GREATER HORN OF AFRICA INITIATIVE (GHAI)

Selected Materials for Deputy Administrator Babbit
December 1, 1997
# GREATER HORN OF AFRICA INITIATIVE BRIEFING BINDER FOR USAID/DA
DECEMBER 1, 1997

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11/28/97

TO: DA/AID, Amb. H. Babbitt

FR: AFR/GHAI, Roger J. Simmons

RE: BASIC REFERENCE DOCUMENTS FOR GHAI

1. Strategic Plan - You have this. It also contains Interagency Framework and original GHAI Concept Paper

In the attached white binder are other basic documents. I have annotated and highlighted them at different places. The starred items seem worthy of a read for essential grounding in history, management processes, and where the money is programmed.

2. *Brief Overview of GHAI History, Issues and Events

3. *GHAI Management Plan - Roles of Functions of Policy Committee, and other USAID Bureaus


5. IGAD Mandate History and USAID Response to Project Profiles
   - Useful to skim and get flavor

6. Project Profiles Whose Design Stages USAID Will Support
   - Useful to skim

7. HASP - Horn of Africa Support Project, the vehicle for capacity development of IGAD and Related Activities
   - Cable gives flavor of undertakings

8. Convergence Cable - USAID's policy statement from A/AID to field directing that bilateral missions steadily move their country programs to be more fully focused on food security and conflict management.


10. Accomplishments To Date in the GHAI - A Progress Report

11. The Greater Horn of Africa Initiative - Secretary's backgrounder
Highlights of GHAI Issues/Events
(This brief paper, prepared by AFR/EA Patricia Rader, focused on preparing Acting AA/AFR for the October 1997 meeting with the EU. It has been marginally modified for inclusion in the DA Babbit materials on GHAI.)

I. GHAI BEGUN in 1994:

High level USG delegation to Horn concerned with drought and food security; Came up with Presidential Initiative to address food security and conflict. And to have something in Africa outside of South Africa.

GHAI includes Horn plus Great Lakes. Apparently, creators of the Initiative saw political ties problems among African leaders across this area and felt that countries faced similar problems. Other donors do not accept this as a useful unit. USG "GHAI" is "IGAD Revitalization" to other donors.

About the same time, "New leaders" (Issais, Meles, Museveni) have vision to create stronger regional integration to create economies of scale and create a counter-balance to Southern Africa.

Gayle Smith involved early in creating liaison between USG and these African leaders and promoting GHAI ideas.

Sudan, Kenya, Djibouti opposed to greater regional integration with new players in the lead. Tried to stall changes in region/IGAD.

II. REVITALIZATION of IGAD

New leaders choose existing sub-regional organization IGADD (InterGovernmental Authority on Drought and Development) established by donors after 1984-85 drought as institutional focal point for regional integration.

Revitalization of IGAD formally announced in the Spring of 1996; Formal summit establishing new organization held November 1996.

Members include: Eritrea, Ethiopia, Uganda, Kenya, Djibouti, Sudan (Somalia is not formerly member as there is no central government). [NB: Rwanda has expressed interest in joining. Tanzania is considering it but wants to stay in SADC].

Major changes:

- Include humanitarian and conflict issues as part of central mandate in addition to food security and development;

- Change decision-making to majority vote instead of 100% concensus;
Recommitment of member nation leaders - payment of dues by most countries.

Improve professionalism of IGAD Secretariat. Executive Secretary is Eritrean, hand-picked by Issais

IGAD operates on two levels:
- highest political levels of intra-regional dialogue, supporting peace initiatives (Somalia, Sudan) [moving fast];
- technical/secretariat level improving regional coordination in development and food security [moving slowly].

III. DONOR COORDINATION

As region was horsetrading over changing IGAD, Gayle Smith, Ted Morse, and David Shinn worked on other donor support.

A select group of donors (US, EU, Canada, Italy, Dutch, and Japan) began meeting to establish a donor counterpart to IGAD. This has become a formal Horn-oriented donor group.

EU and Dutch (Pronk) were the most actively supportive. Italians volunteered to take the chair for first year - ongoing.

Donor tensions:
The original intent (Gayle Smith's view, shared by USAID, Canada, EU, and Japan) was that interaction with IGAD would be African driven and development agencies would work with IGAD on technical issues. IGAD presented list of project profiles for funding in region.

Other donors (Italians, Dutch) and US State Department saw IGAD as means of pushing donor policy agendas. Atwood has had ongoing disagreements with Italians and Dutch over their donor-driven as opposed to African-led approach.

There has been a tug of war between two factions since. With new leadership in State/AF, USG approach will probably become more integrated and we will do both at the same time.

High level IGAD-Donor summit planned for December 1997 to address both technical (project) and political (peace talks) issues. Note: This meeting has been delayed until sometime in early 1998.
IV RELATIONS WITH EU:

GHAI/IGAD Revitalization:
Mr. Basil Papadopolus is head of East African Office in DG VIII. He has played a leading role in building coordinated donor support for IGAD.

Other parts of the EU have been less supportive, including ECHO and Food Security Unit, reflecting political divisions within EU rather than explicit policy.

Trans Atlantic Alliance (different EU actors than GHAI):
The Trans Atlantic Alliance has focused on coordinated US-EU food security efforts in Eritrea, Ethiopia, Angola and Malawi.

Internally, EU has focused on Eritrea and Ethiopia as highest priority food aid and development clients. USAID has had significant disagreements with the EU (food security unit) on food security issues in Eritrea and Ethiopia.

Eritrea: EU and Eritreans do not have good relationship. EU tried to dictate food policy/pricing to Eritreans. Eritreans balked, refused EU food aid, and relations went bad. EU activities are now restricted to a road program and a water project.

USAID/Asmara disagreed with EU approach to food security in Eritrea and supported Eritreans. As a result, US-EU relations in Eritrea have not been great.

Ethiopia: EU is major donor in Ethiopia, considerably bigger than US. They have large food security program, including large amounts of food aid. Coordination between USAID/Addis and EU Representative is not great. EU took formal issue with our Title III program, saying that it was creating disincentives to local production. Mission was fairly critical of EU Food Security Strategy in Ethiopia.

Potential for increased coordination.

EU has recently changed its policies towards food aid. Development food aid is now managed by DG VIII. They have significant flexibility: they can substitute currency for food, they can buy local production, they can monetize in-country or in a third country.

US has less and less flexibility with food aid. Funding levels for Titles I and III are plummeting. Title II is largely tied to WFP and US PVOs.
Potential exists for synergies between US and EU in addressing food security issues in Horn. Until now, US-EU have talked coordination at the high level meetings but it is not really happening in the field.

AFR Bureau needs to work closely with Missions to encourage better coordination on the ground.

V. GHAI INTERNAL USG ISSUES:

Until early last year, McCall and Gayle Smith were sole senior advocates for GHAI. Selected AFR, G, PPC, and BHR staff were committed to the principles and to moving it forward but senior staff resisted taking ownership.

Beginning January 1997, this lack of support became clear. There were renewed top down efforts to re-invigorate Agency commitment. By Spring/Summer 1997, lack of senior level ownership became public and Atwood made it clear that Agency senior management would pull together to make this work.

Several changes were made:

- State/AID would agree on broad strategic framework but develop separate strategies/Action Plans. [major disagreement over how to implement conflict prevention]
- Overarching framework approved 24 September by NSC.
- Atwood -- not McCall -- would chair GHAI Steering Committee.
- Dedicated Senior GHAI Coordinator position created.
- Management and budget authority moved from USAID/W to REDSO.

Future Actions:

- All Bureaus (AFR, BHR, G, PPC, M, LPA) are to submit Actions Plans to show how Washington Bureaus will support GHAI by November 15. Note: DA Babbit was given a briefing binder with the submitted Action Plans. This was also made available to at the COM/MD Conference in November.
- AID -- tasked by NSC -- to develop agenda for joint session during Mission Directors Chiefs of Mission Conference on
GHAI and potential drought in region. Focus shifted somewhat for the actual presentation at the conference.

- Prepare for proposed Donor-IGAD Summit in December in Rome. Note: Date has slipped until early 1998.
DOCUMENT A.1

GHAI Management Plan
(extracted from the GHAI Strategic Plan - FY 1998 - FY 2002)
THE GHAI MANAGEMENT PLAN

A. Introduction

The GHAI encompasses all USAID activities and resources flowing into the Greater Horn region and management responsibility for these resources is diffused throughout the Agency. To accommodate this, the GHAI must be managed to ensure full participation of multiple actors. It cannot and should not be managed in a single place. In addition, given its stature as a Presidential Initiative, the responsibility for such critical functions as donor and partner coordination, public education and information, and promoting change in the way we do business cannot be managed from a single location.

These multiple management requirements represent both potential advantages (experimentation and innovation) and disadvantages (lack of accountability). The main purpose of this management plan is to capture the advantages and minimize the disadvantages. This management plan is based on several assumptions:

1. Need for Structure and Communication

This Management Plan attempts to set forward clear lines of responsibility and accountability to ensure smooth coordination and effective implementation. At the same time, the management of the Initiative must be sufficiently flexible to allow for adaptation as the Initiative progresses. Because of the multiplicity of actors, management of the Initiative requires clear definitions of lines of authority, responsibilities, and functions for each management unit. In the same vein, the management structure should support the systematic flow of information between and among all offices and bureaus participating in the Initiative.

2. Field-Orientation

The success of the Initiative will ultimately be measured by what happens in the Greater Horn region and USAID'S ability to respond effectively to these developments. Therefore, field leadership is essential. While USAID/Washington will continue to play an important role, responsibility for the Initiative must increasingly devolve to the region. For this reason, there must be clear lines of communication and a deliberate division of labor between Washington and the field.

3. Other USG Agencies

The Initiative requires the active participation of other USG Agencies and the management structure must ensure constructive interaction and communication. Specifically in the areas of USG foreign policy coordination and conflict prevention, close consultation with the State Department and the NSC will be essential. In addition, the engagement of other Agencies,
e.g., the Intelligence Agencies, the Departments of Defense, Treasury, Agriculture, and Commerce, among others, will also help to coordinate USG policies in the region.

4. **Internal USAID Cooperation**

The GHAI requires the active engagement of senior managers in both policy and operations across the Agency, and a commitment to ensure that all programs and funding in the GHAI region advance the goals and operating principles of the Initiative. It must encompass USAID units providing financial and technical resources (AFR, BHR and G) as well as those service-oriented bureaus fulfilling critical policy, coordination and public information functions (LPA, M, and PPC). Sustained success will require each bureau, office, and mission to allocate significant staff time to the Initiative. In order to ensure that GHAI practices become institutionalized, the GHAI should be reflected in work objectives and Bureau/office strategic planning.

The substantive focus of the Initiative will be through two Strategic Objectives: SO1 (Strengthened African Capacity to Enhance Food Security) and SO2 (Strengthened African Capacity to Prevent, Mitigate, and Respond to Conflict); and one Special Objective: Sp03 (Improved Access to Regional Analytical Information). The SO teams will also lend substantive focus to the application of the Operational Framework. This framework sets out means of implementing the five GHAI principles. REDSO/ESA will establish a team in support of each SO to include participation of partners as well as virtual members from all bilateral missions and appropriate offices in USAID/W. These SO teams will be the agents for change through which USG programs and resources in the Greater Horn will converge and synergies will be realized. All Bureaus must ensure appropriate participation on these teams.

5. **Resources**

Resources available for the GHAI fall into four general groups. Management of these resources is tailored to each category:

*The specific GHAI annual budget line item which will be managed by REDSO/ESA. The current Action Plan sets out priority uses of GHAI funding for FYs 98 and 99. Beginning in FY 2000, the Field Steering Committee will be responsible for GHAI-specific funding decisions;

*Other USAID-controlled dollar and food resources which can be used to promote food security and conflict prevention in the Greater Horn Region. Funding decisions and management will vary: the Washington Policy Committee (WPC), AFR, BHR and G for USAID/W funds, REDSO/ESA for regional funds, and bilateral missions for use of OYB to further GHAI goals. Coordination and convergence will be key in the integrated use of these resources;
*Other USAID resources in the region programmed to support the GHAI operating principles -- outside of the areas of conflict prevention and food security. These may be coordinated either in Washington or by the Country Team as appropriate; and

*Other USG resources (PRM, USIA, Commerce, among others) which can be programmed to support food security and conflict prevention objectives.

GHAI R4 reports on results will be most focussed and detailed for GHAI-specific funds. The GHAI coordinating units in both Washington and the field will also capture results from other USAID resources which support the Initiative’s two strategic objectives. For resources outside of USAID’s control, reports on progress will of necessity be more anecdotal.

B. The GHAI Management Structure: Overview

The management structure will guide three levels of interactions: 1) internal USAID activities; 2) collaboration with the State Department and other USG agencies -- Defense, Agriculture, Commerce, Treasury, and the intelligence agencies, among others; and 3) coordination with external partners.

1. Internal USAID Activities

The USAID organizational units that need to be directly and continuously involved in assuring the success of the GHAI are as follows:

*For advice to all parties on regional and national political context and policy, the Senior Regional Advisor to the COS.

*For policy and budget decisions, the Field Steering Committee comprised of Mission Directors and chaired by the Director of REDSO/ESA.

*For day to day operations and technical expertise, responsibility is shared between the GHAI Field Coordination Unit in REDSO and bilateral missions in Ethiopia, Eritrea, Kenya, Rwanda, Somalia, Tanzania and Uganda.¹

*For regional coordination REDSO/ESA generally, and the GHAI Field Coordination Unit more specifically, are responsible for fostering a regional perspective as well as the focal point for coordination with IGAD and other regional organizations.

¹While USAID does not currently have bilateral missions in Burundi, Sudan or Djibouti, some USAID resources are programmed in Burundi and Sudan and special efforts will be made to insure that the management structure captures the perspectives of these nations. While it is also understood that the GHAI will initially focus less intensively on Burundi and Tanzania as requested by the U.S. Ambassadors in those nations, they will continue to play a role in the initiative.
Country teams which include all USG Agencies at post to facilitate coordination of USG activities and policies.

In Washington:

*At all levels, AFR, BHR, G, LPA, M, and PPC.

*For policy coordination, the Washington Policy Committee (WPC) comprised of AAs of six Bureaus and chaired by the Administrator or his/her designee and others as appropriate.

*For day-to-day management, the Senior Coordinator for the GHAI located within AA/AFR.

Because the GHAI is a Presidential Initiative, with USAID as the lead agency, it requires the consistent attention of the Administrator. In addition, its success depends equally upon the commitment of six Bureaus within the Agency to embrace and promote GHAI goals and principles.

The Africa Bureau in USAID is central: it is the Africa field missions which have USG responsibility for implementation of the Initiative on the ground. At the same time, BHR’s participation in the GHAI is essential: it is the lead Bureau in providing humanitarian resources which represent more than two-thirds of USAID’s resources in the Greater Horn region. The improved use of humanitarian resources to promote self-reliance and development is a centerpiece of the Initiative. G’s technical expertise, present in most of the GHA countries, is also important to success. PPC and M are crucial to implementing many of the internal changes needed within USAID for the Initiative to succeed; and LPA has a special role to play in both communicating the goals and accomplishment of the GHAI to outside audiences and in promoting legislative changes necessary for the Initiative to succeed.

To the extent that a single person is to be held accountable for success of the GHAI, it is the AA/AFR. In turn, the AA/AFR will look to the Senior Coordinator, the Washington Policy Committee, the Field Steering Committee, and REDSO/ESA to assure that all GHAI actors are working toward the goals and operating principles, and that problems are either resolved or brought to the attention of the Administrator for resolution. Because of this interdependency, each organizational unit must not only be accountable for the success of its own GHAI activities, but must also take collective responsibility and accountability for the overall success of the GHAI.

2. Collaboration with other Agencies

The focal point for GHAI/W coordination with State and the NSC -- the organizations which are most actively involved -- will be the Washington Policy Committee (WPC) and the Senior Coordinator with support from other actors. To date, the important counterparts in
State have been AF and PRM. The NSC will play an important role in coordinating USG policies, will be kept informed of important issues and progress, and will ensure engagement of other USG Agencies.

In the field, both bilateral missions and REDSO will be actively involved in coordinating goals, principles and activities of the GHAI with State and other agencies. In some cases, for example, it will be the Country Team, led by the Ambassador, which will ensure coordination among all USG Agencies at post. The role of the country team is to ensure coordination of policies and activities by the USG in-country and to promote cross-border or regional approaches with other posts. In cases where unsolicited proposals are submitted bilaterally, the GHAI Country Team can provide preliminary review and recommendations for the SO Teams and Field Steering Committee considerations.

3. Coordination with other Partners

Strategic coordination is a key principle of the GHAI. The central point of contact on GHAI issues with donor headquarters will be the Senior Coordinator in collaboration with PPC, AFR/W and REDSO/ESA. The Senior Coordinator will also ensure communication and interaction with non-governmental agencies, for-profit firms and other partners outside of the region. In the field, bilateral missions will be actively involved in coordination with in-country partners. REDSO will serve as the technical and policy hub for regional coordination issues with partners.

C. The USAID GHAI Management Structure: Roles and Responsibilities

1. Funding Decisions

The current Action Plan sets priority uses of GHAI-specific funds for FYs 98 and 99. Any recommended changes in funding priorities for these two years should be brought to the attention of the SO teams and the GHAI Coordination Unit for decisions by the Field Steering Committee.²

Beginning in FY 2000, the Field Steering Committee -- chaired by the Director of REDSO -- will be responsible for GHAI-specific funding. Whether budget proposals are made in advance in preparation for the Congressional Presentation (CP) or received during the budget year, the procedure for review and approval will be the same.

Proposals for funding can be made by bilateral missions, REDSO, USAID/W, other USG agencies, and external partners. The Field Steering Committee will set forth priorities and criteria for use of GHAI funds. Proposals should be vetted first in-country or in Washington.

² Issues which come up between formal Field Steering Committee meetings can be dealt with through regular communication of Mission Directors with REDSO/ESA.
and then forwarded to the appropriate SO team for review and recommendation for Field Steering Committee decisions.

The management of GHAI-funded activities will be determined jointly by the Field Steering Committee and WPC as appropriate. For bilateral and cross-border activities, bilateral management may be the most appropriate. For regional activities, REDSO/ESA may take responsibility for management. For Washington-based activities, it may well be the relevant Bureau or Task Force which provides management oversight.

2. Bilateral Missions

Bilateral missions are the cornerstone of the GHAI. It is on the ground in the national and sub-national context that application of the principles to improve food security and conflict prevention can have real impact. Working closely with REDSO/ESA, Missions will be developing lessons learned and recommendations for the Agency to link bilateral programs to the regional goals of the GHAI. More specifically, bilateral missions are responsible for:

* Managing bilateral programs in a manner that advances the goals of the GHAI and consistent with the five operating principles of the GHAI.

* Collaborating with REDSO/ESA to maximize convergence and synergies between bilateral and regional programs.

* Participating actively/virtually on REDSO SO Teams on regional food security and conflict prevention.

* Working collaboratively with USAID and State central bureaus to assure that centrally-managed resources are integrated into strategies and activities.

* Actively searching out opportunities to address common cross-border issues with other missions in the region.

* Expanding the dialogue with other donors to share the goals, activities, and results of the GHAI, and encouraging partners to adopt similar approaches. Missions will report periodically to the GHAI Field Steering Committee and others and should highlight those issues that require resolution between donor headquarters and USAID/W.

* Maintaining a dialogue with African governments, non-governmental organizations, and other partners regarding the goals, principles, activities, and results of the GHAI.

* Coordinating closely with the Ambassador and Country Team to ensure coherent USG support for the goals and operating principles of the GHAI.
*Reporting annually, as part of their R-4 submissions, on progress toward and obstacles to achievement of GHAI goals in-country and requesting necessary adjustments to strategies to improve performance.

*Contributing to the GHAI Congressional Presentation and the GHAI R-4 submission under the leadership of REDSO/ESA.

The Mission Director for each bilateral mission will serve on the Field Steering Committee. The Mission will also designate a GHAI Coordinator who will serve as the Mission's designated member of the Field Coordinators Group. The Mission Coordinator will be responsible for collaborating with the GHAI Field Coordinating Unit in REDSO/ESA on implementation of the GHAI, including identification of problems and issues which require the attention of the Field Steering Committee and/or Washington Policy Committee.

3. REDSO/ESA

REDSO/ESA will play a range of central leadership roles for the GHAI, including facilitation, coordination, policy development, and management of regional activities. Within REDSO, the Field Coordination Unit -- led by the GHAI Field Coordinator -- will have primary responsibility for the day-to-day work of the GHAI and will serve as the secretariat to the Field Steering Committee. The Unit and the Coordinator will report to the Director of REDSO/ESA, and will be assisted in their work by other REDSO staff and the bilateral Field Coordinators designated by each USAID mission.

The REDSO/ESA Director will report to AA/AFR and communicate directly with the GHAI/W Senior Coordinator on GHAI issues. The REDSO Director will ensure ongoing communication with bilateral Mission Directors to allow Field Steering Committee decisions between formal meetings, as needed. The Senior Coordinator will report to A/AID through AA/AFR. The GHAI Field Coordinator will report to the REDSO Director and will also maintain open and direct communications with a large network of contacts in Washington -- including the Senior Coordinator and the State Department, among others -- and with GHAI Coordinators in field missions to ensure day to day communication and informed decision-making. Substantive issues will be dealt with by SO team members -- permanent and virtual -- in coordination with GHAI Field Coordinator and Senior Coordinator staff.

In its facilitative role, REDSO/ESA, generally and the GHAI Field Coordination Unit, more specifically is responsible for:

*Ensuring a regional perspective in the deliberations of the Field Steering Committee and, through the Senior Coordinator, the Washington Policy Committee.

*Working with bilateral missions and with appropriate Washington virtual team members to develop and implement an analytic agenda that will enhance prospects for success of the GHAI.
*Collaborating with bilateral missions and Washington staff to maximize convergence and synergies between bilateral and regional programs/activities in food security and conflict prevention.

*Serving as the secretariat for the Field Steering Committee and hosting semi-annual meetings with bilateral missions to discuss progress and problems in achieving GHAI goals. These meetings should be coordinated with meetings of Chiefs of Mission in the region.

*Preparing annual R-4 documents which report on progress and obstacles to achievement of GHAI regional goals and, on behalf of the Field Steering Committee and after consultation with the Washington Policy Committee, requesting GHAI funding for the next year; and drafting, in collaboration with other GHAI actors, the GHAI Congressional Presentation.

In its role as coordinator of field operations for the GHAI, REDSO/ESA and its Field Coordination Unit are responsible for:

*Identifying policy and other issues requiring the attention of the Field Steering Committee or Washington Policy Committee. Such issues will come up on a periodic basis and should first be brought to the Field Steering Committee for resolution.

*Addressing as many issues as possible in the field. Those issues which cannot be resolved in the field or which require headquarters intervention can be forwarded to the Washington Policy Committee (WPC). The WPC, chaired by A/AID, will be the GHAI decision-making body of last resort.

*Coordinating with relevant regional organizations, including the Intergovernmental Authority on Development (IGAD), the Economic Community for Africa (ECA), the East African Cooperation (EAC), the Organization of African Unity (OAU), and other regional institutions, non-governmental organizations and partners.

*Maintaining a dialogue with these organizations to share goals, activities and results of the GHAI and encouraging these groups to adopt similar goals and operational principles. Coordination with State on these issues will be essential.

*Reporting periodically to the GHAI Field Steering Committee and others, highlighting issues that need to be resolved through Washington Policy Committee dialogue with the headquarters of other agencies.

*Taking the lead in representing USAID at the technical level meetings of the Joint IGAD Partners Forum (JIPF) held periodically.

*Supporting bilateral mission GHAI-related efforts as requested.
*Coordinating regional activities and facilitating convergence of bilateral and regional programs; and maintaining direct dialogue with central bureaus in USAID and State to ensure integration of centrally-managed resources into the regional strategic framework.

In its operational role, REDSO/ESA is responsible for:

*Taking ultimate responsibility for programming, tracking, and monitoring the GHAI budget in accordance with the approved Strategy and Action Plan. This will be accomplished largely by the SO teams in collaboration with bilateral Missions and USAID/W virtual team members.

*Leading, in consultation with bilateral missions and other partners, the implementation of Strategic Objectives 1 and 2, and Special Objective 3. This will include formulation of REDSO-led SO Teams with membership from appropriate USAID units (Washington and the field) among other partners.

*Managing regional programs in ways that advance the goals of the GHAI and consistent with the five operating principles of the GHAI.

*In collaboration with IRM, managing the communication and information unit to ensure better internal and external communication in Washington and the field.

4. The Field Steering Committee.

The Field Steering Committee shall consist of the Mission Directors of the bilateral GHAI Missions, the Director of REDSO/ESA, the GHAI Field Coordinator, the Senior BHR Field Representative, and the Senior Political Advisor to the COS. Other key personnel will participate at the request of REDSO Director who will serve as chair.

The Steering Committee is a senior decision-making body. It will meet formally at least semi-annually and will remain in regular communication with REDSO/ESA to ensure operational decisions on an ad hoc basis. The Committee will meet to review the following: collective efforts to advance the goals of the GHAI, shared problems, policy and other issues that require action by the Senior Coordinator or the Washington Policy Committee, and funding and program priorities. These meetings may be held in conjunction with meetings of Chiefs of Mission in the region.

The Field Steering Committee will invite the Washington-based GHAI Senior Coordinator and, on a rotating basis, a member of the Washington Policy Committee to attend its semi-annual meetings. Chiefs of Mission will also be periodically invited to participate.

Between meetings, REDSO/ESA will maintain communication and operational decision-making among members of the Field Steering Committee. Members will maintain regular
communication with the REDSO Director on policy and funding issues to ensure that decisions can be made on an ad hoc basis.

The Steering Committee will design and implement a plan to assure systematic and regular consultations to promote technical synergies on approaches to critical GHAI issues. Among other things, the Field Steering Committee will be responsible for:

* Under the overall leadership and direction of REDSO/ESA, formal annual review and approval of the proposed allocation of GHAI funds (in close consultation with the Senior Coordinator and the Washington Policy Committee).

* Annual review of results achieved through use of these funds toward the goals and objectives of the GHAI.

* Promotion of regular collaboration among Missions and USAID/W to ensure program convergence and synergies.

* Identification of issues which inhibit progress under the GHAI and bringing these to the attention of the Washington Policy Committee through the Senior Coordinator.

* Maintaining non-presence contact and communication with REDSO/ESA to ensure timely, virtual decision-making as needed.

5. **Roles and Responsibilities of the Bureau for Africa (AFR)**

The Africa Bureau is responsible for the overall success of the GHAI, for ensuring that the Washington Policy Committee remains actively involved in providing policy direction for the GHAI, and for ensuring that the Administrator is kept fully informed on issues requiring his attention.

The Africa Bureau is also responsible for:

* In collaboration with other Bureaus, review and approval of bilateral and regional strategies and management contracts for GHAI countries. AFR will ensure that strategies and management contracts advance the goals and objectives of the GHAI and reflect its operating principles.

* As part of the R-4 process, and working closely with the Senior Coordinator, undertaking annual reviews of results achieved under the GHAI.

* Ensuring consultation and coordination with the State Department and other USG agencies.
*In collaboration with REDSO/ESA, bilateral missions, and PPC, maintaining direct dialogue with other donor and partner headquarters to the extent that Washington – as opposed to field – representation is required.

*Ensuring that AFR staff offices give priority attention to GHAI policy, operational, and technical issues and actively promote greater convergence and synergies among all Washington-based resources flowing into the region. AFR will also ensure appropriate virtual membership from the Africa Bureau on REDSO SO Teams.

*Working with the Senior Coordinator and other Bureaus to ensure that appropriate steps are taken to make GHAI principles operational, including recommendations of the Transition Team. By 1 November 1997, AFR will submit to the WPC a time-phased GHAI implementation plan which both supports and supplements the REDSO/ESA Action Plan.

AA/AFR is personally responsible for assuring that AFR staff with GHAI responsibilities include specific work objective(s) related to those responsibilities in their annual workplans and that performance is appraised in terms of achieving these objective(s). At a minimum, this will include, in Washington, the Deputy Assistant Administrator who oversees East Africa, the Director and Deputy Director of the Office of East African Affairs, Country Development Officers in AFR/EA, a representative of DP and SD and, in the field, all Mission Directors, Deputy Mission Directors and USAID Representatives in GHAI countries.

6. Role and Responsibilities of the Bureau for Humanitarian Response (BHR)

BHR will work with AFR, the Senior Coordinator, REDSO/ESA, the Field Steering Committee, and bilateral missions to assure that food aid and IDA resources are increasingly integrated into the strategies of GHAI missions and used to advance GHAI goals and principles.

The Bureau for Humanitarian Response is responsible for:

*Responding on a priority basis to requests from the Field Steering Committee and its individual members for help in addressing food security and conflict issues.

*Developing new ways of managing BHR resources (potential changes include delegation of authority for management to the field and design and implementation of regional food aid programs).

*As part of the R-4 process, and working closely with the Senior Coordinator, undertaking annual reviews of results achieved under the GHAI.
*Maintaining a dialogue with REDSO/ESA and the Field Steering Committee to promote greater convergence and synergy among all resources flowing into the region; and for ensuring participation on REDSO's SO teams.

*Working with the Senior Coordinator and other Bureaus to ensure that appropriate steps are taken to make GHAI principles operational, including recommendations of the Transition Team. By 1 November 1997, BHR will submit to the WPC a time-phased GHAI implementation plan which will both support and supplement the REDSO/ESA Action Plan.

AA/BHR is personally responsible for assuring that BHR staff with significant GHAI responsibilities include specific work objective(s) related to those responsibilities in their annual workplans and that staff are evaluated on their success in achieving these objective(s). At a minimum, this will include the Directors of FFP, OFDA, and OTI and others as determined by BHR.

7. Roles and Responsibilities of Global Bureau (G)

The Global Bureau will work with AFR, the Senior Coordinator, REDSO/ESA, the Field Steering Committee, and bilateral missions to assure that G technical assistance and program resources flowing into the region are fully consistent with and maximize the advancement of GHAI goals and principles.

The Global Bureau is responsible for:

*Responding on a priority basis to requests from the Field Steering Committee for help in addressing food security and conflict issues.

*Developing new ways of managing resources to assure that G resources are increasingly integrated into the strategies of GHAI missions. One example is redelegation of authority for the management of some resources to bilateral missions or REDSO/ESA.

*Assisting Missions and REDSO to use and support indigenous regional expertise in GHAI regional and bilateral programs.

*As part of the R4 process and working closely with the Senior Coordinator, undertaking annual reviews of results achieved under the GHAI.

*Maintaining periodic consultations with REDSO/ESA and the Field Steering Committee designed to promote greater convergence and synergy between all resources flowing into the region; and for ensuring appropriate virtual membership on REDSO SO teams.
*Working with the Senior Coordinator and other Bureaus to ensure that appropriate steps are taken to make GHAI principles operational, including recommendations of the Transition Team. By 1 November 1997, G will submit to the WPC a time-phased GHAI implementation plan which both supports and supplements the REDSO/ESA Action Plan.

The Assistant Administrator of G is personally responsible for assuring that G staff with significant GHAI responsibilities include work objective(s) related to those responsibilities in their annual workplans and that such staff are evaluated in terms of their success in achieving said objective(s). At a minimum, this will include the SDAA/G, the Directors of the Economic Growth and Democracy and Governance Centers, and others as determined by G.

8. Roles and Responsibilities of the Bureau for Policy and Program Coordination (PPC)

PPC has general responsibility to ensure that Agency policies and procedures promote the goals, objectives, and principles of the GHAI.

More specifically, PPC is responsible for:

* Assisting the Africa Bureau and Senior Coordinator in addressing headquarter donor coordination issues that impede progress toward the achievement of the GHAI.

* Reporting on a regular basis the results of key international meetings that have implications for the GHAI.

* As part of the R4 process and working closely with the Senior Coordinator, undertaking annual reviews of results achieved under the GHAI.

* Responding to policy constraints identified by the field that impede progress toward achievement of the GHAI objectives.

* As requested, providing policy guidance to the Washington Policy Committee and the Field Steering Committee, or to REDSO/ESA, bilateral missions and individual Bureaus.

* Working with Senior Coordinator and other Bureaus to ensure that appropriate steps are taken to make GHAI principles operational, including recommendations of the Transition Team. By 1 November 1997, PPC will submit to the WPC a time-phased GHAI implementation plan which will both support and supplement the REDSO Action Plan.

The Assistant Administrator of PPC is personally responsible for assuring that PPC staff with significant GHAI responsibilities include specific work objective(s) related to those...
responsibilities in their annual workplans and that these staff are evaluated in terms of their success in achieving these objective(s). At a minimum, this will include the DAA/PPC, and senior managers in the areas of development partners, humanitarian response, program coordination, evaluation, and others to be determined by PPC.

9. **Role and Responsibilities of the Bureau for Management (M).**

The role of M is to ensure that Agency practices and procedures across the range of its offices promote the principles of the GHA!

The Management Bureau is responsible for:

*In collaboration with REDSO/ESA, bilateral missions, the Washington Policy Committee, and the Senior Coordinator, responding to management and other constraints identified by the Field Steering Committee and the Washington Policy Committee that impede progress toward achievement of the GHA! goals.

*As part of the R4 process and working closely with the Senior Coordinator, undertaking annual reviews of results achieved under the GHA!

*Working with the Senior Coordinator and other Bureaus to ensure that appropriate steps are taken to make GHA! principles operational, including recommendations of the Transition Team. By 1 November 1997, M will submit to the WPC a time-phased GHA! implementation plan which will both support and supplement the REDSO/ESA Action Plan.

The Assistant Administrator of M is personally responsible for assuring that M staff with significant GHA! responsibilities include specific work objective(s) related to those responsibilities in their annual workplans and that these staff are evaluated in terms of their success in achieving these objective(s). At a minimum, this will include Director of Personnel, Director of Training, Director of OP and others to be determined by M.

10. **Role and Responsibilities of the Bureau for Legislative and Public Affairs (LPA)**

It is LPA’s role to provide information on GHA! to outside audiences in a systematic way and to promote the legislative changes deemed necessary by the Washington Policy Committee for success of the GHA!

LPA is responsible for:

*In collaboration with the Senior Coordinator and the Washington Policy Committee, developing and implementing a strategy to heighten interest in, and understanding of, the GHA!.
As part of the R4 process and working closely with the Senior Coordinator, undertaking annual reviews of results achieved under the GHAI.

Assisting the Washington Policy Committee to determine what, if any, legislative changes are deemed necessary for the Initiative to succeed and establishing a strategy and action plan for any necessary changes.

Working with the Senior Coordinator and other Bureaus to ensure that appropriate steps are taken to make GHAI principles operational, including recommendations of the Transition Team. By 1 November 1997, LPA will submit to the WPC a time-phased GHAI implementation plan which will both support and supplement the REDSO/ESA Action Plan.

The Assistant Administrator of LPA is personally responsible for assuring that LPA staff with significant GHAI responsibilities include specific work objective(s) related to those responsibilities in their annual workplans and that these staff are evaluated in terms of their success in achieving these objective(s). At a minimum these personnel will include the SDAA/LPA, and senior managers in both public liaison and congressional liaison areas and others as determined by LPA.

11. Roles and Responsibilities of the Washington Policy Committee

The Washington Policy Committee is chaired by the Administrator of USAID or his designee. It has two primary functions: 1) to serve as a forum to discuss and make recommendations on foreign policy issues in the Greater Horn which advance the goals, objectives and operating principles of the GHAI; and, 2) to make timely decisions and ensure coordination among USAID Bureaus and Missions in making the GHAI principles operational.

As part of its external policy role, the Committee will enhance coordination between USAID and other U.S. government agencies with responsibilities for the Greater Horn region. In this capacity, the Committee will invite representatives of other agencies, such as the Assistant Secretary of State for Africa and the Director of African Affairs at the National Security Council, to participate in its deliberations.

The core membership of the Committee for USAID will consist of the Chief of Staff, the Assistant Administrators for AFR, BHR, G, LPA, M and PPC, the Senior Coordinator, and DAA for East Africa. Deputy Assistant Administrators and Office Directors from AFR, BHR, G, and other staff may also participate by invitation. Assistant Administrators may redelegate authority to serve on the Committee to other staff within their Bureaus only with the approval of the Administrator. The Committee will meet at the call of AID or his

While the Assistant Administrators for LPA and M are core members, it is recognized that the work of the Washington Policy Committee may not require their attendance at each Committee meeting.
designee or upon the request of the Senior Coordinator. Visiting GHAI field representatives are also encouraged to attend.

In its internal role, the Committee that will serve as the central decision-making and facilitating body for implementation of the GHAI within USAID/W. This may require the Committee to meet without the participation of other agencies in order to focus on internal technical and operational matters and to make recommendations to the Field Steering Committee and other USAID personnel regarding GHAI policy and/or operational matters. By ensuring that policy and procedural roadblocks to success are addressed in a timely manner, the Committee will significantly enhance field efforts to promote the GHAI. Among its other responsibilities, the Washington Policy Committee will be responsible for:

**Internal USAID**

*Defining and addressing a broad set of policy and operational issues that are critical to the advancement of the GHAI.

*Approving and ensuring implementation of the GHAI strategy and action plan, as well as, individual bureau implementation plans.

*With the assistance of PPC, issuing timely policy guidance as requested by the Senior Coordinator, the Field Steering Committee, REDSO/ESA, bilateral missions, or individual bureaus.

*With the assistance of M and others as needed, responding to requests for help on problems identified by the Field Steering Committee, including operational support and procedural changes needed to advance the goals of the GHAI.

*With the assistance of the Senior Coordinator and following their submission to the Administrator, reviewing the GHAI-related components of the bureau budget submissions prepared by AFR, BHR and G and identifying potential issues requiring the attention of the Administrator.

*With the assistance of the Senior Coordinator and all six Bureaus, evaluating all aspects of GHAI performance on an annual basis.

*Providing input as requested on the annual evaluations for GHA mission directors, the Director of REDSO/ESA, and others directly involved with implementing the GHAI.

*While the purpose of the Committee is to deal with broad policy and coordination issues, there may be operational and/or technical issues specific to USAID that do not require the participation of all Committee members in discussions of all of the responsibilities noted.
*With the assistance of LPA, determining what legislative changes, if any, are needed to implement the GHAI, and establishing a strategy and action plan for seeking any changes deemed necessary.

**External Functions**

*Ensuring policy coordination with other USG agencies, particularly State and the NSC.

*Ensuring policy coordination with other donors, African governments and other partners, including institutions in the U.S. and outside the GHA region.

*Ensuring coordination between the GHAI and other USG initiatives sharing common goals or reflecting overlapping concerns.

12. **Role and Responsibilities of the GHAI Senior Coordinator.**

The Senior Coordinator is the personal representative of AA/AFR and the most senior official dedicated to working on GHAI issues full time. He/she will report to the Washington Policy Committee through the Assistant Administrator for Africa. The Africa Bureau will provide the Senior Coordinator with two dedicated staff members. These staff members will assist the Senior Coordinator in carrying out the responsibilities listed below. In addition, other Bureau staff, particularly in the Office of Eastern African Affairs, will be available to assist the Senior Coordinator as needed.

The GHAI Senior Coordinator will be the Washington focal point to identify issues and bring them to the attention of the Washington Policy Committee to facilitate field implementation of the GHAI. He/She will work closely with the Field Steering Committee, the Director of REDSO/ESA, the GHAI Field Coordinator and other field representatives as well as with senior managers in Washington.

The Senior Coordinator will take appropriate steps to resolve problems through his/her personal intervention. If this is unsuccessful, he/she will bring such matters to the attention of the AA/AFR and the Washington Policy Committee.

As necessary, the Senior Coordinator may create Task Force(s)/Implementation Committee(s) to take responsibility for establishing the GHAI Operational Framework or for seeing that necessary steps are taken to insure doing business differently. The Senior Coordinator will ensure that each Task Force carries out the following functions: problem identification, determining and recommending changes required and, following up to ensure changes are implemented. Transition Team members and recommendations for linking relief and development will be incorporated into this new approach.
All operating units have a responsibility to collaborate closely with the Senior Coordinator on critical developments affecting the success of the GHAI.

Among his/her other responsibilities the Senior Coordinator shall:

*advise the Administrator, AA/AFR, and WPC on all matters relating to the GHAI;

Serve as a facilitator in strengthening teamwork among all GHAI actors and a problem-solver in ensuring that constraints to doing business differently are overcome;

Working collaboratively with the Director of REDSO/ESA and GHAI Field Coordinator, consult regularly with all relevant operating units managing programs or funds about achievements and problems in advancing the goals of the GHAI;

Set out joint, multi-bureau approaches necessary to doing business differently, including implementation of recommendations on linking relief and development;

Participate in all GHAI country strategy and R4 reviews and coordinate Washington input to the GHAI Congressional Presentation prepared by REDSO/ESA;

Working closely with PPC and others, lead USAID/W participation in GHAI-specific international donor coordination meetings that take place outside the Greater Horn region;

In close collaboration with LPA and others, brief Congressional staff and committees, PVOs and NGOs, and other partners on developments relevant to the GHAI; and develop a strategy for public education and information regarding the GHAI with LPA;

Serve as central point of headquarters coordination with the Department of State and other USG agencies involved in the GHAI;

With the assistance of all participating bureaus, annually report on progress and problems to the Washington Policy Committee and Field Steering Committee. Reports will include progress on implementing GHAI operating principles, as well as on achieving planned results; and,

Insure implementation of the decisions of the Washington Policy Committee and that GHAI principles are made operational, including specifically those of the Transition Team.
1. The Washington Policy Committee is responsible for ensuring that USAID is effectively contributing to the overall goals and objectives of the USG Greater Horn of Africa Initiative and that USAID is achieving the results intended under the GHAI for which the Agency bears primary responsibility.

2. The core Committee members are: the Chief of Staff, the Assistant Administrators for AFR, BHR, G, LPA, M and PPC, and the Senior Coordinator and DAA for East Africa. As appropriate, Deputy Assistant Administrators and Office Directors from AFR, BHR, G, and other staff may participate as well at the invitation of the Committee. Assistant Administrators may redelegate authority to serve on the Committee to other staff within their Bureaus only with the approval of the Administrator. Mission and REDSO/E directors, and mission and field coordinators -- among others -- visiting Washington are encouraged to participate in Steering Committee meetings.

3. The Committee will meet at the call of the Administrator or designee. The Senior Coordinator or his/her designee will be responsible for scheduling the meeting, for preparing an agenda and for distributing a summary report of the meeting, which will be transmitted to all GHA bilateral missions and REDSO/ESA.

4. In addition, Policy Committee members will participate on a rotating basis in the periodic meetings of the Field Steering Committee that REDSO/ESA will convene in the GHA region.

5. The Policy Committee will operate in a collegial manner. This will require maximum information sharing regarding all aspects of GHAI among Policy Committee members between and during Policy Committee meetings.

6. Washington Policy Committee functions include:

   * approving and ensuring implementation of the GHAI strategy and action plan, as well as the supplemental action plans for all participating Bureaus;

   * with the assistance of the Senior Coordinator and following their submission to the Administrator, jointly reviewing the GHAI-related components of the bureau budget submissions prepared by AFR, BHR and G and identifying potential issues requiring the attention of the Administrator;

   * with the assistance of the Senior Coordinator and AFR, evaluating all aspects of GHAI performance on an annual basis;
with the assistance of PPC, issuing timely policy and procedural guidance as requested by the Senior Coordinator, the Field Steering Committee, REDSO/ESA, bilateral missions, or individual bureaus;

*securing constructive coordination between and among bureaus on the implementation of GHAI principles and with respect to specific activities;

*ensuring that effective coordination is maintained with other donors, other USG agencies, African government and other partners, including institutions headquartered in the U.S. or outside the GHA region;

*providing input as requested on the annual evaluations for GHA mission directors, the Director of REDSO/ESA, and others directly involved with implementing the GHAI;

*ensuring coordination between the GHAI and other USAID and USG initiatives sharing common goals or reflecting overlapping concerns;

*responding to requests for help in addressing specific problems identified by the Field Steering Committee, including facilitating operational support and procedural changes needed to advance the goals of the GHAI;

*resolving a broad set of policy and operational issues at either a regional, sub-regional or bilateral level that are critical to the advancement of the GHAI;

*determine which legislative changes -- if any -- are necessary to implementing the GHAI and establish strategy and action plan for pursuing any such legislation.

7. Policy Committee members also will be expected to:

*represent USAID at senior-level donor conferences;

*ensure that USAID policy perspectives are presented at inter-agency meetings;

*participate in outreach activities designed to inform Congress, the general public and others about GHAI;

*cooperate with the Senior Coordinator, the Field Steering Committee and REDSO/ESA in facilitating their bureau’s responsiveness to agreed upon requests for technical, financial or other assistance; and

*disseminate information about GHAI within their respective bureaus to ensure effective GHAI implementation and the application of GHAI principles to other agency programs.
DOCUMENT A.2

GHAI Action Plan FY 98 & FY 99
(extracted from the GHAI Strategic Plan - FY 1998 - FY 2002)

### GHAI-Specific Budget Request *

<table>
<thead>
<tr>
<th></th>
<th>FY 98</th>
<th>FY 99</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A. Strategic Objective One</strong></td>
<td>7,025</td>
<td>6,775</td>
<td>13,800</td>
</tr>
<tr>
<td><strong>B. Strategic Objective Two</strong></td>
<td>7,825</td>
<td>7,620</td>
<td>15,445</td>
</tr>
<tr>
<td><strong>C. Special Objective Three</strong></td>
<td>850</td>
<td>800</td>
<td>1,650</td>
</tr>
<tr>
<td><strong>D. Operational Framework</strong></td>
<td>460</td>
<td>410</td>
<td>870</td>
</tr>
<tr>
<td><strong>E. Management Section</strong></td>
<td>1,040</td>
<td>1,295</td>
<td>2,335</td>
</tr>
<tr>
<td><strong>Total GHAI Resources</strong></td>
<td>17,200</td>
<td>16,900</td>
<td>34,100</td>
</tr>
</tbody>
</table>

* Budget includes $3,000,000 each year for Sudan in FY 98 & FY 99
## Strategic Objective 1: Strengthened African Capacity to Enhance Regional Food Security

<table>
<thead>
<tr>
<th>Cross-Cutting Activities</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Illustrative Activities</strong></td>
<td>Source</td>
<td>Amount</td>
<td>Source</td>
</tr>
<tr>
<td>1. Strengthen IGAD Secretariat (x-ref SO2).</td>
<td>GHAI/HASP</td>
<td>100</td>
<td>GHAI/HASP</td>
</tr>
<tr>
<td>2. Support IGAD policy harmonization initiatives (x-ref SO2).</td>
<td>GHAI/HASP</td>
<td>125</td>
<td>GHAI/HASP</td>
</tr>
<tr>
<td>3. Grantmaking/institutional strengthening program for regional African non-governmental organizations (x-ref SO2).</td>
<td>GHAI/HASP</td>
<td>1,250</td>
<td>GHAI/HASP</td>
</tr>
</tbody>
</table>

**GHAI RESOURCES**

| | 1,475 | 1,675 |

**OTHER USAID RESOURCES**

| | 0 | 0 |

**TOTAL RESOURCES**

| | 1,475 | 1,675 |

---

*Key:* L=Lead Unit; LTBD=Lead to be Determined; X=Participating Unit; Other=Est. Resource Requirements from other USAID Operating Units

Field Missions: K=Kenya, U=Uganda, T=Tanzania, ER=Eritrea, ET=Ethiopia, SO=Somalia, R=Rwanda, SU=Sudan; TT=GHAI Transitions Team

*"Lead on these should be taken by the GHAI/PVO Team; HASP=H Africa Support Project; AR=As Requested"*
**ANNEX A: GHAI ACTION PLAN FY 98 & FY 99 - OCTOBER 1997**

Strategic Objective 1: Strengthened African Capacity to Enhance Regional Food Security

**Intermediate Result 1.1:** Enhanced African Capacity to Increase Sustainable Agricultural Production

<table>
<thead>
<tr>
<th>Illustrative Activities</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Source</td>
<td>Amount</td>
<td>Source</td>
</tr>
<tr>
<td>1. Support sustainable regional agricultural research, technology transfer and policy networks.</td>
<td>GHAI</td>
<td>500</td>
<td>GHAI</td>
</tr>
<tr>
<td></td>
<td>Other</td>
<td>500</td>
<td>Other</td>
</tr>
<tr>
<td>2. Support private sector efforts at transfer of inputs and technology across borders-LTBD.</td>
<td>GHAI</td>
<td>0</td>
<td>GHAI</td>
</tr>
<tr>
<td>3. Promote sustainable production of drought tolerant high-yielding crop varieties - Support for IGAD Project Profile 6.1.</td>
<td>GHAI/ HASP</td>
<td>250</td>
<td>GHAI/ HASP</td>
</tr>
<tr>
<td></td>
<td>Other</td>
<td>150</td>
<td>Other</td>
</tr>
<tr>
<td>4. Support transboundary livestock disease control - Support for IGAD Project Profile 6.2.</td>
<td>GHAI/ HASP</td>
<td>250</td>
<td>GHAI/ HASP</td>
</tr>
<tr>
<td></td>
<td>Other</td>
<td>150</td>
<td>Other</td>
</tr>
</tbody>
</table>

**GHAI RESOURCES**

<table>
<thead>
<tr>
<th></th>
<th>1,000</th>
<th>1,200</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OTHER USAID RESOURCES</strong></td>
<td>800</td>
<td>1,900</td>
</tr>
<tr>
<td><strong>TOTAL RESOURCES</strong></td>
<td>1,800</td>
<td>3,100</td>
</tr>
</tbody>
</table>

*BEST AVAILABLE COPY*

Key: L=Lead Unit; LTBD=Lead to be Determined; X=Participating Unit; Other=Est. Resource Requirements from other USAID Operating Units

Field Missions: K=Kenya, U=Uganda, T=Tanzania, ER=Eritrea, ET=Ethrivia, SO=Somalia, R=Rwanda, SU=Sudan; TT=GHAI Transitions Team

**Lead on these should be taken by the GHAI/PVO Team; HASP= Horn of Africa Support Project; AR=As Requested**
ANNEX A: GHAIACTION PLAN FY 98 & FY 99 - OCTOBER 1997

Strategic Objective 1: Strengthened African Capacity to Enhance Regional Food Security

<table>
<thead>
<tr>
<th>Intermediate Result 1.2: Reduction in Barriers to Regional Trade</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>Illustrative Activities</td>
<td>Source</td>
<td>Amount</td>
<td>Source</td>
</tr>
<tr>
<td>1. Support for regional policy harmonization on regional trade and movement toward a common market area.</td>
<td>GHAIA</td>
<td>250</td>
<td>GHAIA</td>
</tr>
<tr>
<td>2. Support for implementing transportation sector reforms.</td>
<td>GHAIA</td>
<td>250</td>
<td>GHAIA</td>
</tr>
<tr>
<td>GHAI RESOURCES</td>
<td></td>
<td>500</td>
<td></td>
</tr>
<tr>
<td>OTHER USAID RESOURCES</td>
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</tr>
<tr>
<td>TOTAL RESOURCES</td>
<td></td>
<td>500</td>
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</tr>
</tbody>
</table>

BEST AVAILABLE COPY

Key: L=Lead Unit; LTBD=Lead to be Determined; X=Participating Unit; Other=Est. Resource Requirements from other USAID Operating Units

Field Missions: K=Kenya, U=Uganda, T=Tanzania, ER=Eritrea, ET=Ethiopia, SO=Somalia, R=Rwanda, SU=Sudan; TT=GHAITransitions Team

* Lead on these should be taken by the GHAI/PVO Team; MASS=Multinational Africa Support Project; AR=As Requested
### Strategic Objective 1: Strengthened African Capacity to Enhance Regional Food Security


<table>
<thead>
<tr>
<th>Illustrative Activities</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Design and implement mitigation activities focusing on the role of livestock and crops in region's food security.</td>
<td>GHAI 0, Other 250</td>
<td>GHAI Other 0, 250</td>
<td>APR BHR G PPC M LPA REDSO/ESA Field Miss.</td>
</tr>
<tr>
<td>2. Re-examine the role of food aid in the GHA region.</td>
<td>GHAI 50, GHAI 0</td>
<td>X L X</td>
<td>L AR</td>
</tr>
<tr>
<td>3. Facilitate the re-establishment of traditional trading routes.</td>
<td>GHAI 0, GHAI 250</td>
<td>X X X</td>
<td>L K, U, T, ER, SO, ET, R</td>
</tr>
<tr>
<td>4. Regional food aid monetization activity</td>
<td>GHAI Other 50, Title II</td>
<td>GHAI Other 100, Title II</td>
<td>X L</td>
</tr>
<tr>
<td>-- design</td>
<td></td>
<td></td>
<td>K, U, R, ET</td>
</tr>
<tr>
<td>-- implementation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Support IGAD in development of a Regional Food Aid Charter.</td>
<td>GHAI 50, GHAI 0</td>
<td>X L X</td>
<td></td>
</tr>
</tbody>
</table>

**BEST AVAILABLE COPY**

**Key:**
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- LTBD=Lead to be Determined;
- X=Participating Unit;
- Other=Est. Resource Requirements from other USAID Operating Units

**Field Missions:**
- K=Kenya
- U=Uganda
- T=Tanzania
- ER=Eritrea
- ET=Ethiopia
- SO=Somalia
- R=Rwanda
- SU=Sudan
- TT=GHA Transitions Team

**Lead on these should be taken by the GHA/PVO Team;**
**HASP= Horn of Africa Support Project; AR=As Requested**
**ANNEX A: GHAI ACTION PLAN FY 98 & FY 99 - OCTOBER 1997**

**Strategic Objective 1: Strengthened African Capacity to Enhance Regional Food Security**

<table>
<thead>
<tr>
<th>Intermediate Result 1.3: Food Needs of Targeted Populations met through Enhanced Regional Capacities.</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>[continued]</td>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>

**Illustrative Activities**

<table>
<thead>
<tr>
<th>Source</th>
<th>Amount</th>
<th>Source</th>
<th>Amount</th>
<th>AFR</th>
<th>BHR</th>
<th>G</th>
<th>PPC</th>
<th>M</th>
<th>LPA</th>
<th>REDSO/ESA</th>
<th>Field Miss.</th>
</tr>
</thead>
<tbody>
<tr>
<td>GHAI</td>
<td>50</td>
<td>GHAI</td>
<td>0</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>L</td>
</tr>
<tr>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>ET, R</td>
</tr>
<tr>
<td>GHAI</td>
<td>50</td>
<td>GHAI</td>
<td>0</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
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<td>X</td>
</tr>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>K, ER</td>
</tr>
<tr>
<td>GHAI</td>
<td>150</td>
<td>GHAI</td>
<td>50</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td>L</td>
<td></td>
<td>AR</td>
</tr>
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<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>GHAI</td>
<td>100</td>
<td>GHAI</td>
<td>0</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td>L</td>
<td></td>
<td>K</td>
</tr>
</tbody>
</table>

**GHAI RESOURCES**

| 500     | 400    | 750     | 650    |

**OTHER USAID RESOURCES**

| 250 | 250 |

**TOTAL RESOURCES**

| 750 | 650 |

---

**BEST AVAILABLE COPY**

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**Page 6**
### Strategic Objective 1: Strengthened African Capacity to Enhance Regional Food Security

#### Intermediate Result 1.4: Increased Private Sector Involvement in Enhancing Regional Food Security

<table>
<thead>
<tr>
<th>Illustrative Activities</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Collect and publish information on private sector investment opportunities in food security.</td>
<td>GHAI 100</td>
<td>GHAI 100</td>
<td>AFR X, BHR X, G PPC M LPA REDSO/ESA Field Miss. K, ER, U</td>
</tr>
<tr>
<td>3. Establish a regional commercial food policy forum.</td>
<td>GHAI 100</td>
<td>GHAI 100</td>
<td>AFR X, BHR X, G PPC M LPA REDSO/ESA Field Miss. AR</td>
</tr>
</tbody>
</table>

| GHAI RESOURCES | 650 | 300 |
| OTHER USAID RESOURCES | 0 | 450 |
| TOTAL RESOURCES | 650 | 750 |

**BEST AVAILABLE COPY**

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** Lead on these should be taken by the GHAI/UVO Team; RASP= Regional Africa Support Project; AR=As Requested  
Page 7
## Strategic Objective 1: Strengthened African Capacity to Enhance Regional Food Security

### Intermediate Result 1.5: Enhanced African Capacity to Implement Household Level Nutrition and other Child Survival Interventions.

<table>
<thead>
<tr>
<th>Illustrative Activities</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Source</td>
<td>Amount</td>
<td>Source</td>
</tr>
<tr>
<td>1. Regional assessment of iodized salt market outside of Eritrea and Ethiopia.</td>
<td>GHAI</td>
<td>300</td>
<td>GHAI</td>
</tr>
<tr>
<td>2. Microenterprise trials of the development and marketing of fortified foods.</td>
<td>GHAI</td>
<td>500</td>
<td>GHAI</td>
</tr>
<tr>
<td>3. Inventory of nutrition programs in the region, both governmental and NGO.</td>
<td>GHAI</td>
<td>400</td>
<td>GHAI</td>
</tr>
<tr>
<td>4. Pilot activities adding child survival interventions to food distribution schemes.</td>
<td>GHAI</td>
<td>1,000</td>
<td>GHAI</td>
</tr>
</tbody>
</table>

**GHAI RESOURCES**

| GHAI | 2,200 | GHAI | 1,900 |

**OTHER USAID RESOURCES**

| 0 | 0 |

**TOTAL RESOURCES**

| GHAI | 2,200 | GHAI | 1,900 |
### Strategic Objective 1: Strengthened African Capacity to Enhance Regional Food Security

#### Intermediate Result 1.6: Improved Collaboration in the Management of Transnational Natural Resources

<table>
<thead>
<tr>
<th>Illustrative Activities</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Support for capacity building in integrated water resources management - Support for IGAD project profile 8.1.</td>
<td>GHAI/ HASP 250</td>
<td>GHAI/ HASP 300</td>
<td>AFR X, BHR X, PPC X, M X, LPA X, REDSO/ESA X, Field Miss. AR</td>
</tr>
<tr>
<td>2. Promotion of community based land husbandry - Support for IGAD project profile 8.2.</td>
<td>GHAI/ HASP 250</td>
<td>GHAI/ HASP 300</td>
<td>AFR X, BHR X, PPC X, M X, LPA X, REDSO/ESA X, Field Miss. AR</td>
</tr>
<tr>
<td>3. Follow-up to GHAI NRM Stakeholders meetings.</td>
<td>GHAI 200</td>
<td>GHAI 200</td>
<td>AFR X, BHR X, PPC X, M X, LPA X, REDSO/ESA X, Field Miss. AR</td>
</tr>
</tbody>
</table>

**GHAI RESOURCES**

700

**OTHER USAID RESOURCES**

700

**TOTAL RESOURCES**

1,400

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**BEST AVAILABLE COPY**

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- **Lead on these should be taken by the GHAI/PVO Team; HASP= Horn of Africa Support Project; AR=As Requested**
## ANNEX A: GHAI ACTION PLAN FY 98 & FY 99 - OCTOBER 1997

### Strategic Objective 1: Strengthened African Capacity to Enhance Regional Food Security

<table>
<thead>
<tr>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Source</strong></td>
<td><strong>Amt.$</strong></td>
<td><strong>Source</strong></td>
</tr>
<tr>
<td><strong>SUMMARY BUDGET</strong>**</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>GHAI RESOURCES</strong></td>
<td>7,025</td>
<td>6,775</td>
</tr>
<tr>
<td><strong>OTHER USAID RESOURCES</strong></td>
<td>1,750</td>
<td>3,700</td>
</tr>
<tr>
<td><strong>TOTAL RESOURCES FOR SOL</strong></td>
<td>8,775</td>
<td>10,475</td>
</tr>
</tbody>
</table>

---

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**BEST AVAILABLE COPY**
## ANNEX A: GHAI ACTION PLAN FY 98 & FY 99 - OCTOBER 1997

### Strategic Objective 2: Strengthened African Capacity to Prevent, Mitigate and Respond to Conflict

#### Intermediate Result 2.1: Indigenous Organizations Responding to Conflict Strengthened

<table>
<thead>
<tr>
<th>Illustrative Activities</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Strengthen IGAD Secretariat (x-ref SO1).</td>
<td>GHAI/HASP 100</td>
<td>GHAI/HASP 50</td>
<td>AFR X ( \times ) BHR ( \times ) G ( \times ) PPC M LPA REDSO/ESA Field Miss.</td>
</tr>
<tr>
<td>2. Policy harmonization support for IGAD (x-ref SO1).</td>
<td>GHAI/HASP 125</td>
<td>GHAI/HASP 125</td>
<td>AFR X ( \times ) BHR ( \times ) G ( \times ) PPC M LPA REDSO/ESA Field Miss.</td>
</tr>
<tr>
<td>3. Grantmaking/institutional strengthening program for regional African non-governmental organizations (x-ref SO1).</td>
<td>GHAI/HASP 1,250</td>
<td>GHAI/HASP 1,500</td>
<td>AFR X ( \times ) BHR ( \times ) G ( \times ) PPC M LPA REDSO/ESA Field Miss.</td>
</tr>
<tr>
<td>4. Support for regional capacity building in the areas of conflict prevention, mitigation and resolution. -- Support for IGAD Project Profile 9.1.</td>
<td>GHAI/HASP 350</td>
<td>GHAI/HASP 150</td>
<td>AFR X ( \times ) BHR ( \times ) G ( \times ) PPC M LPA REDSO/ESA Field Miss.</td>
</tr>
<tr>
<td>5. Support for strengthened capacity in regional disaster management. -- Support for IGAD project profile 10.1.</td>
<td>GHAI/HASP 300</td>
<td>GHAI/HASP 250</td>
<td>AFR X ( \times ) BHR ( \times ) G ( \times ) PPC M LPA REDSO/ESA Field Miss.</td>
</tr>
</tbody>
</table>

| GHAI RESOURCES | 2,125 | 2,075 |
| OTHER USAID RESOURCES | 250 | 250 |
| TOTAL RESOURCES | 2,375 | 2,325 |

**BEST AVAILABLE COPY**

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** Lead on these should be taken by the GHAI/PVO Team; HASP= HAI Africa Support Project; AR=As Requested **

Page 11
## Strategic Objective 2: Strengthened African Capacity to Prevent, Mitigate and Respond to Conflict

### Intermediate Result 2.2: Effective Regional Mechanisms for Responding to Crisis Supported

<table>
<thead>
<tr>
<th>Illustrative Activities</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Source</strong></td>
<td><strong>Amount</strong></td>
<td><strong>Source</strong></td>
<td><strong>Amount</strong></td>
</tr>
<tr>
<td>1. Support development of regional mechanisms for the sustainable reintegration of refugees.</td>
<td>GHAI/ HASP</td>
<td>300</td>
<td>GHAI/ HASP</td>
</tr>
<tr>
<td>- Support for IGAD Project Profile 10.1</td>
<td>Other</td>
<td>250</td>
<td>Other</td>
</tr>
<tr>
<td>2. Support reintegration programs for population groups outside IGAD sub-region.</td>
<td>GHAI</td>
<td>300</td>
<td>GHAI</td>
</tr>
<tr>
<td>3. Support for regional mechanisms which develop creative and lasting solutions to political problems</td>
<td>GHAI/ HASP</td>
<td>350</td>
<td>GHAI/ HASP</td>
</tr>
<tr>
<td>-- Support for IGAD Project Profile 9.1.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**GHAI RESOURCES**

950

795

**OTHER USAID RESOURCES**

250

250

**TOTAL RESOURCES**

1,200

1,045

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Lead on these should be taken by the GHAI/PVO Team; HASP= Horn of Africa Support Project; AR=As Requested
### Strategic Objective 2: Strengthened African Capacity to Prevent, Mitigate and Respond to Conflict

#### Intermediate Result 2.3: Pilot Activities Tested to Establish Best Practices

<table>
<thead>
<tr>
<th>Illustrative Activities</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Establishment of a quick response conflict management fund.</td>
<td>GHAI 1,000</td>
<td>GHAI 1,000</td>
<td>AFR X BHR X PPC M LPA REDSO / ESA L ALL</td>
</tr>
<tr>
<td>2. Continued support for Karamoja Peace Process.</td>
<td>GHAI 250</td>
<td>GHAI 250</td>
<td>X L=U</td>
</tr>
<tr>
<td>3. Support to PVOs/NGOs for conflict resolution activities, including training.</td>
<td>GHAI 200</td>
<td>GHAI 200</td>
<td>X L=SO</td>
</tr>
<tr>
<td>4. Support for locally based NGOs involved in CPMR on a regional level.</td>
<td>GHAI 150</td>
<td>GHAI 150</td>
<td>X L=T</td>
</tr>
<tr>
<td>5. Design and implement Sudan contingency D/G plans in collaboration with regional partners.</td>
<td>GHAI 3,000</td>
<td>GHAI 3,000</td>
<td>X X X L SU</td>
</tr>
<tr>
<td>6. Support for peace dialogue among tribes within and across the northern Kenya borders, including Ethiopia and Sudan.</td>
<td>GHAI 150</td>
<td>GHAI 150</td>
<td>X L=K SU ET SU</td>
</tr>
</tbody>
</table>

#### GHAI RESOURCES

<table>
<thead>
<tr>
<th></th>
<th>FY 98</th>
<th>FY 99</th>
</tr>
</thead>
<tbody>
<tr>
<td>GHAI RESOURCES</td>
<td>4,750</td>
<td>4,750</td>
</tr>
</tbody>
</table>

#### OTHER USAID RESOURCES

<table>
<thead>
<tr>
<th></th>
<th>FY 98</th>
<th>FY 99</th>
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</thead>
<tbody>
<tr>
<td>OTHER USAID RESOURCES</td>
<td>0</td>
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</tbody>
</table>

#### TOTAL RESOURCES

<table>
<thead>
<tr>
<th></th>
<th>FY 98</th>
<th>FY 99</th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL RESOURCES</td>
<td>4,750</td>
<td>4,750</td>
</tr>
</tbody>
</table>

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**Key:**
- L = Lead Unit
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- **Lead on these should be taken by the GHAI/PVO Team; HasP = Has Peregrino; AAP = As Requested**

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**Page 13**
Strategic Objective 2: Increased African Capacity to Prevent, Mitigate and Respond to Conflict

<table>
<thead>
<tr>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>Source</td>
<td>Amt.$</td>
<td>Source</td>
</tr>
<tr>
<td>SUMMARY BUDGET----</td>
<td></td>
<td></td>
</tr>
<tr>
<td>GHAI RESOURCES</td>
<td>7,825</td>
<td>7,620</td>
</tr>
<tr>
<td>OTHER USAID RESOURCES</td>
<td>500</td>
<td>500</td>
</tr>
<tr>
<td>TOTAL RESOURCES FOR SO2</td>
<td>8,325</td>
<td>8,120</td>
</tr>
</tbody>
</table>

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### Special Objective 3

<table>
<thead>
<tr>
<th>Intermediate Results</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Source</td>
<td>Amount</td>
<td>Source</td>
</tr>
<tr>
<td>I.R. 3.1: Broader Information Dissemination on GHAI</td>
<td>GHAI</td>
<td>250</td>
<td>GHAI</td>
</tr>
<tr>
<td><strong>Illustrative Activities:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Establishment of GHIS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Support Regional Integrated Information System (IGAD Project Profile 5.1)</td>
<td>HASP</td>
<td>300</td>
<td>HASP</td>
</tr>
<tr>
<td></td>
<td>Other</td>
<td>275</td>
<td>Other</td>
</tr>
<tr>
<td>I.R. 3.2: Improved Linkages Between Food Security and Conflict Prevention Through Analyses and Information Dissemination</td>
<td>GHAI</td>
<td>150</td>
<td>GHAI</td>
</tr>
<tr>
<td><strong>Illustrative Activities:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>I.R. 3.3: Effective Monitoring and Evaluation of Strategic Objectives and Operational Framework</td>
<td>GHAI</td>
<td>150</td>
<td>GHAI</td>
</tr>
<tr>
<td><strong>Illustrative Activities:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Continuous monitoring of SO1 and SO2 and Operational Framework from Year Two.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Overall GHAI Evaluation at end of Year Three.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**GHAI RESOURCES**

- 850

**OTHER USAID RESOURCES**

- 275

**TOTAL RESOURCES**

- 1,125

**BEST AVAILABLE COPY**

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- Lead on these should be taken by the GHAI/PVO Team; HASP= Horn of Africa Support Project; AR=As Requested
### GHAI OPERATIONAL FRAMEWORK

#### A. African Ownership

<table>
<thead>
<tr>
<th>Illustrative Activities</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Source</td>
<td>Amount</td>
<td>Source</td>
</tr>
<tr>
<td>1. Consider alternatives to &quot;partnering&quot; between indigenous and international PVOs.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Develop guidelines to assure transfers of capacity from international to local NGOs in partnering arrangements.</td>
<td>GHAI</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>3. Design alternative audit procedures for indigenous NGOs.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Analyze potential of direct support to governments in transition countries.</td>
<td>GHAI</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>5. Strengthen indigenous organizations working in crisis and food security (x-ref SOS).</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Prepare guidance on African participation for USAID strategic planning and consultative processes.</td>
<td>GHAI</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>TOTAL GHAI RESOURCES</td>
<td>GHAI</td>
<td>30</td>
<td></td>
</tr>
</tbody>
</table>
### GHAI OPERATIONAL FRAMEWORK

#### B. Strategic Coordination

<table>
<thead>
<tr>
<th>Illustrative Activities</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Require Integrated Strategic Planning process for all GHA country strategic plans.</td>
<td></td>
<td></td>
<td>AFR BHR G PPC M LPA/ GC REDSO/ ESA Field Miss.</td>
</tr>
<tr>
<td>2. Develop GHAI donor coordination strategy.</td>
<td></td>
<td></td>
<td>L X X X X L AR</td>
</tr>
<tr>
<td>3. Participate in IGAD Donor Partner Forum.</td>
<td></td>
<td></td>
<td>X X X X X L</td>
</tr>
<tr>
<td>4. Establish interbureau participation in technical review panels for relief and development proposals.</td>
<td></td>
<td></td>
<td>L X X X X L=TT</td>
</tr>
<tr>
<td>5. Establish formal BHR and G participation on Mission SO Teams.</td>
<td></td>
<td></td>
<td>L X X X X ALL</td>
</tr>
<tr>
<td>6. Provide regular briefings on the GHAI to Congress.</td>
<td></td>
<td></td>
<td>X X X X X L</td>
</tr>
<tr>
<td>7. Ensure frequent and broad information dissemination on GHAI (X-ref SPO3)</td>
<td></td>
<td></td>
<td>X X X X X X X L ALL</td>
</tr>
<tr>
<td>8. Facilitate other strategic coordination needs.</td>
<td>GHAI 100</td>
<td>GHAI 100</td>
<td>X X X X X X X L L=TT</td>
</tr>
</tbody>
</table>

**TOTAL GHAI RESOURCES**

| GHAI 125 | GHAI 100 |

**BEST AVAILABLE COPY**

Key: L=Lead Unit; LTBD=Lead to be Determined; X=Participating Unit; Other=Est. Resource Requirements from other USAID Operating Units

Field Missions: K=Kenya, U=Uganda, T=Tanzania, ER=Eritrea, ET=Ethiopia, SO=Somalia, R=Rwanda, SU=Sudan; TT=GHAI Transitions Team

*Lead on these should be taken by the GHAI/PVO Team; HASP= Horn of Africa Support Project; AR=As Requested*
### GHAI ACTION PLAN FY 98 & FY 99 – OCTOBER 1997

#### GHAI OPERATIONAL FRAMEWORK

<table>
<thead>
<tr>
<th>Illustrative Activities</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Officers working on/in GHA/transition countries include relevant work objective in AEF.</td>
<td></td>
<td></td>
<td>AFR: L L G X M LPA/GC: X REDSO/ESA: X Field Miss: ALL</td>
</tr>
<tr>
<td>5. Include development specialists on DART Teams, as well as DoD and State reps.</td>
<td></td>
<td></td>
<td>AFR: X BHR: L G: X PPC: X M: X LPA/GC: X REDSO/ESA: X Field Miss: AR</td>
</tr>
<tr>
<td>7. Consider interagency group to address legislative constraints to LRD.</td>
<td></td>
<td></td>
<td>AFR: X BHR: L G: X PPC: X M: X LPA/GC: L REDSO/ESA: AR Field Miss:</td>
</tr>
</tbody>
</table>

**Best Available Copy**

Key: L=Lead Unit; LTBD=Lead to be Determined; X=Participating Unit; Other=Est. Resource Requirements from other USAID Operating Units

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### GHAI OPERATIONAL FRAMEWORK

<table>
<thead>
<tr>
<th>Illustrative Activities</th>
<th>Source</th>
<th>Amount</th>
<th>Source</th>
<th>Amount</th>
<th>AFR</th>
<th>BHR</th>
<th>G</th>
<th>PPC</th>
<th>M</th>
<th>LPA/GC</th>
<th>REDSO/ESA</th>
<th>Field Miss.</th>
</tr>
</thead>
<tbody>
<tr>
<td>9. Consider seeking &quot;notwithstanding&quot; for all DA funds in GHA countries.</td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>L</td>
<td>X</td>
<td>X=TTAR</td>
</tr>
<tr>
<td>10. Seek approval from Congress &amp; DMB to utilize two-year DA authority.</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. Seek Congressional remedy for the slow CN/TN process.</td>
<td></td>
<td></td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12. Establish concrete, measurable incentives for USAID staff to acquire skills &amp; experience in LRD.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13. Review requirements in Annex II of Trans. Team paper and consider adjustments to streamline mission start-ups.</td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>14. Adopt GHAI's LRD &quot;Principles and Operational Guidelines&quot; as Agency policy.</td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td>ALL</td>
</tr>
<tr>
<td>15. Reconcile discrepancies between strategic planning and R4 guidance.</td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td>ALL</td>
</tr>
</tbody>
</table>

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**Notes:**
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## ANNEX A: GHAIA ACTION PLAN FY 98 & FY 99 - OCTOBER 1997

### GHAI OPERATIONAL FRAMEWORK

#### C. Linking Relief and Development (LRD) [continued]

<table>
<thead>
<tr>
<th>Illustrative Activities</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Source</strong></td>
<td><strong>Amount</strong></td>
<td><strong>Source</strong></td>
<td><strong>Amount</strong></td>
</tr>
<tr>
<td>17. Conduct seminars re: legislative &amp; regulatory requirements for USAID staff.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18. Prepare discussion paper on resource decentralization.</td>
<td>GHAI</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>19. Prepare lessons learned on USAID/Ethiopia's efforts to pool local currency.</td>
<td>GHAI</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>20. Document ISP processes for lessons learned &amp; provide est. indicators for future ISPs.</td>
<td>GHAI</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>21. Conduct policy review of tensions between PVOs/NGOs and governments in the region.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>22. Develop a resource allocation process for transition countries.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>23. Re evaluate for LRD.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>24. Revise staffing allocation process to take into account total resources in country.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>25. Employ DART concept for transitions.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>26. Results monitoring systems developed for complex emergencies and transitions.</td>
<td>GHAI</td>
<td>20</td>
<td></td>
</tr>
</tbody>
</table>

**TOTAL GHAI RESOURCES**

| GHAI | 75 | GHAI | 10 |

---

*Lead on these should be taken by the GHAI/PVO Team; HASP= Horn of Africa Support Project; AR=As Requested*
## GHAI OPERATIONAL FRAMEWORK

### D. Regional Approaches FY98 & FY99

<table>
<thead>
<tr>
<th>Illustrative Activities</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>Source</td>
<td>Amount</td>
<td>Source</td>
<td>Amount</td>
</tr>
<tr>
<td>---------------------------------</td>
<td>-------------</td>
<td>---------</td>
<td>----------</td>
</tr>
<tr>
<td>1. Prepare guidance on regional approaches for use in USAID strategic planning and consultative processes.</td>
<td>GHAI</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>2. Develop pilot refugee/returnee program (X-REF 802).</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>TOTAL GHAI RESOURCES</td>
<td>GHAI</td>
<td>10</td>
<td>GHAI</td>
</tr>
</tbody>
</table>

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## GHAI OPERATIONAL FRAMEWORK

### E. Promote Stability

<table>
<thead>
<tr>
<th>Illustrative Activities</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>Source</td>
<td>Amount</td>
<td>Source</td>
<td>Amount</td>
</tr>
<tr>
<td>--------</td>
<td>--------</td>
<td>--------</td>
<td>--------</td>
</tr>
<tr>
<td>1. Establish conflict prevention as a USAID sub-sector:</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>a. support for conflict &quot;flash points&quot; study to identify potential conflicts</td>
<td>GHAI 100</td>
<td>GHAI 100</td>
<td>X</td>
</tr>
<tr>
<td>b. regional analysis of pastoralist issues and conflict</td>
<td>GHAI 0</td>
<td>GHAI 100</td>
<td></td>
</tr>
<tr>
<td>c. research on conflict</td>
<td>GHAI 50</td>
<td>GHAI 50</td>
<td></td>
</tr>
<tr>
<td>d. synthesis of CPMR findings, determine next steps</td>
<td>GHAI Other 50</td>
<td>GHAI Other 50</td>
<td></td>
</tr>
<tr>
<td>2. Strengthen USAID D/G capacity to include conflict issues, including consultations</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>with regional actors (X-ref SO2).</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Provide formal guidance on conflict prevention for USAID strategic planning and</td>
<td>GHAI 10</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>consultative processes and technical assistance to do such analysis.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Implement recommendations from UN's War Torn Societies Project.</td>
<td></td>
<td></td>
<td>L</td>
</tr>
</tbody>
</table>

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### GHAI OPERATIONAL FRAMEWORK

#### E. Promote Stability [continued]

<table>
<thead>
<tr>
<th>Illustrative Activities</th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>5. Establish internal USAID mechanism for crisis contingency planning.</td>
<td></td>
<td></td>
<td>AFR BHR G PPC M LPA/GC REDSO/ESA Field Miss.</td>
</tr>
<tr>
<td></td>
<td>L X X X X X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Document lessons learned on conflict and facilitate information exchange.</td>
<td>GHAI 10</td>
<td>X X X X X X</td>
<td></td>
</tr>
<tr>
<td>GHAII RESOURCES</td>
<td>220</td>
<td>300</td>
<td></td>
</tr>
<tr>
<td>OTHER USAID RESOURCES</td>
<td>100</td>
<td>100</td>
<td></td>
</tr>
<tr>
<td>TOTAL RESOURCES</td>
<td>320</td>
<td>400</td>
<td></td>
</tr>
</tbody>
</table>

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### GHAI OPERATIONAL FRAMEWORK

<table>
<thead>
<tr>
<th></th>
<th>FY 98 Resources (in 000)</th>
<th>FY 99 Resources (in 000)</th>
<th>Participating Bureaus/Operating Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>Source</td>
<td>Amount</td>
<td>Source</td>
<td>Amount</td>
</tr>
<tr>
<td>GHAI RESOURCES</td>
<td>460</td>
<td>410</td>
<td>AFR</td>
</tr>
<tr>
<td>OTHER USAID RESOURCES</td>
<td>100</td>
<td>100</td>
<td>BHR</td>
</tr>
<tr>
<td>TOTAL RESOURCES FOR OPERATIONAL FRAMEWORK</td>
<td>560</td>
<td>510</td>
<td>G</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>PPC</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>M</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>LPA/GC</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>REDSO/ESA</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Field Miss.</td>
</tr>
</tbody>
</table>

**SUMMARY BUDGET**

- **GHAI RESOURCES**: 460 (FY 98) → 410 (FY 99)
- **OTHER USAID RESOURCES**: 100
- **TOTAL RESOURCES FOR OPERATIONAL FRAMEWORK**: 560 (FY 98) → 510 (FY 99)

---

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- **Note:** Lead on these should be taken by the GHAI/PVO Team; HASP = Humanitarian Assistance Support Project; AR = As Requested
## GHAI MANAGEMENT

<table>
<thead>
<tr>
<th></th>
<th>FY 98 RESOURCES</th>
<th>FY 99 RESOURCES</th>
<th>FY 98 &amp; FY 99 GRAND TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(in 000)</td>
<td>(in 000)</td>
<td>(in 000)</td>
</tr>
<tr>
<td><strong>1. GHAI STAFFING</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>a. REDSO/ESA</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>USDH: Field Coordinator</td>
<td>OEO</td>
<td>OEO</td>
<td></td>
</tr>
<tr>
<td>RSSA: Food Security Advisor</td>
<td>GHAI</td>
<td>GHAI</td>
<td>200</td>
</tr>
<tr>
<td>FSNPSC: Program Officer</td>
<td>GHAI</td>
<td>GHAI</td>
<td>95</td>
</tr>
<tr>
<td>FSNPSC: Activity Manager</td>
<td>GHAI</td>
<td>GHAI</td>
<td>95</td>
</tr>
<tr>
<td>D/G Fellow</td>
<td>GHAI</td>
<td>GHAI</td>
<td>65</td>
</tr>
<tr>
<td>USPSC: HASP Project Manager</td>
<td>GHAI</td>
<td>GHAI</td>
<td>300</td>
</tr>
<tr>
<td>FSNPSC: Information Specialist</td>
<td>GHAI</td>
<td>GHAI</td>
<td>75</td>
</tr>
<tr>
<td>FSNPSC: Administrative Assistant</td>
<td>GHAI</td>
<td>GHAI</td>
<td>35</td>
</tr>
<tr>
<td>FSNPSC: Senior Advisor</td>
<td>GHAI</td>
<td>GHAI</td>
<td>200</td>
</tr>
<tr>
<td>Intern</td>
<td>GHAI</td>
<td>GHAI</td>
<td>30</td>
</tr>
<tr>
<td><strong>SUB-TOTAL REDSO/ESA</strong></td>
<td>GHAI 740</td>
<td>GHAI 995</td>
<td>1735</td>
</tr>
<tr>
<td><strong>b. Washington Staffing</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Washington to insert)</td>
<td>GHAI 300</td>
<td>GHAI 300</td>
<td>600</td>
</tr>
<tr>
<td><strong>c. Bilateral Staffing</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>TBD</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL GHAI STAFFING</strong></td>
<td>GHAI 1,040</td>
<td>GHAI 1,295</td>
<td>2,335</td>
</tr>
</tbody>
</table>

---

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DOCUMENT B.1

IGAD Strategy for the Development of IGAD Mandate
INTERGOVERNMENTAL AUTHORITY ON DEVELOPMENT (IGAD)

STRATEGY FOR THE DEVELOPMENT OF IGAD MANDATE
1. Introduction

IGAD is a sub-regional development organization in Eastern Africa. It has gained considerable experience since its establishment in 1986, and is receiving sound encouragement and support from Member States, the Organization of African Unity, United Nations, the European Union, donors, non-government and international organisations. An amended Charter expanding the areas of IGAD cooperation was signed on 21 March 1996 and is now in effect. Based on this Charter IGAD has drawn a Strategy Framework with clear line of authority, responsibility and accountability. IGAD has further articulated its priority areas with well defined objectives and procedures on what, when, where and how it will achieve its mandate. The support and encouragement of its efforts by all institutions particularly in its initial stage is a good sign that IGAD will succeed. However, it is to be understood that as IGAD gains more experience, support, recognition and based on certain events which may occur, the strategy will be revisited regularly and adjustment may accordingly be made. Hence making it to be not only strategic, but also a dynamic process.

2. Background

In the last three decades, the IGAD Sub-region has been in the limelight with problems associated with droughts, internal and sub-regional conflicts, food insecurity and environmental degradation. In an attempt to address these problems, the Intergovernmental Authority on Drought and Desertification (IGADD) was established in 1986 by the then drought afflicted six Eastern African countries of Djibouti, Ethiopia, Kenya, Somalia, Sudan and Uganda. Convinced that drought and desertification can be combated effectively through development, the Member States later changed the name of the organization to Intergovernmental Authority on Drought and Development (IGADD). In 1993, the State of Eritrea became the seventh member of the Authority. Historical development of the Authority stemmed from the Member States conviction of the need for a sub-regional vehicle to enhance development through co-operation and joint actions on recurrent droughts and desertification. Guidelines were stipulated in the mandate and Plan of Action that had been prepared and adopted by the Member States.

In order to implement the Plan of Action the Secretariat prepared two strategies namely: the Food Security Strategy and the Strategy to protect the environment and combat desertification in 1990. By 1992, it had become increasingly evident that the two strategies required further re-focusing both in scope and content. Consequently, the Secretariat with the Member States and some Partners in Development, prepared and finalised a Five-Year Programme containing ten programme areas in Food Security and Environmental Protection. This Five-Year Programme together with the appropriate Secretariat structure were approved by the Policy Organs in 1993. It is important here to state that there are a number of on-going projects from the Five-Year programme that are relevant to the programmes of the revitalised IGAD and will be integrated accordingly.

As at the beginning of 1995, it was clear that the original IGAD priorities and strategies required revisiting to enable the institution respond to the emerging sub-regional challenges. IGAD Member States were of the view that primarily inter and intra state conflicts should be prevented and that mechanisms should be put in place for their resolution and management. In addition IGAD Member States are convinced that the current economic problems as well as poverty can be addressed effectively through closer economic cooperation,
infrastructure development, food security and environment protection. Consequently, the Heads of State and Government of Djibouti, Eritrea, Ethiopia, Kenya, Sudan and Uganda, at an extra-ordinary Summit on 18 April 1995, signed a Declaration to revitalize and expand the mandate of IGAD taking into account the development issues. This declaration paved the way for the birth of a dynamic institution on development, ably revitalised in content, orientation and structure.

In 1995/96 there were a series of meetings and consultations among the Heads of State and Government, Ministers, Member States experts and the UN Inter-agency group on the first part of the revitalization process. On March 21, 1996, the Heads of State met again in Nairobi and finalized the structure of the new IGAD and adopted a new charter.

Based on this Charter and the priority areas spelled out by the IGAD Council of Ministers the IGAD Secretariat and experts from the Member States met in June in Addis Ababa and developed a priority list of about thirty projects profiles. Further consultation with Policy Organs resulted into a package of seventeen profiles in 10 programme areas.

Given the determination of the Heads of State and Government of the IGAD sub-region, as expressed in the April 1995 Declaration to revitalise and expand its mandate, the international community has reaffirmed its support and commitment and wishes to participate in IGAD’s new vision of achieving peace, security and stability; rehabilitation and recovery in post conflict situation; and sustainable development based on priority areas of focus. This will be the basis of renewed partnership between IGAD and the International Community.

3. The IGAD Sub-region in a Changing Context

The IGAD countries are lagging behind in the adoption of technological innovations of production and are dependent on traditional, labour intensive means of production which limit the output and the quality of products. Poor infrastructure development and telecommunications among the countries has greatly impeded sharing of resources, intra-regional trade and effective exploitation of the resources endowment of the sub-region. On the other hand, the sub-region is a crisis area plagued by poverty, civil strife, refugees and displaced persons. This calls for the need to define a vision for the year 2000 and beyond. Implicit in this need was identification of new priority areas, appropriate institutional mechanisms and structures for achieving the goals.

Although IGAD was originally conceived to coordinate the efforts of Member States to combat drought and desertification, it became increasingly apparent that the Authority provided a regular forum where decision and policy makers of the Eastern African countries were able to tackle other scientific, political and socio-economic issues in a regional context. Other emerging challenges at national, regional and international levels particularly the changing nature and amounts of development assistance, changes in geo-political climate and deteriorating economic performance in the sub-region overwhelmed the existing institutions and the mandate. Indeed changes in leadership, economic liberalisation, democratisation and growing tendency of strengthening sub-regional groupings were of special significance. It is also worth noting that in recent times the sub-region has witnessed a flurry of initiatives from bilateral and multilateral sources. The Abuja Treaty that set up the African Economic
Community had a great influence in the birth of COMESA and a revitalized IGAD. The leaders of IGAD Member States were quick to recognize this new wind of change and therefore, declared that it is through a concerted cooperation in economic and political areas that IGAD would be able to achieve economic growth, food security, peace and security.

4. IGAD Vision

The sub-region has the required natural and human resources that could be developed and propel the sub-region to collective self-reliance where peace and security prevails. The vision is based on determination of the Governments of the Sub-region to pool resources and coordinate development activities in order to face the present and future challenges, enabling the sub-region to interact and compete in global economy on behalf of its inhabitants, eventually leading to regional integration.

5. Overall Strategy

The IGAD overall strategy is based on its overall policy objectives which is sustainable economic development. Regional Co-operation and integration is given special impetus and high priority to promote long term collective self-sustaining and integrated social-cultural and economic development. However, due to its limited capacity IGAD will initially concentrate on its three priority areas which are Food Security and Environment Protection, Conflict Prevention, Management, Resolution as well as Humanitarian Affairs, and Infrastructure Development as agreed upon during the Heads of State meeting held in Nairobi, Kenya in March 1996 and the elevation of its activities in other sections will occur as it grows.

6. Principles of Strategy

The principles of the IGAD Strategy are based on IGAD Principles as stipulated in the Agreement establishing IGAD; the OAU and UN Charters. These are:

- The fulfilment of its objectives guided by well tried international principles and ethics but in particular the endorsement of those principles that encourage as far as possible individual and collective responsibility.

- The establishment and maintenance of frameworks which enable the people to not only identify their pressing needs but also to be in the forefront in resolving them is salient in the role IGAD plays.

- Strict adherence to the principles of subsidiarity as a concept that meets the needs of the sub-region. Thus tasks are undertaken at the level in society where it can be effectively managed, and other levels support and complement and ensure that the operative level has sufficient means to undertake the required tasks.

- Application of the principle of added value to ensure the most economic use is made of the scarce resources and avoidance of duplication of efforts.

- Ensuring the active participation of all stakeholders at all levels of intervention in
decision making and execution of projects and programmes and in the project cycle management in general.

• Assuring that ownership of these projects and programmes is with the people who are the actual beneficiaries.

• Understanding that Member States have different priorities and interests, it is unrealistic to expect that all of them will move at the same pace in the implementation of the mandate. Therefore, IGAD will pursue the principle of variable geometry where those who are ready should proceed on the basis of progressive steps leaving the options for others to join and participate.

• Commitment to dialogue in a consultative process that enhances cooperation, in a spirit of partnership that recognise that all stakeholders have common but differentiated responsibilities.

These principles merge in a coherent manner with social-cultural and economic demands accommodated in such a way as not to threaten the long term viability of national policies intertwined in the sovereign right that respects and encourages sustainable development within a sub-regional context.

7. Scope of Operation

The scope of operation is based on the three priority areas and functions of the Secretariat. These include:

• preparation of surveys, studies, information and guidelines on legal, political, economic, social, cultural and technical matters of common concern to, and essential for broadening and deepening cooperation among Member States;

• initiation, identification and co-ordination of development programmes and projects;

• assistance to the policy organs in their work relating to political and humanitarian affairs;

• project cycle management;

• provision of backstopping services.

8. Priority Areas

The objective of the IGAD mandate is the sustained economic development of the sub-region. This calls for the development and implementation of appropriate strategies in economic, social, cultural, political and environmental sectors, which in turn requires commensurate capacity both at national and sub-regional level. However, taking into account the present capacity of IGAD and its Member States, the need for urgent actions to address the crises in Eastern Africa and the need for the promotion of sub-regional cooperation and economic integration, it has been agreed upon that at the initial stage, IGAD shall concentrate on the
following three key priority areas.

8.1 Food Security and Environment

The IGAD policy on Food Security and Environment Protection is to ensure that all people in the IGAD sub-region have access to sufficient food at all times for a healthy and productive life without destroying the natural resources base and the environment of the sub-region. This requires the sustainable management of the natural resources base and the environment of the sub-region through appropriate farming and production systems and environment management activities.

IGAD translates the above policy framework into tangible actions by:

- fostering and enabling the sub-region to maximize the use of its own resources in meeting its food requirements;

- improving the quality and quantity of information on Food Security, Natural Resources and Environment Protection available to decision and policy makers and to the market;

- enhancing co-ordination of macroeconomic policies in the areas of Food Security, Natural Resources Management and Environment Protection;

- undertaking research that foster food security and the sustainable management of natural resources and the environment;

- improving the capacity of Member States and the IGAD Secretariat to properly address Food Security and Environment Protection issues; and

- developing particular sub-regional actions on common natural resources or common problems that can be better addressed through sub-regional approaches.

In this context, IGAD plans to undertake the following Programmes and Projects in both Food Security and the sustainable Management of Natural Resources and the Environment in addition to the on-going programmes and projects:

(i) establishing of an Integrated Information System for IGAD

(ii) promoting sustainable production of drought-resistant, high yielding crop varieties through research and extension

(iii) trans-boundary Livestock disease control and vaccine production

(iv) environment Education and Training

(v) strengthening Environment Pollution Control

(vi) capacity Building in Integrated Water Resources Management
(viii) promoting Community Based Land Husbandry

The on-going programmes and projects include:

(i) Strengthening Remote Sensing for Food Security and Environmental Monitoring in the IGAD sub-region

(ii) Household Energy

(iii) Grain Marketing Information System

(iv) Training in Grain Marketing

(v) Training and Credit Schemes in Artisanal Fisheries

(vi) IGAD support to MS on the elaboration and implementation of International Convention to Combat Desertification

(vii) Strengthening of Libraries in the Member States

(viii) Environment Information System and Network (EIS/EIN)

8.2 Infrastructure (Transport and Communication) Development Strategy Framework

Recognizing the role of infrastructure in the sustained economic development of the sub-region, the Charter establishing IGAD provides the policy framework for infrastructure development in the sub-region taking into account its effects on the environment and food security. The framework calls for increased co-operation and co-ordination in infrastructure building, particularly for communications, energy, transport by land, air and sea. The policy framework further identifies the need for the harmonisation of macroeconomic policies and programmes in the infrastructure sector, including the harmonisation of transport and communications policies and the removal of physical and non-physical barriers to interstate transport and communication.

IGAD translates the above policy framework into tangible actions by:

- Concentrating on the development of vital missing links to foster the Trans-African Highway System and harmonisation of activities with other on-going sub-regional programmes being undertaken by others such as COMESA and OAU;

- Improving the efficiency and reliability of existing cross-border operations in transport and communication sector by strengthening capacity building and standardisation;

- Improving the efficiency of existing ports to optimize the use of existing facilities and through introduction of modern handling equipment and management information systems to enhance import and export activities, particularly for landlocked countries;
Promoting the improvement of existing and planned communication system vital to the inclusion of the sub-region into the world economy;

Eliminating of physical bottlenecks by putting in place policy, legislative and administrative measures that would facilitate movement of goods and services particularly for land locked countries;

Promoting and ensuring an appropriate system for maintenance and rehabilitation programmes for the sub-regional infrastructure network;

Undertaking environmental impact assessments and making provisions for potential adverse effects in the implementation of any infrastructure development programme; and

Taking investment decisions based on the demand for transport and provision of efficient, reliable, user-responsive infrastructure services which are self-sustaining through a cost recovery scheme.

In line with the above, IGAD shall initially concentrate on transport (roads, rail and ports) and telecommunications sub-sectors. The following projects are selected to address these sub-sectors:

- Missing link on Nairobi - Addis Ababa Highway (Isiolo-Moyale Road);
- Gonder-Humera-Barentu-Gedaref Road links;
- Dobi-Galafi-Yoboki Road Link;
- Modernisation of Railway Telecommunication Service Between Nairobi and Kampala;
- Study and Construction of Ethio-Djibouti Railway Inland Container Terminal;
- Assab/Massawa Ports Rehabilitation and Modernisation Project;
- Container Terminal Management Information System at the Port of Mombasa; and
- Upgrading of Pan-African Telecommunications (PANAFTEL) Links (Nairobi-Moyale-Addis-Dessie-Assab-Djibouti-Barbera-Hargeisa);

8.3 Conflict Prevention, Management and Resolution Strategy Framework.

Conflicts and political instability are some of the primary impediments to development in the IGAD subregion. Their impact on the social, cultural, political, economic and environmental set-up of the afflicted countries or sub-regions is immense. The effect of conflicts and political instability is illustrated in the number of human lives lost in the last decades, increased number of refugees and displaced persons as well as the destruction on the natural and physical environment in some parts of the sub-region.
Most of the countries in the IGAD sub-region are undergoing political changes. Political and economic liberalisation and pluralism, free press, accountability, community participation and decentralisation is on the upsurge. These changes have given new impetus to strengthen and institutionalize previous ad-hoc meetings of the Heads of State and Government of the sub-region into regular consultations for concerted and sustained efforts to resolve sub-regional political problems.

The policy framework for Conflict Prevention, Resolution and Management is provided in the Charter establishing IGAD in line with the aims and objectives of the Organization of African Unity and the United Nations Charter. Article 18A of the IGAD Charter states that Member States shall act collectively to preserve peace, security and stability which are essential prerequisites for economic development and social progress. Accordingly, Member States shall:

- Take effective collective measures to eliminate threats to sub-regional co-operation, peace and stability;
- Establish an effective mechanism of consultation and co-operation for peaceful settlement of differences and disputes; and
- Accept to deal with dispute between member States within the sub-regional mechanism before they are referred to other regional and international bodies.

IGAD translates the above policy framework into tangible actions by:

- Facilitating the free movement and right of residence of their national in the sub-region;
- Promoting social and cultural exchanges as an effective means of consolidating sub-regional co-operation and understanding;
- Making known the fundamental and basic rights of the people of the sub-region;
- Being guided by the objective of saving lives, delivering timely assistance and alleviating human suffering leading to establishing a relief, rehabilitation and development continuum;
- Facilitating repatriation and reintegration of refugees, returnees and displaced persons and demobilized soldiers;
- Undertaking research, early warning and information exchange; and
- Capacity building in Conflict Prevention, Resolution and Management both at national and sub-regional level.

- Promoting and organising forms for peace initiatives in the sub-region.
At the initial stage, IGAD undertakes the following two projects:

- Capacity Building in the Areas of Conflict Prevention, Management and Resolution; and
- Alleviation and Mitigation of Humanitarian Crises in the IGAD sub-region.
- Reactivating IGAD Peace and Security Initiatives in Somalia and Sudan.

8.4 The implementation of the UN Convention to Combat Desertification

Desertification is a key concern of the IGAD sub-region. In addressing this concern, IGAD is actively participating in the implementation of the the UN Convention to Combat Desertification. This however requires the development of National Action Programmes (NAPs) and Sub-regional Action Programmes (SRAPs) as stipulated in the Convention. Consequently, in the process of developing SRAPs, it has been noted that most of the projects under the IGAD three priority areas address some of the priority areas of SRAPs. In this context, IGAD will implement the Convention through these agreed programmes and projects in the key priority areas and other programmes and projects under the Convention which are not directly linked to the Priority Areas, will be considered as the need arises and when the financial resources to implement them are available.

8.5 Inter-linkages Among Priority Areas

There are direct and indirect strong linkages among the three priority areas as briefly mentioned below:

- Conflict prevention, Resolution and Management as a means to maintain peace and security is a basis for successful implementation of both Food Security and Environment Protection and Infrastructure development. The absence of peace and security causes loss of opportunities and means of production, employment and destroys food and other resources supply network thereby causing and aggravating food shortages. In response, the population may resort to migration on a larger scale that might result in conflict and environmental destruction. In addition, lack of peace and poor infrastructure development interact and hamper access to large areas of required and vital services as well as the general relief operations.

- Environment deterioration due to overgrazing, deforestation, intensive cultivation of marginal lands, the use of inappropriate agricultural technology and policy and environment policy as well as poor management of arable lands has a profound impact on agricultural production. Coupled with rapid population growth, it leads to increased food deficits and food insecurity in the sub-region triggering migration and displacement of the affected section of the population thereby intensifying the destruction of the environment. Inevitably, the effects of environment deterioration and food insecurity spill over to neighbouring countries and areas, making the IGAD countries more interdependent in solving these problems through concerted and co-ordinated efforts governed by a clear policy and strategy.
• The existence of efficient and reliable infrastructure system is a prerequisite not only for the development of local and international markets for goods and services, but also for the provision of social services to the population, the promotion of social, cultural and political interchanges necessary for the economic integration of the sub-region. In addition, infrastructure development facilitates rapid delivery of relief services to the most vulnerable members of society in times of disaster. This interaction fosters inter and intra-state dialogue to resolve impending conflicts. Hence, the existence of reliable infrastructure, transport and communications have a direct relationship with food production and environmental protection and Conflict Prevention, Resolution and Management efforts.

8.6 Inter-linkages Between Priority Projects

Projects in the Food Security and Environment Protection complement each other in achieving the objective of the priority area as well as that of infrastructure development and conflict. Furthermore, they all follow a common basic principle, i.e. sustainable management of the natural resource base. However, it is important to note that the implementation of one project does not depend directly on the implementation of the other.

Similarly, the projects in the Infrastructure development sector, supplement each other in achieving the objective set in infrastructure, which is the completion of the Trans-African Highway. The objective therefore depends on the implementation of each road project, as these roads are planned to complete missing links in the Trans-African Highway. The same is also true for the projects in the communications sub-sector, as the projects are planned to complete the linkage of the sub-region to the PANAFTIEL System.

The implementation of a project on capacity building on Conflict Prevention, Resolution and Management both at the Secretariat and in the Member States enhances the successful implementation of the other project on the alleviation and mitigation of humanitarian crises. On the other hand, the experience gained in implementing the alleviation and mitigation of human crises will enrich the capacity of IGAD Secretariat and the Member States. This makes the projects in Conflict Prevention, Resolution and Management have a strong linkage.

The inter-linkage between projects of two priority areas directly depends on the linkages of the priority areas. As stated above, the implementation of some projects in one priority might have or not have an impact on the implementation of projects on the other priority area. But, in general, they all contribute to the achievement of the objective of their respective priority areas and to the overall goal of IGAD.

There is however a common inter-linkages between all projects in that some projects form part of a certain programme and contribute towards achieving its objective based on the IGAD Programme/Project Approach. Exchange of information and experience, training and capacity building and awareness creation are areas where a profound linkage between the projects exists. Information system activities of all projects will be co-ordinated by the IGAD Subregional Integrated Information System (RIIS). This will create the chance of having and using common database and meta-database and networking facilities in addition to the individual project specific databases and information systems. Early warning data and
information on conflict shall also be an integral part of the system. On the other hand, RIIS will benefit from the data/information collected, processed and analyzed by the individual projects to integrate the information from different sectors so as to assist decision makers and planners with cross-sectoral data/information.

9. Criteria for Selecting Projects

In selecting projects, IGAD considers the following criteria:

- a project must fall under the IGAD priority areas;
- a project should be sub-regional in nature;
- there should be an expressed interest by at least two Member States;
- manageability of the proposed project;
- funding potential;
- sustainability;
- economic feasibility.

10. Implementation

10.1 Institutional Arrangements

The institutional arrangement for the implementation of IGAD mandate will be a joint effort of the Authority (Policy organs and the Secretariat) and the partners in development (bilateral, multilateral agencies sub-regional, regional, international institutions, NGOs and private sector). The Authority's institutional arrangement consists of Policy Organs made up of the Assembly of Heads of State and Government, Council of Ministers, the Committee of Ambassadors and the Executive arm which is the Secretariat. The functions of each organ are stipulated in the Agreement establishing IGAD.

10.1.1 Policy Organs and Functions of the Authority

IGAD has three policy levels of operation, the Heads of State level who are the ultimate decision makers for sanctioning and ratifying new initiatives and policies; the Council of Ministers who administer the operation of the organization at policy level and ensure that implementation at the national level takes place, the Committee of Ambassadors who work closely with the Secretariat on matters already approved by the council but may need further clarification to put into concrete programmes and plan of actions. The policy organs provide direction and advice to the executive Secretariat as and when required.

The Assembly of Heads of State and Government meets once a year and at any time upon the request of any Member State if accepted by a two thirds majority. The Council of
Ministers is composed of Ministers of Foreign Affairs and one other focal Minister designated by each Member State. The Council may establish ad hoc sectoral Ministerial committees to deal with issues in their respective sectors. The Council meets twice a year and at any time upon request from a Member State. The committees meet as often as is necessary for the attainment of their objective. The Committee of Ambassadors comprises Member State Ambassadors at the headquarters of the Organization and in major Partners' capitals. The Committee of Ambassadors holds meetings as and when necessary. These Committees in donor capitals are chaired by the Ambassador representing the country chairing the Authority.

10.1.2 IGAD Internal Organization and Mechanisms

The Secretariat is the Executive body of the Authority and is headed by an Executive Secretary with its own competent professional staff recruited from the Subregion. (see the organisational structure). IGAD Secretariat is a think tank for the Subregion in development matters. In order to cope effectively in their daily tasks the professionals undergo regular in-house and external short term training. The functions of the Secretariat are to implement the decisions of the policy organs in all areas of project-cycle management and assist policy organs in their work relating to political, development and humanitarian affairs.

10.1.3 IGAD and Member States Linkage.

With the understanding that each project is a joint undertaking of two or more countries, but agreed upon by all Member States, it is envisaged that the project preparation is the joint responsibility of the IGAD Secretariat and the experts from Member States. However, Member States themselves are directly in charge of project implementation. The IGAD Secretariat will be involved in planning, fund mobilisation, monitoring and evaluation. In the spirit of partnership building, the financing agencies (donors) and other relevant and interested institutions and NGOs could be involved in the appropriate stages of the project development. Depending on the nature and size of the project two institutional approaches have been envisaged:

- Apart from political focal point from the Ministry of Foreign Affairs, the Technical Focal Points are designated by each Member State for the co-ordination of overall IGAD subregional programmes. However, Member States participating in the project will identify technical ministries, departments or other institutions and set up a national technical committee. The chairman (or representatives) in each country will constitute the sub-regional technical committee of the project chaired by project co-ordinator at the IGAD Secretariat.

- As a matter of expediency and where the Secretariat does not have sufficient capacity, IGAD may decide to appoint a Centre of Excellence, a Host Centre or a Consortium to function as an executing agency for project implementation. The Secretariat will still remain with facilitation, co-ordination, planning, monitoring and evaluating functions.

The Secretariat will have a regular reporting system to appraise IGAD policy organs as well as donors on the progress of the project and programmes.
10.1.4 Interaction of IGAD with International Community

The role of the International community is to actively support, individually or jointly, the efforts of IGAD in implementing its programmes by inter alia, providing financial and technical means, promoting and facilitating access to appropriate technology, know-how and knowledge and capacity building. In this respect, two types of technical assistance are envisaged.

- Long-term residential-project specific, and
- Short-term consultancy in Project Cycle Management.

In the spirit of partnership, donor consultative meetings should be jointly held with the policy organs. In order to enhance dialogue and transparency, partners in development should also participate in technical committee meetings and contribute in discussing the programmes. IGAD also envisages to have a donor forum and institutionalise the present "Friends of IGAD" to assist in advocacy, lobbying, publicity and making the objectives and aims of IGAD known by other partners in development. Furthermore, IGAD would continue to use the existing Committee of Ambassadors in donor capitals in its role of sensitisation and mobilisation of resources from the international community.

10.1.5 IGAD Interaction with other Sub-regional, Regional and International Institutions, NGOs and Private Sector

In implementing its mandate, IGAD may find itself performing similar activities in some areas with other organisations. It will therefore seek to promote co-operation and collaboration to avoid duplication of efforts and enhance synergy. These institutions will support the efforts of IGAD in the exchange of information and experience, capacity building, research and networking in different relevant fields. Some institutions may also be contracted to do specific jobs for IGAD where the capacity within IGAD is limited.

To institutionalize this linkage, IGAD will participate in joint programming with these organisations and indicate where joint action is possible. In preparation of projects/programmes IGAD will identify collaborating institutions and agencies in all the projects within the three priority areas. In each area of co-operation a competent professional within the secretariat will be assigned the role of the follow-up. A Memorandum of Understanding will be prepared stipulating the role of each organization.

10.2 Operational Arrangements

In implementing its mandate, IGAD makes use of different institutional arrangements developed and approved by its policy organs. These arrangements provide IGAD with the necessary mechanism to operationalise its general and programme/project specific functions.

10.2.1 General Functions

- IGAD political and technical focal points are strengthened with the necessary and modern
communication and transport facilities in order to facilitate IGAD related activities in the Member States. The Focal Points organise intersectoral and inter ministerial committees on relevant sub-regional issues.

- To enhance synergy IGAD creates and maintains networks with most national, sub-regional, regional and international organisation dealing with issues relevant to IGAD’s mandate.

- As a sub-regional organisation dealing with development aspects of the sub-region, IGAD assists and co-ordinates the sub-regional common positions, represents the sub-region in negotiations of major meetings, conferences and in other relevant fora of sub-regional interest.

- Undertake national sub-regional workshop and seminars to enhance coherence between national and sub-regional policies, strategies and actions of sub-regional interest.

- To improve the internal IGAD operational capacity, the secretariat shall continue to utilize in-house as well as external training.

- In respect to publicity and public awareness, IGAD has information and documentation section that regularly produces information and press releases on IGAD matters. In addition IGAD involves the sub-regional media professionals in publicising its activities from time to time and intends to institutionalise a sub-regional media network.

- In addition to the regular meetings of IGAD policy organs, Sectoral Ministerial meetings shall also be convened to deepen the cooperation between Member States and harmonise policies set out in the Amended Charter.

10.2.2 Programme/project Specific Functions

To implement its programme and projects IGAD uses the following operational mechanisms.

1. Each programme/project in the member state is operationalised with the support of technical focal point which is selected on the basis of a criteria and relevance to the sector.

2. In each sector a national technical representative becomes a member of sub-regional technical committee which meets regularly at IGAD Secretariat to deliberate sub-regional sectoral issues.

3. Where IGAD does not have sufficient capacity to execute its programmes and projects, IGAD shall select a specialised national institutions to host the programme using a well defined criteria. If specialised national institutions are not available, other sub-regional or international Centre of Excellence could be identified. In all cases, appropriate Terms of Reference shall be developed and a Memorandum of Understanding negotiated and signed.

4. IGAD will undertake regular monitoring of sub-regional projects and report the progress
to IGAD regular and ad-hoc meeting of policy organs and to its partners.

11. Funding

The source of funding will include both institutional and programme/project funding.

11.1. Institutional Funding

The main source of this funding is from assessed contributions from Member States to enable the secretariat meet its recurrent costs. IGAD Member States recognize that the running of the organization is their responsibility and they should therefore provide for its budget. This reflects their commitment and ownership of the institution that serves their interest. Other sources of funds are received as grants from donors and international agencies to make the Secretariat more efficient.

11.2. Programme/Project Funding

IGAD shall promote multiple-source funding approaches for mobilizing domestic, regional and international financial resources. These resources could be in form of donations, grants, investments and in kind contributions.

Currently, funds are received as grants from donors and international agencies and this is mainly utilized for project implementation in an efficient and effective manner. IGAD plays a major role in facilitating access by the sub-region to funds from legally binding instruments such as the Lome Conventions and other International Agreements. IGAD shall also facilitate the private sector involvement in project funding.

In the new programmes, IGAD Secretariat will play a central role in the co-ordination of partners, organize consultative meetings and utilize international agreements in lobbying for funds for programmes. In a situation where IGAD requires heavy expenditure to carry out its programmes, these efforts shall be provided with reasonable consideration in recognition of its administrative and co-ordinating role. It shall therefore charge administrative cost for programme implementation.

Apart from assessed contribution, Member State contribution in kind is encouraged as this will determine commitment and the success of the projects. The external funding is therefore seen as promoting actions leading to mobilization of domestic resources. However the aim of IGAD is for self-sufficiency in generating all its funds from within the sub-region and gradual moving away from dependence on external funding for its project and other long term activities.

11.3 Fund Administration

11.3.1 Receiving of Funds

The modality of fund transfer are agreed upon with each donor and are usually mentioned in the project document. Funds from donors and bilateral organization are directly transferred
to the account of the Secretariat through bank transfers. The Secretariat maintains separate bank accounts for each project. Project funds from donors could also be directly channeled to an implementing agency. Where this happens IGAD Secretariat will have facilitating, monitoring and evaluation role.

11.3.2 Management of Funds

The Secretariat disburses and manages funds in accordance with the terms and conditions stipulated in the financial regulations of IGAD as well as the project document. To facilitate this IGAD has recently introduced a modern computerised accounting system. The project accounts are reconciled with the project bank account on a monthly basis. A quarterly Financial Report is prepared to show the detail position of the fund balance which will enable the project officer to follow-up the utilization of fund and planning of activities. Funds disbursed by Member States or other institutions are managed by them as per agreement.

11.3.3. Auditing of Accounts:

The accounts of the Secretariat are audited on an annual basis by an independent external auditor and the report is circulated to the Member States and donors. However, where the scope of audit reports may not be detailed enough to satisfy the specific requirements of the individual donors, they may send their own auditor to carry out specific evaluations for the project spending and implementation. IGAD is prepared to meet any auditing requirement by a resources provider. These mechanisms ensure the proper utilization of funds for the purpose intended.
**DISCUSSION ON THE FUNCTIONS AND MANPOWER NEEDS OF THE PEST CONTROL UNIT IS POSTPONED UNTIL FINAL DECISIONS HAVE BEEN TAKEN ON THE MERGER OF IGADD AND DLCO-EA BY THE POLICY ORGANS OF THE TWO ORGANISATIONS.**
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IGAD Summit, November 25-26 Meetings in Djibouti
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PAGE 01

ACTION AF-01

INFO LOG-00 AID-00 CIAE-00 OASY-00 DODE-00 SRPP-00 DS-00

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DEPARTMENT PLS PASS AID FOR MCCALL AND RADER
NAIROBI FOR SOMALIA WATCHER AND USAID/SOMALIA

E.O. 12958: 11/30/01
TAGS: PREL, IGAD, EAID, DJ
SUBJECT: INTERGOVERNMENTAL AUTHORITY ON
DEVELOPMENT (IGAD) SUMMIT, NOVEMBER 25-26:
TOWARDS HORN OF AFRICAN UNITY?

REF: ROME 11592

PAGE 02

1. SUMMARY: THE IGAD "REVITALIZATION" SUMMIT,
HELD NOVEMBER 25-26 IN DJIBOUTI, WAS NOTABLE FOR
ITS CIVILITY, CONSIDERING THE CONTINUING TENSIONS AMONG MEMBER STATES. MEMBER STATE AND "INTERNATIONAL PARTNER" DELEGATIONS EXPRESSED SUPPORT FOR THE EXPANDED MANDATE OF IGAD TO INCLUDE CONFLICT PREVENTION AND RESOLUTION. THE MEMBER STATE COMMUNIQUE PLEDGED COORDINATION WITH THE OAU IN THE AREA OF CONFLICT PREVENTION AND RESOLUTION AND ENDORSED ADDIS AS THE FOCUS OF EFFORTS TO END TO ACHIEVE PEACE IN SOMALIA. (TEXT OF MEMBER STATE COMMUNIQUE PARA 7.) END SUMMARY.

2. THE NOVEMBER 25-26 IGAD SUMMIT BROUGHT TOGETHER HEADS OF STATE FROM FIVE OUT OF THE SIX IGAD MEMBER STATES WITH FUNCTIONING GOVERNMENTS: DJIBOUTI, ERITREA, ETHIOPIA, KENYA, THE SUDAN, AND UGANDA. (MUSEVENI COULD NOT COME AT THE LAST MINUTE, DUE TO EVENTS IN RWANDA, BUT SENT HIS DEPUTY PRIME MINISTER.) THE SEVENTH MEMBER STATE, SOMALIA, WAS REPRESENTED BY A SYMBOLIC EMPTY CHAIR. DONOR, OR IN IGAD PARLANCE "PARTNER," DELEGATIONS WERE REPRESENTED AT A VARIETY OF LEVELS, DUE IN LARGE PART TO DEVELOPMENTS IN THE GREAT LAKES REGION THAT REQUIRED ATTENTION FROM AFRICAN AFFAIRS EXPERTS ELSEWHERE. DUTCH COOPERATION MINISTER, JAN PRONK, AND ITALIAN UNDERSECRETARY FOR AFRICAN AFFAIRS, PINO SERRI, WERE THE HIGHEST RANKING BILATERAL REPRESENTATIVES.

3. IN A BREAKFAST AT THE EMBASSY THE MORNING OF NOVEMBER 15, KEY DONOR DELEGATIONS COORDINATED THEIR APPROACH, FOLLOWING UP ON THE LETTER THAT HAD BEEN SENT TO THE KENYAN FOREIGN MINISTER IN EARLY NOVEMBER. THE IDEA OF REGULAR MEETINGS OF AN INTERNATIONAL PARTNER FORUM, AND JOINT SESSIONS WITH THE IGAD MEMBER COUNTRIES, WAS ENDORSED AS A MECHANISM TO ENCOURAGE IGAD MEMBERS TO MEET ON A REGULAR BASIS. A LARGER MEETING LATER IN THE DAY, CHAIRMED BY THE ITALIAN UNDERSECRETARY AND INCLUDING ALL INTERESTED BILATERAL AND MULTILATERAL DELEGATIONS, REVEALED SOME DIFFERENCES IN PERSPECTIVE BUT REINFORCED THE BASIC POSITIVE MESSAGE. FOLLOW-UP MEETINGS IN ADDIS AND IN EUROPE ARE PLANNED. (NOTE: SEPTEL WILL COVER THE SUDAN-RELATED "FRIENDS OF IGAD" MEETING AND DISCUSSIONS IN WHICH AF/E DIRECTOR BARBARA BODINE PARTICIPATED.)

4. THE AFTERNOON SESSION ON NOVEMBER 25 WAS
DEVOTED TO WELCOMING REMARKS BY THE PRESIDENT OF DJIBOUTI, HASSAN GOULED APTIDON, AND FORMAL STATEMENTS BY THE MEMBER STATES AND INTERNATIONAL DELEGATIONS. BECAUSE THE SPEECHES WERE ALL PREPARED IN ADVANCE IN IGAD CAPITALS, THE FORMAL SESSIONS LACKED THE SPARK OF INTERACTION. HOWEVER, TENSIONS BETWEEN THE VARIOUS MEMBER STATES, ERITREA AND SUDAN IN PARTICULAR, WAS PALPABLE. EVERY SPEECH INCLUDED REFERENCES TO THE NEED TO FIND PEACEFUL SOLUTIONS TO THE CONFLICTS IN SOMALIA AND IN SOUTHERN SUDAN. KEY DONOR COUNTRIES, HERETOFORE TO BE KNOWN AS "INTERNATIONAL PARTNERS OF IGAD," EXPRESSED SUPPORT FOR THE BROADENING OF IGAD'S MANDATE TO INCLUDE CONFLICT PREVENTION AND RESOLUTION, AND THE REVITALIZATION OF THE ORGANIZATION. RICHARD MCCALL, USAID CHIEF OF STAFF, THE HEAD OF THE USDEL, MADE A WELL-RECEIVED SHORT STATEMENT EMPHASIZING THE IMPORTANCE OF CONSULTATION WITH AFRICAN GOVERNMENTS IN ADVANCE OF HUMANITARIAN OR CONFLICT RESOLUTION EFFORTS ON THE CONTINENT.

5. ON THE SECOND DAY OF THE SUMMIT, BILLED AS DEDICATED TO THE PRESENTATION OF PROJECT PROFILES, THE INTERNATIONAL PARTNERS WERE OBLIGED COOLED THEIR HEELS IN THE CONFERENCE ROOM WHILE THE HEADS OF STATE MET IN AN UNSCHEDULED CLOSED SESSION. (NOTE: WERE THEY DISCUSSING THE GREAT LAKES, THE SUDAN CONFLICT? RUMOR HAD IT THE TANZANIAN FOREIGN MINISTER HAD ARRIVED, AND THAT THE DESERT LOCUST CONTROL ORGANIZATION, WHICH INCLUDES ALL IGAD MEMBERS PLUS TANZANIA, WAS ABOUT TO MERGE WITH IGAD. THE INTERNATIONAL PARTNERS AGREED THAT

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MATTER WHAT THE SUBJECT, WAS A POSITIVE DEVELOPMENT. INDEED, THE AFRICAN HEADS OF STATE WERE "TAking POSSESSION" OF THEIR REVITALIZED ORGANIZATION. END NOTE.)

SECRETARY, DR. TEKESTE GHEBRAY, ELABORATED UPON THE PROJECTS AND OUTLINED A VISION OF GRADUALLY IMPROVING ECONOMIC INTEGRATION IN THE REGION. THE MEMBER STATE COMMUNIQUE, APPARENTLY HAMMERED OUT IN THE LONG CLOSED SESSION, PLEDGED COORDINATION WITH THE OAU IN THE AREA OF CONFLICT PREVENTION AND RESOLUTION, AND ENDORSED ADDIS AS THE FOCUS OF EFFORTS TO END TO ACHIEVE PEACE IN SOMALIA. (TEXT OF COMMUNIQUE IS IN PARA 7; TEXTS OF OTHER SPEECHES WILL BE SENT TO AF/E.)

7. BEGIN COMMUNIQUE TEXT.

COMMUNIQUE OF HEADS OF STATE AND GOVERNMENT OF IGAD MEMBER STATES AT THE LAUNCHING SUMMIT FOR THE REVITALIZED IGAD HELD ON 25-26 NOVEMBER, 1996 IN DJIBOUTI.

AT THE LAUNCHING SUMMIT OF THE REVITALIZED IGAD, UNCLASSIFIED

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THE SUMMIT WAS OPENED BY THE HEAD OF STATE AND GOVERNMENT OF THE REPUBLIC OF DJIBOUTI H.E. HASSAN GOULED APTIDON AND CHAIRMED BY H.E. PRESIDENT DANIEL ARAP MOI OF THE REPUBLIC OF KENYA. THE DELIBERATIONS WERE HELD IN A FRANK AND FRIENDLY ATMOSPHERE.


THE HEADS OF STATE AND GOVERNMENT REFERRED TO THEIR EARLIER SUMMIT OF 18 APRIL, 1995 IN ADDIS ABABA DURING WHICH THEY DECIDED TO REVITALISE AND EXPAND THE MANDATE OF THE ORGANIZATION IN ORDER TO MAKE IT MORE EFFECTIVE. THE IGADD'S CHARTER HAS NOW BEEN AMENDED AND CONSEQUENTLY ITS NAME CHANGED TO THE INTERGOVERNMENTAL AUTHORITY ON DEVELOPMENT.
THE HEADS OF STATE AND GOVERNMENT EXPRESSED THEIR SATISFACTION THAT THE REVITALIZATION PROCESS HAS BEEN SUCCESSFULLY COMPLETED WITH THE SIGNING OF THE AMENDED CHARTER ON 21 MARCH, 1996 IN NAIROBI. IGAD IS NOW READY TO EMBARK ON THE TASK OF FULFILLING ITS OBJECTIVES.

THIS SUMMIT CULMINATES IN THE REVITALIZATION PROCESS BY THE LAUNCHING OF THE NEW AREAS OF COOPERATION UNDER THE EXPANDED MANDATE WITH A VIEW TO MOBILIZING THE SUPPORT OF THE INTERNATIONAL COMMUNITY FOR THE IMPLEMENTATION OF ITS PROJECTS AS WELL AS ESTABLISHING A FIRM PARTNERSHIP IN DEVELOPMENT.

THE HEADS OF STATE AND GOVERNMENT EMPHASIZED THAT, CONFLICT PREVENTION, MANAGEMENT AND RESOLUTION AND HUMANITARIAN AFFAIRS IS THE SUBREGION'S TOP PRIORITY. THE HEADS OF STATE AND GOVERNMENT RESOLVED THAT IGAD SHOULD CONTINUE TO ASSIST IN THE SEARCH FOR A LASTING SOLUTION TO THE CONFLICT IN THE SOUTHERN SUDAN. THEY EXPRESSED CONCERN ON
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FORM OF ECONOMIC DEVELOPMENT.

THE HEADS OF STATES AND GOVERNMENT DISCUSSED THE PROBLEM OF SOMALIA AT LENGTH AND RE-AFFIRMED THE MANDATE OF THE OAU TO ETHIOPIA TO COORDINATE PEACE INITIATIVES IN SOMALIA. IN THIS REGARD THE HEADS OF STATE AND GOVERNMENT AGREED THAT THE REVITALIZED IGAD WITH MECHANISM FOR CONFLICT PREVENTION, MANAGEMENT AND RESOLUTION SHOULD WORK WITH THE IGAD AMBASSADORS IN ADDIS ABABA TO MONITOR AND COORDINATE PEACE EFFORTS AND KEEP THE CHAIRMAN OF IGAD MEMBER STATES WELL INFORMED AT ALL TIMES.

THE HEADS OF STATE AND GOVERNMENT NOTED THAT THE CONSTRAINTS IN PURSING PEACE AND STABILITY ARE HINDERED BY POOR INFRASTRUCTURE DEVELOPMENT WHICH IMPEDE QUICKER AND CLOSER LINKAGES AMONG THE PEOPLE. THEY THEREFORE MADE A STRONG APPEAL TO THE PARTNERS IN DEVELOPMENT TO SHOW THEIR COMMITMENT TO IGAD IN THE FULFILLMENT OF THIS
OBJECTIVE.

THE SUMMIT REVIEWED AND ADOPTED THE SELECTED PROJECT PROFILES THAT HAD BEEN SUBMITTED FOR CONSIDERATION IN THE KEY PRIORITY AREAS OF FOOD SECURITY AND ENVIRONMENTAL PROTECTION; INFRASTRUCTURE DEVELOPMENT (TRANSPORT AND COMMUNICATIONS) AND CONFLICT PREVENTION, MANAGEMENT AND RESOLUTION AND HUMANITARIAN AFFAIRS.

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A NUMBER OF PARTNERS IN DEVELOPMENT MADE STATEMENTS IN SUPPORT OF THESE KEY PRIORITY AREAS AND INDICATED THEIR FIRM COMMITMENT IN ASSISTING IGAD IN THE IMPLEMENTATION OF THESE PROJECTS BY PROVISION OF MATERIAL SUPPORT.

THE HEADS OF STATE AND GOVERNMENT EXPRESSED THEIR GRATITUDE TO THE INTERNATIONAL COMMUNITY FOR THE INTEREST AND SUPPORT GIVEN TO IGAD THROUGHOUT THE REVITALIZATION PROCESS. THEY REAFFIRMED THEIR SUPPORT TO DEVELOPING A NEW PARTNERSHIP BETWEEN IGAD AND THE INTERNATIONAL COMMUNITY AS A MEANS OF ENHANCING CLOSER COLLABORATION FOR SUSTAINABLE DEVELOPMENT OF THE SUBREGION.


END COMMUNIQUE TEXT.

8. ASMARA MINIMIZE CONSIDERED.

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DOCUMENT B.3

USAID’s Coordinated Response to IGAD’s Project Profiles
USAID'S COORDINATED RESPONSE TO IGAD'S PROJECT PROFILES

APRIL 1997

REDSO/GHAI
NAIROBI, KENYA
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USAID has reviewed with interest the 17 project profiles presented by IGAD at its revitalization launch in late November 1996. The following comments represent the coordinated USAID response to the profiles, which reflect IGAD’s expressed priorities in its operational region:

1) IGAD is to be recognized for the commendable effort made in the development of the project profiles. It is evident that considerable work and collaboration between Member States went into this effort.

2) While USAID feels the projects represent a highly ambitious agenda, we believe they reflect an important prioritization of development issues. USAID concurs with IGAD in its analysis that most of the projects address regional issues and do not duplicate existing activities. However, many of the projects relate closely to current or planned activities in the region and care should be taken to ensure that the proposed projects build on and are complementary to existing activities.

3) USAID is strongly interested in working with IGAD on projects in Priority Area B (Food Security and Environment Protection) and Priority Area C (Conflict Prevention, Management and Resolution and Humanitarian Affairs). Based on its comparative advantage, historical investment in the region, and the evolving strategy of President Clinton’s Greater Horn of Africa Initiative (GHAI), USAID would particularly be interested in working with IGAD on the further development of the following projects:

   Project 5.1/2 Establishment of an Integrated Information System
   Project 6.1 Promoting Sustainable Production of Drought Tolerant High Yielding Crop Varieties through Research and Evaluation
   Project 6.2 Transboundary Livestock Disease Control and Vaccine Production
   Project 8.1 Capacity Building in Integrated Water Resources Management
   Project 8.2 Promotion of Community Based Land Husbandry
   Project 9.1 Conflict Prevention, Management and Resolution
   Project 10.1 Alleviation and Mitigation of Humanitarian Crises

4) The development of the profiles is a positive first step. While several of the profiles will need to be developed in more detail before a firm commitment can be made on the level of project funding, USAID is willing to utilize resources from its Horn of Africa Support Project (HASP) to facilitate the implementation of some or all of the above listed seven profiles. Decisions about additional investments by USAID and other USG agencies, beyond those to be made under the HASP, can only be determined after the profiles and sub-projects
within them are developed in more detail and the level of support to be provided by other
donors is further clarified. IGAD is encouraged to consider the technical comments provided
by IGAD's donor partners, including those in this document from USAID, as it further
develops the profiles into more detailed funding proposals.

5) USAID is also very interested in supporting IGAD in the implementation of its
charter mandate related to policy harmonization as stated in Article 13A. As a regional
organization made up of the respective governments in the Greater Horn of Africa, IGAD is
uniquely positioned to address policy harmonization issues. For many of the project profiles
to succeed and be sustainable, USAID believes it is also essential that an enabling policy
environment be developed throughout the region.

6) USAID considers it vital that IGAD give attention and strike an appropriate balance in
the participation, roles and responsibilities of the public, private and civil sectors of society
in the GHA region. Although it is recognized that IGAD is composed of nation states, it is
in the long-term development interests of the region for all sectors of society to be supported
and utilized. USAID's support for IGAD will be targeted in a manner that encourages better
analysis and use of expertise and resources available in sectors that extend beyond the public
sector.

7) USAID supports the revitalized IGAD in its efforts to plan and monitor the
implementation of regional activities that address priority development issues. USAID sees
IGAD as an important regional African partner in the Greater Horn of Africa (GHA) and
considers the development of the project profiles to be an important step toward coordinating
international efforts in the region. USAID looks forward to working jointly with IGAD and
its partners to further develop and implement the profiles.
GENERAL COMMENTS

A. APPROPRIATENESS OF A REGIONAL APPROACH TO PROPOSED PROJECTS

All of the projects respond to issues in which there is value-added by addressing them on a regional basis. Although one overarching concern is that in their entirety the 17 project profiles represent a highly ambitious agenda, in most cases, the activities within a specific profile reflect approaches that are supportive of and appropriate for the concept of regionalism.

However, a commitment to the concept of regionalism points to an important area that is addressed well in IGAD's charter and strategy, but less so in the project profiles - policy harmonization. In fact, by reading the project profiles in isolation without the benefit of the other documents, it is not clear that IGAD intends to work on policy issues in a significant way. Clearly, these issues can best be addressed at a regional level by an organization such as IGAD. Although the projects may serve as a vehicle for policy dialogue among IGAD member states, the relationship between the projects and a regional policy harmonization process needs to be more strongly clarified.

RECOMMENDATIONS:

That IGAD provide more information to donors about its plans to act on its charter mandate to work toward the harmonization of policies in areas including trade, transport, communications, agriculture and technology transfer, and environmental management; and clarify the relationship between this process and the project profiles. USAID understands that IGAD is in the process of developing an Operational Plan which may help clarify this relationship.

That IGAD continue to review the development of other regional programs, such as SADC, COMESA and East Africa Cooperation Secretariat to determine the value-added which these regional organizations have created.
B. SOUNDNESS OF PROJECTS FROM A DEVELOPMENT PERSPECTIVE

Most projects are sound and address priority development challenges facing the region. They reflect a comprehensive approach that is appropriate for a regional organization based in a historically-crisis prone region. USAID supports IGAD's primary focus on long-term development, with linkages between relief and development emphasized, and a readiness to strive to prevent and resolve crises and conflict where needed.

The level of detail provided in the profiles is adequate for an expression of initial interest on the part of donors. However before project or activity funding can be considered, specific project and sub-project proposals will need to be more thoroughly developed.

In particular, not enough detail is provided to evaluate whether the timeframe and funding level proposed are appropriate. It is not clear how the estimated budgets were calculated. More information is needed regarding some of the specific approaches to be taken. For example, with the Project 6.1, the timeframe and budget will be significantly affected by whether the project will work only with existing crop varieties or new ones; and whether the project will focus on selective breeding and/or genetic engineering. Further examples are presented in the Specific Comments Section of this document which contains a set of detailed comments for each project profile.

In some instances, projects could be stronger from a technical and substantive perspective. USAID would be willing to work with IGAD on further developing the strategy and technical approaches suggested for project profiles 5.1/2, 6.1, 6.2, and 9.1. In these cases, it is felt that serious substantive issues exist in the project design. More information is provided on this in the Specific Comments Section of this document. It would therefore be appropriate for each project profile to undergo a preliminary design phase to address these questions.

Many of the projects complement each other. However, the synergistic value is more likely to be realized if those projects with the strongest links are integrated in both design and implementation. For example, the Livestock (6.2), Water Resources Management (8.1), and Land Husbandry (8.2) projects have the potential for being linked at the design and implementation levels; as do the Conflict Prevention (9.1) and Mitigation of Humanitarian Crises (10.1) projects, and the Telecommunications Development (4.1) and Information System (5.1/2) projects. Although the existence of these linkages is recognized by IGAD in its strategy document, the specific design and implementation links are not clearly described in the project profiles.

Some of the long-term development programs may not be appropriate for those countries within IGAD's sub-region that are experiencing complex emergencies. For example, in Somalia, it is felt that only programme areas 5, 6, 9 and 10 apply in most cases.
USAID feels that private sector and NGO involvement is not given adequate attention. Although they are mentioned as potential partners in IGAD’s strategy, as well as in the justification sections of some of the profiles, neither are given specific mention in relation to the activities and institutional frameworks presented in the profiles. In general, it is felt that striking an appropriate balance between the roles and responsibilities of the government, private sector, NGOs, and civil society should be a very important part of IGAD’s planning process and the donor consultative process. As the profiles become more detailed in their design, it is essential that the roles of the private sector, indigenous African NGO community, and the broader civil society (i.e. the users of services and ultimate beneficiaries of IGAD’s development initiatives) become more explicit.

Little attention is also paid to gender-related issues. For example, there are important gender components to environmental resource use and degradation issues. Where they are evident in the IGAD sub-region, we suggest they be incorporated into project design and implementation.

It is difficult to understand with many of the projects which outputs and results IGAD would be responsible for, and which the Member States would be responsible for. Since IGAD’s role is to plan, facilitate, coordinate and monitor, can it be assumed that IGAD will be accountable for all the results and outputs presented or will donors need to hold Member States directly accountable for those activities they directly implement? It is also important to note that the role of IGAD, in relation to that of its partners, is clearest when reading the IGAD charter, strategy and profiles together. Without all three documents, IGAD’s role is confusing. This needs to be more strongly clarified in the profiles if they are to be read as stand alone documents.

RECOMMENDATION:

That IGAD take into account the above comments and prepare a response as it relates to those specific projects of interest to the USAID.

C. RELATIONSHIP TO EXISTING OR PLANNED ACTIVITIES IN THE REGION

USAID concurs with IGAD that most of the projects do not duplicate existing activities. However, many of the projects relate closely to current or planned activities in the region and care should be taken to ensure that the proposed projects are complementary to existing activities. We believe this can be done if the profiles are implemented in a manner that builds on lessons learned and involves close collaboration and partnership with existing organizations in the region.
The profiles would be stronger if they reflected more contact with other African organizations involved in a particular issue. For example, the objectives of Project 6.1 are in large part those of the Association for Strengthening Agricultural Research in East and Central African (ASARECA) and the National Agricultural Research Institutes (NARIs) in the region, and much of the research proposed by IGAD has already been done. In this case, IGAD’s role may more appropriately be one of regional research policy harmonization, so that technology can easily move across the region than one of research and technology transfer. Additional examples of possible duplication are given in the Specific Comments Section of this document.

Capacity building efforts also need to be done in the context of what is already going on in the region. This is acknowledged in the profiles, with IGAD planning to undertake needs assessments before designing specific training or capacity building activities. The attached list of existing programs and organizations in the region, many of which are managed or funded by USAID, is provided to assist IGAD in developing a comprehensive knowledge base of what is either planned or already going on in the region that relates specifically to the project profiles.

Information on select model programs outside the IGAD region may also be useful for learning lessons and avoiding the dilemma of ‘reinventing the wheel’. A few of these that seem relevant are also listed in the attached.

RECOMMENDATION:

That the attached list represents only a partial inventory of existing programs and organizations that are contributing to the priority needs identified by IGAD. USAID would strongly encourage IGAD to gather as much information as possible about what is already going on through existing government agencies, bilateral and multilateral donors, NGOs, and research institutions before undertaking specific activities.

That USAID further encourage IGAD to develop formal partnerships with some of these programs and organizations so as to ensure complementarity of work and promote the continued organizational development of a wide-range of institutions in the region.
D. COMPLEMENTARITY TO USAID'S GREATER HORN OF AFRICA INITIATIVE

Many of IGAD's projects profiles fit within the parameters of the President Clinton's Greater Horn of Africa Initiative (GHAI). The initiative focuses on two goals: food security and conflict prevention and mitigation; and operates under five principles: African ownership; strategic coordination; regional approaches; linking relief and development; and promoting stability through change. These goals and principles are well reflected in the project profiles of the newly revitalized IGAD.

The draft GHAI strategy, which will soon be completed, specifically mentions the importance of the USAID supporting activities similar to, or mutually reinforcing of, many of those in IGAD's projects 5.1, 6.1, 6.2, 8.1, 8.2, 9.1, and 10.1.

RECOMMENDATION:

That IGAD consider other activities that fit within the objectives of its 17 project profiles including: encouraging regional regulatory and policy harmonization to facilitate trade and economic integration; supporting for the development of a "Code of Conduct on Food Aid in the Context of Food Security" that would build upon the actions agreed to at the World Food Summit; facilitating the re-establishment of traditional livestock trading routes and patterns across borders; supporting the private sector to transfer agricultural inputs and technology across borders; supporting regional agricultural policy harmonization; enhancing the role of the private sector in identifying opportunities in the food sector by providing market and investment information; and determining whether instruments of international law can be used more effectively to resolve and mitigate conflict in the region.

E. PROJECTS REFLECTING STRONGEST INTEREST AND COMPARATIVE ADVANTAGE OF USAID

Based on its areas of expertise, historical investment in the region, and the evolving strategy of President Clinton's Greater Horn of Africa Initiative (GHAI), the USAID would particularly be interested in working with IGAD on the further development of the following projects:

| Project 5.1/2 | Establishment of an Integrated Information System |
| Project 6.1 | Promoting Sustainable Production of Drought Tolerant High Yielding Crop Varieties through Research and Evaluation |
| Project 6.2 | Transboundary Livestock Disease Control and Vaccine Production |
| Project 8.1 | Capacity Building in Integrated Water Resources Management |
| Project 8.2 | Promotion of Community Based Land Husbandry |
USAID remains committed to responding to IGAD’s request for donor coordination and respects the importance of keeping in mind the areas of expertise and comparative advantage of each of the donor organizations as the coordination process evolves. USAID looks forward to discussing in greater depth the issues presented in this document at future joint meetings on the project profiles between IGAD and interested donors.
SPECIFIC COMMENTS ON IGAD'S INFRASTRUCTURE PROJECT PROFILES

Although other donors may be stronger candidates for support in this area since the USAID does not have a strong comparative advantage in infrastructure, it is USAID's belief that the projects proposed are important from a regional perspective and do not duplicate existing or planned activities. Cross-cutting comments on the set of infrastructure project profiles include the following:

1) Telecommunications and transportation infrastructure are two critical factors in the development of any region. This is even more so in regions that are in the process of developing their capacity to function as a cohesive region, since cohesion depends to a large extent on the abilities of people within a region to exchange information and goods, and therefore link their economies.

2) The development of maintenance plans and activities is critical for the success of these projects. This is appropriately identified as a result in most of the infrastructure projects, but not all. In addition, it is not clear if there is a commitment at the member state level to cover the costs of needed ongoing maintenance activities. Perhaps this should be a precondition for funding.

3) Recognizing that infrastructure activities are important, USAID has a particular technical advantage and interest in working closely with IGAD on policy harmonization activities which will be complementary to the objectives as the infrastructure projects: promotion of sustainable economic development; creation of reliable and efficient transport and communication systems; efficient utilization of existing resources; and the fostering of good neighborliness in the region.

In many instances, policy harmonization activities may have more immediate impact, at less cost. For example, recent studies in the transportation sector conducted by USAID have shown that 40% of transport costs can be reduced through policy and regulatory changes alone. The harmonization of policies, regulations and protocols in the transport, trade, and communication sectors, as well as within macroeconomic frameworks, will lead to substantial savings in the region in the short-term. This will facilitate increased demand by users of these services in the region which may in turn promote further infrastructure developments.

4) The role of the private sector in the infrastructure projects needs to be further clarified and promoted. This could include specification of appropriate points for private sector entry into the transportation and communications sectors; as well as inclusion of activities aimed at compliance and consistent enforcement of regulations.
5) With IGAD’s role defined as coordinator and monitor of these projects, it may appear to put IGAD in the position of 'general contractor'. IGAD’s comparative advantage is more in the area of coordinating and supporting member states’ activities. Although this distinction may be clear to IGAD, it needs to be further explained in the profiles. Also, it is not apparent that costs related directly to IGAD’s role (i.e. mobilizing financial and technical assistance; and coordinating, monitoring, and evaluating member states’ activities) are sufficiently included in all of the infrastructure budgets.

Comments on Individual Project Profiles

1.1 Missing Link on Nairobi-Addis Ababa Highway (Isiolo-Moyale Road)

Building this road can lead to significant reductions in transportation costs in the region. According to a recent study conducted by USAID, the average transport cost per ton on the completed side of the highway (from Addis to Moyale) is $50/ton while the costs from Moyale to Nairobi are $170/ton.

As stated in the profile, the road will be designed for a lifespan of 20 years. This is also true for the Ethiopia side of the highway which was built 22 years ago. In order to obtain the development objectives envisioned, it may be important that the Ethiopia side of the highway be upgraded to the same standard as the Kenya side. This is important since this stretch of highway is not included in the 10-year Road Sector Development Program of Ethiopia.

USAID’s Transport Sector Studies, mentioned above, could provide an analytical framework and point of reference to not only further justify the importance of certain infrastructure improvements, such as the completion of the Nairobi-Addis Ababa Highway; but also support IGAD in underscoring the importance of focusing attention on regulatory and policy changes in the transportation sector. These changes can lead to significant cost reductions and, in many cases, have more immediate impact at less cost than large scale infrastructure undertakings. USAID’s technical experts in transportation would look forward to the opportunity to work jointly with IGAD on these issues.

1.2 Gonder-Humera-Barentu/Gedarif Road

The Ethiopian Government has requested donor assistance for a section of this road (from Gonder to Humera) as part of its 10-Year Road Sector Development Program. To avoid duplication of funding, it is important to clarify whether donor pledges have already been made for this stretch of the road.
1.3 Upgrading the Existing PANAFTEL Links in the IGAD Sub-Region

The profile correctly identifies the vital role of telecommunications in the region and targets key regional links for improvement. Telecommunications investments are known to have the greatest impact in the least developed countries and such investments in IGAD’s sub-region can significantly enhance economic development. In addition, this project is integrally linked to Project 5.1/2: Establishment of an Integrated Information System, since any effort in the region to tackle information constraints needs to address the region’s telecommunications constraints as well.

However, despite the compelling need in the region to dramatically increase the level of telecommunications services, important issues need to be addressed before the project could be supported by the USG:

1) The proposal is not sufficiently aggressive in addressing the telecommunications issues of the region. Although refurbishing the PANAFTEL links has the potential to generate a certain level of social and economic impact, it may not be enough to address the need.

The level and vintage of the current infrastructure is both a handicap and an opportunity for the region. The opportunity, from both engineering and business perspectives, is that the existing stock of infrastructure presents no real constraint to the region moving directly to the most modern of telecommunications networks. It is therefore not sufficient to take as a given that the existing infrastructure framework will best serve the development needs of the IGAD sub-region nor that it is sufficient only to upgrade the existing infrastructure. More thought should be given to identifying the most appropriate network, and future investments should be geared toward that.

2) The formulation of the activity does not adequately incorporate modern realities about appropriate public and private sector roles. Rather than using donor funds to contract for telecommunications development, funds could be used to support planning and policy and feasibility studies which would leverage considerably greater development through private sector investment. Approaching the project as an investment decision is also more likely to result in the most appropriate regional network design and technology. This could in turn lead to broader private sector solutions to telecommunications needs throughout the region.

Therefore, it is the belief of USAID that the most appropriate role of the public sector is to plan, make the transition to a conducive investment environment, and regulate. IGAD’s role, with the support of donor governments, could be to provide technical assistance and transaction support (e.g. for policy studies, design and feasibility studies) that would help member states do this.
3) Although the profile makes reference to activities related to three key implementation issues (i.e., engineering feasibility, sustainability, and human resource development), each of these issues needs to be addressed in more detail in a preliminary design phase. Related to sustainability issues, provisions need to be made to ensure accessibility so as to support a broad user base, and adequate training needs to be provided so that service providers and users can operate and maintain the technologies available.
SPECIFIC COMMENTS ON IGAD'S FOOD SECURITY AND ENVIRONMENTAL PROTECTION PROJECT PROFILES

5.1/2 Establishment of an Integrated Information System for the IGAD Sub-Region

This project is well conceived and important. The proposed sequence of activities follows best practice for establishing information systems.

Information systems are critical, strategic resources for all countries and regions. By developing and centralizing existing information, IGAD and its member states can further a regional analytical perspective and decision-making. Monitoring the impact of development efforts will also be improved since information is key to charting progress. Redundancies in existing programs can also be reduced.

In addition, IGAD has made an important prioritization by beginning with the development of information systems in the areas of early warning, food security and environmental issues. These issues are prominent in the region and a good information base is a prerequisite for tackling them.

IGAD has some historical experience in this area. This experience should be built upon since it is commensurate with IGAD's role that it be in the information business. With IGAD's emphasis on concepts like coordination, institution building, strategic planning, and regionalism, its effectiveness depends on the effectiveness of its communication among an extensive group of diverse stakeholders, including member states, donors, the private sector, NGOs, and academic and other regional institutions. The core issues in IGAD's mandate are also complex. Good information is critical to understanding these problems and identifying solutions.

However, even with IGAD's previous experience in this area, there is currently neither the institutional capacity nor the technical connectivity to begin applying the powerful information and communication tools of the Internet to the conflict resolution and food security needs of the region. Strengthening IGAD's ability to use information and communication strategically and providing it with the necessary technology is therefore essential and could achieve significant results.

Since many member state countries and other organizations in the region are establishing their own information systems, both on a national and sectoral level, IGAD's comparative advantage may be in developing and collating information that is particularly relevant to the cross-border, transboundary, and regional aspects of food, early warning and environmental
issues. Focusing on what is going on in one country that may affect another is an area not sufficiently covered by existing information systems.

One area not clear in the profile is how the information will be made available given the poor communications systems in the region, particularly the lack of Internet access which would greatly facilitate information exchange.

Another issue is accessibility. The set of users for the Regional Integrated Information System (RIIS) should extend beyond certain ministries of member states and the Secretariat itself. Early warning information is of value to the private sector and donors. Other user groups could also be targeted.

Depending on the target user groups agreed upon, the focus and scope of the information may also need to be reclarified, with a balance struck between what is feasible and what is ideal. For example, the kinds of problems requiring attention mentioned by IGAD at the beginning of the profile go well beyond the contents proposed for the Early Warning Food Information System (EWFIS) or the Environment Information System (EIS). In fact, a large number of the other IGAD profiles make direct reference to information needs or information systems not explicitly discussed in this profile. This pattern of information components across so many of the project profiles suggests that information is a central theme of the mandate of IGAD and that the RIIS should incorporate a broader set of information as it develops (such as information on trade levels and regulations, investment opportunities, etc.). Indeed information is a recurrent theme throughout so many of the profiles, that it should not be treated as merely a question of developing databases for this or that purpose, but instead should be treated as a tool for developing institutions.

In fact it is important to emphasis that efforts to build up IGAD's information and networking capabilities will benefit the institutions involved and the sub-region as a whole, only if work is undertaken on a demand driven basis. This will require a clear idea of the appropriate applications and corporate culture issues that can serve as barriers to successful use. If approached as an equipment drop or a connectivity problem, years of experience in this field have shown that technology transfer fails or does harm if implemented in a supply-driven fashion.

As acknowledged by IGAD, it is important not to reinvent the wheel in establishing a regional integrated information system. Linkages need to be made with existing systems, and lessons can be shared about useful reporting and dissemination methods from those already in the information business including:
1) FEWS III: This food and early warning system project of USAID is building databases in each of the countries in which it operates (Ethiopia, Kenya, Somalia, Sudan (southern), and Tanzania) and is seeking to strengthen its own regional perspective on food security issues.

2) FAO Global Information and Early Warning System (GIEWS): Although FAO has worked closely with IGAD in the past, the profile does not mention future IGAD-FAO collaboration.

3) MSU/MEDAC Grain Market Information Systems in Ethiopia

4) UNDHA: They are involved in coordinating and sharing early warning data.

5) Leland Initiative: This USG initiative seeks to bring Internet connectivity and other Global Information Infrastructure (GII) technologies to up to 20 African countries. Additional objectives of the initiative include creating an enabling policy environment; creating a sustainable Internet service provider industry; and enhancing user applications for sustainable development.

USAID would be interested in collaborating with IGAD on the further development of this project through an assessment of current technical and institutional capacity; the development of a consensus strategy; preparation of a consensus action plan; and support for implementation of key elements of the action plan. This approach has the potential to lead to the establishment of an integrated information and communication system and development of the capacity to operate and manage it.

From a technological viewpoint, the USG has a comparative advantage in supporting this project with strong capabilities in GIS and FEWS. The Leland Initiative also offers opportunities for enhancing the capacity of the region to use information and capitalize on the benefits of new information technologies. Assistance can also be provided in the area of policy analysis so that barriers to the introduction of new technologies and broadening the user base can be overcome.

6.1 Promoting Sustainable Production of Drought Tolerant High Yielding Crop Varieties Through Research and Extension

This project is generally relevant to the challenges facing the region and can make a contribution to both food security and conflict prevention. Dryland and drought tolerant crops are key to increased household coping capacity in a sub-region susceptible to drought. A lack of resilience in these areas can exacerbate competition for natural resources, resulting in greater likelihood of conflict and destabilization. However, there is a high potential for
duplication of effort given that organizations exist within the region that are working on the issues raised.

In particular, the objectives of this project match the objectives of those of the Association for Strengthening Agricultural Research in East and Central Africa (ASARECA) and the National Agricultural Research Institutes (NARIs). Several agriculture networks also already exist under the auspices of ASARECA.

ASARECA is a newly restructured, vibrant African regional research and technology coordination organization, that USAID has been involved with for some time. ASARECA’s Technical Working Groups, made up of African scientists and specialists, have been engaged in a process to identify priority agricultural concerns and develop strategies. Cereal crop production has been identified as one of the priorities for the region. As a result, ASARECA plans to coordinate three crop research networks related to wheat, maize, and sorghum.

It is recommended that IGAD work closely with ASARECA on the further development of this profile. IGAD should not create a parallel mechanism for the accomplishment of its objectives, but rather support the existing mechanism in which ASARECA provides overall coordination to research and technology transfer networks; the International Agricultural Research Centers (IARCs) manage the technical aspects of regional networks; and implementation occurs through the national NARIs.

IGAD’s role might be most supportive by concentrating on regional policy harmonization so that surplus commodities in the region and new agricultural technologies can easily move across borders within the region. IGAD could also strive to help its Member States understand and support the contributions made by the private sector to food security. In both of these areas, USAID has already supported promising initiatives. For example, in Uganda, USAID has funded a dynamic process aimed at bringing leaders within the private sector together with key policymakers to discuss policies in agriculture and the food sector and make them more conducive to private sector development and investment. USAID has also developed strong links with the business community throughout IGAD’s sub-region and has undertaken analysis aimed at better understanding and supporting the private sector’s role in food security. USAID’s technical experts in private sector development would look forward to the opportunity to work jointly with IGAD on these issues.

Although the profile states that IGAD will collaborate with ASARECA, there seems to have been little consultation with ASARECA on the development of the profile. It would be worthwhile to involve ASARECA and the NARIs in the development of a more detailed design of this project. In addition, since a lot of research has already been done in the region, ASARECA can work with IGAD to avail the technology already on the shelf.
Finally, ASARECA is in the process of developing a strategic plan and would look forward to working closely with IGAD in linking the strategic plans of both organizations.

The above points to questions about the need for the particular research envisioned in this profile. Fortunately, substantial research progress has already been made in adapting higher yielding crop varieties to stressful conditions: It may not be necessary to undertake some of the research proposed if the technology can already be accessed through the NARIs, or the CGIARs including CIMMYT, ICRISAT, and ICARDA of which several IGAD member states are members.

For example, two major cereals and a tropical root crop are of particular note:

1. Sorghum is a highly productive cereal adapted to the drier conditions found in the Greater Horn region. USAID has invested in INTSORMIL (a collaborative research program of U.S. universities) and in ICRISAT (a CGIAR center) and this work could provide a strong program base from which to move.

2. CIMMYT (a CGIAR center) has developed new maize lines that are far more tolerant of drought than traditional types. These lines not only yield more under dry conditions, they are far less prone to crop failure in drought.

3. IITA (a CGIAR center) researchers working in the Greater Horn region have developed drought and virus resistant cassava varieties which provide a secure source of food to people in marginal areas. The roots are resistant to locusts and are able to withstand long periods without rain. They also increase household resiliency since they can remain in the ground and be harvested when needed.

The above examples represent substantial institutional and program resources that could be accessed in partnership with ASARECA. ASARECA has identified each of the above areas as being of high priority for greater investment in the region.

USAID agrees with IGAD that integration and coordination between agricultural research and extension or technology transfer needs to be improved. Various governments in the region have tried to reinforce this linkage with little success. Perhaps by sharing lessons on a regional basis, and learning from other regions in Africa and elsewhere, greater success can be had. The project proposes the "transfer of technology on the basis of participatory involvement of farming communities." A useful model for this is the "farmers schools" approach to introducing integrated pest management, as first developed in Indonesia and now implemented in other parts of Africa.

There is also concern about maintaining a focus on vulnerable farmers. With an emphasis on 'high yield', rather than 'consistent yield', resource-poor farmers in arid and semi-arid lands
(ASALs) may not be best served. Hybrids requiring annual replacement of seeds are not appropriate for these farmers.

Centralized production of seeds is also needs to be questioned unless done by the private sector. An alternative might be to emphasize on-farm contracts for seed production of non-hybrid varieties for local resale on a decentralized basis. This would result in some loss in quality of seeds produced, but pilots have shown that farmers can obtain 90-95% germination on seed stock that they sell and get even better rates on what they keep to replant themselves. This is particularly helpful for women farmers since they retain control over the technology and the investment.

Environmental sustainability of sedentary agriculture in ASALs is also not adequately acknowledged in the profile. It is important to approach the problems of agriculture on marginal lands in as holistic a manner as possible. Synergistic value may be realized if this project is integrated with the land husbandry project. For example, field tests of drought-resistant crop varieties could be facilitated while also implementing land use practices that may themselves further increase yields and lesson resource degradation (such as integrated pest management, polycultures, and indigenous agroecosystems). In some areas, improvement in current pastoral practices to increase livestock productivity and make them more environmentally friendly may be more appropriate than encouraging crop agriculture.

ASARECA and USAID technical staff could assist IGAD in the rewrite of this proposal. The experience that ASARECA has had on strategy planning and identifying priority areas should be taken into account by IGAD.

6.2 Transboundary Livestock Disease Control and Vaccine Production

This project is timely and important from a development standpoint. It represents a critical regional concern both as a development investment and a disaster mitigation measure.

Livestock disease control relates strongly to regional food security and human health. People and livestock share many diseases. With the dairy market in the IGAD sub-region undersupplied, human as well as animal populations are at negative health risks. Livestock are also important as hedges against drought, famine, monetary inflation, and civil strife.

Overall, the proposal covers most of the important bases for an animal health control project: early warning information exchange systems, vaccine production and distribution, and community-based approaches to animal health service provision. Implementation of these activities also seem feasible since there are cadres of qualified and competent local animal health specialists available in the region, who only lack financial and moral support to practice animal health control.
The project can be complementary to several existing activities and organizations in the IGAD-subregion. IGAD should collaborate with and clarify its role in relation to existing livestock control activities in the region. Although the following list represents only a partial list of USAID-supported livestock projects in the region, it provides some indication of the need for IGAD to further clarify its comparative advantage and value-added in this area, as well as ways that it might build upon or support earlier investments already made in the region:

1) Livestock Collaborative Research Support Program (Livestock CRSP) funded by USAID. The IGAD proposal would serve to stimulate the commercialization of the CCPP vaccine, which has been successfully produced under this program. The CRSP Project has also involved the production of a recombinant (cocktail) vaccine which has the potential to address a number of important livestock diseases in a single administration. Depending on FY98 funding levels, the Livestock CRSP proposes to regionalize the technologies developed under the CRSP (particularly commercial vaccine production, distribution, and marketing). In a regional meeting in Uganda last year, IGAD representatives participated in defining regional priorities in the livestock sub-sector for future CRSP interaction. The activities outlined in this proposal match well with the future plans of Livestock-CRSP.

2) Tufts University Animal Health Project funded by USAID fields veterinarians to crisis locations as coordinators of vaccine campaigns and trainers of paravets. The program has also successfully developed a heat stable vaccine.

3) Uganda and Kenya Dairy Development Projects: USAID has funded work at both the producer and processing levels.

4) International Livestock Research Institute (ILRI), is a key international organization based in the GHA region and supported by numerous donors, that should not be overlooked as an important partner and resource. ILRI has recently submitted a proposal to ASARECA for the establishment of a Livestock Network in the IGAD sub-region, which has been approved by the ASARECA Governing Board. The Network will have a strong focus on feed, health and dairy issues in drought-prone areas, where livestock are critical to households' ability to adapt to the vagaries in climate, markets and services.

5) Pan-African Rinderpest Campaign (PARC) which is led by OAU/IBAR. This project could provide important lessons and is actively involved in addressing the recent rinderpest epidemic in the region.

IGAD should build upon the success of these programs, which could reduce the need for certain infrastructure and investment on the part of IGAD. IGAD needs to be careful to identify its specific comparative advantage relative to existing national and regional programs. Some services proposed such as Result 3.4 or 4.3 might be better done at the
national level or by existing institutions. There may also be a need to focus less on working with governmental owned vaccine production centers, and more on working through the private sector and other institutions, since these centers have historically had difficulty in producing adequate supplies of vaccine.

Concern also exists around the feasibility of establishing quarantine centers and creating sanitary cordons. Livestock owners may be opposed to this. Since livestock need to move, often across boundaries, according to the availability of food and water, veterinary cordon fences along country boundaries will disrupt historical migratory patterns of pastoralists (not to mention wildlife). This could be a recipe for disaster, both ecologically and socially, and illustrates the importance of including environmental concerns into project design. In some places, the carrying capacity of ASALs is an issue due to the bulk of livestock found. Activities related to improved animal husbandry also need to be linked to this project.

In addition to animal health issues, a regional livestock project should address cross-border livestock market development and value-added production opportunities that would be created by an expanded regional market. In fact, at a regional workshop convened by the SR-Livestock CRSP Project held to identify the top ten priorities in the GHA region, animal health did not come out as one of the highest priorities. Further discussions with the CRSP Project people, ILRI, ASARECA, and others who attended the workshop would be useful in pursuing needs beyond animal health.

7.1 Promoting Environmental Education and Training

The promotion of environmental education is a worthy investment, however it is important to target policymakers as well as school children. In certain instances, it may also be more important to encourage a more direct approach, such as soil and water conservation interventions, as opposed to education and training only.

7.2 Strengthening Environmental Pollution Control

The proposal identifies important areas of environmental concern. However, since most countries in the region have relatively low levels of industrialization and low use levels of agricultural chemicals, USAID does not consider this to be as high a priority as some of the other project profiles.

USAID has, however, worked closely UNEP, UNIDO, and the USEPA in other parts of the world on pollution prevention and control. Based on this experience, it is suggested that waste reduction be given greater emphasis. This is particularly important in relation to industry. Identification of recycling, material substitution, and processing changes can result in not only reduced pollution emissions but also cost savings, making voluntary pollution reduction more attractive to industry. Failure to incorporate pollution prevention into the
regulatory framework can result in the imposition of needlessly costly pollution control measures. In the absence of strong environmental controls, as is the case in the IGAD sub-region, it may be best to reduce industrial impacts through pollution prevention methods and to stress engagement with industry itself to help address environmental impacts.

8.1 Capacity Building in Integrated Water Resources Management

The goal of this project is worthwhile for IGAD to pursue as coordination of water resources issues needs to occur at a regional level.

The vision for establishing a hydrological database which will span national boundaries is impressive. This could contribute to lessons for other regions to learn from, particularly if IGAD’s efforts include dispute resolution.

The project also is complementary to a few existing activities in the region, as well as to activities in other parts of Africa.

1. Soil Management Collaborative Support Program (Soil Management CRSP) funded by USAID endeavors to improve agro-ecosystem performance by resolving the integrated soil-nutrient management constraints of water deficiency, acidity, nitrogen deficiency, phosphorus-deficiency, and soil erosion and degradation. Institutions in several West and East African countries work collaboratively under this program to develop tools for integrated soil-nutrient management, to improve agricultural productivity through biological nitrogen fixation and legume management, and to increase women farmers’ access to fertilizers. The technologies produced under these projects are applicable to the IGAD states and can be made available to them.

2. The International Irrigation Management Institute (IIMI) has instituted a new water resource management initiative in Africa, which has been developed based on extensive involvement of NGOs focused on individual and collective management of water resources.

3. The Ethiopian Government’s recent sponsorship of the Nile 2000 meetings

4. USAID’s and the World Bank’s work on water hyacinth control in Lake Victoria. As a further example, Ethiopia may particularly benefit from the type of assistance described in the proposal since the negotiation of water use rights is integral to the implementation of Ethiopia’s new food security strategy. The strategy has a large emphasis on increasing areas under irrigation and water resources required come from rivers whose water use rights involve other countries in the region.

Undertaking a needs assessment seems vital, especially collecting information on other projects planned or underway, as capacity building needs to be done in the context of what is
already going on in the region. A study done in the Southern Africa region by Stanley Consultants for the Zimbabwe USAID Mission might be a good model related to undertaking a needs assessment. Broadening the scope of the needs assessment beyond capacity building may also be appropriate. For instance, having a result related to installing a specific type of data collection network seems premature. Any such recommendation should come out of the needs assessment.

A natural environment component to the study also warrants attention. This may be a significant oversight given that water problems in the region, particularly in The Sudan and Ethiopia, are intimately related to land use and desertification. To consider distribution and supply of water in the absence of an ecological context would be a mistake. It is therefore suggested that additional experts be added to the team of specialists proposed, including an aquatic ecologist and a livestock/agricultural systems expert. Hydrologists are familiar with watershed processes but focus more on physical, than the biological or social, aspects of water resources issues.

Although building capacity is necessary and appropriate for a regional entity like IGAD, the level of investment (36 man-months equal to 3 full-time people for a year) would lead a donor to expect outcomes that are more applied. For example, rather than only identifying institutions that are suitable for training, IGAD could conduct trainings and implement awareness creation programmes. USAID’s Washington DC-based Water Team would be interested in providing IGAD with further technical support in relation to this profile.

8.2 Promotion of Community Based Land Husbandry

This project is important and addresses serious land degradation problems that exist in the region which negatively affect agricultural production and food security. IGAD and its member states have been important players in both the negotiation and interim activities of the Intergovernmental Negotiating Committee (INC) for the Elaboration of an International Convention to Combat Desertification (CCD) in those countries experiencing serious drought and/or desertification. The majority of IGAD members have become parties to this Convention, which came into force on December 26, 1996. Further development of this profile, as well as several of the other related profiles, could make use of the existing governmental agreements to various provisions of the Convention as a way of introducing concepts and themes important to implementation of this profile.

USAID has been a leading supporter of community-based natural resource management (CBNRM) in Africa and would be interested in collaborating more closely with IGAD on this project. In particular, USAID has funded or managed the following projects in Africa:

1) The Participatory Environmental Resource Management Program (PERM) in Tanzania

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2) The Action Program for the Environment in Uganda
3) The Development Through Conservation in Uganda
4) The Coastal Resource Management Project involving several countries
5) The Conservation of Biodiverse Rich Areas (COBRA) Project in Kenya
6) The Campfire Program in Zimbabwe
7) Soil Management Collaborative Research Support Program (Soil Management CRSP)
8) BASIS Collaborative Research Support Program (BASIS CRSP)

The Soil Management CRSP endeavors to improve agro-ecosystem performance by resolving the integrated soil-nutrient management constraints of water deficiency, acidity, nitrogen deficiency, phosphorus-deficiency, and soil erosion and degradation. Institutions in several West and East African countries work collaboratively under this program to develop tools for integrated soil-nutrient management, to improve agricultural productivity through biological nitrogen fixation and legume management, and to increase women farmers' access to fertilizers. The technologies produced under these projects are applicable to the IGAD states and can be made available to them.

The BASIS CRSP is planning a collaborative program in the Greater Horn region. The program will address rural land, labor and financial market constraints to improved agricultural productivity and incomes, with a particularly focus on key factor market constraints among pastoralists, and between pastoralists and agriculturalists, including transboundary land issues.

From USAID's experience there are several lessons that have been learned related to the success of CBNRM programs:

The adoption by governments of policies that are conducive for CBNRM is critical. This has been addressed quite effectively under the PERM program in Tanzania which has a strong focus on creating an enabling policy environment which allows communities to adopt CBNRM. One of IGAD's primary roles should be to help its member states adopt appropriate policies.

Natural resource management occurs best at the community-level. Even the Convention to Combat Desertification repeatedly refers to the need for 'bottom-up' planning and implementation. Members of IGAD who have signed the Convention have already committed themselves to the preparation of national action programs which includes "... undertaking an identification and review of actions, beginning with a locally driven consultation process, involving local populations and communities and with the cooperation of local administrative authorities, developed country partners, and intergovernmental and non-governmental organizations." USAID would be interested in working with IGAD and its Member States on the follow-up of CCD actions and policies at the national and sub-regional levels which promote such community-based processes.
One approach to a 'bottom-up' approach involves working through model farmers as team leaders, as is proposed by IGAD, which can be an excellent vehicle for environmental education and the promotion of sound techniques. However, the farmers need to be compensated for their work if this is to be effective. This is to be expected since instituting new farming techniques involves a certain amount of risk and teaching fellow villagers takes time away from their own activities.

If FFW is to be used to support Pilot Land Care Groups’ activities, it is important to think about sustainability of such interventions. Communities should carry out conservation activities in the framework of land use planning rather than based on the amount of food available for conducting conservation activities.

Attention needs to be paid to gender related issues as there are important gender components to environmental resource use and degradation issues. Where these are evident in the IGAD subregion, they should be incorporated into the project’s design and implementation.

However, further clarification is needed on the value-added of a regional entity like IGAD coordinating community-level activities and pilots projects (such as the Pilot Land Care Groups). Additional resources may be needed only for promotion of the concepts of CBNRM at the national level, with members states responsible for redirecting existing funds for natural resource management to more community-based approaches such as the PLCGs.
SPECIFIC COMMENTS ON IGAD'S
CONFLICT PREVENTION, MANAGEMENT AND RESOLUTION, AND
HUMANITARIAN AFFAIRS PROJECT PROFILES

9.1 Capacity Building in the Areas of Conflict Prevention, Management, and Resolution

This represents an area where IGAD has a significant comparative advantage, and represents a logical follow-up to the commendable step made by IGAD's member states to enlarge the mandate of IGAD to include conflict prevention, management and resolution. The objectives and proposed results also complement the efforts of UNDOS, the EU, and the USG under its GHAI.

In the long-run, development of conflict management capacity in the region (both to prevent and resolve conflict) and a network of people who can work effectively on these issues will be exceedingly beneficial, since at this time there is quite limited capacity in the region to work on these important issues.

However, the profile could benefit from more definition. What types of conflicts will be focused on? How are conflict prevention, management and resolution activities each defined? What type of activities would be monitored by the early warning system and what type of response could be expected as a result of disseminating this information to decision-makers? A more detailed action plan to address the current crises in Somalia (as already agreed to by IGAD), rather than a plan for capacity building to address future crises, might better illustrate the approach to be taken.

Even without this level of detail, though, the USG agrees at this stage that some up front investment is required. As the proposal appropriately recognizes, without developing a meaningful level of regional capacity, IGAD and its member states will not be sufficiently prepared to meet the operational challenges they will be called upon to assume in this important area.

An important result that is missing from the profile, however, is the development and formalization of a specific 'mechanism for action' to guide member state action related to IGAD's formal conflict-prevention and peace-maintenance mandate. The member states have already committed themselves, as part of the new charter mandate, to establish an effective "mechanism for consultation and cooperation" and this needs to be explicitly presented as a result under this project. As an example, a Contract for Peaceful Cooperation could be prepared between member states that clearly states the processes and principles for cooperation; member states' responsibilities; and the possible repercussions from other
member states if any one violates the agreed upon responsibilities and principles (based on the Universal Declaration of Human Rights, the Banjul Declaration and whatever the UN and OAU have learned from Rwanda, Bosnia, etc.) Given the importance of full commitment and participation by all the member states if this project is to be successful, a demonstration of specific commitment such as this should be forthcoming.

The profile also discusses the importance of working with community leaders, civic organizations and NGOs to participate in the conflict prevention and peace-making activities. However, there is no reference in the activity section about their involvement nor possible role. NGOs should be supported to monitor the early signs of failure by governments to protect minority rights and be encouraged to bring grievances to the attention of IGAD. Using NGOs to resolve and heal conflicts at a local level is another possibility, but this should be recognized as a separate exercise since a more primary role is to prevent conflicts from happening through an active early warning system.

It is also critical for IGAD's stakeholders to keep in mind that due to the importance and magnitude of this work, the results of this project should not be measured in too short of a period.

10.1 Alleviation and Mitigation of Humanitarian Crises in the IGAD Sub-Region

The objective is sound and the activities are appropriate. There is a need for a proactive, coordinated initiative designed to find sustainable solutions to existing refugee issues in the region and enhance capacity in disaster management.

The USG is particularly interested in refugee issues in IGAD's sub-region. This is well reflected in the USG's GHAI strategy. The USG is willing to support joint efforts between IGAD and UNHCR to address regional refugee issues, as well as the management structure proposed by IGAD, known as the Joint Support Unit. A similar structure was used in Central America with reasonably good effect, although one important word of caution is to ward against creating too many layers of management. The USG also believes coordination and flexibility of multilateral and bilateral aid mechanisms needs to be discussed and reviewed as part of the regional Plan of Action. Finally, the USG would encourage the IGAD and UNHCR to focus initially on the repatriation and reintegration of Somali and Eritrean refugees.

Concerning the disaster management component of this project, the proposed activities are complementary in principle to USAID's funded projects in disaster management capacity building in Ethiopia, in which the Ethiopian Government's Disaster Prevention and Preparedness Commission (DPPC), together with NGOs, are working on similar activities. This component is also complementary to activities and priorities of many UN agencies, other bilateral donors, and NGOs.
However, it is important that care be taken to avoid duplication of the efforts of others, since there are a multitude of players in the humanitarian assistance field in the IGAD sub-region. Special attention needs to be paid to the work of UNDHA, WFP, OFDA, UNHCR, ECHO, SACB and the NGO community.

Prevention, in addition to mitigation and management, is also vital for both components of the project and not emphasized enough. Concerning prevention of refugee flows, there is a need to identify potential refugees and internal displaced persons (IDPs) and provide assistance prior to the movement of large populations. Also in order to prevent repeated movements of people, linkages between rehabilitation and development projects at the point of refugee return are not enough. There is also a need a) for efforts to target actual refugees and IDPs rather than only formal refugees and IDPs; and b) for refugees to return home voluntarily, in safety and dignity, which requires serious efforts to resolve the underlying political instability that leads to most refugee outflows. The USG therefore sees a strong link between this project and IGAD’s Project 9.1: Capacity Building in the Areas of Conflict Prevention, Resolution and Management.

Although disaster management capacity building is important, capacity building around preventive mechanisms also needs to be a undertaken. Humanitarian assistance experience has demonstrated that preparedness and mitigation activities are cost-effective measures relative to emergency response. However, the project focuses on managing disaster response only. Given the prominence of fluctuations in regional agricultural and food production levels, improved information on production levels, trade and regional prices, along with accompanying measures to ensure the flow of commodities from surplus to deficit areas, might be a cost-effective disaster prevention measures. Regional stocks on the other hand have not proven successful for many commodities. For example, SADC has attempted repeatedly to establish regional grain reserves. Improved information on regional linkages for effective commodity flows is more important. IGAD’s Project 5.1/2 addresses this issue and could be linked to this project.

Several programs involving disaster prevention and mitigation represent models for IGAD to review: CILSS, SADC, the Disaster Preparedness and Mitigation Project in Niger, and UNDP’s proposed assessment of disaster mitigation capacity in sub-Saharan Africa under the Drought and Desertification Agreement.
Dear Mr. Renison,

The consultative meeting between IGAD Secretariat and Partners in Development on the formulation of the IGAD priority projects on Food Security and Environment Protection was held on 8-13 June 1997 in Djibouti. The meeting discussed the following project profiles and associated draft Terms of Reference (TOR) for their formulation into comprehensive project documents:

(5.1). Establishing of an Integrated Information System for the IGAD sub-region (RIIS);
(6.1). Promoting Sustainable Production of Drought Tolerant High Yielding Crop Varieties through Research and Extension;
(6.2). Trans-boundary Livestock Disease Control and Vaccine Production;
(8.1). Capacity Building in Integrated Water Resources Management; and
(8.2). Promotion of Community Based Land Husbandry.

Following the recommendations of the consultative meeting, the IGAD Secretariat finalized the Terms of References (TORs) by incorporating recommendations and comments of the meeting. I trust that you have already received the project proposal for Phase I of RIIS (5.1), and that the USAID has been invited to the 16-18 July meeting in Rome on the same.

Enclosed herewith, I have the pleasure of sending you copies of the TORs for the formulation of the following projects profiles:

(6.1). Promoting Sustainable Production of Drought Tolerant High Yielding Crop Varieties through Research and Extension;
(8.1). Capacity Building in Integrated Water Resources Management;
(8.2). Promotion of Community Based Land Husbandry.

In view of the importance of these projects to our sub-region and the USAID's expressed interest in them, I would like to call upon the USAID to support and participate in both the formulation process and eventual implementation of these priority projects.

Thanking you for your usual support to IGAD.
DOCUMENT B.4

IGAD Project Profile - 6.1 - Drought Tolerant Crops
IGAD

THE INTERGOVERNMENTAL AUTHORITY ON DEVELOPMENT

PROMOTING SUSTAINABLE PRODUCTION OF DROUGHT TOLERANT HIGH YIELDING CROP VARIETIES THROUGH RESEARCH AND EXTENSION

PROJECT FORMULATION PROCESS
TERMS OF REFERENCE

June 1997
Project Formulation Process

Terms of Reference

Background:

The Intergovernmental Authority on Development (IGAD) covers seven countries of the Horn of Africa namely, Djibouti, Eritrea, Ethiopia, Kenya, Somalia, Sudan and Uganda. The historical development of IGAD stemmed from the conviction of the countries of the sub-region of the need for a sub-regional body to enhance development through co-operation and joint actions on recurrent droughts and desertification.

In 1995, the Heads of State and Government of IGAD Member States resolved to expand the areas of co-operation among the Member States. This led to the revitalization of IGAD in November 1996 to enable the Organization undertake its enlarged mandate that now includes three priority areas of action, namely: (a) Food Security and Environmental Protection; (b) Conflict Prevention, Management and Resolution and Humanitarian Affairs; and (c) Infrastructure Development (Transport and Communications). The IGAD Secretariat, in partnership with its Member States and Partners in Development identified 17 sub-regional projects in the three priority areas for immediate development and implementation.

Justification:

Large parts of the IGAD sub-region are classified as Arid and Semi-Arid Lands (ASALs). The severe as well as recurrent droughts that hit the Sub-region hamper agricultural production, particularly in the ASALs in which over 20 million people, close to 13% of the population live. Furthermore, these areas are characterized by limited income opportunities and the majority of the people are chronically food insecure. The farming practices in the ASALs adopted from the higher potential areas are not adapted to dryland marginal areas, and are not able to close the food gap of these perennially deficit zones.

There is a need for research interventions that will promote sustainable production of drought resistant high yielding varieties in the marginal areas. A
number of research stations in the sub-region have developed drought resistant varieties of various cereals and pulses, which can be promoted in the dryland farming systems. The sub-region would benefit in terms of reduced food emergencies to these areas and alleviation of poverty.

For the research efforts to bear sustainable results in the ASALs, the agricultural extension services for these regions will have to be improved and the research-extension linkages strengthened.

As part of its effort to enhance food security in the Sub-region, the IGAD Secretariat is initiating a project to promote sustainable production of drought-resistant high yielding crop varieties through coordination and facilitation of research and extension in the Member States.

Objectives:

The objective of this project is to enhance food security in the dryer parts of the IGAD sub-region through sustainable foodcrop production in the ASALs, by way of:

- improving research and extension services, both public and private, in the sub-region;

- strengthening research linkages with the relevant regional and international research centres.

IGAD's role:

IGAD Secretariat will not be undertaking agricultural research or extension activities as such, rather its role will be one of coordination and harmonization of member states' agricultural research policies, facilitation of exchange of information and research results and materials. Through this project, IGAD will also facilitate capacity building for national research and extension systems. IGAD would coordinate and harmonize national, regional and international agricultural research activities in the development of drought tolerant crop varieties in the sub-region, through organizing workshops and high-level policy makers' meetings.
Drought Resistant Crop Research

Outputs:

The following results/outputs are expected from the project:

- Drought tolerant foodcrop varieties developed and distributed;
- Effective extension system developed for the ASALs;
- Enhanced institutional linkages, regionally and internationally;
- Capacity building and human resource development implemented.

Steps for the formulation process:

The project formulation process is estimated to take 6 months. The formulation process would follow the following steps:

► **Preparation** for the project formulation phase. This will involve:

- IGAD Secretariat to gather published material concerning the development and adoption of drought resistant crop varieties in the member states and elsewhere in the world;

- IGAD Secretariat to recruit a multi-disciplinary project formulation team of consultant who will include specialists in agricultural research, extension and policy analysis;

- finalizing terms of reference for each expert in the formulation team and drawing up a workplan: sub-teams may be formed to run certain project formulation activities in parallel.

► **Mission to the member states** to inventory drought tolerant crop research initiatives of the IGAD member states, and assess existing and future institutional capacities. This information will be useful in needs identification during the planning workshop.

► **Identify potential collaborating research institutions** including national agricultural research systems (NARS), universities, international research institutes (CGIARs), as well as agricultural extension services.

► **Organize a planning workshop** involving all the stakeholders to:
Drought Resistant Crop Research

- determine needs and constraints of the national and sub-regional dryland agricultural research and extension systems;

- identify areas for collaboration and policy harmonization.

- develop the project’s logframe analysis.

- Prepare the project document, according to the standard IGAD’s project format.

- Hold a second workshop comprising mostly the member states to adopt the project document.

- Hold a meeting with partners to discuss funding arrangements for implementation of the project.

Scope of work:

The IGAD Secretariat is putting together a multi-disciplinary team of consultants drawn mostly from the IGAD sub-region to undertake the formulation of a project entitled: Promoting Sustainable Production of Drought Tolerant High Yielding Crop Varieties Through Research and Extension. The team will be composed of an agricultural research administrator, an agricultural extension specialist and an agricultural policy analyst, who will also be the Team Leader. The Team Leader will take the overall responsibility for developing the project and will draw up terms of reference for each consultant in the team. Specifically, the project formulation team will:

1. Produce a detailed workplan within the first week of the assignment and present it to IGAD Secretariat for approval.

2. Analytically review background documentation and existing information on dryland crop research, and extension matters in the IGAD sub-region. The Secretariat will prepare in advance as much information and documents as it can mobilize from relevant national, sub-regional, international institutions, universities, and partners’ development agencies.
3. Travel to all IGAD countries (except Somalia) and prepare a detailed inventory of research and extension activities on drought tolerant, high yielding crop varieties in the IGAD sub-region. This will include:

- review of various food crop research initiatives for the ASALs in the Sub-region and identification of the status of each one of them assessing its achievements, constraints, strengths, weaknesses, etc.;
- identify technical strengths and comparative advantages of the national research institutions;
- critically review the research-extension linkages in the IGAD Member States;
- critically analyze agricultural extension issues as they relate to crop production in the ASALs of the sub-region;
- examine seed supply and marketing issues in the dryland farming systems of the sub-region;
- critically review member states’ agricultural policies with particular emphasis on research and extension policies, and identify areas for sub-regional policy harmonization.

4. Critically review the experiences of other sub-regional, regional and international organizations in research on drought tolerant high yield crop varieties.

5. Based on the outcomes of the above reviews, prepare a report identifying gaps/areas in need of intervention.

6. Organize a sub-regional planning workshop to include farmers and the private sector from the sub-region, among other things, to:

- identify problems constraining research and extension activities on drought tolerant high yield crop varieties, taking into consideration the team’s mission findings;
Drought Resistant Crop Research Consultancy TOR

- propose workable interventions to overcome the identified problems;

- develop a project planning matrix.

7. In light of the outcome of the planning workshop, use the log-frame analysis approach to develop a comprehensive project document (following the attached IGAD project format) ready for funding and implementation. The project document should clearly indicate:

- the institutional, operational and technical resource requirements of the project;

- a timetable for project implementation;

- manpower and financial resources required for project implementation, including an indication of IGAD's monetized contribution in kind;

- an assessment of the economic, ecological and socio-cultural sustainability of the project's outputs and impacts.

8. Propose an appropriate Monitoring and Evaluation, as well as a reporting system, which takes into account the requirements of IGAD and Partners in Development.

In undertaking these tasks the team will work closely with IGAD Secretariat in Djibouti, Focal Points and relevant institutions in the sub-region and Partners.

Work-place:

The team will operate from Djibouti at the IGAD Secretariat, but they will also travel to IGAD Member States for field work.

Duration:

This project formulation process will stretch over a period of six months with 2 one-month breaks for the Team Leader, while the other two experts will be
Drought Resistant Crop Research

hired over the first 4 months with a 1 one-month break. An indicative workplan for this project formulation exercise is attached.

Reports:

The team shall keep the IGAD Secretariat informed of the progress of work as frequently as possible, and submit monthly progress reports.

At the end of the project formulation exercise, the formulation team will be expected to hand in:

- a comprehensive project document prepared according to the standard IGAD project format;
- a report of a consolidated overview of agricultural research and extension policies in the sub-region;
- a status report on agricultural extension services in the sub-region.

The final version(s) of the project document(s) (hard copies and digital copies in a standard word-processor) together with various specific reports on the assignment containing recommendations for follow up, and documents collected for this exercise shall be submitted to IGAD Secretariat within two weeks following Secretariat’s acceptance of the final project document(s).

Resources required:

The project formulation process will require for the 6-month duration, the services of 3 internationally recruited consultants having at least 5 years of relevant experience as follows:
- agricultural policy analyst, Team Leader (4 mm);
- agricultural research administrator (3 mm);
- agricultural extension specialist (3 mm).

An experienced moderator will also be hired to guide the planning workshop during the participatory development of the project’s logframe structure.

In addition to IGAD Secretariat’s contribution in kind to the formulation process, donor contribution of US$ 366,025 will be required for supplies and materials as well as for travel (budget attached).
Budget for a six-month project formulation process

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IGAD PROJECT FORMAT

1. EXECUTIVE SUMMARY

2. INTRODUCTION
   2.1 Background
   2.2 Problem Analysis
   2.3 Justification
   2.4 Target Beneficiaries
   2.5 Current Status

3. PROJECT DESIGN
   3.1 Objectives - overall and immediate objectives
   3.2 Project Purpose
   3.3 Results/Outputs
   3.4 Activities
   3.5 Indicators
   3.6 Project Assumptions

4. PROJECT IMPLEMENTATION
   4.1 Implementation Procedures
   4.2 Implementation Schedules/Timetable
   4.3 Institutional Arrangements
   4.4 Monitoring and Evaluation
   4.5 Impact Assessment

5. PROJECT RESOURCES
   5.1 Human Resources
   5.2 Project Budget
   5.3 Financing Arrangements

6. SUSTAINABILITY CONSIDERATIONS
   6.1 Policy issues
   6.2 Socio-cultural aspects/gender issues
   6.3 Financial and economic analysis
   6.4 Institutional and management capacity
   6.5 Environmental aspects
   6.6 Appropriate technology

Annexes
   1. Project Matrix
   2. Terms of Reference for Project Staff
   3. Any other Pertinent Information
**Workplan for the project formulation process**

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- Consultants' activities
- IGAD activities, consultants in recess
- Workshops/meetings
DOCUMENT B.5

IGAD Project Profile - 8.1 - Integrated Water resources Management
IGAD
THE INTERGOVERNMENTAL AUTHORITY ON DEVELOPMENT

CAPACITY BUILDING IN INTEGRATED WATER RESOURCES MANAGEMENT

PROJECT FORMULATION PROCESS
TERMS OF REFERENCE

June 1997

P.O. BOX 2653 DJIBOUTI; REPUBLIC OF DJIBOUTI
Tel: 253-354050; Fax: 253-356994; E-mail: IGAD@intnet.dj
Capacity Building in Integrated Water Resources Management

Project Formulation Process

Terms of Reference

Background:

The IGAD sub-region, with the biggest lake and longest river in Africa, has a substantial amount of water potential that can be tapped. However, much of this water resources is lost to the sea as run-off. Rainfall amounts and distribution vary widely both in time and space, and there is inequitable distribution of both surface and ground water within and between the countries of the sub-region. Considering that the economies of the IGAD Member States are mostly dependent on rainfall for primary production, efficient water resource management is of paramount importance to the development of the sub-region. Currently, the national hydrological services in integrated water resources management in the sub-region are grossly inadequate.

Justification:

Over 70 percent of the IGAD sub-region is covered by sub-humid to arid agro-ecological zones and are prone to recurrent droughts. A large part of the population is chronically food insecure with over 20 million people needing emergency food assistance. By strengthening the sub-region’s water resources management capacity, food production as well as people’s incomes would be greatly enhanced.

In exploiting trans-boundary water resources, there is a need for a sub-regionally coordinated hydrological information system to facilitate cooperation and equitable water resource utilization among the riparian countries. Such an information system would support intra-regional and international policy dialogue.

Consequently, IGAD Secretariat in collaboration with its Partners in Development is initiating a project to strengthen the capacity of the national hydrological services through training and equipping their staff. Furthermore, IGAD Secretariat has taken steps towards establishing a sub-
regionally coordinated Hydrological Cycles Observation System (HYCOS). The IGAD HYCOS will be part of the Africa and World-wide HYCOS under development in the different regions.

Objectives:

The main objectives of this project are to provide formal education and training to improve human capacities in water resources management, including awareness creation regarding sub-regional issues of shared transboundary water resources. In addition, the project aims to establish a functional HYCOS to improve the collection, processing and dissemination of hydrological data and information in the IGAD sub-region.

IGAD's role:

IGAD Secretariat's role in this project will be one of facilitation and coordination of project activities, monitoring and evaluation, and creation of an enabling environment for project formulation and implementation. IGAD will also provide the framework for policy harmonization in integrated water resources management in the sub-region.

Outputs:

Among the important outputs/results of this project are:

- human resource development,
- sensitization and awareness creation; and
- hydrological information system.

Steps for the formulation process:

The needs assessment for human capacities development and for the establishment of the IGAD HYCOS will be undertaken separately. However, the findings of the HYCOS study will be discussed during the Planning Workshop. This enhances coherence between the two main results of the project and will facilitate incorporating the human resources requirements of HYCOS into the overall capacity building development for Integrated Water Resources Management in the sub-region. In summary, the formulation process will follow the following steps:
IGAD Secretariat in collaboration with Partners in Development to collect relevant existing documents and information on capacity building in integrated water resources in the sub-region,

IGAD Secretariat to recruit a multi-disciplinary project formulation team of consultants who will include specialists on integrated water resources management, human resources development and institutional and organizational development,

Preparation phase for the project formulation which will include:

- review of existing documents by the consultants in Djibouti,
- finalization of terms of reference for the different members of the consultant team by the Team Leader in collaboration with the respective specialists,
- preparation of workplan by the consultant team which should be approved by IGAD Secretariat;

mission to Member States to undertake the needs assessment (needs, potentials, constraints, linkages to other on-going projects, etc) for human resources capacities development,

compilation of findings in a report form to be used as a background document during the Planning Workshop,

preparing and convening a project planning workshop with all stakeholders. Mission findings will be discussed and a Project Planning Matrix will be worked out using the Logframe method,

preparation of a draft project document based on the attached IGAD project format to be discussed during the final workshop,

presentation of the draft project document in a sub-regional workshop with selected stakeholders and decision makers from the IGAD Member States for improvement and endorsement,

finalization and submission of workshop reports and the final project document to IGAD Secretariat; and
IGAD to hold a meeting with Partners to discuss funding arrangements for the implementation phase of the project.

Scope of work

IGAD Secretariat is recruiting a team of consultants to undertake the assessment and analysis of the present water resources management situation in the IGAD Subregion and develop a programme to build capacity in integrated water resources management both at national and subregional level. The consultants will have a Team Leader who will be responsible for the overall project development and supervision of team members. In addition, the team Leader shall finalize the terms of references for the individual team members. The team more specifically will:

1. Produce a workplan in the first week of the consultancy and have it approved by IGAD secretariat,

2. Review and analyze existing documents and information on integrated water resources management in the sub-region at IGAD secretariat,

3. Undertake missions to all IGAD member States (except Somalia) and make a detailed assessment on the needs, potentials and constraints of the sub-region with regard to human capacities development in integrated water resources management. In this regard, the team will:

   - undertake a comprehensive description of the water resources in the Subregion to date (surface, groundwater, distribution etc.).
   - analyze the institutional and legal framework of water resources management institutions in the Subregion and identify their potentials and constraints regarding organizational, managerial and institutional capacities, as well as legal issues.
   - review and reconcile the result of the human capacity need assessment of the HYCOS study and incorporate it into the overall capacity building programme in integrated water resources management,
   - study the political and economic implications of water management in the Subregion.
   - analyze the role of information and its exchange in integrated water management, in shared water resources, etc.
   - identify existing potentials on capacity building in the Subregion.
4. Review the experiences of other sub-regions / regions and assess its relevance to the IGAD sub-region,

5. Based on the review of existing documents and information, assessment results and the review of experiences of other sub-regions, prepare a report that can be used as a background document during the Planning Workshop.

6. Convene a sub-regional Planning Workshop with all stakeholders to discuss:
   - the outcomes of the needs assessment (needs, potentials, constraints, etc.) of the sub-region in human resources development,
   - the role and need of capacity building in integrated water resources management specially in shared water resources,
   - the design of a human resources development programme to address the capacity needs at national and Subregional level,
   - required policy amendments including institutional and legal framework to improve, enrich and harmonize water management systems in the Member States and at Subregional level.
   - the use and role of information and information exchange in integrated water management.
   - elaboration of a Project Planning Matrix (Logframe), containing Project Objectives, Purposes, Outputs / Results, Activities, Indicators and Assumptions for the implementation of the Project in a participatory approach. The Planning Workshop will bring together key persons from private and governmental water management institutions to work out the Project Strategy.

7. transfer the results of the Planning Workshop into the description of the Project Design, keeping in consideration IGAD Secretariat’s role in the implementation of priority projects. Following topics have to be worked out in detail:
elaboration of proposals for necessary procedures to implement the project, including organizational and management requirements.

description of the necessary institutional and organizational arrangements to foster project implementation (subsidiarity).

elaboration of a time table for project implementation

development of an appropriate Monitoring and Evaluation, as well as reporting System, which takes into account the requirements of IGAD member states, the IGAD Secretariat and the Partners in Development.

8. identify and justify, on the basis of the Project Planning Matrix, the necessary manpower and financial resources for project implementation, especially following aspects:

- Preparation of a detailed list of the required human resources (long-term and short-term), with their designation, working experience, job description and duration of work in the project.

- elaboration of an overall and detailed Project Budget, including contributions of IGAD Member States, IGAD Secretariat and Partners in Development.

- description and explanation of the necessary financing arrangements and procedures.

9. elaborate and justify the economical, ecological and socio-cultural sustainability of the project. This includes the description of anticipated impacts of the project as well as actions to be taken during the live of the project in regard to:

- the harmonization of national and sub-regional policies on water resource management in order to satisfy the inhabitants of the Subregion;

- the impact of the project on the socio-cultural situation of the population under special consideration of gender aspects;
- the financial and economic viability of the project regarding the values added (in economic terms) to the economic development on national and Subregional level (on the basis of a financial and economic analysis, interpreting the Net Present Value of the analysis);

- the improvement of institutional and management capacities in order to ensure that initiated processes and activities could be carried on after the external support of the project;

- the impacts on the Environment, taking into account the impacts on the sustainable management of natural resources in the Subregion and describing necessary supplementary activities, to ensure ecological sustainability.

Workshops

- Strategic Project Planning in week 14 of the assignment

- Info - Discussion meeting during week 21

Reports

Reports / documents to be presented during and at the end of the consultancy include:

- Report on the detailed problem analysis and needs assessment at the end of week 9, which serves as basis for the workshop on Strategic Planning and elaborating the Project Planning Matrix.

- Draft Report on the results of the planning workshop and its interpretation for the implementation of the project as well as Draft Project Document after week 16.

- Final Report and Project Document, incorporating recommendations and decisions taken during the final workshop / Info-Discussion meeting at the end of week 23.
Work-place

The consultant team will be stationed at the IGAD Secretariat with frequent visits to Member States for assessment and workshop purposes.

Duration

The duration of the consultancy is six months. A draft workplan for the entire duration of the consultancy is attached.

Human resources required

The multi-sectoral nature of the project requires a multi-disciplinary team in order to address all issues related to the project formulation. The formulation team shall consist of:

- Specialist on integrated water resource management, Team Leader (4 M/M)
- Specialist on human resources development (3 M/M)
- Specialist on institutional and organizational development (3 M/M)
- Moderator specialized on Logframe planning processes (½ M/M)

Financial resources required

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**Plan for the project formulation process**

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IGAD
THE INTERGOVERNMENTAL AUTHORITY ON DEVELOPMENT

PROMOTION OF COMMUNITY BASED LAND HUSBANDRY
PROJECT FORMULATION PROCESS
TERMS OF REFERENCE

June 1997

P.O. BOX 2653 DJIBOUTI; REPUBLIC OF DJIBOUTI
Tel: 253-354050; Fax: 253-356994; E-mail: IGAD@intnet.dj
Promotion of Community Based Land Husbandry

Project Formulation Process

Terms of Reference

Background:

IGAD sub-region is endowed with varying ecosystems, flora and fauna, rich in important domestic and wild gene-pools that need to be conserved, first for the benefit of community, the country and then for mankind. With the growing population pressure and the need to feed increasing population, competition between conservation of these natural resources and the immediate agricultural and pastoral needs has intensified. The conflict arising from this competition can not be solved by the usual restrictive legislations and their enforcement by governments but by innovative approaches that empower the communities to plan, own and manage these resources for their local development. Land Husbandry is community based and deals with grassroots level interventions to enable the people plan, use and manage the available resources for their benefit.

While many people tend to identify the issue of biodiversity with tropical rain forests, dryland ecosystems also contain rich biota, including animal species that are endemic to this subregion and are not found elsewhere. Indeed many of the humanity’s most important food crops such as barley and sorghum originated from drylands. Though disappearing fast, indigenous varieties remain a vital resource for plant breeders because of their resistance to stresses such diseases and drought. The important traits which are believed to exist in these genepools also provide a rich source for genetic material in biotechnology and genetic engineering. Drylands species also provide drugs, resins, waxes, oils and other tree and shrub products of commercial value. Here, government intervention is required particularly in creating enabling policy framework to attract private sector to exploit these products. The arid and semi arid-lands of Eastern Africa provide critical habitats for wildlife, including large mammals and migratory bird species. In IGAD sub-region ASALs support about 20 million people and produce more than 50% of livestock products.

Studies by various scientists have reported the existence in the Sub-region of many cultivated crops that show considerable genetic diversity and that some
variations that exist in these crops are rare and may not be found in any other places. It is important to focus on such areas as in-situ conservation of wild relatives of the cultivated crop/plant species and wild species of potential value, community based genetic resources gardens utilizing locally adapted materials, local people planning economic and ecologic key plant and endangered species as a part of community based rehabilitation program. In wildlife and forest protected areas, consideration should be given to community ownership and management of the wildlife and forest resources.

Community Land Husbandry in natural resources conservation means the advancement towards integrated sustainable utilization and development of the available natural resources. Human interest and economic utilization of resources should be central. Based on integrating production systems through promoting and popularizing alternative systems of subsistence, the Community Land Care husbandry conserves the productive base (soil, water, pasture etc.) to ensure sustainable agriculture, food security, household energy needs and improvement of the quality of life of the people. It is a concept that is low cost, innovative, gender sensitive as well as an effective means of addressing both short term needs of the farmers and long-term development strategies of the countries. It supports the United Nations Convention to Combat Desertification (UNCCD) which advocates collaboration and consultation with population of areas affected by desertification, including the public, NGO and private sectors and the partnership building with the donors. In addition the Regional Implementation Annex for Africa (RIAA) put emphasis on integrated local development programs for affected areas. Land husbandry is community based and promotes community based natural resources conservation and sustainable utilization in drylands affected by drought and desertification.

Justification and the new approach to ensure success and sustainability:

The Land Husbandry Community Based projects especially viewed as rural integrated environmental projects have been implemented in the past with varying successes. In fact most of them performed poorly during implementation and almost none of them survived after the donor funds stopped. In proposing the Community Based Land husbandry IGAD has looked into the AMCEN Village Pilot Projects which had low success because they were prepared on top down approach and did not target the local communities.

1 In 1985 the African Ministerial Conference on Environment (AMCEN) adopted the Cairo Plan of Action. In this Action Plan, 150 village based resource management integrated pilot projects were formulated for implementation.
for empowerment and ownership of both the resources and the process. Both in the approach and methodology of preparation and implementation of the project, a number of innovations have been proposed to ensure sustainability and success. These include:

- consultative and partnership building with all stakeholders including the private sector as espoused by the CCD,
- low input technology and funds commensurate with the absorptive capacity of community to ensure sustainability,
- strengthening of local institutions and communities by packaging information available at the local level for use by the communities in negotiating and undertaking dialogue with other partners,
- creating inter-country networks for facilitation of information and experiences exchange; and
- involvement of private sector for provision of insights into market possibilities for products in dryland areas.

IGAD role:

While taking into account the above innovative approaches, the preparatory phase will review similar integrated resource management projects models in the subregion and elsewhere with a view to drawing lessons from them. IGAD will follow-up the issues that constitute creation of enabling environment such as the land tenure policies, decentralization, compensation and incentives. More specifically, IGAD will follow-up policy harmonization issues at policy makers and decision makers levels. In what would appear as country projects, IGAD has a distinct role of facilitating the project preparation process, mobilization of funds for project implementation, monitoring and evaluation and reporting to partners in development. During the project implementation, IGAD will assist the member countries in coordinating the exchange of information and experiences at sub-regional level.

The Scope of the work:

In each IGAD member state, the consultants and the appropriate sector Ministries will identify possible project areas, preferably bordering other IGAD
Community Based Land Husbandry

Consultancy TOR

member states where two or more countries which have shared ecosystems could cooperate in transboundary resource management. Due to diversity of ecosystems of the IGAD sub-region, project sites may vary in physiography but the approach and methodology of project preparation and implementation will be the same.

Steps in the formulation process:

In each IGAD member state, briefing sessions at appropriate fora will be made with the National CCD Committees in order to reach a common understanding of the aims and objectives of the Community Based Land Care Husbandry (CBLH) concept. As stipulated in the Convention to Combat Desertification, provision will be made for effective participation at the local, national and regional levels of NGOs and local populations, particularly resource users, including farmers and pastoralists and their representative organizations, in policy planning decision making and implementation. The National CCD Committee will identify possible sites for the Pilot project.

The Team of Consultants shall have a team leader who will take the overall responsibility for developing the project and Terms of Reference for other consultants in the team. The team will work closely with IGAD Secretariat, the IGAD focal Point and relevant sectoral institutions. The Team shall commence their mission at IGAD Secretariat Djibouti. While in Djibouti they shall:

i) finalize methodology and produce a detailed work-plan to be used for arrangement for the missions.
ii) review all available information and documentation.
iii) finalize the TORs for national consultants.
iv) Organize an orientation meeting for the national consultants.
v) Start country mission in Djibouti.

In the country missions the Team of Consultants shall be backstopping the national consultants working in the project area.

IGAD Secretariat will engage the services of a National Consultant who will inter alia perform the following tasks at the selected sites:

a) detailed consultations at grassroots levels with community leaders, local authority, public servants, NGOs, bilateral organization working in the selected area;
Community Based Land Husbandry Consultancy TOR

b) review and assessment of information collected from the selected area;
c) needs assessment of the capacity and expertise of local authorities in order to determine the appropriate technology and skills necessary;
d) organizing consultative planning workshops at community levels.

More specifically the National consultants shall:

1. Assess and identify natural resources existing in the selected area and analyze the management methods of such resources, their level of utilization and the current situation.

2. Assess the social human environment
   - description and analysis of the social characteristic of the population: number, migration, socio and cultural relationship, health condition, level of literacy and training.
   - describe the method of organizing population, their impact on management of natural resources and development and the whole range of socio economic production activities.
   - describe and analyze technical environment of the area: level of awareness in respect to environmental protection, the level of popular participation and involvement in desertification activities and community infrastructure
   - identify external actors working in the area by indicating the importance and nature of their interventions.

3. Assess and identify the socio-economic characteristic of the area by conducting and identifying agri-silvo-pastoral and other reproductive activities, the technical level of the producers, the division of social tasks and utilization of income by households.

4. Highlight potentials, main constraints and problems of the selected areas and show the main orientations to follow in order to ensure that the population owns the resource.

5. Assess all the socio-economic and biophysical indicators that characterize the area and constitute a reference base.

6. Assess the priority needs and aspiration of various socio-cultural groups as well as the activities capable of promoting and strengthening the
internal organization of the population in project areas and their negotiation capacities with external actors.

7. Review and assess the impact of community based land husbandry models as applied in countries such as Australia and elsewhere and adapt those aspects that are applicable in the subregion and;

8. Identify the factors that create enabling environment for the implementation of the concept eg. land-use policy, security of tenure, decentralization, incentives and compensation etc.

From the country missions, the Team of Consultants will convene a meeting with national consultants to review and assess the draft country reports. This meeting hall harmonize the approach in all countries and decision made on the feasibility of Pilot project per country or where shared ecosystem occur such as a watershed, a common grazing zone, or a wildlife area, possibilities of sub regional pilot projects.

The Team will thereafter prepare a draft sub-regional project document for discussion at a Logical Framework Planning workshop of all stakeholders. This sub-regional planning workshop will discuss inter alia:

i) proposals of mapped areas that Pilot Land Care Groups project could be established, indicating the main natural resource to be conserved and concrete activities to be undertaken;

ii) proposals for modalities of project implementation particularly the networks of information and experiences exchange;

iii) proposals for the appropriate environmental educational modules for the community in the study area; and

iv) develop a project planning matrix

Based on the outcome of the planning workshop, the Consultants shall undertake to design and produce a Project Document ready for funding and implementation. The project document prepared according to the standard IGAD format (attached) should clearly indicate:

- institutional, operational and technical resource requirements of the project;
Community Based Land Husbandry Consultancy TOR

- a timetable for project implementation;
- manpower and financial resources required for project implementation;
- an assessment of the economic, ecological and socio-cultural sustainability of the project's outputs and impacts.

The draft project document will be circulated to selected stakeholders in the member states and the Partners in Development for their comments.

A final sub-regional meeting will be convened to discuss the document and include all comments and determine the operation plan for the implementation of the project.

The final version of the project document (hard copies and digital copies in standard word processor) together with various specific reports, maps and documents collected for exercise shall be submitted to IGAD Secretariat within two weeks following Secretariat acceptance of the final project document.

Reporting.

The team will commence its mission at IGAD Secretariat, Djibouti and travel to IGAD member states and elsewhere. During the execution of this task, the team shall regularly furnish IGAD with progress reports.

Time Frame:

The estimated time for completion of this assignment is 6 months which includes two breaks one month each for the team leader. The Natural resource scientist and the national consultants will be hired until the second meeting. An indicative work-plan for this assignment is attached.

Resources required:

The team of Consultants will constitute a minimum of two experts, preference being with a proven experience in the CCD process or in Land care projects elsewhere and conversant with the provisions of the Conventions in the field of environment.
An experienced moderator will be hired to guide the planning workshop during the participatory development of the projects’ log-frame structure.

National experts 12 mm.

These will be hired one per country for two months to assist the consultants in the project formulation process.

In addition to IGAD Secretariat contribution in kind to the formulation process, donor contribution in the amount of US $ 384 065 will be required as shown below:

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<td>Personnel</td>
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<td>3.</td>
<td>Report production and translations</td>
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Community Based Land Husbandry

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IGAD PROJECT FORMAT

1. EXECUTIVE SUMMARY

2. INTRODUCTION
   2.1 Background
   2.2 Problem Analysis
   2.3 Justification
   2.4 Target Beneficiaries
   2.5 Current Status

3. PROJECT DESIGN
   3.1 Objectives - overall and immediate objectives
   3.2 Project Purpose
   3.3 Results/Outputs
   3.4 Activities
   3.5 Indicators
   3.6 Project Assumptions

4. PROJECT IMPLEMENTATION
   4.1 Implementation Procedures
   4.2 Implementation Schedules/Timetable
   4.3 Institutional Arrangements
   4.4 Monitoring and Evaluation
   4.5 Impact Assessment

5. PROJECT RESOURCES
   5.1 Human Resources
   5.2 Project Budget
   5.3 Financing Arrangements

6. SUSTAINABILITY CONSIDERATIONS
   6.1 Policy issues
   6.2 Socio-cultural aspects/gender issues
   6.3 Financial and economic analysis
   6.4 Institutional and management capacity
   6.5 Environmental aspects
   6.6 Appropriate technology

Annexes
   1. Project Matrix
   2. Terms of Reference for Project Staff
   3. Any other Pertinent Information
**Workplan for the project formulation process**

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- **Team activity**
- **No consultants' involvement**
- **Workshops/meetings**
DOCUMENT B.7

IGAD Project Profile - 5.1 - Regional Integrated Information System
(Preliminary document attached)
1. Project Title

Establishment of an Integrated Information System for the IGAD Region

2. Description / Overview

2.1 Background

The IGAD sub-region faces a number of social, economic and environmental challenges that require urgent attention and investment. These include accelerated deforestation, severe soil erosion, rapid urbanization, air and water pollution, shortage of land, water and energy resources. While rapidly growing populations and inequitable resources distribution aggravate the situation, other man-made and natural disasters have complicated the problems. They have resulted into large number of internally displaced people and refugees with adverse effects on food security and sustainable environment development. It is for this reason that IGAD Member States place utmost importance on the elimination of food insecurity and environmental degradation in the sub-region. In tackling these problems, both IGAD and MS would need operational sectoral information systems to enable them plan and put in place appropriate policies. Consequently, IGAD had initiated interventions for establishment of the following information systems at sub-regional level:

IGAD Documentation and Information Centre (IDIC)

The IGAD Documentation and Information Centre provides reference material to IGAD staff, partners, and other users on issues related to IGAD. The facility has books, periodicals, IGAD publications and reports as well as electronically stored data on completed, on-going and envisaged projects.

To enhance information exchange between and among member states, IDIC has also undertaken a study on strengthening of selected libraries in the IGAD Member States. The study is supported by the Government of Netherlands and intends to link IDIC with selected libraries in the Member States. Furthermore, a USAID supported project is being implemented by UN/ECA/PADIS (Panafrican Documentation & Information System) to connect the IGAD Secretariat with relevant ministries in the member states.

IGAD Early Warning and Food Information System (EWFIS)

The IGAD Early Warning and Food Information System project, funded by Italy with a total donor contribution of US$ 6.5 million, and executed by FAO over the period November 1989 to February 1996, has assisted in the establishment and/or strengthening of national early warning units in the Member States. It also provided
training, equipment and backstopping to support national early warning units and associated government agencies.

A Phase II Project has been formulated, where each IGAD Member State would have a separately funded project component in addition to the regional coordinating component. So far, funding over a two-year period has been secured from Italy for a Market Information System component of the regional project (US$ 1.5 million) and the Eritrea component (US$ 800,000). The Ethiopian component is being implemented under a UNDP national programme for disaster preparedness and prevention. The EU has approved funding for the regional projects on remote sensing project (ECU 2 million), and training in grain marketing (ECU 2 million).

**IGAD Environment Information System (EIS)**

The IGAD Environment Information System aims at strengthening the capabilities of IGAD and its member states to collect, process, analyze and disseminate environmental data/information required for environmental strategic planning. In 1994 and 1995, EIS with the support of GTZ undertook an assessment of the status of environment information in the sub-region. National environment information assessment reports were compiled with the help of national consultants and based on these national reports, a working paper on concept and strategy of a regional environment information system (EIS) for sustainable management of natural resources and the environment for the IGAD region was developed.

2.2 Justification

Given the financial and manpower constraints in the sub-region, IGAD recognizes the necessity to harmonize the above information systems in order to minimize duplication of efforts and wastage of resources. Although, information cuts across all IGAD programmes, present IGAD activities in the information sector lack proper coordination of efforts and efficient use of available resources. There is a need to apply economies of scale in the development of an Integrated Sub-regional Information System which would be built around the existing IGAD information systems and would cover IGAD's information requirements. Such an integrated information system would give priority for now to the food security and environmental sectors and would present an appropriate base for other applications in others sectors.

The rationale behind the creation of IGAD was to coordinate development efforts and the use of sub-regional resources in such a way that they would have a positive impact on the sustainable development of the sub-region.

Information technology is relatively expensive. This applies to both hardware and software necessary for the processing and interpretation of remote sensing (RS) data and the application of geographic information systems (GIS) for data processing,
analysis, integration and dissemination. Appropriate subregional use of existing equipment and software is therefore a vital necessity which will contribute to increased efficiency and effectiveness of IGAD.

All the present IGAD information systems have networking components. Taking into account the present networking activities being undertaken, it is essential that the core networking activity (linking IGAD Secretariat to national information centres and relevant sectoral institutions) be undertaken and coordinated by the IGAD integrated information system. If there is need to link additional sectoral institutions to the networking, the components of the integrated system will be responsible for their respective sectors. It is anticipated that such a networking system will have an added value to the sub-region and give IGAD optimal and efficient use of available resources.

In particular, the development of a Regional Integrated Information System (RIIS) will enable IGAD-Secretariat and the member states to have:

⇒ a well defined policy for regional and national information systems particularly for food security and environmental protection matters;
⇒ a better knowledge on the availability, accessibility and stability of food at regional and national levels in order to provide food-related information which meets the needs of the decision makers and other users within and outside the IGAD Region;
⇒ a better knowledge and use of environmental information for an effective and sustainable management of natural resources and environment;
⇒ a wider and improved network of data/information exchange on food security, natural resources and the environment;
⇒ a better dissemination of food/environmental information to the users at all levels.

The establishment of a Regional Integrated Information System (RIIS) consisting of an operational Early Warning and Food Information System (EWFIS) and Environmental Information System (EIS) at the IGAD Secretariat, with functional links to Member States as well as to relevant regional and international and non-governmental organizations, is therefore a prerequisite for

* improved food security and better administration of food assistance, and
* improved quality of the environment
in the IGAD region.

2.3 Target groups

The first target group of the project is the IGAD Secretariat. The second target group of the project are the national information systems of the member states.
Ultimate beneficiaries are the people living in marginal or drought-prone areas, for whom the threat and occurrence of food stress due to various factors, including the deteriorating status of the environment can be more effectively addressed through use of the information generated by the RIIS.

2.4 Institutional arrangements

The project will be based in the IGAD Secretariat in Djibouti or in an appropriate institution in one of the member states. It will be carried out in two phases:

- The first phase comprises the operationalization of the EWFIS and EIS subregional coordination components and the definition of a conceptual framework for an integrated information system, including the assessment of needs and capacity in the region, and the formulation of a detailed project proposal;
- The second phase consists of the establishment of the actual RIIS system.

The project will have a project manager who will report to the Executive Secretary through the IGAD project coordinator at IGAD Secretariat. The project will be linked to national information systems and through them to sectoral or cross-sectoral information systems such as food / environmental information systems of the member States as well as to other relevant regional and international information systems.

2.5 Role of IGAD

The role of IGAD is the coordination and mobilisation of financial resources and technical assistance for project implementation. IGAD should also ensure that the member states commit themselves to contribute to the success of the project. Furthermore, IGAD has to enter into agreement with member states on the sustainability of the project after donors assistance stops.

3. Objectives

3.1 Development objective

The long-term development objective of the IGAD Regional Integrated Information System (RIIS) is to enhance the sustainable production of timely and reliable information related to food security and environmental issues.

3.2 Immediate objective

The immediate objective of Phase I is to:
3. Results/Outputs

The following two results are expected from this project:

(1) Comprehensive report on the conceptual framework and detailed design of the RIIS developed
(2) EWFIS and EIS subregional coordination components are operational
(3) Regional Integrated Information System installed

4. Activities

The following major activities will be undertaken by the project to achieve the results:

Result No. (1) Comprehensive report on the conceptual framework and detailed design of the RIIS developed

1.1 review IGAD and member country initiatives on promoting various information systems in the Region, and identify status of each of them taking into account its achievements and constraints;
1.2 identify conceptual and operational frameworks for the development of an integrated information system;
1.3 prepare a detailed design of the regional and national information systems and the protocols and procedures to be used;
1.4 review human resources available at national and regional level for the system;
1.5 identify and advise on any changes required in the operational structure of the IGAD secretariat

Result No. (2) EWFIS and EIS subregional coordination components are operational

2.1 review information and parameters already in use for early warning and food information and environmental monitoring;
2.2 prepare plan to operationalize EWFIS and EIS subregional coordination component
2.3 coordinate, supervise and monitor operationalization of EWFIS and EIS subregional coordination component
Result No. (3) Regional Integrated Information System Installed

3.1 prepare and present a detailed project proposal on the establishment of a Regional Integrated Information System (RIIS) in the IGAD secretariat
3.2 IGAD to secure financial and technical assistance commitment of donors
3.3 coordinate, supervise and monitor implementation of RIIS system installation
2.4 assess training needs and implement training programmes

6. Inputs

6.1 Manpower requirements

IGAD-secretariat and the national information systems will detail appropriately qualified personnel for project implementation and for training programmes.

Technical assistance will be sought by IGAD-secretariat for implementation of phases I and II of the project in terms of a system expert, a database expert and communication expert.

6.2 Duration

The project duration will be three and a half years. The first phase, which is the development of the conceptual framework and the development of the final project proposal will take six months.

6.3 Estimated budget

The budget of the project is estimated to be US$ 6 million, used in two phases:

Phase I:

1) Development of a project plan for installation of RIIS  US$ 0.5 million
2) Operationalization of EWFIS subregional coordination component  US$ 2.0 million
3) Operationalization of EIS subregional coordination component  US$ 2.0 million

Phase II:

4) Installation of RIIS  US$ 1.5 million
IGAD Project Profile 6.2 - Trans-boundary Livestock Disease Control and Vaccine Production (revision in progress)
2. Description / Overview

2.1 Background

Nearly half of the IGAD subregion is covered by arid and semi-arid areas. The severe as well as recurrent droughts that hit the subregion hamper agricultural and livestock production, particularly in arid and semi-arid lands (ASALs) which hold close to 13% of the human and 60% of the livestock population of Africa. The subregion which is quite suitable for livestock production keeps 71 million heads of cattle, 66 million sheep, 61 million goats, 143 million poultry, 8 million equine and 12 million camels. It is worth to note that about 57% of the world and 80% of the African camel population is present in the IGAD subregion.

The enormous livestock resources of the subregion are predominantly under poor health conditions. Diseases remain the main obstacle to increased livestock production and exportation of live animals and their products. The high levels of mortality (over 8% annually in adult stock) and morbidity depress marketable surpluses, causing livestock owners to maximize herd numbers leading to a cycle of overstocking, overgrazing and poor productivity. This, on the other hand, is contributing much to the degradation of the environment.

So far the veterinary services of the IGAD member countries had tried to give priority to disease control through mass vaccination against Rinderpest and Contagious Bovine Pleuropneumonia, but have been unable to achieve the long awaited result.

There are veterinary clinics and regional veterinary laboratories in most countries of the subregion. Their effectiveness remains questionable because of scarcity of trained manpower and the supply of appropriate materials in most of the member states.

Some encouraging starts have been made in the sub-region with the establishment of systems of communication and information exchange between the animal health professionals and livestock owners in order to improve the participation of the pastoralist society in the fight against animal diseases. These are programmes to strengthen primary animal health care at all levels using appropriately designed animal health extension messages (packages). These programmes could have a positive...
impact in promoting the participatory role of the pastoralist in the arid and semi-arid lands in animal health control. Nevertheless, lack of coordination between respective departments and shortage of financial inputs is causing problems in the implementation process.

It follows from the above that a multi-dimensional approach is needed to address the problem of low productivity on account of animal diseases in the sub-regional livestock industry so as to alleviate one of the causes of food insecurity. It would have to include to:

- train pastoralists (owners + herders) and other livestock holders as well as livestock traders in basic animal health to promote their participation in the control of animal diseases;
- conduct vaccination campaigns (annual or biannual) at the subregional level;
- create sanitary cordons for highly infectious livestock diseases in the subregion;
- develop quarantine centres at strategic areas in the subregion to control trans-boundary livestock movement;
- increase vaccine production by strengthening the infrastructures of production institutions in the subregion;
- develop an information exchange network (on livestock diseases) for the subregion;
- set up emergency vaccine banks for use in the subregion in case of emergency disease outbreaks.

2.2 Justification

Currently, livestock infectious diseases such as Rinderpest, vector borne diseases (East-Coast fever, trypanosomiasis etc.), Contagious Bovine Pleuropneumonia, Contagious Caprine pleuropneumonia, Lumpy skin disease, Foot and Mouth disease, Newcastle disease, Anthrax, Pasteurellosis, Blackleg and others are endemically present in the subregion.

It is known, that the uncontrolled trans-boundary movement of livestock which is a common practice in the IGAD subregion is favouring the spread of animal diseases not only within the member countries but out of the African continent. A harmonized subregional programme that includes disease reporting, quarantine measures (as for foot and mouth disease in Kenya) and vaccination could cover those trans-boundary diseases which are enzootic and highly contagious, transmissible with the potential for very serious and rapid spread, irrespective of national borders constrain food security, adversely affect public health and impede international trade in livestock and animal products.
In the subregion, there is already a relatively strong vaccine production capacity. The National Veterinary Institute (NVI), Ethiopia, is one of the biggest and most efficient vaccine production establishments in sub-Saharan Africa. Currently it produces not less than 11 types of different vaccines which are supplied to all countries of the subregion. Moreover, there are two other vaccine production institutions in the subregion. These are the Kenya Veterinary Vaccine Production Institute (KEVEVAPI) and the Sudan (Soba) Vaccine Production Centre.

The subregion could be self-sufficient in veterinary vaccines - one important tool for the control of infectious animal diseases - provided the existing infrastructure is strengthened for industrial vaccine production.

Though it is known that diseases could be controlled and subsequently eradicated through routine vaccination - annual or bi-annual - vaccine supply is found currently to be far below the requirements of the subregion. New range of vaccines (Peste des petits ruminants, Contagious Caprine Pleuropneumonia, Rabies, Thermostable Newcastle disease and other Avian vaccines) must be developed and produced. Hence, there is a strong need to support the already existing recognized vaccine producing institutions.

In these three institutions, there is the possibility of producing certain diagnostic reagents that are currently imported. The availability of these biologicals (vaccines and diagnostic reagents) will strengthen research and diagnostic works in veterinary clinics and laboratories in the IGAD subregion.

2.3 Target groups

The direct target groups who will benefit from the project include

- pastoralists and other livestock owners in and outside the arid and semi-arid lands because of an improved health status of their animals;
- livestock traders who will have reduced losses on account of non-infected animals;
- exporters of animals and animal products;
- veterinary vaccine production centres which will be enabled to guarantee a regular supply of biological reagents;
- sub-regional veterinary laboratories will benefit from a local supply of diagnostic reagents;
- national veterinary services which will be enabled to respond to peak vaccine supply demands through the establishment of an emergency vaccine banks;
- governments of the member states which will be able to count on a more stable livestock population for food security purposes.
2.4 Institutional arrangements

The project will be implemented by the appropriate institutions in the member states in coordination with IGAD-Secretariat. The veterinary services of IGAD member states will take the responsibility of creating sanitary cordons, development of quarantine centres and establishment of an emergency vaccine bank.

2.5 Role of IGAD

The main roles of IGAD in the project are financial resource and technical assistance mobilization, facilitation, coordination and monitoring and evaluation during implementation. The Secretariat will be responsible for the establishment of an information exchange network in the context of its early warning and food information system (EWFIS). The Secretariat will foster the sub-regional supply status of the biological reagents producing institutions.

3. Objectives

3.1 Development objectives

The project is expected to contribute to the enhancement of food security through productivity increase in the sub-regional livestock industry on account of an improved livestock health status.

3.2 Immediate objectives

The immediate objectives of the project are to undertake measures aimed at a subregional approach to the control of livestock diseases supported by the establishment of community-based animal health worker extension systems in the member states.

4. Results / Outputs

(1) Institutional arrangements for strengthening of sub-regional livestock disease control established
(2) Community-based animal health worker extension systems established
(3) Trans-boundary livestock disease control systems established
(4) Capabilities of industrial biological reagents (vaccine + diagnostic) producing institutions in the subregion strengthened and emergency vaccine bank established
(5) An early warning information exchange network on livestock diseases established
5. Activities

The following activities are required to achieve the results / outputs:

Result No. (1) Institutional arrangements for strengthening of sub-regional livestock disease control established

1.1 IGAD to secure financial and technical assistance commitment of donor(s)
1.2 strengthen coordination arrangement between IGAD Secretariat and national veterinary services
1.3 assess organizational strength and capacity for livestock disease control the sub-region
1.4 prepare project proposals on strengthening of sub-regional livestock disease control
1.5 assess training needs and implement training programmes
1.6 supervise and monitor project implementation

Result No. (2) Community-based animal health worker extension systems established

1.1 assess the merits and short-comings of presently existing community-based animal health worker extension systems in the Sub-region
1.2 expand existing and establish new systems of communication and information exchange between animal health professionals and livestock holders in order to improve community participation in disease control

Result No. (3) Trans-boundary livestock disease control systems established

3.1 establish sanitary cordons between IGAD member states and with those neighbouring them
3.2 establish preventive vaccination posts and quarantine centres at strategic locations in the sub-region;
3.3 carry out regular vaccinations against major infectious diseases under subregional and national programmes;
3.4 develop veterinary service infrastructure in the subregion in order to assure the control of livestock disease dissemination in a sustainable way
Result No. (4)  **Capabilities of industrial biological reagents producing institutions in the subregion strengthened and emergency vaccine bank established**

4.1 assess demand for biological reagents in the Subregion  
4.2 refurbish biological reagents producing establishments  
4.3 establish an emergency vaccine bank for the subregion to be used in case of emergency disease outbreaks  

Result No. (5)  **An early warning information exchange network on livestock diseases established**

5.1 assess requirements for the establishment of a subregional early warning information exchange network on livestock diseases  
5.2 establish links with the proposed subregional integrated information system (RIIS)  

6.  **Inputs**

6.1  **Duration**  
The duration of the project is three years.

6.2  **Manpower requirements**

IGAD-secretariat and the national veterinary services will detail appropriately qualified personnel for project implementation and for training programmes.

Technical assistance will be sought by IGAD-secretariat for requirement assessments and project implementation.

6.3  **Estimated budget**

The estimated budget for different components of the trans-boundary livestock disease control and vaccine production project is as indicated below:

<table>
<thead>
<tr>
<th>Component</th>
<th>Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coordination activities</td>
<td>US$ 650,000</td>
</tr>
<tr>
<td>Creation of quarantine centers</td>
<td>US$ 1,250,000</td>
</tr>
<tr>
<td>Community participation in livestock disease control</td>
<td>US$ 1,200,000</td>
</tr>
<tr>
<td>Strengthening the vaccine production institutions</td>
<td>US$ 2,950,000</td>
</tr>
<tr>
<td>Fees for emergency vaccine storage</td>
<td>US$ 120,000</td>
</tr>
<tr>
<td>Creation of information exchange network</td>
<td>US$ 410,000</td>
</tr>
</tbody>
</table>

**Total**  
US$ 6,580,000
DOCUMENT B.8

IGAD Rome Meeting on Regional Integrated Information System
OFFICIALS MET ON JULY 21-22 IN ROME TO FINALIZE THE IGAD COLLABORATIVE PROJECT DESIGN WITH IGAD SECRETARIAT. ITALIAN MINISTRY FOR COOPERATION AND INTEGRATED INFORMATION SYSTEM PROJECT PROFILE.

1. SUMMARY: SEVERAL DONORS AND IGAD SECRETARIAT PROJECT PROFILE 5.1, REGIONAL INTEGRATED INFORMATION ITS MEMBER STATES. END SUMMARY

2. ITALIAN MINISTRY OF COOPERATION HOSTED A MEETING OF IGAD SECRETARIAT AND DONOR REPRESENTATIVES FROM THE UNITED STATES, AND EU ON SUBJECT PROJECT PROFILE. FRANCE WAS NOT ABLE TO ATTEND, BUT SENT A NOTE INDICATING ITS INTEREST IN PARTICIPATING IN THE DESIGN PROCESS. DONORS

3. DESIGN WORK IS EXPECTED TO COMMENCE IN NOVEMBER 1995. USAID AND ITALIAN MINISTRY OF COOPERATION ARE PREPARING JOINT LETTER, WHICH WILL BE FAXED TO REDSO/E FOR REVIEW AND SIGNATURE. THE ITALIANS ARE EAGER TO BEGIN THE PROCESS, AND DEMONSTRATED TECHNICAL BONA FIDES AND COLLABORATIVE SPIRIT WITH USAID AND IGAD SECRETARIAT COUNTERPARTS - AS THEY DID DURING JUNE DJIBOUTI IGAD-DONOR MEETING.

4. AFTER DISCUSSION OF THE PROJECT PROFILE DOCUMENT AND A BROAD RANGE OF ISSUES FOR IMPLEMENTATION, USAID AND ITALY AGREED IN PRINCIPLE TO CO-FUND THE ACTIVITY AT U.S. DOLLARS 600,000 EACH. ITALY ALSO OFFERED TO STATION A TECHNICAL EXPERT INSIDE THE IGAD SECRETARIAT TO ASSIST WITH IMPLEMENTATION IF THAT WERE DEEMED USEFUL BY IGAD. THE SECOND DAY OF TECHNICAL DISCUSSION FOCUSED ON CONCRETE ISSUES CONCERNING IMPLEMENTATION AND RESPONSIBILITIES OF DONOR AGENCIES AND IGAD. THE ENSUING DISCUSSION LED TO AGREEMENT ON AN OUTLINE OF THE LETTER FROM DONOR AGENCIES TO IGAD, AND A BACKGROUND DOCUMENT PRINCIPLES, RESPONSIBILITIES, AND TIME FRAME FOR IMPLEMENTATION.

5. ANTICIPATED OUTCOMES OF THIS JOINT PARTNERSHIP INCLUDE (1) DESIGN OF A REGIONAL INTEGRATED INFORMATION SYSTEM AND INFORMATION PRODUCTS THAT ARE DEMAND-DRIVEN AND HAVE THE POTENTIAL FOR SUSTAINABILITY; (2) CONSENSUS AMONG MAJOR STAKEHOLDERS IN THE REGION ON THE PROGRAM DESIGN AND STRATEGY FOR IMPLEMENTATION; (3) DEVELOPMENT OF STRUCTURES FOR HARMONIZATION AND COMMON APPROACHES BETWEEN NATIONAL AND REGIONAL LEVEL INFORMATION SYSTEMS AND (4) THE MARSHALING OF INFORMATION RESOURCES AND THE DEVELOPMENT OF A SUITABLE INFORMATION BASE TO BETTER UNDERSTAND AND SOLVE THE PROBLEMS OF IMPROVING FOOD SECURITY AND MANAGING RESOURCES SUSTAINABLY IN THE GHA REGION.

6. IGAD IS EAGER TO BEGIN WORK, BUT GIVEN HEAVY SCHEDULE OF MEETINGS ALL AGREED THAT TECHNICAL EXPERTS SHOULD BE ENGAGED SOMETIME IN EARLY NOVEMBER AFTER GRANT DOCUMENT HAVE BEEN DULY NEGOTIATED AND SIGNED. PER DISCUSSION AID/W WITH GHAIS STEERING COMMITTEE, USAID WILL FUND TH.
FROM FODAG
AID/W FOR CHIEF OF STAFF R MCCALL; A-AA/AFR, C PEASLEY; A-AA/BHR L ROGERS; G, A VANDUSEN; G/AFS J LEWIS AND J OLSSON; A-AA/PPC L GARBER AND B REMISON; NAIROBI REDSO/E FOR BROWN, HONEY AND WATRIN; ADDIS FOR G SMITH; GHA COUNTRIES FOR AID MISSIONS DIRECTORS.

0. 12958: N/A
SS: EAID, KGHA, IGAD, PREL
SUBJECT: GHATI: DONOR/IGAD ROME MEETING ON REGIONAL INTEGRATED INFORMATION SYSTEM PROJECT PROFILE.

DEVELOPMENT OF RIIS THROUGH THE HORN OF AFRICA SUPPORT PROJECT (HASP) THROUGH REDSO/E.

7. WITH REGARD TO OTHER IGAD PROJECT PROFILES DISCUSSED IN DJIBOUTI THIS JUNE, SECRETARIAT INDICATED THAT ONE REMAINING PROFILE, LIVESTOCK, REMAINS TO BE REVISED AND DISTRIBUTED TO DONORS FOR COMMENT. SECRETARIAT EXPECTS DONORS TO BE IN POSITION TO COMMENT ON THESE IGAD PROJECT PROFILES, AND THAT SIMILAR FINAL REVIEW AND FUNDING PROCESS SHOULD BE UNDERTAKEN IN SEPTEMBER. ITALIAN CHAIR MENTIONED THAT THIS HAD BEEN THE DISCUSSION IN ADDIS ABABA AMONG THE DONOR GROUP, AND THAT THE BALL IS IN THE DONOR COURT FOR RESPONSE. THE ITALIANS PROMISED TO COMMUNICATE WHAT THE NEXT STEPS WOULD BE IN THIS PROCESS SOON. REDSO/E AND AID/W SHOULD BE CONSIDERING HOW THE UNITED STATES WILL RESPOND TO NEXT ROUND OF TECHNICAL DISCUSSIONS WITH DONORS AND IGAD.

9. THIS JOINT PARTNERSHIP REPRESENTS A CONCRETE OUTCOME OF THE COLLABORATIVE DONOR MECHANISM PUT INTO PLACE OVER THE PAST TWO YEARS IN SUPPORT OF THE REVITALIZED IGAD. THE PARTNERSHIP IS BASED UPON A CONSULTATIVE PROCESS INTENDED TO STRENGTHEN THE IGAD SECRETARIAT’S CAPACITY AND BUILD UPON THE INDIVIDUAL COMPARATIVE ADVANTAGES IGAD’S DONORS. IT DEMONSTRATES A NEW APPROACH FOR RELATIONS BETWEEN DONOR GOVERNMENTS AND IMPLEMENTING PARTNERS IN THE GHA REGION FOR STRATEGIC COORDINATION.

10. MINIMIZE CONSIDERED FOR BUJUMBURA

UNCLASSIFIED
DOCUMENT B.9

IGAD Project Profile - 6.2 - Trans-boundary Livestock Disease Control
(revision in progress)
1. **Project Title**

Trans-boundary Livestock Disease Control and Vaccine Production

2. **Description / Overview**

2.1 **Background**

Nearly half of the IGAD subregion is covered by arid and semi-arid areas. The severe as well as recurrent droughts that hit the subregion hamper agricultural and livestock production, particularly in arid and semi-arid lands (ASALs) which hold close to 13% of the human and 60% of the livestock population of Africa. The subregion which is quite suitable for livestock production keeps 71 million heads of cattle, 66 million sheep, 61 million goats, 143 million poultry, 8 million equine and 12 million camels. It is worth to note that about 57% of the world and 80% of the African camel population is present in the IGAD subregion.

The enormous livestock resources of the subregion are predominantly under poor health conditions. Diseases remain the main obstacle to increased livestock production and exportation of live animals and their products. The high levels of mortality (over 8% annually in adult stock) and morbidity depress marketable surpluses, causing livestock owners to maximize herd numbers leading to a cycle of overstocking, overgrazing and poor productivity. This, on the other hand, is contributing much to the degradation of the environment.

So far the veterinary services of the IGAD member countries had tried to give priority to disease control through mass vaccination against Rinderpest and Contagious Bovine Pleuropneumonia, but have been unable to achieve the long awaited result.

There are veterinary clinics and regional veterinary laboratories in most countries of the subregion. Their effectiveness remains questionable because of scarcity of trained manpower and the supply of appropriate materials in most of the member states.

Some encouraging starts have been made in the sub-region with the establishment of systems of communication and information exchange between the animal health professionals and livestock owners in order to improve the participation of the pastoralist society in the fight against animal diseases. These are programmes to strengthen primary animal health care at all levels using appropriately designed animal health extension messages (packages). These programmes could have a positive
impact in promoting the participatory role of the pastoralist in the arid and semi-arid lands in animal health control. Nevertheless, lack of coordination between respective departments and shortage of financial inputs is causing problems in the implementation process.

It follows from the above that a multi-dimensional approach is needed to address the problem of low productivity on account of animal diseases in the sub-regional livestock industry so as to alleviate one of the causes of food insecurity. It would have to include to:

- train pastoralists (owners + herders) and other livestock holders as well as livestock traders in basic animal health to promote their participation in the control of animal diseases;
- conduct vaccination campaigns (annual or biannual) at the subregional level;
- create sanitary cordons for highly infectious livestock diseases in the subregion;
- develop quarantine centres at strategic areas in the subregion to control trans-boundary livestock movement;
- increase vaccine production by strengthening the infrastructures of production institutions in the subregion;
- develop an information exchange network (on livestock diseases) for the subregion;
- set up emergency vaccine banks for use in the subregion in case of emergency disease outbreaks.

2.2 Justification

Currently, livestock infectious diseases such as Rinderpest, vector borne diseases (East-Coast fever, trypanosomiasis etc.), Contagious Bovine Pleuropneumonia, Contagious Caprine pleuropneumonia, Lumpy skin disease, Foot and Mouth disease, Newcastle disease, Anthrax, Pasteurellosis, Blackleg and others are endemically present in the subregion.

It is known, that the uncontrolled trans-boundary movement of livestock which is a common practice in the IGAD subregion is favouring the spread of animal diseases not only within the member countries but out of the African continent. A harmonized subregional programme that includes disease reporting, quarantine measures (as for foot and mouth disease in Kenya) and vaccination could cover those trans-boundary diseases which are enzootic and highly contagious, transmissible with the potential for very serious and rapid spread, irrespective of national borders constrain food security, adversely affect public health and impede international trade in livestock and animal products.
In the subregion, there is already a relatively strong vaccine production capacity. The National Veterinary Institute (NVI), Ethiopia, is one of the biggest and most efficient vaccine production establishment in sub-Saharan Africa. Currently it produces not less than 11 types of different vaccines which are supplied to all countries of the subregion. Moreover, there are two other vaccine production institutions in the subregion. These are the Kenya Veterinary Vaccine Production Institute (KEVEVAPI) and the Sudan (Soba) Vaccine Production Centre.

The subregion could be self-sufficient in veterinary vaccines - one important tool for the control of infectious animal diseases - provided the existing infrastructure is strengthened for industrial vaccine production.

Though it is known that diseases could be controlled and subsequently eradicated through routine vaccination - annual or bi-annual - vaccine supply is found currently to be far below the requirements of the subregion. New range of vaccines (Peste des petits ruminants, Contagious Caprine Pleuropneumonia, Rabies, Thermostable Newcastle disease and other Avian vaccines) must be developed and produced. Hence, there is a strong need to support the already existing recognized vaccine producing institutions.

In these three institutions, there is the possibility of producing certain diagnostic reagents that are currently imported. The availability of these biologicals (vaccines and diagnostic reagents) will strengthen research and diagnostic works in veterinary clinics and laboratories in the IGAD subregion.

2.3 Target groups

The direct target groups who will benefit from the project include

- pastoralists and other livestock owners in and outside the arid and semi-arid lands because of an improved health status of their animals;
- livestock traders who will have reduced losses on account of non-infected animals;
- exporters of animals and animal products;
- veterinary vaccine production centres which will be enabled to guarantee a regular supply of biological reagents;
- sub-regional veterinary laboratories will benefit from a local supply of diagnostic reagents;
- national veterinary services which will be enabled to respond to peak vaccine supply demands through the establishment of an emergency vaccine banks;
- governments of the member states which will be able to count on a more stable livestock population for food security purposes
2.4 Institutional arrangements

The project will be implemented by the appropriate institutions in the member states in coordination with IGAD-Secretariat. The veterinary services of IGAD member states will take the responsibility of creating sanitary cordons, development of quarantine centres and establishment of an emergency vaccine bank.

2.5 Role of IGAD

The main roles of IGAD in the project are financial resource and technical assistance mobilization, facilitation, coordination and monitoring and evaluation during implementation. The Secretariat will be responsible for the establishment of an information exchange network in the context of its early warning and food information system (EWFIS). The Secretariat will foster the sub-regional supply status of the biological reagents producing institutions.

3. Objectives

3.1 Development objectives

The project is expected to contribute to the enhancement of food security through productivity increase in the sub-regional livestock industry on account of an improved livestock health status.

3.2 Immediate objectives

The immediate objectives of the project are to undertake measures aimed at a subregional approach to the control of livestock diseases supported by the establishment of community-based animal health worker extension systems in the member states.

4. Results / Outputs

(1) Institutional arrangements for strengthening of sub-regional livestock disease control established
(2) Community-based animal health worker extension systems established
(3) Trans-boundary livestock disease control systems established
(4) Capabilities of industrial biological reagents (vaccine + diagnostic) producing institutions in the subregion strengthened and emergency vaccine bank established
(5) An early warning information exchange network on livestock diseases established
5. Activities

The following activities are required to achieve the results / outputs:

Result No. (1) Institutional arrangements for strengthening of sub-regional livestock disease control established

1.1 IGAD to secure financial and technical assistance commitment of donor(s)
1.2 strengthen coordination arrangement between IGAD Secretariat and national veterinary services
1.3 assess organizational strength and capacity for livestock disease control the sub-region
1.4 prepare project proposals on strengthening of sub-regional livestock disease control
1.5 assess training needs and implement training programmes
1.6 supervise and monitor project implementation

Result No. (2) Community-based animal health worker extension systems established

1.1 assess the merits and short-comings of presenty existing community-based animal health worker extension systems in the Sub-region
1.2 expand existing and establish new systems of communication and information exchange between animal health professionals and livestock holders in order to improve community participation in disease control

Result No. (3) Trans-boundary livestock disease control systems established

3.1 establish sanitary cordons between IGAD member states and with those neighbouring them
3.2 establish preventive vaccination posts and quarantine centres at strategic locations in the sub-region;
3.3 carry out regular vaccinations against major infectious diseases under subregional and national programmes;
3.4 develop veterinary service infrastructure in the subregion in order to assure the control of livestock disease dissemination in a sustainable way
Result No. (4) Capabilities of industrial biological reagents producing institutions in the subregion strengthened and emergency vaccine bank established

4.1 assess demand for biological reagents in the Subregion
4.2 refurbish biological reagents producing establishments
4.3 establish an emergency vaccine bank for the subregion to be used in case of emergency disease outbreaks

Result No. (5) An early warning information exchange network on livestock diseases established

5.1 assess requirements for the establishment of a subregional early warning information exchange network on livestock diseases
5.2 establish links with the proposed subregional integrated information system (RIIS)

6. Inputs

6.1 Duration
The duration of the project is three years.

6.2 Manpower requirements

IGAD-secretariat and the national veterinary services will detail appropriately qualified personnel for project implementation and for training programmes.

Technical assistance will be sought by IGAD-secretariat for requirement assessments and project implementation.

6.3 Estimated budget

The estimated budget for different components of the trans-boundary livestock disease control and vaccine production project is as indicated below:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Budget (US$)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coordination activities</td>
<td>650,000</td>
</tr>
<tr>
<td>Creation of quarantine centers</td>
<td>1,250,000</td>
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<tr>
<td>Community participation in livestock disease control</td>
<td>1,200,000</td>
</tr>
<tr>
<td>Strengthening the vaccine production institutions</td>
<td>2,950,000</td>
</tr>
<tr>
<td>Fees for emergency vaccine storage</td>
<td>120,000</td>
</tr>
<tr>
<td>Creation of information exchange network</td>
<td>410,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>6,580,000</strong></td>
</tr>
</tbody>
</table>
DOCUMENT B.10

IGAD Project Profile - 9.1 - Conflict Prevention, Resolution and Management
(revision in progress)
1. Project Title

Capacity Building in the Areas of Conflict Prevention, Resolution and Management

2. Description / Overview

2.1 Background

IGAD's Second Special Summit, held in Nairobi on March 21st, 1996, marks a watershed in the organization's short life. It crowned a year-long discussion by the Ministerial Council and committees of experts to revitalize the organization by taking far-reaching decisions to amend the organization's charter. The amendments brought about three significant changes: they enlarged the organization's original mandate to include the promotion of all-encompassing economic cooperation progressively leading to a regional economic community; they gave the organization a new mandate for conflict prevention, management, and resolution; they changed the organization's leadership organs' consensus decision-making procedure by providing for decisions to be made by a two-thirds majority of a quorum when consensus cannot reached.

The will IGAD leaders have thus shown to revitalize it and the thorough and long consultations they undertook to that end demonstrate how much they value its usefulness to the common challenges their countries face as they cross the threshold of the 21st century. Their decisions also reflect a belief that the sub-region's economic and social problems-environmental degradation, food insecurity, massive dislocation and movement of people adversely interact across political frontiers and that they can only be solved by concerted common actions designed to bring about the economic development of the sub-region as a whole. They also reflect a lesson they have learnt from the sub-region's history of the last two decades: That lesson is that the sub-region's economic development ultimately depends on the prevalence of peace and security, and that the absence of those conditions severely constrains or nullifies what practical efforts are being made to tackle its basic environmental, economic, social, and humanitarian problems.

With the amendment decisions in place, IGAD's revitalization has reached the implementation stage. To that end, thorough consultations continue to be undertaken, especially with the international donor community, whose past cooperation has been appreciated and whose commitment to support the revitalization decisions has already been found by the regional governments to be encouraging. In that spirit the technical meeting held last June in Addis Ababa between IGAD and its partners in development has decided to jointly review the project profiles developed by the IGAD Secretariat in
the organization's major areas of focus and priority. In response to this decision, a profile designed to enhance the Secretariat's and sub-regional capacity for conflict prevention, management and resolution has been selected as one of the priority projects of IGAD.

2.2 Justification

With its new conflict-prevention and peace-promotion mandate IGAD is not taking upon itself a new challenge. Ever since its establishment, the sub-region leaders have profited from their regular meetings to hold informal, collective consultations for solving sub-regional political problems. And those occasions have also afforded protagonists locked in political disputes or in serious fighting to hold direct talks to solve their problems.

In recent years, however, IGAD leaders have undertaken concerted and sustained efforts to find negotiated settlements for the civil war in Sudan and for the factional fighting in Somalia. And to those ends, in addition to their official mediation efforts, they have also involved traditional community leaders and a regional NGO. The new conflict prevention resolution mandate they gave IGAD is thus a further development of this experience motivated by the desire to make it more efficacious by institutionalizing it.

The transformation of what has so far been IGAD leaders' ad hoc peace-making initiatives into an institutionalized process requires advance planning and adequate preparations. First, the Secretariat's and the sub-region's capacity for conflict prevention, management and resolution should be enhanced. This would involve setting up at the outset within the Secretariat an adequately staffed unit with a capacity for developing creative solutions to political problems as well as for managing conflict prevention and peace-making initiatives. It also involves raising the capacity of regional governments, community leaders, civic organizations and NGO's to contribute ideas and to participate effectively in IGAD conflict prevention and peace-making activities. Second, while the challenge of capacity building is being addressed, the IGAD secretariat, in cooperation with the competent authorities of the sub-regional governments, should encourage consultations regarding principles to the applied to and processes to be employed for initiating a variety of measures for preventing or containing conflicts, or for managing and resolving them, as well for reinforcing conflict settlements.

In the past IGAD leaders' peace-making initiatives have not only been as noted, ad hoc and informal but they have also mainly been reactive to events. Initially, such a process may have had advantages, for one, it has helped the regional leaders to cultivate the habit of consulting one another on political problems affecting the sub-region or Africa as a whole. For another, it has created a measure of political
compulsion on regional protagonists to engage in negotiations to solve serious, mutual political problems. On the other hand, however, such ad hoc reactive improvisations have had their limitations. Lacking a coordinating machinery within the Secretariat and with no prior agreements on the processes of consultations or on decision-making procedures on collective measures to be taken to prevent conflicts, or to contain or to resolve them, the political pressure they sought to bring to bear on protagonists to find a negotiated settlement has been less effective than they might have been had those initiatives been taken within an agreed institutionalized framework.

Ad hoc improvisation has not also been the most effective way of cooperating with the OAU or the United Nations in pursuit of the goals of sub-regional maintenance of peace and security. By virtue of their memberships in those organizations IGAD member states have legal and political obligations to cooperate with them. However, without an institutionalized consultations and decision-making process on IGAD’s part, cooperation with those organizations and in particular the political and material support they can give to IGAD’s peace-maintenance efforts would be less effective than they might otherwise be. Thus, IGAD’s formal assumption of sub-regional conflict prevention, management and resolution responsibility requires extensive consultation among the sub-regional leaders to agree on processes and decision-making procedures needed to give practical effect to this high responsibility.

The IGAD Secretariat believes that the twin-challenge of capacity building and institutionalization can best be carried out by carefully planned successive programs of action, each formulated in terms of mutually supportive projects addressing specific objectives. Hence in the initial program, priority is given to capacity building because, without developing a meaningful level of sub-regional capacity, IGAD will not be sufficiently prepared to meet the operational challenges of conflict prevention, management and resolution which it might be called upon to assume any time.

2.3 Target groups

The main target groups of the project include IGAD member states and other relevant regional and international organisations such as OAU, UN systems, etc.

2.4 Institutional arrangements

The IGAD Division of Political and Humanitarian Affairs at the Secretariat will be responsible for the overall coordination and implementation of the project. A Sub-regional Technical Committee will be set-up to advise the Division on this matter. The Technical Committee will be composed of representatives of the National Focal Points from the Ministries of Foreign Affairs of IGAD member states. The Committee will be chaired by the Director of the Division of Political and Humanitarian Affairs of IGAD
Secretariat. The Early Warning and Research components of the project will be linked to the Early Warning System of the IGAD Integrated Information System (RIIS).

2.5 Role of IGAD

IGAD will mobilize all available sub-regional and international resources for financial and technical assistance for project implementation.

3. Objectives

3.1 Development objective

The project is expected to contribute to the endeavour of IGAD member states to ensure peace and security for sustainable economic, social, cultural, political and environmental development of the sub-region.

3.2 Immediate objectives

The immediate objectives of the project include to:

⇒ strengthen the IGAD Conflict Prevention, Resolution and Management Unit;
⇒ enhance capacity of Member States on conflict prevention, management and resolution;
⇒ undertake research on IGAD's negotiation and decision-making processes with the view to support the organization's formal conflict-prevention and peace-maintenance mandate;
⇒ develop within the IGAD Secretariat an effective Early Warning System as a receiver, processor and deliverer of data to IGAD decision-makers.

4. Results / Outputs

The following results / outputs are expected from the project:

(1) Relevant and selected staff from IGAD Secretariat and member states in conflict prevention, resolution and management trained
(2) Early warning capacity of IGAD on conflict prevention, resolution and management developed
(3) Research capacity of IGAD on conflict prevention, resolution and management established
5. Activities

The following major activities are foreseen to achieve the above results:

Result No. (1) Selected staff from IGAD Secretariat and member states trained in conflict prevention, resolution and management

1.1 familiarize staff of the IGAD Unit with concepts of conflict prevention, management and resolution
1.2 provide training to selected persons from IGAD Secretariat and member states on negotiation and conflict-resolution techniques

Result No. (2) Early warning capacity of IGAD on conflict prevention, resolution and management developed

2.1 develop a sub-regional system for collection and qualitative analysis of early warning data.
2.2 develop a system of rapid delivery of analytical reports to IGAD decision makers

Result No. (3) Research capacity of IGAD on conflict prevention, resolution and management established

3.1 analyze successes and failures of previous IGAD efforts and efforts of others to prevent, resolve and manage conflicts in the sub-region
3.2 propose needed institutional re-adaptation and appropriate links with the UN and OAU peace and security maintenance regimes
3.3 monitor and evaluate implementation of IGAD political organs' decisions

6. Inputs

6.1 Duration

The project duration is estimated to be 3 years.

6.2 Manpower

The project requires one project coordinator stationed at IGAD Secretariat. Every member state will identify a National Contact Person for the project. MS must also commit themselves to provide up-to-date and correct data / information necessary for the execution of the project.
The project will use national and international consultants for specific and specialized tasks, e.g., for Early Warning system development and for research and training.

### 6.3 Estimated budget

The project is estimated to cost about **US$ 3.5 million**, which breakdown is shown below:

<table>
<thead>
<tr>
<th>Priority Area</th>
<th>Programme 9.1</th>
<th>Project Profile</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training</td>
<td>US $ 500,000</td>
<td></td>
</tr>
<tr>
<td>Early Warning System</td>
<td>US $ 1,500,000</td>
<td></td>
</tr>
<tr>
<td>Research</td>
<td>US $ 1,500,000</td>
<td></td>
</tr>
</tbody>
</table>
DOCUMENT B.11

IGAD Project Profile - 10.1 - Alleviation and Mitigation of Humanitarian Crises
(revision in progress)
1. Project Title:

Alleviation and Mitigation of Humanitarian Crises in the IGAD Sub-Region

2. Description / Overview

2.1 Background

The historical background and conceptual framework for enhanced cooperation among the IGAD Member States in the area of humanitarian affairs were clearly articulated in the Declaration Framework of Cooperation and Action Programme of the 1992 Horn of Africa Summit on Humanitarian issues. Following a series of natural and man-made disasters, and shortly after significant changes in a number of sub-regional governments, political leaders met in Addis Ababa recognizing the deep-seated linkages between humanitarian problems and other urgent challenges facing the sub-region as captured by the following quote:

"We have come together because we believe that the humanitarian problems facing our peoples, which have accumulated and worsened over the years, require our full and immediate attention. We also believe that because of their regional dimensions, they call for concerted regional solutions. Finally, we recognize that unless we address them on an urgent basis, we cannot hope to make progress in solving other equally critical problems which also require collective action. Among such challenges are the pressing tasks of rehabilitating and reconstructing our war and drought battered economies, raising our agricultural outputs to a level that would promote regional food security, and co-operation in the utilization of our water and energy resources as well as in the protection of our environment."

Since 1992 a great deal has been achieved in the IGAD sub-region to address the above situation. More than one million refugees who have returned home have been at least partially reintegrated into their countries of origin. Significant steps have been taken towards increased food security and sustainable management of natural resources and the environment. In April 1995, the IGADD Assembly of Heads of State and Government decided to revitalize IGADD and expand cooperation among Member States by further expanding its mandate to include inter alia humanitarian affairs. In March 1996, the amended Agreement establishing the Intergovernmental Authority on Development (IGAD) was signed to that effect.

The latest step in this process of regional integration is the prioritization of programmes and projects in these expanded areas of cooperation, of which the project
on the alleviation and mitigation of humanitarian crises is an integral part. Through this project, IGAD Member States will re-commit themselves to the principles and norms agreed at the 1992 Humanitarian Summit and, even more importantly, intensify their cooperation to operationalize them. This is important at present as neither the Member States nor IGAD has the contingency or capacity to manage natural and man-made disasters that periodically affect the sub-region. It is anticipated that this project will enhance the capacity of the Member States and IGAD to alleviate and mitigate humanitarian crises caused by civil unrest and conflicts, droughts and famines, floods, epidemics, earthquakes, toxic hazards, oil spillage, etc.

To ensure additionality and complementarity, this project will not duplicate the current activities of governments, non-governmental organisations nor United Nations and other multilateral agencies, but will rather fill gaps in current programmes. It will encourage and facilitate systematic inter-agency cooperation throughout the sub-region through formal as well as informal information sharing and regular fora.

2.2 Justification

Refugees and displaced people forming large human concentrations in the IGAD countries represent a pressing humanitarian challenge, where a sound environmental conscious approach to their reintegration, care and education represents a valuable long-term investment, also to prevent recurrence of mismanagement of land, which is a component of the problem of land degradation eventually leading to desertification.

Due to civil unrest and internal political conflicts, and the occurrence of famines whether induced by nature or human mismanagement, all IGAD countries have from time to time produced or received refugees from neighbouring countries, many coming from other IGAD member states. At any one time more than 2 million people have been displaced, and forced into refugee existence in neighbouring countries. Often they enter into or are being located in marginal areas and sometimes interfering with the existing production systems and infrastructure, sometimes causing resentment among local inhabitants. They experience similar resentments when they return home as they have no jobs, land etc and as they overload the infrastructure and ecosystem in as much as they did in the recipient countries.

Large assemblies of people living for prolonged periods in marginal and ecologically fragile areas, whether supported from the outside or not, will inevitably degrade the ecosystem, in addition to social conflicts that may arise as a result of competition for resources (food, fuel, water). Therefore, there is a need to address the issue of refugees and displaced persons if the concerted efforts of the sub-region for a sustainable environment and economic development is to be achieved.
IGAD countries, in spite of their domestic problems, have gained international respect for their willingness to accept refugees and mitigate natural disasters, and have received considerable international support towards their efforts. Much of the support has, however, been towards basic needs such as food, water, health, and little attention is paid to the root cause of displacement and to the environmental aspects that large human concentrations constitute. An urgent action is therefore needed to shift the limited resources from relatively unproductive emergency relief and care and maintenance interventions to a much more productive rehabilitation in post-conflict situations, leading directly to longer-term development. By moving from relief to sustainable development, the project aims at minimizing the recurrent displacement of populations and the surge of consequent humanitarian crises towards a situation where resources and energies could be more effectively invested in improving the standard of living of its peoples.

In general, different disastrous events usually affect different parts and areas of this sub-region depending on the locality. It is not uncommon to experience floods in the lowlands of Ethiopia and Sudan while these and other low land areas of the sub-region suffer from droughts. In addition to the occurrence of disasters induced by human mismanagement (wars and conflicts, toxic hazards, oil spillage, etc.), the sub-region is also often affected by other natural disasters such as epidemics, fires, earthquakes and other seismic activities. In fact, as the sub-region is traversed by the East African Rift Valley, frequent seismological activities/tremors are felt throughout the sub-region. It is therefore imperative to have a permanent disaster mitigation and management capability at IGAD Secretariat to manage and coordinate these disasters and their impacts in the sub-region.

2.3 Target Groups

The primary beneficiaries of the project will be former refugees and internally displaced persons and demobilized soldiers who have returned to either their areas of origin or new settlements in their countries of origin. In addition, IGAD and the IGAD Member States which are always confronted with spontaneous surge of refugees and displaced persons and can not do proper planning will also benefit from the project. Furthermore, donors, the international community and the UN agencies which were concerned with the refugee and displaced persons crises in the sub-region will benefit from efficient coordination both at national and sub-regional level, thus reducing donor fatigue. Given IGAD's concern with the sub-regional level, this project will give more focus on trans-national populations which have been subject to recurrent displacement in original border areas which often share the same ecological and socio-economic characteristics. The host communities into which these returnees reintegrate will also benefit from the rehabilitation activities targeted at these fragile ecosystems.
2.4 Institutional arrangements

The project will be managed by the IGAD Division of Political and Humanitarian Affairs with the assistance of a Joint Support Unit (JSU) including staff of UN agencies based in Djibouti. Some UN agencies and partners in development may also second expert staff to the JSU.

Each IGAD Member State will designate a focal point to act as National Project Coordinator (NPC). This will normally be a staff member from the planning ministry, refugee/returnee affairs commission, IGAD focal ministry or another government agency, depending upon the institutional arrangements in each Member State. The NPC from each Member State, together with experts from the UN and possibly other partners, will constitute the Drafting Group responsible for designing the sub-regional Plan of Action through a structured series of workshops.

The NPC will also chair a country-level Working Group including representatives of relevant national and regional governmental organizations, UN agencies, bilateral and multilateral aid agencies, and NGOs directly involved in the returnee-impacted areas proposed for an IGAD sub-project. Once a sub-project is agreed for inclusion in the sub-regional Plan of Action, the NPC will continue to represent the Member State in the harmonization of his/her country-level interventions with those of his/her IGAD colleague(s) into consolidated sub-regional, area-based plans.

At a latter stage, depending on the progress of particular sub-projects and the evolution of this sub-regional approach, trans-national, area-based development "authorities" may be established to ensure a smooth transition from these medium-term rehabilitation interventions to longer-term sustainable development projects.

3. Objectives

3.1 Development objective

The development objective of the project is the reintegration of the refugees and displaced persons into their respective societies so that the concerted efforts of the Sub-region to promote a sustainable environment and economic development can be enhanced.

3.2 Immediate objective

The immediate objective of this project is to enhance IGAD's capacity to alleviate and mitigate humanitarian crises in the Sub-region, in particular to:
4. Results / Outputs

The following results are expected from this project:

(1) Sustainable reintegration of refugees in the IGAD sub-region undertaken;

(2) Capacity building in disaster management improved.

5. Activities

The following major activities are required to achieve the two results / outputs:

Result No. (1) Sustainable reintegration of refugees in the IGAD sub-region undertaken;

1.1 create Joint Support Unit to facilitate coordination and guidance to the project;
1.2 draft a Sub-Regional Plan of Action for the repatriation and reintegration of overstayed refugees and displaced populations in the Sub-region;
1.3 undertake policy research to support the process by a sound policy basis
1.4 identify sub-projects to ensure a balanced sub-regional intervention to implement the sub-regional Plan of Action;
1.5 provide training to reach a common understanding among the IGAD Member States on agreed policies and international standards and practices;
1.6 establish networking to share information among all actors and inform the general public
Result No. (2) Capacity building in disaster management improved;

2.1 initiate a programme on Regional Emergency Fund to improve the speed and flexibility of response to crises, disasters and calamities;
2.2 coordinate emergency stockpiles of non-food items to improve the capacity and cost-effectiveness of disaster management;
2.3 enhance sub-regional production of relief supplies to ensure cost-effectiveness and self-reliance;
2.4 provide training to relevant sections/institutions and persons at IGAD Secretariat and in the Member States to strengthen disaster management capacities;
2.5 establish emergency communication network to strengthen the IGAD Early Warning System with a dedicated sub-regional communication network as a back-up system for major emergencies;

6. Inputs

The exact sub-regional and national interventions will be identified after the sub-regional Plan of Action is developed and the necessary sub-projects are selected.

6.1 Manpower

The project will be coordinated at the IGAD Secretariat level by the Chief of the Disaster Management Section, who will be the Chairman of the Joint support Unit. Other members of the JSU will be staff of UN agencies based in Djibouti (UNHCR, UNDP, UNICEF, etc) funded from their own budgets. The Member States will provide the necessary manpower required at national level for the interventions (sub-projects) to be undertaken in their respective countries.

6.2 Duration

Duration of the project is estimated to be 4 years, although capacity building in Disaster Management will continue beyond the project period.
6.3 **Estimated budget**

The budget breakdown according to results and activities is given below:

**Result No. (1) Sustainable reintegration of refugees undertaken**

<table>
<thead>
<tr>
<th>Item</th>
<th>Cost (US$)</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) sub-regional Action Plan</td>
<td>50,000</td>
</tr>
<tr>
<td>b) cost of identified intervention sub-projects</td>
<td>6,000,000</td>
</tr>
<tr>
<td>c) running cost for Support Unit</td>
<td>400,000</td>
</tr>
<tr>
<td>d) cost for policy research</td>
<td>50,000</td>
</tr>
<tr>
<td>e) training cost</td>
<td>400,000</td>
</tr>
<tr>
<td>f) networking</td>
<td>100,000</td>
</tr>
<tr>
<td><strong>Sub-total</strong></td>
<td><strong>7,000,000</strong></td>
</tr>
</tbody>
</table>

**Result No. (2) Capacity Building in Disaster Management improved**

<table>
<thead>
<tr>
<th>Item</th>
<th>Cost (US$)</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Regional Emergency Fund</td>
<td>300,000</td>
</tr>
<tr>
<td>b) emergency stockpiles</td>
<td>2,000,000</td>
</tr>
<tr>
<td>c) production of relief supplies</td>
<td>2,000,000</td>
</tr>
<tr>
<td>d) training</td>
<td>400,000</td>
</tr>
<tr>
<td>e) network</td>
<td>300,000</td>
</tr>
<tr>
<td><strong>Grand total</strong></td>
<td><strong>12,000,000</strong></td>
</tr>
</tbody>
</table>

Based on the above breakdown, the total budget of the project is estimated at **US$12 million**.
DOCUMENT C.1

Refinement of Implementation Direction for the HASP
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               PPEV03 PVC TDA

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AMEMBASSY ADDIS ABABA IMMEDIATE
AMEMBASSY KIGALI IMMEDIATE
AMEMBASSY KAMPALA IMMEDIATE

UNCLAS SECTION 01 OF 08 NAIROBI 009672

AID ADM

FOR: AID/W: ADMIN, B ATWOOD; CHIEF OF STAFF R MCCALL;
A-AA/AFR, C PEASLEY; AA/G SALLY SHELTON; A-AA BHR
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L ROGERS; A-AA PPC, L GARBER; GHA COUNTRIES FOR AID
MISSION DIRECTORS; ADDIS FOR G SMITH.
SUMMARY:


BACKGROUND:

2. IN SEPTEMBER 1995, USAID AND IGAD SIGNED A PROJECT AGREEMENT FOR THE HASP, A FIVE-YEAR PROJECT DESIGNED AS A FLEXIBLE VEHICLE AIMED AT "ASSISTING THE PEOPLE OF THE GREATER HORN OF AFRICA (GHA) REGION TO ACHIEVE FOOD SECURITY AND TO ESTABLISH A SYSTEM FOR CONFLICT EARLY WARNING, PREVENTION, AND RESPONSE." IGAD WAS DESIGNATED AS THE PRIMARY IMPLEMENTING PARTNER DUE TO ITS UNIQUE ROLE AS A REGIONAL AFRICAN-LED, INTERGOVERNMENTAL DEVELOPMENT BODY.

3. IGAD HAS SINCE GONE THROUGH A MAJOR REVITALIZATION PROCESS INVOLVING A PRIORITIZATION OF DEVELOPMENT ISSUES IN SEVEN COUNTRIES WITHIN THE GREATER HORN OF AFRICA. THIS PROCESS HAS RESULTED IN THE DEVELOPMENT OF A REGIONAL STRATEGY, 17 SPECIFIC REGIONAL PROJECTS AND A FORUM FOR COLLABORATION WITH KEY DONORS. IN ADDITION, USAID'S BELT-TIGHTENING PROCESS DELAYED THE HIRING OF REDSO/ESA/GHAI STAFF, AND THE HASP PROJECT WAS UNABLE TO BECOME FULLY OPERATIONAL IN THE INTERIM. WITH THESE INSTITUTIONAL ISSUES RESOLVED, IT IS NOW POSSIBLE FOR THE HASP TO EXPEDITIOUSLY MOVE FORWARD TO FULFILL ITS ORIGINAL OBJECTIVES. THESE OBJECTIVES ARE TO:
- A) ADDRESS THE ROOT CAUSES OF FOOD INSECURITY AND CONFLICT;

- B) ASSURE THAT ACTIVITIES SUPPORTED BY THE PROJECT RESPOND TO AFRICAN-LED INITIATIVES;

- C) PROMOTE THE COLLABORATION OF GOVERNMENTS, DONORS AND NON-GOVERNMENTAL ORGANIZATIONS IN THE GHA REGION THROUGH FORMAL MECHANISMS;

- D) FACILITATE A PROCESS FOR THINKING AND ACTING DIFFERENTLY IN THE DEVELOPMENT ASSISTANCE FIELD SO AS TO HAVE GREATER IMPACT WITH LIMITED DEVELOPMENT ASSISTANCE RESOURCES; AND

- E) PROMOTE THE CONCEPT OF APPROACHING DEVELOPMENT ISSUES IN THE GHA FROM A REGIONAL PERSPECTIVE, AS OPPOSED TO A COUNTRY-SPECIFIC PERSPECTIVE.

4. TO FULFILL THE GOAL AND OBJECTIVES OF THE HASP, IT WAS ORIGINALLY PLANNED THAT A GRANTMAKING PROGRAM WOULD BEestablished to provide "SEED MONEY" FOR INNOVATIVE, CATALYTIC ACTIVITIES IMPLEMENTED BY A WIDE-RANGE OF INSTITUTIONS UNDERTAKING REGIONAL ACTIVITIES IN THE GHA. A PROCESS FOR SOLICITING, REVIEWING, AWARDING, AND MONITORING GRANTS WAS TO BE ESTABLISHED JOINTLY BY IGAD AND USAID.

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5. HOWEVER, NOW THAT IGAD HAS GONE THROUGH AN ANALYSIS AND PRIORITIZATION PROCESS LEADING TO A REGIONAL STRATEGY, OPERATIONAL PLAN, AND 17 SPECIFIC REGIONAL PROJECT PROFILES (A PROCESS ACTIVELY PROMOTED AND SUPPORTED BY THE USG AND SHOWING PROMISING SIGNS OF ENHANCING COLLABORATION BETWEEN GOVERNMENTS AND DONORS IN THE REGION), IT IS FELT THAT THE TYPES OF ASSISTANCE UNDER THE HASP NEED TO BE REFINED TO BE RESPONSIVE TO THE POSITIVE DEVELOPMENTS WITHIN IGAD AND THE REGION.

7.4 MILLION HAS BEEN OBLIGATED AND DOLLARS 1,547,374 HAS BEEN EARMARKED FOR PROJECT ACTIVITIES. FUNDS SPENT TO DATE, TOTALLING DOLLARS 425,039, HAVE BEEN USED TO: 1) SUPPORT IGAD IN ITS REVITALIZATION AND REGIONAL PRIORITY SETTING PROCESS; 2) PROVIDE INSTITUTIONAL CAPACITY STRENGTHENING SUPPORT FOR THE IGAD SECRETARIAT; 3) SPONSOR TWO CONFERENCES CONVENED BY THE EASTERN AND SOUTHERN AFRICA BUSINESS ORGANIZATION (ESABO) WHICH FOCUSED INTER ALIA, ON THE PRIVATE SECTOR'S ROLE IN FOOD SECURITY; 4) PROVIDE TECHNICAL SUPPORT TO IGAD IN DEVELOPING ITS PORTION OF THE AFRICA FOOD SECURITY PLATFORM, WHICH WAS SUBSEQUENTLY PRESENTED AT THE 1996 WORLD FOOD SUMMIT IN ROME; 5) COVER COSTS ASSOCIATED WITH REDSO/ESA'S MANAGEMENT OF THE HASP; 6) AND SUPPORT OTHER PRIORITY GHAI ACTIONS AND STAFF REQUIREMENTS. (IT IS TO BE NOTED THAT THE EARMARKING AND ALLOCATION OF THIS LEVEL OF HASP FUNDING IS NOT RESTRICTED BY THE MORATORIUM THAT WAS PLACED ON OTHER GHAI FUNDS DURING THE PERIOD IN WHICH THE GHAI STRATEGY IS BEING DEVELOPED, AS DECIDED AT THE SEPTEMBER 1996 GHAI BRAINSTORMING SESSION.)

SUMMARY OF THE HASP COMPONENTS:

7. AFTER EXTENSIVE CONSULTATIONS AND DISCUSSION BETWEEN USAID AND IGAD, AND WITHIN REDSO/ESA'S SO3 TEAM, IT IS BELIEVED THAT THE DEVELOPMENT OBJECTIVES OF THE HASP WOULD BEST BE FULFILLED IF HASP FUNDING WERE USED FOR TWO FORMS OF MAJOR SUPPORT IN THE REGION, AS WELL AS, A SET OF INTERIM ACTIVITIES FOR FY97:

A). CORE COMPONENTS:

-- I). CATALYTIC SUPPORT FOR SELECT ACTIVITIES WITHIN IGAD'S OPERATIONAL PLAN AND UP TO SEVEN OF IGAD'S PROJECT PROFILES THAT RELATE SPECIFICALLY TO FOOD SECURITY AND CONFLICT PREVENTION, MITIGATION AND RESPONSE (CPMR).

-- II). THE ESTABLISHMENT OF A GRANTMAKING/INSTITUTIONAL STRENGTHENING (IS) PROGRAM FOR OTHER AFRICAN INSTITUTIONS UNDERTAKING INNOVATIVE AND FACILITATIVE REGIONAL ACTIVITIES IN THE AREAS OF FOOD SECURITY AND CONFLICT PREVENTION, MITIGATION AND
B. INTERIM COMPONENT:

IN ADDITION, SINCE THE HASP WAS CONCEIVED TO BE A FLEXIBLE AND RESPONSIVE VEHICLE FOR SUPPORT OF INNOVATIVE ACTIVITIES IN THE REGION, IGAD AND THE S03 TEAM HAVE AGREED THAT THE HASP WILL PROVIDE LIMITED SUPPORT DURING FISCAL YEAR 1997 FOR A SELECT FEW ACTIVITIES EITHER INITIATED BY REDSO/ESA OR ENDORSED/INITIATED BY IGAD THAT MEET THE HASP FUNDING GUIDELINES. THIS TYPE OF LIMITED SUPPORT DURING FISCAL YEAR 1997 IS MEANT TO SERVE AS AN INTERIM STEP TOWARD OPERATIONALIZING THE HASP WHILE THE MECHANISMS FOR THE ABOVE TWO LONGER-TERM COMPONENTS OF MAJOR SUPPORT ARE BEING DEVELOPED.

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8. It is planned that the support to be provided under each of these three components of the HASP be limited to activities in support of African institutions since a major defining element of all components of the HASP is that activities are responsive to African-led initiatives; strengthen/utilize African capacity; and are managed/implemented by African organizations.

Detailed description of the HASP components:

A. Catalytic support for IGAD:

9. The catalytic support to IGAD consists of three types of assistance:

--- I) Institutional capacity strengthening of the IGAD Secretariat,

--- II) Start-up support for up to seven of IGAD's project profiles; and

--- III

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ACTIVITIES.

10. HASP SUPPORT FOR INSTITUTIONAL CAPACITY STRENGTHENING OF THE IGAD SECRETARIAT REFLECTS A NEED IDENTIFIED BY IGAD AND INCLUDED AS A SEPARATE OUTPUT IN IGAD'S RECENTLY DEVELOPED 5-YEAR OPERATIONAL PLAN. IT WAS ALSO ENVISIONED IN THE ORIGINAL PROJECT GRANT AGREEMENT. SUPPORT WILL BE PROVIDED FOR: UPGRADING THE SECRETARIAT'S INFORMATION TECHNOLOGIES AND COMMUNICATIONS INFRASTRUCTURE/SYSTEMS; STAFF TRAINING; AND ASSISTANCE IN CONSOLIDATING DONOR PROCEDURES AND REGULATIONS SO AS TO STREAMLINE THE TIME SPENT BY IGAD IN MEETING VARIOUS DONORS' FINANCIAL, ADMINISTRATIVE AND REPORTING REQUIREMENTS. OTHER FORMS OF ASSISTANCE MAY ALSO BE IDENTIFIED.

11. HASP SUPPORT FOR IGAD'S PROJECT PROFILES WILL BE FOCUSED ON NO MORE THAN SEVEN PROFILES IN THE AREAS OF FOOD SECURITY AND CONFLICT PREVENTION, MITIGATION AND RESPONSE. SPECIFICALLY, USAID HAS FORMALLY EXPRESSED INTEREST THROUGH THE IGAD PARTNERS FORUM IN THE FOLLOWING SEVEN PROFILES:

-- PROJECT 5.1 ESTABLISHMENT OF AN INTEGRATED INFORMATION SYSTEM
-- PROJECT 6.1 PROMOTION OF SUSTAINABLE PRODUCTION OF DROUGHT RESISTANT CROP VARIETIES
-- PROJECT 6.2 TRANSBOUNDARY LIVESTOCK DISEASE CONTROL
-- PROJECT 8.1 INTEGRATED WATER RESOURCES MANAGEMENT
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-- PROJECT 8.2 PROMOTION OF COMMUNITY BASED LAND HUSBANDRY
-- PROJECT 9.1 CONFLICT PREVENTION, MANAGEMENT, AND RESOLUTION
-- PROJECT 10.1 ALLEVIATION AND MITIGATION OF HUMANITARIAN CRISES

THESE SEVEN PROFILES ARE OF INTEREST TO USAID AS THEY REPRESENT AREAS IN WHICH THE AGENCY HAS MADE CONSIDERABLE HISTORICAL INVESTMENTS IN THE REGION; HAS A CONTINUING COMPARATIVE ADVANTAGE; AND IS FOCUSING RESOURCES AS PART OF IMPLEMENTING PRESIDENT CLINTON'S GREATER HORN OF AFRICA INITIATIVE (GHAI). THE TYPE OF SUPPORT TO BE PROVIDED UNDER THE HASP WILL BE CATALYTIC IN NATURE. ACTIVITIES ENVISIONED INCLUDE FEASIBILITY STUDIES; TECHNICAL ASSISTANCE TO FURTHER DEVELOP THE PROFILES; MEETINGS AND CONFERENCES RELATED TO THE SECRETARIAT'S ROLE AS CATALYST, COORDINATOR, AND MONITOR.
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PAGE 01

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AMBASSAD KAMPALA IMMEDIATE

UNCLAS SECTION 04 OF 08 NAIROBI 009672

AID ADM

FOR: AID/W: ADMIN, B ATWOOD; CHIEF OF STAFF R MCCALL;
A-AA/AFR, C PEASLEY; AA/G SALLY SHELTON; A-AA BHR

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PAGE 02

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L ROGERS; A-AA PPC, L GARBER; GHA COUNTRIES FOR AID
MISSION DIRECTORS; ADDIS FOR G SMITH.

E.O. 12958: N/A
TAGS: EAI, KGHA, IGAD, PREL

SUBJECT: REFINEMENT OF IMPLEMENTATION DIRECTION FOR THE HORN OF AFRICA SUPPORT PROJECT (HASP)

OF THE PROJECTS; SUPPORT FOR PILOT PROJECTS; AND ACTIVITIES TO FACILITATE STRATEGIC COORDINATION BETWEEN VARIOUS ACTORS INVOLVED IN IMPLEMENTING A PROFILE.

12. HASP FUNDS WILL ALSO BE USED FOR POLICY AND REGULATORY HARMONIZATION ACTIVITIES SPONSORED BY IGAD IN THE REGION. USAID AND IGAD AGREE THAT THIS IS AN IMPORTANT AREA OF WORK FOR IGAD AS AN INTERGOVERNMENTAL DEVELOPMENT BODY. IT IS ALSO INCLUDED AS A SPECIFIC OUTPUT IN IGAD'S 5-YEAR OPERATIONAL PLAN. USAID IS PARTICULARLY INTERESTED IN WORKING WITH IGAD IN THE POLICY AREAS OF TRADE, TRANSPORT, TELECOMMUNICATIONS, AGRICULTURE, AND NATURAL RESOURCE MANAGEMENT. FUNDS WILL BE USED FOR SUCH ACTIVITIES AS APPLIED RESEARCH AND ANALYSIS; CASE STUDIES; INFORMATION DISSEMINATION; POLICY SEMINARS AND HIGH-LEVEL POLICY SUMMITS AIMED AT REACHING REGIONAL AGREEMENTS.

13. DUE TO THE LEVEL OF OVERSIGHT AND OPERATIONAL CONTROL REQUIRED BY IGAD TO IMPLEMENT THE ABOVE TYPES OF ACTIVITIES WHICH MAKE UP ITS 5-YEAR OPERATIONAL PLAN, AND USAID REGULATIONS CONCERNING GRANTS VERSUS CONTRACTS, THE MOST APPROPRIATE MECHANISM FOR SUPPORTING UNCLASSIFIED

UNCLASSIFIED

REDSO/ESA'S PROCUREMENT OFFICE AND RFMC HAVE REVIEWED IGAD'S INTERNAL FINANCIAL AND MANAGEMENT SYSTEMS AND AUTHORIZED IGAD TO UNDERTAKE INDIVIDUAL PROCUREMENT/CONTRACT ACTIONS WITH USAID FUNDS OF UP TO $100,000 PER ACTION. IGAD HAS ALSO BEEN AUTHORIZED TO RECEIVE ADVANCES FROM USAID FOR THESE CONTRACT ACTIONS.
B. GRANTMAKING/INSTITUTIONAL STRENGTHENING MECHANISM FOR AFRICAN INSTITUTIONS:

14. THE HASP WAS ORIGINALLY CONCEIVED TO BE A GRANTMAKING PROGRAM WHICH WOULD PROVIDE "SEED MONEY" FOR INNOVATIVE, CATALYTIC ACTIVITIES IMPLEMENTED BY A WIDE-RANGE OF INSTITUTIONS UNDERTAKING REGIONAL ACTIVITIES IN THE AREAS OF FOOD SECURITY AND CPMP IN THE GREATER HORN OF AFRICA, AS WELL AS INSTITUTIONAL STRENGTHENING SUPPORT FOR AFRICAN INSTITUTIONS SINCE FEW REGIONAL AFRICAN INSTITUTIONS ARE KNOWN TO HAVE THE INTERNAL UNCLASSIFIED
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FINANCIAL AND MANAGEMENT CAPACITY TO MEET USAID REQUIREMENTS TO RECEIVE GRANT FUNDS.

REDSO/ESA AND IGAD STILL BELIEVE THAT THIS TYPE OF FUNDING FACILITY IS IMPORTANT AS A VEHICLE FOR FULFILLING THE GOALS AND OBJECTIVES OF THE GHAI, OF WHICH THE HASP IS A KEY PROJECT MANAGED BY REDSO/ESA. IN SUPPORT OF THE DEVELOPMENT OF THIS FACILITY, AN ANALYSIS OF OPTIONS RELATED TO THE MOST APPROPRIATE IMPLEMENTING ARRANGEMENT FOR THIS COMPONENT OF THE HASP HAS BEEN UNDERTAKEN BY A SUB-COMMITTEE OF REDSO/ESA'S S03 TEAM.

15. IT IS RECOMMENDED IN THIS ANALYSIS THAT THE GRANTMAKING FACILITY BE IMPLEMENTED INITIALLY BY A CONTRACTOR WITH EXPERIENCE IN MANAGING GRANTMAKING PROGRAMS AND IN PROVIDING INSTITUTIONAL STRENGTHENING SERVICES TO NON-GOVERNMENTAL ORGANIZATIONS, PREFERABLY

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********** NAIROBI 9672 - XXSECTION 05 OF 08 **********

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PAGE 02 

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L ROGERS; A-AA PPC, L GARBER; GHA COUNTRIES FOR AID 
MISSION DIRECTORS; ADDIS FOR G SMITH. 

E.O. 12958: N/A 
TAGS: EAI, KGH, IGAD, PREL 
SUBJECT: REFINEMENT OF IMPLEMENTATION DIRECTION FOR THE 
HORN OF AFRICA SUPPORT PROJECT (HASP) 

IN AFRICA. THE CONTRACT WOULD BE COMPETITIVELY AWARDED 
AND ANY U.S. OR AFRICAN (OR COMBINATION THEREOF) FIRM OR 
ORGANIZATION WILL BE ELIGIBLE TO BID. 

16. THE PRIMARY PURPOSE OF THE CONTRACT WOULD BE TO 
ADMINISTER THE GRANTMAKING PROGRAM FOR ELIGIBLE AFRICAN 
NON-GOVERNMENTAL ORGANIZATIONS IMPLEMENTING ACTIVITIES 
THAT SUPPORT THE HASP/GHAI GOALS OF ENHANCED REGIONAL 
FOOD SECURITY AND CONFLICT PREVENTION, AND IF NEEDED OR 
SPECIFICALLY REQUESTED, TO PROVIDE INSTITUTIONAL 
STRENGTHENING SERVICES TO GRANTEES OR OTHER ELIGIBLE 
AFRICAN ORGANIZATIONS.
IT IS ENVISIONED THAT UNDER THE TERMS OF THE CONTRACT THE CONTRACTOR COULD ALSO BE TASKED WITH STRENGTHENING AFRICAN ORGANIZATIONS' ABILITY TO PROVIDE INSTITUTIONAL STRENGTHENING ASSISTANCE TO OTHER AFRICAN ORGANIZATIONS. SINCE THIS TYPE OF TECHNICAL EXPERTISE IS HIGHLY MARKETABLE AND NEEDED IN THE REGION, SUCH SUPPORT THROUGH THE CONTRACT WOULD ENHANCE THESE AFRICAN ORGANIZATIONS' LONG-TERM SUSTAINABILITY.

IN ADDITION, IT IS ENVISIONED THAT THE CONTRACTOR WOULD BE TASKED WITH:

--- I) ASSESSING THE NEED FOR A FUTURE, POST-HASP, DONOR-SUPPORTED REGIONAL GRANTMAKING PROGRAM;

--- II) IDENTIFY ONE OR MORE ESTABLISHED, INTERESTED AFRICAN ORGANIZATION(S) WHICH COULD MANAGE THE PROGRAM.

C. SELECT INTERIM ACTIVITIES FOR FY97:

17. SINCE IGAD IS IN THE PROCESS OF EXPANDING ITS STAFF; ESTABLISHING COLLABORATIVE PROCESSES WITH DONORS TO COORDINATE FINANCING OF ITS PROJECTS; AND UNDERTAKING PRIORITY INSTITUTIONAL CAPACITY STRENGTHENING MEASURES THAT WILL HELP IT LATER EFFECTIVELY IMPLEMENT ITS PROGRAM AGENDA, IGAD HAS REQUESTED THAT THE HASP BE A VEHICLE FOR FUNDING A SELECT FEW ACTIVITIES OF OTHER AFRICAN INSTITUTIONS WORKING IN PARTNERSHIP WITH IGAD THIS FISCAL YEAR (FY 1997) IN AREAS THAT RELATE DIRECTLY TO IGAD'S PROGRAM PRIORITIES. IN THE FUTURE, IT IS ENVISIONED THAT THESE SAME TYPE OF ACTIVITIES WOULD BE MANAGED DIRECTLY BY IGAD WITH HASP FUNDING THROUGH THE AWARD OF CONTRACTS FOR THE PROVISION OF TECHNICAL SERVICES THAT SUPPORT THE IMPLEMENTATION OF IGAD'S PROJECT PROFILES AND POLICY HARMONIZATION AGENDA. HOWEVER, UNTIL IGAD'S NEW STAFF IS FULLY IN PLACE AND THE DONOR COORDINATION PROCESS IS FIRMLY ROOTED, THIS IGAD-MANAGED CONTRACTING PROCESS WILL NOT BECOME FULLY FUNCTIONAL. THEREFORE, IT IS IMPORTANT THAT A SELECT FEW ACTIVITIES BE DIRECTLY FUNDED AND MANAGED BY REDSO/ESA UNDER THE HASP IN SUPPORT OF IGAD-ENDORSED ACTIVITIES THROUGH THE END OF THE FISCAL YEAR. TO DATE, TWO PROPOSALS ENDORSED BY IGAD ARE UNDER CONSIDERATION FOR SUPPORT FOR:
I) A CONFERENCE ON REGIONAL ECONOMIC INTEGRATION/TRANSBOUNDARY RESOURCES TO BE SPONSORED BY THE ETHIOPIAN INTERNATIONAL INSTITUTIONS FOR PEACE AND DEVELOPMENT

II) PEACE AND RECONCILIATION ACTIVITIES IN SOMALIA AS DEVELOPED BY THE NATIONAL RECONCILIATION COUNCIL OF SOMALIA

18. IN ADDITION, SOME OF REDSO/ESA'S TECHNICAL OFFICES HAVE INITIATED REGIONAL ACTIVITIES WITH AFRICAN PARTNERS THAT MEET THE HASP ACTIVITY SELECTION CRITERIA AND WHICH HAVE INVOLVED CONSIDERABLE INVESTMENT OF TIME TO INITIATE. IN ORDER TO NOT LOSE THE INVESTMENT AND

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AMEMBASSY KINSHASA IMMEDIATE
AMEMBASSY KAMPALA IMMEDIATE

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AID ADM

FOR: AID/W: ADMIN, B ATWOOD; CHIEF OF STAFF R MCCALL;
A-AA/AFR, C PEASLEY; AA/G SALLY SHELTON; A-AA BHR

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L ROGERS; A-AA PPC, L GARBER; GHA COUNTRIES FOR AID
MISSION DIRECTORS; ADDIS FOR G SMITH.

E.O. 12958: N/A
TAGS: EAID, KGHA, IGAD, PREL
SUBJECT: REFINEMENT OF IMPLEMENTATION DIRECTION FOR THE
HORN OF AFRICA SUPPORT PROJECT (HASP)

MOMENTUM THAT EXISTS, IGAD AND REDSO/ESA HAVE AGREED
THAT IN THOSE INSTANCES WHERE A RELATIVELY SMALL
CONTRIBUTION OF FUNDS WILL KEEP THE INITIATIVE GOING
UNTIL THE GRANTMAKING/INSTITUTIONAL STRENGTHENING
FACILITY IS IN PLACE, THE HASP WILL BE UTILIZED TO
DIRECTLY SUPPORT THESE ACTIVITIES DURING FISCAL YEAR
1997. SUCH FUNDING WILL BE PROVIDED TO UP TO THREE
REDSO/ESA INITIATED ACTIVITIES:

-- I) THE NORTHERN TIER TRANSPORT WORKING GROUP (PART
OF REDSO/ESA'S REGIONAL TRADE ACTIVITIES)

-- II) ASARECA'S STRATEGIC PLANNING PROCESS (AN
INITIATIVE OF REDSO/ESA'S AEE OFFICE)

-- III) PRIVATE SECTOR INFORMATION SERVICES AIMED AT
EXPANDING THE ROLE OF THE AFRICAN PRIVATE SECTOR IN FOOD
SECURITY (AN INITIATIVE OF REDSO/ESA'S PRIVATE SECTOR
DEVELOPMENT ADVISOR)

D. OTHER PRIORITY GHAI ACTIONS AND STAFF:

19. THE HASP HAS ALSO HISTORICALLY SERVED AS A
MECHANISM FOR FINANCING A SELECT NUMBER OF USAID-

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INITIATED PRIORITY GHAI ACTIVITIES, OR AS A MECHANISM TO
HOLD GHAI FUNDS INTENDED FOR FUTURE FIELD-BASED GHAI
ACTIVITIES. THIS HAS OCCURRED AS A RESULT OF
USAID/WASHINGTON'S REQUEST FOR REDSO/ESA TO TAKE ON THESE FUNDING OBLIGATIONS SINCE THE HASP HAS BEEN THE ONLY FORMALLY ESTABLISHED PROJECT WITHIN THE GHAI THAT CAN OBLIGATE FUNDS PER USAID REGULATIONS AND PROCEDURES.

20. ACTIVITIES, AND CORRESPONDING FUNDS REQUIRED, THAT FIT IN THIS CATEGORY INCLUDE:

-- DOLLARS 500,000 FROM THE GHAI TRANSITIONS TEAM PRIMARILY DESIGNATED FOR ACTIVITIES WHICH LINK RELIEF AND DEVELOPMENT

-- DOLLARS 200,000 FOR DEVELOPMENT OF THE GHAI STRATEGY

-- DOLLARS 250,000 FOR REDSO/ESA REGIONAL TRADE ACTIVITIES

-- DOLLARS 514,425 FOR THE RSSA CONTRACT OF REDSO/ESA'S REGIONAL FOOD SECURITY ADVISOR

-- DOLLARS 1,500,000 FOR GHAI UNIT STAFF COSTS

21. ALTHOUGH THESE REDSO/ESA COMMITMENTS (TOTALING DOLLARS 2,964,425) NEED TO BE FUNDED UNDER THE HASP AT THIS TIME SINCE THERE IS NO OTHER VEHICLE, IT IS PROPOSED THAT OVER TIME, AS MECHANISMS ARE CREATED WITHIN THE REDSO/ESA OR THE AGENCY, THESE ACTIVITIES MAY BE FUNDED THROUGH OTHER GHAI FUND ALLOCATION MECHANISMS SINCE THEIR OBJECTIVES EXTEND BEYOND THAT OF THE CURRENTLY DEFINED HASP.

22. IT IS IMPORTANT TO NOTE, HOWEVER, THAT IF REDSO/ESA'S REQUEST TO MANAGE OTHER NON-HASP GHAI RESOURCES IS APPROVED BY USAID/WASHINGTON (AS REQUESTED BY REDSO/ESA AS PART OF THE FY1999 R4 PROCESS), REDSO/ESA IS COMMITTED TO ESTABLISHING APPROPRIATE MECHANISMS AND STAFFING ARRANGEMENTS TO ALLOCATE THESE FUNDS ACCORDING TO THE GHAI FUNDING GUIDELINES DELINEATED IN THE GHAI STRATEGY WHEN FINALIZED. ALTHOUGH THE PROPOSED REFINEMENT OF THE IMPLEMENTATION DIRECTION OF THE HASP REPRESENTS ONE IMPORTANT FUNDING MECHANISM UNDER GHAI, IT IS NOT INTENDED TO SERVE AS THE ONLY MECHANISM. IF ADDITIONAL RESOURCES ARE OBLIGATED TO REDSO/ESA, OTHER MECHANISMS WILL BE DEVELOPED EITHER INDEPENDENT OF THE EXISTING HASP OR THROUGH A MORE BROADLY DEFINED HASP.
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L ROGERS; A-AA PPC; L GARBER; GHA COUNTRIES FOR AID
MISSION DIRECTORS; ADDIS FOR G SMITH.

AID ADM

FOR: AID/W: ADMIN, B ATWOOD; CHIEF OF STAFF R MCCALL;
A-AA/AFR, C PEASLEY; AA/G SALLY SHELTON; A-AA BHR

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SUBJECT: REFINEMENT OF IMPLEMENTATION DIRECTION FOR THE HORN OF AFRICA SUPPORT PROJECT (HASP)

HASP ACTIVITY SELECTION CRITERIA:

23. ACTIVITIES SUPPORTED WITH HASP FUNDS WITHIN THE TWO CORE COMPONENTS OF THE HASP, AS WELL AS THE PROPOSED INTERIM FY97 ACTIVITIES, NEED TO MEET THE DEFINED HASP FUNDING GUIDELINES/ACTIVITY SELECTION CRITERIA WHICH FOLLOW:

-- SUPPORT GHAI GOALS OF FOOD SECURITY AND CONFLICT PREVENTION, MITIGATION AND RESOLUTION;

-- PROMOTE GHAI PRINCIPLES OF RESPONDING TO AFRICAN-LED AND OWNED INITIATIVES, APPLY A REGIONAL PERSPECTIVE, FACILITATE STRATEGIC COORDINATION, LINK RELIEF TO DEVELOPMENT, AND ASSUME INSTABILITY;

-- REPRESENT NEW AND INNOVATIVE APPROACHES;

-- FACILITATIVE AND COORDINATING, RATHER THAN OPERATIONAL, IN NATURE;

-- MANAGED AND IMPLEMENTED BY AFRICAN INSTITUTIONS,

IMMEDIATE ACTIONS REQUIRED:

24. ACTIVITIES TO BE IMPLEMENTED UNDER THE HASP, AS REFINED ABOVE, ARE IN KEEPING WITH THE ORIGINAL OBJECTIVES SET FORTH IN THE HASP PROJECT GRANT AGREEMENT. A PROJECT GRANT AGREEMENT AMENDMENT TO ADD FY 1997 GHAI FUNDS TO THE HASP IS BEING PREPARED, AS IS THE RELATED CONGRESSIONAL NOTIFICATION. THE REQUEST FOR THESE ADDITIONAL FUNDS WAS MADE BY REDSO/ESA TO AID/WASHINGTON THROUGH PRIOR YEAR REDSO BUDGET REQUESTS,
This year's R4 and the GHA strategy tasker sent to all GHA operating units. The amendment to the project grant agreement will also update the amplified project description to bring it in line with the new refined implementation direction discussed above.

Conclusion:

25. Through the Greater Horn of Africa Initiative, the U.S. has placed the goals of enhanced food security and crisis prevention at the center of its policy objectives in the Greater Horn of Africa. The principles of African ownership, regionalism, strategic coordination, and linking relief and development are also central to this foreign policy initiative of the USG. The proposed refinement of the implementation direction of the Horn of Africa Support Project (HASP) provides an important vehicle through which these policy objectives can be met.

26. By encouraging and promoting IGAD's continued institutional strengthening and the start-up of its new regional agenda, the U.S. will play a positive role in enhancing strategic coordination between governments, donors, and non-governmental development agents in the region. By establishing a regional grantmaking/institutional strengthening facility, the U.S. will support a mosaic of African institutions in the region.
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AID ADM

FOR: AID/W: ADMIN, B ATWOOD; CHIEF OF STAFF R MCCALL;
A-AA/AFR, C PEASLEY; AA/G SALLY SHELTON; A-AA BHR
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E.O. 12958: N/A
TAGS: EAI, KGHA, IGA, PREL
SUBJECT: REFINEMENT OF IMPLEMENTATION DIRECTION FOR THE
HORN OF AFRICA SUPPORT PROJECT (HASP)

IMPLEMENTING INNOVATIVE ACTIVITIES IN FOOD SECURITY AND
CONFLICT PREVENTION. BY PROVIDING INTERIM SUPPORT FOR
ACTIVITIES THAT HAVE INVOLVED A SIGNIFICANT HISTORIC
INVESTMENT OF REDSO/ESA OR IGAD STAFF TIME TO DEVELOP,
THE U.S. CAN ENSURE THAT PROMISING INITIATIVES IN THE
REGION ARE NOT LOST.

27. THROUGH A COMBINATION OF THESE TYPES OF SUPPORT,
THE EXPECTED RESULTS THAT CAN BE ACHIEVED UNDER THE HASP
INCLUDE AN INCREASE IN THE NUMBER OF AFRICAN
INSTITUTIONS IN THE GHA REGION MANAGING AND IMPLEMENTING
REGIONAL FOOD SECURITY AND CONFLICT PREVENTION,
MITIGATION AND RESPONSE ACTIVITIES; THE ESTABLISHMENT AND UTILIZATION OF MECHANISMS FOR EFFECTIVE REGIONAL STRATEGIC COORDINATION; THE ESTABLISHMENT AND STRENGTHENING OF SECTORAL AND SUB-SECTORAL NETWORKS AIMED AT STRENGTHENING AFRICAN CAPACITY IN FOOD SECURITY OR CONFLICT PREVENTION, MITIGATION, AND RESPONSE; AND AN INCREASE IN THE NUMBER OF INNOVATIVE TECHNIQUES, INPUTS, PROTOCOLS OR APPROACHES DEVELOPED, TRANSFERRED OR UTILIZED BY AFRICAN ORGANIZATIONS IN THE REGION.

IN ADDITION, IT IS IMPORTANT TO NOTE THAT IF REDSO/ESA'S REQUEST TO MANAGE OTHER NON-HASP GHAI RESOURCES IS APPROVED BY USAID/WASHINGTON (AS REQUESTED BY REDSO/ESA AS PART OF THE FY1999 R4 PROCESS), REDSO/ESA IS COMMITTED TO ESTABLISHING APPROPRIATE MECHANISMS AND STAFFING ARRANGEMENTS TO ALLOCATE THESE FUNDS ACCORDING TO THE GHAI FUNDING GUIDELINES DELINEATED IN THE GHAI STRATEGY. ELIGIBLE APPICANT ORGANIZATIONS FOR THIS FUNDING WILL INCLUDE NON-AFRICAN INSTITUTIONS, AS WELL AS USAID OPERATING UNITS, INTERESTED IN MANAGING AND IMPLEMENTING ELIGIBLE GHAI ACTIVITIES AS PART OF THEIR PORTFOLIO. ALTHOUGH THE REFINEMENT OF THE IMPLEMENTATION DIRECTION OF THE HASP REPRESENTS ONE IMPORTANT FUNDING MECHANISM UNDER GHAI, IT IS NOT INTENDED TO SERVE AS THE ONLY MECHANISM. IF ADDITIONAL RESOURCES ARE OBLIGATED TO REDSO/ESA, OTHER MECHANISMS WILL BE DEVELOPED EITHER INDEPENDENT OF THE EXISTING HASP OR THROUGH A MORE BROADLY DEFINED HASP.

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DOCUMENT C.2

Horn of Africa Support Project CN - Activity Data Sheet
**Purpose:** To facilitate the achievement of the Greater Horn of Africa Initiative's (GHAI) food security and conflict early warning and response objectives in a manner that will create lasting partnerships and promote joint problem solving in the region.

**Background:** The Greater Horn of Africa (GHA) encompasses the countries of Eritrea, Ethiopia, Somalia, Sudan, Djibouti, Uganda, Kenya, Tanzania, Rwanda, and Burundi. The GHAI, a policy framework for U.S. development assistance, seeks to break the region’s vicious cycle of economic and social crises and dependence on external aid by focusing assistance activities on food security and crisis prevention and mitigation. With an emphasis on regional approaches, African leadership and ownership, and close coordination and collaboration among key development partners (including African States, donors, nongovernmental organizations, private sector entities, and other regional institutions), GHAI strives to promote common solutions to the problems of the Greater Horn. To facilitate this strategic coordination of regional solutions, a flexible mechanism is needed to: 1) strengthen regional institutions and networks; 2) fund innovative regional pilot projects, research and analysis, training, and conferences; and, 3) contract staff.

To date, the Horn of Africa Support Project (HASP) has been instrumental in: 1) strengthening the capacity of regional African institutions including the Inter-Governmental Authority on Development (IGAD), the Association for Strengthening Agricultural Research in East and Central Africa (ASARECA), and the Eastern and Southern African Business Organization (ESABO); 2) establishing a regional donors forum to enhance regional collaboration; 3) supporting IGAD’s successful efforts to develop a regional strategy and 17 regional programs in cooperation with its Member States and donor partners; 4) promoting innovative activities in food security and conflict prevention such as regional trade analysis and policy harmonization activities; 5) a peace fund; and, 6) a conference on regional economic integration.

**Project Description:** The HASP is a key operational component of the GHAI. Specifically, the HASP will: 1) support regional initiatives of the IGAD, a multi-lateral organization of seven GHA countries dedicated to cooperatively meeting its member states’ common development challenges; 2) strengthen regional nongovernmental organizations (including private sector entities) involved in food security and conflict prevention through a grant-making mechanism; and 3) fund innovative regional initiatives (including emerging from USAID bilateral missions in GHA). These components of the HASP will facilitate strategic coordination of regional solutions through increased consultation and collaboration between the region’s governments, donors, and private organizations.

**Host Country and Other Donors:** The HASP supports strategic coordination among the GHA governments and donors in the region, particularly through its support to IGAD. With HASP assistance, seven countries and eight donors have participated in the development of IGAD’s regional strategy and agreed to coordinate assistance for IGAD’s regional initiatives in food security and conflict prevention. In contributions, as well as member state dues to IGAD, are being provided by the countries, Italy, the European Union, the Netherlands, Germany, and United Nations Development Program have joined USAID in providing coordinated assistance to IGAD. France and Japan have also recently joined the IGAD Donors Forum.

**Beneficiaries:** Beneficiaries of the HASP are the estimated 50 million “at risk” people in the GHA. Funded activities are meant to identify preventative solutions to the problems of chronic food insecurity and civil unrest that the people in the GHA face.

**Results:** By 2002, the HASP will strengthen regional indigenous capacity for sustainable food security prevention through: 1) improving regional collaboration and joint problem solving; 2) supporting the development and implementation of regional strategies and policy harmonization; and 3) promoting innovative new activities and approaches in development assistance in the areas of food security and conflict prevention and response.

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**U.S. FINANCING (In thousands of dollars)**

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**PRINCIPAL CONTRACTORS OR AGENCIES**

To Be Determined
DOCUMENT D.1

GHAI: Moving Forward cable (11/18/97)
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

SP03: 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 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.

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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 UNCLASSIFIED

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PRESIDENTIAL INITIATIVE AND ITS ABILITY TO ACHIEVE POSITIVE PRACTICAL IMPACTS.

9. MINIMIZE CONSIDERED FOR SARAJEVO.
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DOCUMENT E.1

Food Security in the GHAI, Short-term Outlook for 1997-1998
FOOD SECURITY IN THE GREATER HORN OF AFRICA (GHAI)  
SHORT-TERM OUTLOOK FOR 1997 -1998

[NB: This draft paper represents a preliminary effort to provide a framework for understanding potential short-term food crises in East Africa/GHAI countries. USAID will continue to deepen the analysis and information base as the cropping seasons progress. The Africa Bureau welcomes comments or additional information.]

Definition: food security is the availability of, access to, and utilization of adequate food by all members of a society.

I. SUMMARY

As the effects of El Niño begin to be felt around the globe, it is important to distinguish between its impact and those of other, unrelated climatic phenomena. This is especially important in East Africa, where the links between El Niño and rainfall patterns are inconsistent. This does not mean, however, that drought is not an issue for the coming year in the region. In fact, the combination of dry weather in some areas and heavy rains and floods in others has led to diminished harvests across the Greater Horn of Africa region (GHA), the effects of which must be carefully monitored.

Periodic drought is common in East Africa; while a drought itself may be difficult to predict precisely, its impacts are by now well known. In addition, long-term food security issues (e.g., agricultural productivity, technology, market systems, trade policy) are also well understood. The challenge facing USAID in the GHA is not responding to emergencies, nor is it designing appropriate development interventions. Rather, the problem is designing programs which address the complex relationship between chronic and acute food security issues. This problem has been made far more difficult by the changing nature of conflict in East Africa since the end of the Cold War.

In response to this challenge, the Greater Horn of Africa Initiative was created to explore the nexus between relief, development, and conflict. These questions are difficult, and there is a long way to go. However, some innovative approaches to address these problems are beginning to bear fruit.

II. KEY ISSUES

There are several issues which are key to understanding the short-term food situation in the Greater Horn, as follows:

El Niño links
There is no consistent link between El Niño and levels of production of basic grains and cereals in East Africa/GHA. Estimates are mixed: El Niño may influence the next
cropping season by providing either too much or too little rain. It is therefore not recommended that this year’s food issues in the region be viewed in the same context as Southern Africa, where the El Niño-related drought forecast is likely to result in reduced harvests. Rather, the US should focus on improved African preparedness for short-term/acute famine risk while at the same time continuing its longer-term efforts to grow African economies to provide adequate income for people to buy food.

The major negative impact of El Niño in East Africa/GHA this year will likely be on global grain/cereals production which will affect availability and prices of imports. In addition, in response to the Uruguay round and the latest US agricultural legislation, fewer surpluses exist world-wide. East African food aid requirements will therefore have to compete with the import needs around the world.

Chronic food security
Concerns about the inability of African countries to feed their populations, either through domestic production or imports, have been the main focus of development assistance since it began in the early 60’s. A large portion of development assistance programs in Africa, particularly those of USAID, have been focussed on the underlying causes of chronic food insecurity: lack of economic growth and resulting poverty; outmoded agricultural technologies and policies, coupled with bad governance; inadequate marketing systems, including lack of development of the private sector; and population growth which outstrips increases in agricultural productivity.

Role of drought and conflict
The short-term or acute effects of famine caused by periodic drought has been a cause of increasing concern since the 1970’s in the Sahel and the 1980’s in the Greater Horn region. Donors and Africans have worked to build indigenous capacity and improve early warning, preparedness and rapid response, with somewhat mixed results.

Beginning with Biafra in the 1960’s, and increasingly since the end of the Cold War, food security in Africa has been caused as much by war and conflict as by drought. The effects of these conflicts have been exacerbated by rapid population growth. These crises, though they may flare up abruptly, tend to have deep roots and to be long lasting. Moreover, conflict is far more difficult to predict than drought and donor response is hampered -- sometimes totally -- by physical insecurity.

III. POTENTIAL FOR FOOD CRISIS IN GREATER HORN

Even though international technicians are continually improving global understanding of historical rainfall and drought patterns and sophisticated warning systems are providing earlier information on production shortfall, prediction of weather patterns for the GHA/East Africa region is not yet possible. This is due in part to inadequate information systems and in part to ongoing conflicts. In the absence of an ability to predict weather patterns with precision, the World Bank matrix in Attachment A provides past rainfall information to inform ranking GHA East African countries -- however roughly -- by potential climatic risk. Given the ongoing conflicts in the region, countries can also be ranked by risk of conflict.
It should be understood that this ranking cannot be used to predict future crises in any precise way. It is used here to help understand the range of current food security issues in the GHA region. Accordingly, individual country ranking will change according to future circumstances.

**HIGH**

*Climate:* Countries of highest climatic risk in the East Africa/GHA region are those in the north, where rainfall is sparse and erratic. These countries include: northern Sudan, Somalia, Ethiopia, Djibouti, and Eritrea. Climate-related risks are exacerbated by population pressures and sluggish economies that have resulted in population levels above the land’s traditional carrying capacity. In addition, lack of foreign exchange sets limits on abilities to fill the shortfall with commercial imports.

*Conflict:* Unfortunately, this same group of countries with limited rainfall includes countries with high levels of conflict. Sudan and Somalia are experiencing prolonged civil war which disrupts agricultural production, trade, economic growth and causes populations to migrate and become dependent on food aid. Ethiopia, Eritrea, and Djibouti are affected by internal instability and refugee flows, which, although short of full-scale war, create larger food-dependent populations.

Though rainfall is relatively plentiful in Rwanda and Burundi, they are at high food risk. Currently, intense population pressure on land, hundreds of thousands of refugees and internally displaced population flows and civil war are the major causes of inadequate food supply.

**MEDIUM**

Kenya straddles climatic regions. As a result, the north tends to have greater risk of drought than the south. Though there are pockets of need in different parts of the country, the overriding concerns about food security come from the nexus of increasing population growth, decreasing per capita agricultural production, economic decline and increasing political instability. Access to food by low and medium income groups is declining precipitously while food prices remain high.

**LOW**

The countries in the GHA region which are at lowest risk of acute food insecurity are Tanzania and Uganda. Rain is abundant in both countries and both have been net exporters of food. Tanzania experiences serious drought only every ten years or so. The major cause of hunger and malnutrition is poverty. In Uganda, food insecurity is also caused in the north and west of the country, by prolonged, low-intensity civil war.

**IV. REGIONAL TRENDS**

There are important trends at work in the GHA/East Africa region which impact food insecurity, as summarized below:
Increased Role of the Private Sector

Private, unofficial, cross-border trade is playing an increasingly important role in moving surplus grains to deficit areas in the GHA sub-region. A more open, external orientation toward trade and a growing appreciation by African governments of the private sector are beginning to shape a more efficient regional food market. As donors and African governments monitor the harvests in southern and eastern Africa this year, and determine the best ways to respond, use of market-led solutions will be essential to successful long-term food security. As an example, Tanzania plans to import 90 percent of its estimated shortfall (750,000mt) and use only 10 percent for free distributions to minimize market disruption.

The current assessment is that the private sector has the capacity to import the basic grains required to meet the food needs in East Africa. However, there are three major constraints: transport costs, limited local supply, and protectionist policies in the face of food scarcities. Because of degraded roads, railroad stocks, and expanding conflict, transportation costs in East Africa are as high as anywhere in the world. This drives prices beyond the purchasing range of many consumers in the region. Because of predicted El Niño effects on producers outside of the East Africa region, there may not be adequate supply from traditional regional exporters to supply private traders. In addition, in the face of potentially serious food shortfalls, countries in the region are beginning to reverse liberal policies and adopt restrictive measures to inhibit exports of locally grown basic food grains.

In addition, given the potential for political, military, and economic instability in several coastal countries, the number of ports able to handle expanded food imports may become a major constraint to moving adequate supplies to deficit countries.

Poverty and Conflict

Population growth, coupled with stagnant agricultural production, will result in an increasing share of the GHA population which is food insecure because of widespread poverty by 2010. This estimate does not include the potential impacts of drought.

Ongoing and potential conflict, and the resulting increase in displaced persons, provide a continual backdrop to vulnerability and overall food needs. There are currently more internally displaced populations in the GHA region than in any part of the world -- even if the wars were to end today, costs of reintegration would be astronomically high.

Conflict also adds to already high transport costs for food. The highest costs for transport in the region ($1100/ton) are in southern Sudan where food must be flown in for hungry, food-dependent populations in conflict areas.

Global Food Supply

El Niño is predicted to have significant effects on the major grain and cereal exporters in the world. Such major exporting countries as the US and Australia are predicted to experience severe production short-falls. The likely impact will be reduced exports and higher global prices for basic grains.
Closer to East Africa, the major suppliers of white maize are South Africa, Zimbabwe, and Mozambique. If there is a major drought in southern Africa, the supply and price of white maize will skyrocket. World yellow maize stocks are low and a major drought in southern Africa could draw these stocks even lower.

Over the past 12 to 18 months, local prices for basic food stuffs in four GHA countries (Rwanda, Kenya, Uganda, and Tanzania) have been extremely high because of poor local rains and reduced regional trade. Projections for 1998 suggest that all four countries will have to rely heavily on commercial and food aid imports to meet consumption requirements. The result may well be continued high food prices in the region for a second or third year.

Preparedness and Response

Even though there has been increased investment in national early warning and response systems in East Africa over the past decade, the national systems in Tanzania, Kenya, Eritrea, Ethiopia, and Uganda are not yet sufficiently developed to predict, mitigate, and respond to food crises. The ability of these institutions to either formulate or affect response through the national political system is still quite weak. Acknowledgment of shortfall and appropriate response remains a highly politicized issue in East Africa. For example, President Moi personally distributed food aid provided by donors in response to drought to support his political campaign.

Compared to regional institutions in southern and western Africa, the regional and national capacities in the GHA countries remain modest. The relatively slight response capacity which does exist in East Africa is geared to estimating requirements for external food aid. In southern Africa, both regional and national institutions have progressed beyond food aid estimates to creating more effective indigenous response systems (e.g., water and livestock strategies). They are now working through local and regional prevention and mitigation strategies (destocking, crop timing, crop selection, farmer meteorological information, water storage, etc.) Though SADC has played an important regional role, individual national systems also remain key.

As donors assist IGAD (The InterGovernmental Authority on Development) in building regional capacity in the areas of early warning and data sharing, there must be a clear understanding of the comparative advantage of regional institutions as opposed to national capacities. National systems may be better suited to crop estimates and building national responses; regional institutions may do a better job on cross-border issues, such as training, trade and locust/pest warning. It should be noted that any enhanced IGAD capacity cannot automatically be applied to non-member nations in the Great Lakes region (Rwanda and Burundi) which experiences some of the highest levels of food insecurity on the continent.

V. USAID INVESTMENTS

Improved long-term food security has been a major focus of USAID programs in the Horn for many years. Over this period, technicians have come to understand the technological, sociological, and policy constraints to improved sustainable food security. Application of these approaches have resulted in advances in long-term food security over the past decade:
agricultural productivity has increased in southern Uganda; and technology is being successfully transferred in parts of Ethiopia and Tanzania. With countries in the region currently in different phases of development, and facing differing types of food problems, bilateral efforts to address the root causes of food security necessarily differ. USAID/Tanzania, for example, emphasizes investments in rural infrastructure and the role of the private sector. The strategy for Kenya emphasizes commercialization of smallholder agriculture and enhancing the role of the private sector. In Uganda, the emphasis is on increasing rural household incomes through production of non-traditional agricultural exports; a similar approach is being taken by Eritrea, which is focusing on rural enterprises as a way of increasing household incomes in targeted areas. USAID programs have also supported the development of nationally "owned" food security strategies rather than developing externally-driven competing strategies. It is essential that Africans take responsibility for their own food security. For example, USAID/Uganda supported decentralized public fora to vet the government's food security strategy, while the USAID's country strategy for Eritrea is a reflection of dialogue with the Eritrean government and an expression of Eritrean food security objectives.

Agriculture is the mainstay of African economies, employing the majority of the population. In spite of this, over the past 15 years, availability of USAID resources for agricultural growth in Africa as a percentage of total funding has dipped to 11 percent. Therefore, USAID is refocussing on agriculture as the engine of growth in Africa has sent a proposal forward for the African Food Security Initiative (AFSI) which would provide additional resources to support agricultural and economic growth. The Agency's Trade and Investment Initiative also seeks to support agricultural and economic growth by encouraging development of an enabling environment for private sector-led growth.

USG food aid delivered either through Non-governmental Organizations or directly to African governments has played an important role in food security in the GHA. Some NGO programs address short-term food needs in acute situations by making free food available for vulnerable groups. Other programs are designed to address longer-term food security through such activities as training programs, infrastructure repair, and agricultural extension. As levels of food aid to GHA countries remains relatively high, it offers an opportunity for creative programs which meet both short-term, as well as longer-term needs.

The questions remain that in view of these past and present efforts, why does such a high proportion of the regional population remain food insecure and why do food security and poverty remain the primary concerns of rural Africans? One answer is that the current and rising levels of food insecurity are caused in large part by conflicts in the Greater Horn region. Uganda, Ethiopia, Eritrea and Rwanda have recently emerged and have not yet recovered from protracted, bloody civil war.; Sudan, Somalia and Sudan are currently embroiled in active civil war. Though technicians and policy makers understand what is needed to get agricultural sectors going in these countries, they have not been able to apply these techniques in a context of instability and open conflict.

The nature of conflict in the GHA and other parts of Africa has changed since the end of the cold war. During the 60's, 70's and 80's the US -- and other northern donors supported
anti-communist regimes and were able to maintain overall political and military stability for the most part. Now, conflicts are bubbling to the surface and causing major instability and food insecurity.

VI. GHAI AND INNOVATIVE APPROACHES

GHAI explicitly recognizes that conflict and war are on a par with drought as causes food insecurity. It also acknowledges that short-term relief has tended to undermine more sustainable solutions to food shortages. It actively encourages relief activities which promote longer term food self-reliance (production and imports). At the same time it supports development activities which include contingency planning for crisis -- whether climatic or man made.

GHAI was created to assess the causes of food insecurity and develop new approaches. The most important aspects of GHAI are as follows:

- it explicitly recognizes that conflict in the Greater Horn is a major cause of food insecurity;
- it focuses on the need to link relief activities and development goals;
- it emphasizes the regional nature of the causes and impact of conflict and food insecurity;
- it highlights the need for Africans to take responsibility for solving African conflict and food insecurity problems and therefore emphasizes capacity building, not doing, by donors;
- it pushes the envelope on innovative practices.

Ongoing pilot activities which are bridging the gap between relief and development, addressing conflict and promoting African ownership include the following:

- support for regional private sector-led trade;
- assisting IGAD to develop early warning capacity;
- a food aid charter which promulgates best practices;
- use of cash -- rather than food aid -- for local food purchases;
- an innovative food aid program in Uganda which uses proceeds for agricultural projects in southern Sudan;
- crisis modifiers as part of contingency planning for crises.
Endnotes

1. Countries in GHA: Sudan, Somalia, Ethiopia, Eritrea, Djibouti, Kenya, Uganda, Tanzania, Rwanda and Burundi. This paper will refer to this group of countries alternatively as the GHA region or East Africa. Madagascar is not included in this analysis. Note also that this group of countries includes countries in different climatic zones which have different rain patterns and cropping seasons.

2. The El Niño Southern Oscillation, or ENSO, is a cyclical warming and cooling of the ocean atmosphere system in the tropical Pacific which has important consequences for weather around the globe. Weather patterns in many parts of the world appear to be related to different phases of the ENSO cycle. One of the stronger relationships is between the warm ocean phase of the ENSO cycle (El Niño) and drought in Southern Africa. Warm episodes beginning in April or May have a particularly strong relationship with drought in this area during the subsequent growing season, which is not harvested until April-May the following year. USAID, in cooperation with many other actors in the international community, is monitoring this situation very closely.

Relationships to weather patterns in other parts of Africa, however, are less clear. There is a tendency for wetter weather from October through December in East Africa during a warm ENSO phase. This increase in rainfall may benefit second-season (short rain) crops, although the degree of impact is ultimately determined by the timing and spatial distribution of rainfall, factors which cannot be predicted in advance with any confidence. There is also the risk that increased rainfall may lead to flooding. There is a need for better data on the relation of global weather patterns and East Africa.

3. It is important to note that cropping seasons in Eastern Africa do not correspond with those in Southern Africa, nor with those in the U.S. The region is quite large, and straddles different climatic zones, making it difficult to define an "Eastern African agricultural season" as such. There tend to be two agricultural seasons, defined by long and short rains. The timing and relative importance of these dual seasons vary as one moves from north to south, but in general the long rains begin approximately in March or April, while the short rains occur in July and August. Harvest for the former starts in September, for the latter, in November-December.
African Development Indicators 1996

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The World Bank
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Attachment B: Current Situation by Country

[Note: This summary reflects a snapshot in time. The situation in each country will change as the cropping season progresses. FEWS and USAID Missions are closely monitoring the situation.]

According to various sources, including USAID/FEWS and FAO, food supply difficulties are worsening in several parts of eastern Africa, mainly due to the impact of unfavorable weather during past seasons -- weather which was not, repeat not, related to El Niño. As a result, prospects for this year’s coarse grain production in the sub-region are mixed, with lower-than-normal production predicted in Eritrea, Ethiopia, Tanzania, Kenya, Rwanda, Burundi, and Uganda. However, the extent of the shortfalls in production will not be known until later in the cropping season (December).

**Ethiopia:** Recent reports indicate extremely heavy unseasonable rainfall which has severely damaged all grain and cereal crops in most areas of the country. Field reports -- especially from the regions of Tigray and Amhara -- indicate that many fields are completely under water. The impact of this unexpected deluge remains to be determined, but it will undoubtedly result in significant crop losses.

**Eritrea** is at high risk for food insecurity and drought, especially in light of the deteriorating situation in Sudan along its northern border. This year’s main harvest is quite poor and will supply less than 250% of the country’s consumption needs. Even in the best of years, Eritrea needs to import at least 40% of its food, much of which comes from Northern Ethiopia. Since the overall harvest and food supply for northern Ethiopia does not look good this year, it is estimated that Eritrea will only be able to import a fraction of its usual tonnage through local trade. In addition, as the situation along the northern border with Sudan intensifies and drought affects Sudan, it is estimated that as many as 250,000 mainly nomadic Sudanese could face severe food shortages and could only be assisted cross-border via Eritrea.

**Somalia:** The recently gathered main season, or "Gu" crop is estimated to be a third consecutive reduced harvest. An FAO/WFP report tentatively forecasts total 1997/98 maize and sorghum production at 336,000 MT -- about 16 percent above the 1996/97 level -- assuming a normal secondary season harvest in January 1998. At this forecast level, cereal consumption requirements will exceed production by 247,000 MT. Commercial imports of rice, wheat and wheat products would make up most of this gap, leaving a deficit of about 32,000 MT to be met by food aid.

**Sudan:** This year’s harvest in southern Sudan is likely to be significantly reduced because of erratic rainfall throughout much of the season, marked by a long, mid-season dry spell. The food situation remains especially precarious in several states of Darfur and Kordofan, affected by two successive poor harvests. The dry spell has also reduced the viability of traditional coping mechanisms, including fishing and gathering of wild foods. The most worrisome situation occurs when drought is exacerbated by chronic physical insecurity, especially in northern Bahr el Ghazal. Given the prospects for increased insecurity this year,
relief needs are likely to be higher than usual in many parts of Sudan this year.

**Rwanda:** The output of the second season crops increased from the previous year, as many refugees returned home and resumed agricultural activities. Overall production is larger than last year but still sharply down from pre-crisis levels. Because of low production in Rwanda and neighboring countries and the persistent national food deficit, however, the prices of basic foods have remained at more than double their prewar levels throughout 1997. Vulnerable households in traditionally food deficit areas or in villages absorbing high returnee case loads have already consumed household food stocks on hand, are unable to purchase food in the market, and are inadequately targeted with emergency food assistance. While the latest analysis shows that the food deficit in Rwanda increased during the second half of 1997, food assistance was reduced by almost 40 percent during the June - September period. On October 28, the National Food Committee agreed to distribute roughly 10,000 mt per month; targeting remains a critical issue.

**Burundi:** A recent FAO/WFP mission estimated total food production in 1997 at one percent above 1996 and 4 percent below the 1988-93 pre-crisis average. This reflects the impact of ongoing civil strife, which has prevented many displaced farmers from growing and disrupted access to agricultural inputs. Despite a relaxation of the embargo, food prices remain very high, ranging from one-third to 275 percent higher than a year ago. As a result, Burundi will continue to require food aid this year.

**Kenya:** The food supply situation remains tight, with prices at high levels following reduced 1996/1997 grain production. The latest Ministry of Agriculture estimates of long-rains maize production is down to 2.1 million MT, reflecting poor late rains in the major production zones. Current projections show an import requirement of nearly 500,000 mt for the first half of 1998. While the private sector clearly has the ability to import such quantities, the capacity of vulnerable groups to afford the high prices resulting from potential regional and national shortfalls is less certain.

**Tanzania:** The Government of Tanzania (GDT) has declared a national emergency with an estimated 766,000 mt food deficit. Other official numbers (collected at the local level) contradict this assessment. A FEWS field assessment indicates the shortages may not be as widespread nor the number of vulnerable households as many as initially projected. The government expects that 90 percent of the shortfall will be covered by commercial imports - even though world maize prices are too high to make imports profitable. Domestic prices will have to rise sufficiently before private traders will begin importing. Such price increases will make it more difficult for many poor and even middle class families to purchase food. WFP has prepared an EMOP submission for 76,000 mt to assist 1.4 million people in affected regions between October-April.

**Uganda** has experienced lower-than-normal food crop production levels due to a prolonged dry season and late onset of rains. The problem has been exacerbated in several districts by successive periods of very limited rainfall and/or droughts over the last several seasons which have depleted food stocks and household assets. Most of the vulnerable populations, representing about 4 percent of the country’s population, are concentrated in the eastern,
northern, and northeastern part of the country. Despite the extent of the problem, Uganda does not expect a major food crisis this year.
ETHIOPIA: FOOD SECURITY

SITUATION

While basically self-sufficient in cereals until the early 1980s, Ethiopia has not been able to meet its own food needs since the severe drought in 1984. Food aid (ranging from 100,000 to about 1.2 million MTs a year over 1984-1997 period), and to a much lesser extent commercial food imports, have increasingly filled the gap between food production and consumption requirements. Since 1994, Ethiopia seems to be on the path of economic recovery after a decade of highly fluctuating food production and overall economic stagnation. Production of cereals increased steadily over 1994/95 to 1996/97 from 6.9 million MTs, in 1994/95, to 9.3 million MTs in 1995/96 and to 11.1 million MTs in 1996/97 (CSA; FAO/WFP estimates).1

It is believed that policies implemented so far and aimed at improving producer incentives need to be supplemented by more concerted efforts to support production directly. Productivity at 10Qtl/ha remains among the lowest in Africa; the use of fertilizer is below the average for the continent; and, basic infrastructure (e.g., dams, canals, etc.) required to ensure production under adverse climatic conditions are virtually non-existent. Agricultural production in general and food output in particular remain highly dependent on climatic conditions. Indeed, Ethiopia is susceptible to recurring droughts and may well have begun a downward cycle with this year's drought as many of the structural constraints are yet to be resolved. Despite positive performances, the trend does not yet indicate sustainable food self-sufficiency.2

Per capita availability of food in good years such as the last two cropping seasons is believed to be higher than the minimum requirement level of 135 kgs per person per year established by the FAO and normally used in food appeals by the government. However, the FAO estimate is based on minimum requirements of food needs (1500 kcal) and are therefore not appropriate for the calculation of the average consumption levels which is necessary for inferences on overall food security within the country.3 The Ethiopian Medical Association (EMA) has estimated average per capita food consumption requirements at 225 kgs per capita per annum. Given this estimate of food requirements, a food gap in Ethiopia persists even in exceptionally good production years such as in 1996/97. Moreover, even though at a national level availability of food may have increased significantly, access continues

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1 Given two cropping seasons, in May and January, the agricultural year is thought of as the period from May to April.

2 An estimate of the 1997/98 crop is not yet available as a pre-harvest assessment is normally only undertaken in November or December. Unfavorable climatic conditions this year mean that the 1997/98 crop is likely to be significantly less than last year’s production.

3 Energy requirement is variable depending on a host of factors such as age, sex, body weight and activity of individuals. Because of the low food availability in Ethiopia and periods of severe shortages, base energy requirements used for computing food needs by the FAO are exceptionally low. OFDA’s handbook on food needs also uses a low figure of kcal requirements as its recommendations are for minimum energy requirement for displaced persons in shelter. Per capita energy requirement for healthy and active citizens can normally reach up to 3000 kcal whereas the FAO figure of 1500 kcal is by far below the standard level required for healthy growth and development.
to be a problem among vulnerable groups due to localized production failures and weak purchasing power.

It is not likely that the food gap will be covered by commercial imports. Import requirements in relation to the country's development effort and debt servicing (about 278 million USD in 1995/96) exert continuing pressure on resources. On the other hand, foreign exchange earning from the domestic economy remain fragile dependent on international coffee prices. Private transfers play an important role in alleviating the balance of payments constraint covering over half of the current account deficit. Nevertheless, assuming constant private transfers, favorable coffee prices and a relatively small food gap, the current account deficit (excluding official transfers) is projected at over 350 million USD (WB/PFP, 1996). Given that Ethiopia is already a severely indebted country, recourse to foreign borrowing as a means of covering the current account deficit is limited. In the long run macro-economic adjustment initiated by the GFDRE should strengthen Ethiopia's balance of payment position. In the immediate few years, however, public transfers (including food aid) and continuing increases in food production will remain the primary means of bridging this resource gap.

CURRENT FISCAL YEAR SITUATION

The primary concern for Ethiopia this year results from the failure of short season (belg) rains and the erratic nature of the main harvest rains (meher). Although the harvest is expected to be quite good in major crop producing areas of western Ethiopia, there are many marginal producing areas that will have below average production.

Due to the poor belg production in some areas, the DPPC increased its estimates of needy populations and food aid requirements for 1997 to a total of 4.64 million people and 427,800 MT of food, respectively. While these figures are still under discussion between donors and DPPC, all agree that many rural populations in Ethiopia are chronically vulnerable, and the failure of this year's belg harvest in some areas combined with rising grain prices, less than favorable prospects for the upcoming meher harvest and poor 1996 meher harvests in some pocket areas have led to elevated levels of current vulnerability for many localized populations.

The DPPC led Pre-Harvest Assessment began recently. This is a qualitative assessment of the harvest and the health of other sectors of the local food economies in combination with a review and revision of local estimates of the numbers of people in need of food aid which will be completed by early November. This assessment will (in conjunction with the annual FAO/WFP crop/Food Need Assessment which is scheduled to begin November 3) be the basis for the Government's Appeal for additional assistance and the basis for donor

The impact of the El Nino event on Ethiopia rainfall is not as direct as it is in many parts of the world, or even parts of Africa such as Southern Africa and Uganda. But, rainfall in eastern and northeastern Ethiopia was below average in August and insufficient to maintain normal crop development. While these are normally marginal agricultural areas, accounting for only about 10 percent of national production, poor harvests seriously increase local food insecurity.
The GFDRE has taken firm steps toward key policy and structural changes affecting food security. These include: a) commodity and service market reforms; b) restructuring of the state-owned manufacturing sector engaged in the distribution and processing of agricultural products with the intent of introducing competitiveness, revitalizing operations and eventual privatization of public enterprises; and; c) reorientation of agricultural services toward individual farmers and voluntary farmers' associations. The GFDRE has also developed a Food Security Strategy focusing on three aspects of food security: availability (agricultural production), access and emergency response capability. The strategy was presented to donors in the Consultative Group meetings in Addis in December 1996. Subsequently, the Federal government authorities consulted with regional governments on the strategy and in June, 1997, called donors in to present the Food Security Program which flows from the Food Security Strategy. The Ethiopians explained that the Program essentially deals with only the middle component of the strategy, that of entitlement of vulnerable groups and targeting public expenditure to research and extension on arid agricultural technologies; rural infrastructure development to link vulnerable areas to surplus producing regions of the country; environment protection and/or regeneration; livestock development; and, vocational training to provide vulnerable populations with skills that would allow them to move out of agricultural production in areas that are not suited for this kind of activity. The Federal government explained that the Program was only focused on these aspects of entitlement and access because there already exist programs dealing with agricultural production and with emergency response. Thus the only component of the Food Security Strategy which had been neglected was the "middle pillar" of access.

The Food Security Program provides innovative ideas to addressing food security issues in Ethiopia. In particular, it expands the focus of food security interventions and concerns to the household level. By doing so, it moves the outlook on this issue beyond filling the national food gap toward ensuring access to (and also to a limited extent, utilization of) food by vulnerable populations. This is indeed a step forward as it allows the recognition that inadequate availability of food will persist in some areas despite increasing availability at the national level due to localized production shortfalls, concentration of displaced persons and the limited capability of vulnerable populations to purchase their food needs.

Additionally, the GFDRE has introduced a policy on National Disaster Preparedness and Management (NDPMP) designed to improve its capacity for response to emergency situations (i.e., improved early warning systems, maintenance of a food security reserve and improved logistics) as well as to link relief and development activities so that relief inputs may not only save lives in the short term but also contribute to development in the longer term and reduce the population's vulnerability to disaster.

The Food Security Program and NDPMP represent two components of a three pronged approach outlined in the Food Security Strategy. The third component to increase overall food production and promote agricultural growth, has not been fully articulated in detail beyond the description found in the Food Security Strategy. While an official agricultural growth strategy has not
been shared with donors, some indication of the GFDRE's priorities are found in the EPRDF's Five Year Economic Growth Plan in which it is stated that agricultural development will be based on the dissemination of improved agricultural technologies to both marginal and high potential areas with the latter playing the lead role in narrowing the current food gap. Complementing this plan there has been the promulgation of a new Fertilizer Policy that encourages private sector investment in retail, wholesale and import operations and the sequenced deregulation of fertilizer prices; the adoption of a new cooperative Policy that restructures rural cooperatives as private sector cooperations owned by their members; an ongoing review of the nation's rural banking policy with of new legislation introduced to encourage provision of banking services in rural areas; direct financial intermediation by sub-national governments; and, the introduction of a widespread extension program in high potential areas. On the implementation side, the government has mounted an enormous agricultural intensification program through the extension system, and provides some 700,000 test plot farmers with high technology packages which include fertilizer, improved seed varieties, improved agricultural management practices and intensive extension assistance at the farmer level.

USAID/ETHIOPIA'S STRATEGY AND RESPONSE

The USAID/Ethiopia program includes improved food security as a principle goal. This is supported by the Mission's Strategic Objective #1: increased availability of domestically produced food grains, and the Special Objective: enhanced household food security in target areas. USAID/Ethiopia's approach to food security mirrors the government's strategy working in all three areas of food security outlined above.

Thus USAID investments include support to policy reform at the national level (both through conditionality under the Title III Program and through project assistance towards improved analytical capacity under the Development of Competitive Markets (DCM) Project) at the national level towards more efficient agricultural input and output markets. It is expected that this will be complemented by more direct support to agricultural production as a new project in support of SO#1 is developed. At present, the Mission is in the process of establishing an effective working relationship with GFDRE institutions responsible for the multiple aspects of increasing food production (such as the Ministry of Agriculture, National Bank, Ministry of Trade and Industry, MEDAC, Prime Minister's Office and Regional Governments) to jointly develop an assistance package and allow host government ownership of USAID's program. In doing so, the Mission is also in active dialogue with the government with regard to the next steps to be taken to implement the Food Security Strategy that would more clearly articulate the government's understanding of donors' role in the agricultural production side of the strategy.

Preparedness is an important part of the USAID Title II program. Historically, NGOs have been essential conduits for delivery of disaster assistance. With regard to improved entitlements by vulnerable households, USAID/Ethiopia provides assistance, under the PL480 Title II Regular Program, to five US (CARE, WVI, SCF, CRS, FHI) and two local NGOs, working through food-assisted development projects in vulnerable areas. This allows the provision of food to food insecure households and investment in developmental efforts such as environmental protection, maternal and child health,
education, agricultural intensification and rural roads construction to reduce their vulnerability in the long run. Finally, USAID/Ethiopia is also providing project assistance to enhance the GFDR's ability to respond to emergency situations by building capacity within the DPPC. This is of course supplemented by provision of food aid in periods of emergency or severe food shortage.

Early in 1996, members of the early warning and disaster response community in Ethiopia began meeting and determined that there was a need for much greater collaboration between the multitude of organizations collecting, analyzing and reporting the same or similar data. Participants determined that the top priorities should be to improve collaboration, assure consistent reporting and better estimate the extent and numbers of food insecure and needy people, and that these objectives could be best met by initiatives in comprehensive vulnerability and needs assessment. The purpose and process of the vulnerability assessment is to determine a comprehensive baseline (normal in terms of food security) for populations in Ethiopia, compare this, on the basis of the same indicators, to a given or current year and thus determine the relative current vulnerability to food insecurity of the affected population. Based on these ratings and the different components of the assessment, it is possible to better target emergency, mitigative and development interventions.

The government's Disaster Prevention and Preparedness Commission (DPPC) became heavily involved in these initiatives, and at its request, methodology and database sub-committees were formed under the government's Early Warning Working Group (EWWG) to continue work on developing a collaborative vulnerability assessment (VA) for Ethiopia. To further the VA process, a $3.7 million bilateral agreement for Strengthening Emergency Response Abilities (SERA) was signed on September 26, 1997 between the U.S. Government and the DPPC. The new project, an expansion of work begun last year, is designed to further enhance DPPC capacity to reduce the vulnerability of people in disaster prone areas of the country. Funds will be used to develop vulnerability profiles for the most disaster-prone zones in the country, to improve the assessment of needs and achieve better targeting of relief resources. As part of the DPPC's Strategic Preparedness Planning process, last June it conducted a Worst Case Scenario exercise to assess vulnerability factors for major hazards, such as drought, refugees floods and health epidemics.

The USAID FEWS Project began in the Sahel in mid-1985. The Project came about because USAID had determined that because of the lack of forewarning it received about the 1984 drought, it needed a capacity for early warning so that the agency would know in advance about needs for emergency assistance. Because of U.S. policy at the time and the opposition of the Mengistu regime, a FEWS Field Representative was not resident in Ethiopia until early 1993. However, FEWS hired an analyst to cover Ethiopia from Washington and to perform short-term assessments in Ethiopia as early as 1990. Since 1993, FEWS has been part of the USAID Food and Humanitarian Assistance (FHA) office, and provides the early warning to food security shocks and developing situations that is necessary for FHA and other donors to respond in a timely fashion. Title II program partners who are implementing programs in historically drought-prone areas are, as part of their on-going development programs, required to have Emergency Contingency Plans in place to collect early warning information pertinent to their area. This information is regularly provided
For the current food shortfalls, USAID is providing 20,000 MT of wheat to address the food aid needs of approximately 1.4 million people in the SNNPR, Tigray and Oromiya Regions to prevent asset depletion, migration and malnutrition in these areas. Approximately $10 million in FY 97 food commodities from Title III have gone to supplement the EFSR. To expedite distributions of food to vulnerable populations, the DPPC, who will receive the stocks and manage distributions, monitored jointly by DPPC and USAID/Ethiopia, plan to borrow from the EFSR. Ethiopia is also a likely candidate for Title III resources in FY 98. The grain imported from the U.S. will then replace the stocks drawn down when it later arrives in-country. USAID has already received notional requests for food assistance from a number of NGOs that total over 75,000 MT. It is expected that this request level will rise in the coming weeks. Other donors - the WFP, Norway, Canada, Germany and Britain - have already pledged assistance.

SHORT TERM ISSUES

1. Management of Food Aid

Given relatively high levels of agricultural production in 1995/96 and in 1996/97 the rationale for continuous food aid to Ethiopia has been brought into question. Measures of the structural food deficit indicate that the food gap, while declining, persists even in relatively good production years. Nevertheless, as domestic production increases more effective management of food aid to avoid disincentive effects in the context of declining cereal prices is crucial. There is a need for more flexible assistance with an appropriate mix of food imports as well as domestic production purchases for redistribution to food insecure households particularly in good years.

While picking up recently, prices of food crops had declined markedly over the last three years. Although this may be expected with increases in production and although it also means that access to food by consumers is increased, there have been times when price levels particularly of maize have fallen below what is required to maintain producer incentives to invest in new technologies. Low prices in a country with a high incidence of malnutrition as in Ethiopia suggests low effective rather than real demand. Thus the food security problem becomes both a problem of overall availability (including market efficiency and distribution problems) as well as low income generation within the economy.

This creates a paradox; on the one hand, during poor rainfall years, overall availability of food is lower than required to maintain adequate consumption levels within the country, there is a need to increase supply through say imports of food aid. On the other hand, in relatively good years, there is a need to maintain producer incentives in a situation of declining output (and

The Emergency Food Security Reserve is a key element in Ethiopia's preparedness scenario. USAID has supported the EFSR with commodities from the Title III program. Currently the EFSR has just over 80,000 MT physically on hand. Although the Reserve owns just over 268,000 MT there are outstanding loans of nearly 186,000 MT owed the Reserve. The 80,000 MT on hand could supply grain requirements for more than 1/3 of the country's population for a month, or smaller numbers of people for several months.
increasing input) prices. While this issue will be resolved as incomes, and therefore effective demand increases, a reconsideration of the role of food aid and its careful management is necessary. The government has sought to address this in the outlines of their Food Security Strategy, but only partially, by introducing a new concept; i.e., "food security assistance" which would shift food aid from commodity assistance to monetary assistance for domestic purchases of food for redistribution to vulnerable groups. Given a continuing food gap, however, there should also be room for importing food while modalities for effective targeting of commodity food assistance to a population that would otherwise not enter the market are worked out to avoid disincentive effects in the market.6

The food security reserve has had an important contribution toward regularizing food availability in Ethiopia and has introduced some flexibility in the management of food aid supplies. However, it faces a set of circumstances in relatively good years that have not been adequately addressed. First, when relief activity slows down, limited outlets for current stocks reduce the opportunity for proper stock rotation. The Reserve's administration needs to consider means of releasing older stock, perhaps onto the market while maintaining its overall level at maximum capacity. Secondly, a better coordination of its operation with that of the Ethiopian Grain Trade Enterprise (EGTE) which may hold buffer stocks for price stabilization purposes, needs to be considered. Efforts could also perhaps be made to move the operation of the Reserve to the private sector. Finally, although essentially supplied through donor grain imports, last year, the Reserve was supplemented with local production through the EU's local procurement. As domestic supply of food increases over time, the GFDRE could look at ways to make the EFSR more sustainable and less dependent on donor input.

2. Refinement of the Food Security Strategy

The GFDRE's Food Security Strategy is not fully articulated. While the approach of the government is to address separately three determinants of food security; i.e., increased national supply of food; improved entitlements by vulnerable households; and, management of emergency situations, the linkages between these are poorly defined. Also, the first component (increased national supply of food) is not articulated in a detailed fashion that clarifies priorities and timing, and particularly for donors, a lack of articulated role for donors and private sector. The result is a lack of a clear presentation of government priorities vis-à-vis different aspects of its approach to the issue of food security. Therefore, the role of donors beyond food security assistance (food aid) is unclear.

There is little doubt in most observers minds that the GFDRE is generally moving in the right direction with its agricultural policies. However, a comprehensive treatment of how the three components of the Food Security Strategy are to be linked in implementation of the Strategy is yet to be developed. More specifically, the agricultural policy has not fully resolved

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4 Due to an impending food shortfall resulting from failed rains this year, prices have begun to swing back. A timely distribution of emergency food aid is more urgent. Nevertheless the overall trend is an increase in agricultural production and the need for flexible management of food aid should not be overlooked.
issues with regard to increasing overall availability of food within the country, such as promotion of competitive input markets, the development of the private sector and the role of NGOs in support of the government's developmental efforts. For example, agricultural input markets remain regulated and there is allegedly an un-level playing field between public, private and quasi-private as well as among private enterprises. This together with an ineffective legal and regulatory framework and uneven access to government-owned or government-provided facilities and services create major barriers to private investor entry. Thus even though the government has embarked on an extensive extension program to increase farmer awareness of new agricultural technologies, extension services are poorly supported by under-developed systems for distribution of agricultural inputs. The government policy explicitly recognizes NGOs' role in disaster mitigation and food aid, but has been more reluctant to define their role in agricultural development. There is no articulation of NGOs' complementary roles to government in enhancing the agricultural systems particularly where innovation and experimentation is useful.

For the past three years, USAID has been in the process of designing an assistance program under the sub-goal of enhanced food security in Ethiopia. Initially, the absence of a food security strategy made it difficult to reach agreement with the government on focus and approach towards this important objective. USAID/Ethiopia had hoped the issuance of the Food Security Strategy and the emerging Food Security Program would allow the mission to define a program in 1997. Unfortunately, the content of the Food Security Program has been defined by the government to fit under the Mission's Special Objective on vulnerable groups and household food security. There is little in the Program that deals with the productivity issues of USAID/Ethiopia's Strategic Objective #1. The Mission is still hopeful that more progress can be made in the next year in defining its interventions that would address constraints that still exist in agricultural productivity and high potential areas, and it is here that the greatest impacts on the production side of food security can be achieved. Assistance would therefore be most useful and could record greatest results given the adoption of a balanced approach with investments in all areas of food security mentioned above. USAID/Ethiopia is actively engaged in dialogue with the GFDRE on this issue and also provides analytical support towards development of elements of such a strategy.

MEDIUM & LONG TERM ISSUES

Longer term issues revolve around the necessity for increasing income levels and promoting economic growth. Economic policy reform has to date focused in large part on addressing macro-economic imbalances. Sustained food security will depend on such reforms being complemented by structural changes that allow for increased savings and investment within the economy, that promote a competitive environment, that encourage the provision of services supporting agricultural production and that enhance financial intermediation.
DOCUMENT F.1

Accomplishments To Date in the GHAI - A Progress Report
ACCOMPLISHMENTS TO DATE IN THE
GREATER HORN OF AFRICA INITIATIVE**
A PROGRESS REPORT
November 1997

PURPOSE OF THE PRESIDENTIAL INITIATIVE

The Greater Horn of Africa Initiative (GHAI) is a Presidential Initiative which began in 1994. It responds to the major and persistent wars, civil strife and food emergency crises which affect many countries in the region. The Initiative is designed to increase the amount of attention focused on the region, to intensify USG (U.S. Government) interagency program development, and to achieve more effective synergies among all organizations working with African countries. The broad goal is to help achieve a "food secure, just and peaceful region." The specific strategic objectives of the GHAI are to strengthen African capacity to:

- Enhance regional food security
- Prevent, mitigate and respond to conflict in the region

THE GHAI PRINCIPLES

Discussions with leading Africans, non-governmental organizations and foreign policy and development specialists led to the definition of certain programming principles which should guide the Initiative. They include:

- Assuring African ownership and commitment to the programs supported;
- Improving strategic coordination of all USG programs, including coordination with donors and other partners, to maximize impact;
- Linking relief efforts to longer-term development activities;
- Taking a regional perspective to problem analysis and solutions, recognizing that many difficulties can only be resolved by interstate collaboration;
- Promoting stability through preparedness and flexible programming given that each of the GHA countries is vulnerable to significant economic and/or political change.

** The GHAI countries include Eritrea, Ethiopia, Djibouti, Kenya, Uganda, Tanzania, Sudan, Somalia, Rwanda and Burundi
ACCOMPLISHMENTS

The following pages give brief descriptions of various efforts underway and some initial results of the past few years' work. Based on the activities noted below, the philosophy and approach of the GHAI seem to be succeeding. The story begins with the revitalization of the African regional organization IGAD - the Intergovernmental Authority on Development.

> IGAD - Revitalizing the African Regional Organization Framework

With support from the GHAI, IGAD is becoming a key actor in the GHA region. Through an impressive revitalization process, IGAD:

- Has broadened its mandate to handle economic integration, food security and conflict prevention work;
- Has now received the arrears owed from member states;
- Has a dynamic new Executive Secretary;
- Has changed its decision-making rules from unanimity to a two-thirds majority;
- Has undertaken an active role in sponsoring Sudan peace talks; and
- Is now well-positioned to become the regional forum for member states to address fundamental issues which parallel those of the GHAI.

FOOD SECURITY ACCOMPLISHMENTS

The Greater Horn of Africa countries have for some time been chronically insecure with regard to food due to natural crises and civil strife. Drought and the possibility of famine can exacerbate civil tensions, and warfare and ethnic tensions frequently result in creating a food emergency. Warfare can bring about internally displaced people (IDPs), and when these people spill over national borders, the additional problem of refugees occurs. Regional efforts are therefore essential in coping with the short-term food insecurity problems, as well as in identifying longer-term solutions. Among the accomplishments to date are:

> Joint Studies to Result in Lowering Regional Transportation Costs

- Bilateral and regional USAID Missions, working with African researchers and governments have documented how transport costs could be reduced by 40 percent.
- Potential savings of $90 million dollars have been identified.
- Private/public sector policy dialogues on improving regional transport policies are underway within and between many countries.
Business and Non-Governmental Organization (NGO) Communities Have Been Mobilized to Participate in Public Policy Development

Bilateral and regional USAID Missions have been active in supporting African business leaders who are lobbying for a democratic and market-oriented policy environment.

- The Eastern and Southern African Business Organization (ESABO) has become a powerful interest group which works with IGAD and its member states in improving regional economic integration, refining trade and tariff policies, and boosting the private sector’s role in food security and development.
- National fora for government and private business leaders to dialogue on public policy issues are actively functioning and improving each group’s understanding of the other’s concerns.
- Food producers, transporters and marketers concerned with commercial and humanitarian operations are now actively consulted in planning more efficient assistance programs that do not damage private sector interests.
- An All Africa Businesswomen’s Association (AABA) has been supported by USAID with training and other capacity building activities, such as the establishment of a website for information exchange.
- The Common Market for Eastern and Southern Africa (COMESA) has become a major advocate for regional economic integration and trade liberalization among its 21 member states, including all of the Greater Horn countries.
- The combined impact of these organizations is beginning to make it easier to achieve regional trade based on the comparative advantage of the different member states, enhance mutual understanding among public and private sector communities, and result in improved economic policies.

ASARECA - Association for Strengthening Agricultural Research in Eastern and Central Africa - Heightens Research Efficiency

With assistance from USAID and other donors, ASARECA has:

- Established a five year strategic plan which raises efficiency in the conduct of expensive research;
- Coordinated research work programs to avoid duplication and ensure that the comparative advantages of each country’s institute are employed;
- Specialized commodity networks disseminate the resulting scientific and technological results throughout the region;
- Coordination of work programs with the international agricultural research centers have also been strengthened.
ECAPAPA - Eastern and Central Africa Program for Agricultural Policy Analysis
Established - Provides Policy Dialogue Information

- This program improves capacity to conduct socio-economic and agricultural policy research.
- ECAPAPA helps to assure that new technologies are cost-effective and that governmental agricultural policies are supportive of food security.

Regional Bean Crop Commodity Network Creates Higher Yields and Increased Income for Farmers in Five Countries

- Forty-seven percent of farmers now use the new bean varieties.
- The value of the additional yields in Rwanda alone is equivalent to $11.5 million in income for farmers.

Regional Potato Research Improves Varieties

- Six new varieties with higher yields and more disease resistance have been discovered and disseminated through commodity networks.
- Improvements to sweet potatoes have improved their industrial utilization.

Eritreans Adopt Long-Term Food Security Strategy

- Eritrea has undertaken a program of policy reform to improve their food security, without the imposition of policy conditionality.
- The focus is on trade, not aid; USAID funds assist feeder roads, and on and off-farm enterprises.
- USAID/Eritrea is supporting these efforts through the provision of food commodities under Title III.

Ethiopia, NGOs, and Donors Do Joint Vulnerability Assessment

In the past, cooperating countries, NGOs and donors often did separate drought assessments with varying methodologies and sometimes conflicting results. In Ethiopia:

- Collaborative work and close coordination now avoids wasteful duplication;
- Coordination with the Ethiopian Disaster Prevention and Preparedness Commission (DPPC) and NGOs has established a standard methodology to do vulnerability profiles; and
- The Ethiopian DPPC's leadership is ensuring that any relief efforts will be linked to development activities.
Government of Rwanda, UNDP and USAID Collaborate to Raise Farm Production and Productivity and Enhance Food Security Planning

Demonstrating improved strategic coordination among donors and Rwanda:

- The United Nations Development Program (UNDP) will manage the proceeds from sales of USG supplied emergency food aid, which will leverage UNDP and other donor agricultural programs;
- Part of the funds will be added to USAID’s database and analytic capacity building effort with the Rwandan Food Security Unit of the Ministry of Agriculture.

Widespread Collaboration Improves Operation Lifeline Sudan/South (OLS) Vulnerability Assessments

- Cooperation among rebel relief/rehabilitation groups with UN agencies, private voluntary organizations (PVOs) and NGOs, USAID and bilateral donors has resulted in more realistic assessments, better targeting of those most in need, and greater transparency in operations.
- This example has spread to the northern OLS area, where training and application of the methodology has raised donor confidence in the estimates of food aid requirements.

Multi-Donor Collaboration in Somalia Heightens Quality of Vulnerability Assessments and Relief Efforts

- USAID, the European Union, the World Food Program, the United Nations Development Program, and PVOs coordinate their food needs assessments in the Somalia Assessment Coordination Body (SACB).
- A Food Security Assessment Unit (FSAU) operates with the same methodology, which improves targeting of vulnerable groups, and assists designation of which agency is to respond with which approaches.
- In a country with no national government, the capacities of emerging local and regional authorities are being increased through involvement in the process.

ACCOMPLISHMENTS IN CONFLICT PREVENTION, MITIGATION AND RESPONSE

An important but challenging area addressed by the Greater Horn of Africa Initiative is the field of conflict management. The tools for preventing, mitigating and responding to conflicts both within and between states have not been developed to the same as extent as those which tackle food security issues. The issues of resource competition, political power, ethnicity, nationalism and religious fundamentalism require the creation of new approaches. It is all the more remarkable to see the initial creativity and achievements of African
countries, non-governmental organizations (NGOS), communities and various donors. They are developing conflict management strategies and disseminating the tools for building more just and peaceful societies.

In addition to the extensive relief and rehabilitation activities which mitigate suffering, the USG and its many collaborators support a number of other significant peace-building activities under the GHAI, some of which are noted below.

> A Guide to Preventing and Mitigating Violent Conflicts Has Been Published and Widely Disseminated by GHAI

- The guide spreads an extensive menu of tools and technologies which communities and governments can utilize to prevent, mitigate and resolve violent disputes.
- The guide identifies the circumstances under which each tool is likely to be most useful.
- A web-site has been established to encourage analysis of conflicts and responses and to list other organizational resources available to practitioners.

> Ethiopian Institute Holds Transboundary Conflicts Conference

There are numerous serious frictions and flash points across borders in the region. Africans are determined to manage these in ways which could prevent, mitigate or resolve them more quickly than in the past.

- The Ethiopian International Institute for Peace and Development conference (financed by the GHAI) brought together researchers, practitioners and government officials to share ideas in how to manage these conflicts in the future.
- Taking a regional perspective and reflecting the use of indigenous approaches, participants proposed ways of resolving cross border grazing, cattle rustling, and water sharing conflicts.

> Efforts to Reduce Violence and Promote Reconciliation are Underway in Burundi

- Each week 200 women participate in the Women’s Center promotion of dialogue and mutual understanding, including training in conflict resolution skills.
- Forty women’s organizations are involved in ethnic reconciliation efforts, tied to common local concerns with improving health, education, family life and legal rights.
> Tanzania Links Relief Roads Improvement to Long Term Development

Tanzania has borne a heavy refugee load due to the crises in the Great Lakes Region. In improving the roads for relief supplies, USAID/Tanzania:

- Supported emergency road rehabilitation efforts which have helped mitigate the human suffering of many refugees;
- Worked with the Government of Tanzania to implement a long-term road maintenance program which has continued after donor involvement ended.

> Uganda and Kenya Collaborate to Address Conflicts Among Pastoralists

- USAID/Uganda is supporting a Government of Uganda initiative on these border conflicts; the Government of Kenya has embraced the effort as well.
- Both governments will bring the local protagonists together to jointly develop solutions to a common problem.

> Three Agricultural Institutes Provide Seeds to Mitigate the Suffering of Communities Afflicted by the Genocide

Thanks to the aforementioned ASARECA member institutes:

- Destitute farm communities in Rwanda received appropriate seed varieties for planting. These had been assembled, multiplied and delivered by the agricultural research institutes of three countries working together.

> Innovative Ugandan Project Addresses Both Social Stability and Food Security Issues

Northern Uganda is a center of internal civil strife and large refugee settlements from the war in Sudan. As food insecurity and ethnic conflict frequently go together, USAID/Uganda, the Government of Uganda, PVOs/NGOs and other donors have designed a project which will:

- Provide both food supplies and agricultural inputs and training to increase farm production. All three groups, local growers, refugees, and internally displaced communities will benefit.
- Support indigenous Ugandan NGOs to mitigate and resolve the conflicts among the communities at the grass-roots level.
CONCLUSION

The Greater Horn of Africa Initiative (GHAI) is not just a source of funds to help Africans address some of their key problems. It is principally a way of:

- doing business collaboratively, of creating synergies in the seeking and sharing information from the full array of private and public sector institutions;
- appreciating the regional nature of issues and solutions;
- anticipating instability problems before they become insurmountable;
- planning together the strategic dimensions of actions to be taken; and
- ensuring that what is to be done is legitimate, desirable and undertaken jointly with our African partners.

The activities noted above demonstrate that this process is underway with considerable creativity and effectiveness. But it has only begun. All participants are well aware of the difficulties of achieving short-term impacts in such complex fields of endeavor. What is remarkable and encouraging is how far the Initiative has come in such a short period of time and what promise it gives of making a difference in the quality of lives of people in the Greater Horn of Africa.
DOCUMENT G.1

Background, One Pager for Secretary of State's Briefing Book
The Greater Horn of Africa Initiative (GHAI), which began in 1994, responds to the major and persistent wars, civil strife and food emergency crises which affect many countries in the region. The Initiative is designed to increase the amount of attention focused on the region, to intensify U.S. Government interagency program development, and to achieve more effective synergies among all organizations working with African countries. The broad goal is to help achieve a "food secure, just and peaceful region." Specific strategic objectives of the GHAI are to strengthen African capacity to enhance regional food security and prevent, mitigate and respond to conflict in the region. The GHAI countries include Eritrea, Ethiopia, Djibouti, Kenya, Uganda, Tanzania, Sudan, Somalia, Rwanda and Burundi.

Discussions with leading Africans, non-governmental organizations and foreign policy and development specialists led to the definition of certain programming principles which should guide the Initiative. They include: 1) assuring African ownership and commitment to the programs supported; 2) improving strategic coordination of all USG programs, including coordination with donors and other partners, to maximize impact; 3) linking relief efforts to longer-term development activities; 4) taking a regional perspective to problem analysis and solutions, recognizing that many difficulties can only be resolved by interstate collaboration; and 5) promoting stability through preparedness and flexible programming given that each of the GHA countries is vulnerable to significant economic and/or political change. These principles are incorporated in the USG Interagency Framework which was approved by all USG agencies participating in the GHAI (State, DOD, Agriculture, Commerce, etc).

Roughly $500 to $600 million in USG development and relief resources are programmed for the Greater Horn each year. Approximately two-thirds are for relief efforts, and only one-third are for sustainable development activities. The GHAI hopes to reverse this trend. A good deal of the current bilateral development funds address food security, and more will be programmed in coming years. Country teams are now enhancing their coordination efforts to be facilitative in conflict prevention, mitigation and resolution. To assist them, $15 million in development assistance has been provided, with about $7.5 million going to each objective. A major portion of these funds has been invested in building institutional capacity in the revitalized Inter-governmental Authority on Development (IGAD) located in Djibouti. USAID and other donors are working with IGAD to develop its capacity to play a strong regional role, helping its member states to address fundamental peace building and food security issues. Only Tanzania, Rwanda and Somalia are not now formal members.

In addition to working with IGAD, the Greater Horn of Africa Initiative is currently involved in NGO conflict management work in Burundi, is helping Uganda and Kenya to deal with conflicts among their pastoralists, has helped Ethiopia hold a transboundary conflicts conference, and is working on an innovative project in northern Uganda which addresses both social stability and food security issues. In addition, major work is taking place which facilitates dialogues between the private sector and governments on agricultural policy, trade
and transport issues, supports policy reform in Eritrea, increases the efficiency of agricultural research and results dissemination, strengthens famine early warning systems, and lowers costs of food aid through better targeting of the most needy.