $200,000 per annum. These budget items assume:
   - Burundi will not significantly expand and require additional OE.
   - That BHR will provide $200,000 in program funds to partially fund the Khartoum office operations.

ANNEXES

Annex I: USAID/W and REDSO/ESA Parameters Cables

Annex II: Partner Profiles

Annex III: REDSO Organizational Chart

Annex IV: Environmental Threats and Opportunities Assessment

Annex V: Bibliography

Regional Economic Development Services Office
for Eastern and Southern Africa
(REDSO/ESA)

Strategic Plan 2001-2005
Strengthening Partnerships and Capacity

VOLUME II: ANNEXES

Annex I: USAID/W and REDSO/ESA Parameters Cables

Annex II: Partner Profiles

Annex III: REDSO Organizational Chart

Annex IV: Environmental Threats and Opportunities Assessment

Annex V: Bibliography

ANNEX ONE: PARAMETERS CABLES

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ORIGIN AID-00

ACTION OFFICE(S): !AFFE
INFO OFFICE(S): AAG AAM AAPC AAXA AFEA AFFW BHR CRTF DRCO
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AID/DAA/AFR:GBOMBARDIER AID/PPC/HR:BRENISON
AID/AA/PPC:LGARBER (INFO) AID/AA/LPA:JBUCKLEY (INFO)
AID/DAA/G:AVANDUSEN (INFO) AID/AA/BHR:LROGERS (INFO)
AID/AA/M:RNYGARD (INFO) STATE/AF/E:DDUNN (INFO)
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AMEMBASSY KIGALI PRIORITY
AMEMBASSY DAR ES SALAAM PRIORITY
AMEMBASSY KAMPALA PRIORITY

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AIDAC NAIROBI FOR REDSO/ESA AND USAID/SOMALIA

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PAGE 02 STATE 213889 131408Z
TAGS:
SUBJECT: GHAI STRATEGIC PLAN APPROVAL

1. THIS CABLE PROVIDES FORMAL NOTIFICATION THAT THE GHAI STRATEGIC PLAN (FY 1998-2002) WAS REVIEWED ON OCTOBER 1 AND APPROVED BY THE ADMINISTRATOR AND WASHINGTON POLICY COMMITTEE ON OCTOBER 7.

2. THREE PRINICPAL DECISIONS COMING OUT OF THE REVIEW AND APPROVAL OF THE STRATEGY ARE (A) ACTION PLAN DEVELOPMENT; (B) DELEGATION OF AUTHORITY AND (C) THE RELATIONSHIP OF BILATERAL MISSIONS TO GHAI.

A. AID/W BUREAUS INVOLVED WITH GHAI WILL DEVELOP ACTION PLANS THAT REFLECT RESOURCE COMMITMENTS (STAFF AND FUNDING) TO IMPLEMENT FIELD ACTION PLAN AND ANY ADDITIONAL ACTIVITIES/RESOURCES BEYOND GHAI-SPECIFIC FUNDS AND ACTIVITIES. THESE WILL BE COMPLETED BY THE CHIEFS OF MISSION CONFERENCE IN MID-NOVEMBER.

B. THE DELEGATION OF AUTHORITY FOR GHAI-SPECIFIC FUNDS WILL BE SHIFTED TO THE REDSO/ESA DIRECTOR. THE FIELD

STEERING COMMITTEE, COMPOSED OF GHAI MISSION DIRECTORS AND THE BHR REGIONAL COORDINATOR, WILL MAKE DECISIONS ABOUT THE ALLOCATION OF THESE RESOURCES.

C. MISSIONS WITHOUT APPROPRIATE AND RELEVANT STRATEGIC OBJECTIVES TO UNDERTAKE GHAI WORK ARE GRANTED AUTHORITY TO APPLY THE GHAI STRATEGIC FRAMEWORK TO THEIR PROGRAMS RATHER THAN REPROGRAMMING RESOURCES THROUGH REDSO/ESA.

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PAGE 03 STATE 213889 131408Z

FURTHERMORE, GHAI BILATERAL MISSIONS WILL, OVER TIME AND AS A PART OF REGULARLY SCHEDULED STRATEGY SUBMISSIONS, CHANGE OR ADJUST THEIR STRATEGIES TO INCORPORATE GHAI PRINCIPLES AND OBJECTIVES.

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PPDP07 PPHR02

INFO LOG-00 AF-01 AGRE-00 UTED-00 TEDE-00 /001R

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AID/DAA/G:AVANDUSEN
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AMEMBASSY DJIBOUTI
AMEMBASSY BUJUMBURA
AMEMBASSY KIGALI
AMEMBASSY NAIROBI
AMEMBASSY DAR ES SALAAM
AMEMBASSY KAMPALA

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AIDAC AMBASSADORS AND USAID DIRECTORS FROM BRIAN ATWOOD

E.O. 12958: N/A
TAGS:
SUBJECT: GREATER HORN OF AFRICA INITIATIVE: MOVING
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PAGE 02 STATE 217294 181934Z

1. ON OCTOBER 7, 1997, I APPROVED A NEW FIVE YEAR
STRATEGIC PLAN FOR THE GREATER HORN OF AFRICA INITIATIVE

110

(GHAI). THIS STRATEGY BUILDS ON THE BROAD CONSULTATIVE PROCESS WHICH WAS USED TO DEFINE THE ORIGINAL GHAI IN 1994, AS WELL AS THE CONSIDERABLE PROGRESS MADE THE PAST 18 MONTHS IN WORKING WITH THE INTERGOVERNMENTAL AUTHORITY ON DEVELOPMENT (IGAD) ON ITS NEW REGIONAL AGENDA. I WOULD LIKE TO THANK ALL OF YOU IN THE REGION -- AMBASSADORS, USAID DIRECTORS, AND EMBASSY AND USAID STAFFS -- FOR YOUR IMPORTANT CONTRIBUTIONS TO THIS NEW PLAN. WE HAVE OFTEN SPOKEN ABOUT THE REVITALIZATION OF IGAD; I FIRMLY BELIEVE THAT THE PAST SIX MONTHS OF DELIBERATION AND DEBATE ON THE NEW STRATEGY HAVE ALSO LED TO A REVITALIZED GHAI.

2. THE NEWLY APPROVED STRATEGY CALLS UPON ALL OF US TO WORK TOWARD "A FOOD SECURE, JUST AND PEACEFUL REGION" (GOAL). THE PLAN INCLUDES TWO STRATEGIC OBJECTIVES AND ONE SPECIAL OBJECTIVE:

SO1: STRENGTHENED AFRICAN CAPACITY TO ENHANCE

REGIONAL FOOD SECURITY;

SO2: STRENGTHENED AFRICAN CAPACITY TO PREVENT, MITIGATE, AND RESPOND TO CRISIS; AND

SPO3: INCREASED ACCESS TO REGIONAL ANALYTICAL INFORMATION.

THE PLAN ALSO STRONGLY ENDORSES AND CALLS FOR AN EXPANDED

COMMITMENT TO AND IMPLEMENTATION OF THE FIVE GHAI OPERATING PRINCIPLES. THESE ARE

-- AFRICAN OWNERSHIP;
-- STRATEGIC COORDINATION;
-- LINKING RELIEF AND DEVELOPMENT;
-- REGIONAL PERSPECTIVE; AND
-- PROMOTING STABILITY (AS OPPOSED TO ASSUMING IT)

3 THE PLAN FORMALLY COVERS THE APPROXIMATELY $15 MILLION PER YEAR WHICH WILL BE DEVOTED TO THE GHAI. BUT, IT ALSO PROVIDES AN INTELLECTUAL FRAMEWORK AND DEFINES A WAY OF DOING BUSINESS WHICH WILL AFFECT ALL THAT WE DO IN THE GHAI REGION. THIS IS PARTICULARLY TRUE FOR THE TWO STRATEGIC OBJECTIVES. I EXPECT, OVER TIME, THAT ALL USAID PROGRAMS IN THE GHAI REGION -- WHETHER FUNDED THROUGH BILATERAL, GHAI, REGIONAL, OR CENTRAL MECHANISMS -- WILL

111

WORK TOGETHER IN ACHIEVING ENHANCED FOOD SECURITY AND CRISIS PREVENTION. I DON'T EXPECT THIS "CONVERGENCE" OR "SYNERGY" TO COME BY DECREE, BUT BECAUSE OF ENHANCED TEAMWORK AND COLLABORATION IN THE FIELD. AS WASHINGTON, BILATERAL, REGIONAL AND CENTRAL STAFF WORK TOGETHER ON THE KEY ISSUES OF FOOD SECURITY AND CRISIS PREVENTION, I WOULD HOPE THEY WOULD LEARN FROM ONE ANOTHER AND BEGIN TO ADAPT THEIR INDIVIDUAL PROGRAMS IN WAYS WHICH LEAD TO GREATER STRATEGIC COORDINATION. THIS, IN TURN, WILL ENHANCE OUR ABILITY TO ACHIEVE REAL RESULTS IN THE KEY AREAS OF FOOD SECURITY AND CRISIS PREVENTION. OVER THE NEXT SEVERAL YEARS, I WANT TO SEE REAL PROGRESS IN THESE AREAS -- E.G., THAT THE SUM OF OUR EFFORTS WILL HELP THE REGION REACH THE FOOD SECURITY AND REDUCED MALNUTRITION RATE TARGETS AGREED

UPON AT THE ROME SUMMIT ON FOOD AND AGRICULTURE. I WILL EXPECT ALL USAID DIRECTORS IN THE REGION TO PROVIDE THE KIND OF LEADERSHIP WHICH WILL ENCOURAGE SUCH EXPANDED COORDINATION AND ENHANCED RESULTS. ONE EARLY STEP WILL BE TO ENCOURAGE YOUR OWN STAFFS TO PARTICIPATE ON GHAI STRATEGIC OBJECTIVE TEAMS WHICH WILL BEGIN TO WORK TOWARDS DEFINING THE KINDS OF TARGETS AND TANGIBLE RESULTS WE HOPE TO ACHIEVE MORE BROADLY UNDER THE GHAI.

4. I AM PLEASED TO ANNOUNCE THAT ROGER SIMMONS, MOST RECENTLY USAID DEPUTY DIRECTOR IN MOSCOW BUT AN AFRICANIST BY TRAINING, EXPERIENCE AND AT HEART, HAS RECENTLY ASSUMED THE POSITION OF SENIOR COORDINATOR IN WASHINGTON FOR THE GHAI. HE WILL BE WORKING CLOSELY WITH ME AND THE MEMBERS OF THE WASHINGTON POLICY COMMITTEE: CHIEF OF STAFF DICK MCCALL; USAID ASSISTANT ADMINISTRATORS FOR THE AFRICA, HUMANITARIAN RESPONSE, GLOBAL, POLICY COORDINATION, AND MANAGEMENT BUREAUS; AND SENIOR STATE DEPARTMENT REPRESENTATIVES. I HAVE ALSO ASKED DEPUTY ADMINISTRATOR, AMBASSADOR HATTIE BABBITT, TO PLAY A LEAD ROLE IN GHAI, CHAIRING THE TASK FORCE AND STRENGTHENING THE INTERAGENCY PROCESS I WILL OF COURSE CONTINUE TO OVERSEE THE PROCESS WITH GREAT INTEREST.

5 EVEN WHILE STRENGTHENING OUR CAPACITY IN WASHINGTON ON THE GHAI, WE HAVE TAKEN STEPS TO MOVE GREATER LEADERSHIP AND MANAGEMENT RESPONSIBILITY FOR THE GHAI TO THE FIELD. OUR NEW REDSO/ESA DIRECTOR, BUFF MACKENZIE, PARTICIPATED IN THE RECENT WASHINGTON REVIEWS AND I AM CONFIDENT THAT HE WILL PROVIDE OUTSTANDING LEADERSHIP FOR THE GHAI, ESPECIALLY IN FORGING GREATER TEAMWORK. IN ORDER TO

ENSURE GREATER COLLABORATION, THE NEW STRATEGIC PLAN CALLS FOR CREATION OF A FIELD STEERING COMMITTEE WHICH WILL INCLUDE USAID DIRECTORS FROM THE GHAI COUNTRIES AND THE BHR REGIONAL COORDINATOR, AND BE CHAIRED BY BUFF. SINCE FUNDING DECISIONS FOR THE GHAI $15 MILLION WILL BE DELEGATED TO THE FIELD, INCLUDING CRISIS PREVENTION/RESOLUTION ACTIVITIES, I EXPECT THE FIELD STEERING COMMITTEE TO COORDINATE CLOSELY AT ALL TIMES WITH AMBASSADORS IN THE REGION. IN ORDER TO FACILITATE THIS, I WOULD LIKE TO REQUEST THAT THE AMBASSADORS IN THE REGION BE PREPARED TO MEET AS A GROUP PERIODICALLY WITH THE FIELD STEERING COMMITTEE.

6. SINCE THE AFRICA CHIEFS OF MISSION AND USAID DIRECTORS ARE HAVING CONFERENCES IN THE WASHINGTON AREA THIS WEEK, I UNDERSTAND THAT A JOINT GHAI SESSION WILL BE HELD ON NOVEMBER 19. THIS WILL BE AN EXCELLENT OPPORTUNITY TO DISCUSS THE NEW STRATEGIC PLAN AND GHAI PRIORITIES OVER THE NEXT YEAR. I VERY MUCH LOOK FORWARD TO SPEAKING WITH YOU ALL ON THAT DATE. MUCH OF THE GHAI REVOLVES AROUND USAID-SPECIFIC ACTIONS, BUT ITS REAL SUCCESS WILL DEPEND UPON STRONG INTER-AGENCY COLLABORATION. THIS INCLUDES MANY ACTORS -- THE NSC, INTELLIGENCE COMMUNITY, AND DEPARTMENTS OF COMMERCE, AGRICULTURE, AND DEFENSE, AS WELL AS STATE DEPARTMENT AND USAID. BUT, STATE AND USAID MUST PLAY THE STRONGEST LEADERSHIP ROLE. THE SECRETARY AND I ARE COMMITTED TO STRENGTHENING OUR PARTNERSHIP AROUND THE

WORLD AND THIS MUST BE DONE URGENTLY IN THIS REGION TO PROVIDE THE LEADERSHIP NECESSARY FOR THE SUCCESS OF GHAI.

7. BEFORE CLOSING, I WOULD LIKE TO SAY A FEW WORDS ABOUT THE FIVE OPERATING PRINCIPLES OF THE GHAI. THEY ARE CRITICALLY IMPORTANT TO ACHIEVING OUR GOAL OF A FOOD SECURE, JUST AND PEACEFUL REGION. WE MUST FIND WAYS TO RESPOND MORE EFFECTIVELY TO AFRICAN-LED PRIORITIES AND INITIATIVES, ESPECIALLY IN THIS REGION OF THE CONTINENT WHICH HAS COME TO DEFINE THE TERM "NEW AFRICAN LEADERS." WE MUST IMPROVE OUR STRATEGIC COORDINATION, NOT ONLY OF USAID RESOURCES, BUT BETWEEN USAID AND OTHER USG AGENCIES

AND OTHER DONORS AND PARTNERS. THE HOPE IS THAT THIS COORDINATION CAN INCREASINGLY TAKE PLACE AROUND AFRICAN-LED EFFORTS. WE MUST INCREASINGLY PROGRAM HUMANITARIAN ASSISTANCE IN A WAY WHICH REINFORCES LONGER-TERM DEVELOPMENT GOALS, AS WELL AS USE DEVELOPMENT ASSISTANCE IN A WAY WHICH CAN PREVENT OR REDUCE POTENTIAL CRISES AND THEREBY REDUCE THE NEED FOR RELIEF AID. WE MUST THINK MORE ABOUT THE REGIONAL PERSPECTIVE EVEN WHILE PROGRAMMING OUR BILATERAL RESOURCES. AND, WE CANNOT SIMPLY ASSUME STABILITY; WE MUST UNDERSTAND THE VULNERABILITY OF THE COUNTRIES IN THE REGION AND BE PREPARED TO BE FLEXIBLE IN RESPONSE TO CHANGING ENVIRONMENTS AND CRISES. EVEN WHILE HIGHLIGHTING THE IMPORTANCE OF THESE PRINCIPLES, I DO RECOGNIZE THAT IT IS USAID/WASHINGTON WHICH HAS TOO OFTEN STOOD IN THE WAY OF FURTHERING THEM. WE IN WASHINGTON WILL THEREFORE DIRECT MAJOR ATTENTION TO THIS ASPECT OF THE GHAI. I WELCOME YOUR SUGGESTIONS ON WAYS IN WHICH WE CAN IMPROVE SYSTEMS TO BE MORE SUPPORTIVE OF THE GHAI.

8. FINALLY, I LOOK FORWARD TO MEETING WITH YOU ON NOVEMBER 19. I AM ENCOURAGED BY THE "REVITALIZED" GHAI AND AM OPTIMISTIC ABOUT THE FUTURE OF THIS IMPORTANT

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PRESIDENTIAL INITIATIVE AND ITS ABILITY TO ACHIEVE POSITIVE PRACTICAL IMPACTS.

9. MINIMIZE CONSIDERED FOR SARAJEVO.
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FFP27 FFP28 FFP31 GAFS GDG GHAI LAV MB
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SOURCE: AIDUNC.009854
DRAFTED BY: AID/AFR/EA:JSMITH:JS -- 11/19/98 712-1524
APPROVED BY: AID/AA/AFR:VLDERRYCK AID9854
AID/AFR/EA:PRADER AID/AFR/DP:JSMITH
AID/AFR/SD:JWOLGIN AID/PPC/PC:OCARDUNER
AID/M/B:JRUDASILL AID/G:LDOBBINS
STATE/AF/E:DDUNN AID/BHR:LROGERS
DESIRED DISTRIBUTION:
AID/BHR:TOLIVER
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AMEMBASSY HARARE
AMEMBASSY MAPUTO
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AMEMBASSY GABORONE
AMEMBASSY WINDHOEK
AMEMBASSY LUANDA
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AIDAC NAIROBI FOR REDSO/ESA

E.O. 12958: N/A
TAGS:
SUBJECT: REDSO/ESA REGIONAL PARAMETERS MEETING

1. SUMMARY. THE AFRICA BUREAU HELD A PARAMETER-SETTING MEETING FOR REDSO/ESA ON OCTOBER 28, 1998. AS A RESULT OF THIS MEETING AND SEVERAL SMALLER SESSIONS THAT FOLLOWED, THE AFRICA BUREAU OFFERS THE GUIDANCE BELOW FOR THE DEVELOPMENT OF REDSO'S REVISED STRATEGIC FRAMEWORK, INCLUDING ROLES AND RESPONSIBILITIES, BUDGET PLANNING LEVELS, STAFFING AND REPORTING REQUIREMENTS. END SUMMARY.

2. BACKGROUND. DURING THIS PAST YEAR'S R4 REVIEW PROCESS, REDSO/ESA SUBMITTED A REVISED STRATEGIC FRAMEWORK FOR AFRICA BUREAU APPROVAL. ON PAPER, THE REVISED STRATEGIC FRAMEWORK, INCLUDING ADDITIONAL SOS STEMMING FROM ITS ORIGINAL SOS, APPEARED TO BE A DEPARTURE FROM THE EXISTING STRATEGY. REDSO/ESA MAINTAINED THAT THIS REPRESENTED AN INTEGRATION OF ITS TRADITIONAL SUPPORT SERVICES AND REGIONAL PROGRAM WITH THE GREATER HORN OF AFRICA INITIATIVE (GHAI) AND DID NOT THEREFORE CONSTITUTE A NEW STRATEGIC DIRECTION. NEVERTHELESS, THE BUREAU DETERMINED THAT, GIVEN THE EXTENT OF THE REVISIONS PROPOSED AS WELL

AS REDSO/ESA'S RECENT ASSUMPTION OF MANAGEMENT RESPONSIBILITY FOR THE GHAI, SOMALIA AND SUDAN, A FORMAL

REVIEW WAS INDEED WARRANTED.

3 MEETING. ON OCTOBER 28, 1998, THE AFRICA BUREAU HELD A PARAMETERS FOR REDSO/ESA. THE MEETING WAS CHAIRED BY DAA-A/AFR. THE MISSION WAS REPRESENTED BY ITS DIRECTOR. REPRESENTATIVES FROM BHR, GLOBAL, OTHER AFR OFFICES (DP, SD AND GHAI), STATE, AND AMBASSADOR SCHERMERHORM OF EMBASSY DJIBOUTI ATTENDED. AS A RESULT OF THIS MEETING AND SEVERAL SMALLER SESSIONS THAT FOLLOWED, THE AFRICA BUREAU DEVELOPED THE FOLLOWING PARAMETERS FOR THE DEVELOPMENT OF

REDSO'S REVISED STRATEGIC FRAMEWORK.

4. ISSUES. THE PRINCIPAL ISSUE FACING REDSO/ESA IN ITS EFFORT TO REVISE ITS STRATEGIC FRAMEWORK WAS WHETHER IT ACCURATELY REFLECTED AFRICA BUREAU AND AGENCY PRIORITIES. AFTER CONSULTATIONS WITHIN THE BUREAU, THE AGENCY AND WITH THE STATE DEPARTMENT, REDSO/ESA PRIORITIES WERE DETERMINED BY THE AFRICA BUREAU AS FOLLOWS, IN ORDER OF PRIORITY:

- 1. IMPLEMENTATION OF THE GREATER HORN OF AFRICA INITIATIVE, INCLUDING MANAGEMENT OF GHAI FUNDS;

- 2. CORE SUPPORT/SERVICE TO BILATERAL MISSIONS. CORE SUPPORT INCLUDES ASSISTANCE IN THE FOLLOWING KEY AREAS--CONTRACTING, LEGAL, FINANCIAL AND FOOD AID PROGRAMMING (BOTH EMERGENCY AND NON-EMERGENCY); NB: FOOD AID MANAGEMENT ISSUES WILL BE DISCUSSED IN GREATER DETAIL IN SEPTEL.

- 3. MANAGEMENT OF NON-PRESENCE COUNTRY PROGRAMS, INCLUDING SOMALIA, SUDAN AND BURUNDI.

NOTE: REDSO WILL NOT BE PRECLUDED FROM OTHER ACTIVITIES, I.E., MISSION SUPPORT AND NON-GHAI REGIONAL PROGRAMS, IF THEY CAN BE MANAGED WITHIN THE PROPOSED STAFF RESOURCES. REDSO/ESA WILL NOT BE ASKED TO PROVIDE TECHNICAL SUPPORT FOR THE EDUCATION FOR DEVELOPMENT AND DEMOCRACY INITIATIVE.

5. SOMALIA. MUCH OF THE DISCUSSION AT THE PARAMETERS MEETING, AND IN TWO SEPARATE SESSIONS WITH STATE AND BHR THAT FOLLOWED, DEALT WITH THE SIZE, SCOPE AND DIRECTION OF THE AID PROGRAM IN SOMALIA. NO DEFINITIVE CONCLUSIONS WERE REACHED, BUT IT WAS AGREED THAT FURTHER DISCUSSION AND A FRESH LOOK AT THE SOMALIA INTEGRATED STRATEGIC PLAN (ISP) WAS NECESSARY. GIVEN THE LIKELY TIMING OF SUCH AN EXERCISE, AND THE NEED TO MOVE FORWARD WITH REDSO/ESA'

STRATEGIC FRAMEWORK, SOMALIA WILL BE THE SUBJECT OF A SEPTEL. IT WAS ALSO AGREED THAT A TEAM (INCLUDING AFR AND BHR) WOULD IN THE VERY, REPEAT VERY, NEAR FUTURE COME TO THE FIELD TO ASSESS THE SITUATION ON THE GROUND AND TO RECOMMEND FUTURE COURSES OF ACTION. (NB: THIS FIELD ASSESSMENT WAS COMPLETED 11 DECEMBER, 1998.)

6. BUDGET PLANNING LEVELS. FOR THE PLANNING PERIOD, THROUGH FY 02, REDSO/ESA SHOULD BASE THEIR PLANNING ON ANNUAL PROGRAM LEVELS OF BETWEEN $22 MILLION AND $26 MILLION. THIS LEVEL INCLUDES GHAI, SOMALIA, AND REGIONAL PROGRAMS. SUDAN IS NOT CONSIDERED AN INDEPENDENT LINE ITEM FOR PROGRAM FUNDING PURPOSES. THE DEVELOPMENT PROGRAM IN SUDAN IN FY 99 WILL BE FUNDED WITH BHR/OTI RESOURCES IF

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PAGE 05 STATE 017411 291557Z

THERE IS REASON TO BELIEVE THAT A TRANSITION IS UNDERWAY. FUTURE YEAR FUNDING IS TO BE DETERMINED. FOR OPERATING EXPENSES, REDSO/ESA SHOULD PLAN ON ANNUAL OE LEVELS BETWEEN $5.1 AND $5.7 MILLION, WHICH INCLUDES FUNDING FOR REDSO STAFF WORKING ON SUDAN.

7. STAFFING. USDH STAFF LEVEL FOR THE PLANNING PERIOD IS 21. FOR PROGRAM-FUNDED STAFF, THE BUREAU IS UNABLE TO GRANT REDSO/ESA' REQUEST, FROM LAST YEAR'S R4, FOR ADDITIONAL PROGRAM STAFF. REDSO/ESA CAN PLAN ON A MODEST INCREASE IN PROGRAM-FUNDED STAFFING TO IMPLEMENT TOP PRIORITY PROGRAMS PSCS FUNDED BY BHR ARE NOT CONSIDERED AGAINST REDSO/ESA'S OVERALL STAFFING LEVEL.

8. RESULTS REPORTING. GIVEN THE RECENT RELEASE OF NEW GUIDANCE ON THE R4 PROCESS AND THE IMMINENT RELEASE OF SUPPLEMENTAL AFRICA BUREAU GUIDANCE IN SEPTEL, WE WILL DEFER GUIDANCE ON RESULTS REPORTING UNTIL THAT TIME. PICKERING

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DUTY DUTY2 FFP04 FFP13 FFP14 FFP18 FFP29
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SOURCE: AIDUNC.009631
DRAFTED BY: AID/AFR/EA:RBYESS:PJS:PARAREDSO -- 11/26/1999 202-
APPROVED BY: AID/DAA/AFR:KEBROWN AID9631
AID/AFR/DP:JTSMITH AID/AFR/EA:JANDERSON
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PAGE 02 STATE 223751 262126Z
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AIDAC TO ALL THE MISSIONS IN EAST AND SOUTHERN AFRICA INCLUDING DROC

E.O. 12958: N/A
TAGS:
SUBJECT: SUPPLEMENTARY GUIDANCE FOR REDSO STRATEGIC PLAN PARAMETERS

REF: (A) 98 STATE 017411
(B) COVER MEMORANDUM FOR FY 2001 REDSO R4
(C) 99 NAIROBI 07718 (FFP RESTRUCTURING AND VISION)
(D) REDSO 4WEST RETREAT MEMORANDUM DATED JUNE 24,1999
(E) REDSO JULY 5,1999 OPTIONS MEMORANDUM ENTITLED "A FRESH LOOK AT SOMALIA"
(F) SEPTEMBER 27,1999 ACTION MEMORANDUM ON BURUNDI RESPONSIBILITIES
(G) 99 STATE 163156 BHR RESPONSE TO REF C

1. THIS CABLE PROVIDES SUPPLEMENTARY GUIDANCE TO REDSO/ESA TO ASSIST IN THE UPCOMING STRATEGY DEVELOPMENT EXERCISE. PER PARA 14 BELOW, PLEASE ADVISE TIMETABLE AND TECHNICAL ASSISTANCE REQUIREMENTS FOR THE STRATEGY PREPARATION AND SUBMISSION.

2. BACKGROUND. BUREAU AND REDSO HAVE AGREED FOR SOME TIME ON THE NEED TO REVISE THE PRESENT REDSO STRATEGIC FRAMEWORK, WHICH NO LONGER ACCURATELY REFLECTS THE COMPOSITION OF REDSO'S PORTFOLIO. APPROVAL OF THE

GHAI STRATEGIC PLAN IN OCTOBER 1997 HAS MADE IT MORE IMPORTANT THAN EVER TO FOCUS EFFORTS AND TO ESTABLISH

THE PRIORITIES FOR ACTIVITIES IN THE REGION. ON OCTOBER 28, 1998 BUREAU HELD A REVIEW OF THE CURRENT STRATEGY. REF (A), ISSUED JANUARY 29, 1999 PROVIDES BROAD GUIDANCE FOR THE STRATEGY EXERCISE. MISSION'S REF (B) PROPOSES AN OUTLINE FOR A NEW STRATEGIC FRAMEWORK; REF (C) OFFERS A PROPOSAL (AND REF (G) A RESPONSE) FOR HANDLING THE FFP PORTFOLIO; REFS (D) AND (E) SHOW MISSION THINKING ABOUT OPERATIONAL RESPONSIBILITIES FOR IMPLEMENTING NPC/FFP EMERGENCY PROGRAMS; AND REF (F) INDICATES HOW THE GLJI WILL BE TREATED. THE PRESENT CABLE INCORPORATES THESE AND OTHER DECISIONS MADE OVER THE COURSE OF THE PAST YEAR, AS WELL AS AGREEMENTS ABOUT BUDGET AND STAFFING LEVELS. ESTIMATED OE AND RESOURCE LEVELS ARE GIVEN IN

PARA 8 BELOW. QUESTIONS REQUIRING FURTHER EXPLORATION ARE SET FORTH IN PARA 9.

3. A KEY BENEFIT OF THE NEW STRATEGY SHOULD BE THE FORMAL INTEGRATION OF THE GHAI STRATEGY INTO REDSO'S STRATEGIC FRAMEWORK. HOWEVER, IT SHOULD BE NOTED HERE THAT REDSO/ESA IS ONLY ONE OF USAID'S OPERATING UNITS WITH GHAI IMPLEMENTATION RESPONSIBILITIES. REDSO/ESA'S OVERARCHING RESPONSIBILITY REGARDING GHAI IS TO COORDINATE GHAI IMPLEMENTATION IN THE FIELD. AS STATED IN REF A, REDSO'S PROGRAM PRIORITIES OVER THE STRATEGY PERIOD ARE: (1) COORDINATION OF IMPLEMENTATION OF THE GREATER HORN OF AFRICA INITITATIVE (GHAI) IN THE FIELD, (2) PROVISION OF CORE SERVICES TO REDSO CLIENT MISSIONS, (3) IMPLEMENTATION AND MANAGEMENT OF PROGRAMS IN NONPRESENCE COUNTRIES, AND (4) IMPLEMENTATION OF A REGIONAL HEALTH PROGRAM IN

THE ESA REGION.

4. GIVEN THE BREADTH OF PROGRAM PRIORITIES, IT IS CRITICAL THAT DEVELOPMENT OF THE NEW STRATEGY INVOLVE THE GHAI REGION'S MISSIONS. SOUTHERN AFRICA MISSIONS SHOULD ALSO BE INVOLVED, ALBEIT TO A LESSER EXTENT SINCE THEY ARE RECIPIENTS OF SERVICES AND ARE NOT PART OF THE PROCESS OF SEEKING CONVERGENCE OF THEIR BILATERAL STRATEGIES WITH THE GHAI STRATEGY. OTHER USAID BUREAUS AND U.S. AGENCIES SHOULD ALSO BE INVOLVED IN REDSO/ESA STRATEGY DEVELOPMENT. PLEASE INDICATE THE EFFECT OF THESE NECESSARILY WIDE-RANGING CONSULTATIONS IN THE TIMETABLE REQUESTED IN PARA 1 ABOVE.

5. REDSO MISSION DIRECTOR PROPOSED IN THE COVER MEMORANDUM TO THE FY 2001 R4 (REF B) THE BASIS OF A STRATEGY TYING THE GHAI AND NON-PRESENCE COUNTRY RESPONSIBILITIES TO THREE STRATEGIC OBJECTIVES: (1) FOOD SECURITY, (2) CONFLICT, AND (3) POPULATION, HEALTH AND NUTRITION. THIS STRUCTURE SERVES THE GHAI OBJECTIVES OF CONFLICT PREVENTION, MITIGATION AND RESPONSE, ENHANCED FOOD SECURITY AND CRITICAL INFORMATION FOR DECISION-MAKERS, ALL WITHIN THE CONTEXT OF CAPACITY BUILDING OF AFRICAN PARTNERS, SUCH AS IGAD. MISSION ALSO ASSERTS THAT KEEPING A SEPARATE PHN STRATEGIC OBJECTIVE AND SERVICE CAPACITY MAKES

SENSE IN THE LIGHT OF EXCEPTIONAL PAST PERFORMANCE, HIGH REGIONAL NEED AND HIGH VISIBILITY WITH THE HILL AND PVO COMMUNITY. AFR ENDORSES THIS REVISED BASIS FOR

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PAGE 05 STATE 223751 262126Z

THE STRATEGY, SUBJECT TO CONCERNS RAISED IN PARAGRAPHS 6 TO 14 BELOW.

6. CONVERGENCE/COORDINATION OF GHAI: PER REF B, REDSO MAINTAINS ITS GHAI FIELD COORDINATING ROLE, INCLUDING CHAIR OF THE FIELD STEERING COMMITTEE. WHILE THE PRINCIPAL FOCUS OF THE REDSO STRATEGY WILL BE COORDINATING THE IMPLEMENTATION OF THE GHAI IN THE FIELD, USAID#S SUCCESS WITH THIS INITIATIVE CAN ONLY BE ACHIEVED THROUGH CONVERGENCE OF ALL BILATERAL STRATEGIES/PROGRAMS AND USAID/W CENTRALLY FUNDED PROGRAMS IN THE GHAI REGION WITH THE GHAI. REDSO WILL BE RESPONSIBLE FOR SUBMITTING AN ANNUAL REPORT COMPRISED OF PROGRESS INFORMATION FROM ALL USAID OPERATING UNITS PARTICIPATING IN THIS INITIATIVE. THIS REPORT WILL DOCUMENT INDIVIDUAL OPERATING UNIT#S SUCCESS IN INTERNALIZING GHAI GUIDING PRINCIPLES AND ACHIEVING GHAI OBJECTIVES.

7. REDSO WILL REMAIN THE LOCUS OF REPORTING FOR NON-PRESENCE COUNTRIES (NPC). AT PRESENT, THIS WILL INCLUDE SOMALIA, SUDAN AND BURUNDI. THE NATURE AND DEPTH OF THE REPORTING PROVIDED IN THE ANNEXES FOR THE FY 2001 R4 WERE COMMENDED DURING THE REVIEW. THIS LEVEL OF REPORTING IS ENVISIONED FOR NPCS WITH APPROVED STRATEGIES (SUDAN AND SOMALIA). THE REDSO STRATEGY SUBMISSION WILL CLARIFY THE MANAGEMENT STRUCTURE FOR NPC PROGRAM ACTIVITIES.

-- A. THE INTEGRATED STRATEGIC PLAN (ISP) FOR SOMALIA EXPIRED SEPTEMBER 30, 1999. AN ACTION MEMO WILL BE

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PAGE 06 STATE 223751 262126Z

PREPARED BY USAID/W TO EXTEND THE ISP FOR 2 YEARS.

-- B. REDSO HAS THE AUTHORITY AND REPORTING RESPONSIBILITY FOR SUDAN. THIS WILL BE DONE IN

COLLABORATION WITH BHR, INCLUDING OFDA/ARO. THE

AFRICA BUREAU UNDERSTANDS THE EXISTING ISP FOR SUDAN WILL REVISED AND SUBMITTED TO AFR/W FOR REVIEW IN FEBRUARY 2000.

-- C. REDSO WILL BE RESPONSIBLE FOR MANAGING THE GLJI ACTIVITIES IN BURUNDI AND PROVIDING CORE SERVICES AS NEEDED. NO ISP WILL BE REQUIRED AT THIS TIME, HOWEVER, REDSO WILL BE EXPECTED TO TAKE THE LEAD IN DEVELOPING AN OVERARCHING FRAMEWORK FOR REALIZING GLJI OBJECTIVES. REDSO/ESA WILL WORK CLOSELY WITH USAID/W AND THE CONGO AND RWANDA MISSIONS IN THIS EFFORT. THE TIMING AND SCOPE FOR THIS WORK WILL BE DISCUSSED LATER IN THE FISCAL YEAR.

8. FOOD FOR PEACE SERVICES: PER THE REDSO PROPOSAL AND THE BHR/FFP RESPONSE (REFS D AND G), FOOD FOR PEACE WILL BE TREATED AS A CORE SERVICE FUNCTION FOR REDSO IN THE EAST AND SOUTHERN AFRICA REGION. REDSO/FFP OFFICERS WILL BE EXPECTED TO PLAY A MAJOR ROLE IN TITLE II NON-EMERGENCY (DEVELOPMENT) AND TITLE II RELIEF PROGRAMS.

9. BUDGET PARAMETERS. PROGRAM: THE ESTIMATED BUDGET FOR THE PLANNING PERIOD WILL BE STRAIGHTLINED IN ALL ACCOUNTS, DOLS 25 MILLION FOR EACH OF THE PLANNING

YEARS, FY 2000 THROUGH 2005.

STAFF PARAMETERS. IN ACCORDANCE WITH THE STAFFING TABLE AGREED TO AT THE TIME OF THE FY 2001 R4 REVIEW, MISSION SHOULD PLAN ON STRAGHTLINED USDH AND USPSC FIGURES, WITH A MODEST DECLINE IN FSN/PSC FIGURES AS PLANNED CONSOLIDATION WITH CORE KENYA FUNCTIONS PROCEEDS AND BOMB RELATED ACTIVITIES WIND DOWN. THIS STRAIGHTLINING DOES NOT INCLUDE USPSC/FSNPSCS FUNDED BY BHR UNDER TITLE II EMERGENCY PROGRAMS. MISSION SHOULD USE THE TARGET OF 20 USDH FOR THE PLANNING PERIOD. OE LEVELS WILL BE DEPENDENT ON OVERALL BUREAU ALLOCATIONS. REDSO SHOULD PLAN ON OE ALLOWANCE LEVELS SIMILAR TO THOSE IN FY 98, EXCLUSIVE OF MOVE-RELATED COSTS.

10. IN DEVELOPING THE STRATEGY, MISSION IS REQUESTED TO ADDRESS THE FOLLOWING ISSUES AND PROVIDE JUSTIFICATION FOR DECISIONS TAKEN. THESE ISSUES WILL BE DISCUSSED DURING THE USAID/W REVIEW OF THE

STRATEGY:

-- A. REDSO SHOULD DEMONSTRATE HOW ITS STRATEGY WILL

ADDRESS THE LINKAGES AND SYNERGIES THAT EXIST BETWEEN FOOD SECURITY AND CONFLICT.

-- B. WHAT, IF ANY, IS THE DIFFERENCE BETWEEN THE NEW STRATEGY AND THE EXISTING GHAI STRATEGY? WE ASSUME THERE WILL BE SIGNIFICANT DIFFERENCES GIVEN REDSO/ESA'S RESPONSIBILITIES IN SOUTHERN AFRICA.

WHERE DIFFERENCES EXIST, EXPLAIN THE TRADE-OFFS AND STRATEGIC CHOICES MADE.

THE STRATEGY SHOULD ADDRESS HOW GHAI IS MANAGED WITHIN REDSO/ESA AND WHETHER ANY CHANGES ARE PLANNED TO SHARPEN PROGRAM FOCUS AND TO IMPROVE COORDINATION AND DELIVERY, BOTH IN-HOUSE AND WITH THE MISSIONS.

-- C. GIVEN THE CROSS CUTTING NATURE COVERING BOTH FOOD SECURITY AND CONFLICT PREVENTION OF THE HORN OF AFRICA SUPPORT PROJECT (623-0006), HOW WILL THE NEW STRATEGIC FRAMEWORK IMPACT THE EXISTING HASP ACTIVITIES, ESPECIALLY THE STRENGTHENING OF IGAD AND THE INSTITUTIONAL AND GRANT MAKING (ISGM) ACTIVITIES?

-- D. IDENTIFY "CORE" SERVICES. SPECIFICALLY, HOW WILL NON-CORE TECHNICAL SERVICES PROVIDED BY REDSO STAFF BE REDUCED IN ORDER TO ADEQUATELY MANAGE REDSO/ESA#S INCREASED IMPLEMENTATION RESPONSIBILITIES? WHAT NON-CORE SERVICES WILL BE AVAILABLE TO WHICH CLIENT MISSIONS? REDSO SHOULD DEVELOP CRITERIA FOR ALLOCATING BOTH CORE AND NON-CORE TECHNICAL SERVICES IN COLLABORATION WITH CLIENT MISSIONS. REDSO SHOULD ALSO SPECIFY HOW THE ENVIRONMENTAL REQUIREMENTS OF REGULATION 216 WILL BE MET UNDER ANY NEW ARRANGEMENT.

-- E RELATIONSHIP TO BHR: WHAT WILL BE THE WORKING RELATIONSHIPS BETWEEN REDSO/FFP AND NON-PRESENCE COUNTRY STAFF VIS-A-VIS BHR WASHINGTON, INCLUDING OFDA/ARO STAFF? HOW WILL THESE RELATIONSHIPS IMPACT ON

THE EXISTING ISPS FOR SUDAN AND SOMALIA AND HOW WILL MONITORING AND REPORTING RESPONSIBILITIES BE SHARED? OTHER ISSUES TO BE WORKED OUT ARE: (1) PRIORITIZATION OF CORE FFP SUPPORT AMONG THE COUNTRIES IN THE REGION; (2) A PROCESS FOR PERIODIC REVIEW OF PRIORITIES BETWEEN FFP/W AND REDSO/FFP; (3) A BETTER DEFINITION OF WHAT IS INCLUDED IN CORE SUPPORT, E.G. MULTI-YEAR PLANNING AND DONOR COORDINATION; AND (4) CLEAR DIVISION OF LABOR BETWEEN REDSO/FFP OFFICERS AND FFP/W COUNTRY BACKSTOP OFFICERS.

REDSO IS REMINDED OF FFP/WASHINGTON#S PREVIOUS SUGGESTION IN RESPONSE TO REF C OF A CONFERENCE IN NAIROBI AMONG FFP/WASHINGTON, REDSO AND CLIENT MISSIONS TO DISCUSS AND COME TO CONCLUSION ON THE SPECTRUM OF ISSUES.

11. IN ACCORDANCE WITH THE ADS, THE STRATEGIC PLAN SHALL ESTABLISH THE FRAMEWORK FOR SUBSEQUENT MONITORING OF THE PERFORMANCE OF THE PROGRAMS FOR WHICH IT IS RESPONSIBLE. THEREFORE, PROPOSED STRATEGIC PLANS INCLUDE HOW THE ACHIEVEMENT OF EACH STRATEGIC OBJECTIVE WILL BE JUDGED INCLUDING PROPOSED PERFORMANCE INDICATORS AND TARGETS FOR ACHIEVEMENT. TO THE EXTENT POSSIBLE, PERFORMANCE BASELINE DATA SHOULD BE INCLUDED WITH AN OPERATING UNIT'S STRATEGIC PLAN WHEN IT IS SUBMITTED FOR REVIEW. IN ADDITION, THE STRATEGIC PLAN MUST INCLUDE PERFORMANCE TARGETS WHICH CONVEY AN UNDERSTANDING OF THE ANTICIPATED MAGNITUDE OF CHANGE VIS-A-VIS USAID'S INVESTMENT AND/OR THAT OF ITS PARTNERS FOR EACH OBJECTIVE. THE FINAL PERFORMANCE

MONITORING PLAN DOES NOT REQUIRE AID/W REVIEW. HOWEVER, IT SHOULD BE COMPLETED AFTER APPROVAL OF THE STRATEGY AND PRIOR TO THE SPRING 2001 R4 SUBMISSION.

12. IN ADDITION TO ADS CHAPTER 202 GUIDELINES ON STRATEGY DEVELOPMENT, IN ACCORDANCE WITH USAID GENERAL NOTICE OF 6/21/99, THE MISSION IS ASKED TO: (1) PREPARE AN APPROPRIATE VULNERABILITY ANALYSIS THAT ADDRESSES THE POTENTIAL FOR CONFLICT, (2) SUMMARIZE THE FINDINGS OF SUCH ANALYSIS IN THE STRATEGY, AND (3) SPECIFICALLY INDICATE WHEN AND HOW THESE FINDINGS WILL AFFECT THE PROPOSED STRATEGY.

125

13. IN ACCORDANCE WITH USAID GENERAL NOTICE OF 9/14/1999, THE STRATEGY SHOULD CLEARLY DEMONSTRATE HOW GENDER CONCERNS HAVE BEEN INTEGRATED. ADS 202 DEFINES GENDER INTEGRATION AS A FOCUS ON THE PARTICIPATION OF AND BENEFITS TO EACH GENDER IN DEVELOPMENT PROGRAMS, WHILE PROMOTING WOMEN#S LEADERSHIP OF AND EQUALITY IN PROGRAM AND ORGANIZATIONAL STRUCTURES.

14. MISSION IS REMINDED TO DEMONSTRATE COMPLIANCE OF THE NEW STRATEGY WITH REG. 216 AND TO UNDERTAKE THE ANALYSIS REQUIRED UNDER SECTIONS 118 AND 119 OF THE FAA. AFR CAN PROVIDE COPIES OF THE RELEVANT LEGISLATION IF IT IS UNAVAILABLE AT POST.

15. NEXT STEPS. USAID/W REQUESTS A SPECIFIC TIMETABLE FOR THE STRATEGY SUBMISSION, INCLUDING A WORK PLAN AND

AN INDICATION OF ASSISTANCE REQUIRED, SO THAT USAID/W

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PAGE 11 STATE 223751 262126Z

CAN ENSURE SUCH SUPPORT IS AVAILABLE. THE MISSION SHOULD ALSO MOVE NOW TO SOLICIT INPUT TO THE STRATEGY FROM CLIENT MISSIONS. USAID/W STANDS READY TO PROVIDE WHATEVER TECHNICAL OR ADVISORY SERVICES MAY BE NEEDED TO BRING THIS IMPORTANT EXERCISE TO AN EXPEDITIOUS CLOSE.

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ACTION: AID
INFO: REF POL KHAR ECON DCM AMB
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ACTION: AID
INFO: DCM

DISSEMINATION: AID /I
CHARGE: AID
APPROVED: REDSO:DIR:SGWISECARV
DRAFTED: 1.REDSO:PDI:SERVES;
CLEARED: NONE

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ZNR UUUUU ZZH
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FM AMEMBASSY NAIROBI
TO RUEHC/SECSTATE WASHDC 8084
INFO RUEHDS/AMEMBASSY ADDIS ABABA 3039
RUEHAN/AMEMBASSY ANTANANARIVO 2412
RUEHAE/AMEMBASSY ASMARA 3011
RUEHJB/AMEMBASSY BUJUMBURA 4790
RUEHDR/AMEMBASSY DAR ES SALAAM 9503
RUEHDJ/AMEMBASSY DJIBOUTI 1874
RUEHOR/AMEMBASSY GABORONE 0294
RUEHSB/AMEMBASSY HARARE 0523
RUEHKM/AMEMBASSY KAMPALA 5459
RUEHLGB/AMEMBASSY KIGALI 1645
RUEHKI/AMEMBASSY KINSHASA 0332
RUEHLG/AMEMBASSY LILONGWE 1614
RUEHLU/AMEMBASSY LUANDA 0409
RUEHLS/AMEMBASSY LUSAKA 2557
RUEHTO/AMEMBASSY MAPUTO 1270
RUEHMB/AMEMBASSY MBABANE 0302
RUEHSA/AMEMBASSY PRETORIA 3787
BT
UNCLAS SECTION 01 OF 10 NAIROBI 002038

ADM AID

F09 AID/W V. LOWERY DERRYCK, AA/AFR; K. BROWN,
D/AA/AFR; AFR/EA DIRECTOR JAMES ANDERSON

E.O. 12958: N/A
SUBJECT: UPDATE ON STRATEGY PROCESS/PROVISION OF
SERVICES

REF: (A) STATE 223751 1999, (B) STATE

UNCLAS ADM AID NAIROBI 02038

017411 1999, (C) STATE 213889 1997, (D)
STATE 217294 1977, (E) STATE 212337 1997

SUMMARY

1. THIS IS AN ACTION CABLE. AS NOTED BELOW, REDSO HAS RECEIVED FIVE SETS OF FORMAL AND INFORMAL STRATEGY GUIDANCE SINCE FY 1998 REGARDING ITS ROLE IN THE GREATER HORN OF AFRICA INITIATIVE (GHAI). THE DIFFICULTIES RECONCILING THE DIFFERENT MANDATES PROPOSED BY THE ADMINISTRATOR AND THE AFRICA BUREAU BECAME MORE PRONOUNCED AS REDSO ATTEMPTED TO CRAFT A NEW STRATEGIC PLAN OVER THE LAST SEVERAL MONTHS. AT THE HEART OF ISSUES DISCUSSED BELOW ARE FUNDAMENTAL QUESTIONS ABOUT THE IMPLEMENTATION OF THE GHAI AND THE ROLE OF REDSO IN THE REGION, AT A TIME WHEN BOTH REGIONAL AND BILATERAL MISSIONS ARE EXPEAIENCING SIGNIFICANT PROGRAM AND OE BUDGET CUTS AND FURTHER DECREASES IN USDH STAFF.

2. THIS CABLE REQUESTS THAT THE AFRICA BUREAU AND ADDRESSEE MISSIONS ENGAGE WITH REDSO IN A CONSTRUCTIVE DIALOGUE TO DISCUSS AND RESOLVE THE ISSUES GROUPED UNDER THE FOLLOWING HEADINGS: 1) THE IMPORTANCE OF REGIONALISM IN THE GHAI; 2) FOSTERING CONVERGENCE; 3) IMPROVING COORDINATION; 4) BUDGET LIMITATIONS; 5) SERVICES; 6) STAFFING AND 7) REDSO STRATEGY DIRECTIONS. END SUMMARY.

STRATEGY UPDATE
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3 IN AUGUST 1999, REDSO BEGAN THE STRATEGY PROCESS ANEW BASED ON DISCUSSIONS WITH USAID/W STAFF, ALTHOUGH A FINAL PARAMETERS CABLE WAS NOT RECEIVED UNTIL NOVEMBER 26, 1999 (REF A). THIS PROCESS INCLUDED REVIEWING CORE GHAI DOCUMENTS, PREVIOUS UNSUBMITTED RESULTS FRAMEWORKS, EXAMINING THE CURRENT PORTFOLIO AND DISCUSSING AN APPROPRIATE ROLE FOR REDSO IN THE NEW MILLENNIUM WITH STAFF, PARTNER ORGANIZATIONS AND BILATERAL MISSIONS. BY THE END OF OCTOBER,

REDSO HAD PREPARED A DRAFT RESULTS FRAMEWORK THAT WAS PRESENTED AT THE REDSO/ESA 2000 WORKLOAD SCHEDULING CONFERENCE. '

4. THE RESULTS FRAMEWORK (RF), EMPHASIZING THE IMPORTANCE OF THE GHAI, ESTABLISHED THREE STRATEGIC OBJECTIVES (SOS) IN FOOD SECURITY, CONFLICT AND HEALTH. IT RECOGNIZED THE MANY EXCELLENT RESULTS DEMONSTRATED BY REDSO'S REGIONAL PROGRAMS IN TECHNICAL AREAS WHILE ACKNOWLEDGING THAT THE REGIONAL INSTITUTIONS IMPLEMENTING THESE PROGRAMS STILL SUFFER FROM A RANGE OF ORGANIZATIONAL, TECHNICAL AND MANAGERIAL WEAKNESSES. REDSO'S ROLE, AS ARTICULATED IN THIS RF, WAS TO ENSURE THAT AFRICANS HAVE THE CAPACITY TO IDENTIFY AND SOLVE REGIONAL PROBLEMS IN THE AREAS OF FOOD SECURITY, CONFLICT AND HEALTH. IT WAS EXPECTED THAT REDSO WOULD HAVE SIGNIFICANT IMPLEMENTATION RESPONSIBILITIES IN BUILDING PARTNER CAPACITY AS WELL AS UNDERTAKING SEVERAL REGIONAL PROGRAMS. AT THE SAME TIME, REDSO WOULD CONTINUE TO COORDINATE THE GHAI, PROVIDE SERVICES TO BILATERAL MISSIONS AND IMPLEMENT PROGRAMS IN NON-PRESENCE COUNTRIES (NPCS).

S. IN JANUARY 2000, TEAMS BEGAN WORKING ON NARRATIVES TO SUPPORT THESE SOS. DURING THIS TIME, THE FRONT OFFICE AND REDSO CORE STRATEGY TEAM BEGAN WRESTLING WITH THE IMPLICATIONS OF INCONSISTENT MESSAGES IN THE PARAMETERS CABLE (REF A) AND OF REDUCED BUDGETS TO SUPPORT THE PROPOSED NEW STRATEGY. AS THE MAGNITUDE OF THE NUMBER OF ISSUES TO BE RESOLVED BECAME APPARENT, A DECISION WAS MADE TO HALT THE STRATEGY PROCESS UNTIL ADDITIONAL GUIDANCE IS RECEIVED.

6 DURING THE STRATEGY PROCESS, REDSO STAFF HAS CONTINUED TO IMPLEMENT REGIONAL PROGRAMS AND PROVIDE SERVICES TO ESA M18SIONS WITH THE EXCEPTION OF CERTAIN WEEKS OF BLACK-OUT DATES WHERE INTEN81VE TEAM WORK ON THE STRATEGY WAS REQUIRED.

A PLETHORA OF GUIDANCE

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7 REDSO HAS RECEIVED FIVE DIFFERENT SETS OF FORMAL AND INFORMAL STRATEGY GUIDANCE FROM THE AGENCY AND AFRICA BUREAU SENIOR MANAGEMENT SINCE FY 1998 WHEN, IT WAS

CHARGED WITH IMPLEMENTING GHAI IN THE FIELD(REF C). THIS GUIDANCE HAS RANGED FROM 1) HAVING A BROAD REGIONAL PROGRAM MANDATE TO 2) PROVIDING TECHNICAL SERVICES AS A FIRST PRIORITY TO 3) IMPLEMENTING GHAI AS A FIRST PRIORITY (REF B) JAN. 1999 TO 4) IMPLEMENTING GHAI WITH A SUBSTANTIAL INCREASE IN SUDAN AND SOMALIA COUNTRY PROGRAM RESPONSIBILITIES TO 5) COORDINATING THE IMPLEMENTATION OF THE GHAI AS WELL AS IMPLEMENTING THE SUDAN, SOMALIA AND GLJI/BURUNDI PROGRAMS (REF A).

8. THIS CABLE REQUESTS CLARIFICATION ON A NUMBER OF KEY ISSUES BEFORE REDSO CAN COMPLETE THE STRATEGY AND SUBMIT IT TO USAID/W FOR REVIEW.

UNCLAS ADM AID NAIROBI 02038

CLARIFICATION POINT NO. 1: THE IMPORTANCE OF REGIONALISM TO THE GHAI
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9. IN DETERMINING A SUITABLE ROLE FOR REDSO WITH REGARD TO THE GHAI, IT IS WORTH REVIEWING PAST DOCUMENTATION ON THE INITIATIVE. STATE 212337 (REF E) SUMMARIZES BOTH THE OBJECTIVES AND PRINCIPLES OF GHAI, VIEWED AS QUOTE PERHAPS ONE OF ITS MOST EFFECTIVE TOOLS UNQUOTE. THESE PRINCIPLES ARE AFRICAN OWNERSHIP, STRATEGIC COORDINATION, LINKING RELIEF TO DEVELOPMENT,REGIONAL PERSPECTIVE, AND PROMOTING STABILITY. THE OBJECTIVES ARE: 1) TO SUPPORT CAPACITY BUILDING AT REGIONAL, GOVERNMENTAL AND NON-GOVERNMENTAL LEVELS TO LEAD EFFORTS TO PREVENT, MITIGATE AND RESOLVE CRISES IN THE GHA AND SEEK THE ASSISTANCE OF OTHER INTERNATIONAL PARTNERS TO THESE ENDS; 2) TO SUPPORT THE CAPACITY AT REGIONAL, GOVERNMENTAL, AND NON-GOVERNMENTAL LEVELS TO LEAD EFFORTS TO ESTABLISH AND IMPLEMENT APPROPRIATE FOOD SECURITY POLICIES AND PROGRAMS; AND 3) TO INCORPORATE GHAI PROGRAMMING PRINCIPLES INTO USG APPROACHES TOWARDS THE REGION AND ALL GHAI ACTIVITIES.

10. REF E ALSO NOTES QUOTE: THE GHAI IS UNIQUE IN THAT IT IS GEOGRAPHICALLY SUBSCRIBED; IT AIMS TO PROMOTE NON-TRADITIONAL METHODS; IT FOCUSES ON PARTNERSHIP AND CAPACITY-BUILDING IN AND WITHIN THE REGION AND IT IS LESS DEPENDENT ON PROVIDING NEW RESOURCES THAN ON MANAGING EXISTING RESOURCES DIFFERENTLY. UNQUOTE.

11. IN ASSESSING ACTIVITIES IN BILATERAL MISSIONS SINCE THE GHAI WAS CONCEIVED IN 1994, REDSO CONCLUDED

130

THAT MOST INCORPORATE GHAI PRINCIPLES TO SOME EXTENT IN THEIR PROGRAMMING AND A FEW HAVE FOOD SECURITY OBJECTIVES OR CONFLICT ACTIVITIES. HOWEVER, BILATERAL MISSIONS HAVE A MANDATE TO SERVE THE COUNTRIES IN WHICH THEY ARE LOCATED AND ADOPTING A REGIONAL PERSPECTIVE ON CONFLICT OR FOOD SECURITY OR SUPPORTING REGIONAL INSTITUTIONS IS GENERALLY NOT WITHIN THEIR MANAGEABLE INTEREST OR MAY EVEN BE EXPLICITLY PROHIBITED IN THEIR BILATERAL AGREEMENTS. REDSO, ON THE OTHER HAND, AS AN ORGANIZATION ALREADY SERVING THE REGION IS WELL PLACED TO IMPLEMENT THE INITIATIVE'S MANDATES OF REGIONALISM AND REGIONAL CAPACITY BUILDING. REDSO IS THE ONLY FIELD-BASED OPERATING UNIT CURRENTLY AUTHORIZED FOR THIS ROLE. INDEED, DURING RECENT TDYS TO GHAI MISSIONS (RWANDA, UGANDA), REDSO GHAI STAFF WERE TOLD THAT REDSO'S REGIONAL EFFORTS SHOULD BE ENHANCED FURTHER TO INCREASE THE EFFECTIVENESS OF IMPORTANT BILATERAL

PROGRAMS THAT ARE INHIBITED BY NATIONAL BOUNDARIES OR LIMITING USG BILATERAL AGREEMENTS AND AUTHORITIES.

12 THUS, THE STARTING POINT FOR THE FRAMEWORK REDSO DISTRIBUTED AT ESA 2000 WAS A RECOGNITION OF (1) THE IMPORTANCE OF A REGIONAL PERSPECTIVE FOR THE SUCCESS OF THIS PRESIDENTIAL INITIATIVE AND (2) THE IMPORTANCE OF INCREASING THE CAPACITY OF REGIONAL INSTITUTIONS TO IDENTIFY PROBLEMS AND SOLUTIONS FOR ADDRESSING THE ROOT CAUSES OF CONFLICT AND FOOD INSECURITY IN THE REGION. IT WAS FURTHER RECOGNIZED THAT REDSO WAS ONLY ONE ARM OF THE USG IMPLEMENTING THE GHAI BUT THAT REDSO HAD A SPECIAL NICHE TO FILL IN FURTHERING THE GHAI'S OBJECTIVES. THIS CONCLUSION AROSE FROM A REVIEW OF THE EXISTING PORTFOLIO OF REGIONAL ACTIVITIES, SOME OF WHICH DIRECTLY ADDRESSED REGIONAL CAPACITY BUILDING (HASP/ISGM, ASARECA) WHILE OTHERS FOCUSED MORE ON REGIONAL IMPACTS IN TECHNICAL AREAS (IGAD PROFILES, TRADE AND TRANSPORTATION AGENDA).

13. SOME OF REDSO'S REGIONAL PARTNERS (E.G. ASARECA, TRANSIT TRANSPORT COORDINATING AUTHORITY) ARE BEGINNING TO TACKLE REGIONAL PROBLEMS IN WAYS NOT BEING DONE BY NATIONAL GOVERNMENTS OR BILATERAL AID PROGRAMS. THE FRAMEWORK PROPOSED AT REDSO/ESA 2000 HOWEVER, REFLECTED IDENTIFIED WEAKNESSES IN THE EXISTING STRUCTURE OF OUR AFRICAN PARTNERS, SUCH AS A LACK OF CONSISTENT ATTENTION TO THEIR INTERNAL ORGANIZATIONAL, STRUCTURAL AND MANAGEMENT CAPACITIES. REDSO/ESA BELIEVES THAT FOCUSING

131

ON THESE INTERNAL CAPACITIES WILL ALLOW THEM TO DEEPEN THEIR LONG-TERM PROGRAM ACCOMPLISHMENTS. IT IS IMPORTANT TO NOTE THAT A REDSO CAPACITY- FOCUSED PROGRAM WOULD INCLUDE CONTINUED SUPPORT FOR PARTNER ACTIVITIES, WHICH ARE ACHIEVING CONCRETE RESULTS IN THEIR RESPECTIVE TECHNICAL AND PROGRAM AREAS. THUS, REDSO/ESA BELIEVES THAT ITS REGIONAL IMPLEMENTATION PROGRAM WILL FURTHER THE REGIONAL ACCOMPLISHMENTS OF THIS INITIATIVE AND OVER TIME, SHOULD RESULT IN A CADRE OF AFRICAN REGIONAL ORGANIZATIONS AS RECOGNIZED LEADERS IN ADDRESSING FOOD SECURITY AND CONFLICT PROBLEMS IN THE GHA.

14. ACTION: REDSO REQUIRES CLARIFICATION ON WHETHER REGIONALISM, AS ESPOUSED THROUGHOUT THE GHAI STRATEGY AND SUBSEQUENT CABLES IS STILL AN IMPORTANT FOUNDATION FOR THIS INITIATIVE. IF IT IS, PLEASE CLARIFY WHETHER REDSO IS TO CONTINUE IMPLEMENTING A REGIONAL PROGRAM IN SUPPORT OF REGIONALISM AND OTHER GHAI PRINCIPLES AND OBJECTIVES OR WHETHER ITS ROLE IS TO BE LIMITED TO COORDINATING BILATERAL ACTIVITIES IN SUPPORT OF THE GHAI.

CLARIFICATION POINT NO. 2: FOSTERING CONVERGENCE

UNCLAS ADM AID NAIROBI 02038

15. STATE 213889 (REF C) OUTLINES ADMINISTRATOR ATWOOD'S ORIGINAL IDEAS ON THE TOPIC OF CONVERGENCE; STATING QUOTE: MISSIONS WITHOUT APPROPRIATE AND RELEVANT STRATEGIC OBJECTIVES TO UNDERTAKE GHAI WORK ARE GRANTED AUTHORITY TO APPLY THE GHAI FRAMEWORK TO THEIR PROGRAMS RATHER THAN REPROGRAMMING RESOURCES THROUGH **REDSO/ESA.** FURTHERMORE, GHAI BILATERAL MISSIONS WILL, OVER TIME AND AS A PART OF REGULARLY SCHEDULED STRATEGY SUBMISSIONS, CHANGE OR ADJUST THEIR STRATEGIES TO INCORPORATE GHAI PRINCIPLES AND OBJECTIVES. END QUOTE.

16 DESPITE THIS INITIAL GUIDANCE, THERE IS CURRENTLY NO UNIFORM UNDERSTANDING OR OPERATIONAL DEFINITION OF CONVERGENCE AROUND THE GHAI STRATEGY. THIS LACK OF CONSENSUS BECAME CLEAR AT THE FEBRUARY 2-4, 2000 GHAI COORDINATORS' CONFERENCE IN NAIROBI. MISSION FEEDBACK INDICATED THAT THERE IS CONSIDERABLE CONFUSION IN THE FIELD REGARDING THE CONCEPT OF CONVERGENCE AND OF THE BUREAU'S EXPECTATION OF THE MISSIONS, AS WELL AS CONFUSION ABOUT REDSO'S COORDINATING ROLE IN CONVERGENCE. MISSIONS NOTED THAT IF CONVERGENCE WITH GHAI WAS AN AFRICA BUREAU PRIORITY IT HERETOFORE HAD

NOT BEEN COMMUNICATED AS SUCH (EITHER IN AFR/W PARAMETERS CABLES OVER THE LAST THREE YEARS OR IN CURRENT OR AMENDED STRATEGY GUIDANCE OR USAID/W REVIEWS). INDEED, IF STRATEGIC OBJECTIVES IN CONFLICT, FOOD SECURITY OR OTHER ACTIVITIES SUPPORTING GHAI ARE NOT ALREADY INCORPORATED INTO BILATERAL MISSION STRATEGIES, MOST MISSIONS STATED THAT THEY HAD NO CAPACITY TO TAKE ON OR MANAGE NEW ACTIVITIES IN THESE FIELDS, NO MATTER HOW WORTHY. THIS IS ESPECIALLY TRUE IN LIGHT OF RECENT STAFF CUTS.

17. ONE OF THE KEY RECOMMENDATIONS OF THE GHAI COORDINATORS' MEETING WAS TO CLARIFY WITH USAID/W WHETHER EFFORTS TO EFFECT GHAI CONVERGENCE AND TO REALIGN MISSION STRATEGIC OBJECTIVES AND UNDERTAKE NEW INTEGRATED STRATEGIC PLANNING TO BETTER CONVERGE WITH GHAI ARE INDEED WORTHWHILE IN THE LAST NINE MONTHS OF THIS ADMINISTRATION, GIVEN PENDING UNCERTAINTIES AS TO FUTURE AGENCY PRIORITIES AND PRESIDENTIAL INITIATIVES.

18. REDSO HAS A DEFINED, BUT LIMITED, ROLE IT CAN BE REASONABLY EXPECTED TO PLAY IN THE CONVERGENCE PROCESS. SPECIFICALLY, REDSO CAN RESPOND TO REQUESTS FROM GHA MISSIONS TO ASSIST THEM IN THEIR INDIVIDUAL EFFORTS AT CONVERGENCE. EXAMPLES OF THIS ASSISTANCE MIGHT INCLUDE

1) PARTICIPATING ON A MISSION'S ISP DRAFTING TEAM; 2) ANALYZING A MISSION'S FOOD SECURITY, CONFLICT, OR INFORMATION PORTFOLIO TO IDENTIFY WAYS THE MISSION PORTFOLIO CAN MORE FULLY INCORPORATE THE GHAI INTERMEDIATE RESULTS INTO THAT SECTORAL OBJECTIVE OR 3) WORKING WITH A MISSION TO MORE FULLY INCORPORATE THE GHAI PRINCIPLES THROUGHOUT THE BILATERAL PORTFOLIO. WHILE REDSO CAN ENCOURAGE BILATERAL MISSIONS TO PURSUE CONVERGENCE, ITS ROLE WILL BE DEMAND-DRIVEN. AS A FACILITATOR OF CONVERGENCE, REDSO WILL NEED TO BE SUPPORTED BY CLEAR MESSAGES FROM THE AFRICA BUREAU REGARDING ITS EXPECTATIONS OF BILATERAL MISSIONS VIS A VIS CONVERGENCE.

19. THE PARAMETERS CABLE (REF A) ASSUMES THAT CONVERGENCE WILL OCCUR. THE GHAI COORDINATORS' CONFERENCE, INFORMAL FEEDBACK FROM MISSION DIRECTORS AND EMBASSY STAFF, AND DIFFICULTIES OBTAINING EVEN BASIC INFORMATION ON GRAI FROM AGENCY OPERATING UNITS FOR ANNUAL REPORTING INDICATE OTHERWISE.

20. ACTION: IF REDSO IS TO PLAY A ROLE IN AIDING ACHIEVEMENT OF CONVERGENCE, USAID/W NEEDS TO BE SPECIFIC ABOUT ITS EXPECTATIONS FOR THE BILATERAL MISSIONS AND FOR REDSO ITSELF. FOR EXAMPLE, DOES CONVERGENCE MEANS THAT EVERY BILATERAL MISSION MUST HAVE A FOOD SECURITY AND CONFLICT OBJECTIVE, OR DOES IT SIMPLY MEAN THAT MISSIONS SHOULD FOCUS, ON STRENGTHENING AFRICAN CAPACITY THROUGHOUT THEIR PORTFOLIO. AS A NEXT STEP IN THIS PROCESS AND IN KEEPING WITH THE SPIRIT OF RE-ENGINEERING, REDSO RECOMMENDS THAT THE GHAI FIELD STEERING COMMITTEE (FSC) DEVELOP GUIDANCE ON CONVERGENCE TO SUBMIT TO THE BUREAU FOR COMMENT. THIS WOULD NOT NEED TO BE A LENGTHY PROCESS AND INITIAL FSC CONSULTATION ON THIS TOPIC COULD BEGIN INFORMALLY AT THE UPCOMING MISSION DIRECTORS CONFERENCE. CONCOMITANTLY, REDSO RECOMMENDS THAT AFRICA GIVE OFFICIAL NOTIFICATION TO GHA MISSIONS THAT THEY SHOULD DEVELOP ISPS SINCE THE ISP PROCESS HAS BEEN IDENTIFIED AS ONE OF THE PRIMARY MEANS OF ACHIEVING CONVERGENCE.

CLARIFICATION POINT NO. 3: IMPROVING COORDINATION
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21. THIS LATEST PARAMETERS CABLE (REF A) IS INCONSISTENT ABOUT WHETHER REDSO SHOULD FOCUS PRIMARILY ON A COORDINATION ROLE FOR GHAI AS STATED IN PARAGRAPHS 3 AND 6 OR ON MORE OF AN IMPLEMENTATION ROLE AS STATED

IN PARAGRAPHS 5 AND 9. REDSO REQUESTS CLEAR GUIDANCE ON THIS ISSUE BEFORE IT SHIFTS FROM PLAYING A REGIONAL IMPLEMENTATION ROLE, AS OUTLINED IN THE GHAI STRATEGY AND ABANDONS OR CURTAILS REGIONAL INSTITUTIONAL CAPACITY BUILDING AND PROGRAMMING IN ORDER TO FOCUS ON COORDINATING THE GHAI.

22. THE CONCEPT OF REDSO'S COORDINATION ROLE REMAINS ELUSIVE TO BOTH REDSO STAFF AND MISSIONS AS RECENTLY ARTICULATED DURING THE GHAI COORDINATORS' CONFERENCE. SOME ASPECTS APPEAR CLEAR, SUCH AS THE REDSO DIRECTOR'S ROLE CHAIRING THE FIELD COORDINATORS' MEETINGS, REDSO'S ANNUAL REPORTING RESPONSIBILITY FOR ALL GHAI ACTIVITIES AND ASSISTING MISSIONS, WHEN ASKED, TO INCORPORATE GHAI INTO THEIR PROGRAMMING. HOWEVER, MISSIONS TO DATE DO NOT NORMALLY REQUEST REDSO ASSISTANCE TO INCORPORATE GHAI INTO THEIR NEW CSPS OR ISPS, AND AS NOTED ABOVE, HAVE SHOWN LITTLE INTEREST IN MODIFYING CURRENT STRATEGIES. AN EXCELLENT EXAMPLE OF THE DIFFERENT INTERPRETATIONS

134

BETWEEN THE BUREAU AND THE FIELD ON SOME OF THE BASIC EXPECTATIONS IN THE GHAI IS THE RECENT EXCHANGE OF E MAILS BETWEEN AFR/DP AND TWO MISSIONS ON WHETHER ALL GHA COUNTRIES WERE EXPECTED TO DEVELOP ISPS. AN ATTEMPT TO IMPOSE A REDSO COORDINATION ROLE INTO THIS ENVIRONMENT WOULD REQUIRE THE BUREAU TO BE MORE PROACTIVE WITH THE FIELD ON THE GHAI.

23. ACTION: IF REDSO IS TO PLAY A BROADER COORDINATION ROLE VIS A VIS BILATERAL MISSIONS THAN IT HAS IN THE PAST BY REDUCING ITS IMPLEMENTATION ROLE, USAID/W IS REQUESTED TO CLARIFY BOTH TO REDSO AND TO MISSIONS WHAT THAT ROLE ENTAILS AND PROVIDE EXAMPLES OF HOW SUCCESS WILL BE MEASURED.

CLARIFICATION POINT NO. 4: BUDGET LIMITATIONS

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24. REF D STATED THAT APPROXIMATELY $15 MILLION WOULD BE SPECIFICALLY DEVOTED TO GHAI EACH YEAR. REF E NOTED THAT RESOURCES WOULD BE SPECIFICALLY ALLOCATED FOR GHAI IMPLEMENTATION, SUCH AS FOR HASP AND FOR QUOTE LIMITED FACILITATIVE FUNDS UNQUOTE TO BE USED TO FOSTER REGIONAL COOPERATION AT ALL LEVELS. HOWEVER, WITH THE RECEIPT OF REDSO'S FY 2000 AND 2001 OYB LEVELS AND SECTOR CONTROLS, WE ARE SEEING MAJOR DISCONNECTS BETWEEN OUR FUNDING AND OUR ABILITY TO HAVE A REGIONAL IMPACT. THE NATURE OF THESE DISCONNECTS ON PROGRAMS MANAGED BY REDSO IS DISCUSSED BELOW.

25. OUR PRIMARY ANALYSIS HAS FOCUSED ON REDSO'S ABILITY TO MEET THE BUREAU'S EXPECTATIONS, AS OUTLINED IN REF (A) TO CARRY OUT THE FOLLOWING MANDATES: 1)

COORDINATION OF THE IMPLEMENTATION OF GHAI; 2) PROVISION OF CORE SERVICES TO REDSO CLIENT MISSIONS: 3) IMPLEMENTATION AND MANAGEMENT OF PROGRAMS IN NON PRESENCE COUNTRIES; AND 4) IMPLEMENTATION OF A REGIONAL HEALTH PROGRAM IN THE ESA REGION. OUR ASSUMPTION IS THAT AT A MINIMUM, THE CURRENT LEVEL OF OE AND PROGRAM,FUNDED TECHNICAL STAFF WOULD BE REQUIRED, EVEN IF REDSO'S SKILLS MIX MIGHT SHIFT OVER TIME. ALTHOUGH REDSO'S BUDGET LEVELS OF $24.26 M IN FY 2000 AND $25.17 M IN FY 2001 SEEM, ON THE SURFACE, TO BE ADEQUATE, THERE ARE SERIOUS/SERIOUS IMPLICATIONS FOR SEVERAL CURRENT GHAI ACTIVITIES AS A RESULT OF THE SECTOR CONTROLS PROVIDED AND OF THE BUREAU'S

DIRECTIVE TO DEDUCT $6 MILLION OFF THE TOP FOR SUDAN AND SOMALIA.

26. IN DG/CONFLICT THE IMPACT OF THIS YEAR'S BUDGET LEVELS AND CONTROLS IS ESPECIALLY ACUTE. FOR INSTANCE, THE COMBINED REDSO CORE AND GHAI FUNDING FOR DG IN FY2000 IS $5.2 M. HOWEVER, ONCE FUNDS ARE SUBTRACTED FOR SUDAN AND SOMALIA ($3.6 M TOTAL) AND FOR REDSO'S GOVERNANCE/CONFLICT USPSC AND FSNPSC ADVISORS ($629,000) THERE REMAINS ONLY $989,000 TO FUND ALL OTHER ONGOING OR NEW ACTIVITIES THIS YEAR. THIS WILL LIKELY MEAN DRASTIC REDUCTIONS IN FUNDING FOR THE HASP/ISGM PROGRAM, THE IGAD CONFLICT EARLY WARNING SYSTEM, THE CONFLICT PILOT ACTIVITIES FUND (CPAF), THE CONFLICT QUICK RESPONSE FUND (CQUICK) AND OTHER SUCCESSFUL DG ACTIVITIES. CUTTING THESE LATTER TWO FUNDS WOULD BE ESPECIALLY UNFORTUNATE, AS USAID MISSIONS AND EMBASSIES HAVE INCREASINGLY USED THEM TO OBTAIN RAPID SUPPORT FOR AFRICAN INITIATIVES TO PREVENT, MITIGATE AND RESPOND TO CONFLICT.

27. A SIMILAR SITUATION EXISTS IN ECONOMIC GROWTH WHERE REDSO CORE FUNDS ARE INSUFFICIENT TO COVER PSC SALARIES AND WHERE, AGAIN, THE OFF-THE-TOP FUNDING OF SUDAN AND SOMALIA WILL RESULT IN REDUCED FUNDING AVAILABLE FOR ONGOING SUPPORT TO IGAD AND ASARECA. ACTIVITIES WITH EAC AND ECA ARE LIKELY TO BE REDUCED OR POSTPONED. SEVERAL CURRENT ONGOING REGIONAL ACTIVITIES WILL BE AFFECTED. SO WILL REDSO'S ABILITY TO BE RESPONSIVE TO THE GHAI BILATERAL COORDINATORS WHO HAVE: EXPRESSED INTEREST IN A FOOD SECURITY FUND (SIMILAR TO CPAF AND CQUICK IN CONFLICT) WHICH COULD FUND INNOVATIVE REGIONAL ACTIVITIES THAT BILATERAL MISSIONS ARE UNABLE TO SUPPORT.

28. REDSO RECOGNIZES THAT SUDAN, SOMALIA AND THE GHAI, ARE ALL COMPETING POLITICAL IMPERATIVES. THE DECISION; TO FUND SUDAN AND SOMALIA AT $3 MILLION EACH PER YEAR

DIRECTLY FROM GHAI FUNDS IN FY 2000 IS UNDERSTANDABLE GIVEN THIS YEAR'S BUDGET CONSTRAINTS AND OTHER EXTENUATING CIRCUMSTANCES. NEVERTHELESS, IN THE LONG RUN, DEVOTING FULLY TWO-FIFTHS (40%) OF GHAI FUNDING TO TWO BILATERAL DA PROGRAMS IS NOT SUSTAINABLE FOR GHAI OR FOR THE BILATERAL PROGRAMS IN QUESTION. MOREOVER, THE REDUCED FUNDING LEVELS EXPECTED IN FY 2000 AND 2001 AS A RESULT OF THESE BILATERAL PROGRAM DEDUCTIONS WILL SIGNIFICANTLY COMPROMISE THE GHAI'S

ABILITY TO ACHIEVE REGIONAL RESULTS. THIS WILL BE ACUTELY FELT IN FY 2001, WHEN THE CUMULATIVE EFFECT OF HAVING INADEQUATE DG AND EG RESOURCES OVER TWO CONSECUTIVE YEARS FULLY IMPACTS FOOD SECURITY AND CONFLICT ACTIVITIES IN THE REGION.

29. BEYOND THE IMMEDIATE IMPACT ON THE OVERALL GHAI PROGRAM DETAILED ABOVE, THESE BUDGET DECISIONS ALSO RAISE THE FUNDAMENTAL QUESTION OF HOW GHAI FUNDS ARE TO BE ALLOCATED AND USED. HISTORICALLY -- PARTICULARLY WHEN THE INITIATIVE WAS MANAGED OUT OF USAID/W, PRIOR TO THE APPROVAL OF THE GHAI STRATEGY -- THE GRAI PURSE WAS USED AS A READY SOURCE OF MONEY FOR POLITICAL IMPERATIVES IN THE HORN REGION (WITH PROGRAM FOCUS, COORDINATION AND SYNERGY SUFFERING AS A RESULT). WITH THE APPROVAL OF THE PRESENT GHAI STRATEGY AND ESTABLISHMENT OF FUNDING MECHANISMS OVER THE PAST TWO YEARS, GHAI FUNDS HAVE BEEN USED TO STRENGTHEN REGIONAL CAPACITY TO ADDRESS REGIONAL ISSUES. IF, AS THE FY 2000 AND 2001 BUDGET LEVELS SUGGEST, THE AFRICA BUREAU NOW WANTS TO MAKE SIGNIFICANT GHAI FUNDING AVAILABLE FOR POLITICAL IMPERATIVES OR FOR ADDITIVE FUNDS TO BILATERAL PROGRAMS NOT YET MOVING TOWARDS CONVERGENCE WITH THEIR OWN FUNDS, THEN AGENCY EXPECTATIONS FOR REGIONAL RESULTS IN FOOD SECURITY AND CONFLICT MANAGEMENT MUST BE SIGNIFICANTLY SCALED BACK.

30. ACTION: REDSO REQUESTS BUREAU CONSIDERATION OF THE FOLLOWING FOR FY 2001: (1) THAT THE OYB FOR SUDAN AND SOMALIA SHOULD NOT BE TAKEN FROM THE GHAI RESOURCES; (2) THAT REDSO'S REGIONAL PROGRAMS IN CONFLICT SHOULD BE PROTECTED AT A LEVEL OF DOLS. 4.0 MIL IN ORDER TO GIVE CREDIBILITY TO THE BUREAU'S PRIORITY FOCUS ON REGIONAL CONFLICT AND (3) THAT A MINIMUM OF DOLS. 6.0 MILLION IN EG FUNDS IS REQUIRED TO CONTINUE THE INSTITUTIONAL STRENGTHENING OF IGAD AND REPLENISH THE ISGM FOR STRENGTHENING INDIGENOUS NGOS IN FOOD SECURITY. AS WELL AS CONTINUE THE INFORMATION TECHNOLOGY ACTIVITIES WHICH ARE BRINGING OUR AFRICAN PARTNERS ON LINE, PROVIDING ACCESS TO CRITICAL INFORMATION IN FOOD SECURITY AND CONFLICT MANAGEMENT.

CLARIFICATION POINT NO. 5: SERVICES
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31. PARA 3 OF THE SUPPLEMENTARY PARAMETERS CABLE (REF A) PROPOSED AS REDSO'S SECOND PRIORITY (AFTER COORDINATION OF THE GHAI) THE PROVISION OF CORE SERVICES TO CLIENT MISSIONS DEFINED AS CONTRACTING, LEGAL, FINANCIAL MANAGEMENT, FOOD FOR PEACE AND ENVIRONMENTAL (REG 16) SERVICES). IN REF (A) PARA 9, REDSO IS ASKED

TO DESCRIBE HOW IT WILL SCALE BACK ON NON-CORE (TECHNICAL) SERVICES IN ORDER TO FULFILL ITS INCREASED IMPLEMENTATION ROLE.

32. REDSO IS IN THE PROCESS OF CONSULTING WITH CLIENT MISSIONS TO DETERMINE WHICH TECHNICAL SERVICES CURRENTLY OFFERED CAN BE REDUCED OR ELIMINATED. HOWEVER, WITH THE LAST (FEBRUARY 23, 2000) ROUND OF STAFF CUTS, FULLY 9 CLIENT MISSIONS WILL HAVE 7 OR FEWER USDH, FURTHER STRETCHING ALREADY OVERBURDENED AND UNDERSTAFFED BILATERAL MISSIONS IN THE ESA REGION. THE DEMAND FOR REDSO SERVICES IN THIS RESOURCE-POOR ENVIRONMENT, BOTH IN CORE AND TECHNICAL AREAS, REMAINS CONSTANT. IN FY 1999 ESA MISSIONS REQUESTED 3,868 PERSON DAYS FROM REDSO/ESA. IN FY 2000, THE REQUEST IS 3,657 DAYS. THESE INCLUDE REQUESTS FOR A BROAD RANGE OF TECHNICAL SERVICES, FROM HEALTH, AGRICULTURE, TRADE AND TRANSPORT, INFORMATION COMMUNICATIONS TECHNOLOGY, ENVIRONMENT/NATURAL RESOURCES, DEMOCRACY/GOVERNANCE, MONITORING AND EVALUATION AND ECONOMIC GROWTH/PRIVATE SECTOR SERVICES. THE REALITY IS THAT ESA MISSIONS (ESPECIALLY THE 3-4 PERSON SMALLER MISSIONS) DO NOT HAVE VIABLE ALTERNATIVES TO REDSO'S TECHNICAL AND PROGRAMMATIC SERVICES THAT DO NOT ADD SIGNIFICANT MANAGEMENT BURDENS TO BOTH THE BILATERAL MISSION AND TO REDSO'S CORE SERVICE OFFICES. FOR EXAMPLE, IF A SMALL MISSION WANTS TO CONTRACT OUT FOR AN AGRICULTURAL ADVISOR TO DO AN EVALUATION, SOMEONE (USUALLY AN ALREADY OVERSTRETCHED USDH) MUST PREPARE A STATEMENT OF WORK AND A MAARD (OFTEN WITH THE HELP OF REDSO'S AGRICULTURE/FOOD SECURITY TEAM). THE MAARD THEN COMES TO REDSO'S ALREADY OVERWORKED OFFICE OF PROCUREMENT TO EXECUTE A CONTRACT OR DELIVERY ORDER. OBLIGATIONS AND PAYMENTS ARE SUBSEQUENTLY RECORDED, EFFECTED AND ENTERED INTO MACS THROUGH REDSO'S REGIONAL FINANCIAL MANAGEMENT CENTER. UPON ACTIVITY COMPLETION, THE CONTRACT THEN GOES TO REDSO'S CONTRACT CLOSEOUT SPECIALIST FOR FINAL DISPOSITION. IN OTHER WORDS, BY

NOT UTILIZING ONE REDSO AGRICULTURAL ADVISOR TO DO THIS HYPOTHETICAL EVALUATION, FAR MORE WORK (NOT TO MENTION TIME DELAY) IS GENERATED FOR SEVERAL OFFICES IN BOTH REDSO AND THE BILATERAL MISSION. A CLASSIC CATCH 22 SITUATION. ALSO OE AND STAFF CUTS IN USAID/W HAVE MADE IT UNREALISTIC/INFEASIBLE TO OBTAIN TIMELY TECHNICAL SERVICES FROM EITHER THE GLOBAL BUREAU OR AFR/SD.

33 THE TREND LINES IN THE AGENCY ARE CLEARLY TOWARD MORE RELIANCE ON REGIONAL CENTERS. WITH THE ADVENT OF NEW FINANCIAL MANAGEMENT

SOFTWARE (DUE FOR ROLLOUT IN 2001/2002) MORE CENTRALIZATION OF CONTROLLER FUNCTIONS WILL OCCUR, WHICH WILL ONLY SERVE TO INCREASE REDSO'S CORE ACCOUNTING RESPONSIBILITIES AND WORKOAD. SIMILARLY, WITH A SHRINKING POOL OF CONTRACTING AND LEGAL OFFICERS (AND LESS SLOTS IN THE FIELD IN WHICH TO PLACE THEM) REDSO'S ROLE WILL LIKELY GROW AS A REGIONAL BUSINESS CENTER FOR THESE CORE FUNCTIONS. THUS, IF SMALL BILATERAL MISSIONS ARE EXPECTED TO CONTRACT OUT FOR TECHNICAL SERVICES, MORE AND MORE ACTIONS WILL FALL UPON INCREASINGLY OVERBURDENED REDSO CORE SERVICE OFFICES. AS THE AGENCY INEVITABLY DOWNSIZES, THERE WILL BE A CONTINUED NEED TO IDENTIFY COST-EFFECTIVE WAYS TO PROVIDE BOTH CORE AND TECHNICAL SERVICES TO MISSIONS. AT THE PRESENT TIME, IT IS MORE EFFICIENT (AND REALISTIC) TO PROVIDE THESE SERVICES OUT OF REDSO THAN FROM USAID/W. ALSO, KEY TO REDSO STAFF'S EFFECTIVENESS IS THE POWERFUL SYNERGY ACHIEVED BY THEIR TECHNICAL KNOWLEDGE OF PROBLEMS IN THE REGION, COMBINED WITH SOLID AND INNOVATIVE SOLUTIONS AND LESSONS LEARNED WHICH REDSO STAFF CAN BRING TO BEAR ON BILATERAL PROGRAMS.

34. ACTION: GIVEN THE ABOVE CATCH 22 SITUATION, USAID/W'S ADMONITION FOR REDSO TO DECREASE OR ELIMINATE TECHNICAL SERVICES IS PROBLEMATIC AND MAY ACTUALLY RESULT IN SIGNIFICANT WORKLOAD INCREASES TO BOTH BILATERAL MISSIONS AND REDSO. WE THEREFORE REQUEST THE AFRICA BUREAU TO REVISIT THE REDSO/ESA SERVICE ROLE FOR THIS REGION AND DISCUSS IT WITH THE DIRECTORS AT THE UPCOMING MEETING IN WASHINGTON. WE ALSO REQUEST MISSION ADDRESSEE INPUT OR SUGGESTIONS ON THIS ISSUE AS WELL.

CLARIFICATION POINT NO. 6: STAFFING

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35. REFTEL A STATES THAT REDSO SHOULD PLAN ON A STRAIGHTLINED USDH FIGURE OF 20 (ALTHOUGH THIS WAS REDUCED TO 19 ON FEBRUARY 23). REFTEL ALSO STATES THAT REDSO SHOULD PLAN FOR A MODEST DECLINE IN FSN AND PSC FIGURES AS PLANNED CONSOLIDATION WITH CORE KENYA FUNCTIONS PROCEEDS AND BOMB RELATED ACTIVITIES WIND DOWN.

36. REDSO HAS SERIOUS CONCERNS ABOUT THESE STAFFING PARAMETERS, AS THE FOLLOWING ILLUSTRATES: (1) REDSO HAS NOT REALIZED ANY BENEFIT OF CONSOLIDATION OF CONTROLLER FUNCTIONS WITH USAID/KENYA BECAUSE THE KENYA MISSION HAS CHOSEN TO MAINTAIN ITS CONTROLLER STAFF INDEPENDENT FROM REDSO/RFMC. (2) REDSO HAS BEEN INSTRUCTED TO ASSUME RESPONSIBILITY FOR THE BULK OF FIELD IMPLEMENTATION FOR THE $35 MILLION GREAT LAKES JUSTICE INITIATIVE (GLJI). THIS INCLUDES DIRECT

RESPONSIBILITY FOR ALL ACTIVITIES IN BURUNDI AND CORE SUPPORT SERVICES IN FINANCIAL MANAGEMENT/ACCOUNTING, LEGAL AND CONTRACTING FOR RWANDA AND DROC. TO DATE WE HAVE ONLY RECEIVED AUTHORIZATION TO HIRE ONE PROGRAM FUNDED USPSC TO MONITOR BURUNDI ACTIVITIES. WE HAVE GOTTEN NO RELIEF ON THE ADDITIONAL BURDEN GLJI IMPLEMENTATION HAS PLACED ON REDSO STAFF. (3) REDSO HAS BEEN INSTRUCTED TO INCREASE THE SUDAN STAR PROGRAM

FROM $ 9 MILLION TO $15 MILLION AND TO INCREASE THE PROGRAM'S GEOGRAPHIC COVERAGE THROUGHOUT SOUTHERN SUDAN. STAR IS CURRENTLY BEING MANAGED BY ONLY ONE USPSC, INADEQUATE FOR EVEN CURRENT--LET ALONE GREATLY EXPANDED -- ACTIVITIES (4) TO IMPLEMENT PROGRAMS IN NON PRESENCE COUNTRIES, AS MANDATED IN REF (A), REDSO CURRENTLY HAS ONLY 1 USDH, 3 USPSCS (2 FOR SOMALIA, 1 FOR SUDAN/STAR) AND 2 FSNPSC PROGRAM SUPPORT STAFF. GIVEN THE COMPLEXITY OF THE NPC OPERATING ENVIRONMENTS AND THE VULNERABILITIES INHERENT IN MANAGING SUCH PROGRAMS FROM AFAR, REDSO CANNOT RESPONSIBLY PROVIDE ADEQUATE OVERSIGHT WITH SUCH A SKELETAL STAFF. (5) REDSO'S PHN OFFICE HAS BEEN TASKED WITH COORDINATION OF ESA REGIONAL HIV/AIDS ACTIVITIES UNDER THE $100 MILLION LIFE PRESIDENTIAL INITIATIVE. CURRENTLY REDSO HAS ONLY ONE HIV/AIDS ADVISOR, A FELLOW, WHO'S PLATE IS ALREADY OVERFLOWING WITH OTHER REGIONAL RESPONSIBILITIES/SERVICES.

37. THE ABOVE EXAMPLES ARE ONLY INDICATIVE AND NOT ALL-INCLUSIVE. RED80 RECEIVES INNUMERABLE AD.HOC REQUESTS--LARGE AND SMALL--FOR ASSISTANCE IN IMPLEMENTING AGENCY OR STATE INITIATIVES, RANGING FROM THOSE MENTIONED ABOVE TO THE NILE BASIN INITIATIVE, WATER HYACINTH CONTROL IN LAKE VICTORIA, THE BURUNDI PEACE PROCESS IN ARUSHA, THE IGAD PEACE PROCESS FOR SUDAN, REFUGEE RESETTLEMENT IN NORTHWESTERN SOMALIA, ETC. ETC. WHILE IT IS FACILE TO SAY QUOTE DO LESS WITH LESS UNQUOTE, REDSO'S EXPERIENCE, AS THE ONLY REMAINING FULL SERVICE REGIONAL USAID MISSION IN AFRICA, IS THAT

ADMINISTRATION INITIATIVES AND OTHER POLITICAL IMPERATIVES INEVITABLY COME OUR WAY. WE CANNOT SIMPLY QUOTE SAY NO.UNQUOTE

38. THE CAPSTONE TO THIS DILEMMA IS REDSO'S

DRASTICALLY REDUCED OE AND USDH LEVELS, WHICH WILL HIT HARDEST BEGINNING IN FY 2001. THE LATEST BUREAU CUTS IN USDH LEVELS (TO 19) WILL MEAN DRASTIC CHOICES. WE CANNOT RESPONSIBLY CUT POSITIONS IN OUR CORE SERVICES (WHICH HAVE BEEN ALMOST IMPOSSIBLE TO KEEP FILLED AT ANY RATE). CURRENTLY THESE CORE POSITIONS TOTAL 14 (4 RCOS, 3 RLAS, 3 RFMC, 2 FFP AND THE DIR/DDIR). WE CANNOT CUT OUR SUPERVISORY PHN, OUR NPC OFFICE CHIEF, OR THE CHIEF OF OUR PROGRAM DEVELOPMENT OFFICE (ALL ARE ALREADY FAR OVERBURDENED). NOR CAN WE CUT OUR GHAI/FOOD SECURITY USDH SLOT, GIVEN THE INITIATIVES HIGH PRIORITY. THIS WILL MEAN THAT WE ELIMINATE TWO OF THE FOLLOWING THREE SLOTS: A MUCH NEEDED SECOND USDH PROGRAM OFFICER/PDO (VACANT FOR THE LAST 18 MONTHS) OR THE USDH, TEAM LEADERS OF OUR AGRICULTURE OR ECONOMIC GROWTH TEAMS (ALREADY SKELETAL IN NUMBER). THE RAMIFICATIONS OF ANY OF THESE CUTS WILL BE FELT THROUGHOUT THE REGION.

39. THESE STAFFING CONSTRAINTS PALE, HOWEVER, IN RELATION TO THE KENYA COMPLEX'S ANTICIPATED OE SHORTFALL IN FY 2001 OF APPROXIMATELY $1.6-$1.85 MILLION. IF NO RELIEF IS FOUND, REDSO (AND USAID/KENYA) WILL NOT BE ABLE TO SUPPORT CURRENT LEVELS OF USDH, USPSC OR FSNPSC STAFF. IN SHORT, WE CANNOT GET THERE FROM HERE: THERE IS AN INCREASINGLY YAWNING CHASM BETWEEN REDSO'S RESOURCES (PROGRAM, OE AND STAFF) AND ITS MANDATE.

40. ACTION: WITH CONTINUED REDUCTIONS IN USDH STAFF, REDSO WILL NEED AUTHORITY TO HIRE ADDITIONAL OE AND PROGRAM FUNDED USPSCS AND FSNPSCS IF WE ARE TO BE ABLE TO ADEQUATELY COVER THE REGIONAL PROGRAM MANDATE, NPCS AND SERVICE OUR BILATERAL MISSIONS. REDSO WILL SUBMIT A DETAILED WORKFORCE REQUEST AS PART OF OUR 2002 R4 REQUEST, SUBSEQUENT TO FURTHER GUIDANCE FROM USAID/W.

CLARIFICATION POINT NO. 7: REDSO STRATEGY DIRECTIONS

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41. REDSO/ESA WOULD LIKE TO PROCEED WITH THE DEVELOPMENT OF A STRATEGY THAT HAS REGIONAL CAPACITY BUILDING AS ITS FOCUS. WE BELIEVE THIS APPROACH IS

NEEDED IN THE ESA REGION AND THAT REDSO IS THE USAID OPERATING UNIT BEST POSITIONED TO UNDERTAKE SUCH ACTIVITIES. HOWEVER, WE CANNOT REASONABLY CONTINUE IN THIS DIRECTION WITHOUT SOME RESOLUTION TO THE ISSUES IDENTIFIED IN THIS CABLE. THIS CABLE RE-OPENS THE PARAMETERS PROCESS FOR REDSO/ESA. MANY OF THE POINTS RAISED ABOVE WILL HAVE TO BE CLARIFIED WITH OUR CLIENT MISSIONS AND WE RECOGNIZE THIS WILL TAKE TIME. FURTHER, THE DEPARTURE OF REDSO'S DIRECTOR AND DEPUTY DIRECTOR WITHIN THE NEXT FEW MONTHS, FOLLOWED BY A CHANGE OF ADMINISTRATION LATER IN THE YEAR, COULD POSSIBLY CHANGE THE COURSE OF DIRECTION FOR THE REGION. IN ORDER TO NOT LOSE THE MOMENTUM MADE TO DATE IN RATIONALIZING THE REDSO/ESA REGIONAL PROGRAM, REDSO PROPOSES THAT IT BE ALLOWED IT MOVE FORWARD IN DEVELOPING AN INTERIM REVISED STRATEGY THAT COULD INCLUDE THE FOLLOWING COMPONENTS.

42. A STAND-ALONE HEALTH STRATEGIC OBJECTIVE, GHAI STRATEGIC SUPPORT OBJECTIVES FOR FOOD SECURITY AND CONFLICT AND A STRATEGIC SUPPORT OBJECTIVE FOR SERVICES. A SPECIAL OBJECTIVE FOR INFORMATION TECHNOLOGY SHOULD ALSO BE CONSIDERED. REDSO WOULD ALSO MAINTAIN RESPONSIBILITY FOR MANAGING THE SUDAN, SOMALIA AND BURUNDI PROGRAMS. THIS WOULD ALLOW ONGOING ACTIVITIES TO BE CONTINUED TO THE EXTENT POSSIBLE BUT NO MAJOR NEW DIRECTION WOULD BE UNDERTAKEN. THIS STRATEGY OPTION COULD BE PRESENTED BY MID-SUMMER.

43. ACTION: BUREAU VIEWS AND RECOMMENDATIONS ON HOW REDSO SHOULD PROCEED WITH ITS STRATEGY DEVELOPMENT OVER THE COMING MONTHS ARE REQUIRED. CARSON
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TAGS:
SUBJECT: REDSO STRATEGY PROCESS: RESPONSE TO POINTS
OF CLARIFICATION

REF: NAIROBI 2038

THIS MESSAGE RESPONDS TO NAIROBI 2038 WHICH REQUESTED
CLARIFICATIONS ON A NUMBER OF STRATEGY-RELATED POINTS.
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AFR/EA BELIEVES THAT REDSO, BY VIRTUE OF ITS
ON-THE-GROUND, FIELD PERSPECTIVE, IS IN THE BEST
POSITION TO KNOW WHAT RESULTS ARE POSSIBLE WITH THE
RESOURCES AVAILABLE TO THEM. THROUGH ITS UPCOMING
STRATEGY SUBMISSION, REDSO IS STRONGLY ENCOURAGED TO
TELL AID/W WHAT IS FEASIBLE AND, MORE TO THE POINT,

WHAT IS NOT FEASIBLE AND HOW FEASIBLE RESULTS (AS DEFINED BY REDSO) CAN BE ACHIEVED IN THE MOST EFFICIENT AND EFFECTIVE WAY POSSIBLE. WE ENCOURAGE THE MISSION TO BE AS CREATIVE AND AS FLEXIBLE AS POSSIBLE AND KNOW THAT THE MISSION WILL CONTINUE TO SEEK THE HIGHEST LEVEL OF RESULTS ATTAINABLE WITH THE MOST EFFICIENT USE OF RESOURCES. WE ARE CONFIDENT THAT REDSO CAN DESIGN A STRATEGY THAT CREATIVELY ADDRESSES AND PRIORITIZES ALL USG MANDATES WHILE WORKING WITHIN THE CONSTRAINTS OF THE LIMITED RESOURCES AVAILABLE.

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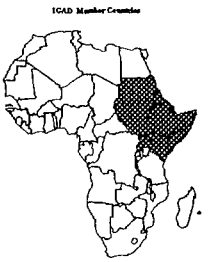
ANNEX TWO: PARTNER PROFILES

INTERGOVERNMENTAL AUTHORITY ON DEVELOPMENT (IGAD)

IGAD, revitalized in 1995, expanded its role towards greater regional cooperation in three priority areas of: conflict prevention, management and resolution and humanitarian affairs; infrastructure development (transport and communications); and food security and environment protection among seven-member states (Ethiopia, Eritrea, Djibouti, Kenya, Somalia, Sudan, and Uganda).



Within these three broad goal areas, the organization has several objectives that converge with REDSO's objectives outlined in this strategy. These include:

- *Promoting joint development strategies and gradually harmonizing macro-economic policies and programs in the social, technical and scientific fields;*
- *Harmonizing policies with regard to trade, customs, transport, communications, agriculture, and natural resources, and promoting free movement of goods, services, and people within the sub-region;*
- *Creating an enabling-environment for foreign, cross-border and domestic trade and investment;*
- *Initiating and promoting programs and projects to achieve regional food security and encouraging and assisting efforts of Member States to collectively combat drought and other natural and human-made disasters and their consequences; and*
- *Promoting peace and stability in the sub-region and creating mechanisms within the sub-region for the prevention, management and resolution of inter-State and intra-State conflicts through dialogue.*

IGAD has been a key partner in the Greater Horn of Africa Initiative (GHAI) and is therefore an important partner in the current REDSO strategy as it seeks to converge with the GHAI Strategy. The organization has significant institutional weakness and its effectiveness has been hampered by the Eritrea-Ethiopia war. However, there is a recognized organizational vacuum in the region for policy analysis, coordination and monitoring and African leaders have indicated that IGAD is an appropriate sub-regional institution to assume this role. The REDSO partnership with IGAD will enable IGAD to become a viable regional coordinator for food security strategies and conflict management strategies.

REDSO's partnership with IGAD will include technical and institutional capacity strengthening support in food security, conflict, and ICT. The design phase for most project profiles that REDSO is supporting is due to conclude in late CY2000 and future funding has not yet been determined. Additional support is likely in the conflict sector. REDSO will continue to provide financial and human resources to strengthen IGAD as an institution in the areas of procurement and financial management, strategic planning, program management, external relations, and partner coordination. An institutional assessment of IGAD will be conducted during 2000 and will provide a more detailed action plan for REDSO on this front.

COMMON MARKET FOR EAST AND SOUTHERN AFRICA (COMESA)

COMESA, replacing the Preferential Trade Area in 1981, was established in 1994 and includes 21member countries (Angola, Burundi, Comoros, Democratic Republic of Congo (DRC), Djibouti, Egypt, Eritrea, Ethiopia, Kenya, Madagascar, Malawi, Mauritius, Namibia, Rwanda, Seychelles, Sudan, Swaziland, Tanzania, Uganda, Zambia, and Zimbabwe).

COMESA envisions achieving economic integration in East and Southern Africa. Its strategy is based on regional cooperation, including peace and security, in core program areas of trade, investment, infrastructure and science and technology development.

COMESA's priority objectives are fundamental to food security and peace in the region by:

- *Attaining sustainable growth and development of member states through harmonized development of national and regional production and marketing structures;*
- *Promoting joint economic development to raise the standards of living;*
- *Creating an enabling environment for foreign, cross-border and domestic investment; including joint promotion of research, science and technology for development;*
- *Promoting peace, security and stability among member states to enhance economic development;*
- *Developing a common regional position in international forums; and*
- *Contributing to the establishment, advancement and realization of the objectives of the African Economic Community.*

While COMESA has made significant progress in reaching regional integration, many challenges remain to achieve this ambitious agenda. In light of the depth and breath of COMESA's vision, REDSO assistance to strengthen the "nuts and bolts" of program implementation as a result of an overwhelmed and limited staff will further advance COMESA's objectives. REDSO's partnership with COMESA builds on COMESA's successes and will strengthen COMESA to achieve food security through conflict prevention, trade and investment liberalization, and technological harmonization. This will position COMESA to address long-term sustainable development issues. COMESA realizes the importance of regional stability for economic growth and believes member states participation in the development of the Peace and Security Protocol is important to achieve this.

REDSO's partnership with COMESA includes strengthening of technical and institutional capacity in the areas of regional communication harmonization, trade and transport, conflict prevention mitigation and resolution, and encouraging the participation of civil society, the private sector and community based organizations in the development and realization of its vision.

THE EAST AFRICAN COMMUNITY (EAC)

The EAC is a sub-regional intergovernmental organization, providing leadership, regional integration of economic, social and political policies, with the attendant implication of freer flow of services, peoples and trade in Kenya, Tanzania, and Uganda.

The EAC has identified economic co-operation as the key priority for the region that would form a basis for political integration in the long term. In this regard, the EAC's immediate focus is on policy harmonization and co-ordination and the development of adequate and reliable economic infrastructure in the telecommunications, road, railways, ports, aviation and energy sectors. Emphasis also includes the promotion of investment, tourism, trade and industry as well as the development of technological capacities in order to enhance competitive production. Development of these areas is aimed at building capacity for sustainable development in the region.

Through regional co-operation, EAC seeks to achieve the following objectives:

- *Establish an internationally competitive single market and investment area;*
- *Promote sustainable utilization of natural resources and effective environmental protection;*
- *Enhance the role of women in development;*
- *Promote peace, security and good neighborliness; and*
- *Strengthen and consolidate cooperation to uplift the living standards and quality of life of people.*

Since the treaty was signed on November 30, 1999 that enacts a common market area, the EAC still needs to convince member states to remove barriers and make the necessary compromises to move towards a free trade area (FTA). The EAC has approached REDSO to collaborate in efforts to provide information and data through short regulatory, administrative and policy studies, and training on the benefits and opportunities of a free trade area. With solid research and data, the EAC believes the member states will accelerate regional integration, enhance food security and improve standards of living.

Specifically, REDSO is partnering with the EAC to improve trade and transport policy harmonization activities as they relate to food security. REDSO will work to coordinate regional environmental policies that facilitate economic growth while protecting the region's environmental integrity. The EAC acknowledges the need for assistance in implementing their "Development Strategy 1997-2000," particularly in addressing key priority areas of economic cooperation in sub-regional food-security issues. These include: improving EAC's financial management systems, networking with the private sector, technical and organizational capacity to follow-up on program implementation, and information dissemination to stakeholders. These areas will strengthen EAC's considerable progress to re-establish a common market area by removing the barriers to advance regional integration and re-generate the EAC's reputation as a sub-regional leader.

ASSOCIATION FOR SUPPORT TO AGRICULTURAL RESEARCH IN EAST AND CENTRAL AFRICA (ASARECA)

ASARECA is a regional, non-political organization that brings together National Agricultural Research Institutes (NARI's) from 10 countries in East and Central Africa (ECA): Democratic Republic of Congo (DRC), Eritrea, Ethiopia, Kenya, Madagascar, Rwanda, Burundi, Sudan, Tanzania, and Uganda.

ASARECA's primary objective is "*to promote regional economic growth by developing, introducing and disseminating agricultural technologies which both create markets and respond to prevailing and future economic opportunities for new technologies, as well as maintaining the long term sustainability of the agricultural resource base.*" This will be achieved by interacting with approximately 20 commodity and research support networks, research institutions, U.S. land-grant universities, regional political organizations, non-governmental organizations, the private sector, farmers and consumers.

REDSO proposes to strengthen ASARECA's institutional capacity to advance their regional agenda to develop market-oriented agricultural research, improve agricultural support networks, implement regional activities and market ASARECA's program to donors and stakeholders. ASARECA's increased capacity in agriculture research will positively impact food security and economic growth in the region.

Specifically, REDSO will assist ASARECA in administrative and financial management and develop their capacity to administer grants, carry out procurement and provide support services to the research networks for which it has regional oversight. ASARECA will reduce its dependence on donors and the international research centers for procurement of goods and services.

Since ASARECA's newly completed regional strategy is oriented to develop research programs that are market-oriented and demand-driven, ASARECA will need to develop increased capacity to carry out sector and sub-sector analysis identifying critical food security research areas. To achieve its strategy objectives and regional research agenda, ASARECA will need mechanisms which reward the programs areas (market-oriented research) that best respond to ASARECA's goal to enhance economic growth from agriculture in the region. The ASARECA Executive Secretariat also has identified the need to develop a program planning, monitoring and evaluation unit to further solidify their strategy and downward linkages to their activities.

With some fine-tuning of vision and governance, ASARECA can increase its regional impact and sponsor the development technologies that increase productivity and economic growth on a wide scale. REDSO can assist to improve these alliances and political linkages by forming strategic partnerships with other regional entities in the public and private sectors such as the EAC, IGAD and the OAU. This best utilizes and strengthens both REDSO's and ASARECA's comparative advantage in the region to improve food security.

TRANSIT TRAFFIC COORDINATION AUTHORITY FOR THE NORTHERN CORRIDOR (NC-TTCA)

NC-TTCA Member Countries

Established in 1985, the northern corridor TTCA is an organization of five countries including; Burundi, Democratic Republic of Congo (DRC), Kenya, Rwanda and Uganda, with a mandate to assist member states in their efforts to formulate and implement appropriate transit transport policies and programs.

The primary focus of TTCA is to *"promote regional integration through facilitation of transit transport in order to facilitate trade and investment in the region."* To achieve this, the TTCA is mandated to review transit traffic laws including administrative and regulatory policies at all ports of entry and exits and transport policies. The TTCA's priority objectives are fundamental to food security in the region since people, goods and services are dependent on the transport system.

To attain sustainable growth and development in its region, TTCA aims to attain a cost-effective and reliable transit transport system leading to lower consumer production factors, expanded trade, economies and food production, resulting in food price stability through its influence on the cost of agricultural inputs.

The TTCA will promote co-operative arrangements among the member States and improve transportation systems in order to facilitate access of food production from the farm (or from foreign suppliers) to the market. This will provide a stable corridor for the crucial success of emergency interventions by governments, NGOs and the international community in case of famines or other disasters.

The TTCA requires REDSO's support to achieve its objectives through institutional strengthening in management, technical skills and program implementation. The TTCA requires greater capacity to lead implementation of reforms in areas of axle-load regulations, road safety, customs documentation and a regional customs security system. REDSO will work to improve information storage and sharing among members as well as collaborate with the TTCA to foster a dialogue with the private sector on various initiatives.

Assisting the TTCA to build on its existing programs and fine-tune its institutional capacity will further solidify TTCA's reputation as a regional leader in transit-traffic facilitation and trade integration. Since transportation and trade are inextricably linked to food security, partnering with TTCA is central to regional food security.

ORGANIZATION OF AFRICAN UNITY
INTER-AFRICAN BUREAU FOR ANIMAL RESOURCES (OAU/IBAR)

OAU/IBAR Member Countries

OAU/IBAR is a specialist technical body of the OAU, with the mandate of promoting livestock development throughout the African Continent. As an African institution, OAU/IBAR works through a Council of Ministers responsible for livestock from OAU's 52 member states. The organization, founded in 1951, is based in Nairobi and largely funded by the OAU, with additional assistance from bilateral and multilateral donors.

OAU/IBAR is uniquely positioned in the GHA region to address food security issues related to livestock production and marketing. Its goals are targeted towards one of the most vulnerable sectors in the GHA, pastoralist communities. OAU/IBAR fosters productive policy change and promotes the control of animal diseases, increased animal production and transboundary trade of livestock and livestock products.

OAU/IBAR's key objectives are to:

- *Coordinate activities of all OAU member states in the field of animal health and production;*
- *Collect, collate and disseminate information in all aspects of animal health and production;*
- *Initiate, develop and execute projects in the field of animal health and production; and*
- *Cooperate with appropriate authorities of member states, regional groups, intergovernmental and international organizations.*

OAU/IBAR has demonstrated effective leadership in rinderpest control, privatization of veterinary services, introduction of community based animal health care delivery systems, promotion of standardized tariffs and the reduction of non-tariff trade barriers. Their activities have helped improve rangeland management and protect diverse wildlife populations. With support from USAID and other donors, OAU/IBAR has led the regional campaign to eradicate rinderpest, a major disease that once decimated cattle herds throughout Africa. A final foci of rinderpest remains in southern Sudan and SW Somalia. Strengthening OAU/IBAR's capabilities, in coordination with support from government officials in Sudan, could allow USAID to spearhead the final eradication of rinderpest on the continent, which would have far reaching food security and trade implications for marginalized pastoralists.

REDSO's support to OAU/IBAR will provide institutional capacity building in financial accounting and administrative policies. REDSO will also assist OAU/IBAR with the development of its regional Pastoral Livelihoods Program, which is designed to improve pastoral marketing and production policies, facilitate the delivery of private animal health services, and promote cross-border peace in traditional pastoral areas throughout the region. The support provided by REDSO will be supplemented by funding from several USAID missions and OFDA for specific program activities.

AFRICAN CENTRE FOR TECHNOLOGY STUDIES (ACTS)

ACTS is an African led, international policy research and capacity strengthening organization created in 1988. The Center has recently acquired new legal status as a semi-governmental international body focusing on science and environmental policy research and development for Africa. The Center's mission is to enlarge the range of policy choices for Africa's sustainable development related to science, technology and environmental activities in the region.

ACTS has emerged as a leading independent African policy research and development institution working on issues linking natural resource management and community empowerment. Over the past 11 years, the Center has demonstrated the importance of independent policy research and development in Africa. In doing so, ACTS has helped improve the policy development and implementation process at the local, national and regional levels. More recently, ACTS has been involved in promoting the concept of environmental governance with greater emphasis on the role of national constitutions in enlarging ecological stewardship in the region.

With the majority of the region's people dependent upon access to natural resources, ACTS plays a key food security role. ACTS' development and promotion of new policy options helps assure equitable access to resources for local communities. Their activities create the policy and governance framework required to foster sustainable community based management of the region's diverse natural resource base.

Current research and NRM policy areas of high priority to ACTS include:

- *Ecological Sources of Political Conflict in Sub-Saharan Africa;*
- *Economic Liberalization, Laws and Institutions to Prevent Conflict Over Water Resources in Eastern Africa;*
- *Africa Biodiversity Outlook—Ecosystem Trends and Assessment of Policies and Institutions;*
- *Implications of Land Tenure Reforms for Climate Change Adaptation in Africa; and*
- *Decentralization of Natural Resources Management in Eastern and Southern Africa.*

With REDSO's support, ACTS' will strengthen its financial and personnel management capabilities, upgrade its information acquisition and management systems, build the capacity of its partners and clients to effectively utilize its research results, and develop partnerships with a broad array of NGOs engaged in natural resource management activities throughout the region. With assistance from USAID, ACTS will be able to better apply research and affect regional policy processes. They will also identify measures to promote and implement improved policies for the management of transboundary natural resources. These interventions are essential to assure that local communities can effectively control and manage the diverse natural resources on which they depend.

WESTERN INDIAN OCEAN MARINE SCIENCES ASSOCIATION (WIOMSA)

WIOMSA Member Countries

WIOMSA is a regional NGO dedicated to the educational, scientific and technological development of all aspects of marine sciences, as well as the sustainable use and conservation of the region's coastal and marine resources. WIOMSA's geographic scope covers five coastal (Somalia, Kenya, Tanzania, Mozambique and South Africa) and five island (Comoros, Madagascar, Seychelles, Mauritius, and Reunion) nations. The Secretariat of WIOMSA is hosted by the Institute of Marine Sciences of the University of Dar es Salaam, located on Zanzibar, where the Association has been registered since 1994.

With a view to sustaining the use and conservation of the coastal and marine resources of the Western Indian Ocean Region, the objectives of the Association are:

- *To promote and advance educational, scientific and technological development in all aspects of marine sciences;*
- *To provide a forum of discussion and dissemination of information on subjects related to marine sciences and coastal resource management;*
- *To encourage the support of marine related research, development and educational activities undertaken by governments, other NGOs, and the private sector; and*
- *To promote and foster inter-institutional linkages within and outside the region.*

WIOMSA is actively participating in the building of coastal resource management, science, and technological capacity of the region. It is working to improve communication among the scientific and coastal management community of WIO states and increase awareness of marine issues and their importance. WIOMSA's timely actions to enhance science-based, democratic decision making processes are essential to sustainable and equitable management of the region's coastal zones. The success of WIOMSA's actions will have a major impact on food security for one of the region's fastest growing populations and poorest areas.

REDSO is strengthening WIOMSA's capacity as an effective regional institution by supporting strategic planning activities, improving its financial management capabilities, and by helping WIOMSA establish a regional Coastal Resource Management Capacity Building Program (CRMCBP) REDSO's funding also directly supports bilateral programs in Kenya and Tanzania.

REDSO's support will increase the sustainability of WIOMSA's CRM Capacity Building Program and increase the organization's overall effectiveness by training the CRMCBP Coordinator to develop, organize and fund on-going training activities, and by establishing a cadre of CRM practitioners within national institutions who can lead future training programs.

EASTERN AND SOUTHERN AFRICAN BUSINESS ORGANIZATION (ESABO)

Created in 1994, ESABO is a private sector managed confederation of African companies and business associations representing 25 countries. The countries include: Angola, Botswana, Burundi, Comoros, Democratic Republic of Congo (DRC), Djibouti, Eritrea, Ethiopia, Kenya, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Rwanda, Seychelles, Somalia, South Africa, Sudan, Swaziland, Tanzania, Uganda, Zambia, and Zimbabwe.

ESABO Member Countries

ESABO's vision is to *"promote regional economic cooperation to achieve increased trade and development and improve the standard of living and quality of life of the people in the region."* Specifically, ESABO objectives are to promote cooperation between states in the region so as to enhance investment, trade and promote regional integration among the various sub-regional organizations like SACD, IGAD, EAC and COMESA.

ESABO also has played an important role in the removal of trade sanctions in Burundi and is creating a niche to become an effective voice for domestic and regional policy reform. This role relates to another objective which is to coordinate points of view from businesses, then convey and represent these views to the regional political organizations and other institutions that influence the business environment such as COMESA and SADC.

ESABO wants to become a more effective and self-sufficient revenue generating institution that provides business and membership services to its current and projected membership, however, staff and resource constraints have ailed the organization since its inception. ESABO requires assistance to promote the collection, interpretation, and dissemination of business information useful to its members and publicize their policies and activities. ESABO also plays an important role in creating interest, awareness and professional participation of the private sector in enhancing regional food security.

REDSO's support to help achieve ESABO's objectives will include technical assistance to strengthen the Secretariat's policy, technical and organizational capacity needed to play an effective regional private-sector voice in development efforts. REDSO will provide support to increase membership, improve the accountability of ESABO' s governing bodies to its members, and enhance membership services as well as support the development and consolidation of partnerships with U.S. business associations such as the World Trade Center of Chicago and the Corporate Council on Africa.

Providing ESABO with the tools necessary to build business-association capacity lays the foundation for its future sustainability and growth. Partnerships will foster the creation of strong commercial and membership-driven activities necessary for longevity. Therefore, ESABO will play a greater role in promoting food security and contribute to the access and availability of food by encouraging civil society participation in the economy and increased private-sector voice in public policy formulation.

THE CENTRE FOR AFRICAN FAMILY STUDIES (CAFS)

Headquartered in Nairobi, with a regional office located in Lome, Togo, CAFS is an African regional institution that provides training, technical assistance and research services to sub-Saharan organizations providing reproductive and family health services.

Founded by the International Planned Parenthood Federation (IPPF) in 1975, CAFS is now an autonomous international non-governmental organization with a governing board composed of international experts in the field of reproductive health and population.

USAID today is the leading external donor, but other funding is provided by IPPF, the World Bank, and the Packard and Rockefeller Foundations, as well as from fee income from courses and technical consultations. CAFS has sound leadership, a qualified but lean technical staff, and a gradually expanding client base. It must be noted, however, that CAFS' clients, principally African NGOs and government ministries, typically are on modest or meager budgets and seldom are able to pay the kind of prices that would move the organization swiftly toward financial self-sufficiency.

In addition to teaching courses in advocacy, community empowerment, and consultant skills, CAFS has had many years of experience offering short courses in population communications, clinical training of trainers, management of reproductive health programs, and research and evaluation. Through its technical consulting services, CAFS focuses on institutional capacity building and on enhancing collaboration and building alliances among reproductive and family health organizations. To respond to sector needs, CAFS' activities are increasingly focusing on HIV/AIDS and Child Survival and health sector reform. In sum, CAFS fills a multi-faceted need in the region and is a valuable partner in the sector. In particular, CAFS will work with USAID to enhance capacity-building, training, and networking in the NGO sector.

REDSO will support CAFS in continuing to expand the scope of its operations from its earlier focus on family planning to taking a wider role in promoting improved reproductive health, including HIV/AIDS prevention and care, in the region. This will include establishing improved information systems that will promote greater use of African expertise, including the development of a consultants' database; expanding the range of courses; and taking a broader leadership role in bringing together African NGOs working in reproductive health. REDSO will also continue to provide a level of core support to CAFS to support continued strengthening of CAFS' organizational and technical capacity.

THE COMMONWEALTH REGIONAL HEALTH COMMUNITY SECRETARIAT (CRHCS)

The CRHC, a policy-making body formed in 1974, is comprised of 14 member states of East and South Africa (ESA). Ministers of Health of member governments constitute the CRHC Council of Ministers, the highest regional governing body in the ESA health community. These Ministers meet annually to review national health activities and to elaborate regional priorities. The CRHC Secretariat (CRHCS) is mandated with operationalizing the regional agenda and implementing regional health initiatives identified by the Council of Ministers. CRHCS manages three technical programs, namely Family and Reproductive Health, Food Security and Nutrition, and Human Resources and Capacity Building. CRHCS is expanding its Information Technology and Dissemination Program. It is also broadening its regional support of technical issues by adding a regional Health Care Financing Program to promote cost-effective strategies for health care reform and resource mobilization.

In line with its 1999-2004 Strategic Plan focus on strengthening the regional platform for addressing health challenges, in October 1999 the Council of Ministers resolved to use its technical programs to intensify regional efforts in critical areas such as HIV/AIDS mitigation, food and nutrition security, and health care financing. The Secretariat also endorsed post-abortion contraception. CRHCS acknowledges in its strategic plan that successfully advancing health policy dialogue, regional cooperation and political will to support quality health services will necessitate building the technical and managerial capacity of the Secretariat, facilitating information dissemination, policy dialogue and advocacy development, and improving collaboration and networking among member states.

During the consultative process, CRHCS identified specific institutional and technical needs such as:

- *strengthen the technical and management capacity of the advisory, executive and leadership committees;*
- *expand the public and private sector support of the institutional development plan;*
- *improve technical assistance and support to member states and stakeholders;*
- *integrate a strategic approach into the regional health policy program support; and,*
- *broaden the scope of strategic partnerships.*

These are illustrative organizational and technical needs that the REDSO program can address through its focus on improving organizational viability, expanding use of critical information and skilled technical resources, and broadening policy dialogue. REDSO's support will focus on strengthening tools and systems for monitoring and evaluation of regional health policy; expanding partnerships and networking; and, improved implementation of CRHCS' strategic and institutional development plans.

The CRHCS Secretariat, which is based in Arusha, Tanzania, is a focal point for health policy formulation in the region. REDSO's association with the CRHCS offers a unique opportunity to be involved in the promotion of regional health policy dialogue.

THE REGIONAL CENTRE FOR QUALITY OF HEALTH CARE (RCQHC)

The RCQHC is the youngest of REDSO/PHN's three major partners, but is firmly lodged in one of the region's oldest and most prestigious institutions: Makerere University in Kampala, Uganda. Located within the Institute of Public Health in Makerere's Faculty of Medicine, the RCQHC's vision is to become a center of excellence advancing the quality of health care in Africa.

The RCQHC was officially recognized in August of 1999. But the initial impetus for the Centre's establishment came from the Regional Quality of Health Care Network, a group of over 1000 health care professionals from 18 nations, working in ministries of health, NGOs, and the private sector in East and Southern Africa. This network, originally managed out of REDSO, was institutionalized at Makerere University to ensure its long-term survival.

Makerere University, through the RCQHC, will offer a Graduate Diploma course in quality of health care with the aim of training a critical mass of health care providers and managers in the public and private sectors in the region. In addition, a series of short courses will be offered throughout East and Southern Africa in the Centre's technical focus areas of reproductive health, maternal and child health and infectious diseases and its process areas of guidelines and standards, training, logistics, supervision, quality assurance and cost containment.

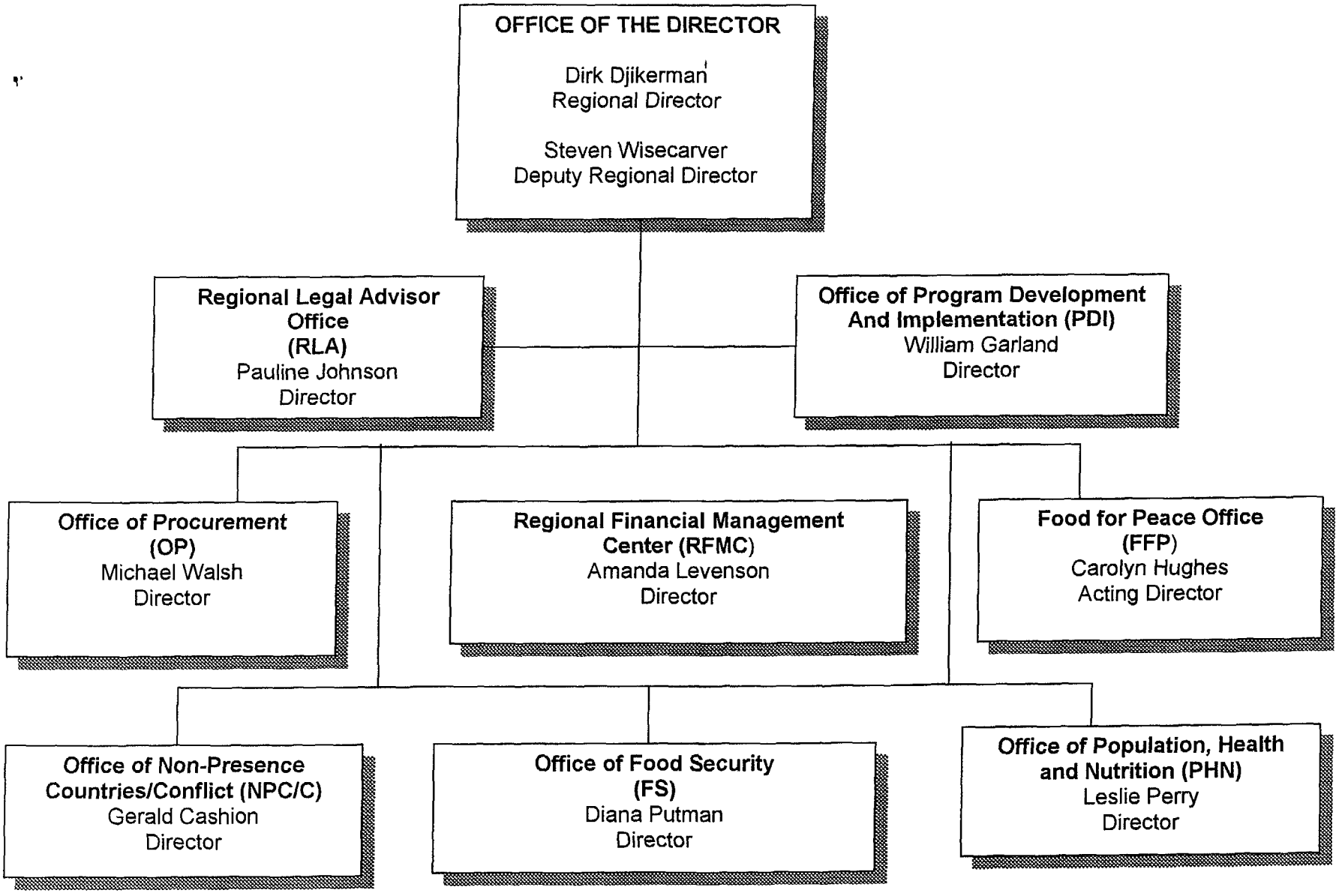
The RCQHC employs technical advisors who lead these education and training activities but also promote the technical and process focus areas through networking; technical assistance to governments; documentation and dissemination of better practices; and intervention-linked research.

While the Regional Centre is already undertaking many activities, the organization is still nascent and requires support in a number of areas in order to function at its full capacity. REDSO will support the recruitment and capacity building of staff and the strengthening of the financial, administrative and management systems of the Regional Centre. In turn, the Centre, through support from REDSO, will enhance the capacity of health systems in the region through education and training and other activities.

The commitment of energy, dedication and resources from the university and increasingly from other donors augurs strongly in favor of the RCQHC and places it in an ideal position to facilitate improvements to the quality of health care in the region.

ANNEX THREE

REDSO/ESA Organizational Chart



157

Annex IV

USAID/REDSO/ESA Strategy
Environmental Threats and Opportunities Assessment with Special Focus on Biological Diversity and Tropical Forestry

By
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May 2000

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Executive Summary

To undergird its strategy, REDSO undertook an Environmental Threats and Opportunities Assessment, and identified issues and opportunities for adding value to the strategy through integration of environmental considerations. **Environmental technical analysis is judged to be optional for global or regional strategies that cover multiple countries** (ADS Ch. 201-3-3.10, "revised vetting draft "May 2000). Notwithstanding any questions as to requirements, conduct of this Assessment brings the REDSO Strategic Plan into technical compliance with the environmental legal framework applicable to USAID strategic planning, including Sections 118 (Tropical Forests) and 119 (Endangered Species) of the Foreign Assistance Act. Likewise, the integration and application of USAID's Environmental Procedures (22 CFR 216) into all USAID's obligation actions serves also to advance the environmental soundness of REDSO's and the region's bilateral missions' programs.

REDSO has taken seriously the desire to promote programming in a fashion that is as environmentally sustainable as possible, through an integration of its core and technical services in environment and natural resources with the regional E/NRM component of the Food Security S.O. The environmental compliance function promotes environmental quality throughout the region's operating units, and is staffed by an FSN position and 50 % of one professional staff. The other 50 % of the latter professional's time is devoted to transboundary environmental programming. An additional PSC and one FSN support the E/NRM regional programming functions. Together, these constitute REDSO's "Environment/ Natural Resource Management" team, which works with all the other operating units in the region.

While REDSO can serve a useful role in ensuring a continued appropriate ESA regional response to environmental issues, given REDSO's designated GHAI coordination and technical services roles, and very limited staffing, development of an "environmental" SO was not deemed appropriate. On the other hand, *all* REDSO SOs, and those of the region, are assisted in considering the environmental implications of their activities. With a strategy designed to address regional food insecurity and recurrent conflict, given the environmental roots of these problems, **REDSO, in order to succeed, must ensure that environmental considerations are fully integrated into its strategy.** Integration means more than having an E/NRM team with its own activities. Integration means that each REDSO SO, office, and team must work with the E/NRM Team to be cognizant of the environmental issues, potential impacts, and integrative strategies relevant to their sector when considering the design, implementation and monitoring of activities.

Section 2 "ESA Regional Environmental Threats" provides an overview of environmental assets, issues, and threats from country-level and regional perspectives, and in the context of thematic areas relevant to the requirements of the Assessment and the needs of REDSO: Biodiversity; Tropical Forests; Freshwater and Marine Resources; Watershed Perspective; Conflict and the Environment; Food Security and the Environment; Health and the Environment; and Institutional Context.

As specifically concerns biodiversity and tropical forest resources, the ESA region contains significant biodiversity resources. For example, three of Conservation International's biodiversity *hotspots* are located within the ESA region. Common threats to ESA region biodiversity and tropical forests resources are discussed. The collective mission response to regional environmental threats is significant and appears generally appropriate. Of particular note is the large focus on biodiversity conservation in countries identified as priority biodiversity (and also tropical forest) areas.

Section 3 "REDSO Strategic Response" reviews the context for REDSO's actions, and considers each component of the strategy in terms of environmental issues, including appropriateness of strategic

choices; potential impacts of activities; issues of environmental compliance; and opportunities for integrating and linking environmental activities and considerations both within REDSO's portfolio and with other USAID activities in the region.

The U.S. development interests that frame the Greater Horn of Africa Initiative (GHAI) and define REDSO's principal strategic focus provide the framework for the strategy. While the GHAI has determined principal strategic directions, numerous opportunities exist for addressing environmental issues within REDSO's strategy. For REDSO's three strategic objectives (SOs); non-presence country activities; and support services, environmental issues and opportunities are presented and discussed. The following highlights some such opportunities for selected REDSO's strategy components:

SO#5: Enhanced African Capacity to Achieve Regional Food Security

- Acknowledge and incorporate link between environmental security and food security in activities;
- Incorporate biodiversity conservation concerns and approaches in agricultural production activities;
- Target areas important for both food security and biological diversity;
- Promote use of trade standards as opportunities to leverage environmental gains;

Regionalize perspectives to account for transboundary nature of ecological systems.

SO#6: Enhanced Capacity for Managing Conflict in the Region

- Raise awareness among GHA mission on the environmental dimensions of conflict;
- Continue work with civil society groups with environment-related agendas as entry points for promoting control over local resources;
- Continue interactions with the Food Security (SO#5) Team that highlight the relationship between conflict and food security.

SO#7: Enhanced Regional Capacity to Improve Health Systems

- Promote integration of environmental health into other "sectors" SOs;
- Target population activities in ecosystems that have high biodiversity; high population density; degraded natural resources; or high food production potential).

SO#8: Effective Services to ESA Missions and Support to Regional Partners

- Promote an understanding of the environmental impacts and mitigation strategies related to the administration of food aid and relief assistance;
- Enhance regional tracking system for environmental compliance of USAID activities;
- Promote and support application of the environmental legal framework for strategic planning during bilateral mission plan development;
- Promote and support interaction between Mission Environment Officers and Environment and Natural Resource Officers in the ESA region;
- Prioritize support to missions in terms of opportunities for convergence of activities with the GHAI;
- Consider international environmental agreements as possible entry points for promoting regional approaches to environmental management.

SO#9: Effective Delivery of U.S. Government Assistance to Non-Presence Countries (NPC)

- Development of ISPs should follow the model of the Sudan ISP, which incorporated a general review of environmental issues up front.
- To identify potential environmental consequences, and to promoter for sound planning, of the wide range of small-scale activities to be supported, an environmental screening and review process should be employed as it also builds local capacity in environmental assessment.

This ETOA is supported by additional information contained in six tables presenting country- and regional level environmental information, as well as a list of reference documents.

Table of Contents

Executive Summary i

Table of Contents iii

1. Purpose of Assessment 1
   1.1. Legal Basis 1
      1.1.1. FAA Section 117/USAID Environmental Regulations 1
      1.1.2. FAA Sections 118 and 119 2
      1.1.3. USAID Guidance 2
      1.1.4. Threats and Opportunities Assessment Process 2
   1.2. Application of Legal Requirements to REDSO Strategy 2
      1.2.1. Applying FAA Sections 118 and 119 2
      1.2.2. Applying FAA Section 117 and the ADS (including Reg. 216) 3
      1.2.3. The Assessment 3

2. ESA Region Environmental Threats 4
   2.1. ESA Environmental Assets and Threats 4
      2.1.1. Biodiversity Resources 5
      2.1.2. Tropical Forests 7
      2.1.3. Freshwater and Marine Resources 8
      2.1.4. Watershed Perspective 9
      2.1.5. Conflict and the Environment 9
      2.1.6. Food Security and the Environment 10
      2.1.7. Health and the Environment 11
      2.1.8. Urbanization Economic Development & Environment 12
      2.1.9. Institutional Context 15
   2.2. USAID Bilateral Environmental Programs 16
      2.2.1. GHA 16
      2.2.2. Southern Africa 16

3. REDSO Strategic Response 18
   3.1. Key Determinants in Priority Setting 18
   3.2. GHAI Strategic Priorities 18
   3.3. Environmental Review of REDSO Strategic Plan 19
      3.3.1. SO#5: Enhanced African Capacity to Achieve Food Security 19
         3.3.1.1. Agricultural Productivity 19
         3.3.1.2. Economic Growth/Trade 20
         3.3.1.3. Environment and Natural Resource Management 21
         3.3.1.4. Opportunities for SO#5 22
      3.3.2. SO#6: Enhanced Capacity for Managing Conflict in the Region 25
      3.3.3. SO#7: Enhanced Regional Capacity to Improve Health Systems 26
      3.3.4. SO#8: Effective Services to ESA Missions and Support to Regional Partners 28
         3.3.4.1. Core Services 28
            3.3.4.1.1. Food Aid, Relief Assistance and the Environment 28
            3.3.4.1.2. Environmental Compliance 29
         3.3.4.2. Technical Services 30

162

3.3.5. SO#9: Effective Delivery of U.S. Government Assistance to Non-Presence Countries (NPC) 31
3.3.5.1. Sudan 32
3.3.5.2. Somalia 33
3.3.5.3. Burundi 34

Annexes

A. Scope of Work
B. References and Resource List
C. Persons Contacted
D. Data Tables
1. Geographic Priorities for Biodiversity Conservation – ESA Region
2. Key Areas for Biodiversity Conservation in Africa – ESA Region
3. GHA Watershed Environmental Profiles
4. ESA Country Forested Resource Profiles
5. Environmental Profiles of Selected REDSO/ESA Client Countries
6. Africa-Wide Environmental Information from Various Sources

1. Purpose of Environmental Threats and Opportunities Assessment

This Assessment supports REDSO/ESA's Strategic Plan by performing two related functions: (1) reviewing plan components within the context of regional environmental threats and identifying issues and opportunities for adding value to those components through environmental considerations; and in doing so, (2) complying with the environmental legal framework[4] and technical area guidance applicable to strategic planning.[5] It should be noted that the language of this framework is targeted towards bilateral mission programs and Country Strategic Plans (CSPs). REDSO's role as implementation coordinator of the regional Greater Horn of Africa Initiative, together with its broader support mandate within the eastern and southern Africa (ESA) region, provides REDSO with an opportunity to creatively – and proactively – apply the environmental framework.

This Section 1 reviews the relevant laws, regulations, and guidance that comprise the environmental legal framework for USAID strategic planning, focusing on its applicability to REDSO's mandate and regional perspective.

1.1. Legal Basis

The core environmental requirements for USAID operating unit strategic plans are spelled out in ADS 201.5.10g and accompanying Supplementary References are derived principally from Sections 117 through 119 of the Foreign Assistance Act (FAA). . However, recent guidance indicates that environmental technical analysis is judged to be *optional* for global or regional strategies that cover multiple countries (ADS Ch. 201-3-3.10, revised vetting draft, May 2000). Notwithstanding any questions as to requirements, conduct of this Assessment brings the REDSO Strategic Plan into technical compliance with the environmental legal framework applicable to USAID strategic planning,. Likewise, the integration and application of USAID's Environmental Procedures (22 CFR 216) into all USAID's obligation actions serves also to advance the environmental soundness of REDSO's and the region's bilateral missions' programs.

22 CFR Part 216 codifies the Agency's procedures "to ensure that environmental factors and values are integrated into the A.I.D. decision making process." Accordingly, USAID conducts assessments to ensure that its environmental priorities are incorporated into results planning, achieving, and monitoring.

1.1.1. FAA Section 117/USAID Environmental Regulations

Section 117 "Environment and Natural Resources," dictates that efforts be made to maintain (and restore) natural resources upon which economic growth depends, and to consider the impact of USAID's activities on the environment. This law requires USAID to include environmental sustainability as a central consideration in designing and carrying out its development programs. The legal requirements of Section 117 are referred to in USAID's *ADS Chapter 204 "Environmental Procedures,"* which provides essential procedures and policy on the application of *22 CFR Part 216* ("Reg 216"), which codifies USAID procedures to ensure integration of environmental considerations into decision making processes. Accordingly, USAID conducts various types of assessments to ensure that its environmental priorities are incorporated into results planning, achieving, and monitoring. Raising the scope of assessments to a more general level, 22 CFR 216.6(d) provides for programmatic environmental assessments applied to classes of actions. This clause allows USAID to conduct

[4] The "environmental legal framework" refers to federal statutes and USAID regulations and guidelines related to the environment.

[5] Cable on the subject of "Supplementary guidance for REDSO Strategic Plan Parameters" was explicit on the issue of compliance: *"Mission is reminded to demonstrate compliance of the new strategy with Reg. 216 and to undertake the analysis required under Sections 118 and 119 of the FAA."*

environmental assessments of strategic plans and thereby achieve an initial level of compliance. Clearly, the planning stage is the first and best opportunity to ensure that such factors are appropriately considered. This will allow a subsequent series of measures to be identified which will incorporate environmental soundness into development programming, including downstream environmental review, screening, mitigation, prevention and monitoring actions.

1.1.2. FAA Sections 118 and 119

Section 118 "Tropical Forests" and *Section 119 "Endangered Species"* of the FAA codify more specific U.S. interests in preservation of specific environmental assets – tropical forests and biodiversity – the continued loss of which constitutes a long-term threat to the global environment. These two statutes require that USAID country plans include analyses of the actions necessary to conserve tropical forests and biodiversity; and a discussion of the extent to which proposed USAID actions meet those needs. Section 118/119 analyses are specific legal requirements of all bilateral CSPs.

1.1.3. USAID Guidance

ADS Chapter 201 "Managing for Results: Strategic Planning" translates the intent of the above legal requirements into a practical strategic planning approach, and provides a priority-setting framework for missions to use in determining environmental threats and opportunities (See Supplementary References, *Guidelines for Strategic Plans, Technical Annex B: Environment,* ADS 201-51.m2*)*. The priority-setting process is intended to guide the setting of environmental strategic objectives, as well as to inform strategic objectives in other sectors.

1.1.4. Environmental Threats and Opportunities Assessment Process

The priority-setting framework provides a flexible approach to evaluating environmental issues and their relevance to USAID's Agency-wide strategic environmental goals:

- *Reducing threats to the global environment, particularly loss of biodiversity and climate change; and*
- *Promoting sustainable economic growth locally, nationally, and regionally by addressing environmental, economic, and developmental practices that impede development and are unsustainable.*

The priority-setting process, here termed an *Environmental Threats and Opportunities Assessment,* includes three steps: (1) assessment of the severity of environmental problems; (2) evaluation of the potential effectiveness of strategies to address these problems; and (3) identification of opportunities for sustainable impact. This process is intended to lead to both creation of "environmental" strategic objectives (SOs) and to identification of opportunities to address environmental issues under SOs in other sectors.

1.2. Application of Legal Requirements to REDSO Strategy

Both the FAA and the ADS and its Supplementary References clearly focus on bilateral mission, country-specific programs. Due to the regional and directed nature of its mission, REDSO must first interpret, adapt, and apply these requirements in a way that will add value – and legal compliance -- to its new strategy.

1.2.1. Applying FAA Sections 118 and 119

The intent of Sections 118 and 119 is that USAID give priority consideration to tropical forestry and biodiversity in its development programs. However, given the country-level focus of the analysis requirements of these statutes (as well as the derivative USAID guidance), it is logical to ask.

"are Section 118/119 analyses legal requirements for the REDSO strategy?" Consultations in USAID/Washington revealed opinions on both sides of this issue. Notwithstanding these interpretations, it was felt that an appropriate level of analysis would serve to inform and strengthen the REDSO strategy. The analysis approach taken must consider REDSO's regional role, and the geographic overlap with USAID country programs. If both the regional and bilateral operating units equally apply the analysis requirements, the geographic overlap means that there will be duplication of efforts. Therefore, as part of its regional perspective, REDSO must consider the response of individual bilateral mission strategies and programs to national and regional environmental threats, as well as the collective regional USAID bilateral response to those threats (e.g., USAID/Kenya 2000).

To illustrate, the ESA region clearly contains significant tropical forest and biodiversity assets, much of which is under vary degrees of threat. In developing their CSPs, many of the USAID bilateral missions in the region appear to have adequately considered the requirements of the FAA, as evidenced by the analyses incorporated into their CSPs, and moreover, by the creation of tropical forest and biodiversity SOs or components of SOs (i.e., Kenya, Madagascar, Namibia, Tanzania, Uganda, Zambia, Zimbabwe). Bilateral missions have both the comparative advantage and greater manageable interest for country-level programming. REDSO's analysis agenda should then focus on the following questions:

(1) Are ESA missions appropriately applying FAA analysis requirements to their CSP process and into country programs?;
(2) Is the "big picture" ESA regional response to tropical forests and biodiversity threats rationally targeted?; and
(3) How can REDSO's own programs incorporate or integrate elements of tropical forest and biodiversity conservation, and/or "mainstream" environmental soundness aspects?

1.2.2. Applying FAA Section 117 and the ADS (including Reg. 216)

The intent of Section 117 and Reg. 216 is to ensure that *all* USAID programs (regional, national, or local) consider the environment in the planning of activities. While ADS 201 and Guidelines do focus on country programs, here, REDSO's responsibilities are clearer. In terms of REDSO's own programs (i.e., regional activities managed by REDSO), this means considering the environmental implications of planned activities in terms of both potential impacts and perhaps more strategically important, *opportunities for linking and integrating environmental concerns and activities into all elements of REDSO's development program.*

REDSO also holds the critical responsibility and strategic opportunity for promoting environmentally sustainable development across the ESA region in its role of assisting and monitoring regional compliance with Reg. 216 and associated guidance. This role applies to ESA bilateral mission programs, REDSO's own regional portfolio, and can incorporate broader opportunities for building capacity in environmental assessment across the region. Therefore, this Assessment will also consider this REDSO "Core Support Service" in terms of an opportunity to promote integration of environmental concerns into ESA national and regional development.

1.2.3. The Assessment

The remainder of this Assessment is divided into two sections. Section 2 "ESA Regional Environmental Threats" provides an overview of environmental assets, issues, and threats from country- and various regional-level perspectives. Section 3 "REDSO Strategic Response" reviews the context for REDSO's actions, and considers each component of the strategy in terms of environmental issues, including appropriateness of strategic choices; potential impacts of activities, issues of environmental compliance, and opportunities for integrating and linking environmental activities and considerations both within REDSO's portfolio and with other USAID activities in the region.

2. ESA Region Environmental Threats

For the purposes of review, and in consideration of REDSO's mandate, ESA client countries are divided into those within the Greater Horn of Africa (GHA), where REDSO will focus most of its programs, and those in southern Africa. However, this section attempts, where possible, to treat issues from a regional perspective. The resource endowments reviewed in this section, together with their associated threats, are in fact mostly transboundary concerns. Such a regional approach to dealing with environmental issues makes perfect sense to environmentalists, who know that ecological units – the areas within which development and conservation concerns interact, are defined by biophysical as opposed to political boundaries. It is in this context as well, that the regional approach espoused by REDSO holds promise in addressing the environmental threats in the ESA region.

Categories of Missions and REDSO Presence in Eastern and Southern Africa Region

Greater Horn of Africa region sustainable development missions served by REDSO (which also coordinates GHAI functions and reporting): Kenya; Uganda; Tanzania; Rwanda; Eritrea; and Ethiopia,

REDSO supports programs in four "**Non-Presence Countries** (NPC)" [i.e., countries without presence of a USAID Mission but in which certain institutions receive USAID assistance]: Djibouti, Sudan; Somalia; and Burundi.

REDSO client missions in **southern Africa** include: Madagascar; Malawi; Mozambique; Zimbabwe; Zambia; Botswana (RCSA); South Africa; Namibia; Angola; and in **central Africa**, the Democratic Republic of Congo (DRC).

REDSO serves in the Controller function for certain activities in the **Western Indian Ocean island nations**: the Comoros Islands, Mauritius, and the Seychelles.

It is challenging enough to comprehensively characterize the environmental qualities and associated threats within a given country or ecosystem. Attempting such a characterization across the entire ESA region, then, is not an appropriate objective, given REDSO's limited resources, mandate and manageable interest. Nor is such a level of study to be expected for this Assessment. This Section 2 focuses on identification of key issues, trends, and threats of particular interest for either legal reasons (i.e., FAA analysis requirements related to biodiversity and tropical forestry) or to the strategic needs of the REDSO program (e.g. environmental issues of particular relevance to conflict and food security). Also, given REDSO's regional mandate and geographic overlap with ESA country USAID field missions, a brief review of country environmental programs is presented. This Section is structured as follows: Section 2.1 provides an overview of the region's environmental endowments and associated threats; and Section 2.2 describes the current response of USAID bilateral missions. Information presented in this section is supported by six tables annexed to this document that contain country-level and regional information (Annex D). *It should be noted that the tables contain much country-specific information not included in the text. Review of the tables will help the reader to better understand individual country situations, as well as the overall ESA situation.*

2.1. ESA Environmental Assets and Threats

This Section reviews issues in the context of thematic areas relevant to REDSO (and FAA) requirements: Biodiversity (2.1.1); Tropical Forests (2.1.2); Freshwater and Marine Resources (2.1.3);

Watershed Perspective (2.1.4); Conflict and the Environment (2.1.5); Food Security and the Environment (2.1.6); Health and the Environment (2.1.7); and Institutional Context (2.1.8). In view of REDSO's mandate of coordinating implementation of the Greater Horn of Africa Initiative (GHAI), where appropriate, the review of threats and issues focuses on the GHA and its countries.[6]

2.1.1. Biodiversity Resources

The ESA region contains significant biodiversity resources. The region itself covers a large part of Africa, encompassing a vast range of ecosystems. A significant and growing amount of country-level information on species richness exists (WRI 1998; IUCN 1990, 1993; Shumway 1999; and others). Tables 3, 4, and 5 (see Annex D) contain selected country-level species data. Several efforts have identified, quantified, and prioritized biodiversity resources by habitat type, country, region, and associated threats. Three such efforts are highlighted here, following by a discussion of threats to ESA biodiversity resources.

Conservation International, based on species numbers, endemism, and threats, identified 25 "Biodiversity Hotspots" for terrestrial biodiversity.[7] Three *hotspots* are located within the ESA region: (1) Madagascar and the Indian Ocean Islands; (2) the Succulent Karoo region of South Africa's Cape; and (3) the Eastern Arc Mountains and Coastal Forests of Kenya and Tanzania.

The *International Union for the Conservation of Nature* (IUCN, 1990, 1993) identified key areas for biodiversity conservation in Africa based on phytochoria[8], and also maintains country biodiversity and environmental profiles that characterize national biodiversity assets (and their associated threats). Key areas, with a list of countries within each area and some key characteristics of each are presented as Table 2: Key Areas for Biodiversity Conservation in Africa - ESA Region (see Annex D). GHA countries with a greater range of phytochoria-based key areas include: Tanzania; Kenya; Uganda; and Ethiopia. The southern African countries with the greatest range of key areas are South Africa and the DRC. Madagascar is characterized as *"the most extraordinary country biologically within the Africotropical Realm"* due to levels of endemism unequalled elsewhere in Africa.

The *USAID* Policy and Strategy for Biodiversity Conservation (1996)[9] identifies key biodiversity regions and countries within various regions of the world. Priority areas within Africa are presented in Table 1: Geographic Priorities for Biodiversity Conservation – ESA Region (see Annex D). Three countries within the GHA are identified as containing priority habitat units for biodiversity conservation: Tanzania; Kenya; and Uganda - each among the world's 50 most species-rich countries, with Tanzania in the top 25. As a region, southern Africa was identified as containing several important habitat units for USAID biodiversity conservation. Madagascar was also identified as a priority, containing two major habitat

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[6] Swartzendruber et al (1998) provide comprehensive information on environmental threats and opportunities for the southern Africa region in *Southern Africa Opinions on Environmental Trends and Emerging Issues,* a study performed under the FRAME (Framework for Regional Action and Monitoring on the Environment) Project.

[7] Some areas of the planet - tropical forests in particular - contain exceptional concentrations of the earth's terrestrial biodiversity. According to CI, 1.44% of the earth's land surface contains more than 60% of terrestrial biodiversity. From within these biodiverse areas, CI identified those under the greatest threat as "hotspots," and therefore conservation priorities, under the premise that focused conservation efforts in those sites would be an efficient approach to conservation of global terrestrial biodiversity. See References for website citation.

[8] Phytochoria refer to regional centers of plant endemism and the transition zones between those centers.

[9] The USAID Policy and Strategy for Biodiversity Conservation was never finalized and approved, and left in its 1996 draft state. While this document does not represent USAID policy, it contains useful information on issues, approaches, linkages, and geographic prioritization.

units, and being among the top 25 most species-rich countries. The DRC (also among the top 25) was not considered during the analysis; a field mission is just being started there, and the Africa Bureau Central African Regional Program on the Environment (CARPE) is working with the new Mission regarding appropriate support in the ENV sector. The highly biodiverse and indigenous species-rich Ethiopian highlands also were not considered by the analyses. These countries would be good candidates for future regionally-oriented examination by REDSO and/or USAID Africa Bureau with respect to biodiversity and NRM programming.

Threats to Biodiversity. A review of threats to biodiversity across ESA countries, as documented by USAID ESA missions and various conservation stakeholders, reveals a number of common threats:

Biophysical Factors

- *Growing populations* exert increasing and often unsustainable pressures on resources, particularly in resource-rich, already highly populated areas;
- *Poverty* and lack of alternative livelihood opportunities can lead to households to engage in unsustainable resource mining;
- *Unsustainable small-scale agricultural and pastoral production systems* incompatible with long-term conservation of the resource base may degrade critical habitat;
- *Commercial land use practices* can result in large-scale habitat clearing;
- *Resource harvesting* above sustainable levels can irreversibly degrade biodiverse areas;
- *Climatic change* can result in habitat alteration and degradation;
- *Alien species introductions* can crowd out important indigenous species;
- *Species populations* in some areas may already be below minimum viable size to avoid extinction due to either natural and man-made catastrophes;

Policy, Socioeconomic, Institutional and Financial Factors

- *Debt Servicing* can pressure developing countries into accelerated and unsustainable resource harvesting, such as forest clearing;
- *Weak management institutions* in many countries cannot cope with the financial and managerial demands of biodiversity conservation;
- *Weak environmental legal frameworks* that do not support conservation undermine efforts on the ground;
- *Poor regional cooperation* among countries sharing biodiverse ecosystems jeopardizes conservation of transboundary ecological units; and
- *Insufficient tangible benefits* accruing to local populations from conservation can alienate locals from the resource and create "enemies" of biodiversity conservation.

Much of the ESA region's biodiversity resources have been incorporated into national protected area (PA) systems, many of which provide adequate representation of and protected to national biodiversity assets. With a few exceptions, the collection of national PA systems also fairly represents regional biodiversity resources. However, many PA management institutions are under stress due to: inadequate funding; staffing reductions; corruption; lack of technical capabilities; and lack of empowering legal frameworks. Some PA management authorities have undergone cathartic crises (e.g. Uganda's Forest Department and Wildlife Authority; and Kenya's Wildlife Service); while others in countries in conflict function are only partially functional (DRC; Rwanda) or may not function at all (Sudan; Somalia). Conservation efforts in southern Africa, as measured by financial support and functioning PA networks, appear to be stronger than in the GHA. Elsewhere, **three high biodiversity habitats or regions are among the least effectively protected,** thus are of particular concern: the Tropical Moist Forest (e.g. Central African Rainforests); Afromontane; and Madagascan (Malagasy) regions.

Additional criteria relevant to evaluating threats to biodiversity resources are the degree to and mechanism by which national biodiversity assets are protected, such as: area under varying degrees of protective status; and association with international protection systems (e.g. World Heritage and Ramsar sites; and Biosphere Reserve sites).

Singh et al (1999) used geographic information tools to identify emerging environmental issues in Africa. Findings relevant to ESA biodiversity resources were as follows:

- *Approximately 16 percent of the population reside within 20 km of PAs.* This concentration of people and associated population-based threats place many areas at extreme risk. Singh et al found highest population densities around PAs in Rwanda, Burundi, Uganda (around Lake Victoria), and in part of Kenya, Malawi and Zambia;
- *Transboundary PAs (189 total) are shared by 33 countries.* Uncoordinated PA management policies and uneven technical capabilities threaten the integrity of the larger ecological units.

2.1.2. Tropical Forests

Tropical forests are important for a number of reasons. FAA Section 118 cites several: fuelwood source; protection of biologically productive aquatic resources; protection against flooding; protection of biodiversity; protection against desertification; and protection against global climate change.

Both the GHA and southern Africa regions contain significant natural forest resources. Table 4: ESA Country Forest Resource Profiles (see Annex D) presents regional forest resource information in terms of extent and recent trends. Overall, the southern Africa region contains more natural forest resources than the GHA. However, the inclusion of the DRC in the ESA region confounds comparisons, as the DRC contains a greater area of natural forest that the entire GHA, and represents over half of the southern Africa total.

Additional information is available from WWF's Living Planet Report for 1999 (available on-line: see References), which provides country-level forest (and biodiversity) status figures, and aggregates information to show continent-wide and global trends.

Threats to tropical forests are similar to those against biodiversity (see 2.1.1), with the exception of threats posed by non-viable populations, which are not critical issues for forest resources. Countries of greatest concern in terms of total area of natural forest lost during the period 1981-90 for the GHA and southern Africa regions are as follows:

Natural Forest Lost During the Period 1981-90 for Representative Countries of the GHA & Southern African Regions:

GHA

Country	Forest and Woodland 1990 (ha)	Annual % Change (1981-90)
Sudan	68,955	(1.0)
Tanzania	68,497	(1.2)
Uganda	16,023	(0.9)
Ethiopia	41,991	(0.2)

Country	Forest and Woodland 1990 (ha)	Annual % Change (1981-90)
D.R. Congo	166,076	(0.6)
Zambia	60,337	(1.0)
Angola	77,198	(0.7)
Madagascar	23,225	(0.8)
Mozambique	55,881	(0.7)

Southern Africa

Singh et al (1999) findings relevant to ESA region forest resources included the following:

- *Nine percent of land under forest cover sustains approximately 10 percent of the human population.* Large and growing populations around forest resources place the forests at risk of degradation; and
- *Seven percent of land area is under protective status (i.e., national parks).* Similarly, only six percent of biodiverse natural forest areas are protected.

It should also be noted that tropical forests serve as an important carbon sink for worldwide CO_2 emission. Continued loss of forest biomass will further contribute to global climate change. The Congo basin forests, much of which is contained within the DRC, has been identified by USAID as a target area for tropical forest conservation under the Global Climate Change Initiative. Prior to that initiative, USAID's Africa Bureau committed in 1996 to the development of the Central African Regional Program for the Environment (CARPE) focused on the closed canopy tropical forest regions, and now beginning its second phase of five years.

2.1.3. Freshwater and Marine Resources

Freshwater and marine resources in Africa are important for reasons of economic growth and nutrition, and well as a range of ecosystem services, including biodiversity conservation. Shumway (1999) identifies key rivers, wetlands, lakes, mangroves and coral reefs, as well as internationally recognized (e.g. Ramsar site), and distinguishes priority areas for protection, including: Kenya's Kiunga Marine National Reserve and Mozambique's Parque Nacional de Bazaruto (for regional marine conservation); and two of the Great Lakes - Victoria and Tanganyika (for food security). On the Tanzanian coast, considerable seaweed cultivation is taking place.

The ecological and economic productivity of these resources are threatened by several factors. Examples of severe degradation, and loss of productivity of these resources, such as in the case of Uganda's Lake George, underscore the seriousness of the threat. According to Shumway, threats to these resources find their roots in poverty, deliberate overexploitation, and misguided planning, and include the following:

- *Policy and planning weaknesses* fail to integrate aquatic systems management across sectors, and local and international jurisdictional issues constrain effective management;
- *Exotic species introductions* may upset ecological balances, as in the case of Lake Victoria, where deliberate introduction of Nile Perch caused the largest mass extinction in recorded history, and the accidental introduction of water hyacinth continues to stress lake systems;
- *Overfishing* can upset the ecological balance of individual species or of entire ecosystems;
- *Deforestation* leads to a number of conditions that tend to degrade or upset aquatic ecosystem balance, including sedimentation; temperature change; reduction in nutrient levels; and reduction in levels of dissolved oxygen;
- *Pollution* from agricultural, municipal, and industrial sources may have acute or chronic effects on aquatic organisms;
- *Agricultural and aquacultural conversion,* as in the conversion of wetlands or mangroves to agricultural production, may disrupt or eliminate a range of ecosystem functions important for food security and biodiversity (e.g., fish breeding);
- *Water diversion,* as in construction of dams or irrigation schemes can degrade (or eliminate) habitat, fisheries resources, and disrupt traditional patterns of floodplains agriculture; and
- *Global climate change* may alter water flow regimes, and exacerbate desertification in floodplain areas.

As specifically concerns reefs, WRI's *Reefs at Risk* (1998), explains that East Africa's coral reefs are vital source of food, and among the world's most biologically diverse ecosystems, but are threatened by:

sewage discharge and overexploitation (e.g., coastal development, especially near large cities such as Mombasa or Dar es Salaam); destructive fishing practices; and agricultural runoff.

Shumway (1998) identifies 14 important aquatic resources that could benefit from integrated approaches to address their associated threats. Areas in the GHA region include Lake Victoria and the greater Nile Basin; Lake Tanganyika; Uganda's wetlands; Tanzania's Rufiji Delta/Mafia Island; and East African Coral Reefs.

2.1.4. Watershed Perspective

A watershed management perspective places one at a higher level of organization consistent with the natural functioning of the planet. Watersheds provide ecological services, habitat, economic capital (water, food, energy, transportation), and are separated by hydrological boundaries that limit interaction between watersheds. Hence, adjacent watersheds can exhibit widely varying degrees of degradation, depending on management regime. Revenga et al (1998) studied 145 major watersheds around the world, characterizing the status of each. Results for the major GHA watersheds are discussed here. In assessing the causes of watershed degradation, Revenga grouped threats into four major categories:

- *Physical modification* changes the dynamic of watersheds;
- *Habitat degradation* due to deforestation; agricultural conversion; and mining reduces watershed ability to support life and provide ecosystem services;
- *Water use* for agriculture and other sectors is increasing, and may exceed recharge rates;
- *Pollution* can disrupt ecosystem function in a number of ways by its effects on living matter;
- *Loss of freshwater diversity* resulting from degradation or mismanagement (e.g. overfishing) can disrupt the ecological function of the watershed.

Revenga (1998) identifies two subbasins as notable for fish diversity and endemism: Lake Victoria and Lake Tanganyika. Table 3: GHA Watershed Environmental Profiles (see Annex D) presents information on characteristics and status of five principal GHA region watersheds or subbasins. Of particular concern in the GHA region is the Nile Watershed Lake Victoria Subbasin, which exhibits the highest population density and a high rate of deforestation (but with significant remaining forest resources). Forty percent of the subbasin is currently under cropland (a higher percentage than any other GHA watershed). The area also contains significant biodiversity.

Singh et al (1999) identifies population pressure as a critical environmental threat to the Lake Victoria subbasin. He found that population density and growth in the area (defined by a 100 km buffer zone around the lake) was significantly higher than overall continental averages, a trend due to the abundant fisheries, forest, and fertile land resources. The lake itself is already under significant stress due to overfishing, agricultural and industrial pollution, and the current infestation of water hyacinth. Many predict that continued unregulated growth in the Lake Victoria subbasin may lead to ultimate ecological collapse.

2.1.5. Conflict and the Environment

Winterbottom and Neme (1997) discuss the environmental dimensions of conflict and review contributing environmental issues and threats. A review by the Environment and Conflicts Project (ENCOP) (Bächler 1994, cited by Winterbottom and Neme 1997) of the role of environmental transformation and desertification found that 80% (17 out of 21) of subsaharan African conflicts occurring over the past 30 years had either environmental dimensions or were at least partly environmentally induced. Thrupp (1997) highlights the transboundary nature of a critical GHA resource endowments as a source of "conflict and hostile competition." A large portion of the GHA region's

172

refugees are *environmentally displaced persons* – people displaced in some measure due to environmental degradation or destruction. According to Winterbottom and Neme, major environmental stresses that may lead to tension and conflict include:

- *Natural disasters.* Africa has been shown to be especially prone to natural disasters such as locust outbreaks, drought, flooding, and disease epidemic. The location of the GHA region makes it particularly susceptible to such disasters;
- *Desertification.* Africa's arid regions have more current and potential conflicts, and a greater percentage of conflict with environmental dimensions. Arid lands are generally fragile, less productive, and marginal for supporting human populations. Yet arid regions contain some of Africa's larger populations, which are also among Africa's poorest, with poverty associated with low productivity and high degree of land degradation. GHA countries within the arid *sudano-sahelian* belt are Sudan, Ethiopia, Kenya and Somalia;
- *Resource alienation.* Government policies can undermine traditional and sustainable systems of natural resource management. When traditional systems are disrupted, resultant systems often lead to environmental degradation. Examples from the GHA include disruption of pastoral migratory routes and changes in land tenure laws;
- *Conflict over water resources.* Demand for water by increasing populations and growing economies from sources that may become depleted or degraded can raise tensions between local, regional and international populations. Conflicts are more likely to occur when (a) river systems are shared by more than one country -- Singh et al (1999) found that 63 percent of Africa's land area lies within transboundary river basins; (b) when water resources become limited; and (c) where water use/allocation agreements do not exist. Of particular concern for the GHA region is the Nile River Basin. Countries where a large part of the water flow originates from outside their border (e.g., Egypt: 97%; Sudan: 77%) may be placed at odds with source countries (85% of the Nile's flow originates in Ethiopia). Accelerating development in source/upstream countries such as Ethiopia and Uganda, and concomitant increases in upstream water use will be a source of future tension;
- *Development programs.* Large scale development programs such as the building of dams can cause contentious large-scale displacement and resettlement. Structural adjustment programs may lead to encouragement of natural resource extraction (e.g. timber) due to currency devaluation, or shifts away from sustainable agricultural production systems due to subsidy removal; and
- *Public health issues.* Disruption of ecological systems by development projects can lead to degraded water supplies and increased disease transmission. Industrial disasters (pesticide spills, land degradation due to mining) may also cause environmental stresses.

Many of the above threats to the environment lead to increased tensions due to their actual or potential effects on food security. The following section discusses the environmental dimensions of food security.

2.1.6. Food Security and the Environment

The GHAI Strategy (1997) recognizes the limitations placed on food security by the natural environment. Factors such as low and variable rainfall, drought, and large areas of marginal land constrain the food production potential of the region. Significant land and water resources have been degraded to varying degrees as a result of a number of threats in the GHA region. Thrupp (1997) highlights several:

- *Land and soil degradation,* or the loss in biological or economic productivity, is a serious concern throughout Africa and of particular concern in the GHA. Land degradation has a number of dimensions and causal factors. Agricultural lands may suffer from soil erosion and soil nutrient depletion due to inappropriate practices. Overgrazing and poor management of pastoral lands may lead to soil erosion and desertification (loss of vegetative cover);

- *Biodiversity loss,* here referring to the "agrobiodiversity" on managed or productive lands can lead to lost productivity, as agricultural practices tend towards monoculture. This threat includes the loss of genetic diversity within domesticated plant and animals, which reduces future options for improved varieties and more productive or resilient agricultural and pastoral systems;
- *Deforestation,* together with the loss of other woody vegetation contributes to land and soil degradation, and erosion of biodiversity; and
- *Natural constraints.* A number of inherent biophysical constraints limit productivity potential of the GHA. Those constraints include poor soils, variable and limited rainfall, recurrent patterns of drought, flooding, and susceptibility to pest infestations (e.g. locusts).

Singh et al (1999) found that grasslands and savannas make up 36 percent of Africa's total land area, but support 60 percent of the population. These areas are therefore critical for food production. Singh et al identified prevailing environmental threats to such areas as "overgrazing, static grazing patterns, encroaching land conversion, and increasing population densities."

Thrupp (1997) identifies three "critical resource areas" where the nexus of food and environmental security is particularly apparent due to large, food insecure populations, serious environmental degradation, or both: (1) resettlement areas and refugee camps that concentrate large numbers of people in areas with inadequate ecological carrying capacities; (2) the Lake Victoria watershed, which exhibits large and growing populations together with degradation of both land and water resources; and (3) transboundary grazing commons with high degrees of degradation, insecure tenure systems, and competition for water resources.

REDSO's Food Security SO 5 analytical and programmatic agenda is addressing regional livestock and rangeland resource management issues, including wildlife-livestock interactions, veterinary services to pastoralists, and market linkages, especially in the southern Sudan, southern Ethiopia, Somalia and northern Kenya cross-border zones.

2.1.7. Health and the Environment

Environmental factors are one of the major causes of disease in sub-Saharan Africa. Many environmental health problems are associated with poverty, such as lack of access to clean water, food, shelter, fuel, and air (EHP, 1999;WRI 1998). These environmental factors are a major underlying cause of many infectious diseases. Deficiencies in environmental sanitation – solid waste, wastewater, excreta disposal, drainage, and community hygiene – contribute to the continuing high rate of infant and child mortality from diarrheal diseases and also play a role in vector-borne diseases. Many studies indicate that lack of sanitation puts people at higher risk for diarrheal disease than lack of safe water. Nonetheless, sanitation has generally been neglected in favor of water supply by governments, external sport agencies, and even unserved communities. Other environmental health hazards are associated with development: increased use of chemicals; and burning of fuels. The World Resources 1998-99 Report (WRI 1998) cites several critical environmental health issues relevant to subsaharan Africa:

- *Lack of adequate water and sanitation* accounts for an estimated 7% of worldwide death and disease;
- *Mosquito-borne diseases* are a major killer. Between 1 and 3 million die each year from malaria; millions more are affected by yellow and dengue fever;
- *Indoor air pollution,* from burning dirty fuels, help cause acute respiratory infections. World Bank estimates place the number of women and children exposed to severe indoor air pollution - mostly from cooking fires) as between 400 and 700 million;
- *Increasing use of toxic chemicals* in agricultural, manufacturing, and processing operations by both small- and large-scale operators place workers and locals at risk of exposure;

- *Global climate change* threatens of alter short- and long-term health patterns due to changing climates;

USAID's Environmental Health Project (EHP 1999), which addresses the role of environmental and behavioral risk factors in the world's health burden, has developed an environmental health framework for prevention and new approaches for the field, with emphasis upon reducing the burden of disease for children. Eight results areas have been highlighted: diarrhea prevention, malaria prevention, sanitation policies, behavior change, community involvement, services for urban poor, risk assessment and institutional strengthening.

Any health program should be cognizant of and responsive to the environmental components of health risks and trends, e.g.:

- There has been an increase in prevalence of malaria in traditionally malaria-prone areas such is in Western Kenya, but also a new trend towards increases in malaria in highland areas, especially after heavy rains, where it has rarely or never been seen before. The latter trend is particularly troubling because limited natural resistance exists in that area. The causes for this increase are not well understood, but likely are partly due to increased trends of agricultural conversion from woodland and forest.

- With a continuing upward trend in the prevalence of HIV/AIDS in Kenya, comes the need to develop programs of HIV/AIDS and STI prevention and treatment services at the community level throughout the country. This brings with it healthcare waste management issues and related if relatively modest risk of disease transmission and environmental contamination.

- The under-five mortality rate for children in some ESA countries, such as Kenya, has recently swung upwards, according to the 1998 Demographic Health Survey for Kenya (pers. comm. Michael Strong, USAID/Kenya Population and Health Office) This is probably related to a number of factors, and again it is not clear what links there are to environmental degradation or related environmental health parameters (e.g., deficiencies in water, sanitation, drainage, leading to diarrheal disease, malaria transmission, etc.).

2.1.8. Urbanization, Economic Development, and Environment

In the last thirty years, the population of SSA has increased 2 ½ times. However, the population of urban areas of SSA has increased 5 times (Erbach and Gaudet, 1998). In comparison to other regions of the world, Africa is less urbanized but is catching up quickly. Overall population growth in SSA is expected to continue to grow but at a lower rate. By 2025, the estimated population of SSA will be between 1.2 and 1.4 billion, depending on investments in education and health, which the urban areas experiencing relatively higher growth rates than rural areas. The growth in urban areas has been such a recent phenomena in SSA that the village or rural community is still the reference point for many city dwellers. In many countries, one-half of urban dwellers are either formerly residents or rural communities or the children of rural dwellers (Anderson and Erbach 2000).

The process of urbanization involves both the flow of people and the transformation and ultimately reclassification of rural land as urban. Urbanization is the sum of three processes (Anderson and Erbach 2000):

(1) Transformation of land at the urban fringe;
(2) Growth of rural areas above a threshold that leads to reclassification as urban; and
(3) Migration of people from rural areas to urban areas.

All three of these processes lead to the reclassification of formerly rural populations as urban, while the first and second processes also result in the area of land devoted to urban uses. A number of observations can be drawn regarding urban population trends:

- Between 2000 and 2020, all but three countries (Botswana, South Africa, and Zambia) will experience 100% increases in urban population while Ethiopia's urban population will triple during this period.
- While only two countries were projected to be at least 50% urban in 2000 (Botswana and South Africa), the number of countries with at least 50% urban population is expected to increase to ten in 2020.
- For the period 1980-1985, the median growth rate in urban population (5.4%) was more than twice the growth rate in rural areas (2.2%).
- Urban population growth rates are expected to slow down to a median rate of 4.6% in the period 2000-2005 compared to the median rate of 5.4% in the period 1980-1985, with a further decline in median growth rate for the period 2020-2025 of 3.4%.
- Rural population growth is projected to exhibit a similar declining trend, with median rural population growth falling to 1.8% for the period 2000-2005 and then to 1.0% for the period 2020-2025.
- Four of the five SSA cities expected to increase by more than 2.5 times in population between 1995 and 2015 are in ESA (Addis Ababa, Antananarivo, Maputo, and Kampala).

Cities throughout history have served an important function as marketing and distribution points, centers of service and industry, and gateways for trade. They play a role in connecting rural areas to infrastructure, even if the motivation is self-serving. Macro-level benefits from urbanization include "economies of scale," "localization economies," and "agglomeration economies" for industries, communications, and modern infrastructure (including water and electricity supply) and for social services (including health care and education) that can significantly improve the lives of millions of urban inhabitants (Erbach and Gaudet, 1998).

While urbanization has engendered significant benefits for both migrants and existing populations, there have been a number of negative impacts as well. These negative impacts are affect urban residents as well as rural residents, although in the latter case, the negative impacts are mainly associated with urbanization's impacts on the environment and the natural resource base in rural areas. For urban residents, the negative impacts largely are related to the inability of the urban area and its officials to respond adequately to the rapid increase in population. These failures relate to poorly designed policies, lack of institutional capacity, and limited financial resources to respond to demands for services and amenities.

According to the U.N. Center for Human Settlements (HABITAT) (WRI 1998), the severity of health problems associated with environmental degradation often worsens with poorly regulated economic development. Growing cities and urban areas are often the hardest hit. Agricultural intensification; industrialization; and associated increased use of energy (results sought by regional development agenda), each hold potential for environmental degradation and negative effects on human health.

Within the urban areas, there are substantial environmental impacts of urban activities. Among the environmental problems in the city are the following (Anderson and Erbach 2000):

- *Air pollution from industrial, commercial, and residential sources* – the use of low grade fuels, wood burned for heating and cooking. Environmental control equipment, particularly for small

facilities, is non-existent. Often there is a lack of planning that results in pollution sources in close proximity to residents.

- *Air and noise pollution from motor vehicles and construction sites* – pollutants include lead in leaded gas, sulfur dioxide and particulates from diesel fuels, hydrocarbons, nitrogen oxides, and carbon monoxide.

- *Lack of solid waste disposal services leads to health problems, litter, clogged drainage canals, and open burning.* Inadequate separation and disposal of different types of solid wastes exposes residents and particularly scavengers to toxic chemicals and results in leaching of pollutants to surface and groundwater. Lack of recycling, reuse options results in waste accumulation in unmanaged dumps.

- *Lack of sanitary facilities and poorly treated sewage* - contaminates rivers, lakes, coastal areas, and groundwater.

- *Microclimate effects* – the conversion of land with vegetative cover to urban uses such as buildings and pavement results in increased temperatures in the urban area that are a few degrees higher than surrounding areas, may increase electricity consumption rates.

Urbanization also has an impact on rural environmental and natural resources. The most immediate and noticeable impact is at the urban fringe, where agricultural, grazing, and wooded areas are converted to built up uses. Urban fringe land conversion illustrates the tyranny of small decisions. Viewed incrementally, the conversion of a few hectares of land at the urban fringe can be viewed as beneficial since the urban uses place a higher economic value on the land than was realized in its previous use. However, if the land conversion process is viewed in terms of the accumulated loss of productive land, it can undermine food security and encourage development of poorer quality lands to meet food needs. These marginal lands typically require greater quantities of water and fertilizer to achieve comparable yields of those lands at the urban fringe.

Urban residents have significant demands on the resources of rural areas, including food from agriculture and fisheries and wood for building and fuel. As the demand for these resources in urban areas increases because of population growth and the lack of affordable substitutes (e.g., electricity and natural gas for fuel wood), rural resource managers, farmers and fishers may be encourage to accelerate production above levels that can be sustained in either biological or economic terms.

Urban areas also have a significant impact on the quantity and quality of water resources. In areas where water is in scarce supply, farmers and rural residents cannot compete with urban customers. While alternative water supplies may be obtained through irrigation projects and pumping of groundwater, these sources are more costly to develop. The major impact of urban water users, however, is on water quality. Where urban wastewater is discharged untreated or inadequately treated into rivers, lakes, and bays, it can have an adverse impact on fisheries, wildlife, tourism areas, and other downstream water users. Some of the water impacts may involve downstream cities and industries that must incur costs to treat water to minimum standards associated with the intended use.

To summarize and illustrate the scope of negative impacts of urbanization, the below table provides results from the case studies conducted under the Environmental Planning and Management (EPM) process developed jointly by UNCHS and UNEP. The basic concepts and approaches for this process have been evolving and maturing over the last several years, largely through the participation of cities in the Sustainable Cities Program.

Summary of Urban Case Studies in ESA Region (adapted from Anderson & Erbach 2000)

City	Basic Characteristics	Key Issues	
Cape Town Metro Area	3.1 million people, on 50 km long peninsula	•Environmental hazards •Stress on special ecosystems	•Environmental health risks
Dar es Salam	3 million people, 5% annual growth, area of 1350 sq. km	•Environmental hazards in low income neighborhoods	•Improper waste disposal •Natural hazards
Durban	2.4 million people, 2.3% annual growth, area of 1365 sq. km, 9% of GDP, 55% of provincial economic output	•Unequal access to environmental services •Natural risks – landslides and floods	•Degradation of ecosystems •Industrial risks – chemical •Inefficient transportation
Johannesburg	4 million people, among fastest growing cities, area of 1100 sq. km, market/information function	•Poor water and air quality •Lack of open space and flooding	•Improper solid waste disposal •Poor residential hygiene
Kenya Small Towns	Towns between 5,000 and 80,000 population, areas 5 – 80 sq. km	•Natural resource degradation •Loss of amenities/quality of life	•Environmental risks related to rapid growth
Nairobi	2.5 million people, aarea of 685 sq. km, political and administrative capital	•Vulnerability of low income areas •Environmental health risks	•Inadequate infrastructure •Exposure to natural risks •Threats to natural heritage

Source: UNCHS/UNEP, *Sustainable Cities Program Workshop on Environmental Problems in Africa*, Dakar, Senegal, June 26-30, 1995, cited by Anderson and Erbach 2000.

2.1.9. Institutional Context

A number of institutional challenges confront the environmental management situation in the ESA region and throughout Africa. These challenges cut across the preceding themes. Critical issues and challenges include:

- *Lack of integration of environmental concerns into development.* "Environmental sustainability" is relatively new concept on the agenda of most African governments. While the recent flurry of NEAPs, creation of environmental management institutions, and the development of environmental policy and legislative frameworks have raised consciousness, actions "on the ground" have been limited by a lack of knowledge on how to apply relevant integrative tools;
- *Lack of integration of development concerns into the environmental agenda.* Swartzendruber et al (1998) writes that "The environmental agenda remains dominated by a false dichotomy between "development" and "environmental protection." Both sides need to understand the linkages between the two, and the possibilities for "win-win" situations;
- *Limited institutional capacity.* This catch-all phrase for institutional shortcomings is particularly relevant to environmental management institutions, which are generally young and at present, lower priority institutions in most ESA countries. Underfunded, understaffed, under-trained, and unempowered institutions may be no match for the task at hand;

- *Lack of regional cooperation.* This issue represents a large an obstacle to sound management of transboundary ecological units such as lake basins and rangelands;
- *Lack of local engagement.* Raising environmental awareness and capacity among central authorities alone is insufficient to stem the tide of environmental degradation. Involving local population stakeholders – those closest to and most directly affected by natural resources – is critical the successful design and implementation of activities at the local level;
- *Lack of private sector engagement.* The growing role of the private sector in African economies represents both a threat and an opportunity - the private sector can lead the crusade towards environmental sustainability; or it can spearhead the charge towards environmental exploitation. The private sector must be appropriately engaged; and
- *Globalization.* Swartzendruber et al (1998) observe that world economic trends will increasingly affect the African situation. As movement of people and goods increases in response to economic opportunity, new types of environmental issues will emerge.

As can be seen from the preceding sections, a host of threats originating from various domains places at risk regional ecosystems and the countries they contain.

2.2. USAID Bilateral Environmental Programs

This section briefly reviews the response of ESA (separated into GHA and southern Africa) USAID missions to regional environmental threats. Information presented is at a very general level. However, it is noted that the level of environmental programming, both in terms of the targeting and number of SOs, is significant and seems, at least for the purposes of this review, generally appropriate. Of particular note is the large focus on biodiversity conservation in countries identified as priority biodiversity (and also tropical forest) areas, and various environment and natural resource management (E/NRM) SOs in countries with significant forest resources or critical environmental issues: specific biodiversity/ENRM SOs have been developed in Uganda, Kenya, Tanzania, Madagascar, Malawi, and Namibia. A regional NRM SO has been formulated by USAID's Regional Center for Southern Africa (RCSA). SOs including significant components (IRs, RPs) in ENRM are found in Mozambique, Zambia, Zimbabwe and South Africa. All REDSO SOs have been subjected to initial environmental examination and have had environmental considerations built into them. Several Missions pursue sustainable agriculture and NRM objectives via Title II Food Aid for Development programs implemented by PVOs, usually as part of a rural development SO: Ethiopia, Kenya, Madagascar, Mozambique, Rwanda, and Uganda.

For more specific information, readers are referred to R4 reporting documentation and CSPs available from the USAID and FRAME web sites (see References). Additional information on mission programs in presented in Table 5: Environmental Profiles of Selected REDSO/ESA Client Countries (see Annex D).

2.2.1. GHA

Three GHA USAID missions have significant E/NRM SOs. Uganda, Tanzania and Kenya each have major programs focusing on biodiversity conservation. A large part of Uganda's E/NRM SO focuses on tropical forest conservation. The Africa Bureau supports a pilot activity aimed at protecting the Eastern Arc Mountains of Kenya and Tanzania. These three countries (together with Ethiopia), were identified by USAID and other conservation stakeholders as priority biodiversity countries. In the case of Uganda, within the context of its SO 2 Conservation of Biodiverse Systems (COBS) program, the Mission manages a regional water hyacinth control program funded under the GHAI, with the East African Cooperation as principal regional partner, and to which REDSO has added resources for environmental information systems. Ethiopia, Eritrea, Kenya, Tanzania, and Uganda also program environmental funds into agriculture or rural enterprise SOs with environmental components.

2.2.2. Southern Africa

Six southern Africa missions have significant environment and natural resource management (E/NRM) SOs. Madagascar and Zimbabwe each have had programs focusing on biodiversity conservation and CBNRM; Botswana's NRMP ended in September 1999, but elements of it are being carried forward in RCSA's SO 3, Increased Regional Cooperation in the Management of Shared Natural Resources. These three countries (or regions which they are a part of) were identified as priority areas for biodiversity conservation. Madagascar also has significant forest assets at risk, which are also targeted by their E/NRM SO. Botswana, Malawi (proposed SO), Mozambique, and Namibia each have more general "sustainable NRM" SOs. The DRC benefits from the regional CARPE program aimed in part at conservation and sustainable management of the DRC's significant forest resource. South Africa has an urban (housing) SO, with an IR specifically oriented towards environmental results, such as energy and water conservation. Several missions also program environment funds into SOs in other sectors: Economic Growth, Agriculture, Private Sector (Mozambique) and Rural Enterprise (Angola, Botswana, Malawi, Mozambique, Zambia); Democracy and Governance (South Africa, Zambia); and Health (Zambia).

USAID, through the Southern African Regional Program (SARP), has supported several natural resources management programs in the SADC region since the early 1980s. USAID's in Botswana, Malawi (NATURE), Namibia (LIFE), Zambia (ADMADE) and Zimbabwe (CAMPFIRE) pursued bilateral programs focusing on a variety of approaches toward Community-based Natural Resources Management (CBNRM). These were regionally coordinated by the SARP Natural Resources Management Program (NRMP). RCSA provided support to specific activities such as the Regional Networking and Capacity Building Initiative for Southern Africa (NETCAB), implemented through IUCN since 1995. A complementary initiative, supported by RCSA, is the Natural Resources Accounting project aimed at establishing the economic value of the region's natural resources in order to incorporate these into national accounts. Under the NRM portfolio the following results have been achieved:

- Widespread adoption of CBNRM as a tool for NRM. Successful community-based approaches developed in the wildlife sector have been adopted in other sectors such as forestry and fisheries;
- Community based institutions have been set up to manage local resources as governments in the region have moved towards further devolution of control over resources to local communities, especially in Namibia and Botswana;
- Increased awareness among national policy makers to cooperate in managing resources that transcend national boundaries;
- Increased capacity of the region's NRM practitioners through a variety of training programs. Including a course in the management of shared water resources for senior water managers from the region.
- Regional protocols in the water and wildlife sectors have been signed through SADC, laying the groundwork for increased cooperation among states in the management of natural resources.
- In the water sector, guidelines for harmonizing the water protocol with the UN Convention of Non-navigable Use of International Water Courses have been produced and support is being given to the water sector to develop draft national water laws that take the provisions of the protocol into account;
- Functional issue-based networks are now sharing information through e-mail connectivity such as the network whereby the region's herbaria share biological diversity conservation techniques.

Despite these achievements, the southern African region still faces a number of constraints to sustainable NRM. These include:

- Weak and uncoordinated NRM policies;

- Lack of integrated planning
- A general lack of trained personnel for policy formulation, implementation, and program monitoring;
- A dearth of capable institutions in the region to implement programs in the NRM sector.
- Poor or weak environmental monitoring systems, which are vital for collecting and analyzing information to formulate or modify policy.

3. REDSO Strategic Response

This Section consists of an environmental review of proposed REDSO/ESA strategy components. The review will comment on the potential effectiveness and sustainability of strategy components and activities (both ongoing and planned) from an environmental perspective; and identify opportunities for sustainable impact by better integrating environmental considerations into REDSO's activities, both within and across program components.

3.1. Key Determinants in Priority Setting

The U.S. national interests in the GHA region center around humanitarian, political and development issues.[10] In response to these interests, the GHAI, a presidential initiative headed by the USAID Administrator, was developed.[11] It is in the context of these national interests, as expressed in the GHAI, that REDSO, the USAID operating unit with an existing GHA regional mandate and operational capacity, was assigned responsibility for overall coordination of GHAI implementation in the field. As such, REDSO's development focus - that of advancing the overall goal of the GHAI - has been determined. However, while REDSO's general direction has been determined, it is critical to bear in mind that there are sixteen bilateral USAID missions in the ESA region (including the six sustainable development Missions within the GHA, but not the NPC), each with its own significant development portfolio. Each bilateral mission strategy has been developed in accordance with the "environmental framework" discussed in Section 1. As indicated in the previous section, the collective regional response to these statutory requirements in terms of environmental programming (including programs related to tropical forest and biodiversity conservation) appears appropriate. As such, while REDSO can serve a useful role in ensuring a continued appropriate ESA regional response to these environmental issues, given REDSO's designated GHAI coordination role, development of an "environmental" SO is not planned. However, this analysis considers *all* REDSO SOs and the environmental implications of their activities.

USAID's *Guidelines for Strategic Plans* makes it clear that if a mission cannot pursue an environmental SO as part of its portfolio, it should attempt to address environmental issues under other sector SOs. With a strategy designed to address regional food insecurity and recurrent conflict, given the environmental roots of these problems, **REDSO, in order to succeed, must ensure that environmental considerations are fully integrated into its strategy.** Integration means more than having an "Environment/Natural Resource Management" Team with its own activities. Integration means that each REDSO SO, office, and team must work with the E/NRM Team to be cognizant of the environmental issues, potential

[10] Strategic goals for State/AFR/EA include regional security, humanitarian assistance, democracy/human rights, and counter terrorism (Draft REDSO/ESA Strategy, 2000).

[11] The U.S. Government Inter-Agency Strategic Plan states that the U.S.G. will aim to reduce regional conflict by attempting to *"address the root causing of conflict both multilaterally and bilaterally, using development assistance and support to democracy."*

impacts, and integrative strategies relevant to their sector when considering the design, implementation and monitoring of activities.

3.2. GHAI Strategic Priorities

The GHAI seeks to stimulate a collective effort to "break the cycle of despair" in the GHA, arguing that past efforts have tended to address the symptoms of crisis rather than the causes, and that food security is a key ingredient in creating a "wedge" that breaks the cycle of despair in the region. The GHAI also notes that conflict prevention is linked to food security and is also a key element to achieving regional progress. The GHAI embodies a set of principles designed to operationalize the program: (1) African ownership; (2) strategic coordination; (3) linking relief and development; (4) regional perspective; and (6) promoting stability. The highest level goal of the GHAI is *"A Food Secure, Just and Peaceful Region,"* which is supported by SOs relating to food security; conflict prevention, mitigation, and response; and access to analytical information. The GHAI is currently guided by the GHAI Strategic Plan, which covers the period 1998-2002.[12]

3.3. Environmental Review of Proposed REDSO Strategic Plan

REDSO is responsible for coordinating overall implementation of the GHAI in the field. As such, most of REDSO's efforts will involve implementation of GHAI regional activities, and working with GHA bilateral missions to elicit "convergence."[13] This section reviews each of the five major REDSO strategy components: (1) SO#5: *Enhanced African Capacity to Achieve Regional Food Security* (2) SO#6: *Enhanced Capacity for Managing Conflict in the Region;* (3) SO#7: *Enhanced Regional Capacity to Improve Health Systems;* (4) SO #8: *Effective Services to ESA Missions and Support to Regional Partners*; (5) SO#9: *Effective Delivery of USG Assistance to Non-Presence Countries.* The latter covers activities in Sudan, Somalia, and Burundi.

3.3.1. SO#5: Enhanced African Capacity to Achieve Regional Food Security.

For the purposes of this section, SO#5 Team activities are separated into "sectoral" themes of: agricultural productivity; economic growth (including private sector development/trade); and environment and natural resources. For each "sector," activities are reviewed and discussed, after which follows a section on "opportunities" for the overall SO#5 Team that explores the various linkages among SO#5 activities as well as with other REDSO SOs.

3.3.1.1. Agricultural Productivity

A sizeable portfolio of agricultural productivity-related activities are coordinated under ASARECA[14]. Activities embrace development and transfer of agricultural production and post-harvest technologies, and involve activities such as: identification of research areas; research planning and proposal development; agronomic research; and both on- and off-farm storage and processing techniques. Current grants are to: (1) CIP for potato and sweet potato research and extension; (2) IITA for cassava research and extension; 3) CIAT for bean research and extension; (4) CIP for the technology transfer activities; and (5) IITA for market research and postharvest handling. Another current activity, through a "buy-in" with INTSORMIL, supports IGAD in the design of drought-tolerant crop projects. These large, multi-year activities are expected to constitute the bulk of REDSO's agricultural productivity activities during the strategy period.

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[12] The Greater Horn of Africa Initiative (GHAI) Strategic Plan: FY 1998 - FY 2002, November 1997 (USAID).

[13] "Convergence" refers to the movement of bilateral mission strategies and programs towards the GHAI in terms of objectives and approach.

[14] ASARECA (Association for the Strengthening of Agricultural Research in East and Central Africa) is a regional intergovernmental organization composed of National Agricultural Research Institutes from ten countries in East and Central Africa: Kenya, Uganda, Tanzania, Rwanda, Burundi, DRC, Sudan, Ethiopia, Eritrea, and Madagascar.

Environmental impacts. Most of the activities supported involves analyses; studies; information collection/dissemination; workshops; and similar activities with no direct effects on the environment. However, potential modest environmental impacts may be associated with agronomic research activities to be carried out by the various partners. Currently, an Initial Environmental Examination (IEE) is in place for this set of activities that calls for application of an environmental review process for individual activities as they are designed and implemented (Negative Determination with Conditions). This entails some strengthening of the grantee partners (as well as ASARECA) on USAID's environmental review procedures. The potential for expansion of agrochemical inputs and genetically modified organisms associated with successful intensification of agriculture constitutes an area needing continued surveillance and proactive programming.

Opportunities. ASARECA in February 2000 convened a workshop to develop elements of a strategy for natural resources management research in Eastern and Central Africa. The meeting recommended that the strategy and content of NRM research among the various network members be termed "Management of Soil, Water, Vegetation and Livestock Resources for Growth and Sustainability of Agricultural Products." Particularly promising in terms of promoting integrated programming within SO #5 are the African Highlands Initiative (AHI), the Agroforestry Research Networks for Africa-Eastern and Central Africa (AFRENA-ECA), the new Soil and Water Conservation Network (SWNet), and the Eastern Africa Plant Genetic Resources Network (EAPGREN). Likewise, the Animal Agriculture Research Network is a dual purpose network which can also contribute to the development of technologies for sustainable NRM in the region.

3.3.1.2. Economic Growth/Trade

The private sector can plan a vital role as an engine to increase trade and spur economic growth can play a vital role towards achieving food security for the region. Activities related to economic growth and trade are aimed at promoting economic reforms that will lead to increased levels of trade and investment. Strategies include creation and support to partnerships between African-owned ESA regional organizations, particularly those that will create and foster opportunities for partnerships between the public and private sector.

Current activities include: (1) Support to ASARECA for network monitoring, policy analysis and implementation, and institutional funding; (2) the Regional Trade Analytical Agenda (RTAA), which addresses specific issues related to regional trade (including cross-border trade), communications and transportation barriers and on analyzing country comparative advantage in the production of specific commodities (key RTAA partners include: COMESA [Common Market for Eastern and Southern Africa]; EAC [East African Cooperation]; and IGAD); and (3) support to the regional policy and regulatory environment for trade, marketing, networking and investment (key partners: COMESA; IGAD; and ESABO [Eastern and Southern Africa Business Organization].

Environmental impacts. Most of these activities involve analyses; studies; information collection/dissemination; workshops; and similar activities with no direct effects on the environment. Currently, an IEE is in place for the current ASARECA and RTAA activities (the same umbrella IEE that includes the "commodity networks").

USAID usually considers indirect support to input and output marketing as potentially influencing pesticide use, therefore the actual linkages need to be thought through, per 22 CFR 216.3(b). Several of the components of the Agricultural production agenda will reasonably lead to new practices or changes in practices related to seeds, pesticides, etc., in addition to water and energy use, land clearing, etc. These components include business linkages, targeting of new market niches, technology transfers, restructuring

of publicly owned operations, and capacity building/management training. It does not seem unreasonable for USAID to proactively put specific requirements in the technical assistance and linkage grants that contractors should foremost encourage sound environmental practices.

Also, there are also clear, non-tangential business reasons to encourage safe/minimal use of pesticides, for example. One relates to the contribution of HIV/AIDS to productivity issues in the labor pool. It has been well demonstrated that poor pesticide handling and use practices result in widespread illness among farm workers in developing countries. It seems particularly prudent, therefore, to carefully manage chemical use (and probably fertilizer use) to adequately protect the health of immune-deficient HIV/AIDS victims and labor productivity.

When at all possible, it is desirable to encourage "upstream" thinking about these sorts of issues, such as in Requests for Proposals, including a criterion encouraging partners to think through the environmental "win-win" opportunities in agribusiness programs, and asking them to respond in their proposals with how they would incorporate environmental sustainability and soundness into the program.

3.3.1.3. Environment and Natural Resource Management

The E/NRM Team has several activities planned and/or underway, focused on strengthening capacity of selected regional institutions to promote environmentally sustainable management of resources. The selection of natural resource areas and issues was based on their relevance and contribution to food security, conflict, and potential for synergy with other components of SO#5, other REDSO activities, and bilateral mission activities. The following gives a brief overview of those activities.

Activities will include a strong focus on strengthening regional capacity (through selected partner institutions and their national counterparts) for sustainable management of key transboundary resources, including:

- *Pastoral Rangelands.* Support to OAU/IBAR (Intergovernmental Bureau for Animal Resources) will aim at strengthening their capacity to address factors limiting productivity and sustainability of traditional pastoral systems;
- *Coastal Resources.* Partnership with the Western Indian Ocean Marine Sciences Association (WIOMSA) will strengthen that institution towards fulfilling its potential as a regional center of excellence in coastal resource management. USAID/Kenya and Tanzania have country-level programs in coastal resource management;
- *Freshwater Resources.* Support to ACTS will focus on enhancing their capacity to identify and address issues affecting watershed management (It should be noted that IGAD is receiving HASP support on regional water management issues; and the EAC is benefiting from GHAI support to on water hyacinth control in the Lake Victoria subbasin. Also, USAID is providing support to an Environmental Threats, Opportunities, and Constraints Analysis (ETOCA) study under the Nile Basin Initiative).

Another set of activities will seek to enhance capacity to develop and implement environmental review procedures on a coordinated regional basis. Regional "harmonization" of environmental procedures and laws is critical to coordinated and sustainable management of transboundary resources. For example, control of the invasive species water hyacinth in Lake Victoria has been severely hampered by lack of a regionally acceptable environmental impact assessment. Targeted partner institutions include regional organizations with natural resource management functions: the EAC; ASARECA (relevant to a broad

range of agriculture and NRM activities); and ACTS. IGAD, given its broad regional development planning mandate, would be another strategic partner.

Finally, as mentioned earlier, support to the DMC is managed by the E/NRM Team. This activity supports efforts of the DMC to maintain and strengthen its ability to predict and respond to climatic variability, with emphasis on pastoral rangeland ecosystems. It has clear linkages to the agendas of SO #6 and SO #9.

Overall, the E/NRM activities appear well targeted in terms of both selecting activities relevant to the overall strategy and capitalizing on linkages with other activities.

Environmental impacts. By design, the E/NRM activities should have beneficial effects on the environment by building regional awareness and capacity on environmentally sustainable management of a range of natural resources.[15] There is in any case a need to encourage mainstreaming of environmental consciousness and sustainability in all activities promoted and advised by the SO #5 E/NRM team.

3.3.1.4. Opportunities for SO#5

Environmental security[16] is a prerequisite for long-term food security. Because the natural resource base serves as the ultimate basis for food production, development approaches that combine sound natural resource management practices with environmental rehabilitation have the greatest potential to maximize food productivity. Given the opportunities (and need) for synergies within SO#5's own activities, as well as between SO#5 and other proposed SOs, as REDSO moves into its new strategy period, the SO#5 Team should explore management structures that better promote dialog and coordination between its various component teams/groups. This section presents several linking themes and possible opportunities within each. Opportunities for linking SO#5 (focusing on environmental issues) and SOs #6 and #7 are discussed in the sections dealing specifically with those SOs.

Conceptualizing and Rationalizing Activities. There needs to be more emphasis placed on ensuring that activities (either actual or planned) are conceptually linked to the unfolding strategy. Many ongoing activities are simply taken for granted as being rational parts of the new portfolio with no discussion on how they fit in or on what may be missing. The E/NRM Team conducted its own internal strategic planning exercise by thinking through the conceptual framework of why "environment" was important to food security and conflict resolution; thinking through the rationale for choices of activities and partners; and identifying the linkages between E/NRM activities and other SO#5 activities, and well as with other REDSO SOs and bilateral mission activities. This exercise was useful for the E/NRM Team and might be replicated by the other groups within the SO#5 Team and then by the overall SO#5 Team as an exercise to facilitate integration of environmental considerations into SO#5 activities, as well as integration of SO#5 activities in general.

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[15] The [former] Regional Environmental Advisors's Closeout Report does mention that the "Environment" Sector needs to address its Reg. 216 compliance needs (Bingham 1999).

[16] Thrupp (1997) cites several sources in defining environmental security: *"Environmental security has been generally defined as 'a state in which an ecosystem is able to support the healthy pursuit of livelihoods by the people living in that system.' It refers to the sane and sustainable use of natural resources, safe disposal of wastes, as well as protection from pollution and abuse (from warfare and other exploitative activities), and conservation of biological diversity. Like food security, environmental security is important at global, regional, national, and local levels. Regional environmental security is an important concept in the GHA context; it is important as a goal to ensure regional institutional cooperation to sustainably use, share, and conserve resources."*

As an illustration, has anyone weighed the relative contribution to food security (and conflict) of GHA's productive marine, aquatic and cropland, rangeland resources, and the needs of these various sector? The current and historical focus of REDSO has been on agricultural crops and regional trade, and much less on aquatic and range resources. However, SO#6, has clearly focused on water and pastoral lands as two key sources of conflict. Only the E/NRM Team within SO#5, is placing some emphasis on coastal, aquatic and rangeland resources in terms of planning. Or should the E/NRM team abandon its plans for support to these areas and concentrate efforts on agricultural systems and partners such as ASARECA as the most logical principal focus?

Agricultural Production and the Environment. Veit (1998) discusses various strategic implications for better linking agriculture and the environment:

- Increases in agricultural production should be driven by changes in practices that lead to sustainable intensification that concentrate on improving or maintaining soil fertility; protecting soils from erosion; and maintaining on-farm biodiversity;
- Sustainable intensification must be supported by agricultural services and policies that make available the necessary inputs and technologies;
- Changes in resource tenure regimes that promote greater long-term investments in land will also support sustainable intensification;
- Investment in rehabilitation of degraded marginal lands, combined with appropriate stewardship, can bring such lands back into production; and
- "Biodiverse wildlands" that may provide critical ecological services to local production systems can be managed to provide sustainable benefits in more tangible ways (e.g., minor forest products, watershed protection) and thereby create additional incentives to conserve these areas.

Food Security and Biodiversity Conservation. Wilkie (1999) explores the linkages between food security, agriculture and biodiversity, making several points on both synergistic and "perverse" impacts and linkages:

- Increasing food security by extensification or specializing in few crops (i.e., high-value non-traditional agricultural exports) will adversely affect biodiversity;
- Activities that reduce soil erosion will minimize the need to cultivate new lands, and is therefore good for biodiversity conservation;
- Protected areas are good for agriculture and food security where ecosystem services such as water flow regulation and habitat for pollinators are provided, but may have negative consequences due to their providing habitat for crop-raiding species; and
- Protected areas can potentially provide sustainable harvests of various products that serve as an "insurance policy" against crop failure.

Targeting. A number of areas, due to their biological productivity, are important areas for both food security and biological diversity. By targeting such areas, activities can contribute to both goals. For example, several areas mentioned earlier in the context of valuable biodiversity sites are also critical areas for food security. Those include the shared ecosystems of the Lake Victoria subbasin, and the east African coastal zones.

On-Farm Biodiversity (or Agrobiodiversity). On-farm biodiversity is an important component of productive and synergistic farming systems. Support to agricultural research and extension should ensure that programs seek to maintain or enhance biodiversity in agricultural, fisheries and pastoral production systems. Strategies to enhance biodiversity may include incorporation of genetic diversity in plant

breeding; increasing diversity in production system components; use of integrated pest management (IPM). IPM has eminent potential to be a cross-sectoral strategic tool for regionally enhancing linkages between environmental protection and food security.

Trade Standards. International trade standards offer growing opportunities to leverage environmental gains as part of rapidly expanding global trade. Stoughton and White (1999)[17] discuss the possible effects of several different categories of trade standards:

- *Product standards* as can be imposed in trade agreements can set standards of imports to protect public health and the environment, as in the setting of limits of pesticide residues in agricultural produce;
- *Eco-labeling* can be used to appeal to environmentally aware customers by providing information on the environmental nature or of the environmental impacts of a product and achieve higher returns; and
- *Environmental Management System Standards* such as the ISO (International Organization for Standardization) series sets out environmental management process/procedure frameworks, which can be followed by organizations (on a voluntary basis) to better appeal to customers, and increase product market value.

Regional trade networks can be made aware of the opportunities presented by such standards for regional products. These standards, appropriately employed, can increase profits while reaping positive environmental outcomes.

Gender. Gender is a critical cross-cutting issues for SO#5, particularly in the context of womens' role as principal NRM laborers and decision makers. Women carry out 70-80% of all subsistence farming in Africa (Veit, 1998) and make key daily decisions on land, water and biotic resources. A thorough gender analysis of SO#5 activities will help ensure appropriate approaches towards sustainable management of the natural resource base upon which food security depends. Key issues to consider:

- Make sure agricultural research and extension reach the appropriate customers. A study cited by Veit (1998) found that only 2-10% of Africa's agricultural extension systems reach women. Yet women are responsible for the majority of agriculture labor and decisions;
- Increasing land ownership and land security among women can pay dividends in term of long-term investment in sustaining land productivity;
- By increasing the effectiveness of womens' labor, more time is freed up to tend to family health and educational needs;
- Environmental degradation means that more labor (mostly womens' labor) must be invested in the same land in order to achieve the same yield. By promoting practices and technologies that avoid (or better yet, reverse) land degradation, women will have more time to tend to other family needs; and
- By increasing womens' role in local, national and regional decision-making fora, womens' needs as they relate to food security and natural resource management will be better expressed and incorporated into programs and activities;

Regional approach. As discussed in Section 2, environmental threats are often most effectively addressed within the ecological units in which they are expressed. Swartzendruber et al (1998) asserts that viewing a region as a set of linked ecological units (as opposed to a collection of political units), and attempting to manage them from that perspective makes much more sense from an environmental management approach. Transnational river or lake basin commissions, such as TECCONILE, the Lake Victoria

[17] Stoughton, Mark and Allen White. *Trade and Environment: Critical concepts and considerations for project design and implementation.* 1998. For USAID/AFR/SD. EPIQ/Tellus Institute, Boston, MA.

Fisheries Organization, or the recently launched Nile Basin Initiative represent attempts to rationalize such management, and hence might be logical water resource management partners.

Information Technology. The use of computers and the internet hold tremendous potential for sharing of all types of information - including environmental information. By increasing access to information among environmental managers (or networks and partnerships that *should* be environmental managers), knowledge of environmental issues and solutions will be more easily and appropriately brought into planning, implementation and monitoring of regional programs and activities.

3.3.2. SO#6: Enhanced Capacity for Managing Conflict in the Region

The emphasis of this SO focuses on support to African-owned and led conflict prevention, mitigation and response (CPMR) activities in the GHA region. Activities fall into one or more of the following general categories: (a) policy review/reform (GHA-region government policies that affect conflict prevention); (b) capacity building (of African organizations involved in CPMR); (c) collection and dissemination of information (relevant to enabling Africans to more effectively prevent and respond to conflict); (d) research and analysis (into potential sources of and possible solutions to conflict); and (e) pilot CPMR activities (assistance to specific conflict situations and testing of CPMR approaches).

REDSO-managed activities currently underway include two grant programs to support CPMR in the GHA region: (1) the *Conflict Quick Response Fund,* intended to facilitate rapid responses to urgent CPMR needs (e.g., travel or other costs for short-term mediation/negotiation efforts, small meetings/conferences, or rapid assessments of conflict situations) that address existing or potential conflict situations; and (2) the *Conflict Pilot Activities Fund* (CPAF), designed for testing, adapting and replicating longer-term innovative CPMR approaches, as part of a robust transition to development.

The CPAF plans to support activities related to the environmental dimensions of conflict, and includes "conflict over natural resources" as one of its priority focus areas. One pending CPAF activity of note is a grant to the African Centre for Technology Studies (ACTS) to study the ecological sources of political and ethnic conflicts in subsaharan Africa and to promote integration of environmental concerns into regional and international conflict management and resolution activities. The ACTS grant will be managed by the E/NRM Team Leader, and will be linked with related efforts, e.g., Woodrow Wilson Institute of Environmental Security, IUCN, WRI.

The Horn of Africa Support Program (HASP) also supports an *Institutional Strengthening and Grantsmaking Program* (ISGP) that provides institutional strengthening grants and technical assistance toward food security and CPMR work. The ISGP has supported several activities with the Intergovernmental Authority on Development (IGAD) related to environmental issues, such as water resource management capacity building; agricultural production; community-based land husbandry; and conflict/early warning systems.[18]

Another currently ongoing activity, supported under the MOBIS IQC and implemented by MSI, includes analytical studies of key NRM issues as they relate to CPMR. Under this activity, plans to support country-level "environmental flashpoints" studies are planned. To date, one such study has been supported for Tanzania.

[18] The HASP-funded IGSP supports activities that fall under both SO#5 and SO#6. Activities are managed by members of either SO.

Environmental impacts. Activities supported under this SO are varied but generally limited to logistical support (e.g., travel costs), funding of various CPMR fora, studies and analyses, and similar activities with no direct effects on the environment.

Opportunities. While activities envisaged under this SO have little capacity for direct environment impacts, the SO#6 Team (as well as the E/NRM Team) should bear in mind the environmental dimensions of current and potential GHA conflicts (see Section 2.1.5) in designing, selecting, and implementing activities. This has in fact been happening, in the past, as evidenced by effective integration of environmental concerns into CPMR activities, as well as positive interaction between the CPMR and E/NRM teams that has resulted in concrete, synergistic activities. For the future, this linkage should be maintained, and also broadened so that cross-fertilization of ideas occurs between the SO#6 Team and the entire SO#5 Team. Several suggestions are provided that might further strengthen consideration of environmental issues by SO#6 and enhance linkages with SO#5:

- The *Environmental Flashpoints* study conducted in Tanzania is a useful way to raise awareness within countries (and USAID missions) as to the environmental dimensions of conflict, and might also identify potential interventions that suit both bilateral and GHAI objectives;
- Linking MSI (under the MOBIS IQC) and ACTS during the preparation and implementation phase of the proposed ACTS study on "Ecological Sources of Conflict" might serve to ensure that the ACTS study: (1) strengthens the institutional capacity of ACTS; (2) puts forth practical approaches and cases studies for hypothesis (i.e., pilot program) testing; and (3) meets high research quality standards;
- The Drought Monitoring Center (DMC) activity (part of the World Meteorological Organization) managed by the E/NRM team is equally relevant to the SO#6 and SO#5 Teams, and might serve as a link to keep the teams close. Linking the DMC to the USAID/Washington-funded Famine Early Warning System (FEWS) might serve to strengthen both activities. Likewise, the World Food Program maintains a Vulnerability Analysis unit in Nairobi, and the World Bank funds an Arid Lands Monitoring and Rehabilitation program in Kenya. Such links should be established and maintained;
- Continue to work with civil society groups with natural resource and environment-related agendas (as in the case of FONI) as appropriate entry points for promoting control over local resources, accountability of central authorities for environmental policy and management decisions, and resolution of natural resource related conflicts;
- Consider supporting interventions related to improving security of access to productive resources. Land tenure systems where groups of individuals are denied sufficient access to productive resources is a key natural resource issue that may lead to conflict. As such, in areas of conflict, or in food insecure areas with high potential for conflict, an analysis of the prevailing systems of land tenure may help to identify possible sources of conflict, and therefore possible avenues for conflict prevention; Also, it would be most apt to develop pilot implementation activities which tackle innovative approaches towards management of resource conflicts such as the Rahabilitation of Arid Environments Charitable Trust in Baringo, Kenya (RAE 1998);
- Continue to highlight the relationship between conflict and food security to the Food Security (SO#5) Team, and provide input to the SO#5 Team to ensure that their choice of activities remains as relevant as possible to the work of the CPMR (SO#6) Team.

3.3.3. SO#7: Enhanced Regional Capacity to Improve Health Systems

The REDSO Population, Health, and Nutrition (PHN) Program is not limited to the GHA, and covers the entire ESA region. SO#7 focuses on capacity and institutional strengthening of regional partners: Commonwealth Regional Health Community Secretariat; Centre for African Family Studies; and Makerere University. Activities are implemented throughout the region by a large number of

Cooperating Agents. No direct health service delivery is involved, nor is any construction. Limited equipment is provided to health care institutions. Some training may include discussion of disposal of some biohazardous wastes (e.g., AIDS blood testing, needles, sharps, condoms). The SO#7 program also includes a nutrition component, which links SO#5 well with SO#7 in terms of the *utilization* dimension of food security.

Environmental impacts. Most SO#7 activities involve training, institutional strengthening and similar activities with no direct effects on the environment. However, while the potential for impact is limited, the REA Closeout Report expressed concern over the non-compliance of the PHN program. The rationale presented by the PHN Team to the REA was that the "buy-in" activities of which the health portfolio consists are all covered by IEE Categorical Exclusions approved for the "parent," Global Bureau-managed agreement. Any involvement in insecticide-treated bednets will be covered by a programmatic environmental assessment currently being conducted by the Africa Bureau. A dialogue has begun with the Health team and the matter will be addressed during the course of the launching of the new health strategy's implementation mechanisms.

Opportunities. Several potential opportunities for increasing effectiveness of environmental programming are presented:

- An SO-level IEE would appear to be the most effective strategy for achieving compliance. While Field Support mechanism being used to implement most SO#7 activities are generically covered by IEEs approving Categorical Exclusions, local-level validation of that determination by looking at specific activities can verify applicability of the Categorical Exclusion, and provide an opportunity for proactively incorporating environmental concerns into activities;
- Training modules could be added (or strengthened) to include proper procedures for disposal of biohazardous wastes; and for proper water and sanitation practices as they relate to disease transmission;
- Promote integration of health into other "sectors" or SOs as in examples of USAID/Madagascar program linking environmental health and biodiversity; USAID/Angola's health SO dealing with water and sanitation; the nutrition component of REDSO's SO#5; and REDSO-managed refugee relief activities; and
- Population pressure represents a root cause of environmental degradation and biodiversity loss. Activities that help stabilize population will therefore contribute to environmental conservation, and help stem biodiversity loss. Targeting population activities in priority ecosystems (i.e., those that have: high biodiversity; high population density; degraded natural resources; or high food production potential) can increase the overall effectiveness of USAID's (and the GHAI's) sustainable development goals.

Improvements in women and children's health and reductions in fertility overall in REDSO countries can only reflect positively on the country's environmental future, both in relation to USAID programs, and more broadly. Likewise, programs intended to stem the tide of HIV/AIDS will have a salutary effect on the countries' health and economy. However, several explicit steps can be taken to enhance the contributions of health SOs to environmental sustainability in the region, while also enhancing health outcomes. For example,

- First, SO teams involved in promotion of insecticide treated netting (ITN) for malaria control will need to ensure that a Pesticide Evaluation Report and Safe Use Action Plan (PERSUAP) is developed. This can be done in conjunction with the national experts and related programs supported by USAID, WHO and other donors, and the Programmatic Environmental Assessment of ITN being

organized by AFR/SD. In this way, unintended negative health risks associated with inappropriate insecticide use will be avoided or minimized.

- Second, SO teams could seek to understand better the environmental components of health problems, for example as part of the child survival program. If during the implementation, linkages to environmental changes are established, the SO partners could work to enhance the sustainability and impact of their programs in appropriate ways, such as including education about these linkages in its outreach efforts in child survaival/reproductive health/family planning and HIV/AIDS services.

- Third, SO teams can encourage the Ministry of Health and other appropriate actors to ensure that WHO guidelines and standards are applied to the management of healthcare wastes, esp. those associated with testing and treatment of HIV/AIDS-affected persons.

All these approaches are addressed and encouraged through the environmental review process to which all the SO programs are subjected, and all new implementation mechanisms will be likewise.

Explicit linkages to environmental sustainability and possible synergies with environment programs are not usually sought. However, any activity related to environmental health, such as NRM interventions in CBOs which may benefit by environmental sanitation and health services, could potentially include components of health programs' child survival, malaria, maternal health and HIV/ADIS services, and the like.

3.3.4. SO #8: Effective Services to ESA Missions and Support to Regional Partners

A key function of REDSO staff is to provide support services to client ESA USAID Missions. These services, which may be in the form of TDYs or "virtual" support to country activities, are divided into Core Services and Technical Services. Given REDSO's expanded GHAI role, Technical Services support to USAID missions will be significantly cut back, and priority will be placed on GHAI-related activities, and on "convergence" of missions. Core Services will remain a high priority for REDSO, and will be provided ESA region-wide. This section suggests priority areas for support services, focusing mostly on mandated and potential services provided by the E/NRM Team.

3.3.4.1. Core Services

REDSO Core Services cover a range of functions: legal services; contracting; financial management; food for peace; and environmental compliance. Two of those services will be commented on with respect to environmental considerations: food aid; and environmental compliance.

3.3.4.1.1. Food Aid, Relief Assistance and the Environment

Population dislocations can create and worsen environmental problems. Concentrated refugee populations have been known create irreversible damage to local ecosystems. Thrupp (1997) cited resettlement areas and refugee camps that concentrate large numbers of people as critical areas where the nexus of food and environmental security is particularly apparent. It is in this context that Core Services providers dealing with Food For Peace activities should be well versed in methods for addressing potential and actual environment impacts of food aid and relief assistance. The UNHCR Environmental Guidelines (UNCHR, 1996) reviews environmental problems associated with refugee assistance, and provides operational guidelines on integrating environmental considerations into all phases of refugee assistance, using four key principals: (1) integrated approach; (2) prevention before cure; (3) cost-effectiveness; and (4) local participation. The UNHCR Website contains additional useful information on environmental concerns during refugee operations. *Environmental Guidelines for Small-Scale Activities in Africa* (Knausenberger et al, 1996) provides information on environmental concerns related to relief, resettlement, and food aid. Likewise, the *Environmental Documentation Manual for Title*

II Cooperating Sponsors Implementing Food-Aided Development Programs (Bingham et al. 1999) was produced to assist PVOs in meeting the environmental compliance requirements of USAID while also strongly promoting "beyond compliance" behavior in applying environmental review to program design, implementation and monitoring.

3.3.4.1.2. Environmental Compliance

While all USAID officers share part of the responsibility for compliance with the "environmental legal framework" discussed earlier, the Core Service function of "environmental compliance," (as provided by the E/NRM Team, and the Regional Environmental Advisor [REA] in particular), is of central importance.

During the past strategy period, the ESA region benefited from dedicated and innovative REDSO services regarding environmental compliance. The USAID Africa Bureau has been an Agency leader in pioneering progressive and proactive application of Reg. 216 and other parts of the "environmental legal framework" in its programs. As a result, given REDSO's role as a "center of excellence" for environmental compliance, the ESA region is in relatively good shape as concerns the overall environmental compliance situation. An overview of the status of ESA bilateral missions and REDSO IEEs and other Reg. 216 compliance issues are summarized in the former REA's Closeout Report (dated October 20, 1999). The Report provides a number of specific recommendations aimed at improving and building on the success of the past ESA environmental compliance strategies. Following are some broad-scale recommendations on targeting this Core Service:

Environmental Procedures. Proper application of USAID's Environmental Procedures (22 CFR Part 216, Reg. 216) ensures consideration of the effects of all USAID activities on the environment. IEEs in place for REDSO programs have been cited under their associated program component.

The Africa Bureau's *Bureau Environmental Office (BEO) Actions Tracker* is a centralized recording keeping system and resource for all interested parties to obtain information about all environmental review actions taken by the BEO. IEE files are available to the Regional Environmental Officer on CD-ROM as well as via the AFR/SD website for the Strategic Support Objective on Environmental Compliance and Quality. REDSO, in connection with its ICT- and Global Information Infrastructure support systems being developed, intends to provide targeted technical support to regional client missions, drawing on the AFR centralized records, in part, and coordinated with related web-based resources of AFR/SD (FRAME, NRM Experience Tracker, etc.) and G/ENV.

REDSO's E/NRM team intends to develop a Reg. 216 and environmental soundness support system which would allow the REO technical support team to be more responsive to ESA mission needs, better monitor ongoing compliance with IEE conditions, and provide technical support such as:

- host environmental guidance documents, issue briefs, case studies, and/or other program reviews to post once web-site is established;
- web-based information management regarding for REDSO client missions, provided through REDSO, AFR/SD, G/ENV et alia;
- development of country strategic planning guidance
- technical analyses of thematic or site-based issues in environment
- support for mission strategic planning in E/NRM and environmental compliance

Continued emphasis should be placed on the Environmental Management Capacity Building ("ENCAP") approach to environmental compliance that empowers USAID partners, through training and delegation of responsibility, to do sound environmental planning and implementation of their development activities.

The ENCAP approach is consistent with the GHAI value of capacity strengthening, and also serves as a stepping stone to broader environmental assessment strengthening activities proposed under the E/NRM component of SO#5.

Another tactic for facilitating and monitoring Reg. 216 compliance, and also for helping teams to explore and capitalize on opportunities to incorporate environmental issues or approaches into their activities is by membership of the REO/REA on all REDSO SO Teams (as well as membership of the team(s) responsible for OFDA and NPC activities). Such membership is provided for in the ADS. While broad cross-membership on SO Teams is desired, the ADS does provide at least this one guaranteed "in" on SO Teams.

Country Strategic Plans. The periodic development of CSPs by USAID bilateral programs is the key juncture at which USAID's environmental agenda must be considered and integrated into mission planning. Appropriate consideration of these environmental factors requires that appropriate mission personnel (i.e. program officers, environment officers, and E/NRM SO team leaders and advisors) are fully conversant in the legal requirements, USAID procedures and policies, and are equipped with the tools to bring these environmental considerations into the development planning process.[19] REDSO (the REA in particular but also the entire E/NRM team) can play a catalytic role in this process by monitoring mission strategic planning cycles, and providing (in a proactive way, as mission staff might not be aware of the advantages [and legal requirements] of environmentally sound strategic planning) timely (i.e., during the pre-planning stage) technical support to the appropriate mission staff. Assistance is particularly critical in cases where new country programs are being developed.

Training. Periodic training of Mission Environment Officers and mission portfolio reviews (during initial visits and based on annual R4 reporting) are useful strategies in working towards ESA-wide compliance with the environmental legal framework. The former REA suggested an E/NRM Team Leader/Advisor and MEO training meeting to be held in conjunction with the next Agriculture/Environment/Private Sector Officer Conference (planned for November 2000).

3.3.4.2. Technical Services

This section focuses on the E/NRM-related technical services outside activities related to environmental compliance. It should be noted that the Core Service activities listed above related to Strategic Planning and Training might also be considered as "Technical Services." However, they have been categorized as a "Core Service" as they are high priority and strategic means of ensuring appropriate consideration of the environment across the ESA region. Given likely significant reductions in the amount of time available for the provision of Technical Services, such categorization might serve to protect these strategic services. As concerns Technical Services, guidance has made it clear that all services much be directly related to REDSO's role as overall GHAI coordinator for the region Therefore, activities should be in some way related to the convergence of bilateral programs and activities with GHAI objectives and principles. Some suggestions on focus:

Convergence. A number of activities funded by bilateral missions are directly related (and often well-linked) to GHAI and REDSO-supported activities. Examples from the EAC countries include USAID/Kenya and Tanzania support to coastal zone management activities and REDSO's support to

[19] The USAID Global Environment Center is currently developing a *"Users Guide for Considering Environmental Concerns in [USAID] Strategic Planning."* The guide will: (1) compile information on environmental legislation and guidance relevant to the CSP process; (2) summarize and interpret the influence of the legislation and guidance on the process; and (3) provide practical guidance, tools and examples to encourage and facilitate environmentally sound and legally correct strategic planning. Once completed (estimated completion date is June, 2000), the guide can serve as an awareness raising tool as well as practical reference document.

WIOMSA; and the GHAI-funded assistance to the EAC in managing Lake Victoria's water hyacinth infestation. It would be a useful exercise to do an analysis of USAID programs in the GHA region in terms of how they address environmental issues relevant to the GHAI, or the extent to which environmental concerns are incorporated into program approaches. Such an analysis might provide a basis for objectively targeting and prioritizing Technical Support, where demand is likely to significantly outstrip supply.

Along these same lines, an annual retreat for GHA mission environment staff (also suggested in the context of environmental compliance for the broader ESA region) would serve as a useful forum to share information and discuss options for harmonizing programs and approaches, exploring opportunities for shared bilateral support to transboundary ecosystems, and various other aspects of convergence.

Maintaining Corporate Knowledge. Historically, REDSO has performed a useful function by maintaining USAID's ground-level "corporate knowledge" of the ESA region in terms of development issues across all sectors. As USAID bilateral missions decline in number, and as REDSO focuses increasingly its own programs and on the GHAI, USAID begins to lose valuable on-the-ground regional perspective and understanding of environmental issues and trends. The E/NRM Team might explore ways to maintain this corporate knowledge. One potential partner is the Africa Bureau's FRAME[20], which offers tools to help capture, retain, and share useful environmental information among a wide range of partners.

International Agreements. Support to mission involvement in supporting national-level capacity to interpret, implement, and capitalize on international environmental agreements is another avenue for promoting regional dialog on environmental issues. While REDSO has appropriately focused on regional intergovernmental organizations as partners, additional opportunities are presented by national participation in - and national obligations to - international conventions. Key conventions for the purposes of the GHAI include: Convention on Biological Diversity; Convention to Combat Desertification; and Framework Convention on Climate Change. These conventions are designed to address global environmental issues through concerted action of national-level members.

According to Veit (1998), national development programs are not yet well-linked to obligations under these conventions. A better understanding of the issues and strategies available can help decision-makers better incorporate these global environmental concerns into national development strategies. Regional organizations might provide an opportunity to harmonize national approaches. In the case of the Convention to Combat Desertification, a number national and regional African partnerships and action plans have already been developed. In theory, funding from the Global Environment Facility is available to support national activities related to operationalization of these agreements. The Department of State has established Regional Environmental Hubs in Addis Ababa, Pretoria and Abidjan. The role of these Regional Environmental Officer is in part to better link the Department of State's Science and Technology Policy with negotiations on international conventions at the regional level.

3.3.5. SO#9: Effective Delivery of U.S. Government Assistance to Non-Presence Countries (NPC)

Non-presence countries that REDSO is responsible for include the GHA countries of Sudan, Somalia, and Burundi. For these countries, REDSO plans for and manages activities under Integrated Strategic Plans (ISPs) for each country. ISPs are a REDSO innovation that allow for shorter-

[20] The purpose of FRAME is to "support better decision-making in environment and natural resources in Africa by increasing the effectiveness of already existing information. It is aimed at providing transparency to decision-makers about the costs and benefits of taking one action over another."

term planning (e.g. three years, as opposed to 5-8 years for CSPs) for transitional "relief to development" activities.

3.3.5.1. Sudan

The first ISP for Sudan 2000-2002 was approved in March 2000. Activities will expand on those conducted under the 1997-1999 ISP, with emphasis on preparing for a transition to peace, while continuing to respond to ongoing conflicts and natural disasters. The proposed ISP goal is *A Less Vulnerable, More Self-Reliant Population Better Prepared for a Transition to Peace*, under which three SOs are set forth. The draft ISP includes a section entitled "Environmental Analysis" that briefly reviews the potential impacts of the ISP program for each SO, as well as a strategy for avoiding and mitigating environmental impacts. The level of analysis done for the ISP is brief, but adequate given the nature of the assistance, and clearly demonstrates that environmental considerations have been incorporated into the planning process (in contrast, the ISP in force for Somalia contains no environmental analysis). Following is a brief summary evaluation of the component SOs with respect to environmental impact potential:

SO#1: Enhanced Environment for Conflict Resolution. Activities envisaged include logistical support to conflict resolution partners; management and governance-related training; small grants to civil society groups that focus on economic rehabilitation or advocacy; and support to media program production. None of these activities are expected to have any direct effects on the environment. It should be noted that civil society groups with environmental agenda may provide useful entry points, as a number of conflicts revolve around universally tangible issues of access to and management of natural resources.

SO#2: Enhanced Food Security through Greater Reliance on Local Resources. This SO will include a range of small-scale activities with varying potential to affect the environment. The specifics of these activities are not known at this time, and fall under IRs 2.1 and 2.2. IR2.1 "Increasing local production of food in target areas" is expected to include: introduction of appropriate agricultural and pastoral technologies; post-harvest handling; and veterinary services. IR2.2 "Increasing the use of markets and trade in meeting local needs" may include: road construction; promotion of food processing technologies; developing marketing information systems; and working towards an enabling environment for microenterprise activity. Of particular note in terms of potential environmental impacts are agricultural and pastoral activities, whose potential impacts include loss of vegetation, soil degradation, and water pollution. Given the ecological fragility of the arid target area, and the already degraded state of some areas, close attention must be paid to avoid practices that lead to further degradation. Road construction (using both development assistance and OFDA funds) presents a number of potential negative environmental impacts such as degradation of soil and water resources (associated with road construction and maintenance); deforestation and loss of biodiversity (associated with (re)opened access to new land areas); and increased spread of disease. Additional activities under this SO (under IR2.3) include relief assistance and food aid, neither of which is expected to have direct effects on the environment (although see Section 3.3.5.1.1). Possible environmental impacts under this SO are addressed in the ISP, as well as in an IEE currently in force for the umbrella grant program which supports activities under this SO (see below).

SO#3: Enhanced Primary Health Care through Greater Reliance on Local Capacities. Activities envisaged under this SO will include training for local government staff; provision of small grants to community group for provision of health services; and delivery of primary health care as part of relief assistance. None of these activities are expected to have significant direct effects on the environment. Should the use of insecticide treated bednets be considered in a malaria control initiative, this use should be linked to the an action plan for mitigation measures identified in the USAID/Africa Bureau

Programmatic Environmental Assessment of ITN and malaria control, being prepared in 2000. Likewise, attention should be paid to the proper disposal of biohazardous wastes where this is a pertinent issue.

Environmental Compliance Strategy. The Sudan ISP's strategy for environmental compliance centers around an environmental review process for small grant activities under SO#5, supported by capacity building of the PVO responsible for the ongoing Sudan Transitional Assistance for Rehabilitation (STAR) Program. The STAR Program is currently implemented by CRS, and is covered by an IEE that runs through FY 2001. The STAR IEE sets forth a standard environmental screening and review process that integrates planning and implementation of small scale activities (Negative Determination with Conditions). The investment in local capacity building embodied in this approach can help set the stage for longer term sustainable local investment and natural resource management. Looking beyond the current STAR program and further into the ISP period, where a similar (and increasingly development-oriented) umbrella grant approach is expected to continue, the environmental review process would seem to be the most appropriate strategy. In the case where road rehabilitation is being supported through OFDA (and outside the STAR Program), while not legally required, USAID policy dictates (and it makes good sense) that the same care be taken to avoid and mitigate against environmental impacts of OFDA activities as with Development Assistance-funded activities. As such, all road rehabilitation activities might be subject to the same environmental screening and review process.

Consistent with support to programs rising out of complex emergencies, a large component of the Sudan ISP depends upon resources other than DA, esp. BHR/OFDA and BHR/FFP Title II Emergency. These resources are technically exempt from environmental compliance. But the emerging consensus is that emergency and transition programs also need to scrutinize and anticipate environmental consequences of their actions. This is the more so in that the program is integrated and links relief to development. Consistent with the need for new and innovative approaches to humanitarian interventions, approaches will be sought to mitigate the potential for unintended environmental harm in ways which enhance the effectiveness of the assistance provided.

Title II for Development PVOs have in recent years undergone intensive upgrading with respect to their compliance with USAID's Environmental Procedures (see the *Environmental Documentation Manual for PL 480 Title II Cooperating Sponsors Implementing Food-Aided Development Programs*, Bingham et al. 1999). Such tools likely can be adapted for the emergency and transition assistance modalities.

3.3.5.2. Somalia

The ISP for Somalia expired September 30, 1999. An interim extension of the ISP is currently being processed for 2002-2002, and the NPC Team plans to have a new ISP in place by FY 2001. The current Somalia ISP is a product of the first ISP process undertaken by REDSO, and strives towards the overarching goal of crisis prevention. The ISP goal is: *A less vulnerable, more self-sufficient population,* which is supported by two subgoals: (1) Improved household food security; and (2) strengthened civil society. The goal and subgoals are supported by two SOs and one Special Objective (SpO). The current ISP, unlike that of Sudan, contains no discussion of environmental issues. According the records of the REA, two IEEs are currently in place for Somalia activities. Following is a brief summary evaluation of the current ISP's component SOs with respect to environmental impact potential:

SO#1: Improved Foundation for Food Crop Production in Target Areas. This SO will include a range of small-scale activities with varying potential to affect the environment under two IRs. Activities under IR2.1 "Improved agricultural infrastructure" may include: rehabilitation of irrigation canals and other water catchments; rehabilitation of farm-to-market (secondary) roads; and land clearing. Activities under

IR2.2 "Increased availability of agricultural inputs and services for farmers" may include: farmer education; extension work; and provision of inputs (e.g., seeds, tools, fuel).

Of particular note in terms of potential environmental impacts under these IRs are rehabilitation activities and land clearing, with potential associated negative effects on water, soil, and vegetation. Road construction in particular presents a number of potential negative environmental impacts. Farming systems promoted should avoid practices that may lead to soil and water resource degradation, particularly in view of fragile or already degraded lands.

SO#2: Critical needs met for targeted vulnerable groups. This SO will include a range of small-scale activities with varying potential to affect the environment under four IRs. Activities envisaged under IR2.1 "Improved ability to identify vulnerable groups" include: training; technical assistance; information systems; information dissemination; studies; and institutional support. Activities under IR2.2 "Timely delivery of appropriate food commodities" will be limited to feeding programs; and resettlement packages. Activities under IR2.3 "Increased availability of health services" include: emergency medical service; rehabilitation, supply, and supervision of health centers; immunizations; training; and education/outreach. Potential environmental impacts of these activities appears limited to improper disposal of medical wastes. Activities under IR 2.4 "Increased number of potable water sources and sanitation services" include: water source rehabilitation; well chlorination; construction and/or rehabilitation of latrines; and training. Possible environmental impacts include chemical or bacterial contamination, creation of standing water (which breeds disease-carrying insects), and depletion of water resources.

SpO: Increased Community Capacity to Meet Their Own Needs. The SpO envisages a series of capacity-building activities aimed at local organizations abilities to deal with pressing issues affecting local communities. Activities are expected to be limited to technical assistance and training. None of these activities are expected to have any direct effects on the environment.

Environmental Compliance Strategy. Update of the ISP should follow the model of the Sudan ISP, which incorporates a general review of environmental issues up front. As concerns the potential environmental consequences, and the need for sound planning, of the wide range of small-scale activities to be supported, an environmental screening and review process similar to that employed for Sudan activities is recommended. Such an approach has the dual advantage of promoting sound environmental planning so that activities are less likely to adversely affect the environment, and also building local capacity in environmental assessment.[21]

3.3.5.3. Burundi

There is currently no ISP requirement for Burundi. Activities are limited to support to the Great Lakes Justice Initiative (GLJI) as well as limited humanitarian relief activities. The GLJI which seeks to support efforts in the DRC, Rwanda, and Burundi to develop impartial, credible, and effective systems of justice. Support to the GLJI involves approaches with no potential environmental impacts.

Environmental Compliance Strategy. None required at present.

[21] The former REA's Closeout Report (Bingham 1999) cites two Somalia-based projects (Health and Nutrition project [649-0143]; Somalia Rehabilitation and Recovery Project [649-0139]) with no record for previous IEEs.

Annex A

USAID/REDSO Strategy Environmental Threats and Opportunities Assessment with Special Focus on Biological Diversity and Tropical Forestry

Scope of Work

1. Background

Strategic Planning Process. The USAID Regional Economic Development Services Office/East and Southern Africa (REDSO/ESA) is currently in the process of developing a five-year strategic plan. REDSO/ESA is a service-oriented USAID regional field mission, providing technical support to bilateral missions,[22] managing activities in non-presence countries,[23] and managing regional programs.[24] The new plan is expected to embrace increased emphasis of REDSO services towards managing and implementing regional initiatives such as the Greater Horn of Africa Initiative (GHAI) and the expanded humanitarian and transition programs in Somalia, Sudan and Burundi. Also, with the African regional institutional renaissance in full bloom, REDSO/ESA plans to take advantage of increased opportunities for regional partnerships and concomitant development impact.

Environmental Requirements. The core environmental requirements of USAID operating unit strategic plans are spelled out in ADS 201.5.10g, and are derived from provisions of the Foreign Assistance Act (FAA).

- Environmental Sustainability. USAID recognizes that concern for the environment and wise management of the natural resources base are absolute requirements of any successful development program. Section 117 of the FAA *"Environment and Natural Resources,"* dictates that efforts be made to maintain (and restore) natural resources upon which economic growth depends, and to consider the impact of USAID's activities on the environment. The legal requirements of the FAA are reflected in USAID's *ADS Chapter 204 "Environmental Procedures,"* which provides essential procedures and policy on the application of *22 CFR Part 216* which codifies the Agency's procedures "to ensure that environmental factors and values are integrated into the A.I.D. decision making process." Accordingly, USAID conducts assessments to ensure that its environmental priorities are incorporated into results planning, achieving, and monitoring. Clearly, the planning stage is the first and best opportunity to ensure that such factors are appropriately considered.

- Tropical Forestry and Biological Diversity. Sections 118 *"Tropical Forests"* and 119 *"Endangered Species"* of the FAA codify the more specific U.S. interests in forests and biological diversity. These two provisions require that all country plans include: 1) An analysis of the actions necessary in that country to conserve biological diversity and tropical forests; and 2) The extent to which current or proposed USAID actions meet those needs. Section 118/119 analyses are specific legal requirements of all USAID operating unit strategic plans. It should be noted that 22 CFR 216.5 requires USAID to conduct their assistance programs in a manner that is sensitive to the protection of endangered or threatened species and their critical habitats.

Translating the intent of the above legal requirements into a practical strategic planning approach, the ADS provides a priority-setting framework for missions to use in determining environmental threats and

[22] Client USAID Bilateral Missions include those in Angola, Botswana, D.R. Congo, Ethiopia, Kenya, Madagascar, Malawi, Mozambique, Namibia, Rwanda, South Africa, Tanzania, Uganda, Zambia, and Zimbabwe.
[23] Non-presence countries include: Burundi, Djibouti, Eritrea, Somalia, and Sudan.
[24] Regional programs include the Greater Horn of Africa Initiative (GHAI) and others.

opportunities (See 201.5.8; and Supplementary References, Joint Planning and Guidelines for Strategic Plans, and Technical Annex B Environment, dated February 1995). The priority-setting process is intended to guide the setting of environmental strategic objectives, as well as to inform strategic objectives in other sectors. However, both the ADS and Supplementary References clearly focus on bilateral mission, country-specific programs. Due to the different nature of its mission, REDSO must first interpret, adapt, and apply these requirements in a way that will add value – and legal compliance -- to its new strategy.

REDSO/ESA Assessment Needs. The REDSO strategy's environmental requirements can be viewed within the framework of the types of assistance it provides:

- Technical Support to Bilateral Field Missions. Each mission should have a current CSP that includes relevant environmental analysis (at least in theory). Here, a review of individual country analyses for common themes/issues can ensure that REDSO's environmental technical support services are appropriately targeted.

- Activities in Non-Presence Countries. Some effort needs to be devoted to gathering threats and opportunities information on non-presence countries, which should in turn inform the activities being implemented in that country.

- Regional Programs and Activities. Threats and opportunities Information from the countries encompassed by a particular program should inform the regional program.

2. Purpose and Objectives of Review

The tasks embodied in this SOW represents a practical step to further advance the REDSO/ESA Strategic Plan by providing an assessment of the environmental threats and opportunities within REDSO's geographic and programmatic scope of responsibility; as well as by ensuring basic compliance with the environmental provisions of the FAA.

3. Scope of Work

The Environmental Threats and Opportunities Assessment will include three interrelated activities, each explained below:

a) Review and compile information on environmental threats and opportunities relevant to specific country situations.

Review existing documentation, and Mission-level CSP environmental analyses. Gather and review information on non-presence countries (and on countries where appropriate Mission-level analyses have not been done). The intent of this review is to identify and document common issues/themes in the region as potentially relevant regional entry-points for REDSO efforts.

b) Conduct an environmental review of proposed REDSO/ESA strategy components.

Review proposed REDSO SOs and SSOs (technical assistance; regional program implementation; non-presence country activities, etc.) from environmental compliance perspective. Identify any critical factors/linkages; transboundary issues; areas of opportunity in both environmental and other programmatic areas. The intent of this review is to identify and/or emphasize environmental threats and opportunities relevant to REDSO's strategy and services

c) Identify proactive means to capitalize on environmental programming opportunities.

Analyze issues arising from the above review processes to identify actions that REDSO can take to address basic USAID environmental goals, and to capitalize on development opportunities to go beyond basic compliance to maximize regional development results. The intent of this analysis

will be to provide specific recommendations to REDSO planners that can enhance the strategic plan by better incorporating environmental programming.

4. Specific Tasks and Responsibilities

The Assessment will be carried out by a USAID Environment Officer with experience in strategic planning and sound knowledge of environmental policies and legislation relevant to the USAID strategic planning process. The Assessment activity will be carried out as a TDY to the REDSO Mission during the period January 16 – February 4, 2000, plus an additional TDY day on March 1, 2000 (following a separate TDY to USAID/Tanzania).

In addressing the SOW components, the Environment Officer will work under the direction of Diana Putman (Regional Program Officer) and Shirley Erves (Regional M&E Officer), who together are responsible for coordination the overall REDSO strategic planning process). Additional technical guidance will be provided by Daniel Evans (Environment and Natural Resource Team Leader), Walter Knausenberger (Regional Environmental Advisor [REO]),
Dennis McCarthy (Agriculture Team Leader), and Vic Duarte (Private Sector Officer).

The Environment Officer will review relevant literature/documents and meet and/or gather information from relevant REDSO staff, bilateral mission staff, USAID/W staff, and appropriate program partners and beneficiaries.

5. Level of Effort

The Assessment will be conducted by Daniel Moore, a USAID Environment Officer with experience in preparation of country strategic plans and familiarity with the legal framework for the environmental considerations of such plans. Mr. Moore also has prior field experience in the region, having served as Team Leader for USAID/Uganda's Environmental Strategic Objective. Mr. Moore is a U.S. Direct Hire employee of USAID.

Total Level of Effort:	30 days	
(in-country #6)	20 days	(1/16/00 – 2/4/00)
(in-country #5)	2 days	(2/29/00 – 3/1/00)
(in Washington)	10 days	(addition LOE over period 1/1/00 – 3/1/00)

6. Deliverables

Prior to the departure from country, the Environment Officer will debrief relevant REDSO staff, presenting summary findings and recommendations. A final report, limited to 25 pages in length (excluding annexes), addressing each component activities of this SOW, will be provided to REDSO/ESA prior to departure from country on February 4. 1999. Any necessary follow-up will be addressed on March 1, 2000.

REDSOSOW.DOC

200

Annex B

Reference and Resource List – REDSO/ESA Regional and Country and Regional Environmental Issues

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202

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3. Conservation International (Home Page). http://conservation.org/. Biodiversity Hotspots. http://conservation.org/hotspots/default.htm
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    or to see Kenyan data, http://www.globe.gov/sda-bin/wt/ghp/nav+L(en)?h=2&c=KE

Annex C

List of Persons Contacted

Washington, D.C.

Carl Gallegos	AFR/SD Bureau Environmental Coordinator
Tim Resch	AFR/SD Tropical Forestry and Biodiversity Advisor
Fred Swartzendruber	AFR/SD Technical Advisor/CARPE Program
Jerry Bisson	G/ENV/ENR Biodiversity Team Leader
Russ Backus	G/ENV/DAA Africa Coordinator
Leroy Duval	G/ENV/ENR Technical Advisor
Paul des Rosiers	G/ENV Bureau Environment Officer
Mary Rowen	G/ENV/UP Consultant
John McMahon	LAC/RSD-E Natural Resource Officer
Bob Buzzard	USAID/Uganda E/NR Team Leader
Melissa Othman	USDA Forest Service International Programs/Africa
Bob Winterbottom	IRG/EPIC Environmental Consultant
Agi Kiss	World Bank Africa Environment Program Officer
Terry Capucelli	USAID Library/LRC
Robin Martino	PADCO/EIC
Kara Page	PADCO/EIC
Jon Putnam	G/ENV/DAA Environment Officer
Cynthia Gill	G/ENV/ENR Biodiversity Advisor

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Diana Putman	REDSO/ESA/GHAI Regional Development Officer
Bill Garland	REDSO/ESA Program Office Chief
Dan Evans	REDSO/ESA/ENR Regional Natural Resource Advisor
Jim Walsh	REDSO/ESA Sudan FFP Officer
Dennis McCarthy	REDSO/ESA Agriculture/Food Security Office Chief
Margie Ferris-Morris	GHAI/Food Security Strategy Design Consultant
Ned Greeley	REDSO/ESA D/G Conflict Office Chief
Lynne Cripe	REDSO/ESA Acting GHAI Coordinator
Tom Moorhouse	Aquatics L.L.C./Uganda
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Larry Tiezsen	USGS/EROS
Dan K. Kiambi	IPGRI Conservation Strategies Scientist
Gerald Cashion	REDSO/ESA NPC Coordinator
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Larry Meserve	REDSO/ESA FFP Office Chief
Vic Duarte	REDSO/ESA Private Sector Team Leader
Wanjiku Muhato	REDSO/ESA Gender Advisor
John Dunlop	REDSO/ESA Nutrition/Food Security
Leslie Perry	REDSO/ESA PHN Team Leader
Janet Hayman	REDSO/ESA PHN TAACS

Eastern Arc Mountains Environmental Monitoring Project (Kenya, Tanzania)

Joseph Mwangi	Kenya Institute of Forestry Research
Gerry Hertel	USDA Forest Service Assoc. Director Forest Health Centre
James Denny Ward	USDA Forest Service International Advisor

Chuck Dull	USDA Forest Service Remote Sensing Program Manager
Melissa Othman	USDA Forest Service International Programs/Africa
Keith Douce	University of Georgia Professor & Extension Entomologist

205

Table 1: Geographic Priorities for Biodiversity Conservation – ESA Region[25,26]

MAJOR HABITAT UNITS	BIOGEOGRAPHIC REGION	KEY COUNTRY OR REGION
Tropical Moist Lowland Forest		
Congo Rain Forest	Congo Basin	Central African Region
Malagasy Rain Forest	Madagascar	Madagascar[a]
Tropical Moist Montane Forest		
East African Highlands	Eastern Africa	Tanzania[a], Kenya[b], Uganda[b]
Tropical Dry Forests		
Malagasy Thorn Forest	Madagascar	Madagascar[a]
Xeric Formations		
Kalahari and Namib Deserts	Southern Africa	Southern African Region
Woodland/Savanna		
South African & Miombo	Southern Africa	Southern African Region
East African	Eastern Africa	Tanzania[a], Kenya[b], Uganda[b]
Mediterranean Scrub		
Cape Sclerophyll	Southern Africa	Southern African Region
Wetlands		
Rift Lakes	Eastern Africa	Tanzania[a], Kenya[b], Uganda[b]
Okavango	Southern Africa	Southern African Region
Kafue Flats	Southern Africa	Southern African Region
Not represented: Ethiopian Highlands		

[a] Among the 25 most species-rich countries (according to World Conservation Monitoring Centre).

[25] Table adapted from draft USAID Biodiversity Conservation Policy and Strategy of 9/26/96.

[26] Key criteria for identification of countries and regions included: (1) ensuring representation from different geographic (i.e. biogeographic region such as "Eastern Africa) and habitat types (e.g. tropical moist montane forest, coral reef); (2) Selection of individual countries to represent different types of ecosystems and habitat types (the rationale being the while ecosystems are often transboundary in nature, USAID assistance is usually provide on a country basis; and (3) Non-biological factors such as country commitment and need, and USAID presence.

[b]Among the 25 next-most species rich countries.

207

Table 2: Key Areas for Biodiversity Conservation in Africa – ESA Region[27]

HABITAT/AREA	ESA COUNTRIES	KEY CHARACTERISTICS
Guineo – Congolean Tropical Moist Forests		Highest species diversity
Central African Rainforests	DRC	Lowland forests most species-rich in Africa
Cape Fynbos Region	RSA	8,500 species of plant, 70% endemism; 20% of area protected
Afromontane Regions		Distinctive flora; high degree of endemism
Ethiopian Highlands	Eth	Largest Afromontane area
Albertine Rift Highlands	Uga; DRC; Bur; Rwa	Rich transitional flora and fauna; high bird endemism; significant protected areas (PAs)
Imatongs – Usambara	Tnz; Ken; Uga; Sud	Important for endemic plants; Imatong Mtns (Sudan) and Usambaras (Tanzania) of particular importance.
Uluguru – Mulanje	Tnz; Mal	Rich endemic flora; poor PA coverage
Angolan Highlands	Ang	Distinctive; little-known scientifically; No PAs
Drakensberg Mountains	RSA	Wide range of vegetation types – 300 endemics; includes 200,000 ha of PA
Somali – Masai Region	Dji;Som; Ken;Uga;Tnz	Floristically rich, around 50% endemism of 2,500 flowering plants
Zambezian Region	Southern Afr. +Tnz	Diverse fauna, flora (8,500 species); less endemism than Central African Rainforest; important PAs
Karoo – Namib Region	Ang; Nam; RSA;	Rich flora (3,500 species), 50% endemism, partially protected within PAs
Sudanian Region	DRC; Uga; Sud; Eth	Bounded by Sahara desert and Central African Forests; reasonably rich in fauna
Coastal East Africa	Som; Ken; Tnz; Moz	Botanically rich, 40% endemism; significant marine biodiversity; inadequate PA coverage
Freshwaters		Extensive inland waters in Africa
Soudainian or Nilotic Region	Ken; Uga; Sud; Eth	High fish diversity moderate levels of endemism
Zaire River Basin	DRC	High fish diversity (possibly over 1,000) with high endemism
Great Lakes	DRC;Uga; Ken;Tnz;Mal	Very high fish diversity, large number and percentage of endemics due to haplochromine cichlids
Madagascar	Mad	"Megadiversity" country; high species diversity and endemism in both flora and fauna, extensive PA network

[27] Table adapted from Biodiversity in Subsaharan Africa and its Islands (IUCN, 1990).

Table 3: GHA Watershed Environmental Profiles (1)

Watershed (Countries)	Area (km^2)	Population Density (per km^2)	Urban Growth Rate (%)	Large Cities	Total Fish Species (2)	Fish Endemics (2)	Threatened Fish (2)	Endemic Bird Areas	Ramsar Sites	Protected Areas (%)	Wetlands (%)	Arid (%)	Forest (%)	Cropland (%)	Irrigated Cropland (%)	Developed (%)	Shrub (%)	Grassland (%)	Barren (%)	Loss of Original Forest (%)	Deforestation Rate (%) (3)	Eroded Area (%)	Large Dams	Planned Major Dams
Congo Watershed Lake Tanganyika Subbasin (DRC;Rwa;Bur;Tnz,Zam)	273,156	33	8 8%	3	240	216	0	4	0	9%	18%	0%	12%	31%	0%	<1%	2%	53%	1%	54%	13%	3%	0	NA
Jubba Watershed (Eth;Som,Ken)	497,655	12	NA	0	34	3	0	5	2	2%	4%	72%	3%	5%	0%	<1%	55%	35%	3%	70%	2%	6%	0	NA
Nile Watershed (Egy;Sud;Eri;Eth;Ken;Tnz;Uga;Rwa;Bur;DRC;CAR)	3,254,555	44	4.0%	30	129	26	0	5	2	5%	6%	67%	2%	10%	5%	1%	4%	52%	30%	91%	6%	5%	1	NA
Nile Watersehd Lake Victoria Subbasin (Uga;Ken;Tnz;Rwa;Bur;DRC)	283,168	160	4.7%	4	343	309	26	4	1	17%	31%	26%	9%	40%	0%	1%	10%	37%	2%	89%	7%	8%	1	0
Shabalie Watershed (Eth,Som)	336,627	28	5 0%	1	27	0	0	3	0	1%	2%	81%	1%	6%	0%	<1%	73%	16%	4%	88%	1%	9%	0	NA
Lake Turkana Watershed (Eth;Sud,Ken,Uga)	209,157	59	NA	0	47	17	0	3	0	9%	6%	33%	12%	20%	0%	<1%	26%	28%	13%	60%	3%	11%	1	NA

Notes

(1) Table adapted from Revenga et al (1998) *Watersheds of the World*

(2) Nile Watershed data for Nile River only

(3) Rate of forest loss for period 1980-90

Table 4: ESA Country Forest Resource Profiles (1)

Region/Country	Forest and Other Wooded Land 1990 Extent (000 ha)	Forest Area					
		Total Forest		Natural Forest		Plantation Forest	
		1990 Extent (000 ha)	Annual % Change (1981-90)	1990 Extent (000 ha)	Annual % Change (1981-90)	1990 Extent (000 ha)	Annual % Change (1981-90)
GHA	**231,807**	**100,270**		**99,402**		**868**	
Burundi	1,314	325	2.5	233	(0.6)	92	59.4
Djibouti	1,320	22	0.0	22	0.0	0	X
Ethiopia	41,991	14,354	(0.2)	14,165	(0.3)	189	17.5
Kenya	16,816	1,305	(0.4)	1,187	(0.5)	118	1.6
Rwanda	946	252	1.8	164	(0.2)	88	9.4
Somalia	15,945	758	(0.4)	754	(0.4)	4	0.0
Sudan	68,955	43,179	(1.0)	42,976	(1.0)	203	7.6
Tanzania	68,497	33,709	(1.2)	33,555	(1.2)	154	12.5
Uganda	16,023	6,366	(0.9)	6,346	(0.9)	20	0.0
Southern Africa	**483,906**	**233,995**		**232,509**		**1,486**	
Angola	77,198	23,194	(0.7)	23,074	(0.7)	120	0.9
Botswana	26,561	14,262	(0.5)	14,261	(0.5)	1	0.0
D. R. Congo	166,076	113,317	(0.6)	113,275	(0.6)	42	16.7
Malawi	3,724	3,612	(1.1)	3,486	(1.3)	126	12.4
Mozambique	55,881	17,357	(0.7)	17,329	(0.7)	28	5.4
Namibia	26,296	12,569	(0.3)	12,569	(0.3)	0	X
South Africa	41,543	8,208	(0.5)	7,243	(0.8)	965	1.9
Swaziland	146	146	0.0	74	0.0	72	0.1
Zambia	60,337	32,349	(1.0)	32,301	(1.0)	48	7.8
Zimbabwe	26,144	8,981	(0.6)	8,897	(0.6)	84	2.0
Insular Africa	**23,269**	**16,011**		**15,785**		**226**	
Madagascar	23,225	15,999	(0.8)	15,782	(0.8)	217	1.7
Mauritius	44	12	1.3	3	0.0	9	1.8

(1) Table Adapted from Veit et al (1998) *Africa's Valuable Assets*

Table 5: Environmental Profiles of Selected REDSO/ESA Client Countries

Country	Key Environmental Threats (1)	International Agreements (2)	NEAP (3)			Biodiversity Index (4)			Original Forest as % of Land Area (8)	1996 % Forest Cover (8)	% PA (5)	% Urban (6)	SO (from FY 99 R4s) receiving environment sector funds	Funding (in U.S. 000,000) (9)					CSP (7)	
			DP	IP	FA	M	B	P						FY 96	FY 97	FY 98	FY 99	FY 00	FAA	Date
Greater Horn of Africa Client Countries																				
Eritrea	Deforestation, desertification soil erosion, overgrazing, loss of infrastructure from civil warfare	*party to* Biodiversity, Climate Change, Desertification, Endangered Species, *signed but not ratified* none of the selected agreements		Y		112 X 6	319 0 3	X X X	X	X	5 0%	19 0%	SO 1 Increased Rural Income Through the Growth of Rural Enterprise in Target Areas (1996-97)	9.4 8 8/2 4	0.8 0 8				N	95-01 (est)
													SO 2 Increased Capacity for Democratic Governance (1996-97)	0 6/0 6	0 0					
													SO 2 Increased income from enterprises, primarily rural, with emphasis on exports			0 3/2 8	0 2/1 9	0 3/4 1		
Ethiopia	Deforestation overgrazing soil erosion desertification	*party to* Biodiversity Climate Change, Desertification, Endangered Species, Ozone Layer Protection *signed, but not ratified* Environmental Modification, Law of the Sea Nuclear Test Ban	SS			255 31 35	626 28 20	6500 1000 153	24 5%	17 3%	5 5%	18 0%	SO1 Increased Availability of selected Domestically Produced Food Grains	0.4 0 4/4 5	2.0 ?	0.8 0/0	2.4 1 9/5 5	0.5 0 5/3 0	N	95-03 (est)
													SO 4 Increased Access to and Participation in a Democratic System	0 0		0 3/17 7	0 0/2 0	0 0/2 4		
													SpO 1 Enhanced Household Food Security in target areas	0 0	?	0 5/0 6	0 5/0 5	0 0/0 3		
Kenya	Water pollution from urban and industrial wastes, degradation of water quality from increased use of pesticides and fertilizers, deforestation soil erosion desertification, poaching	*party to* Biodiversity, Climate Change, Desertification, Endangered Species, Law of the Sea, Marine Dumping, Marine Life Conservation, Nuclear Test Ban, Ozone Layer Protection, Ship Pollution, Wetlands, Whaling *signed, but not ratified* None of the selected agreements			Y	359 21 43	844 6 24	6000 265 158	16 8%	18 5%	6 2%	33 0%	SO4 0 Integrated and sustainable natural resources management in priority areas (formal approval not expected until mid 2000)						Y	96 - 00
													SO 2 Increased Commercialization of Small holder Agriculture and Natural Resource Management	0 8/4 0	0 8/?	2 9/7 1	0 8/4 0	2 9/8 6		
													SpO Meet the Critical Needs of Kenyans Affected by the Nairobi Bombing and Build Capacity to Address Future Disasters				14 0/23			
Rwanda	Deforestation results from uncontrolled cutting of trees for fuel, overgrazing soil exhaustion soil erosion widespread poaching	*party to* Biodiversity, Climate Change, Desertification, Endangered Species, Nuclear Test Ban *signed, but ratified* Law of the Sea	SS			151 0 9	513 0 6	2288 26 0	36 1%	16 1%	14 7%	60 0%	SO 1 Increased rule of law and transparency in governance SO 2 Increased primary health care and social service utilization in target regions SO 3 Increased ability of rural families in targeted communities to improve household food security						N	97-99 (ISP)
Tanzania	Soil degradation, Deforestation, Desertification, Destruction of coral reef's threatens marine habitats, Recent droughts affected marginal agriculture	*party to* Biodiversity, Climate Change, Desertification, Endangered Species, Hazardous Wastes, Law of the Sea, Nuclear Test Ban, Ozone Layer Protection *signed, but not ratified* none of the selected agreements			Y	316 12 33	822 24 30	1000 0 1122 406	22 4%	9 1%	15 6%	28 0%	SO2 Foundation Established for the Adoption of Environmentally Sustainable Natural Resources Management Practices in Tanzania		3 5/0 0	4.0/0 0	2 5/0 0	3 8/0 0	Y	97 - 03
													SO 1 Strengthen Natural Resource Management Capacity	4 1/0 0						
Uganda	Draining of wetlands for agricultural use, deforestation, overgrazing soil erosion, poaching is widespread	*party to* Biodiversity, Climate Change, Desertification, Endangered Species, Hazardous Wastes, Law of the Sea, Marine Life Conservation, Nuclear Test Ban, Ozone Layer Protection *signed, but not ratified* Environmental Modification			Y	338 6 18	830 3 10	5000 X 6	70 0%	4 4%	9 6%	14 0%	SO1 Increased Rural Household Incomes	4.1 0 5/9 0	6.4 ?	2.0 0 0/13 2	6.7 0 8/11 7	8.6 0 0/14 3	Y	97 - 01
													SO2 Critical Ecosystems conserved	3 6	?	2.0/0 0	5 9/0 0	8 6/0 0		
GHA Non-Presence Client Countries																			N	93 - 00
Burundi	Soil erosion as a result of overgrazing and the expansion of agriculture into marginal lands, deforestation (little forested land remains because of uncontrolled cutting of trees for fuel,) habitat loss threatens wildlife populations	*party to* Biodiversity, Climate Change, Desertification, , Endangered Species, Hazardous Wastes, Ozone Layer Protection *signed but not ratified* Law of the Sea, Nuclear Test Ban	SS			107 0 5	451 0 6	2500 X 1	46 3%	35 0%	5 6%	9 0%								
Somalia	Famine, use of contaminated water contributes to human health problems, deforestation, overgrazing, soil erosion, desertification	*party to* Endangered Species, Law of the Sea *signed, but not ratified* Marine Dumping, Nuclear Test Ban			Y	171 11 18	422 10 8	3000 500 57	42 0%	0 0%	0 3%	27 0%							N	97-99 (ISP)

Table 5: Environmental Profiles of Selected REDSO/ESA Client Countries

Country	Key Environmental Threats (1)	International Agreements (2)	NEAP (3)			Biodiversity Index (4)			Original Forest as % of Land Area (8)	1996 % Forest Cover (8)	% PA (5)	% Urban (6)	SO (from FY 99 R4s) receiving environment sector funds	Funding (in U.S. 000,000) (9)					CSP (7)	
			DP	IP	FA	M	B	P						FY 96	FY 97	FY 98	FY 99	FY 00	FAA	Date
Sudan	Inadequate supplies of potable water; wildlife populations threatened by excessive hunting, soil erosion, desertification	*party to* Biodiversity, Climate Change, Desertification, Endangered Species, Law of the Sea, Nuclear Test Ban, Ozone Layer Protection *signed, but not ratified* none of the selected agreements	*NA*			*267* *11* *21*	*680* *0* *9*	*3132* *50* *8*	*12 0%*	*0 0%*	*3 6%*	*36 0%*							N	00-02 (ISP)
GHA Non-Client Countries																				
Djibouti	Inadequate supplies of potable water, desertification	*party to.* Biodiversity, Climate Change, Desertification, , Endangered Species, Law of the Sea, Ship Pollution none of the		*Y*		*NA*	*NA*	*NA*			*NA*	*NA*							-	-
Southern Africa Client Countries																				
Angola	The overuse of pastures and subsequent soil erosion attributable to population pressures, desertification, deforestation of tropical rain forest, in response to both international demand for tropical timber and domestic use as fuel, resulting in loss of biodiversity, soil erosion contributing to water pollution and siltation of rivers and dams, inadequate supplies of potable water	*party to* Biodiversity, Desertification, Law of the Sea *signed, but not ratified* Climate Change	*NA*			*276* *7* *17*	*765* *13* *13*	*5000* *1260* *25*	*19 8%*	*15 3%*	*6 6%*	*34 0%*	SO1 Increased Resettlement, Rehabilitation and Food-crop Self-reliance of War-torn Angolan Communities	7.9 0 2/5 3	8.3 0 2	8.1 0 2/13 1	9.3 0 5/7 2	9.9 0 4/5 6	N	98-01 (update)
Botswana & RCSA	Overgrazing, desertification, limited fresh water resources	*party to* Biodiversity, Climate Change, Desertification, Endangered Species, Hazardous Wastes, Law of the Sea, Nuclear Test Ban, Ozone Layer Protection *Signed but not ratified* none of the selected agreements		*Y (NC S)*		*164* *0* *5*	*386* *0* *7*	*X* *17* *4*	*21 0%*	*100.0%*	*18.5%*	*74 0%*	SO3. Accelerated regional adoption of sustainable agriculture and NRM (RCSA) SpO1 Increased Regional Capacity to Manage Transboundary Natural Resources (RCSA)	5 1/3 7 0 0	?	5 0/2 7 2 0/0 0	6 1/1 9 2 0/0 0	3 4/3 1 3 0/0 0	Y	00-05 (under review)
DRC	Poaching threatens wildlife populations, water pollution, deforestation, refugees who arrived in mid-1994 were responsible for significant deforestation, soil erosion, and wildlife poaching in the eastern part of the country (most of those refugees were repatriated in November and December 1996)	*party to* Biodiversity, Climate Change, Desertification, Endangered Species, Hazardous Wastes, Law of the Sea, Marine Dumping, Nuclear Test Ban, Ozone Layer Protection, Tropical Timber 83, Tropical Timber 94, Wetlands *signed, but not ratified* Environmental Modification	*SS*			*415* *28* *38*	*929* *22* *26*	*11,00* *0* *1100* *7*			*4 5%*	*30 0%*	SO 1 The successful transition to a stable nation experiencing increasingly broad benefits from improving social and economic conditions CARPE Progam DRC also covered by AFR/SD regional forest conservation program CARPE						Y	99-00
Madagascar	Soil erosion results from deforestation and overgrazing, desertification, surface water contaminated with raw sewage and other organic wastes, several species of flora and fauna unique to the islands are endangered	*party to* Biodiversity, Desertification, Endangered Species, Marine Life Conservation, Nuclear Test Ban, Ozone Layer Protection *signed, but not ratified* Climate Change, Law of the Sea				*105* *84* *46*	*202* *104* *28*	*9000* *6500* *189*	*92 6%*	*13 1%*	*1 9%*	*30 0%*	*SO3 Biologically-Diverse ecosystems* preserved in priority Conservation Zones	5 6	6 3	7 0/1 5	7 0/0 0	8 5/0 0	Y	98 - 02
Malawi	Deforestation, land degradation, water pollution from agricultural runoff, sewage, industrial wastes, siltation of spawning grounds endangers fish populations	*party to* Biodiversity, Climate Change, Desertification, Endangered Species, Environmental Modification, Hazardous Wastes, Marine Life Conservation, Nuclear Test Ban, Ozone Layer Protection, Wetlands *signed but not ratified* Law of the Sea			*Y*	*195* *0* *7*	*521* *0* *9*	*3600* *49* *61*	*12 2%*	*0 0%*	*11 3%*	*15 0%*	SO1 Increased agricultural incomes on a per capita basis SO2 Increased Sustainable Use, conservation and Management of Natural Resources	5 3	7 5	9 4/0 0	7 9	8 9	Y	95 - 00
Mozambique	A long civil war and recurrent drought in the hinterlands have resulted in increased migration of the population to urban and coastal areas with adverse environmental consequences, desertification, pollution of surface and coastal waters	*party to* Biodiversity, Climate Change, Desertification, Endangered Species, Hazardous Wastes, Law of the Sea, Ozone Layer Protection *signed, but not ratified* none of the selected agreements	*Y*			*179* *1* *13*	*498* *0* *14*	*5500* *219* *92*	*33 2%*	*13 6%*	*6 1%*	*40 0%*	SO1 Increased Rural Household Income in Focus Areas *Proposed SO2 Increased Capacity for Sustainable Natural Resources Management*	6.3 6 3/11 6	4.1 4.1	6.1 6 1/14 7	5.1 3.1/16 7 2 0/0 0	8.5 4 0/19 0 4 5/0 0	Y	96 - 01

Table 5: Environmental Profiles of Selected REDSO/ESA Client Countries

Country	Key Environmental Threats (1)	International Agreements (2)	NEAP (3)			Biodiversity Index (4)			Original Forest as % of Land Area (8)	1996 % Forest Cover (8)	% PA (5)	% Urban (6)	SO (from FY 99 R4s) receiving environment sector funds	Funding (in U.S. 000,000) (9)					CSP (7)	
			DP	IP	FA	M	B	P						FY 96	FY 97	FY 98	FY 99	FY 00	FAA	Date
Namibia	Very limited natural fresh water resources desertification	*party to* Biodiversity Climate Change, *Desertification, Endangered Species,* Hazardous Wastes, Law of the Sea, Ozone Layer Protection Wetlands *signed but not ratified* none of the selected agreements	Y			154 3 11	469 1 8	3128 X 23	0 0%	95 3%	12 9%	41 0%	SO1 Increased Benefits of Historically Disadvantaged Namibians from Sustainable Local Management of Natural Resources	0 1	0 1	4/0 0	3 1/0 0	2 0/0 0	Y	96 - 00
South Africa	Lack of important arterial rivers or lakes requires extensive water conservation and control measures, growth in water usage threatens to outpace supply pollution of rivers from agricultural runoff and urban discharge, air pollution resulting in acid rain, soil erosion, desertification	*party to* Antarctic-Environmental Protocol, Antarctic Treaty, Biodiversity, *Climate Change,* Desertification, Endangered Species, Hazardous Wastes, Law of the Sea, Marine Dumping, Marine Life Conservation, Nuclear Test Ban, Ozone Layer Protection, Ship Pollution, *Wetlands, Whaling* *signed, but not ratified* none of the selected agreements	Y			247 27 33	596 8 16	2300 0 X 953	12 8%	0.2%	5 4%	50 0%	SO4 Improved Capacity of Key Government and Non-government Entities to formulate, Evaluate and Implement Economic Policies	.8 8	3.0 ?	6.5 0 0/8 5	8.6 0 0/0 0	5.6 0 0/3 7	N?	96 - 05
													SO6: Increased Access to Environmentally Sustainable Housing and Urban Services for the Historically Disadvantaged Population	8 8/7 5	?	3 9/0 0	8 6/0 1	5 6/0.2		
Zambia	Air pollution and resulting acid rain in the mineral extraction and refining region, *poaching seriously threatens rhinoceros* and elephant populations, deforestation, soil erosion, desertification, lack of adequate water treatment presents human health risks	*party to.* Biodiversity, Climate Change, Desertification, Endangered Species, Hazardous Wastes, Law of the Sea, Nuclear Test Ban, Ozone Layer Protection, Wetlands *signed, but not ratified* Climate Change-Kyoto Protocol	Y			229 3 11	605 1 10	4600 211 9	71 0%	70.1%	8.6%	45 0%	SO 1 Increased sustainable rural incomes			13 8/5 8	2 0/5 1	1 2/7 5	Y	97-01
													SO 1 The State Removed Provision of Private Goods and Services	0.4 0 2/3 5	0.4 ?					
													SO 2 Increase the Productive Participation of Rural Enterprises and Communities in the National Economy	0 2/17 1	?					
													SO 3 Increased use of integrated child and reproductive health and HIV/AIDS interventions							
													SO 4 Expanded opportunity for effective participation in democratic governance							
Zimbabwe	Deforestation, soil erosion, land degradation, air and water pollution, the black rhinoceros herd - once largest *concentration of the species in the world* - has been significantly reduced by poaching	*party to* Biodiversity, Climate Change, Desertification, Endangered Species, Law of the Sea, Ozone Layer Protection *signed, but not ratified* none of the selected agreements	Y			270 1 9	532 0 9	4200 95 94	70.0%	67.3%	7 9%	35 0%	SO1: NRM Strengthened for Sustainable Rural Development for CAMPFIRE Communities	3 8/1 3	4 5/0 0	2 9/0 0	0 0/0 0	0 0/0 0	Y	97 - 03
ESA Other Countries																				
Comoros	Soil degradation and erosion results from crop cultivation on slopes without proper terracing; deforestation	*party to* Biodiversity, Climate Change, Desertification, Endangered Species, Hazardous Wastes, Law of the Sea, Ozone Layer Protection *signed, but not ratified* none of the selected agreements		NA		NA	NA	NA			NA	NA							-	-
Seychelles	Water supply depends on catchments to collect rain water	*party to* Biodiversity, Climate Change, Desertification, Endangered Species, Hazardous Wastes, Law of the Sea, Marine Dumping, Nuclear Test Ban, Ozone Layer Protection, Ship Pollution, Whaling *signed, but not ratified* Climate Change-Kyoto Protocol	Y																-	-

Endnotes

(1) Source Central Intelligence Agency, World Fact Book, 1999, IUCN Environmental Synopses, 1993

(2) Source Central Intelligence Agency, World Fact Book, 1999

(3) National Environmental Action Plan-Abbreviations DP Development Phase IP Implementation Phase FA Formal Adoption

(4) Biodiversity Index, M mammals, B birds, P plants, numbers represent total number of known species, endemic species, and threatened species, respectively
Source World Conservation Monitoring Centre, World Conservation Union, and WRI (1998).

(5) Percentage of total land area protected according to IUCN categories I-V, the totals consist of an aggregation of single sites, it is likely that some sites are not contiguous blocks

(6) Projected number of urban populations for the year 2000, Source United Nations Population Division, WRI World Resources 1998-1999

(7) Country Strategic Plan Period, Source FRAME web site, AFR/SD

(8) Source World Conservation Monitoring Centre, World Conservation Union, and WRI (1998)

Table 5: Environmental Profiles of Selected REDSO/ESA Client Countries

Country	Key Environmental Threats (1)	International Agreements (2)	NEAP (3)			Biodiversity Index (4)			Original Forest as % of Land Area (8)	1996 % Forest Cover (8)	% PA (5)	% Urban (6)	SO (from FY 99 R4s) receiving environment sector funds	Funding (in U.S. 000,000) (9)					CSP (7)	
			DP	IP	FA	M	B	P						FY 96	FY 97	FY 98	FY 99	FY 00	FAA	Date
[illegible] The top figure (in bold) indicates total environmental allocation (this number was not available for all countries) followed by the amount of environment money allocated to the listed SO and the amount of other money funding the SO Information provided by Tim Resch (AFR/SD) FY 00 figures are request levels																				

Table 6: Africa-Wide Environmental Information from Various Sources

	World Bank Africa Report											CIA World Fact Book, 1999				
				Land Use (000 hectares)								Land Use (percent)				
				Cropland		Permanent pasture		Forest and Woodland		Other Land		Arable Land	Permanent crops	Permanent Pasture	Forests & Woodlands	Other
				percentage change since		percentage change since		percentage change since		percentage change since						
Country	Land area (000 hectares)	Population density (per 1000 hectares) 1996	Domesticated land as a % of land area 1994	1992-94	1982-84	1992-94	1982-84	1992-94	1982-84	1992-94	1982-84	percent of land 1999	percent of land 1999	percent of land 1999	percent of land 1999	percent of land 1993E
																Sub-Saharan Africa
Angola	124 670	90	46	3,500	3	54,000	0	23,000	-1	44,170	0	3	0	13	2	82
Benin	11 062	503	21	1,880	4	442	0	3,400	-11	5,340	7	13	4	4	31	48
Botswana	56,673	26	46	420	5	25,600	0	26,500	0	4,153	-1	1	0	46	47	6
Burkina Faso	27,360	394	34	3,465	18	6,000	0	13,800	0	4,082	-12	13	0	22	50	15
Burundi	2,568	2,423	86	1,120	-5	1,080	9	325	0	43	-41	44	9	36	3	8
Cameroon	46,540	291	19	7,040	1	2,000	0	35,900	0	1,600	-5	13	2	4	78	3
Cape Verde												11	0	6	0	83
Central African Republic	62,298	54	8	2,020	3	3,000	0	46,700	0	10,578	-1	3	0	5	75	17
Chad	125,920	52	38	3,256	3	45,000	0	32,400	0	45,264	0	3	0	36	26	35
Comoros												35	10	7	18	30
Congo, Dem. Rep. Of	34,150	78	30	170	10	10,000	0	19,900	0	4,080	0	3	0	7	77	13
Congo, Rep. Of	226,705	206	10	7,900	3	15,000	0	166,000	0	37,805	-1	0	0	29	62	9
Cote d'Ivoire	31,800	441	54	4,031	23	13,000	0	9,600	-6	5,149	-3	8	4	41	22	25
Djibouti												N/A	N/A	9	0	91
Equatorial guinea	2,805	146	12	230	0	104	0	1,830	0	641	0	5	4	4	46	41
Eritrea	10,000	328	75	366		4,622		523		1,155		12	1	48	20	19
Ethiopia	100,000	582	31	12,197		28,267		13,633		49,269		12	0	40	25	23
Gabon	25,767	43	20	460	2	4,700	0	19,900	0	707	11	1	1	18	77	3
Gambia, The	1,000	1,141	37	165	-11	194	2	94	-6	547	4	18	0	9	28	45
Ghana	22,754	784	57	4,407	15	8,400	0	9,300	-3	647	-30	12	7	22	35	24
Guinea	24,572	306	47	787	10	10,700	0	6,700	0	6,385	-1	2	0	22	59	17
Guinea-Bissau	2,812	388	50	340	10	1,080	0	1,070	0	322	-9	11	1	38	38	12
Kenya	56,914	488	45	4,520	6	21,300	0	16,800	0	14,924	-2	7	1	37	30	25
Lesotho	3,035	685	76	320	11	2,000	0			715	-4	11	N/A	66	N/A	23
Liberia	9,632	233	25	371	0	2,000	0	4,600	0	2,661	0	1	3	59	18	19
Madagascar	58,154	264	47	3,105	3	24,000	0	23,200	0	7,849	-1	4	1	41	40	14
Malawi	9,408	1,046	38	1,700	20	1,840	0	3,700	-1	2,168	-10	18	0	20	39	23
Mali	122,019	91	27	2,569	25	30,000	0	11,800	-2	77,650	0	2	0	25	6	67
Mauritania	102,522	23	38	208	7	39,250	0	4,410	-2	58,654	0	0	0	38	4	58
Mauritius	203	5,562	56	106	-1	7	0	44	-24	46	48	49	3	3	22	23
Mozambique	78,409	227	60	3,180	3	44,000	0	17,300	0	13,929	-1	4	0	56	18	22
Namibia	82,329	19	47	704	7	38,000	0	12,500	0	31,125	0	1	0	46	22	31
Niger	126,670	75	12	4,035	14	10,440	13	2,500	0	109,695	-2	3	0	7	2	88
Nigeria	91,077	1,263	80	32,579	6	40,000	6	14,300	-11	4,198	-4	33	3	44	12	8
Rwanda	2,467	2,188	75	1,150	5	695	5	250	0	372	-13	35	13	18	22	12
Sao Tome & Principe												2	36	1	N/A	61
Senegal	19,253	443	42	2,355	0	5,700	0	7,467	-2	3,731	4	12	0	16	54	18
Seychelles												2	13	N/A	11	74
Sierra Leone	7,162	600	38	540	4	2,201	4	1,947	3	2,474	-3	7	1	31	28	33
Somalia	62,734	157	70	1,026	1	43,000	1	16,000	7	2,708	-27	2	0	69	26	3
South Africa	122,104	347	79	15,200	15	81,433	15	8,200	0	17,271	-11	10	1	67	7	15
Sudan	237,600	115	52	12,975	3	110,000	3	42,367	-2	72,258	-14	5	0	46	19	30
Swaziland	1,720	512	73	191	24	1,070	24	119	17	340	1	11	0	62	7	20
Tanzania	88,359	349	44	3,660	24	35,000	24	33,067	-2	16,632	0	3	1	40	36	18
Togo	5,439	772	48	2,420	3	200	3	900	-12	1,919	3	38	7	4	17	34
Uganda	19,965	1,015	43	6,780	9	1,800	9	6,300	5	5,085	-15	25	9	9	28	29
Zambia	74,339	111	47	5,273	2	30,000	2	32,000	7	7,066	-23	7	0	40	39	14
Zimbabwe	38,685	296	52	2,876	3	17,190	3	8,800	-7	9,819	6	7	0	13	23	57
North Africa																
Algeria	238,174	121	17	8,088	9	31,024	9	3,949	-10	195,197	0	2	0	23	43	32
Egypt	99,545	636	3	3,137	27		27	34	10	96,374	-1	2	0	0	0	98
Libya	175,954	32	9	2,170	3	13,300	3	840	33	159,644	0	1	0	8	0	91
Morocco	44,630	605	68	9,686	14	20,933	14	8,613	10	5,397	-29	21	1	47	20	11
Tunisa	15,536	589	51	4,882	0	3,416	0	666	17	6,602	-2	19	13	20	4	44
All Africa	2,963,468	249	36	189,803	7	889,350	7	713,405	0	1,171,024	-1					

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212

World Bank Africa Report					World Bank World Development Indicators						Energy Information Administration							
	Electric power Consumption per capita		Net ODA from all donors, nominal		Carbon Dioxide Emissions													
	Annual average kwh		annual average millions of USD		Total Million Metric Tons		Per Capita Metric Tons		kg per 1995$ of GDP		Sectoral Share of Carbon Emissions (percent)				Fuel Share of CO2 Emissions (percent)			
											Industrial	Transportation	Residential		natural gas	oil	coal	nuclear
Country	1985-89	1990-MR	1985-89	1990-MR	1980	1996	1980	1996	1980	1996	1996E	1996E	1996E	1996E	1997E	1997E	1997E	1997E
Sub-Saharan Africa	452	441	11,868	17,302	351	472	1	1	2	2								
Angola	67	63	138	372	5	5	1	1		1	34	42	24		68	33	0	
Benin	48	44	158	276	1	1	0	0	0	0								
Botswana			133	113	1	2	1	1	1	0								
Burkina Faso			264	430	0	1	0	0	0	0								
Burundi			168	266	0	0	0	0	0	0								
Cameroon	240	210	261	545	4	4	0	0	1	0	17	60	23			100	0	
Cape Verde			89	116														
Central African Republic			163	183	0	0	0	0	0	0								
Chad			214	259	0	0	0	0	0	0								
Comoros			49	48														
Congo, Dem. Rep. Of	136	135	537	247	4	2	0	0	0	0								
Congo, Rep. Of	199	221	101	215	0	5	0	2	0	2	14	69	18		75	25		
Cote d'ivoire	177	168	271	946	5	13	1	1	1	1	35	48	8	10	13	87		
Djibouti			94	126														
Equatorial guinea			39	48														
Eritrea			0	76														
Ethiopia	18	21	736	1,029	2	3	0	0	0	1								
Gabon	942	765	92	129	5	4	7	3	1	1	40	44	13	3	52	48		
Gambia, The			88	80	0	0	0	0	1	1								
Ghana	293	343	453	647	2	4	0	0	1	1	21	63	14	2		100	0	
Guinea			226	373	1	1	0	0		0								
Guinea-Bissau			92	131	0	0	0	0	1	1								
Kenya	106	120	667	846	6	7	0	0	1	1								
Lesotho			107	128														
Liberia			78	129														
Madagascar			295	363	2	1	0	0	1	0								
Malawi			279	501	1	1	0	0	1	1								
Mali			398	463	0	1	0	0	0	0								
Mauritania			214	252	1	3	0	1	1	3								
Mauritius			52	41	1	2	1	2	0	0								
Mozambique	50	51	625	1,141	3	1	0	0	2	1								
Namibia			24	160														
Niger			333	343	1	1	0	0	0	1								
Nigeria	85	86	125	235	68	83	1	1	3	3	33	48	16	4	58	42	0	
Rwanda			222	496	0	1	0	0	0	0								
Sao Tome and Principe			22	56														
Senegal	101	99	569	648	3	3	1	0	1	1								
Seychelles			23	20														
Sierra Leone			85	170	1	0	0	0	1	1								
Somalia			462	435														
South Africa	3,653	3,769	0	188	211	293	8	7	2	2	58	29	9	4				
Sudan	47	40	936	513	3	4	0	0	1	0	33	48	16	3		100		
Swaziland			34	51														
Tanzania	42	55	797	1,042	2	2	0	0		1								
Togo			162	181	1	1	0	0	1	1								
Uganda			304	706	1	1	0	0	0	0								
Zambia	808	591	411	948	4	2	1	0	1	1								
Zimbabwe	939	838	259	494	10	18	1	2	2	2								
North Africa	601	749	2,572	4,753														
Algeria	400	484	177	343	66	94	4	3	2	2	45	29	26		65	32	3	
Egypt	606	823	1,640	3,342	45	98	1	2	2	2	58	23	19		25	71	4	
Libya	3,639	3,638	9	12	27	41	9	8			41	54	6		34	66	0	
Morocco	299	377	494	817	16	28	1	1	1	1	36	38	21	5	0	75	25	
Tunisa	459	593	252	239	9	16	2	2	1	1								
All Africa	486	511	14,440	22,056														

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ADM AID PASS TO REDSO/NAIROBI FOR USAID MISSION DIRECTORS AND REDSO/RFMC CONTROLLERS

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TAGS:

SUBJECT: REDSO/ESA STRATEGY REVIEW

SUMMARY:THE REDSO/ESA STRATEGY FOR FY 2000-2005 WAS APPROVED BY THE AA/AFR WITH THE AGREEMENTS, CHANGES AND GUIDANCE NOTED BELOW. OVERALL, REDSO/ESA WILL PURSUE THREE MANDATES: MANAGE A REGIONAL PROGRAM SHAPED BY BILATERAL MISSION PROGRAMS AND GHAI PRINCIPLES, PROVIDE CORE AND TECHNICAL SERVICES TO MISSIONS IN THE REGION, AND MANAGE PROGRAMS IN COUNTRIES WHERE USAID HAS NO IN-COUNTRY PRESENCE. THE REGIONAL PROGRAM WILL ENHANCE THE CAPACITY OF REGIONAL INTERGOVERNMENTAL AND NON-GOVERNMENTAL INSTITUTIONS TO ATTAIN SPECIFIC DEVELOPMENT OBJECTIVES (RESULTS) THAT CAN BEST BE ACHIEVED THROUGH REGIONAL FORUMS AND APPROACHES. SERVICE TO MISSIONS INCLUDES THE PROVISION OF BOTH INHERENTLY GOVERNMENTAL "CORE" AND LIMITED TECHNICAL SERVICES. THE MANAGEMENT OF NON-PRESENCE COUNTRY PROGRAMS INCLUDES SUDAN, SOMALIA, AND BURUNDI, AS WELL AS OTHERS SUCH AS THE INDIAN OCEAN STATES. USAID/WASHINGTON SUPPORTS THE UNIFYING STRATEGY OF INVESTING IN REGIONAL AFRICAN PARTNERS TO ACHIEVE SPECIFIC RESULTS THAT COMPLEMENT BILATERAL PROGRAM EFFORTS IN THE ATTAINMENT OF THE BUREAU'S REGIONAL FOOD SECURITY, CONFLICT AND HEALTH PRIORITIES.

THE REVIEW WAS COMPRISED OF SIX MAJOR SIDE SESSIONS COVERING EACH OF THE PROPOSED OBJECTIVES AND GENDER, THE FORMAL ISSUES MEETING AND THE FINAL EXECUTIVE MEETING CHAIRED BY DAA KEITH BROWN ON AUGUST 15. THE RESULTS OF THE FINAL MEETING AND REPORTING CABLE WERE THEN REVIEWED WITH AA VIVIAN

LOWERY DERRYCK ON AUGUST 17. ISSUES AND CONCERNS SUBMITTED BY REDSO/ESA'S CLIENT MISSIONS WERE ASSEMBLED AND PRESENTED BY THE RELEVANT CDO OR AFR/DP IN THE APPROPRIATE SIDE-SESSIONS. REPRESENTATIVES FROM AFR, M, PPC, GC, BHR AND G BUREAUS ATTENDED THE SESSIONS AND MEETINGS, AND CLEARED THE REPORTING CABLE. AT THE FORTHCOMING REGIONAL SCHEDULING WORKSHOP, REDSO/ESA AND THIS AFR STAFF WILL HOLD A SESSION WITH CLIENT MISSIONS TO DISCUSS THE STRATEGY'S ISSUES AND RESOLUTIONS.

SECTION 2 OF THIS REPORTING CABLE FIRST PRESENTS THE AGREEMENTS AND GUIDANCE RELATING TO THE OBJECTIVES PROPOSED IN THE STRATEGY DOCUMENT. SECTION 3 OUTLINES AGREEMENTS AND GUIDANCE RELATING TO OTHER ASPECTS OF THE STRATEGY, BOTH OVERARCHING AND SPECIFIC.

USAID/W COMPLIMENTS THE MISSION ON ITS EFFORT TO PRODUCE THIS COMPREHENSIVE STRATEGY. END SUMMARY

2. THIS SECTION SUMMARIZES THE SPECIFIC AGREEMENTS AND GUIDANCE RELATING TO THE FIVE OBJECTIVES PROPOSED IN THE STRATEGY DOCUMENT.

A. FOOD SECURITY OBJECTIVE (SO5): THIS OBJECTIVE WILL BE IMPLEMENTED WITH THE FOLLOWING AGREEMENTS AND GUIDANCE:
- THE SPECIFIC DEVELOPMENTAL RESULTS WILL BE FURTHER REFINED WITH THE ASSISTANCE OF AFR/SD, BHR AND GLOBAL DURING THE DESIGN OF SPECIFIC RESULTS PACKAGES AND PERFORMANCE MONITORING PLANS. THE RESULTS PACKAGES WILL ALSO INCLUDE THE CRITERIA FOR SELECTION OF ACTIVITIES AND PROJECTIONS OF RESOURCES NEEDED TO ATTAIN THE RESULTS. THE FOOD SECURITY TEAM WILL SHARE THE PACKAGES AND PLANS WITH WASHINGTON.
- EMPHASIS ALSO WILL BE GIVEN TO RE-EXAMINING HOW THE PROVISION AND USE OF FOOD AID IN THE REGION, PARTICULARLY DEVELOPMENT-RELATED FOOD AID, SUPPORTS AND LINKS TO THE FOOD SECURITY OBJECTIVE.

B. CONFLICT OBJECTIVE (SO6): THE OBJECTIVE WILL BE IMPLEMENTED WITH THE FOLLOWING AGREEMENTS AND GUIDANCE:
- THE MUTUAL UNDERSTANDING IS THAT THIS OBJECTIVE IS ESSENTIALLY EXPERIMENTAL OR EXPLORATORY IN NATURE. OWING TO THE RELATIVE NEWNESS OF THIS AREA OF WORK FOR USAID, THE RESULTS AND LINKAGES OUTLINED ARE NOT FELT TO BE AS ROBUST AS IN THE CASES OF THE FOOD SECURITY OR HPN OBJECTIVES. HENCE THE CURRENT CONFLICT APPROACH IS ACCEPTED FOR THE NEXT TWO YEARS. AT THAT TIME, A REVISED AND MORE FOCUSED CONFLICT OBJECTIVE (E.G., APPROACH AND RESULTS) THAT COVERS FY 2003-05 PERIOD WILL BE PRESENTED TO USAID/W FOR REVIEW AND APPROVAL.
- THE INTERIM RESULTS PACKAGE AND MONITORING PLAN NEEDS TO BE REFINED, AND AFR/SD, AFR/DP, AND G/DG HAVE OFFERED TO ASSIST THE REDSO CONFLICT TEAM.

C. HEALTH, POPULATION AND NUTRITION OBJECTIVE (SO7): THE OBJECTIVE WILL BE IMPLEMENTED WITH THE FOLLOWING AGREEMENTS AND GUIDANCE:
- THE RESULTS AS PRESENTED ARE AGREED TO, BUT THE MEASUREMENT OF THESE RESULTS REQUIRES ADDITIONAL REFINEMENT. THE WASHINGTON HPN TEAM BACKSTOPPING REDSO CAN ASSIST IN THIS EFFORT. REDSO WILL SHARE THE PERFORMANCE MONITORING PLANS WITH THE WASHINGTON TEAM.

D. THE NON-PRESENCE OBJECTIVE: THIS OBJECTIVE WILL BE DROPPED AND THESE COUNTRY PROGRAM BUDGETS WILL BE MANAGED AS FOLLOWS:
- HENCEFORTH, AFR WILL BUDGET, DISTRIBUTE AND REPORT ON FUNDS IN SEPARATE LINE ITEMS FOR SUDAN AND SOMALIA BY EACH PROGRAM'S STRATEGIC OBJECTIVE(S) AS APPROVED IN THEIR RESPECTIVE INTEGRATED STRATEGIC PLAN (ISP). SIMILAR ACCOUNTING AND REPORTING FOR BURUNDI WILL OCCUR SHOULD A BURUNDI SPECIFIC ACTION PLAN BE DEVELOPED AND APPROVED.
- REDSO/ESA WILL CONTINUE TO MAINTAIN RECORDS TRACKING THE USE OF GHAI FUNDS IN THE REGION, AND BOTH AFR/DP AND REDSO/ESA WILL CONSULT ON USING TRACKING TOOLS AVAILABLE IN THE NEW PHOENIX ACCOUNTING SYSTEM TO FACILITATE GHAI TRACKING ONCE PHOENIX BECOMES OPERATIONAL IN THE FIELD.

- THERE MAY BE INSTANCES WHERE A NON-PRESENCE COUNTRY ACTIVITY THAT FALLS OUTSIDE OF AN EXISTING ISP WILL BE PROGRAMMED THROUGH, NOTIFIED IN, AND REPORTED ON BY A REDSO STRATEGIC OBJECTIVE. IF IT PROVES NECESSARY, REDSO/ESA AND AFR/DP MAY DECIDE TO ESTABLISH A SPECIAL OBJECTIVE FOR SMALL ACTIVITIES FALLING OUTSIDE THE REGIONAL PROGRAM SOS AND THE NON-PRESENCE ISPS. HOWEVER, IN KEEPING WITH THE RECENT AGREEMENTS ON STATE-USAID COORDINATION, AFR AND REDSO/ESA WILL ENCOURAGE THAT, TO THE MAXIMUM EXTENT POSSIBLE, ANY PROPOSALS FOR ACTIVITIES IN NON-PRESENCE COUNTRIES WITHOUT ISPS DRAW ON THE EXISTING REDSO PROGRAM APPROACHES AND PRIORITIES. THIS WILL AID BOTH STATE AND USAID IN MINIMIZING THE ASSOCIATED ADMINISTRATIVE, START-UP, OVERSIGHT, CLOSE-OUT, AND OTHER MANAGEMENT COSTS ASSOCIATED WITH SMALL ACTIVITIES, AND IN LINKING POTENTIAL BENEFITS FROM SMALL ACTIVITIES TOGETHER SO THAT THEY CONTRIBUTE TO LARGER REGIONAL ENDS. IT WILL ALSO SERVE TO HELP MAINTAIN USAID, STATE, AND REDSO/ESA'S STRATEGIC FOCUS.
- THE PERFORMANCE OF NON-PRESENCE COUNTRY PROGRAMS OF BURUNDI, SOMALIA AND SUDAN WILL CONTINUE TO BE PRESENTED IN R4-LIKE REPORTING AS ANNEXES IN THE REDSO/ESA R4. EACH NON-PRESENCE COUNTRY PROGRAM WILL BE PRESENTED IN A SEPARATE ANNEX. THESE ANNEXES WILL THEN ALSO FORM THE BASIS FOR THE ANNUAL BUDGET JUSTIFICATION AND NOTIFICATIONS TO CONGRESS, AND BE REVIEWED SEPARATELY FROM THE REDSO/ESA PROGRAM.

E. THE SERVICES OBJECTIVE: THIS OBJECTIVE WILL BE DROPPED.
- THE COMPONENTS OF THIS OBJECTIVE WILL BE DISTRIBUTED TO THEIR RESPECTIVE OBJECTIVES (I.E., FOOD SECURITY-RELATED SERVICES WITH THE FOOD SECURITY OBJECTIVE).
- REDSO/ESA WILL CONTINUE TO REPORT ANNUALLY ON THE QUANTITY, COMPOSITION, DEMAND AND SUPPLY, AND QUALITY OF ITS SERVICES IN AN ANNEX TO ITS R4.
- REDSO/ESA WILL CONTINUE TO PROVIDE "CORE" SERVICES OF LEGAL, PROCUREMENT, REG. 216, FOOD FOR PEACE, AND FINANCIAL/ACCOUNTING TO THE MISSIONS CURRENTLY SERVED. REDSO/ESA RESPONSES ON OTHER REQUESTS FOR CORE SERVICES, SUCH AS THOSE FROM OTHER OUTSIDE OF EAST AND SOUTHERN AFRICA (E., OTHER REGIONS OR AID/W), WILL BE FILLED ON AN AS FEASIBLE AND FEE FOR SERVICE BASIS.
- REDSO/ESA WILL FOCUS ITS POOL OF TECHNICAL SKILLS ON THOSE FOOD SECURITY, CONFLICT AND HPN SKILLS DEMANDED MOST BY ITS CLIENT MISSIONS AND THE REGIONAL PROGRAM. SKILLS LESS FREQUENTLY DEMANDED OR FALLING OUTSIDE OF REDSO'S SKILL POOL WILL BE PROVIDED BY OTHERS, MOST LIKELY FROM AFR/SD, BHR, AND G OPERATING UNITS, OR CAS. THE IMPORTANCE OF GOOD COMMUNICATION AND FORWARD PLANNING WERE HIGHLIGHTED AS ESSENTIAL INGREDIENTS TO DETERMINING WHICH DEMANDS FOR SERVICES SHOULD BE MET AND WHICH SOURCE CAN BEST PROVIDE THE SKILLS NEEDED. CONSEQUENTLY, THE ROLE OF THE FORTHCOMING SCHEDULING WORKSHOP WILL PLAY AN IMPORTANT FIRST STEP TOWARDS IMPROVING COMMUNICATION AND COORDINATION BETWEEN MISSIONS, REDSO/ESA AND WASHINGTON OPERATING UNITS. HENCE, AFR/SD, BHR, AND G OPERATING UNITS WILL COORDINATE WITH REDSO/ESA BEFORE AND DURING ITS ANNUAL WORKLOAD SCHEDULING WORKSHOP SO AS TO ALLOCATE MISSION DEMANDS FOR TECHNICAL SERVICES BETWEEN REDSO AND OTHERS.
- ALSO SEE 3.B. BELOW FOR A RELATED ISSUE.

F. AS PER THE ADS, REDSO/ESA WILL COMPLETE ITS PERFORMANCE MONITORING PLAN FOR THE STRATEGY BY AUGUST 2001, AND AT THAT TIME SHARE THE PLAN WITH AID/W. IF POSSIBLE, THE PLAN AND ASSOCIATED INDICATORS SHOULD BE USED IN THE PREPARATION OF THE NEXT R4.

3. THIS SECTION SUMMARIZES AGREEMENTS AND GUIDANCE RELATING TO OTHER ASPECTS OF THE STRATEGY, BOTH OVERARCHING AND SPECIFIC.

A. CONVERGENCE AND GHAI. REDSO/ESA, AS ONE AMONG EQUALS, WILL CONVENE A WORKSHOP WITH THE GHAI MISSION DIRECTORS IN THE REGION TO DEVELOP A PROPOSAL ON WHAT CONVERGENCE MEANS TO THE SUB-REGION, TO BILATERAL MISSIONS, TO REDSO, AND TO THE BUREAU. THE WORKSHOP SHOULD ALSO ADDRESS REGIONAL EXPECTATIONS, REGIONAL VISION (AND ITS RELATIONSHIP TO THE GHAI STRATEGY), AND REGIONAL RESULTS THE MISSIONS COLLECTIVELY WANT TO ACHIEVE, AND HOW THESE CAN BEST BE

PRESENTED AND IMPLEMENTED OVER THE NEXT FOUR YEARS. THE DIFFERENT IMPLEMENTATION ROLES FOR AFR BUREAU, BILATERAL MISSIONS AND REDSO/ESA SHOULD BE ARTICULATED IN THE PROPOSAL. THE WORKSHOP ALSO SHOULD RE-EXAMINE INTER-BUREAU (I.E., AFR, BHR, PPC AND GLOBAL) COORDINATION AND THE RELATIONSHIP WITH STATE INCLUDING AMERICAN EMBASSIES. THE WORKSHOP MAY BE HELD IN CONJUNCTION WITH THE FORTHCOMING REDSO SCHEDULING WORKSHOP SCHEDULED FOR EARLY NOVEMBER 2000. SENIOR STAFF FROM AFR, BHR AND PERHAPS PPC, WILL ALSO PARTICIPATE IN THE WORKSHOP.

A. RAPID GROWTH IN CLIENT MISSION DEMAND FOR SERVICES. AS CLIENT MISSION STAFF HAVE DECLINED, THE DEMAND FOR SERVICES FROM REDSO HAS INCREASED SHARPLY - OVER 20 PERCENT IN THE LAST TWO YEARS ALONE. SUCH A GROWTH IN THE DEMAND FOR SERVICES CANNOT BE MET BY REDSO/ESA, WHICH HAS ALSO LOST STAFF. WHILE REDSO HAS MET 85-PLUS PERCENT OF ALL THE SERVICES REQUESTED DURING THE ANNUAL SCHEDULING WORKSHOPS OVER THE LAST TWO YEARS, THE GAP WILL WIDEN IN LIGHT OF AGENCY AND AFR STAFFING TRENDS. HENCE, THE CURRENT MODIS OPERANDI OF HOW REDSO/ESA SERVICES ARE PROVIDED (I.E., AS A FREE GOOD) NEEDS TO BE REEXAMINED. REDSO/ESA, WITH ASSISTANCE FROM AFR AND OTHER CENTRAL BUREAUS, WILL IDENTIFY WAYS TO ENCOURAGE A MORE EFFICIENT USE OF REDSO/ESA SERVICES. THIS TOPIC WILL BE DISCUSSED AT THE FORTHCOMING SCHEDULING WORKSHOP. THE CLIENT MISSIONS AND REDSO WILL OUTLINE A PLAN FOR ANALYZING THIS ISSUE WITH MISSIONS, AND AID/W BUREAUS, AND PROPOSE A TIMEFRAME BY WHEN RECOMMENDATIONS COULD BE PROPOSED TO AID/W. OPTIONS FOR SETTING CLEAR PRIORITIES FOR SERVICE PROVISION IN THE REGION INCLUDE: (A) SHARING THE COST OF REDSO/ESA SERVICES WITH RECIPIENT MISSIONS, (B) REDISTRIBUTING OR REALLOCATING WHAT SERVICES ARE PROVIDED FROM WHICH LOCATION, (C) CONSOLIDATING MULTIPLE REQUESTS, (D) NOT PROVIDING DESIGN SERVICES WHEN THERE APPEARS TO BE NO CAPACITY AT THE REQUESTING MISSION TO MANAGE THE RESULTING PROGRAM/ACTIVITY, AND (E) RESPONDING DIFFERENTLY TO THE REQUESTS OF SMALL MISSIONS VERSUS LARGE MISSIONS. OTHER OPTIONS MAY BE CONSIDERED.

C. OE SHORTAGES. GIVEN THE TIGHTNESS OF OE RESOURCES IN AFR, REDSO/ESA (WITH USAID/KENYA) SHOULD CONTINUE TO EXPLORE WAYS TO BECOME MORE COST-EFFECTIVE AND REDUCE OVERALL OE COSTS. ADDITIONAL OE IS UNLIKELY TO BE AVAILABLE ABOVE THE LEVELS PROJECTED IN THE PARAMETERS CABLE. IN EXAMINING OE (AND EVEN PROGRAM COSTS), EFFORTS SHOULD BE MADE TO IDENTIFY ALTERNATIVES AND THEIR ASSOCIATED COSTS. THIS WILL REQUIRE ADDITIONAL EFFORT TO SEPARATE THE COSTS OF OPERATING USAID/KENYA AND REDSO/ESA.

D. PROGRAM FUNDING REDUCTIONS. REDSO SHOULD BE AWARE OF THE INCREASING PRESSURES ON PROGRAMS FUNDED WITH ECONOMIC GROWTH AND DEMOCRACY/GOVERNANCE RESOURCES AND EXPANDING PROGRAMS FOCUSED ON HIV/AIDS AND INFECTIOUS DISEASES. WHILE EVERY EFFORT WILL BE MADE TO SUPPORT THE BUDGET LEVELS PROVIDED IN THE PARAMETERS CABLE, EVENTS UNFOLDING MAY NECESSITATE REVISITING BOTH THE OVERALL LEVEL AND THE COMPOSITION OF FUNDING PROVIDED.

E. GENDER. REDSO/ESA WILL DEVELOP SPECIFIC GENDER BASED INDICATORS AND THE COLLECTION OF DISAGGREGATED DATA, WHERE APPROPRIATE, AS PMPS ARE DEVELOPED FOR EACH SO. REDSO/ESA ALSO WILL CONSIDER COLLECTING AND TRACKING COMPARATIVE STATISTICS ON GENDER ISSUES IN THE REGION WHERE THERE CAN BE VALUE ADDED TO RESULTS MANAGEMENT, IMPLEMENTATION AND EVALUATION OF PROGRAMS THROUGH THE USE OF THIS INFORMATION. WHILE GENDER SERVICES ARE NEEDED IN THE REGION, REDSO'S GENDER ADVISOR IS LIKELY TO FOCUS ATTENTION ON THE IMPLEMENTATION OF THE REGIONAL PROGRAM. THEREFORE, REDSO/ESA, AFR/SD AND G/WID WILL NEED TO CONSIDER HOW BEST TO MEET THE NEEDS FOR GENDER SERVICES BY MISSIONS IN THE REGION.

F. REDSO/ESA AND ARO. THE TWO ORGANIZATIONS WILL BUILD ON BOTH THE REDSO/ESA STRATEGY AND THE FORTHCOMING ARO STRATEGY TO ENSURE IMPROVED STRATEGIC AND OPERATIONAL COORDINATION ON PROGRAMS AND ACTIVITIES IN THE REGION. THE TWO SLIDES PREPARED FOR THE ISSUES MEETING DISCUSSING REDSO/ESA-BHR STRATEGIC AND

OPERATIONAL COORDINATION WILL BE INCORPORATED INTO THE REDSO STRATEGY. ARO ALSO WILL PROVIDE TRACK II TRAINING TO REDSO/ESA.

G. FFP STAFF RESOURCES. THE REDSO FFP STAFF BASED IN RWANDA WILL BE USED TO COVER GROWING MANAGEMENT AND OVERSIGHT DEMANDS OUTSIDE OF RWANDA.

H. REDSO/ESA USDH STAFF RESOURCES. REDSO/ESA'S LEVELS AND PLAN REMAIN WITHIN THE WASHINGTON PROVIDED 2000 AND 2001 CEILINGS.

I. REDSO/ESA DIRECTOR AUTHORITY. AA/AFR RECONFIRMS THAT REDSO/ESA IS THE FIELD OPERATING UNIT WITH RESPONSIBILITY FOR THE SUDAN, SOMALIA AND BURUNDI PROGRAMS. THIS DESIGNATION IS RESTATED IN THIS CABLE FOR EASE OF REFERENCE. THIS DESIGNATION TRIGGERS THE FULL RANGE OF FIELD OPERATING UNIT AUTHORITY FOR THESE PROGRAMS CONTAINED IN THE ADS.

J. COUNTRY RESTRICTIONS. SEVERAL OF THE COUNTRIES PARTICIPATING IN REDSO/ESA'S REGIONAL PROGRAM OR FOR WHICH REDSO PROVIDES SERVICES (SUDAN, SOMALIA, BURUNDI, DROC, AND ETHIOPIA) ARE SUBJECT TO A WIDE RANGE OF RESTRICTIONS ON ASSISTANCE (SUCH AS BROOKE OR MILITARY COUP). EACH SPECIFIC ACTIVITY PROVIDING ASSISTANCE TO THESE COUNTRIES MUST BE REVIEWED FOR COMPLIANCE WITH THE RELEVANT RESTRICTIONS OR APPLICABILITY OF AVAILABLE EXCEPTIONS AT THE TIME THE ACTIVITIES ARE DESIGNED AND/OR IMPLEMENTED.

YY

AID/PPC:JO'ROURKE (DRAFT)
Y

Y

PRIORITY HARARE
PRIORITY KAMPALA
PRIORITY KIGALI
PRIORITY LUANDA
PRIORITY LILONGWE
PRIORITY LUSAKA
PRIORITY MAPUTO
PRIORITY NAIROBI
PRIORITY PRETORIA
PRIORITY WINDHOEK
Y

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