



Cooperation Strategy Horn of Africa 2013 – 2016

(Djibouti, Eritrea, Ethiopia, North/North-Eastern Kenya, Somalia)

A “Whole-of-Government” Approach



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Glossary

ACF	Action Contre la Faim	IHL	International Humanitarian Law
ADRA	Adventist Development and Relief Agency	IMZ	Internationale Migrationszusammenarbeit
AfDB	African Development Bank	IPF	International Partner Forum
AMISOM	African Union Mission in Somalia	MCH	Mother and Child Health
AU	African Union	MERV	Monitoring von Entwicklungsrelevanten Veränderungen
BMI	Bethlehem Mission Immensee	MfM	Menschen für Menschen
BRIC	Brazil, Russia, India, China	MSF	Médecins Sans Frontières
CAADP	The Comprehensive Africa Agriculture Development Programme	NGO	Non Governmental Organisation
CBM	Christoffel Blindenmission	NRM	Natural Resources Management
CHF	Common Humanitarian Fund	NEPAD	The New Partnership for Africa's Development
COMESA	Common Market for Eastern and Southern Africa	OCHA	Office for the Coordination of Humanitarian Affairs
CSPM	Conflict-Sensitive Programme Management	OECD	Organisation for Economic Cooperation and Development
DAC	Development Assistance Committee	PoC	Protection of Civilians
DDPS	[Federal] Department of Defence, Civil Protection and Sport	PROOF	Programme Office
DR	Direktion für Ressourcen	RC	Regional Cooperation
DRR	Disaster Risk Reduction	SAFD	Sub-Saharan Africa and Francophonie Division
ECHO	European Community Humanitarian Office	SDC	Swiss Development and Cooperation
ERF	Emergency Response Fund	SHA	Swiss Humanitarian Aid [Unit]
FAO	Food and Agriculture Organization	SRC	Swiss Red Cross
FDFA	Federal Department of Foreign Affairs	SUKE	Schweizerisches Unterstützungskomitee für Eritrea
FDJP	Federal Department of Justice and Police	UN	United Nations
FOM	Federal Office for Migration	UNDP	United Nations Development Programme
GC	Global Cooperation	UNECA	United Nations Economic Commission for Africa
GIZ	[Deutsche] Gesellschaft für Internationale Zusammenarbeit	UNHCR	United Nations High Commissioner for Refugees
HA	Humanitarian Aid	UNICEF	United Nations Children's Fund
HEKS	Hilfswerk der Evangelischen Kirchen Schweiz	UNMAS	United Nations Mine Action Service
HoA	Horn of Africa	UNMIS	United Nations Mission in Sudan
HRF	Humanitarian Response Fund	UNMISS	United Nations Mission in South Sudan
HSD	Human Security Division	VSF	Vétérinaires Sans Frontières
ICC	International Criminal Court	WASH	Water, Sanitation and Hygiene
ICRC	International Committee of the Red Cross	WB	World Bank
IDP	Internally Displaced Person	WFP	World Food Programme
IFAD	International Fund for Agricultural Development	WHO	World Health Organisation
IGAD	Intergovernmental Authority on Development	WoGA	Whole-of-Government Approach

Introduction

The Swiss Agency for Development and Cooperation (SDC), together with the Political Directorate of the Federal Department of Foreign Affairs, the Federal Office for Migration of the Federal Department of Justice and Police, and the Federal Department of Defence, Civil Protection and Sport, developed the present Cooperation Strategy 2013–2016, in collaboration with Swiss Embassies, SDC Programme Offices and relevant stakeholders in the Horn of Africa. This Cooperation strategy primarily defines and extends SDC commitment, while combining synergies and interventions with other Swiss federal actors. It aims to support the populations of the Horn of Africa in their efforts to live in peace, improve living standards, deliver effective public services, prevent and mitigate crises and human suffering, enhance resilience, foster democracy, human rights and social accountability, reduce maternal and child mortality, and address migration flows. The priorities defined here are the results of the strategic definition process. Their implementation will be adapted over the next four years depending on the context evolution. The Horn of Africa is one of Switzerland's regions of concentration for development and humanitarian aid, a status acquired under the Federal Dispatch on International Cooperation 2013–2016 to the Swiss Federal Parliament. It is also a focus region for Switzerland's engagement in the domains of human security and migration in accordance with the relevant Dispatches. SDC Humanitarian Aid (HA) in the region dates back to the 1990s. From the beginning of the 21st century, Switzerland has been active with peace and state building support, as well as demining. In 2009, a regional humanitarian Programme Office (PROOF) was re-established in Nairobi (Kenya). In 2010, a humanitarian antenna of the PROOF opened in Addis Ababa (Ethiopia). In 2011, after the visit of the Swiss President in Kenya, the Swiss Federal Council granted an additional 20 million Swiss francs to SDC HA to help alleviate the effects of the regional drought and famine. Global interventions related to Food Security and Water (continental approach) were added (follow-up from SDC Ethiopia). **The present Cooperation Strategy 2013–2016 not only adds significant long-term development cooperation, but also combines SDC instruments into a "Whole-of-Government" approach, by sharing**

joint objectives and developing synergies with other Swiss Federal Government stakeholders.

The aim is to increase the coherence, effectiveness and impacts of Switzerland's contribution. It implements the recommendations of the *Evaluation of the performance of SDC instruments in fragile and conflict-affected contexts* and aligns itself with the regional policies and national development plans.

Switzerland needs to concentrate operationally, which requires more specific strategies under the responsibility of several operational structures. **This Cooperation strategy therefore focuses on the "small" Horn of Africa (Djibouti, Eritrea, Ethiopia, North/North-Eastern Kenya and Somalia), in the zones where Switzerland can bring its regional humanitarian/development and human security expertise, but also which are of direct concern with respect to international migration.** South Sudan, Sudan and Yemen are treated according to separate SDC cooperation strategies. To nevertheless ensure a political coherence in the broader region and towards IGAD, a concertation mechanism has been established between all Swiss actors.

After an overview of the regional context and Swiss interests/objectives, this paper assesses past experience and discusses the implications for the Cooperation Strategy 2013–2016. It then introduces the four sectors of engagement in which **action will be taken jointly, but each office concerned bearing its own responsibility for its (human and financial) resources and instruments, according to its mandate.** It concludes with information about programme management, monitoring and steering.

Bern, January 2013



Martin Dahinden

Ambassador
SDC Director-General

Executive Summary

The Horn of Africa is affected by 3 long-lasting conflicts: the fragmentation of Somalia, the sensitive separation of Sudan and South Sudan, and the unresolved dispute between Ethiopia and Eritrea. The Somali sub-conflict system is at the core of regional fragility, as it has strong regional impacts in the adjoining regions of South-Eastern Ethiopia and North-Eastern Kenya, and beyond. Substantial parts of the population experience political exclusion and economic marginalisation, sharpened by chronic and cyclic food insecurity with high climate variability and acute droughts in the (semi-) arid lands, creating a protracted humanitarian crisis. Local conflicts over equitable access and share of natural resources are intensifying. Throughout the region, the population suffers from a very high burden of diseases, with the world's highest maternal and child mortality rates. Mines and explosive remnants of war further diminish opportunities for earning a living and leave behind victims long after the armed conflicts. These combined challenges lead to forced migration and high numbers of refugees/IDPs, most of whom are hosted by neighbouring countries.

The diversity and the interconnections of these challenges call for a sharing of expertise and operational concentration on those areas where impacts can be maximized and regional synergies can be exploited. **This Cooperation Strategy 2013–2016**, with a total budget of **140.05 million Swiss francs** (94.32% from SDC), applies a **“Whole-of-Government” approach** to Somalia, Ethiopia and North/North-Eastern Kenya, addressing also Djibouti and Eritrea only if humanitarian needs arise and the conditions of engagement are given.

Switzerland's interests and overall hypothesis of change is that *people in the region gradually gain confidence in, and benefit from, their State institutions and services. Despite temporary setbacks they are increasingly able to share and manage resources peacefully and take advantage of economic opportunities. Switzerland promotes the transformation of conflicts and regional connectivity by addressing the long-term drivers of conflict and poverty which lie at the core of the fragility in the Horn of Africa, particularly the Somali conflict dynamics and conflicts concerning power and resource sharing.*

The **overall goal for Switzerland is to contribute to the reduction of poverty, improve human security and stability, and address migration challenges** in this new region of concentration. **The Swiss actors involved all contribute to the same 4 sectors and their corresponding goals of:**

- **Food Security/Rural Development sector**, aiming to increase food security and resilience of dry land communities by supporting the adaptation and diversification of their livelihood strategies to environmental and socio-economic change.
- **Health sector**: to improve the health of the population in the intervention zones (arid/semi-arid lands), with a special focus on maternal and child health.
- **Good Governance, State and Peace Building/ Conflict transformation sector**, to strengthen the culture of accountable governance and peace dialogue at local, sub-national and national levels with a specific focus on the transformation of the Somali conflict and conflicts concerning power and resource sharing.
- **Migration sector**, targeting the improved protection and living standards for refugees, IDPs and migrants in the region, and improved migration management to reduce vulnerability caused by irregular migration patterns.

Combining regional and multi-country interventions, these 4 sectors mainly correspond to the top priority regional policies of the Intergovernmental Authority on Development (IGAD), the African Union (AU) and the Common Market for Eastern and Southern Africa (COMESA), and to the National Development Plans of the partner countries. Aid modalities include bilateral and multilateral instruments, core/earmarked contributions to government-owned and multi-donor projects or delegated cooperation agreements, possibly also locally managed development funds and/or direct implementation. Switzerland will also streamline good governance, gender equality and conflict-sensitivity in all sectors. Policy dialogue at national and regional level will be systematically promoted, as well as donor coordination and aid effectiveness principles in fragile contexts (**New Deal**).

1. Regional Context and Conflict Analysis



The Horn of Africa is characterized as one of the most fragile regions in the world – Somalia being the most fragile State¹. It is affected by **3 major conflicts**: the long-lasting **fragmentation of Somalia** and the military intervention of its neighbours, the sensitive **separation of South Sudan from Sudan**, and the **unresolved dispute between Ethiopia and Eritrea**. Conflicts have occurred at every level: within and between States, among proxies, at the centre and in the periphery. The continuation of those conflicts affects the perceptions and expectations of governments and the public, and damages the countries' social and economic stability. Analysis of the structural causes of conflict reveals some strong common drivers in the region, including pronounced problems of centre-periphery relations, with substantial parts of the population experiencing political exclusion and economic marginalisation, sharpened by the global economic crisis. This is associated with highly inequitable sharing of natural resources (livestock, crops, oil, minerals), despite their considerable economic potential and sustained growth rates. The **Somali (sub-) conflict** – strongly determined by complex clan logics, conflict around resources and the presence of the extremist Islam-

ist movement of *Harakat al-Shabaab al-Mujahideen* linked to *Al-Qaeda* fighting the **new (August 2012) but still weak Somali federal institutions** based on a provisional Constitution – forms an integral part of the wider Horn of Africa conflict system. The ongoing violence in South-Central Somalia has regional impacts in the adjoining regions of South-Eastern Ethiopia/North-Eastern Kenya.

The region is moreover suffering from **chronic and cyclic food insecurity with acute droughts which in 2011 led to a famine**. Recurrent natural disasters and global crises (droughts, floods, epidemics, impact of climate change, food prices), fast population growth, induced or spontaneous migration from the productive highlands to the semi-arid lowlands, as well as a poor – though growing – understanding of policy makers regarding arid land management, impact human lives and the environment by increasing the scarcity of natural resources (mainly water and rangeland) and the pressure on the land productivity. **Local conflicts over the equitable access and share of natural resources**, and between host communities and displaced populations are on the rise, fuelled by the influx of small arms and light weapons. Moreover, contamination by **mines and explosive remnants of war** is high in several

¹ Failed States Index 2012: <http://www.fundforpeace.org/global/?q=fsi-grid2012>.



countries², which poses a security/humanitarian and socio-economic challenge. This vulnerability zone is mainly linked to the (semi-) arid lands, which include the whole Somalia, South & South-Eastern Ethiopia, North & North-Eastern Kenya, Eastern South Sudan, South-Eastern Sudan and Eritrea. These areas are dominated by (agro-) pastoral systems and home of at least 30 million people. State borders cut across such large-scale systems, which are the most suitable and efficient ways to use and protect the natural resources in (semi-) arid lands. Despite the comparatively higher vulnerability of these regions, they have been so far largely neglected. While a strong international livestock trade, agriculture, oil and minerals are regionally recognized as major economic sectors contributing to the national and regional economies gaining support by national governments and donors, smallholders with limited access to sub-national markets are hardly benefitting from them. **Gender** aspects are largely neglected, though women play an important but underused role in the pastoral and agricultural value-chains and communities. The highlands of Ethiopia and Kenya are the corn baskets and water towers of the region and beyond (10 important rivers flow from these highlands to the semi-arid lowlands of Somalia, Kenya, Ethiopia, South Sudan and Sudan), playing a vital role in regional food security and natural resources. Moreover, strong trade, internal labour migration and watershed-related links exist between the highlands and (semi-) arid lowlands, but have not yet been sufficiently studied.

The **burden of disease affecting the population of the Horn of Africa is one of the highest in the world**. Health systems are weak in all countries and underfunded in general, though Kenya and Ethiopia have recently achieved significant progress. Unmet health needs have particularly been identified in the (semi-) arid land zones of North-Eastern Kenya, South-Eastern Ethiopia and the entire Somalia. **Maternal and child mortality are the highest in the world**, the latter being strongly linked to communicable diseases such as diarrhoea (water-borne diseases) and nutrition deficits. **Insufficient service**

delivery in those zones by the decentralized health system prevents this population from benefiting from accessibility and affordability of quality care. Cultural and ethnic issues are another barrier.

These political and natural challenges result in forced and/or economic migration streams, mainly from Somalia, Eritrea and Ethiopia through Djibouti and Yemen to the Gulf countries and partly to Europe. Eritrean refugees are predominantly moving through Ethiopia and Sudan to North Africa and Europe, as well as towards Kenya and Southern Africa. In 2012, citizens from Eritrea account for the biggest number of asylum seekers in Switzerland, while those from Somalia rank number 9. **However, more than 1 million refugees and approximately 1.3 million IDPs are hosted by the countries of the region themselves** (refugees' camps in Northern and North-Eastern Kenya; camps in Northern and South-Eastern Ethiopia; in Djibouti; IDPs settlements – mixed with urban poor – in the whole Somalia). Mixed migration flows, consisting of refugees, asylum seekers and economic migrants are a further considerable challenge, to which human rights abuses, smuggling and human trafficking are connected. Protection measures, migration laws, asylum systems and integration efforts, are still inadequate or non-existent. Beyond the migration flows stemming from poverty and conflicts, there are strong links between migration and development: the remittances of the Somali Diaspora contribute approximately USD 1.6 billion/year, while the total donor support to Somalia amounts to approx. USD 1 billion/year. Many Somali from the Diaspora occupy key positions in the politics and economy.

At the core of the fragility in the region, there are 4 main regional dimensions: weak governance systems, conflicts over increasingly scarce natural resources, lack of basic services (mainly health, water, sanitation and education) in (semi-) arid lands, and migratory flows. Together, they shape a **human security** problem, with a high level of violations of human rights and IHL. Weak national governance systems and lack of earning opportunities have enabled ex-

² See the Mine Action Strategy 2012-2015 of the Swiss Confederation.

tremist movements to gain a foothold in South-Central Somalia and Yemen, and are partly responsible for piracy in the Gulf of Aden, a strategic shipping route essential to the world for oil transport and other vital goods. The **Intergovernmental Authority on Development (IGAD)**, located in Djibouti, is composed of all the countries of the Greater Horn of Africa. Supported by several donors (e.g. EU, WB, AfDB, GIZ), it has an important but difficult role in addressing the conflicts in the region, especially due to divergent political interests of its members and external influences. IGAD's political importance is amplified by the broader AU lead on conflict resolution (IGAD shaped AU interventions such as AMISOM in Somalia), but also by the relatively successful development of regional policies related to the mentioned natural, migratory and peace-building challenges. IGAD, as a convening power, has a significant role to play in aligning the interests and policies of all the actors.



2. Swiss foreign-policy interests and objective in the region, contribution by other donors



Switzerland's interests in the region directly relate to the causes of these symptoms which contribute to a destabilizing regional fragility: to tackle lack of development, reduce vulnerability to disasters and conflicts, improve human-focused governance structures, and address migratory pressure and global security issues (terrorism and piracy). Such challenges in such a fragile context require complementarities of the diverse tools of Swiss expertise – hence a **Whole-of-Government Approach (WoGA)** – to make sure that Switzerland (FDFA, FDJP FOM and DDPS) maximizes its positive impact and acts more coherently and efficiently. This is recognized in the Report on the strategic axes of Swiss Foreign Policy 2012–2015, taking into account the aspects of poverty reduction, social stability and peace. The Federal

Dispatch on International Cooperation 2013–2016 also lays the ground for the continuation of humanitarian aid and the establishment of bilateral development cooperation in the Horn of Africa.

Switzerland's overall hypothesis of change is that *people in the region gradually gain confidence in, and benefit from, their State institutions and services. Despite temporary setbacks they are increasingly able to share and manage resources peacefully and take advantage of economic opportunities. Switzerland promotes the transformation of conflicts and regional connectivity by addressing the long-term drivers of conflict and poverty which lie at the core of the fragility in the Horn of Africa, particularly the Somali conflict dynamics and conflicts concerning power and resource sharing.* The **overall goal of Switzerland's** engagement in the region is **to contribute to the reduction of poverty, improve human security and stability, and address migration challenges.** However, the combination of the diverse mandates of the Swiss actors to address root causes of migration is a demanding challenge. On the other hand, a Whole-of-SDC Approach, imposed by the context, is expected to be exemplary with such a strategy, but will require internal administrative/programmatic adjustments and joint processes.

Switzerland has so far focused on peace promotion, conflict resolution and prevention, and on the humanitarian consequences of conflicts and natural disasters. It has been operational with humanitarian aid and peace building instruments targeting Somalia, South Sudan and Sudan. The Swiss Armed Forces have been active in the region since 2000, supporting UNMIS and UNMISS Peace Keeping Missions, UN

Mine Action Programmes, and running a project on Security Sector Reform in South Sudan³. For the period 2010-2012, Switzerland invested a total of around CHF 85 millions (mainly humanitarian funding). Since the 1990s, it has invested important resources for reconstruction, rehabilitation and conflict transformation, mainly in the emerging nations during and after the civil wars.

Around 25 **Swiss NGOs**⁴ are well established in the region, and strong partnerships exist between SDC and some of them. **Swiss Research Institutes** (Centre for Development and Environment, Swiss Tropical Institute, Swiss Federal Institute of Technology Zurich, University of Neuchâtel, Small Arms Survey) and the Syngenta Foundation for Sustainable Agriculture, are also operating. The entire international community has been active for more than 30 years in the region with a strong regional presence of competent NGOs, multilateral and bilateral actors, led by the American and former colonial British powers, the UN and EU. There is a significant tendency of the establishment of “non traditional” bilateral donors and an increase of private investment mainly by BRIC countries, which are becoming key players. Like SDC, several contributors are looking at ways to better integrate their development and humanitarian portfolios and reinforce regional approaches. In Somalia, donor coordination remains a challenge and UN agencies like UNICEF, WFP, FAO, UNHCR and UNDP have carried the main burden for delivering services and humanitarian aid to the population, with mixed results. Donors are increasingly looking at mechanisms for direct engagement with the Somali authorities and support stronger involvement by international financial institutions.

3 To engage in military peace promotion (humanitarian demining, military observers, capacity building and training), Switzerland must act under a UN Mandate.

4 Addis Guzo, ADRA, Bethlehem Mission Immensee, Caritas Switzerland, CBM, Fastenopfer, Food for the Hungry Switzerland, Handicap International, HEKS, Helvetas Swiss Intercooperation, Medair, MfM, Mission am Nil International, MSF Switzerland, Pestalozzi Children’s Foundation, Selam Charity Switzerland, Solidarité Tiers-Monde, Swisscontact, Swispace, SRC, Terre des hommes Foundation, Valais Solidaire, VSF Switzerland, and Diaspora-based organisations.

3. FDFA past achievements and experiences

From 1990 to 2012, **SDC Humanitarian Aid (HA)** invested important resources for reconstruction, rehabilitation and conflict transformation, mainly in the emerging nations during and after the civil wars. For the past 6 years, it has been active regionally (Somalia, Kenya, Ethiopia, Djibouti), with an annual budget ranging between CHF 14 and 20 million; in 2011, due to the famine and following the visit of the President of the Swiss Confederation in the region, with CHF 35 millions. In 2009, it (re-)opened a regional office in Nairobi (Kenya) and designed a *Medium Term Programme (MTP) Horn of Africa 2010-2012* covering these countries. An antenna opened in 2010 in Addis Ababa (Ethiopia).

SDC HA regional programme during this period has focussed on the enhancement of livelihoods/DRR, on multi-sector emergency relief and on the protection of civilians. It has achieved the following main results:

- Resilience to drought and floods, and the adaptive capacities of the most vulnerable populations in the targeted arid and semi arid communities, have improved. This was brought about by individual but strongly interlinked projects on resilience, as well as institutional support to specialized agencies such as WFP and FAO, financially and through SHA expertise.
- Camp infrastructure for refugees and IDPs has improved due to secondments of Swiss experts and financial contributions to protection mandated

organisations. Protection schemes in the region for refugees and IDPs were promoted and systematically advocated. In the field of mixed migration, migration reception centres were established on migration routes and campaigns for the rights and the protection of migrants have taken place. Humanitarian assistance was provided in emergency situations, particularly in Somalia, and coordination mechanisms of the humanitarian system were improved thanks to systematic support by SDC to key agencies and active involvement in donor coordination. Due to the adherence to humanitarian principles, Swiss assistance managed to reach zones where access was restricted for other donors.

SDC HA has drawn the following conclusions from the MTP:

- The food security crisis in 2008 and the famine related to the complex emergency and drought in 2011 showed that traditional response mechanisms of the international community were inadequate in hard conflict zones like in the Horn of Africa. The lesson was a bitter one, when tens of thousands people in the region died because of malnourishment in 2011. More efforts for resilience building and stronger linkages between humanitarian aid, development and peace building are needed to tackle the problems. The shifting of humanitarian aid from predominantly emergency aid to resilience building from 2008 onwards has proven to be the adequate approach.



- Constant advocacy efforts for the populations suffering from conflict, forced migration or other inhuman treatment are needed to keep these human rights harassments high on the political agenda. Switzerland has a specific legitimacy and is viewed as a defender of International Humanitarian Law and Human Rights.
- SDC as a small but independent and neutral donor proved able to bring in its voice and comparative advantage as a credible and reliable actor, as well as with specific sector expertise, while some other agencies struggle with their image in a very politicized and volatile context.
- Security challenges have to be given special attention in this region. While the proximity to the field is of utmost importance in order to understand the needs and dynamics of the societies, the same proximity necessitates constant, attentive and profound security analyses in order to ensure the safety of partner organisations and own staff.
- CSPM needs to be an integral part of any action in order to avoid further harm to the systems and to maintain the neutral and supportive image of Switzerland.



Thanks to **SDC Global Programme Water Initiatives**, 2 centres in Ethiopia and Kenya on water and land management provide information and knowledge with a focus on the Nile Basin. Scientific observation of dynamics in model watersheds is complemented with development and dissemination of natural resource management technologies and scientific monitoring of their effects. Based on valorised experience of 30 years of soil and water management, SDC substantially contributed to the formulation of the new Water Act in Kenya and of Sustainable Land Management standards in Ethiopia.

With the support of **SDC Global Programme Food Security**, policy-oriented partnerships & collaborations have been established in land policy, post-harvest management, ecological organic agriculture and farmer participation in policy formulation. This includes international and regional organizations such as the FAO, UNECA, Regional Farmers' Organizations, the AU Commission and public and civil society organizations in Ethiopia.

Since 1998, the **Human Security Division (HSD)** of the FDFA has closely observed the various state building processes for Somalia. By providing expertise in facilitation, mediation, constitution making processes and power and resource sharing, HSD has supported various Djibouti peace processes, which led in 2004 to the establishment of the *Transitional Federal Government* (TFG). The TFG again laid the basis for the new Government of Somalia, established in August and September 2012. Since 2009, HSD has also supported various national and in-

ternational NGOs in their efforts to promote local democratisation processes and peace. It supports newly created autonomous entities in consolidating their governance structures as well as entering into dialogue with other entities and the federal government. Through these efforts, Somaliland's presidential elections in 2011 were a success, representatives of regional entities such as *Himan Heeb*, *Galmudug* and of the region controlled by the *Ahlu Sunna wal Jamaah* started talking, and Somaliland showed first signs of willingness to engage in a dialogue with the new federal government.

The national Constitution has been endorsed but now must be properly consulted with the Somali people through a referendum, and the autonomous regions must build up sustainable governance structures which ensure the provision of basic public services. Throughout the next four years, besides its efforts to contribute to a better management of migration flows and IDPs, HSD will use these results and lessons to continue its efforts in peace promotion, mediation, facilitation, good governance and in promoting respect for human rights and international humanitarian law⁵.

⁵ This includes support for armed violence prevention and reduction initiatives: although Djibouti, Eritrea, and Somalia are not yet signatory states of the *Geneva Declaration on armed violence and development*, HSD might provide support to them and to Ethiopia, Kenya, Uganda and Yemen, which have already signed the Geneva Declaration, to assist them to analyse inter-relations between armed violence and development and to encourage these governments to integrate armed violence prevention and reduction programmes into national strategies on security, development, poverty reduction, crime prevention and post-conflict reconstruction.

4. Implications for the Cooperation Strategy 2013–2016



The dynamics of the major conflicts and the regional challenges necessitates continuous analyses. However, Switzerland needs to concentrate operationally on the expertise it can offer and where it can maximize its impact. The **Somali conflict dynamics and their direct consequences on Somalia, South/South Eastern Ethiopia, North/North-Eastern Kenya**, as well as the partly **interlinked challenges over natural resources in the (semi-) arid lands and migration in and around Somalia**, justify joint **concentration on these zones**. There, the already existing combination between SDC regional HA interventions, Swiss peace-building and security efforts from the HSD and DDPS, and the presence of other Swiss stakeholders (NGOs, research Institutes) reinforce the Swiss presence, with useful synergies to be built. **Djibouti** hosts IGAD, a new strategic partner for Switzerland, and recipient of humanitarian aid.

It has the following further strategic implications:

- **Switzerland engages in conflict-prone areas, focusing on and around Somalia.**
- **“Whole-of-Government”**: to achieve its overall goal in the small Horn of Africa, Switzerland combines humanitarian and development instruments (SDC), political and diplomatic measures (HSD, SAFD and the embassies in Nairobi, Addis Ababa and Khartoum), migration (FOM, HSD, SDC) and security instruments (DDPS).
- Switzerland concentrates jointly on **4 themes: A) Food Security & Rural Development B) Health C) Migration D) Good Governance & Peace Building/Conflict transformation**. Good Governance, Gender and CSPM are cross-cutting issues for all Swiss actors.

- **Switzerland establishes a strategic partnership with IGAD**, to test approaches for regional instruments and policy dialogue related to this strategy. This partnership will be under the political and diplomatic guidance of the Swiss Embassy in Addis Ababa (Ethiopia), but together with the other responsible Swiss actors (SDC, HSD, FOM, Embassy in Nairobi) whenever operations and thematic issues are concerned. It will be evaluated by 2016.
- Within Somalia, apart from acute needs along the strategic themes which justify support, **Somaliland** has managed to re-establish peace, has had 4 generally free and fair elections and has begun to deliver tangible services to its population. All this might serve as examples to other Somali regions. Moreover, security in Somaliland is good enough to steer development projects, though armed escorts are mandatory outside Hargeisa, and in Puntland (to be reviewed and re-authorized by SDC Directorate every 6 months). Only the EU, and from August 2012 Denmark and the UK, have established offices in Hargeisa. Other donors such as Sweden and Germany are exploring such a possibility. Switzerland has a strong interest in being among decision-making partners within its field of operations, and in establishing a technical (not a political/diplomatic) presence – possibly with Denmark – and dialogue with the regional authorities. In order to promote connectivity (not fragmentation) and the exchange of experience and synergies across Somalia, **Puntland** will be supported as well, whenever possible. In **South-Central Somalia**, humanitarian aid programmes will be complemented with development ones where opportunities arise, through implementation modalities which will rely on indirect monitoring such as satellite images, beneficiaries surveys and third party verifications. On the **federal institutions** level, the evolving situation will need to be followed up and possible activities supported by the HSD and Embassies, when opportunities arise.
- In order to consider other politically-linked conflict and migration dimensions in the region, the **HSD, SAFD, FOM and DDPS** (under UN mandates) **will continue to also support South Sudan, Sudan and Yemen** in their mandates. SDC HA will continue to address these three countries under separate cooperation strategies and structures. A **joint concertation mechanism** has been established, to enable a Swiss coherence.

5. Priorities, Objectives and Impact Hypotheses

As part of its **overall goal of reducing poverty, improving human security and stability, and addressing migration challenges**, Switzerland supports in the **4 thematic sectors of A) Food Security/Rural Development B) Health C) Good Governance and Peace Building/Conflict transformation D) Migration**. The overall Swiss engagement will be guided by the OECD-DAC *Principles for Good International Engagement in Fragile States & Situations*, the *New Deal for Engagement in Fragile States* (Peacebuilding and Statebuilding Goals), and *Millennium Development Goals* 1 (Poverty & Hunger), 3 (Gender Equality and Women Empowerment), 4 (Child Mortality), 5 (Maternal Health) and 7 (Environmental Sustainability).

A) Food Security/Rural Development (including water):

The **goal** is to increase food security and resilience of dry land communities by supporting the adaptation and diversification of their livelihood strategies to environmental and socio-economic change, with **3 targeted outcomes**:

1. Increased adaptive capacities of dry land communities to cope with drought and other incidents that trigger food insecurity (including food assistance as coping mechanism in case of acute and chronic food insecurity).
2. Good practices of natural resources management (NRM), including water, are increasingly integrated into local, national and regional policies and institutions.
3. Improved needs-based services for livestock production, dry land agriculture and local value chain actors, with a focus on vulnerable persons, including women.

This sector will focus on **Somalia (whole), South/South-Eastern Ethiopia and North/North-Eastern Kenya**, and will be under the responsibility of SDC Regional Programme Office for the **projects of the 3 SDC domains of Regional Cooperation, Humanitarian Aid and Global Cooperation** (Food Security and Water Initiatives), potentially with joint projects and/or approaches. Collaboration has been established with SDC West Africa Division to capitalize on its experiences in the Sahel and promote cross-learning.



B) Health:

The **goal** is to improve the health of the population in the intervention zones (arid/semi-arid lands), with a special focus on maternal and child health. This should ensure a maximum synergy with the first theme of Food Security/Rural Development, through **4 Outcomes**:

1. In the targeted zones of intervention, the population's awareness is increased through better access to quality health promotion and prevention services at community level.
2. Increased access to, and improved quality of, basic health care delivery at community level, with focus on the needs of mothers and children, and including health workers capacity development, infrastructure and water supplies.
3. The (sub-)national systems are strengthened, and actors are enabled to implement service delivery responsive to the needs of all population groups in the intervention zones.



4. Experience and evidence are shared through regional knowledge exchange, and joint operational research influence policy, strategies and resource allocation in the countries.

To do so, **SDC Regional Cooperation and Humanitarian Aid** will act jointly to the maximum extent in the **same geographic zones** as for the Food Security/Rural Development sector.

C) Good Governance, State and Peace Building/ Conflict transformation:

Switzerland's **goal** is to strengthen the culture of accountable governance and peace dialogue at local, sub national and national level, with a specific focus on the transformation of the Somali conflict and conflicts concerning power and resource sharing. This includes strengthening the adherence to humanitarian protection principles and International Humanitarian Law, as well as humanitarian access.

5 outcomes targeted by diverse Swiss actors should directly contribute to this:

1. Selected Somali owned peace & State building processes/dialogues are supported; lessons learnt contribute to create framework conditions for a more sustainable peace process in Somalia and the HoA region. The focus will be on the reinforcement of the successful models of the related sub-regions, as far as possible in consultation and alongside the newly established federal institutions of Somalia. State building support will take place through a peace-building approach starting from decentralized levels, to support connectivity/convergence between the people and their administrations at all levels. Activities related to this outcome will be mainly implemented in Somalia (whole), but also in neighbouring regions. This outcome is under the main responsibility and funding of the HSD. Concertation and synergies between this outcome and the next one will be important, to ensure Swiss coherence.
2. The delivery of services at local/district level (mainly water, health, markets, roads and education) and local public finances are more efficient and decentralized, contributing to more accountable governance/democratization and conflict transformation. This is the main duty of SDC Regional Cooperation in Somalia (as a whole but mainly in Somaliland), potentially also in North/North-Eastern Kenya and Ethiopia (see map), and in close exchange with the HSD to maximize synergies at national/regional level.
3. Lessons from the Somali context and Switzerland's experiences are shared with IGAD (and potentially AU), and contribute to increased regional, national and sub-national capacities for conflict transformation. This will be a joint effort at regional level of SDC RC, HSD and the Swiss Embassies. HSD will also particularly focus at increasing the mediation capacities of IGAD through capacity building to IGAD staff.
4. Mine Action and Explosive Ordinance Disposal capacities in Somalia are reinforced, victims are assisted, and a larger access to mine-free lands for the Food Security/Rural Development sector of the strategy is enabled. DDPS (under UN Mandates) will ensure that Somaliland's (and Puntland's) authorities are able to conduct demining operations, while SDC HA will ensure concrete demining and victim assistance. Together, they contribute to reinforcing the capacities of these Somali regions and to enabling a larger access to mine-free lands for the Food Security/Rural Development sector. These activities might be geographically extended.
5. Increased adherence by conflicting parties and authorities to humanitarian principles and International Humanitarian Law (IHL) and Human Rights (HR), as well as increased humanitarian access. This will be mainly done by SDC HA protection projects in all countries of this Cooperation Strategy.

D) Migration:

The Swiss **Goal** is to improve protection and living standards for refugees, IDPs and migrants in the region, and to improve migration management to reduce vulnerability caused by irregular migration patterns, through **3 Outcomes**:

1. Targeted refugees, IDPs and migrants are better protected and their living conditions are improved, while targeted host communities are served with specific programmes in order to reduce their burden. Programmes will be coordinated and will seek synergy between all Swiss actors concerned (Protection in the Region Horn of Africa/Yemen), as well as with the Food Security and Health sectors through programmes targeting host communities. Responsibility will be assumed jointly by SDC HA, HSD⁶ and the FOM for programmes in Northern Kenya, Ethiopia (including the camps in the North), Djibouti and Somalia. They will ensure a sharing of knowledge and synergies with their parallel activities in Sudan and Yemen.
2. National and regional migration management is strengthened and improved i.a. through a dialog with IGAD, bilateral dialogues and capacity building of national authorities, contributing to a better respect of mixed migrant's rights. This will concern the whole region and will be managed together by SDC HA and GC, HSD and FOM.
3. Synergies between Diaspora activities and regional, national and local development and humanitarian programmes are identified and pilot projects of Diaspora organizations are launched. This will be the duty of SDC GC (Global Program Migration and Development), and should provide the basis for potential extended forms of cooperation during a second strategic phase 2017-2020.

These activities and the whole Cooperation Strategy may, in the long run, have an influence on secondary migration towards Europe and Switzerland as they tackle the root causes of forced migration and help providing protection in the region. However, such possible effect has neither been scientifically proven nor can it be measured.



Transversal themes for all Swiss stakeholders:

- **Good Governance:** in addition to specific interventions, enhanced equitable and secure access to natural resources, and socially accountable allocation and use of public resources, will be a streamlined focus in all sectors. This requires working both with rights-holders and duty-bearers (rights-based approach).
- **Gender** will be addressed through sector and specific analyses. Gender-sensitive targeting, services, tools and approaches will be developed in a maximum of programmes to address gender-specific dimensions and results.
- In all interventions, Switzerland will apply **conflict-sensitive tools and analyses (CSPM)** supporting positive conflict transformation/peace building (principle of "do least harm"). Part of SDC budget will be used for regular conflict analyses/CSPM studies.

These four strategic sectors are generally in line with relevant **regional policies of IGAD, AU and COMESA⁷**, as well as the **National Development Plans⁸ and related strategies/sector policies of the partner countries**. These regional and domestic documents provide important frameworks to which Switzerland will further align, provided that they correspond to the Swiss values and overall political approach. Active coordination with bi- and multilateral actors will be central, to the extent corresponding to this strategy.

⁶ HSD coordinates the interdepartmental Working Group on Protection in the Region Horn of Africa/Yemen.

⁷ Mainly: Regional Disaster Resilience and Sustainability Platform (IGAD, 2012); Livestock Policy Initiative (IGAD, 2006); Conflict Early Warning and Response Mechanism (IGAD); Peace and Security Strategy for Southern Somalia (IGAD); Regional Migration Policy Framework (IGAD); Policy Framework for Pastoralism in Africa (AU, 2011); Framework and Guidelines on Land Policy in Africa (AU, 2009) / CAADP Framework (AU/NEPAD 2003) / Policy Framework on Food Security in Pastoral Areas (COMESA, 2009).

⁸ Ethiopia: *Growth and Transformation Plan (2010-2015)* / Kenya: *Kenya Vision 2030 (2008-2030)* & *Kenya Medium Term Plan 2012-2017* / Somaliland: *Somaliland National Development Plan (2012-2016)*. In Puntland and Somalia (Federal level), respective plans are being developed.

6. Strategy Implementation and Management

This Cooperation Strategy will consist of a **combined regional approach with:**

- **Regional interventions**, to support regional-level institutions (especially IGAD), processes and mechanisms (conflict resolution, Peace Building, Resilience/Disaster Risk Reduction programmes and Migration), to harmonize standards and policies, and to support regional learning platforms. In the (semi-) arid lands, interventions will also include concrete activities on both sides of borders (possibly through the same partners), and the potential for cross-border activities will be explored.
- **Multi-country interventions**, wherever the national policies hamper cross-border activities or where they are closely linked to national systems (e.g. in the health sector). Testing approaches and generating results at country level will also be important to influence regional initiatives and policies (bottom-up approach). Political and diplomatic considerations on Somalia might foster bilateral and regional dialogues. In general, operations will target border areas to maximize regional conflict resolution, integration and learning.

Research activities in the Horn of Africa which directly contribute to the specific strategic outcomes in the related geographic concentration (see map) might be funded under this strategy through mandates, not with institutional support. Activities in the region that are of continental/global interest and/or any other research activities might be funded by SDC GC beyond this strategy, potentially under the modalities of the *Swiss Programme for Research on Global Issues for Development*.

The complex context requires a conflict-sensitive portfolio management. It consists of a multi-zone approach and the following appropriate mix of modalities and partnerships. As a tendency, multilateral and joint partnerships will be predominant at the onset of the development programmes.

- **Multilateral** (e.g. with the UN, ICRC and possibly international finance institutions) and regional ones (IGAD), possibly including the support of Swiss experts when needed. This type of modality provides the opportunity to access and operate in difficult/conflicting areas beyond Switzerland's own capacities, as well as to improve its access and

(policy) dialogue to the international community and local authorities of such areas.

- **Core/earmarked contributions** to government-owned and multi-donor projects, and/or delegated cooperation agreements. This type of modality particularly enables to align to the regional and countries' priorities, and enhances donor coordination and harmonization by reducing overhead costs and avoiding duplicated funding. Delegated cooperation arrangements will be used whenever another donor has better access than SDC to intervention zones and/or is already implementing a project with a reliable partner which SDC has a strong interest to join instead of duplicating its costs, provided that the monitoring of the partner and delegated donor is at least as strong as SDC one and that SDC can fully participate in the steering committees of such projects.
- **Bilateral instruments** (contributions and mandates to implementing Community-Based Organisations, NGOs, research institutions, contracts with private sector). This type of modality will be used to directly access and impact the targeted communities, especially when conflict- and culture-sensitivity require local knowledge, language skills and expertise for a better acceptance and recognition in the communities, but also to test approaches and to promote field-based learning towards regional policy advocacy.
- **Locally managed development funds** (governed by people, mainly for the local service-delivery components). This modality gives the responsibility and decision-making process back in the hands of the people themselves. It therefore promotes respect, recognition and ownership for development, contributing therefore to social accountability and dialogue. In order to avoid corruption practices, it will be used only in very limited amounts and through trusted intermediate fiduciary organisations (mainly the UN).
- **SDC HA direct implementation modality**, wherever such modality has a strong comparative advantage (technical know-how to kick-start a project, emergency aid, etc.).

To maximize impacts, SDC Regional Programme Office will **design, implement projects/programmes which might potentially be jointly funded by the 3 domains of SDC (RC, GC and**

HA – “Whole-of-SDC Approach”), wherever interlinked long-term humanitarian and development needs call for a comprehensive approach. If necessary, **new operating procedures** will be established accordingly among SDC domains. New projects (including research) will be tendered and start with proper baselines (opening phases). Exceptions might concern projects with IGAD, the UN or partner States, contributions, delegated cooperation, emergency response and/or extraordinary justified cases, which might also concern current existing projects. Due to insecure access in part of the region (particularly South-Central Somalia, Puntland, part of Somali Region of Ethiopia), Switzerland will implement programmes by indirect modalities (through trusted partners such as ICRC, FAO, UNICEF, WFP or Delegated Cooperation Agreements) and might delegate some of the monitoring responsibilities, while

maintaining financial control. This entails the risks of not being fully able to monitor and report on all the results. This risk has to be taken if a durable impact is to be achieved and the causes of fragility addressed. **Around CHF 140.05 million will be jointly allocated to the small Horn of Africa** under this Co-operation Strategy. CHF 132.1 millions (= 94.32%) will come from SDC and CHF 7.95 millions (= 5.68%) from the other Swiss offices concerned. A part of SDC budget will be spent for: small actions, culture, security, regular CSPM studies and conflict analyses, measures reinforcing the WoGA. The total structure costs will be shared between SDC 3 domains and added to this budget, according to the respective yearly budget repartition of each domain. Costs for the share of buildings with Embassies will be shared with the DR.

Budget Cooperation Strategy “small” Horn of Africa <i>See Appendix 5 for details</i>	2012	2013	2014	2015	2016	Total 2013–2016	%
Food Security/Rural Development	8.70	9.50	11.70	14.00	15.00	50.20	35.9%
SDC (RC, HA, GC)	8.70	9.50	11.70	14.00	15.00	50.20	35.9%
Health	3.50	4.20	5.50	7.25	8.00	24.95	17.8%
SDC (RC, HA)	3.50	4.20	5.50	7.25	8.00	24.95	17.8%
Good Governance/Peace Building	3.70	4.95	5.95	6.95	8.00	25.85	18.5%
SDC (RC, HA)	2.30	3.50	4.50	5.50	7.00	20.50	14.6%
HSD	1.00	1.00	1.00	1.00	1.00	4.00	2.9%
DDPS	0.40	0.45	0.45	0.45	0.00	1.35	1.0%
Migration	8.40	8.65	8.25	7.95	7.20	32.05	22.8%
SDC (HA, GC)	8.10	8.00	7.60	7.30	6.55	29.45	21.0%
HSD	0.00	0.15	0.15	0.15	0.15	0.60	0.4%
FDJP FOM	0.30	0.50	0.50	0.50	0.50	2.00	1.4%
Others	1.20	1.50	1.50	1.75	2.25	7.00	5.0%
SDC (RC, HA)	1.20	1.50	1.50	1.75	2.25	7.00	5.0%
TOTAL	25.50	28.80	32.90	37.90	40.45	140.05	100%

The existing SDC HA **Regional Programme Office in Nairobi (Kenya)**, physically located with the Swiss Embassy, will be adapted to represent the 3 domains of SDC (RC, GC, HA). A Regional Director of Cooperation (Expatriate) will have overall responsibility for all SDC operations under this strategy, and a Head of Finance & Administration (Expatriate) for all related administration and finances. From 2013, the existing programme office of SDC GC Food Security – physically located with the Swiss Embassy **in Addis Ababa (Ethiopia)** – will function partly as **antenna of the Regional PROOF** to implement the Ethiopian-related part of the strategy, and partly for the remaining programmes of SDC GC in Sub-Saharan Africa. All staff and programmes based and run in Ethiopia will be under the authority of the Director of Cooperation in Ethiopia (Expatriate), the part related to this strategy however under final responsibility and supervision of the Regional Director of Cooperation. Details will be ruled in the respective Terms of References. The majority of the remaining staff will be composed of local employees. Swiss Expatriates under SHA contracts might be necessary in specific cases. A small additional structure might be opened **in Hargeisa (Somaliland) as a second (technical) antenna of the Regional PROOF**, to exploit these opportunities and comparative advantages that SDC can have there (see chapter 4), to better understand the Somali culture and its clan/ethnic systems, in order to contribute to the regional balance and connectivity across the Somali regions, as well as to better monitor the projects. Its set-up modalities will be decided in 2013. SDC offices will be organized to maximize synergies among themes and Swiss actors. The need for potential additional staff will be carefully assessed during the strategy.

The First Embassy Secretary in Nairobi is currently monitoring HSD projects in Somalia, under HSD funding. Potential additional staff from HSD and/or FOM (such as an Immigration Liaison Officer, ILO) might be located within the Swiss embassies in Nairobi, Addis Ababa and/or Khartoum, and funded by the respective office concerned.

For SDC, 2013–2015 have to be considered as transition years until the operational programmes are established and structures fully adapted by 2016. 2013 will particularly be used to acquire the remaining knowledge needed to translate the strategy into detailed operations (consultancies, local studies, etc.) and to secure all the legal and administrative requirements (agreements with partner countries and IGAD, (delegated) cooperation agreements, tender processes for new projects, staff and structure set-up/re-organisation, etc.). In 2013, SDC concrete development operations and results will be limited.

7. Strategic Steering

Mechanism related to the overall Swiss engagement:

A **joint concertation mechanism** is established under the coordination of the SAFD, to enable coherence and political/diplomatic steering on the overall Swiss engagement according to the information note passed through the Swiss Federal Council on 30.11.2012. It will comprise of representatives of all offices concerned (SDC 3 domains, HSD, SAFD, DDPS, FDJP FOM). Details are ruled in its Terms of References.

SDC Regional Director of Cooperation assures that the coordination and coherence measures agreed upon under the joint concertation mechanism are appropriately translated for SDC operations in the zones under his/her responsibility.

The thematic coordination among the different offices concerned by migration will mainly be ensured within the structures of the already existing **international cooperation on Migration (IMZ Working Group Migration Horn of Africa/Yemen)**.

Mechanisms related to this Cooperation Strategy:

1) Risks: CSPM and Security aspects and tools will be monitored and continuously adjusted. Regular internal and external conflict analyses, scenarios (Appendix 4), the MERVs and the analyses of the respective Swiss Embassies will be shared as key instruments in this regard. Routine security contingency planning will be established and monitored by SDC Regional Security Advisor and Regional Director of Cooperation, together with the Swiss Embassies concerned. The authorization for armed escorts (imposed by the governments

across Somalia and required in the Ogaden region of Ethiopia and North-Eastern Kenya) will be reassessed and (tacitly) renewed by SDC Directorate every 6 months. Missions of FDFA Security will take place at least annually to support SDC offices and embassies in their security management and adaptation of measures.

2) The monitoring of this strategy will take place at 3 levels:

- *Regional and Country levels:* assessing context changes and progress made in delivering the expected results according to the relevant regional and national Poverty Reduction Strategies/Policies and sector strategies in fields relevant for the SDC interventions.
- *SDC Programme Portfolio:* the effectiveness, relevance and conflict sensitivity of SDC activities and results over the 4 years, will be mainly monitored according to the results framework (Appendix 2). Wherever possible, the Programme Offices will use existing information and monitoring systems. However, the timely availability and reliability of official data will remain a challenge, in particular when breakdowns at local level are required. This relates mainly to Somalia and the Ethiopian Somali region, which generally lack of data. Unfortunately, Gender disaggregated data is in most areas not yet available.
- *SDC Portfolio management:* assessing the efficiency and effectiveness of programme management as well as the positioning of SDC/Switzerland in the Horn of Africa Official Development Assistance context.

All SDC operations and results are led by SDC Regional Director of Cooperation, taking into account the respective ambassadors' assessments. The responsibilities of SDC Regional Director of Cooperation follow the established and approved SDC internal rules. They entail among others to: decide on humanitarian and development policies influencing the strategic implementation and monitor the institutional set-up, decide on programmes and actions, manage the security, finances and human resources. SDC Regional Director of Cooperation will also ensure the coordination of SDC activities with those of the other Swiss actors operating in the same zones. Joint missions will be systematically encouraged, to benefit from the synergies of the WoGA.

3) Annual reporting: SDC Regional PROOF, under the lead of SDC Regional Director of Cooperation, will report annually on progress made towards achieving the planned portfolio outcomes and contributing to the corresponding regional and countries' development objectives, mainly in the form of the Annual Report. All other operational Swiss offices concerned (HSD, FOM, DDPS) contribute to it according to their own reporting procedure.

4) Review: The review of this Cooperation Strategy is led by SDC Regional Director of Cooperation through the steering, monitoring and reporting instruments mentioned above. At the end of 2015, a single joint strategic review workshop at regional level, with participation of all Swiss stakeholders concerned, will evaluate this Cooperation Strategy and provide indications on the future involvement of Switzerland in the region.

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