Analysis of regional root causes of food insecurity and livelihood vulnerabilities in the Horn of Africa (HoA) region - covering Somalia, South and South-Eastern Ethiopia and North-Eastern Kenya

Informing a Theory of Change and Pathway of Change and for the Food Security Domain of the SDC programme 2022-2025

For: Swiss Development Cooperation - Horn of Africa

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Abbreviations

ACT	Agroecology Criteria Tool
ASAL	Arid and Semi-Arid Lowlands
CFS	Committee on World Food Security
CGIAR	Consultative Group on International Agricultural Research
CSPM	Conflict-Sensitive Programme Management
DAC	Displacement affected communities
DFID	Department for International Development Now: FCDO Foreign, Commonwealth & Development Office (UK)
EOA-I	Ecological Organic Agriculture Initiative
FAO	Food and Agriculture Organization
FCDC	Frontier Counties Development Council
FIBL	Forschungsinstitut für biologischen Landbau
FS	Food Security
GBV	Gender Based Violence
GPFS	Global Programme on Food Security
HDN	Humanitarian Development Nexus
HDPN	Humanitarian Development Peace Nexus
HoA	Horn of Africa
IDP	Internally displaced person
IFAD	International Fund for Agricultural Development
IGAD	Intergovernmental Authority of Development
ILRI	International Livestock Research Institute (ILRI)
IUCN	International Union for Conservation of Nature
NRM	Natural Resource Management
PEA	Political and Economic Analysis
PPG	Pastoralist Parliamentary Group
SCO	Swiss Cooperation Office
SDC	Swiss Agency for Development and Cooperation
SDG	Sustainable Development Goals
SDR	Strengthening Drought Resilience (Ethiopia)
SIRA	Somalia Information and Resilience Building Action
SLH	Sustainable Livelihoods
SomReP	Somalia Resilience Programme
ToC	Theory of Change
ToR	Terms of Reference
UNCCD	UN Convention to Combat Desertification
UNDP	United Nations Development Programme
WFP	World Food Programme

1 Summary

SDC is implementing the Horn of Africa (HoA) Regional programme in Somalia as well as the arid and semi-arid lowlands (ASAL) of Southern Ethiopia and Northern Kenya. The region will be called ASAL-region in this report. A root cause analysis on the problems of food insecurity and livelihood vulnerability was conducted for the Food Security (FS) programme domain in order to define a Theory of Change (ToC) based on the causal pathway for the next programme phase 2022-2025. The ToC was developed progressively: The analysis the situation allowed to identify the root causes, based on which the pathways of change were developed. The pathways of change provide an overview of how change is expected and may happen. This translated into the results chain and eventually to a narrative ToC - statement that summarises the approach.

The root cause analysis identified two root causes “weak entities” and “inadequate management of natural resources”, both of which are deeply rooted in existing power imbalances, leading to conflict and inappropriate/unsustainable responses to stress and livelihood vulnerability. On the one hand national governments of the three countries so far have not been successful to assure the infrastructure and services to achieve food security in any of the countries and within the programme region, which has been marginalised in the past. On the other hand, livelihoods have been fragile for years, impacting on all assets and the organisational capacity to react to the crisis situation and build up community resilience. In addition, these communities suffer greatly from the effects of climate change which is largely caused by unsustainable industrial production and consumption patterns of the so-called developed countries.

The newly and jointly developed ToC specifically foresees a stronger focus of SDC to improve the management of natural resources through the promotion of sustainable productive practices in livestock and agriculture by the communities. Such long-term changes are only possible and realistic, if supported by formal and informal entities which provide a conducive environment for complementary land governance, development, and implementation of regulatory frameworks as well as the provision of appropriate infrastructures and services.

Agro-ecology was introduced as a concept and flexible approach which does not define specific standards or practices but rather a process which is people-centred and regenerative to the environment. It combines principles of inclusiveness and ecology, with the aim of providing food security and sustainable livelihoods for both pastoralists and agricultural farming families. Given that the SDC Global Programme on Food Security (GPFS) specifically states agro-ecology as one of its three pillars for improved Food security, SDC HoA is in a good position to further explore the transformative potentials over the next programme phase and develop experiences and competences working with communities and entities.

2 Introduction and background to this study

In the last decade, the SDC HoA programme has moved from a focus of Humanitarian Aid to an approach in the sense of the Humanitarian Development Peace Nexus (HDP -N). A mid-term evaluation of the SDC Regional Programme was conducted in 2020. With regard to the Food Security Portfolio one of the major findings summarized that the FS scope of action still focused too much on symptoms rather than addressing root causes and shortcomings that could form the foundation for a longer term

and sustainable food production and development. It was communicated that an approach focusing on root causes might also help to identify priority lines of action to enhance and mutually reinforce the project portfolio towards transformative change. Consequently, SDC prepared for conducting a root cause analysis as a contribution to the development of the upcoming new regional programme and its FS portfolio.

On the positive side all three countries have followed different strategies to provide responsible frameworks and legislation and there exists a growing consensus that community participation is a key to develop livelihood resilience and peace between conflicting parties. Furthermore, a growing evidence is developed to indicate the importance of sustainable grazing cultures for a positive climate change.

Why is it important to know the root causes of a problem when planning development interventions? Such causes are "rooted" in existing underlying conditions, or even structures that determine everyday life and hence the livelihood situation of a household or community and strongly influences the entire food system locally and, consequently, globally as well. An awareness of the root causes helps to consider structural elements with regard to specific areas of intervention. Knowing and considering root causes is part of a "Do no harm approach", which recognises that any intervention may have side-effects and may even enhance a problem in the long-term.

A specific example is the organisation of food aid as a short-term necessity for people suffering acute food shortages as a result of shock and crisis. However, the life-saving and humanitarian elements require attention and prioritization, for the response may enhance a situation whereby those responsible for shocks and crisis situations may gain more influence and power. It also absorbs capacities, human or financial, that are then not available for longer term development work that has the potential to address root causes. As a result there is no long-term change of the situation and the underlying root causes, leading to even more crisis and more food-aid.

In the history of development, these insights are not new. However, there are many interests and actors, making it difficult to think and act with a long-term vision. Short-term results and attribution are equally necessary to see how interventions work and benefit people affected from poverty. The Sustainable Development Goals (SDG) indicate complexity and provide a number of goals and indicators which were developed by a wide community, representing States, the private sector and Civil Society. Currently, the SDGs are considered as a framework for action, advocating for food and nutrition security, responsible resource management, peace and inclusion.

As a consequence, the food-based UN organisations have developed papers and tools for practitioners to work towards a "**transformation of food systems**", which implies working on root causes. The Global Programme on Food Security (GPFS) of SDC advocates for the promotion of agro-ecology, a concept which was developed by Civil Society actors, and which is based on environmental protection and a social movement of peasants and workers in agriculture.

Considering and working on root causes is an important aspect of a transformative approach, which generally entails structural changes.

3 Methodology

The methodology was discussed at the beginning of this 10-day consultancy and detailed in the inception report (Annex 2). Due to the limited time availability, the information gathered was

concentrated on SDC resources and interviews with key stakeholders working for SDC. By and large, the teams were able to retain the proposed tasks and deadlines as presented at the inception report and workplan. In addition to the workplan a few additional consultations were conducted aiming to deepening the understanding on both sides allowing the bouncing of ideas and to reflect on the developed products. The result is a qualitative analysis of the situation in HoA that provides ideas on issues, guides the formulation of intermediate and root causes, pathways to changes and a proposal for a Theory of Change. However, across those elements, there are questions that need to be explored in more detail in the future, in-depth information would help to shape details of the programme design, such as for example outputs, further. Examples are figures on situations of vulnerable communities, such as the percentage of pastoralists, agro-pastoralists and traditionally settled communities, and particularly marginalised populations in the ASAL-region.

The iterative process and close collaboration between the FS-team and the facilitators supported a mutual understanding and agreement on issues and outcomes. The learning was an important – yet less visible - outcome of the assignment, which will allow the FS team to focus on root causes and shaping their best inputs to SDC's future regional programme.

4 Results of the causal analysis on Food insecurity and livelihood vulnerability

Food security and livelihood approaches are closely interlinked, with numerous communalities and complementarities. Targeting the most food insecure populations is key to making livelihood interventions work to improve food security in the long-term. Applying the livelihoods framework for analysis and action provides opportunities to achieve food security for all in a sustainable manner[1].

4.1 Situation analysis applying the livelihoods framework

In this regard, the livelihood framework applies a people-centred approach and points at the different skills and assets that are necessary to lead a life in dignity, covering basic needs. It is also important to note that the livelihood concept encompasses the political economy, to understand processes and dynamics, that require attention. The idea of livelihoods was first introduced by Chambers and Conway (1991[2]) and taken up by DFID, which developed the Livelihood Framework (DFID 1999[3]). This framework (see Annex 1) points at the relation between people and their surrounding structures and

[1] **Discourse:** Food Security and livelihoods are closely interlinked. Where livelihoods are vulnerable, food security can be compromised at all its dimensions, availability of food, access, as well as use and utilization, all to be ensured at any time. The later refers to the food security dimension defined as 'stability'. A livelihood system that is economically, socially and environmentally sustainable is necessary to achieve food security. However, FAO considers food security and a livelihood approach as complementary with various areas of communalities, including cross-sectorality, a people centred approach, dynamic and process oriented analysis, micro-macro linkages, and strongly context specific actions (FAO Thematic Brief, Food Security and Livelihoods, FAO Thematic Livelihood Support programme, http://www.fao.org/3/aj033e/aj033e00.pdf

[2] Chambers, R. and Conway, G. (1991) Sustainable Rural Livelihoods: Practical Concepts for the 21st Century

[3] DFID 1999, SUSTAINABLE LIVELIHOODS GUIDANCE SHEETS, Available at: https://www.ennonline.net/attachments/871/dfid-sustainable-livelihoods-guidance-sheet-section1.pdf

processes (system-level social, political and economic entities and institutions[4]), which provide the environment for individuals/households to secure their livelihoods through five different groups of assets and skills which are called **livelihood capitals**: Human, social, physical, financial and natural capital. Those areas of assets and skills are interrelated and depend on a favourable environment, such as infrastructures and services for education, health or markets and inclusive legislation.

To understand livelihood and vulnerability, all those five areas, and their political economy, need to be analysed, and in recent times, this framework is also used to understand the notion of "**sustainable livelihoods" (SLH),** which encompasses households that are resilient to shocks "without exploiting their natural resources" (UNDP 2017).

Livelihoods are characterized by the following five capitals as commonly defined by various actors including DFID and more recently UNDP 2017[5]:

- **Human capital:** It is fundamental to SLH and determines all other assets, incl. good health, education, functional skills and experience. Low levels of human capital negatively affect the work force and productivity of people and hence development opportunities and transitions. This is a serious issue observed in the ASAL region. Educational levels are low, the nutrition and health situation is below country average in Ethiopia and Kenya, as a result of a long-standing political marginalisation of ASAL-regions in both countries[6]. Fragility, conflicts and trauma also contribute to psychological ill-health, which further weakens human capital. Women's exclusion and marginalisation in a situation of food insecurity manifest in high levels of malnutrition, high levels of child marriage, high maternal mortality rates, early and frequent pregnancies and respective high birth rates resulting from multiple forms of discrimination. On the other side, there are numerous women in all three countries who have the will and capacities to promote issues of care, social security and peace as a base for food and nutrition security. They are active in research institutes, Civil Society organisations and in governmental structures, even where gender justice is not yet accomplished. And in recent years, both in Kenya and Ethiopia, the ASAL region has received increased support to build up infrastructures for human development.

- **Social capital:** This includes relations (networks, affiliations), as well as rights and mechanisms for decision taking and inclusion within the social system and ensuring protective and supportive relations needed to ensure a sustainable use of the environmental resources. One example from pastoralism are customary networks that inform on rainfall patterns, water reservoirs, grazing areas and usage, and other information needed to coordinate movements of herds for a sustainable but productive use of the resources. The ASAL region is characterised by conflicts and disputes between clans and other groups of power over land, productive resources and political influence. The three countries have experienced different historical developments which affected the existing political support systems and the role of clans to provide or disturb social cohesion and security, affecting both the environment as well as personal security and protection of the livelihood assets (e.g. animals, capital). In conflict situations, marginalised people have experienced that their food production gets destroyed as

[4] Refers to the terms used by the FS-team in line with the following definitions: **Entity:** has its own distinct existence, rules and regulation, such as an organizational structure that has its own goals, processes, and records. **Institution: the formal and informal rules that organize social, political and economic relations (North 1990). T**hey are the systems of 'established and prevalent social rules that structure social interactions' (Hodgson 2006).

[5] UNDP 2017, Guidance Note: Application of the Sustainable Livelihoods Framework in Development Projects, available at: https://www.latinamerica.undp.org/content/dam/rblac/docs/Research%20and%20Publications/Poverty%20Reduction/UNDP_RBLAC_Livelihoods%20Guidance%20Note_EN-210July2017.pdf

[6] Information secondary, provided by SDC internal PEA-document, 2021, p 24ff

a means to weaken the political power of a specific clan. At micro-level, no sense of collective responsibility can develop between groups of pastoralists, agro-pastoralists and IDPs, to manage existing resources for a stable food provision, if there is no long-term perspective. Altogether there is a tendency of "weak entities". Both governmental and customary ones co-exist and while the former does not yet have the capacity to provide a secure framework, the latter are weakened, as they are not able to adjust to the changing conditions. While progressive policies and laws are in place, there is still a lag when it comes to implementation, resulting in a low quality or absence of services to support the population to secure their livelihoods. Private actors only invest in services where they expect economic benefits, while governmental services would normally be based on a sense of having to provide basic services to the entire population, leaving no-one behind. In the absence of public services, private providers may "chip in", but without a regulatory framework in place to set conditions for their activities or incentives from the state to assure widespread service provision even where conditions are unfavourable, such locations will remain un-served. *It might be advisable for SDC to seek good examples or lessons learnt for engagements of the private sector in the provision of services to marginalised pastoralist communities, for further scale up as appropriate.*

- **Natural capital:** Most prominent natural capital for food production in the HoA are land, water and soil. As mentioned above, social capital is required for sustainable management processes, which include meeting the needs of the people involved without further exploitation of existing natural resources. In the ASAL region, there are vast areas of land, but the quality is fragile: inadequate management, shocks from climate change (floods, locusts, droughts) in addition to over-utilisation due to increased pressure, have led to exploitation and land degradation. Inadequate management and high pressure on the available resources are intensified by an imbalance of power between the different interest groups.

  On one hand, there is a population pressure: more people want to secure their food provision in areas of accumulation. An over-use is a result and further contributes to degradation, so that the resources do not provide sufficient food at local level. On the other hand, past interventions show that they created additional problems, such as the introduction of prosopis and even water points in settlements, which have resulted in an over-use and depletion of surrounding land. Where the land does not provide sufficient food anymore for an adequate diet and satisfactory survival, people give up their small-scale productive livestock or agriculture production and income generating activities and migrate to areas where they expect better services and opportunities. However, food security may be even more fragile in urban areas, as it depends even more on functioning market systems. The COVID pandemic and associated measure showed that for example in urban areas of Kenya, food security was acutely endangered (IGAD 2020 p 15). On the other side, there is growing evidence for the notion that sustainable livestock grazing practices can contribute to securing climate rehabilitation and turning the effects of past over-use of natural resources (IUCN/WISP 2007, Idel 2020), knowing that the bulk of climate change is originating from industrial food production and unsustainable consumption patterns by so called developed nations[7].

- **Physical capital:** This broadly relates to infrastructure and concerns access and control of related assets, in many cases closely related to information and skills on how to manage such

[7] See comment from the Sustainable Food Trust (2017) about the role of grazing on greenhouse gas emissions in relation to other effects of environmental health: https://sustainablefoodtrust.org/articles/grazed-and-confused-an-initial-response-from-the-sustainable-food-trust/

assets, for example (digital) technologies. In connection with food systems, numerous inputs are of importance, such as seeds and tools, trainings, roads, means of transportation, processing and marketing infrastructures, but also water points or land corridors for grazing. Physical capital is essential to assure safety and a profitable production environment and is often provided by development donors. For traditional pastoralists, many infrastructures were difficult to access, but with technological development, new options arise which allow pastoralists to connect over long distances with information and markets. However, there are new forms of exclusion which may threaten specific vulnerable groups, such as traditional small-scale pastoralists and women. Improved access and control to physical assets for some groups of people may enhance power differences and therefore may aggravate conflicts. In turn, a common consequence of conflict is the destruction of physical capital. Physical capital is also essential to assure utilisation of food and the provision of a healthy diet within the household. Many misconceptions and lack of information lead to a reduction of caring capacity and unfavourable priority setting at household level. Household negotiation, as promoted by IFAD and gender sensitisation within communities, have been successful to allow reflection and improved household management by men and women. In the ASAL region, people have experienced different types of infrastructure related to production: Kenya has neglected the ASAL region for a long time, but recently provides more support and allows pastoralist representation of interests at county level. In Ethiopia, infrastructures have been provided and developed over a longer time building on customary experiences and in Somalia, there had been a complete collapse of the State, which is now producing pockets of innovative changes. While pastoralists traditionally move between the three countries, there is a potential to work on regional solutions, facilitated by the International Fund for Agricultural Development (IFAD).

- **Financial capital:** It concerns household stocks, collateral and savings (such as livestock, agricultural products, jewellery, bank accounts as well as insurances and credits). Lack of financial capital and services is a core characteristic of vulnerability as it also impairs a household's capacity to cope with the increasing intensity and frequency of shock. In the ASAL region, livestock is an important asset of saving and investment. Owning livestock is part of a coping mechanism providing a buffer for selling in times of crisis or urgent unforeseen needs, but the number of animals is also a sign of wealth. However, like any type of intermediate profit generation in food systems, this may exert additional strain on the system, leading to unsustainable practices. Crisis and shock have led to a loss of control, when pastoralists have to sell their livestock to cope with shocks for survival. Those who do not dispose of a viable herd size, will have to drop out of pastoralism after recurrent shocks, such as those due to climate change events and conflicts, and most probably join IDP camps/settlements, in the case of Somalia. Credits can be important for expanding livelihood opportunities, they can be sustainable if the investments are economically viable and can, therefore, support the process to engage in alternative or complementary livelihood activities, and lead to economic prosperity. However, it is important to ensure that credit facilities are available, which are not exploitative and leading to different kinds of dependencies. That's why financial services such as saving schemes and insurances may be an option to provide financial capital to people who have been traditionally excluded allowing them to have more financial security, flexibility and control. Service providers carry a critical role to facilitate access to financial means. They are, therefore, in a powerful position. However, if services are not organised in an equitable, transparent and democratic way, mechanisms and criteria are not well established, then this may lead to further conflict. Another financial asset is time: Care work is time-intensive and poor people have less possibilities to buy time-saving services and technologies. Caring for

natural resources also involves the investment of time – this is only possible when the economic pressure is less pronounced, and when investments in time will be compensated with stable prices for the products.

Taking the information of the situation analysis into consideration, the problem was identified and the root cause analysis was conducted. The main problem identified was the alarmingly high levels of food insecurity and vulnerable livelihoods. This was followed by a "why, why, why-approach" to understand the deeper causes related to the problem of food insecurity and livelihood vulnerabilities.

4.2 Vulnerable groups identified – main groups

As a first step we wanted to know, whose livelihoods are vulnerable, who are the groups of people concerned?

SDC's primary target area is the ASAL region, which appear as the most vulnerable areas within the region. Within those areas, based on the information arising from the literature review and interviews conducted, the following groups were identified as most vulnerable requiring special attention.

1. **Pastoralist communities,** as pastoralism used to be and probably still is the predominant form of livelihood in the past in the region, while there is a continuous decline due to drop outs[8]. Only a few pastoralists with a "viable" herd size can secure their livelihoods and are fairly resilient to the recurrent shocks. The majority of pastoralists qualify for humanitarian assistance during the drought situations which are more frequent in the recent years. Additionally, the pastoralist communities do not benefit from the government support in social safetynets and other infrastructures and they are not closely involved in decision making. Others leave pastoralism (up to 90% drop-out[9]) or they continue to work as paid labour to care for livestock which is owned by "investors". Those investors own large numbers of livestock and follow commercial and larger scale trade. Following this differentiation, "small-scale pastoralists" and wage labourers and their households may be considered as most vulnerable among the pastoralist communities.

2. **Agro-pastoralists**, many of them used to be pastoralists in the past and gradually engage in agriculture and crop production. They have either dropped out of pastoralism fully or continue as semi-pastoralists, obtaining and ensuring their livelihoods through pastoralism, migrating or settled, or agriculture, or a combination of that. The dependence on rain fed farming and limited know-how on agricultural practices classifies this group as well as their history of marginalization as pastoralists. Traditionally settled communities co-exist, which have been isolated in the past and considered most vulnerable up to now.

3. **Displacement affected communities (DAC)** include refugees, internally displaced persons (IDPs) and host communities. **IDPs are** partly people who have dropped out of pastoralism or any other livelihood system, lost their income and access to any of their basic livelihood assets, as a result of shocks such as climate-related disasters, conflicts or local disputes.

[8] For a deeper understanding of the actual status of pastoralism in HOA 'Pastoralism at Crossroads' provides a deeper insight into the actual status and a future perspective in the situation of pastoralism at HOA. Though the publication is of 2012, it still provides relevant insight. https://globaljournals.org/GJHSS_Volume12/1-Pastoralism-at-Crossroads.pdf

[9] According to personal conversation with the consultant Piers Simpkin, who talked about an expected drop-out rate between 75 and 90% and for Somaliregion Ethiopia, see Save the Children 2009, "Pastoralists Dropout Study in Jijiga, Shinile and Fik Zones of Somali Region, Ethiopia"

4. **Marginalised communities from minority clans** – who are not pastoral or agro-pastoralists. They live on livelihoods such as pure farming, fishing or labour and they tend to get "left behind". This group was recently identified in an exercise of vulnerability mapping by the FS-team.

Among the above listed groups some are more vulnerable than others.

5. **Women of all three groups** – due to gendered roles and responsibilities, women are considered responsible to manage care work related to food and nutrition, with lack of decision making power, limited access and control over resources, limited opportunities to access information, to benefit from social or financial services, community development activities and missing leadership opportunities at all levels.
6. **Children and Youth**, growing up in situation of food and nutrition insecurity with limited perspectives, susceptible to child marriage, migration and radicalization/recruitment, as well as **old-aged** men and women who develop specific dependencies and needs.
7. **Marginalised groups** whose needs are not visible and whose livelihood opportunities and food security are further reduced, such as people with diverse sexual orientations and identities, single-headed households, people with disabilities or minorities within the larger ethnic groups.

4.3 Root causes for livelihood vulnerabilities and food security

Two illustrations were developed in close collaboration with the FS-team. In a first step, the situation was mapped to illustrate causes of vulnerability and food insecurity as arising from the literature review and the interviews conducted and where and how food security and livelihood vulnerabilities are linked.

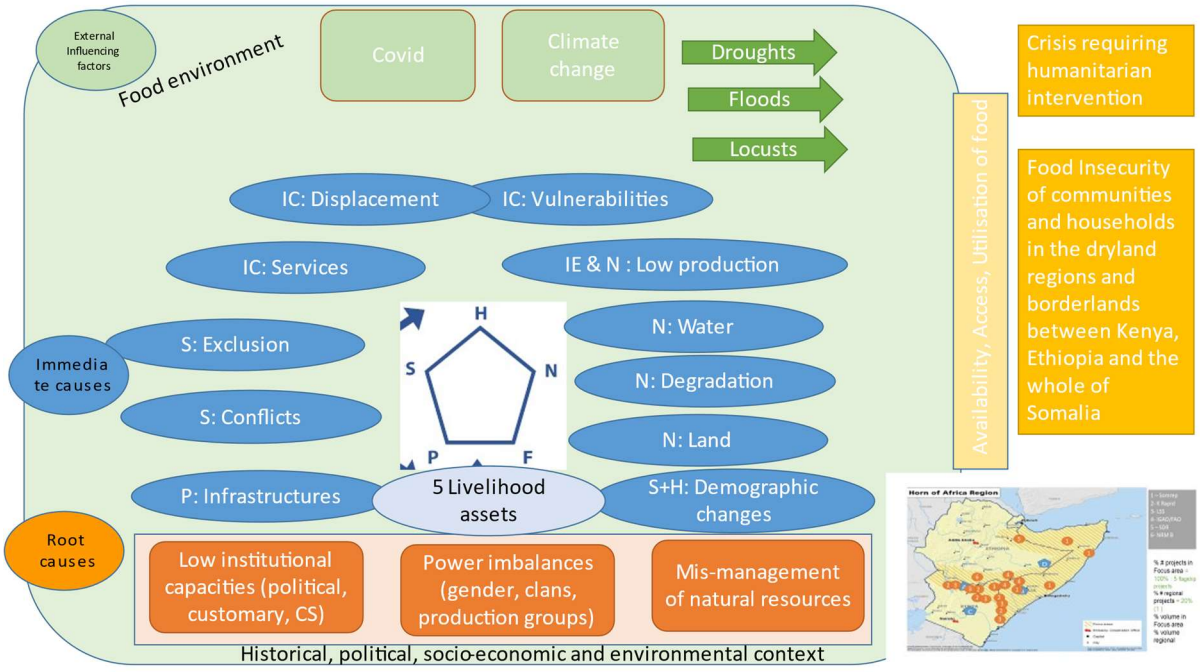


Illustration 1: Systemic overview of the problem and causes identified

This illustration visualizes key issues that may be problematic. Food security is influenced by a number of factors, some are primarily external but still affecting the local situation, such as climate change, natural disasters and the COVID 19-situation. In both cases local responses may contribute to alleviate/mitigate the consequences or to lead to a deterioration of the situation. The role of political action is essential in both cases, for example when the COVID 19 -pandemic has led to the closure of borders and markets, the impacts on the existing infrastructure for food security have been serious and partly devastating, in particular among populations that depend on markets and food purchases.

Cause-effect relationship between root causes and vulnerable livelihoods in the ASAL Region

Illustrating the causes gives limited rationale on the cause-effect relationship and as to how **root causes** are identified since different factors still have an influence on each other. Therefore, in a second step, applying a series of "why, why, why,.." - line of questions, hierarchies of the cause effect relationship were identified. The causal analysis started with the key issue, followed by the series of questions. This approach allowed to define a hierarchy of causes and effects presented at the cause-effect diagram presented below:

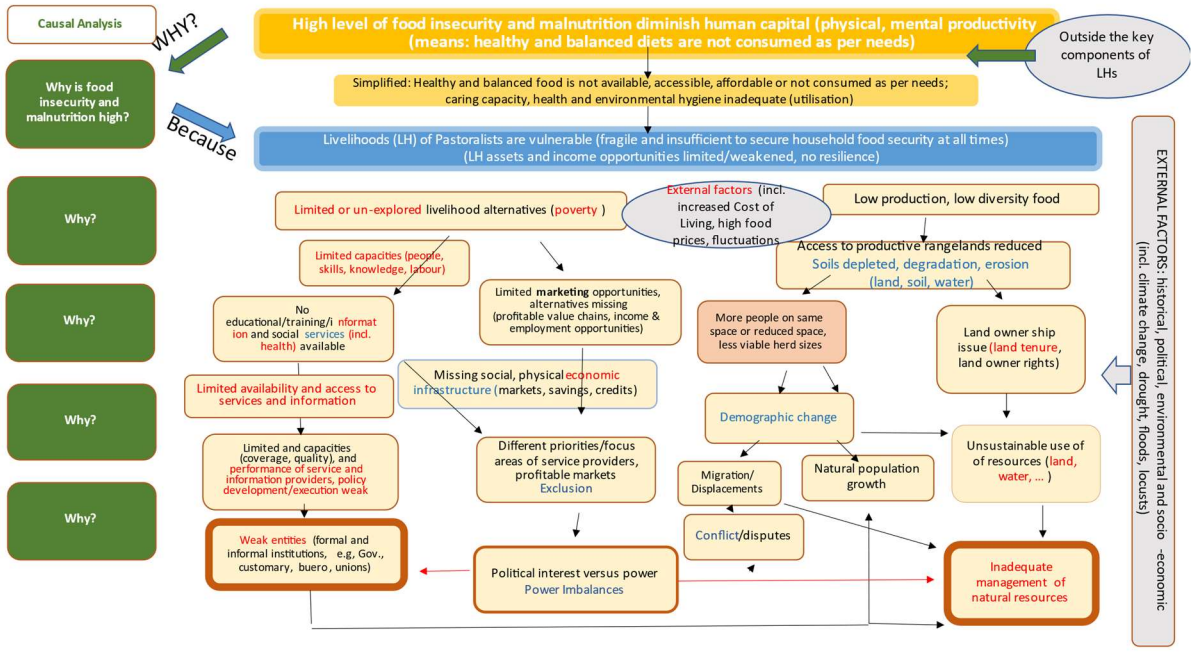


Illustration 2: Hierarchical identification of causes leading to root causes of food insecurity and livelihood vulnerability (cause effect diagram)

This summary shows the different causes that were discussed and classified. At the end there was not a clear consensus on what should be classified as a root cause, as relations are not linear but circular and complex and problems enhancing one another. In practice, the team identified the two root causes "**inadequate management of natural resources**" and "**weak entities**" as entry points that appear impactful on one hand and falling within SDC's range of comparative advantages on the other hand.

The third root cause "**power imbalances**" is deeply rooted in history and cultural identity and determines the socio-economic and political environment in which SDC-projects are implemented. It appeared as a root cause in itself but also as embedded and strongly determines on other root causes and there are interlinkages at the various levels.

An imbalanced use of power between the different actors and interest groups, results in in-equalities or exclusions at various levels. As an example, it can lead to weak entities, due to inadequate management and misallocation of resources, when setting priorities, partly due to imbalances of power or conflicts. It also impacts quality and reach out of services, conflicts of interest when defining target areas. Power imbalances can result in inadequate management of natural resources and creating vulnerabilities, while allowing an aggregation of resources and assets among those that hold power, and they can lead to a destruction of institutions that were important for pastoralist communities (e.g. customary institutions that inform and coordinate grazing areas, mobility, herd diversity and managing livestock respecting the ecosystem or the region). Power imbalances within and between institutions and the entities, an example is the governmental focus on agriculture investments in highly productive high land areas, while low land areas were marginalised and unrecognized potential. Though this attitude is changing gradually, this has not yet translated into an equitable consideration while allocating developmental resources. Overall, power imbalances were regarded as too wide and complex and possibly highly political to become a focus for SDC's FS portfolio for the moment. However, imbalances in managing natural resources or strengthening capacities of the so far weak entities will be addressed through the two root causes and their pathways.

Briefly summarized, the analysis revealed that the local vulnerable population lives in a situation, whereby the outcomes from production through (agro)-pastoralism are low and not offering sufficient livelihood alternatives.

Two major root causes for vulnerable livelihoods and food insecurity

Inadequate management of natural resources, especially land, soil, biodiversity and water: On the right side of the cause effect diagram there is limited access to productive rangeland. Due to climate change and natural disaster events (like floods, locusts and droughts), other anthropogenic causes, and overuse, the soil is depleted and there is erosion and land degradation. As land tenure is not secured through predictable land governance and since population growth linked to displacement, migration and high birth rates lead to additional pressure, these factors supersede the carrying capacity of the natural environment and its resources.

The general situation of inadequate management of natural resources such as land, soil, biodiversity and water, in combination with unclear user rights, leads to a situation of their unsustainable use or even exploitation, depletion and degradation, which further enhances climate change factors as well as related conflicts. As natural resources form the base for food production, the analysis showed that their sustainable management is core to secure food security. While here, entities also play a vital role in facilitating a process of equitable governance of land and other vital resources, especially water.

Weak entities: The left side of the cause effect diagram illustrates the immediate causes such as limited or unexplored livelihood alternatives, that are, in turn, a result of weak entities or their capacities, including limited infrastructure and means to engage in marketing opportunities for examples, limited access or availability of services and information needed to develop business. All these causal factors being a result of mal-performance of, partly weak, entities that would and should play a role as duty bearers for a sustainable development of dry land areas and predominantly pastoralist communities and their members, as rights holders.

The political environment is not supportive in building resilient livelihoods, while capacities are limited in providing services, the existing legal framework and regulatory environment is not yet (sufficiently) implemented to benefit the vulnerable populations. Within the given context, there are limited opportunities to develop alternative livelihoods or enhance productivity in a sustainable way. It also relates to a situation where the target group does not have the equal rights, opportunities or capacities

to negotiate in a peaceful way on the complementary but sustainable use of the resources by all stakeholders. This again could be a result of weak performance of entities and their services which should support (agro)-pastoralists to build up capacities for healthy production and profitable livelihood alternatives, including market opportunities. Addressing those shortcomings requires the attention of policy makers at the highest level. Here IGAD, as a regional platform, could play a crucial role in advocating and influencing their member states' political frameworks and their execution.

Food security is a notion that concerns every household and its members as part of local and global food systems. In the globalised world, local, national and regional food systems are connected and regulated in many ways. Numerous entities and institutions are involved, representing States, private for-profit entities, non-profit players and non-formal entities or structures, such as the Pastoralist Parliamentary Group (PPG, which now has a formal status and is registered as a Parliamentary Trust) in the case of their political strengthening in the Frontier Counties Development Council (FCDC) project in Kenya, but also controlling the impact of 'harmful' entities like Al Shabaab.

The SDC CO HoA conducted a Political and Economic Analysis (PEA), which identified relevant entities and analysed their role related to the HoA programme domains. The results of the PEA indicate harmful power imbalances. It points at the low power position of the local vulnerable population as well as local political structures within an environment where long-term development initiatives are difficult to implement.

Strengthening "weak entities" implies that there is a systematic institutional development and change across all relevant entities, ranging from informal customary (e.g. pastoralist networks) to formal governmental entities (local and national), the latter also responsible for the development and execution of a legal frameworks that supports equity and inclusion and other elements that protect the environment and human rights. It is important that all actors, including the public and private sector as well as communities understand their roles and responsibilities and are committed to a behavioural change. In addition to that, international partners and networks play a crucial role. They can act as a game changer at various levels. They can largely influence humanitarian interventions on one hand as well as long-term food security on the other hand, together with other development efforts that are supportive to a sustainable development in the region (e.g. governance, protection).

Sustainable use of resources will not happen by its own, it requires information, markets, financial services, training facilities and health services that support the population and provide a favourable environment for this process. Once infrastructures are secured, for example, the local population also needs to develop capacities to utilize the resources in a way which protects the natural environment and at the same time provide a sustainable livelihood.

4.4 Importance and opportunities for an agro-ecology approach

Given that the inadequate management of Natural Resource is a root cause to vulnerability and food insecurity in the region, agro-ecological approaches are key to initiate a sustainable development. Framework conditions are supportive to prioritize agro-ecology promotion and application for the HoA, i. SDC's GPFS proposes and supports agro-ecology as a key approach to securing food and nutrition, ii. Switzerland has a history of strong research and political discussion on sustainable agriculture and trade, iii. Switzerland facilitates and is engaged in numerous global dialogues on the subjects of sustainable development, nutrition or food security (e.g. Scaling Up Nutrition – Donor

Network Chair (rotational) and partner, Committee on World Food Security (CFS), or the Commitment to SDGs and its global dialogue). SDC HoA is therefore well positioned and supported through the SDC's framework conditions to further promote this approach in the coming HoA-programme. There is also potential to make use of synergies from regional GPFS projects, such as the Ecological Organic Agriculture Initiative (EOA-I) by the Biovision Africa Trust. Direct links can be made to enhance capacity building of SDC staff, partners and communities and to support implementation.

Agro-ecology approach and principles

Agro-ecology is an approach which does not define specific standards or practices but rather a process which is people-centred and regenerative to the environment. It combines principles of inclusiveness and ecology, with the aim of providing food security and sustainable livelihoods.

The concept of agroecology is rooted in Civil Society movements and combines environmental and social dimensions. It has been discussed at International level (FAO 2019) and is the most holistic strategy which foresees a transformation of existing food systems. Biovision has initiated the Initiative "agroecology Info Pool"[10] and developed the Agroecology Criteria Tool (ACT) methodology to help decision makers and practitioners to estimate how far their actions contribute to a transformation of food systems. This includes working with pastoralist communities, for example, Biovision is implementing projects in the Morogoro region of Tanzania[11] with Maasai nomads and sustainable grazeland management as well as camel breeding for drought areas in Northern Kenya, working with livestock farmers[12], thus promoting health for pastoralists and their families, their livestock and the environment. Another Biovision project is working with the "one-health" approach, calling it "Innovative disease prevention for animals and people"[13].These projects also contribute to the transformation of conflicts between pastoralists and settled communities towards finding ways to manage existing resources in a complementary way.

Such examples may inspire project partners of SDC to work into similar directions, such as the NRM Borena project, which may take on board such environmental considerations and innovative ideas and hence work towards up-scaling within the SDC FS project portfolio.

The illustration below shows the entry-point for the introduction of agro-ecology: (Agro)-pastoralists need to see how such practices improve their situation. At the same time, duty bearers need to see a benefit to provide a favourable legal framework and respective services. All along this process requires negotiation processes, which can be supported by SDC.

[10] https://www.agroecology-pool.org/
[11] Biovision Newsletter 2020 – Difficult times for the Maasai - https://www.biovision.ch/fileadmin/pdf/Newsletter/web_201125_Newsletter_NL63_EN.pdf
[12] https://www.biovision.ch/en/projects/kenya/dpa-008-sustainable-grazeland-management/ and https://www.biovision.ch/en/projects/kenya/camelsfordroughtareas/ and other projects in the region
[13] https://www.biovision.ch/en/projects/kenya/innovative-disease-prevention-for-animals-and-people/

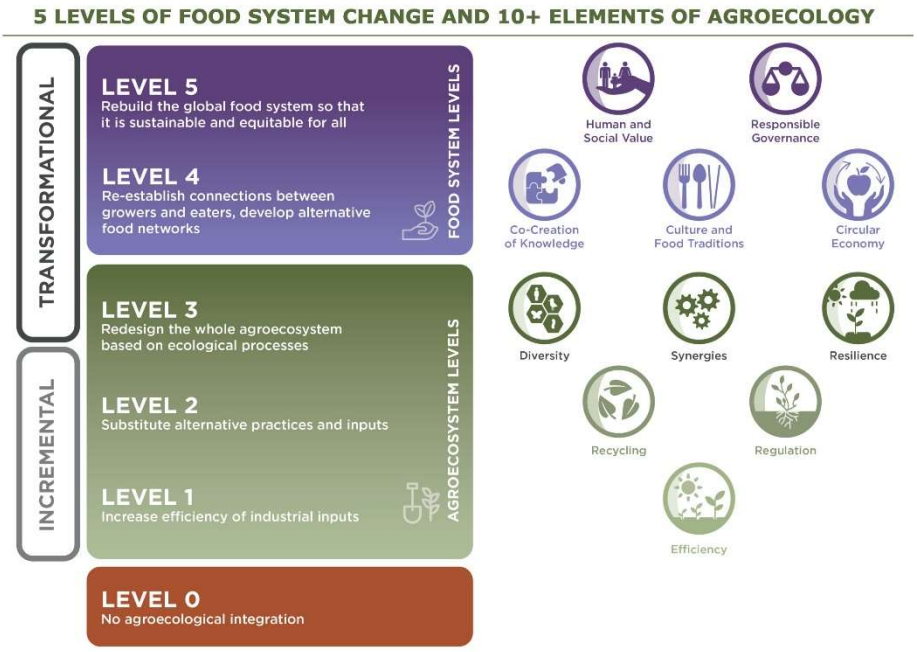


Illustration 3: Overview of the 5 elements of food systems change and the elements of agro-ecology[14]

In practice there are 24 principles of agro-ecology (see Annex 1 for details) which helps to understand where this approach responds to different root causes of food insecurity and livelihood vulnerability in a sustainable way without exploiting natural resources or marginalised social groups (such as small-scale producers, minorities, women, youth).

While agro-ecology is an approach that was first linked with agricultural practices of settled communities, the important role of the rangeland management has now been taken up, exploring ways to enhance food production for a healthy nutrition while at the same time promoting sustainable management of grazing land towards improved biodiversity within the limits of carrying capacity (see FAO 2019 p 21 and 31). Livestock production is considered to be an important part of the food system, especially in areas, where 'plant or crop centered' agricultural production is not possible. Sustainable livestock practices are also supported by ILRI (situated in Kenya and Ethiopia) or the Sustainable Food Trust[15]. With regard to the specific situation in the ASAL region, this field certainly needs more investigation and training invested and organised by the FS-Domain as proposed in the recommendations. However, due to the social dimension of the agro-ecological approach, there are great potentials for application with the different populations who presently compete for the land and to find complementary solutions for food security and livelihood resilience.

4.5 Swiss comparative advantage

SDC's HoA Office, situated in the Swiss Embassy, is a governmental entity representing Switzerland, and has an influence on many multilateral organisations, such as FAO, WFP, IFAD or the World Bank. The role of sustainable pastoralism is gaining acceptance and international recognition. Combined with

[14] *Source: https://www.agroecology-pool.org/methodology/*
[15] https://sustainablefoodtrust.org/key-issues/sustainable-livestock/

a strong Swiss engagement in agro-ecology, there is a great potential that SDC can become a primary promotor of such an approach in the new FS-programme domain.

With regard to Food and nutrition security, SDC can benefit from the following specific experiences and knowhow:

1. **Strong implementation of the Nexus approach:** There is a strategic element to combine development activities with humanitarian aid in a fragile environment such as the ASAL-region. SDC's resourcing mechanism provides flexibility and allows linking development efforts with humanitarian actions if and where needed. This provides a clear value added of SDC as it allows to assist flexibility along the development continuum and a transition from addressing humanitarian needs, rebuilding and rehabilitating and transitioning into longer term developmental assistance. Other partners are less flexible and have little opportunities to support a transition between the humanitarian and the development scenarios. However, there are opportunities to strategically link with partners of the different contexts to optimize complementarities in view of addressing the nexus well.

2. Working in the **region across borders** in the three countries, focusing on the dominant agro-ecological zone that connects the people in the region. Applying a "systems-thinking" approach and working with tri-lingual staff, this entails the search for and support of transboundary arrangements with regard to the use of natural resources and trade.

3. The SDC HoA-strategic programme follows a wider livelihoods approach which provides numerous potentials for **synergies** between its different domains, such as with the One-Health projects of SDC's Health Domain promoting solutions that secure best health for all, human beings and animals, while respecting planetary boundaries and aiming for sustainable solutions to ensure food-security and resilient livelihoods. Another example is the protection issue of GBV which has been taken up by the health and protection domains and which is relevant to the FS domain, too. Finally the governance domain already offers crosscutting services to all domains, offering support on how to promote accountability of duty bearers and how to address power imbalances at all levels. The new programme allows a fresh look at opportunities to strengthen collaboration in planning as well as implementation, such as a strong Conflict-sensitivity programme management (CSPM)-lens for all domains.

4. **Long-term Projects** – not strictly oriented towards outputs, with transformative character and exit vision.

5. The Global Programme Food Security (**GPFS**), under its strategic component 1, engages and contributes to **global policy dialogue**, especially within the Committee on World Food Security (**CFS)**. In the name of SDC, GPFS is the lead entity for the Swiss contribution to and the steering of **IFAD** and the Consultative Group on International Agricultural Research (**CGIAR**), as well as the UN Convention to Combat Desertification (**UNCCD**). Direct collaboration is possible with the GPFS regional Advisor, who is based in Addis Abeba, thus being able to **bridge global policy development with implementation at local level**. Further, the strategic component 2 of GPFS**, 'agro-ecological food production'** aims to address issues of climate change, loss of biodiversity and declining land and water resources through the application of agro-ecological principles. This will generate examples and opportunities to learn from each other and allow a transfer between the regional and global level.

6. SDC has extensive **experience in West Africa with land governance issues** and transboundary corridors for pastoralists, thus allowing exchange and a transfer of lessons across the continent.

7. Swiss system of well-established **agricultural research sector, the strong advisory system for farmers and direct payments to farmers from the government**, promoting experience, know-how and thematic expertise in fields such as agro-ecology or organic approaches, such as Agroscope (governmental) and Forschungsinstitut für biologischen Landbau (FIBL, private), both with International projects.

8. Growing appetite to engage and leverage capacities, skills and finances of the private sector in the region to supplement efforts by governments and communities. Even in fragile contexts and displacement affected communities, the private sector plays a crucial role in services delivery that is anchored on risk taking, adoption of technologies and sometimes drive for business as well social impacts.

General aspects:

- Switzerland as a **neutral state** has a reputation of being able to mediate in conflict situations.
- Switzerland has its own **tradition of federalism and decentralisation** in politics, starting from the local level and encouraging popular participation.

5 Pathway of Change leading to a Theory of Change (ToC)

How is it possible to come from a causal analysis to a theory and pathway of change? The SDC "How-to guide – theory of change" proposes an in depth reflection of the team, which links the knowledge on the context with a process of priority setting by SDC. The identification of specific strengths and relations helps to identify an approach with the most promising entry points and most effective levers.

According to the SDC guidance note (p3), the definition of ToC is very wide and therefore may be at times causing confusion, therefore SDC promotes a "ToC-thinking", which considers three different versions of ToC: A narrative statement, a causal chain based on the results chain logic as well as overview diagrams, which define pathways of change. This chapter describes the process of reflection starting from situation analysis to the causal analysis and how this was leading to the pathway of change and the TOC narrative.

A first pathway of change was proposed addressing key issues resulting from the analysis and building on SDC's experiences in the region as well as the identified Swiss comparative advantage as well as the draft version of the overall cooperation programme 2022 until 2025.

In a first step the results of the situation analysis and causal analysis were turned into a logic of positive change, as illustrated in the overview diagram below:

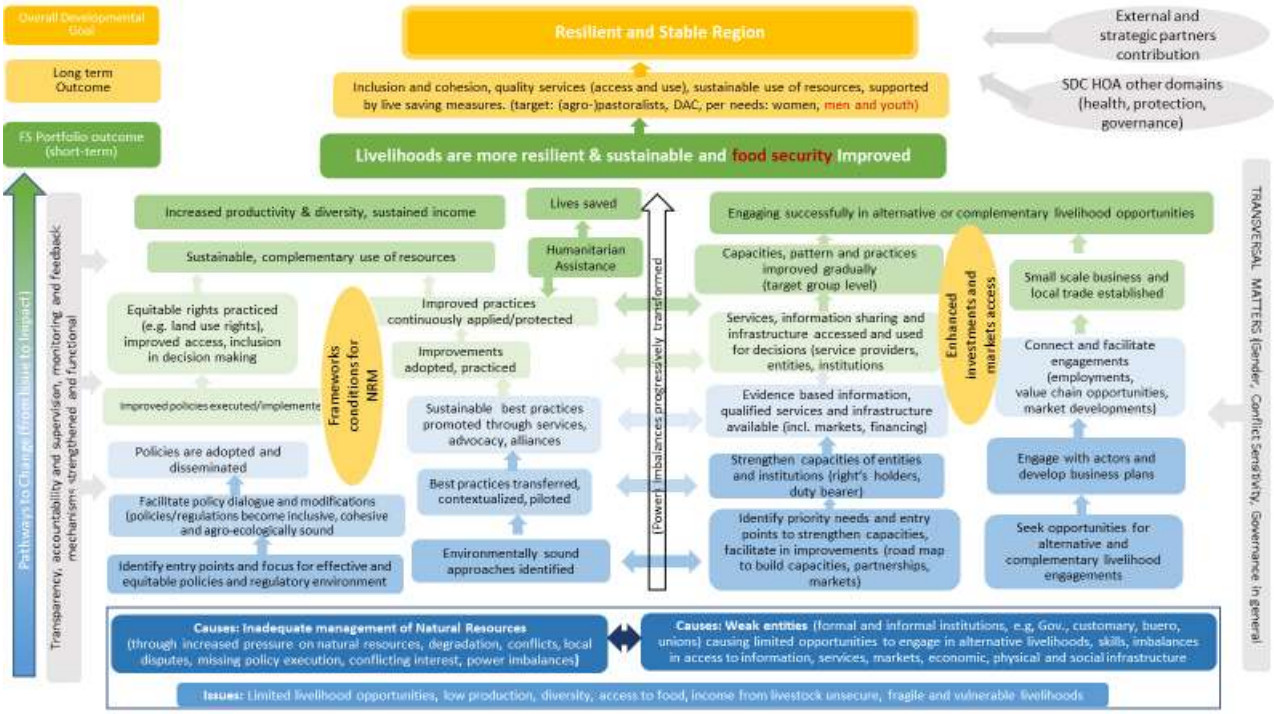


Illustration 4: Pathway of change related to root causes

The pathway already considers goals and outcomes discussed by the SDC FS team for the new regional cooperation programme/strategy. The figure presents the pathway from identifying the cause of action to the improvements of the identified shortcoming, towards the improved condition among the target group. The pathway shows results which need to be achieved, but it does not yet state, how to get there and who precisely needs to practice what specific type of behaviour change. This pathway of change can be a more detailed guidance for the FS-team for the different steps that are necessary to

work on the root causes at different levels. The left and right side pathways are closely interrelated and support each other. Left and right side pathways are presented in alignment to the two FS outcome statements of the new regional cooperation programme of SDC. The vertically presented yellow ellipsis on the left and right side just indicate a summary of the two FS outcome statements formulated at the new regional cooperation programme.

The analysis above was a precondition to re-organise the pathway of change into a logic that focuses on the two different groups “duty bearers” and “rights holders” in line with the outcomes already identified by the FS-team.

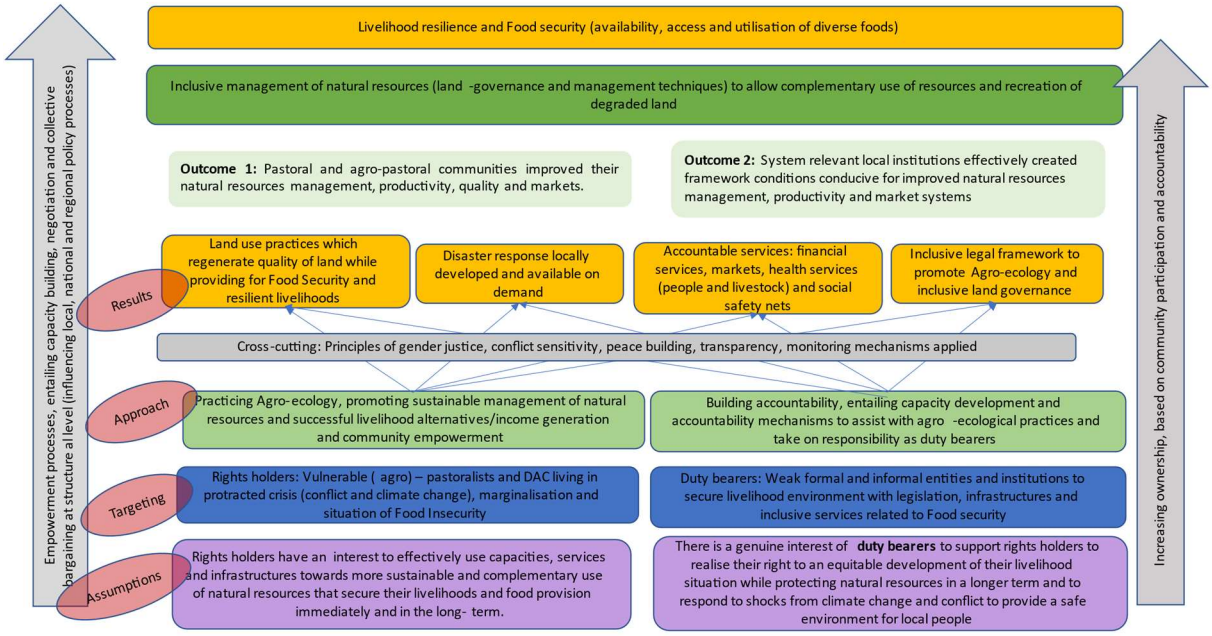


Illustration 5: Pathway of change related to groups of beneficiaries and proposed approach (rights holders and duty bearers)

This figure links root causes, vulnerabilities and responsibilities and therefore points at an approach which may contribute to the desired change. The choice of terminology in this overview implies that underlying concepts are applied and the FS team builds up this knowledge and capacities of partners and actors that are involved in FS. The concepts are gender justice, empowerment, conflict sensitivity, transparency and accountability.

Assumptions

It is important to define and monitor assumptions to alert on risks that might hinder target achievements. The following broad assumptions have been defined:

1. There is an interest and effective use of capacities, services and infrastructures by **rights holders** toward more sustainable and complementary use of resources that secure their livelihoods and food provision immediately and in the long-term.
2. There is a genuine interest of **duty bearers** to support rights holders to realise their right to an equitable development of their livelihood situation while protecting natural resources in a longer term and to respond to shocks from climate change and conflict to provide a safe environment for local people.

These assumptions and the willingness of people to adopt sustainable practices largely depend on what benefits such practices provide, this includes meeting immediate and most burning basic needs, especially in the shorter term. Only if immediate needs are met, a person will be able to invest and fully commit and participate in development efforts that might bring the intended result in a longer term. Within the given context of a protracted crisis and fragility, where immediate needs are prevailing, long term planning might appear difficult. It requires a combination of humanitarian and development approach, such as protective measures, e.g. safety nets, that prevent a deterioration of the natural resource situation as a base for longer term development actions.

The assumptions may still need to be defined in more detail. Initial suggestion is given as follows, but would still need to be verified, finalised and completed:

- Agro-ecology and sustainable land governance offer short-term improvement of food security and income applicable to the dryland region.
- Customary institutions provide inputs for sustainable management of natural resources.
- Constructive arrangements between different groups of stakeholders exist and are fostered.

FS Outcomes and TOC

In line with the discussions and the formulations of the above presented, the SDC FS team in consultation with the facilitators drafted the FS TOC, including the FS long term outcomes, the Mid Term Outcomes and the Outputs and Inputs as their contribution to the new regional cooperation programme:

FS Long term outcomes:

- Improved food security and ecological health, increased incomes and inclusive markets for (agro) pastoralists, DAC and women.
- Inclusive and accountable governance and policy frameworks support (agro) pastoral livelihoods, DAC and women.

FS Mid term outcomes (to be achieved and measured by 2024):

- **Outcome 1:** Pastoral and agro-pastoral communities improved their natural resources management, productivity, quality and markets.
- **Outcome 2:** System relevant local institutions effectively created framework conditions conducive for improved natural resources management, productivity and market systems.

In practical terms, this presents a twin track approach of focusing direct actions building resilient livelihoods among the primary target group (**direct focus on rights holders**) in addition to the change of the political environment and regulations that are required to ensure equity and inclusion with the aim to build resilient and sustainable livelihoods while protecting natural resources (**focus on duty bearer**, e.g. institutions and entities, change behaviour, attitudes).

As a result, the FS team developed a causal ToC in line with the results chain, which is presented below:

The consultancy team was asked to adjust the outcome statements (see green additions) and present some recommendations, which will be provided in chapter 6.1 below. These are entry points to focus on an approach directed at an improved management of natural resources, which is inclusive and in line with food security and livelihood resilience.

Based on the above presented long and short term objectives and outcomes, the following TOC narratives are proposed.

TOC FS Domain

If the SDC HOA FS portfolio promotes inclusive, cohesive and environmentally sound approaches in the ASAL region, builds capacities amongst duty bearers and rights holders that promote the application of agro-ecological principles that open up livelihood alternatives,

then pastoral and agro-pastoral communities in rural and peri-urban areas are climate resilient and have better sustainable livelihoods,

because equitable rights and inclusive access to social and economic infrastructures and services will improve food security through a more sustainable production and access to food and income and at the same time contribute to sustainable management of natural resources.

TOC Outcome 1

If the SDC FS portfolio fosters practices and inclusive and cohesive policies and services that adopt principles of agro-ecology,

then pastoral and agro-pastoral communities improve their natural resources management, productivity, quality and markets,

because *rights holders* have an interest to effectively use capacities, services and infrastructures towards more sustainable and complementary use of natural resources that secure their livelihoods and food provision immediately and in the long-term.

ToC Outcome 2:

If SDC strengthens capacities of local entities on agro-ecological principles and sustainable land governance based on local knowledge and scientific evidence

then system relevant local institutions effectively create framework conditions conducive for improved natural resources management, productivity and market systems

because there is a genuine interest of ***duty bearers*** to support rights holders to realise their right to an equitable development of their livelihood situation while protecting natural resources in a longer term and to respond to shocks from climate change and conflict to provide a safe environment for local people

6 Recommendations

This analysis was done in close collaboration and through regular interactions with the FS team who contributed information, insights and experience related to root causes of food insecurity and livelihood vulnerability. The team is key to designing the new programme domain in line of what they consider feasible.

Focusing on agro-ecology was not yet felt to be the solution, but rather a stronger focus on sustainable management of natural resources as an entry point. As presented above, the FS Domain's longer and

medium term outcomes aim 'to contribute to the realization of a stable and resilient region that supports the wellbeing, inclusion and empowerment of (agro)pastoral, displacement-affected communities' as well as 'women and pastoral and agro-pastoral communities in rural and peri-urban areas are climate resilient and have better sustainable livelihoods'. Hence, both pathways strongly focus on achieving targets through an agro-ecological approach and the adoption of the agro-ecological principles.

In the recommendation we will summarise this approach as "agro-ecology" as the most comprehensive terminology to speak about inclusive and sustainable ways of fostering food production and productivity being climate-smart and regenerative.

In order to achieve a favourable environment for this change in focus, entities as duty bearers also need to be capacitated on i. technical matters, such as for example directing towards improved long-term management of natural resources, as well as on ii. political matters, such as equity and inclusion. If SDC can work towards that end, the FS domain can address specific areas through interventions that build capacities and change behaviours and attitudes among public authorities, community entities and private sector service providers.

As a starting point, SDC needs to further strengthen its evidence based on an analysis of the specific situation of selected geographic areas as well as actors and their influence (game changers) in the region. This has already happened in the last years with several activities, such as the PEA-process or a vulnerability audit. The knowledge acquired further needs to be linked to the programme implementation and be made available in the respective context analysis. With regard to the process of programme planning, this knowledge needs to be translated into relevant baseline information that will feed into indicators defined for monitoring and evaluation.

6.1 Comments on outputs presented and discussed on July 1st, 2021

The FS team drafted a draft TOC, outcomes are presented above. The TOC was discussed during the meeting on July 1st. Inputs were incorporated during the meeting. While the long term and medium term objective are in line with the findings, the root cause and pathways to change, some a few observations on the outputs are summarized below:

Outputs are formulated in very concrete and specific way, which will provide good guidance for the formulation of the different programmes or projects that will need to be designed to achieve the mid and longer term outcomes. The outputs are tangible, practical and measurable within the given time frame.

Areas that might require further clarification include the following:

- As the outputs are very concrete, they might miss out some policy or higher level strategic considerations that are important to ensure when addressing the root causes in the most effective manner, rather than opting for a solution that appears plausible but its effectiveness and sustainability might not be proven. In this regard, the comments below are not exhaustive, but give examples only:
    - '*Water systems for multiple use available and affordable'* is formulated as an output, that is important to be achieved at the community and implementation level. Facilitating and ensuring that an inclusive political and policy environment is in place and supportive, that best practices, advocacy for a behaviour change and mechanisms that support the implementation of regulation of actions for an equitable access to

water are important results that require strong attention and time. Envisaging that under the 'inputs' might not give the required attention and a weak basis to evaluate progress at those important higher level policy and strategy relevant actions that would be required for a sustainable change in behaviours and practices among duty bearer as well as right holders.

- '*Sustainable rangeland practices adopted'*: Similar to the above, this appears as a tangible output, however, this requires intensive ground work to identify best and most sustainable solutions and concepts for the region, which are environmentally sound and match the ´carrying capacity of the environment'. It requires a change in regulatory frameworks as well as a behaviour among duty bearers and rights holders. This cannot be achieved through a project mode that opts for adopting improved practices, but requires close collaboration with partners, advocacy and harmonized policies and approaches. Again, that requires the formulation of a strategic direction rather than tangible outputs. This would allow to define actions that lead to the strategic result level, composed of strategic actions (e.g. policy, regulation, alliances, advocacy) in combination to project level actions (including best practices, capacity development).

- **Recommendation:** Summarize the number of outputs and formulate a strategic result level that gives directions and yet, provides flexibility to allow for the most promising pathway to change. Examples:
  - *'Sustainable practices are promoted and applied'*, which could entail policy level actions, advocacy, regulations, and a monitoring of the different steps over the implementation period. This can encompass all elements of natural resources, e.g. biodiversity, land, soil water, rather than looking at rangeland, or heat tolerant seeds, or water resources separately.
  - *'Identify alternative livelihood opportunities'* or *'development of markets and marketing opportunities*', could include elements that are now formulated as individual outputs, but would need to include profound assessments of the dynamics, inputs and outputs, expected longer term benefits for the actors. Such evidence will support advocacy, changing behaviour and informing policies, but also to engage and motivate actors towards profitable but sustainable actions. Those strategic directions could then be filled with the concrete and tangible actions that provide opportunities to operationalize and break into smaller projects.

6.2 General inputs to support programme implementation

As a first programmatic step, SDC can build up its own competences and capacities in this respect, working closely with partners in order to combine this with capacity development at local level. Such activities would already feed into the outcome 2 and for practical application, the FS team can take each of the recommendations and identify how to involve their partners. Partners may be considered as "experts in charge", as "collaborators" or as "beneficiaries" in the process of capacity development and there may be outsiders that can be consulted for their expertise.

Activity Areas:

The below drafted activity areas could support the formulation of projects that lead to the realisation and implementation of the new regional programme.

In support of outcome 1 and 2: Activity areas to enhance understanding on how to strengthen sustainable management of resources and climate resilience

- Support processes which clarify the status of polices, rules and regulations and their status of execution with a particular focus on the application of agro-ecological principles, their implementation status and adoption by duty bearer and rights' holders. Identify gaps and barriers to the implementation (*partly arising out of the PEA*).
- Identify information needs and requirements and strengthen **information management** and dissemination (including market and marketing information systems, linking producers to markets).
- Identify **sustainable solutions** that respect and integrate principles of agro-ecology and promote complementary and sustainable use of natural resources **in service provision**. Build service providers' capacities to apply and promote sustainable solutions and a complementary use of resources.
  (note: this should focus on biodiversity, land, soil, water, and include study best practices and examples that are transferable and scalable, their cost-benefits, inputs and expected longer term output to the user and the environment, facilitate exchanges, pilots, facilitate the integration into the service delivery structures, through government, semi-government, private sector and informal institutions).
- Identify training requirements and **strengthen entities** to provide services building **market oriented skills and capacities** (develop business skills demands among the primary target group, including women and youth).

In support of Outcome 1:

- Identify opportunities and entry points to **strengthen community capacities**, and facilitate a learning and transfer of best practices into their daily livelihood and production patterns.

  (Note: Community capacities: primarily pastoralists and agro-pastoralists and their customary institutions as entry points, pastoralist networks and community platforms reaching out to households.

  Best practices: agro-ecological and sustainable solutions to natural resources management.)
- Explore and identify **opportunities** to develop and strengthen subject and context specific business plans for engaging in **livelihood alternatives,** with particular attention to the potential and roles of women and youth. This includes the assessment of input requirements and actors, expected longer term outputs and benefits from sustainability perspectives. This includes options for complementary livelihoods or a combination and transitions between different livelihood systems. (target group: livelihoods of (agro-) pastoralists and DAP).
- Explore existing diverse/inclusive initiatives of conflict transformation and peace-building and strengthen capacity building, networking and dialogue on conflict issues related to the local food system, such as the women's initiative across clans in the north-eastern region of Kenya in the Wajir district (PEA p 40). Another example are services provided by the Coalition for Peace in Africa (COPA), an African network of peace builders based in Kenya, whose purpose is to promote peace, justice, human rights and development through capacity building, advocacy, research and documentation. One member of the team is Tecla Wanjala (Kenya), one of the 1000 Peacewomen across the Globe, who has extensive experience in training communities in conflict transformation and who is currently working on trauma-healing.

In support of Outcome 1 as well as 2: Activity areas to further promote implementation of agro-ecology or any sustainable form of climate-smart, regenerative and inclusive way of food production and livelihood alternative.

- Strengthen information and data management systems that are needs based and pertain to agro-ecology and natural resource management.
- Address gaps and contribute to strengthening the **regulatory environment**, update existing policies, rules and regulations, take traditional customary approaches and regulations into consideration and support the execution.
- Contribute to and strengthen systems that facilitate the **execution** of policies and regulations, protect rights' holders and facilitate mediation between different interest groups.
- Strengthen producer's capacities and private sector involvements to develop and sustain profitable markets that generate income opportunities for the producers (local and decentralised markets and marketing opportunities, short but profitable value chains, linking producers and consumers in a most direct manner, with a fair profit margin at the level of the small scale producers).
- Strengthen access to financial means to establish alternative income sources or build resilience, e.g. develop and support opportunities for small scale credits for the most vulnerable and among them women and youth, investments and insurance systems and support the management of savings.

In support of outcome 1: Addressing the Humanitarian and Development Nexus (HDN)

- Explore and strengthen linkages between humanitarian and longer term development actors with focus on immediate as well as longer term food security and natural resource management using humanitarian aid to stabilize and prevent a deterioration when any sudden needs come up. Humanitarian aid can also support the protection or even rehabilitation of the natural resource base (e.g. safety net programmes, public works, asset transfer programme, conditional transfers for educational, life skills of training measures). Further, humanitarian aid can also be an entry point to reach most vulnerable communities, providing an option for addressing immediate needs, while establishing and planning longer term support to recover from the recurrent shocks and prolonged crisis. Some options include:
    - Maintain/improve the data collection and information management systems to allow for timely decisions, preparedness and response as well as a transparent and well justified selection of most vulnerable groups among the primary targets groups (pastoralists, agro-pastoralists, women and men, youth and children).
    - Explore and support social safety nets (e.g. food and cash transfers conditional to the participation of either education/trainings or productive community assets, such as feeder roads, water points, irrigation channels, rehabilitation of rangelands or fodder production, further investments in business development as alternative livelihoods, startups etc.).
    - Support immediate relief to save lives when and where needed (natural disaster, crisis, displacement affected populations) in line with natural disaster management policies.

Addressing cross-cutting issues within the FS domain as well as between the SDC HOA domains to achieve the impact

– Foster gender equality and women's empowerment across all ages to strengthen livelihood assets which contribute to resilience, including shared care work, improved negotiation and responsible leadership, as factors to reduce GBV (such as child marriage) and exclusion;
– Be aware of and consider marginalised groups whose needs are not visible and whose livelihood opportunities and food security are further reduced, such as people with diverse sexual orientations and identities, single-headed households, people with disabilities and those belonging to ethnic minorities, by supporting their visibility, relevant legal frameworks and services;

6.3 Concerning the existing project portfolio

Under this assignment a detailed portfolio analysis that would allow qualified judgements over the value added of the actual projects under the FS Portfolio was not conducted. Yet, some overall observations are presented.

SDC is already supporting seven projects in the region with a clear idea of strengthening long term development in line with a Humanitarian – Development Nexus (HDN). It was noted in the mid-term evaluation that an approach that works consciously on root causes may help to focus the project interventions and enhance a process of transformative change which can be strengthened by taking advantage of synergies. At the same time a root cause approach may help avoid exacerbating the situation in the long term with interventions that do not adequately consider potential harm that may arise despite short-term improvements.

> **Quote from the mid-term evaluation p 13: "**The wide spectrum of projects is a collection of relevant and partly innovative endeavours. However, there is no clear evidence showing their collective or synergetic transformative capacity to lead to sustainable food security in the mid- to longer term perspective. This is primarily due to the fact that most projects address the symptoms of a dysfunctional land use system without trying to improve the ecological condition – i.e., the productivity base – as a key root cause that is continuously being degraded. Ultimately, this 'symptom approach' further exacerbates food insecurity and thus contributes, or possibly even triggers tensions and conflicts, since competition over the already scarce or even insufficient natural resources compromises people's livelihoods. It is only by addressing some of the key root causes that the vicious cycle of land degradation and poverty/vulnerability can be broken up and sustainable progress achieved. Switzerland/SDC could play a pioneering role in this respect"

The FS domain, under its previous FS portfolio (see Annex 1.5), had identified **three pillars** of intervention and classified them according to their adaptive or transformative potential. This root cause analysis shows that the second pillar "working on sustainable natural resources management and climate resilience" has the highest transformative potential, while working on immediate better sources of income and market systems can only have a transformative effect if it doesn't lead to unsustainable management of natural resources. Therefore, any of those interventions (pillar 3) need to be closely monitored with regard to that potential effect. Examples from the past are long value chains and meat exports which do not benefit the poorest as well as the introduction of prosopis for fodder, which has led to loss of biodiversity.

Therefore, it is recommended to take the second pillar (Sustainable Natural Resources Management and Climate Resilience) as a primary and underlying principle into which the other two pillars of intervention have to fit. This would help the FS - team to set priorities in the evaluation of the projects and set the focus for new phases or to phase out.

Any project evaluation should therefore look at issues related to the root causes identified, including the identification of harmful power imbalances as well as identifying best practices and transformative potential.

Some Ideas on how to focus on a transformative approach through the project portfolio in the dryland regions of the ASAL region

Management of natural resources for food production

"Agro-ecology" is the sister of the "One health approach" introduced by ILRI and which is already the "product" of the health domain. Agro ecology may become the "product" of the FS domain in the next programme phase.

Following a process of capacity building which needs to actively involve project partners, SDC can identify "best practices" from the projects and enhance mutual learning throughout the programme. Possibly the NRM-Borena project may take a lead to that respect and be able to serve as a "capacitator" to further develop this approach and provide know-how to other projects.

Ending drought emergencies in line with IDRSSI framework – investments: This approach is already followed by several projects (IGAD/FAO, FCDC) and: If it contributes to long-standing sustainable management of natural resources, it might be a good approach to follow-up.

Strengthening entities

Stakeholder analysis for each project: Identify relevant entities and classify them according to where they belong to (state, private, Civil Society) and how they can contribute to sustainable management of land, water and biodiversity in their respective function as duty bearers.

Develop a tool to allow partner rating and monitoring of progress with regard to their capacities and implementation of agro-ecological principles

Review the IGAD / FAO project on where the role and responsibility of IGAD as an intergovernmental and regional player can be enhanced specifically with regard to regional land governance and specific conditions that allow pastoralists to move across borders.

"Facilitation approach as a delivery model" when working directly with governmental entities: FCDC, IGAD/FAO – how can this approach be applied to strengthen agro-ecology as an approach to promote inclusive natural resource management?

Enhancing community participation

There are many initiatives that indicate at community-based initiatives to manage resources and get involved into political decision taking. SDC can link the people across projects and support mutual learning and networking on selected issues. Examples are: action planning related to management of natural resources (IGAD/FAO, SomRep, SIRA, SDR, NRM Borena), county-led spacial planning with PPG (FCDC/PPG), conflict resolution committees (IGAD/FAO, FCDC/PPG, NRM Borena), early warning information (SomRep), Farmer-led NRM (SomRep, SIRA)

Synergies

During the assignment an interview was conducted with representatives of two related domains, governance and health. Some ideas were arising from that interview. However, given the shortage of time and the complexity of the subject, the below can only scratch the surface and need to be discussed in more detail amongst the respective teams as proposed in Chapter 7 below.

Health: The One-Health Approach: Work with the health domain on ways for up-scaling of the One-Health to the FS-domain and for possibilities to include nutrition sensitivity and diverse diets as malnutrition is a root cause for diseases of animals and human beings. Generally, issues of reproductive health and rights as well as gender-sensitive approaches to reduce GBV provide areas where health and food security are directly linked, working closely with the governance team.

Governance: There are many potentials for synergies, as already mentioned above (chapter 4.5), especially with regard to addressing harmful power relations. Close collaboration with regard to gender and conflict management are advisable and to be introduced as cross cutting issues. The recommendations of the gender assessment include the issue of GBV, women's position in decision taking at different levels: within households, in politics and in the private sector (associations, markets, enterprises), as well as working with men on gender transformation, redistribution of tasks and responsibilities and addressing GBV. Land governance is a specific issue, which closely relates to the responsibility of governments and duty bearers with regard to conflicts, gender and natural resources.

Migration/Protection: Principles of agro-ecology can be applied in many different contexts, including in IDP-camps and in peri-urban settings.

GPFS: In the past, there were no synergies with the GPFS, as the GPFS does not include a section on livestock production. As a consequence, there are no GPFS-projects and activities in the SDC HoA programme region so far. However, for the future better cooperation and synergies are being foreseen from GPFS. For example, the International Livestock Research Institute (ILRI) is presently preparing a guideline about nutrition-sensitive livestock production, contributing to improving nutrition amongst (agro)-pastoralist communities.

Monitoring, evaluating to strengthen SDC's portfolio

The here presented root cause analysis and development of pathways to change did not include a profound analysis of the actual SDC portfolio at the HoA. There is therefore not yet a clear understanding on how the actual portfolio still responds to the root causes and main issues identified and what modifications might be required to redirect SDC's portfolio to achieve the targets most effectively and efficiently.

For the upcoming new cooperation programme, SDC should continue to ensure a consistent monitoring and evaluation to support its strategic decisions. Monitoring and evaluations at various levels, closely tracking progress and assumptions, is required. This should include perceptions of partners and main stakeholders. It is important to closely monitor progress at the duty bearers' levels and initiate self-evaluation at both levels, duty bearers as well as right's holders' levels. This will help to better understand where SDC has specific competences, where progress is satisfactory in view of reaching the intended Outcomes. Depending on the results, immediate actions might be required to redirect and strengthen implementation. Further, as resource constraints exist, actions that do not proof to be efficient or effective and which do not clearly promote sustainable management of natural resources, could eventually be phased out. However, that requires clear evidence based on the results and indicators framework and related to relevant baseline information.

7 Issues to follow up

The report presents the findings and outcomes of a short term assignment (10 days). During the assignment, three workshops and seven meetings were held. Various aspects were discussed and touched upon, but could not be elaborated in depth, due to the time constraints and priorities jointly agreed on during the iterative process.

There are a few observations that require a follow up with more in-depth assessments and actions.

- Linkages to other domains are crucial to enhance SDC's impact towards improving food security. Given the priorities and the limitations only one joint interview with the representative of the governance and health domain were conducted. It was noted that strengthening synergies had also been recommended in the past, but requires stronger analysis of opportunities, ensuring convergence or at least complementarity. To maximise synergies, a joint targeting and planning as well as joint progress reviews etc. Geographical synergies do not seem to exist but should be a priority, this will need to be considered in the project planning.
  SDC might therefore bring the different domains together and organise a workshop in order to specifically discuss options for synergies overall, and options for the FS team to leverage other domains' capacities to contribute to the FS target. SDC might have experience in other regions and could be supported through its Head Quarter resource pool.

- During the workshop on July 1st, the FS team presented a results chain, named as TOC FS, providing inputs, outputs, outcomes and impact. The facilitators provided inputs: some of them directly entered into the graph, and others summarized under chapter 6.1 of this report. The suggestions should be discussed among the FS team and if deemed as useful, and addressed and incorporated into the results framework. Finding the balance between the refreshed aspirations to thrive for food security and resilient livelihoods on one hand and the existing opportunities provided by the ongoing portfolio and the available resources on the other hand, should be considered while finalising the portfolio.

- Linked to the results chain and a specific focus on improved management of natural resources and strengthening institutions, the FS team should revisit its existing portfolio, identify opportunities to focus on the intended outcomes, adjust actual engagements and de-prioritize or de-emphasis areas that contribute less effectively to the set objectives.

- In line with the root causes identified, the FS team needs to collect relevant information about the context in the region and how changes will be monitored, such as the degree of degradation, successful inclusion of vulnerable stakeholders in governance negotiations or changes in productivity/income related to improved natural resource management.

- Given the importance of agro-ecology and its relevance for protecting natural resources while aiming for improved food security in the region, the consultant team presented concepts and options. It is advisable to further analyze existing experience applying the approach and the principles of agro-ecology among pastoralist communities in the HoA. A selection of relevant examples presented in the report, the listed references might provide entry points.

8 List of interviews and consultations

All interviewees are listed below. They were interviewed in the respective groups or individually. Two consultation workshops were organised with the FS-team and members of the management team (17th and 24th of June). Two additional consultations were organised with the FS team on 16th June and 1st July, helping to clarify propositions and concepts and creating common grounds for a feasible ToC.

Names	Position
Group 1: SDC Food Security Team - HOA	
Kunow Abdi	Programme Officer Food Security
Abdikarim Daud	Programme Officer Food Security
Berhanu Tadesse	Programme Officer Food Security
Kerstin Troester	Junior Programme Officer
Group 2: SDC Head Office (Bern), but link to HoA and thematically linked	
Katharina Jenny	Senior Thematic Advisor Rural Development
Daniel Maselli	Advisor, Global Programme Water (peer evaluator, mid-term evaluation)
Daniel Valenghi	SDC Programme Officer Global Programme Food Security GPFS, Addis
Group 3: Senior Management HOA	
Larissa Meier	Deputy Director IC, Addis
Thomas Oertle	Regional Director IC, Nairobi
Séverine Weber	Deputy Regional Director IC, Nairobi
Group 4: other domains	
Lydia Wetugi	Programme Officer Migration (NBO) Durable solutions (not available)
Nimo Jirdeh	Programme Officer Governance (NBO) Governance
Lensse Bonga	Programme Officer Health (ADD) One Health
Others	
Dr. Piers Simpkin	FCDC technical backstopper and NIRAS Africa Consultant
Dr. Mohammed Yussuf	Livestock specialist and drylands generalist and consultant in the HoA

Annex 1: Frameworks

1. Food Systems approach for analysis – starting point
2. Global framework – livelihood systems (DFID 1999, applied by UNDP 2017)
3. Biovision Sustainability in Food Systems
4. CIDSE Principles of agro ecology
5. Pillars of intervention - SDC Food Security Portfolio 2019/2020

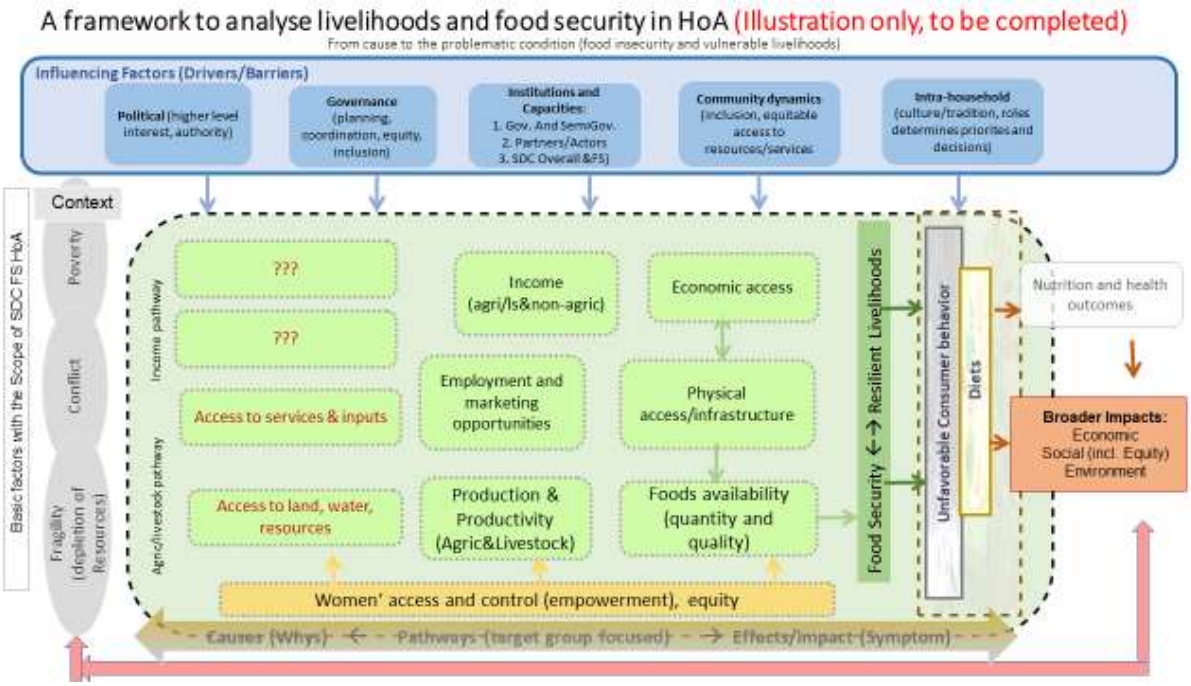
Annex 2: Documentation of results

1. Methodology – Inception report
2. Workshop results (1st workshop with SDC FS team, June 17, 2021, and 2nd workshop 24th June 2021),
3. ToC Proposition FS Team from consultation July 1st

Annex 3: Annotated literature - grouped for SDC global, SDC HOA, SDC HOA FS, global non-SDC

Annex 1: Frameworks

Annex 1.1. Food systems approach for analysis: starting point



Annex 1.2. Sustainable livelihoods Framework, developed by DFID (1999)[16] applied till recently (e.g. UNDP Guidance Note 2017) [17]

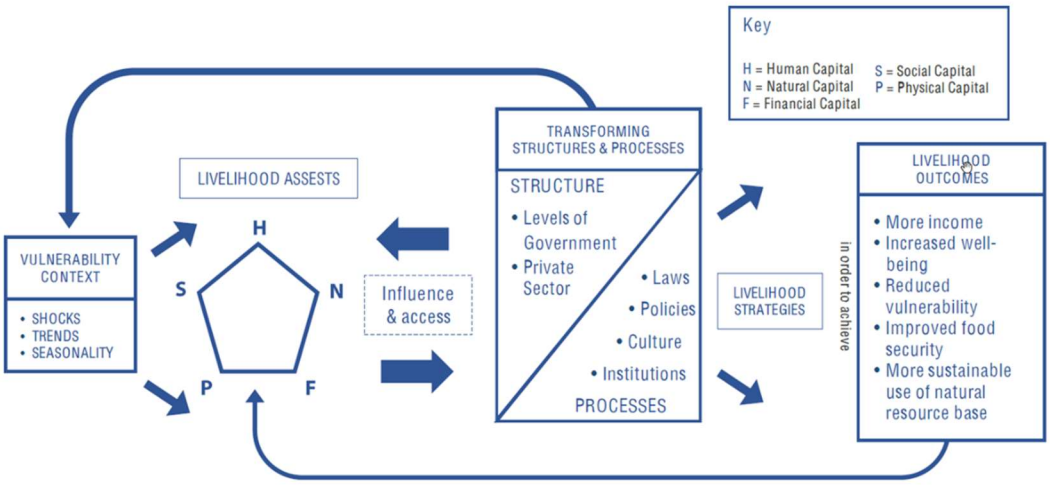
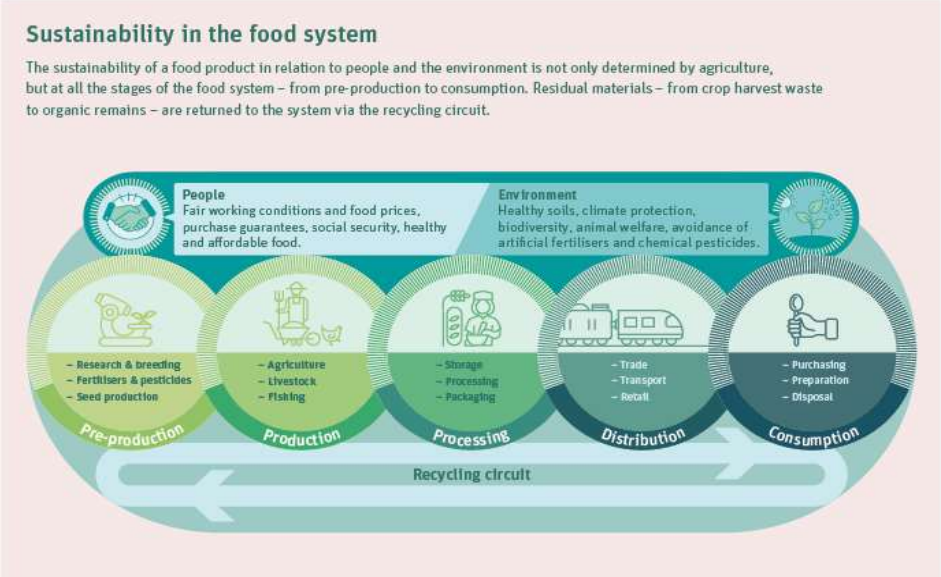


Figure 1. Sustainable Livelihoods Framework. Graph from DFID (1999).

[16] DFID 1999, SUSTAINABLE LIVELIHOODS GUIDANCE SHEETS, Available at: https://www.ennonline.net/attachments/871/dfid-sustainable-livelihoods-guidance-sheet-section1.pdf

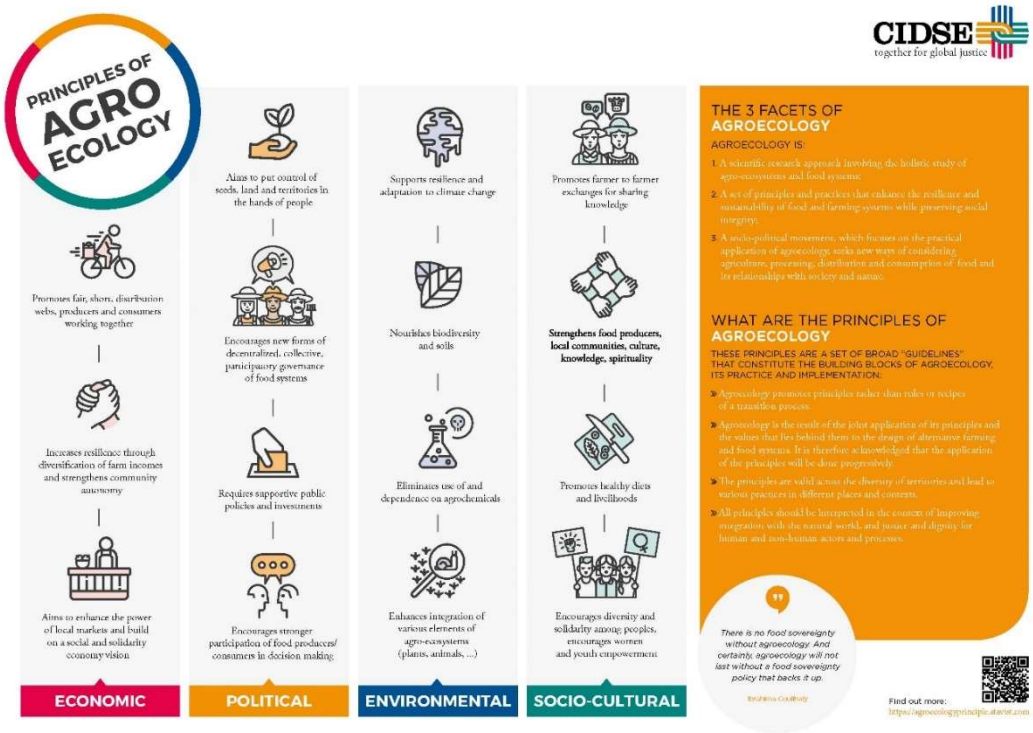
[17] UNDP 2017, Guidance Note: Application of the Sustainable Livelihoods Framework in Development Projects, available at: https://www.latinamerica.undp.org/content/dam/rblac/docs/Research%20and%20Publications/Poverty%20Reduction/UNDP_RBLAC_Livelihoods%20Guidance%20Note_EN-210July2017.pdf

Annex 1.3: Sustainability in the food system (Biovision)



Source: Biovision 2020, p 5 [18]*, graphic by Tobias Matter*

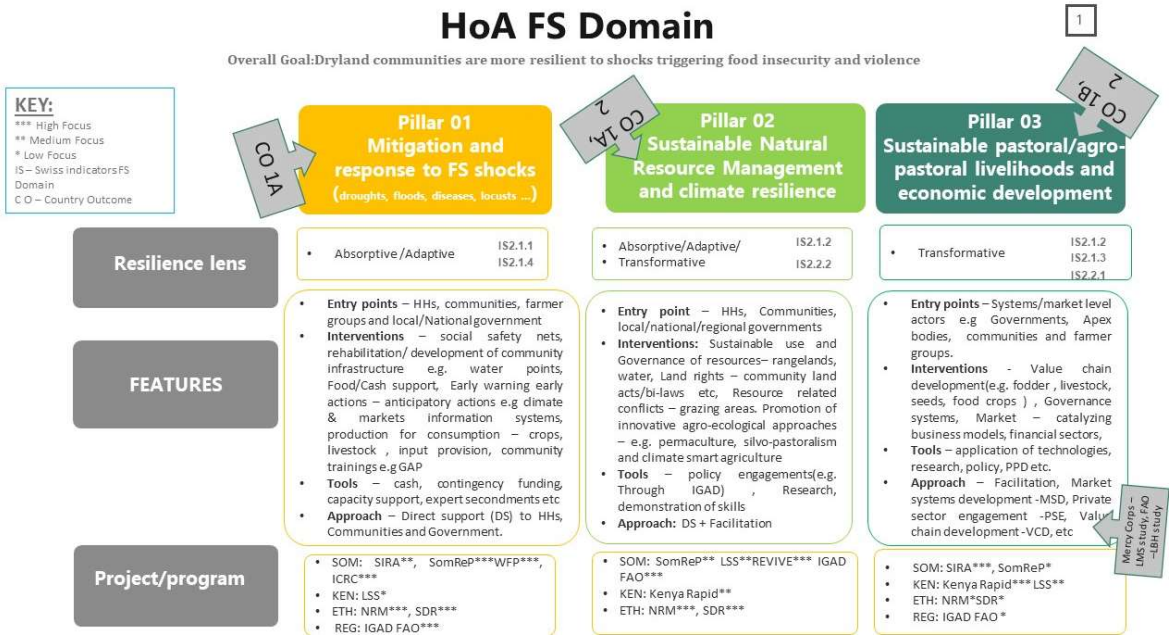
Annex 1.4: CIDSE Principles of agro ecology



https://www.cidse.org/2018/04/03/infographic-the-principles-of-agroecology/

[18] Biovision Newsletter 2020 – Difficult times for the Maasai - https://www.biovision.ch/fileadmin/pdf/Newsletter/web_201125_Newsletter_NL63_EN.pdf

Annex 1.5. Pillars – SDC Food Security Portfolio 2019/2020



Annex 2: Documentation or Results

Annex 2.1. Methodology – Inception Report

Inception report: The inception report builds on the proposal submitted to SDC in early May and discussed with the team on May 11th, 2021. Overall, the submitted proposal was accepted, there were no areas or action that were to be omitted. Following the common consensus on the process, the teams connected for a kick-off meeting on May 25th, 2021. The kick off meeting helped to agree on administrative regulations, timelines and focus of the desk review of the roots cause analysis and the TOC development process.

Content: The here presented inception report builds on the discussion points and presents operational issues that help to ensure a well-focused process. A short but detailed work-plan presenting the tasks and timelines, the responsibilities and the actions following each task at Annex 1. Annex 2 presents a description of the intended interviews and a few key questions that will help to guide the interviews. Annex 3 presents the literature identified to be analysed, this contains both, the literature to be reviewed for the root cause analysis, as well as literature that supports the prioritization and drafting of the TOC. Annex 4 presents globally accepted and adopted definitions for livelihood vulnerability and food security. Though there are no contradictions to the concepts applied by FS and SDC, these definitions have still been included to ensure clarity while determining the root causes that result in those conditions.

Approach and Process: As outlined in the proposal, the methodology will be a combination of literature review, individual interviews with SDC and Food Security (FS) team members as well as selected key stakeholders as appropriate, two online workshops to discuss results of the i. root cause analysis[19], ii. identify priorities necessary to develop the ToC and ii. prepare strategic recommendations for SDC to set priorities for their future regional programme.

The consultant team's role is to facilitate the process and document the findings based on the review and analysis of the documents provided by the SDC key members and interviews that complement the literature review with context specific information. The consultant team's experience working in the context of food security, livelihoods and resilience in development and humanitarian context will aid the process, while the regular consultations, formal as well as informal, with the FS team will allow to contextualise, build on existing evidence and work within existing frameworks.

Focus and limitation of the root cause analysis

The level of efforts envisaged for the analysis of root causes, the development of the TOC and the recommendations is 10 days. While there is a wide ranges of resources, literature and key informants, that could provide in-depth information, it is important to ensure that the timelines are met. For ensuring proper focusing and prioritization to meet expectations, the below table presents the focus and lists actions that will not be possible within the given time frame but could be considered by SDC at a later stage.

The analysis of root causes will focus on root causes of food insecurity and livelihood vulnerabilities within a context of poverty, conflict and fragility, leading to protracted crisis. It will be mainly qualitative, departing from the analysis already taken up by the FS team. Results will be visualised in flow chart structures. It was explicitly said that a holistic Food systems analysis is not required, looking at all elements of food systems frameworks and its impact on food and nutrition security. However, 'food system frameworks' can still be used to illustrate main causes and pathways, with a focus and ultimate objective to build resilient livelihoods and household food security in the region. If gaps within the area of food security are identified, this will be flagged, and discussed with the team in how far these gaps require further consideration in the future.

Entry point to analyse root causes and literature: Key document is the PE-analysis (PEA), which entails detailed analysis of some root causes for food insecurity and livelihood vulnerability. Additional annual SDC reports will

[19] Asking five "why-questions" (5 sub-sequent iterations of asking why) may lead you to a pathway from a problematic condition to basic or root causes and considers interactions between the different strains/pathways. The 'why' also means, what caused the problem, each answer has another why (has another cause) etc.

be analysed, which already provide context information. The results should serve as a starting point for further discussion. Other literature that will be complement SDC's documents include (e.g. food crisis report 2021, definitions, emergency compendium FAO, Prevention of FAO's State of Food Insecurity, cluster reports with focus on cross boundary issue (e.g. locust infestation, HoA). See proposed reference lists (Annex 3 below)

Table: Focus and limitations for future consideration

	Focus	**Useful for future consideration (not prioritized within the actual scope)**
Literature, resource documents	Primarily SDC's publications, internal documents (see list of literature)**.** Global documents that set the stage, reference documents to support the rational.	National literature, country specific (Ethiopia, Somalia, Kenya situation analysis, e.g., national food security cluster, FEWSNET country reports):
Actors and stakeholder (for interviews and workshop participants)	SDC programme team (HOA) SDC Senior Management Team SDC HQ (relevant to HOA and FS) Key partners' representatives	Stakeholders outside SDC (WoGA or non-Swiss entities).
Root Cause Analysis	Focus on root causes of food insecurity and livelihood vulnerability in a context of poverty, conflict, fragility pertaining to (or focusing on) the target groups (communities and livelihood systems, predominantly (agro-)pastoralists.	Analysis of political situation, stakeholder analysis, deeper analysis of causes by natural boundaries and political system/governance, societal and economic causes quantified contextual analysis will not be included. Root cause analysis by national boundaries.
ToC	Based on the root causes identified. 1st consultation: presentation will focus on root causes and will briefly propose and discuss priorities for TOC. 2nd consultation will be more elaborated on the TOC.	Comprehensive analysis of gaps in root causes identified. TOC for national contexts within the region.
Strategic Recommendations	Focus on SCD's International Cooperation HoA – Food Security and Livelihoods, Prioritization for investments and resource utilisation within FS and Livelihoods and linkages to related domains of SDC's IC HoA.	Quantification of financial resource allocations.

The elaboration of ToC will demonstrate pathways of change, addressing root causes while considering gender, governance, and conflict-sensitivity as transversal themes. This will provide specify entry points and niches for Swiss engagement, Switzerland's comparative advantage, at the policy/advocacy, coordination and programmatic level.

1st Consultation: Presentation of root causes (facilitators), discussion of pathways of change and identification of entry points for intervention for SDC related to existing experiences and considering Swiss Comparative advantage (FS team and other participants). Priorities for TOC will be discussed.

Based on this information, TOC will be developed advanced subsequently to the 1st consultation and presented in a first draft report. This draft will form the base for the 2nd online consultation to verify and further develop the ToC within the FS-team.

Recommendations for consolidation of FS portfolio will be drafted, based on reflections, and linked to projects. As a result, the facilitators will develop an overview of projects which indicates in how far root causes are already being addressed. This overview will serve as a base for recommendations with regard to the project portfolio linked to the ToC defined.

Work Plan (May 25th to July 7th, 2021)

Timeline	Deliverables	Task, responsibility	Actions following, responsibilities
End May	Start	Recruitment and finalisation of contract.	
May 25th	Briefing FS team	Clarification of administrative settings, options for timelines, identify main focus and key documents.	***Actions following the kick off meeting:*** **FS team:** share relevant documents and tentative dates for the consultations. Consultant team to compile literature, start preparation of inception report.
By 31 May (latest)	Submit inception report	**Facilitators**: - submit inception report including work plan and activities (1 page). Timelines in accordance to the kick-off discussion.	***Actions following the submission and approval of inception report, May 31 to June 10th:*** **Facilitators:** - Analysis of information and documents identified. - Interviews of key actors to receive context specific information. - Prepare 1st draft report. **FS team**: - Provide inputs and approve inception report. - Provide contacts for interviews - Be available for providing guidance and support the team to prioritize and focus well. - Setting dates for the consultation.
June 11th	Submit Outline of root cause analysis.	**Content:** first analysis of root causes and options for TOC formulation. **Facilitators:** prepare and send first outline of root cause analysis.	**Actions following the submission of 1st Draft:** **Facilitators:** prepare 1st consultation. **FS team:** review and prepare inputs to be discussed during the 1 consultation.
June 16th	1st online consultation (2 to 3 h)	**Conduct 1st online consultation:** **Objective:** Clarify and verify the root-cause analysis based on the context specific experience and strategic direction of the HoA team, identify priorities for the TOC. **Facilitators:** Present first findings, moderate discussion, seek inputs. **FS Team:** provide insights and inputs based on the experience, insights in the strategic directions of SDC at HoA.	***Actions following the 1st consultation:*** Consultant team: compile inputs, analyse further information if need be, and prepare draft for discussion.
By June 20th	Submit draft report	**Content:** Draft report includes root cause analysis, first draft of TOC and recommendations.	***Actions following submission, June 20 to June 24th:*** **FS team**: review and share feedback in preparation of the 2nd online consultation. **Facilitators:** prepare the 2nd online consultation.
June 24th	2nd online consultation (2 to 3 h)	**Objective**: Discuss feedback and seek further inputs that supports the finalisation of the root cause analysis, the TOC and the recommendations.	***Actions following 2ndt online consultation:*** Consultant team: compile inputs and prepare final report (root cause analysis, TOC and recommendations).
Until 7th July	Submit final report	**Consultant team:** Finalize report and submit to FSincluding annexes and material.	

Annex 2.2: Workshop results (1st workshop with SDC FS team, June 17, 2021, and 2nd workshop 24th June 2021)

Results of the Discussion on root causes for Food Insecurity and livelihood vulnerability (Workshop 17th June 2021)

The analysis is a result of the literature research and consultations. The main focus was put on SDC's previous analysis and the perceptions of inhouse staff (see annexe for details). These sources already contain numerous entry points to identify root causes. External literature was consulted to broaden the horizon and to identify relevant gaps of knowledge and experience.

The results of the analysis were presented and discussed with the FS-team several times, before presenting it at the workshop to a slightly larger group. The workshop served as a platform to seek consensus on what may be classified as the "root causes". While the term "root causes" implies that there exists a hierarchy of causes, the discussion showed that all those causes seem to be interlinked and mutually reinforce each other. Some confusion appeared with regard to the defining and placing external influencing factors, such as climate change, bringing floods, drought and locusts. The terminology of "institution"(meaning processes such as laws and policies) versus "entity" (meaning formal and informal structures) had to be clarified in order to avoid misunderstandings.

As there was a consensus on the relevance of the two root causes related to "entities" and "resources", participants further analysed the context related to their experience in two groups. This analysis helped them to identify the most relevant causes and priorities of intervention as summarised below:

Group one: Analysis of the root cause: Limited resources, more specifically "limited useable land".

In the discussion, the quality of land was a main issue, which depends largely on the use of different vulnerable groups for their livelihoods: Pastoralists, agro-pastoralists and IDP all need land for their purposes and in the absence of inclusive land planning, they cannot establish complementary livelihood strategies. This leads to conflict and land degradation, which enhances the existing crisis situation (related to climate change and conflict), provoking more drop-out from pastoralism, agricultural settlement and internal migration.

Group two: Analysis of the root cause: Weak entities (formal and informal entities, e.g, Gov., customary, buero, unions..)

The group noted that the number of entities which influence food security and livelihood is very high, ranging from community-based to formal entities. Affected vulnerable people are concerned via their influence on political decisions and as beneficiaries of services and laws/policies which should improve their livelihood assets. Relevance in this context was accorded to financial services, market infrastructures as well as safety nets and services (early warning, insurances…). Weaknesses were identified concerning infrastructures (information, transport, technologies), human capacities (knowledge, gaps based on gender and age), and political will (to implement/execute laws and policies).

This exercise helped to concentrate on factors that are directly related to root causes. The reflection may help to develop priorities on sub-causes which seem most relevant. In order to identify priorities for intervention by SDC, it is important to identify the Swiss comparative advantage and specific expertise. This will help to identify levers for intervention which will hopefully potentiate the impact.

Results of the discussion on the TOC from the workshop 24th June 2021

Open discussion on the role of the issue of Food Security in relation to livelihoods

Food security is one outcome of livelihood resilience and possibly the most basic one, as it forms the base for human living in dignity. For the people concerned, Food security is a primary concern / basic need. Therefore mentioning food security in relation to livelihood resilience helps to identify a focus of this programme domain. The other domains Governance, Health and migration/protection also contribute to livelihood resilience, so the vision of livelihood resilience is well placed in the overall programme goal, and a vision of food security related to livelihoods of (agro) pastoralists in the dryland ecosystems of the Somaliregion as the principle objective of the FS-domain.

Based on the SDC "How-to Guidelines Theory of Change" the following results were derived from the discussion and are summarised below

1. **Who are we aiming to support and why? (Clarifying the target beneficiary groups and prioritising the key issues they face, if appropriate)**

Focus on (agro)-pastoralists in drylands ecological systems in the Somali borderregion (across the three countries Kenya, Ethiopia and Somalia), acknowledging the specific situation of women and girls as well as youth and minority groups.

2. **What are the long-term changes that need to happen in the target groups' lives?**

Equitable access to resources (natural resources, productive assets, services, incl. financial services, infrastructure, markets)

Sustainable management of natural resources to mitigate degradation from overuse and climate change (Floods, droughts, locusts)

Peaceful solutions to conflicts, leading to an environment where livelihood assets can be developed, including productive inputs for food security, especially for vulnerable and marginalised groups of people.

Government entities need to take up their responsibility to provide a framework and a safe environment for services that allow vulnerable people to secure their livelihoods

A trusting environment builds up, where people can make long-term decisions affecting their livelihood and development

3. **What is our overall vision for change as an organisation/programme?**

Livelihood resilience and food security in an environment of sustainable management of natural resources, which allows communities to live in peace and react adequately to shocks related to climate change

4. **What are the key four or five long-term changes to which <u>WE</u> can contribute?**

Inclusive management of natural resources to allow complementary use by local people: (agro-pastoralists, DAC) for their livelihood and food security, involving both state actors and the local population and their associations

Enhanced production and generation of income from activities to sustain livelihood and being able to react to climate change

Strengthened entities and institutions to take up their responsibility to improve legislative framework, infrastructures and services: markets, financial services, *(Here you need to identify which are the entities where you can have most influence, such as IGAD, selected ministries, !)*

Other aspects that determine SDC-contribution: The "Swiss approach": Exchange within the region across borders; Combining long-term development with short-term crisis intervention, Experience with "land governance" – processes in West Africa and other countries (ask Daniel Valenghi), strong commitment to Agro-ecology by SDC and existing link to Biovision, strong links with multilateral organisations that work on Food security (FAO)

5. Who and what needs to change in order to achieve those long-term changes? (You can start to identify intermediate outcomes required to reach the long-term outcomes)

People need to see how they can influence change through production methods, which provide food security and at the same time protect the environment. They need to see a success at short-term.

Vulnerable people need to have a voice to influence decisions by entities related to food security and livelihood resilience

There are already some **niches** where SDC has been successful:

- ✓ Support of pastoralist associations to have a voice in politics and to establish a formal status;
- ✓ Working with small local NGOs as service providers and by this strengthen their capacities gradually;
- ✓ Starting to discuss cross-border corridors and working on rangelands/water nexus (regional level stakeholders);
- ✓ Opening up investment spaces to allow private service providers to develop services which benefit both the population and the service providers (without exploitative mechanisms through overpricing)

6. What changes need to happen at other levels or dimensions in order to achieve the long-term changes (e.g. at community level or in policy or systems)?

1. Policies and legislations more equitable, and executed, accountability mechanisms strengthened. (on the duty bearer stream)
2. Technical and sustainable approaches (best practices, evidence based, proven successes) identified, introduced, piloted, integrated into services (capacity building), accessible to all rights holders. (rights holder stream)

7. What factors, relationships or approaches influence change at each level?

Power imbalances as outlined in the PEA

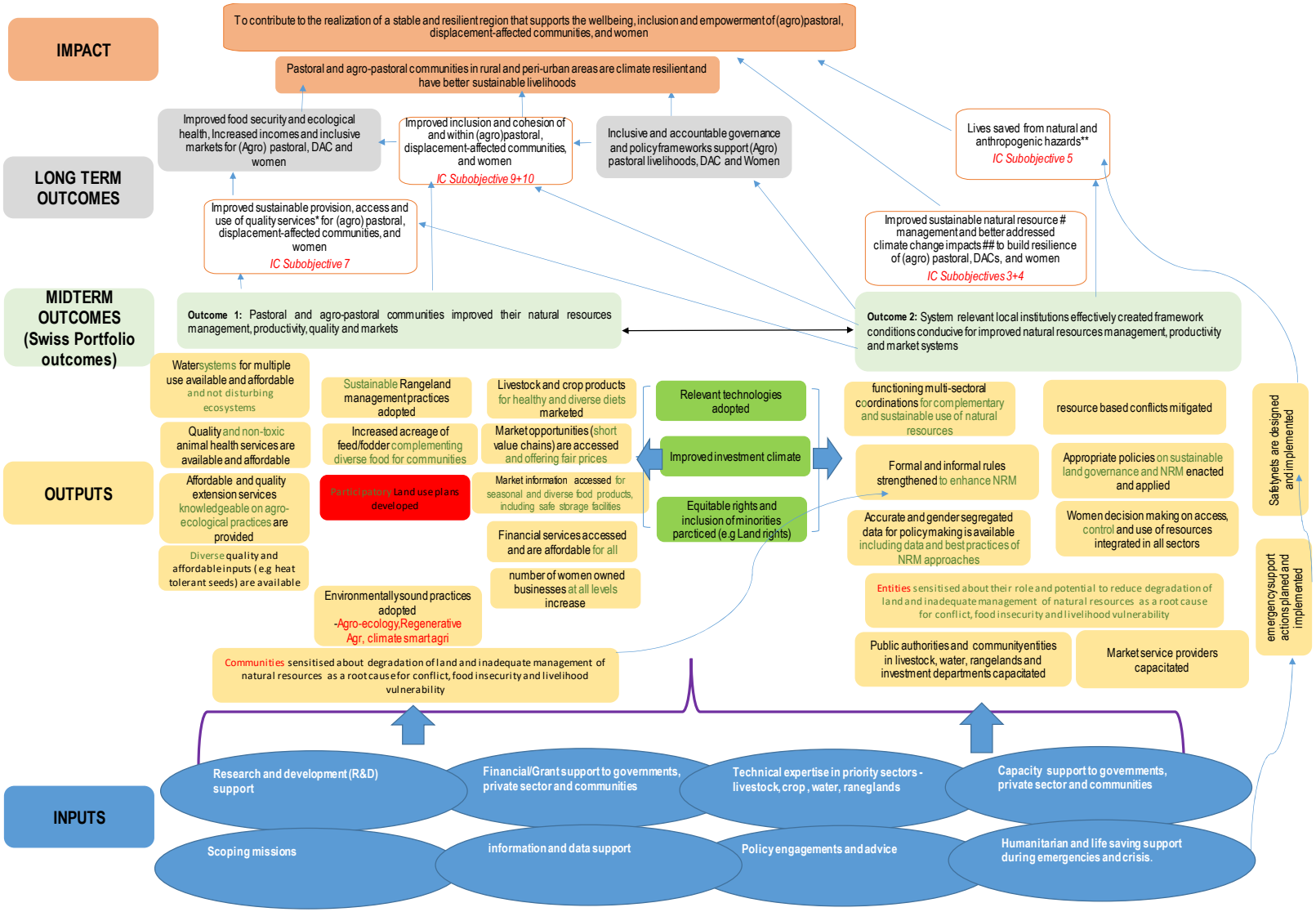
Political Commitments (advantages become visible and beneficial for all, including power holders, not only interest holders, in fact, power holders become interest holders)

Day to day survival (meeting basic needs) of small scale pastoralists not constraint by a solution that will possibly 'only' pay of in a longer run.

8. Who are the groups <u>WE</u> can influence? What changes need to take place in them?

People, Customary institutions (e.g. pastoralist's traditional networks), Civil Society, Government, Private sector, Regional entities: IGAD…, Multilateral Organisations and their entities

Results chain ToC Proposition by FS Team from consultation July 1st



Annex 3: Annotated Literature

The below present the literature that was reviewed and analysed over the course of the assignment and formed the basis for the findings.

SDC Documents – Annotated list of documents

All documents are available at SDC's shared drive: https://www.shareweb.ch/group/ADD-Embassy/ic/Other%20Documents/Forms/AllItems.aspx?RootFolder=%2Fgroup%2FADD%2DEmbassy%2Fic%2FOther%20Documents%2FFS%20Root%20Cause%20Analysis%202021&View=%7B26AA4A5E%2D6798%2D46C5%2D9EF7%2DFC6912A6E2CD%7D

SDC HOA

SDC 2021, Political Economy Analysis (PEA) Report, 30th April 2021. *(Facilitated Political Economy Analysis on issues of Governance, Food Security, Health, and Migration and Protection, within the framework of the Swiss Cooperation Programme HoA).*

- The PEA presents 1. a key contextual analysis (global and regional factors, demographic trends, migration, structures (states and territories), economy, social and institutional structures. Focus on HoA. 2. Analysis of the different domains (governance, food security, migration, health) as well as 3. Strategic Implications and conclusions. Annexes present additional information on the domains.
- Looks at the HoA level, less specific on country context, while the latter feeds into the regional level analysis.

SDC Cooperation Strategy HoA, 2018 to 2021, 48 pages (pdf document)

- Predecessor of the foreseen CS. Describes the context, SDC at HoA, Lessons and Results achieved and implications, priorities (4 domains, plus geographic focus and target group), management and steering. Results frameworks for the 4 domains are attached, as well as institutional cooperation and migration HoA and a map of the focus area at HoA.

SDC Mid Term Evaluation, Cooperation Strategy HoA 2018 to 2021, 22nd March 2021, Final, 72 pages

- Presents findings by evaluation area (EA), analysis of the situation, conclusions and recommendations by 3 EAs:. EA 1: context analysis, strategy relevance, changes, positioning and adaptation), EA 2: Effectiveness and appropriateness of the portfolio (by domains and transversal themes and nexus, process and synergies), EA 3: CS implementation (organisational set up, WoGA). Annex 2 presents all WoGA investments. Annex 3: Recommendations by EA.

SDC DRAFT 2021 Management Response to the Evaluation of SDC's Horn of Africa Cooperation Strategy 2018 – 2021

- **Presents the recommendations, consensus and SDC's comments.** Most recommendations where agree on (all for EA 1 and EA 2, all but not 2.9, 2.12, 2.15, 2.18 (all partially), EA 3: all but 3.5 (disagree), 3.6 (partially).

SDC International Cooperation HoA, Excel sheet, 21 entries.

- Presents a listing of all SCD HOA investments, project titles, country, domain, partners, short description. Can be sorted and filtered.

SDC HOA – Food Security

SDC Food Security in the Horn of Africa (Kenya, Somalia, Ethiopia) 2019/2020, 2p.

- Presents facts and figures, food security situation, key partners, financial planning, and lists SDC main interventions (Kenya RAPID, Somalia – SIRA), Somalia Drought Resistance, Drought Resistance Somali Region of Ethiopia, NRM Borana Zone, Ethiopia, IGAD – FAO Partnership Programme (build resilience, cross border agro- and pastoralists).

SDC Food Security Portfolio Overview HoA (internal, 1 ppt slide).

- presents SDC's FS portfolio HoA by country and grouped into thematic areas (pillars), 1. migration and response to FS shocks, 2. Sustainable Resource Management and Climate Change, 3. Sustainable livelihoods and economic development.

SDC HOA FS Domain Results Framework, 12 pages (word document)

- Presents the detailed results framework for the entire FS portfolio, results, SDC programme contribution, regional and national outcomes.

SDC HoA Food Security Programme Documents (FS Project documents - All Documents (shareweb.ch))

- Includes programme documents on the following: e.g. Kenya RAPID, SomReP, Livestock Sectors Study, Livestock Sector Support LSS, FCDC, NRM Borena, SDR, SIRA FAO, plus IGAD FAO PP.

SDC Food Security Portfolio HoA, Pillars, 4 slides, ppt.

Food Security Portfolio Review: Workshop Report, June 2019.

Food Security Portfolio in HoA (visualizing), Resilience to shocks triggering food security and violence, investments illustrated within the triangle of production, means and capacities, distribution of food and water, promoting policies (1 page graph).

SDC Reporting and Monitoring

SDC 2020, Horn of Africa, Annual Report 2020 (Internal)

MERV and other evaluation documents for 5 Programmes (for Ethiopia, Kenya and Somalia, Oct. 2019 to Sept 2020.

SDC 2019, How-to Note Theory of Change

→ Explanatory note on SDC's understanding of a Theory of Change (ToC) with guidance on the process of its elaboration with key questions and examples.

SDC HOA Gender and Climate Change

SDC Gender Evaluation SDC HOA, Final Report, Dec 2019 and April 2020, 60 pages.

- Gender incorporation has been presented by domain, plus an overview on the effectiveness of the Gender Integration.

SDC Gender and Food Security, 10 pages, pdf.

- Includes a definition of food systems and food security (physical availability, economic and physical access, food utilisation and enabling environment), and a gender analysis related to FS and systems, proposes gender responsive interventions, and some remarks on M&E.

SDC Climate Change in the Horn of Africa Food Security Portfolio.

- Document (13 pages) provides an overview on how SDC's HoA portfolio addresses and incorporates Climate Change (approach, findings, recommendations, way forward). Annex 1 comprehensively presents SDC's HOA FS programmes and their elements relevant to climate change (summary,

outcomes, adaptation measures, potential negative impacts, SAP, locations, timing and open questions). Annex 2 presents a list of indicators aggregated and per thematic areas (agric and FS, climate change and environment, climate change and environment, DRR) and links to the Fact Sheets for each indicator. Annex 3 presents the list of DAC/OECD (SAP) coding used for the sector groups (as well as information and classifications applies for respective policy markers).

SDC SomRep 2019, EVALUATION OF THE SOMALIA RESILIENCE PROGRAM (SomRep) 2017-2019, 61 pages. At: Microsoft Word - 20191112 SomRep Evaluation Final Report, Clean version[1].docx (shareweb.ch)

SDC 2021, Regional assessment on climate change in the Horn of Africa (HoA), draft report prepared by Cynthia Awuor and Kitinya Kirina

SDC Global FS

SDC Global Programme Food Security (GPFS), Programme Framework, 2021-2024, December 2020, 28 pages (pdf document).

- Presents the context analysis, results and lessons and implications for the new Framework, commitments (4 components: global governance, agro-ecological food production, incl. agric and food market systems, sustainable and healthy diets for improved nutrition), joint actions and resources. A results framework and indicative resource planning is attached as well as information on transversal themes.

SDC Global Programme Food Security 2017 to 2020, 40 pages (pdf document).

- Predecessor of the above presented new GPFS.

SDC 2017, Establishment of reference situations for the Livestock Marketing Support Program in West Africa –

→ Analysis of livestock sector in SDC intervention areas in West African countries Mali, Burkina Faso, Niger, Nigeria for Food Security and income generation, looking at economic flows and the policy environment in the ECOWAS-Region

Secondary Documents SDC - HoA

IGAD Food Security and Nutrition Response Strategy 2020-2022, In the context of COVID 19, Desert Locust Invasion and Floods, 2020, 62 pages (pdf).

- Looks at greater HoA (7 countries) and includes Food and Nutrition Security issues.

IGAD Regional Strategy and Implementation Plan 2021 – 2025.

- Includes 7 member countries in the HoA. Situation analysis includes a SWAT analysis, presents the strategy, 4 Pillars (AD, Regional Economic D., Social D., Peace and Security) and 3 to 6 programme areas within each pillar, further implementation, institutional as well as funding arrangements.

ECOWAS/SDC 2017, Establishment of reference situations for the Livestock Marketing Support Program in West Africa

→ Analysis of livestock production and trade across borders in West Africa, where SDC has been involved in lang governance provisions with transboundary corridors

Global Literature

All literature publically available

Humanitarian

IPC – HoA, East and Horn of Africa Food Insecurity in the context of Desert Locusts and COVID-19. **http://www.ipcinfo.org/ipcinfo-website/ipc-alerts/issue-22/en/**

Food Security Cluster: Reports and information mapping, including IPC, FewsNet etc.

Food Security

CARE 2020, Gender Equality and Women's Empowerment in the context of Food Security and Nutrition - scoping paper commissioned by the Secretariat of the Committee on World Food Security (CFS) - http://www.fao.org/fileadmin/templates/cfs/Docs1920/Gender/GEWE_Scoping_Paper-FINAL040ct.pdf

- The paper gives a summary of the issue, clearly stating gender discrimination as a major determinant for food and nutrition insecurity and provides recommendations for practitioners and policy makers.

FAO 2021, Global Report on Food Crisis. Released May 2021 https://www.unmultimedia.org/avlibrary/asset/2616/2616555/http://www.fao.org/emergencies/resources/documents/resources-detail/en/c/1272014/ (seek link on FAO domain)

FAO 2017, State of Food Insecurity, Building Resilience for Peace and Food Security. **http://www.fao.org/3/I7695e/I7695e.pdf**

FAO 2017, Averting risks to the food chain, A compendium of proven emergency prevention methods and tools. 108 pages: www.fao.org/3/i6538e/i6538e.pdf

FAO 2017, How can Food Security interventions contribute to reducing gender-based violence? – Issue brief - http://www.fao.org/policy-support/tools-and-publications/resources-details/en/c/1268183/

→ Explains how GBV and Food Security are related and provides ideas for programme integration

HLPE. 2020. Food security and nutrition: building a global narrative towards 2030. A report by the High Level Panel of Experts on Food Security and Nutrition of the Committee on World Food Security, Rome.112 pages, www.fao.org/3/ca9731en/ca9731en.pdf

IPC 2019, Technical Manual Version 3.0 - Evidence and Standards for Better Food Security and Nutrition Decisions http://www.ipcinfo.org/fileadmin/user_upload/ipcinfo/manual/IPC_Technical_Manual_3_Final.pdf

Livelihood Definitions

IFRC, What is livelihood? https://www.ifrc.org/en/what-we-do/disaster-management/from-crisis-to-recovery/what-is-a-livelihood/

IFRC 2004, How to conduct a food security assessment. A step-by-step guide for National Societies in Africa. 76 pages. *https://www.ifrc.org/Global/Publications/disasters/food_security/fs-assessment.pdf*

Livelihood Centre, A handbook for supporting disaster-prone communities with food security and livelihoods activities, https://www.livelihoodscentre.org

UNDP 2017, Application of the sustainable livelihoods framework in development projects – Guidance Note https://www.latinamerica.undp.org/content/rblac/en/home/library/poverty/guidance-note--application-of-the-sustainable-livelihoods-framew.html

Livelihood systems HoA (small selection only)

Catley A., J. Lind, I. Scoones 2016, The future of pastoralism in the Horn of Africa, Pathways of Growth and Change. At: Rev. Sci. Tech. Off. Int. Epiz., 2016, 35 (2), 389–403 https://web.oie.int/boutique/extrait/05catley389403.pdf

CAADP 2012, Pastoralism in the Horn of Africa: Diverse livelihood pathways, Policy Brief, March 2012, Pastoralism-in-the-HoA.pdf (technicalconsortium.org) http://technicalconsortium.org/wp-content/uploads/2014/05/Pastoralism-in-the-HoA.pdf

Idel A 2020, The vast potential of sustainable grazing in Transformation of our food systems –the making of a paradigm shift, in Herren HR, Haerlin B and the IAASTD+10 Advisory Group (eds) - https://www.weltagrarbericht.de/fileadmin/files/weltagrarbericht/IAASTD-Buch/02Updates/U11AnitaIdel-IAASTD-pages-127-129.pdf

→ Briefly explains vast potential of pastoralism for positive climate change, providing evidence and recent state of the art of this discussion

IDIS Nairobi University 2014, Pastoralism and Conflict Management in the Horn of Africa: A Case Study of the Borana in North Eastern Kenya, erepository.uonbi.ac.ke/bitstream/handle/11295/94866/Watakila_Pastoralism and Conflict Management in the Horn of Africa%3A A Case Study of the Borana in North Eastern Kenyapdf?sequence=1&isAllowed=y

→ Describes the long grown history of conflict in the Borana region and the role of government response, outlining elements of participation and recognition of people who have been excluded from conflict resolution and peace building (youth, women, minority groups)

IUCN/World Initiative for Sustainable Pastoralism (WISP) 2007, Pastoralism as Conservation in the Horn of Africa - https://www.iucn.org/sites/dev/files/import/downloads/pastoralism_as_conservation_in_the_horn_of_africa.pdf

→ Overview of pastoralism and how it can contribute to the conservation of fragile ecosystems, with recommendation for political action and project interventions

Oching-Odhiambo M 2013, Moving beyond the rhetoric: the challenge of reform in Kenya's drylands - IIED Briefing https://pubs.iied.org/sites/default/files/pdfs/migrate/10043IIED.pdf as part of a series of papers related to misconception on drylands and pastoralism https://www.iied.org/misconceptions-drylands-pastoralism

→ Reasoning for recognition of pastoralism as substantial source for sustainable development and implication for policy making and inclusion, taking the example of Kenya – providing recommendations

Save the Children 2009, Pastoralists Dropout Study in Jijiga, Shinile and Fik Zones of Somali Region, Ethiopia - https://www.shareweb.ch/site/Agriculture-and-Food-Security/aboutus/Documents/pastoralism/pastoralism_biblio_ondijo_2009.pdf

Natural resource management

Coventry University and CIDSE 2021, Making money move for agroecology – transforming development aid to support agroecology https://www.cidse.org/wp-content/uploads/2021/04/EN-Making-money-move-for-agroecology.pdf

FAO/HLPE 2016, Sustainable agricultural development for food security and nutrition: what roles for livestock? A report by The High Level Panel of Experts (HLPE) on Food Security and Nutrition - http://www.fao.org/3/i5795e/i5795e.pdf

→ The report identifies challenges to the achievement of sustainability in livestock systems and possible pathways towards sustainable agricultural development that contribute to current and future food security and nutrition.

FAO /HLPE 2019, Agroecological and other innovative approaches for sustainable agriculture and food systems that enhance food security and nutrition - A report by The High Level Panel of Experts (HLPE) on Food Security and Nutrition - http://www.fao.org/3/ca5602en/ca5602en.pdf

→ In this report, the HLPE explores the nature and potential contributions of agroecological and other innovative approaches to formulating transitions towards sustainable food systems (SFSs) that enhance FSN. The HLPE adopts a dynamic, multiscale perspective, focusing on the concepts of transition and transformation.

Inspirations:

Biovision: https://www.biovision.ch/en/projects/ - Projects in Kenya and Ethiopia related to sustainable grazeland management, disease prevention, traditional knowledge, information systems, conflict sensitivity, gender.

NewTree: https://newtree.org – Projects in West Africa which specifically support sustainable agriculture / regeneration of dryland combined with income generation (German/French)

Film: Thank you for the Rain, 2017: https://thankyoufortherain.com/ - Five years ago Kisilu, a Kenyan farmer, started to use his camera to capture the life of his family, his village and the damages of climate change. When a violent storm throws him and a Norwegian filmmaker together we see him transform from a father, to community leader to an activist on the global stage.

The Coalition for Peace in Africa (COPA) is an African network of peace builders whose purpose is to promote peace, justice, human rights and development through capacity building, advocacy, research and documentation. http://copafrica.org/ (Expertise in working with women and youth). One member of the team is Tecla Wanjala (Kenya), one of the 1000 Peacewomen across the Globe, who has extensive experience in training communities in conflict transformation and who is currently working on trauma-healing.

Film: Fighting climate change with efficient cooking stoves by Caritas in local language with English subtitles, linking to health and nutrition: https://www.youtube.com/watch?v=FGHNRvjZP9s