

BASELINE SURVEY

BUILDING OPPORTUNITIES FOR RESILIENCE IN THE HORN OF AFRICA IS A MULTI-COUNTRY PROGRAM IN KENYA, ETHIOPIA AND SOMALIA

EXECUTIVE SUMMARY





Back-ground information

Project summary

Building Opportunities for Resilience in the Horn of Africa is a multi-country program in Kenya, Ethiopia and Somalia that is to be implemented for a period of three years with funding from European Union Trust Fund for Africa. The program is being implemented by a consortium of partners namely: Danish Refugee Council (DRC) which is the lead partner; CARE Deutschland-Luxemburg (CARE) through CARE affiliate partners in Kenya, Ethiopia and Somalia; World Vision UK (WV-UK) through WV Kenya & WV Somalia; and WYG International Limited (WYG). The consortium is united by the overall vision of building resilient communities in the Horn of Africa through cross-border programming in the areas of Community-based DRR, improved livestock production, skill development, trade & business development and sustainable management of shared natural resources.

The main aim of the program is to create greater economic and employment opportunities and thereby strengthen resilience of communities. The program seeks to achieve these objectives through the following broad intervention areas: Strengthening cross-border communities' capacities to identify their own priorities, plan and advocate for measures to help them withstand shocks; Promoting the development of inclusive cross-border environment for livestock and non-livestock trade and business, and fostering private sector opportunities for women and young people; Supporting the equitable and conflict sensitive management of natural resources in the cross-border area.

Objectives and methodology

The overall objective of the study was to benchmark the project indicators and have a better understanding of the operational environment and existing priorities in the targeted areas of intervention. Data and information emanating therefrom was expected to inform the planning and implementation process including potential redesign of activities as well as the design of the monitoring, evaluation and learning (MEL) systems.

The study was done at three levels namely: regional which entailed collection of data from cross boarder points in Kenya, Somalia and Ethiopia; district levels, community and household level. The preliminary/macro level study looked at boarder dynamics and movement of people, goods and services, specifically around the border region and; existing regulatory frameworks that are likely to impact on the intended outcomes and outputs for cross-border programming and movement of people, goods and services across the borders. It mapped historical and recent statistics around movement of people and goods at the boarder to facilitate trend analysis. Besides generating a general understanding of the livelihood and income opportunities, the macro-level study broadly looked at availability, accessibility and capacities of existing institutions (government, non-governmental, communal or private) to provide the communities with services ranging from: extension, supply of inputs, veterinary, loans, livestock insurance, skill development, access to markets, conservation and sustainable use of natural resources. At the household level analysis, the study focused mainly on quantitative information using probability-based sampling methodologies. The household survey quantified information required to benchmark the indicators in the logical framework.

The project supports on-going regional efforts to build sustainable livelihoods, improve natural resources management and strengthen resilience with activities and outputs contributing to 4 (out of 7) key priority interventions areas highlighted in the IGAD 15-year regional strategy (2012 – 2027) for reducing vulnerability and strengthening drought resilience in ASAL regions. The four priority areas are: i) environment and natural resource management;

ii) market access, trade and financial services; iii) livelihoods support and basic social services, and iv) disaster risk management, preparedness and effective response. The overall implementation strategy is based on the following theory of change:

- *If we strengthen cross-border communities' capacities to identify their own priorities, plan and advocate for measures to help them withstand shocks;*
- *If we promote the development of inclusive cross-border environment for livestock and non-livestock trade and business, and foster private sector opportunities for women and young people;*
- *If we support the equitable and conflict sensitive management of natural resources in the cross-border area;*

Then communities will become more resilient and self-reliant; individuals, including women and young men, will have the skills and opportunity take up a more diverse range of employment and livelihoods options; natural resources will be used more rationally, and with less conflict; local governments will be more accountable to their constituencies (outcomes); and fewer people will be displaced within, or migrate out from, the cross-border region (impact).

“ If we strengthen cross-border communities' capacities to identify their own priorities, plan and advocate for measures to help them withstand shocks; Then communities will become more resilient and self-reliant; individuals, including women and young men

General findings

Contextual summary:

Instability is common all the areas where the program is being implemented and as such where the study was conducted but to varying degrees, and manifests itself in a number of ways. It can take the form of clan conflict, as rival groups compete and fight over scarce resources (especially land and water), but also trade and political power. Instability in the cross-border area of Kenya-Somalia-Ethiopia is frequently generated by violent attacks associated with Al-Shabaab. Given that a number of different groups and actors are involved in conflict, instability is taking place at local, regional, national and international levels.

Migration occurs across the countries, but in different ways, involving different people and to differing extents. Generally speaking, migration is more prevalent in the Somalia cluster. Migration studies in the cross-border areas have identified a wide range of migratory practices, including transhumance (seasonal movement of people with their livestock between dry and wet season for pastures), labor migration, irregular migration, forced migration, displacement, migration for education and health purposes, family reunification, politically motivated migration, migration for flood retreat agriculture and community resettlement. In this context, the drivers of migration are multiple and often overlapping. They include: resource scarcity, development projects, conflict, natural disaster, coercion, unemployment, a lack of basic services, culture of migration and political participation, among others. While the demographic profile of migrants (particularly in terms of their age, gender and access to resources) varies across the study areas, the research found that laborers, young people and pastoralists typically made up the majority of those moving. However, observations from the baseline survey with potentially project beneficiaries indicated that 85.0% of the respondent households had never migrated with the breakdown across the three countries ranging from 80.4% to 87.6%.

A number of interventions are being carried out by NGOs, UN and governments in the border areas. Initiatives that have achieved the best results have tended to be those that: adopt a cross-border and conflict-sensitive approach; involve / build on traditional institutions and practices; balance commercial interests and community needs; integrate peace building; take a market approach; and support already-existing mechanisms.

Livelihoods and economic activities:

Four main livelihood systems dominate in the areas of interest namely (agro) pastoralism; formal & informal employment; and trading. Livelihoods related to the livestock value chain and crop agriculture are mainly dominant among the highlighted economic activities with overall proportions of 33.8% and 48.4% respectively across the three clusters. Breakdown per country revealed that crop agriculture was more dominant in Ethiopia (75.1%) and Somalia (56.1%) with Kenya being at 13.7% whereas livestock production was more dominant in Kenya (52.5%) followed by Somalia (29.7%) with the observation in Ethiopia being 19.5%. Livestock marketing, mainly across the border with Somalia and into the Gulf states, generates enormous revenues for livestock owners, traders and marketing agents in Kenya-Somalia-Ethiopia. The different sources of livelihoods observed are given in the table (2.2-1) below.

Cross-border trade (including lucrative smuggling) of consumer goods, foodstuffs, cattle, camels, khat, cars and construction materials is also common, and is facilitated by the porous nature of parts of the border. Gun smuggling and human trafficking and smuggling are two of the most serious forms of illegal trade across the region's borders. Major human trafficking routes include Ethiopian trafficking into Somalia and Djibouti onwards to Yemen

and the Gulf, and Somali human trafficking into Kenya and onwards to South Africa, Europe, or North America. Efforts to crack down on this business have been limited due to weak government capacity and powerful interests profiting from it.

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

Table 2.21: Household livelihood sources

Main source of livelihood / income for respondent	Ethiopia	Kenya	Somalia	Overall
Cash transfer	0.0%	7.2%	0.0%	2.4%
Daily/casual/common laborer	3.1%	3.9%	6.2%	4.4%
Farming	75.1%	13.7%	56.1%	48.4%
Fishing	0.0%	0.8%	1.0%	0.6%
Forestry, and hunting/foraging (such as firewood gathering, small-scale logging, charcoal making, gathering forestry products/used paper)	1.0%	5.4%	1.6%	2.7%
Handicraft and artisan work (such as mat weaving, making wood carvings tailoring, dressmaking, welding, hair-dressing, woodwork)	0.0%	2.6%	1.8%	1.5%
Livestock/poultry keeping (E.g. Cattle, chicken, production of fresh milk, eggs, etc.)	19.5%	52.5%	29.7%	33.8%
Remittance	0.3%	7.0%	0.0%	2.4%
Retail/petty trade (including market vending, side walk, vending and peddling, small shop)	0.5%	4.1%	3.1%	2.6%
Salaried employment (such as medical, teaching ,)	0.0%	1.3%	0.0%	0.4%
Skilled Laborer	0.5%	1.6%	0.0%	0.7%
Other	0.0%	0.0%	0.5%	0.2%

Household income

During the study (in May 2019), it was noted that the overall median and mean monthly income of the households surveyed was USD 32.03 and USD 35.15 respectively. The mean monthly income of households in the areas targeted in Kenya was KSH 4241.94 (USD41.80) while in Ethiopia and Somalia was Birr 1030.22 (USD37.39) and SSH 15,024.17 (USD26.27). Besides crop agriculture and livestock related livelihoods which accounted for a reasonable population among the potential target beneficiaries, other potential sources related to the program strategies accounted for very small proportions among the same population. These included: retail / petty trade (2.6%); handicraft & artisan work (1.5%); forestry & hunting / for-

aging (2.7%); and salaried employment / skilled labor (1.1%). The median monthly income in Ethiopia was Bir 1053.15 (USD 38.32) while in Kenya and Somalia was KSH 3,680.69 (USD 36.41) and SSH 12,321.79 (USD 21.36) respectively. Table 2.3-2 below gives a summary of the incomes per source.

Table 2.31: Average Household income per source

Sources of income	Ethiopia (EBir)	Kenya (KSh)	Somalia (SoSh)
Farming	1104.01	3968.13	34247.46
Livestock production	1002.29	3827.75	17795.53
Forestry, foraging	425.00	1286.24	5063.33
Petty trade	1300.00	4588.00	6847.97
Welding	0.00	1731.80	1143.40
Salaried employment	0.00	12000.00	0.00
Skilled labor	800.00	3000.00	0.00
Casual labor	1550.00	3533.60	25047.29

Both dominating livelihoods and sources of food (own production and market purchase) as given in tables 2.3-1 above and 2.3-2 below are greatly vulnerable to potential shocks of inflation and extreme weather with low household incomes making the households even more vulnerable to these shocks. The prevailing shocks experienced in the past 2 years across the three clusters were drought, floods, livestock disease and rising food prices as reported by the respondent households (table 2.3-2 gives the summarized observations). From qualitative discussions, it was observed that despite most respondents citing it as a shock to their livelihoods, drought and floods still remain the biggest threats to the livelihoods along the cross-border communities. Of importance to note was that own production and market purchase were the main sources of food for the households in question, which describes a normal economic environment. The difference then comes when observations around the quantity and quality of food are enough to meet the needs of the household, where things around coping mechanisms and food consumption patterns will give more analysis in regards to this.

Table 2.32: Household Sources of food

Food Source	Ethiopia	Kenya	Somalia	Grand Total
Own Production	78.7%	43.4%	64.3%	62.2%
Market Purchase	25.4%	86.3%	59.7%	57.0%
Borrowing / battered	3.6%	42.9%	20.2%	22.2%
Food aid	12.3%	35.7%	1.6%	16.5%
Other sources	0.5%	0.0%	0.0%	0.2%

Prevalent hazards and coping mechanisms:

As observed during the baseline survey, weather related shocks (recurrent drought and floods), livestock disease and rising food prices are the most prevalent shocks experienced across the 3 clusters as given in table 2.4-1 below. Given the fact that the livelihood system in the areas of focus is mainly reliant on (agro) pastoral related economic activities which have largely been affected by recurrent climate related shocks (drought and floods) among other challenges (such as disease / pests – 62.0%, livestock killed by wild animals – 60.2%, inadequate pasture – 56.2%, inadequate water – 48.7% and cattle rustling / theft – 30.2%), there is a great need to think about livelihood diversification strategies, especially around the livestock / crop agriculture value chains; skills development (vocational skills and busi-



ness / trade), and utilization of invasive species can also be explored (as given in the project documents) to generate alternative sources of household income and cushion households during the lean periods.

Table 2.41: Shocks experienced in the past 2 years

Hazard / shock experienced in the past 2 years	Ethiopia	Somalia	Kenya	Grand Total
Drought	67.9%	74.4%	67.2%	78.4%
Floods	74.6%	78.8%	94.1%	82.5%
Livestock disease	79.5%	77.0%	93.0%	83.2%
Rising food prices	69.0%	77.8%	94.3%	80.3%
Conflict	3.3%	16.5%	51.7%	23.8%

Through this project, there are concerted efforts in preserving the (agro) pastoral livelihoods by increasing the coping capacity of households through promotion of Index Based Livestock Insurance (IBLI), improved livestock management practices, and sustainable management of shared natural resources as well as livelihood diversification through trade & business skill development; and offering Technical Vocational Skills (T-VET) trainings to vulnerable community members (mainly women and youth).

Awareness level of these safety-nets was much higher on the Kenyan side in comparison to the other 2 clusters as given in table 2.4-2 below. This is largely due to government efforts and other previously implemented social safety-nets programs, especially in ASAL areas.

Table 2.42: Community awareness on different social safety-nets

Social safety net	Ethiopia	Kenya	Somalia	Grand Total
Livestock insurance	29.5%	46.3%	34.1%	36.6%
Crop insurance	15.9%	27.1%	31.3%	24.7%
Hunger Safety Net Program	37.2%	88.8%	83.7%	43.2%
Public medical Insurance Scheme/Fund	2.3%	56.1%	20.4%	26.2%
Social Security Fund	1.0%	29.7%	22.2%	17.6%

Generally, the households employ different coping strategies to cope with shocks with loans from neighbors and sale of small animals accounting for more than 50% of the responses as given in table 2.4-3 below. It was also reported that the overall CSI score was 21.9 with the observed scores for the clusters in Kenya, Ethiopia and Somalia being 21.8, 21.9 and 21.9 respectively. Analysis of coping strategies / mechanisms looked at food production & access, coping strategies during calamities and food consumption.

Table 2.43: Household coping mechanisms to recently experienced disaster (within 12 months prior to study)

Coping mechanisms	Ethiopia	Kenya	Somalia	Grand Total
Loan from neighbors / relatives	53.3%	72.9%	41.6%	55.9%
Loan from money lender	21.8%	51.2%	18.6%	30.5%

Grain loan from kin	15.9%	53.0%	9.3%	26.0%
Adjustment to meals	27.4%	85.3%	22.0%	44.8%
Sold household productive assets	25.1%	59.7%	19.6%	34.8%
Sold small animals	44.4%	68.5%	41.1%	51.3%
Sold jewelry / utensils / furniture	7.9%	52.2%	13.2%	24.4%
Permanently migrated	4.6%	42.1%	16.3%	21.0%
Sold trees	36.7%	54.0%	22.7%	37.8%
Sold labor	38.5%	56.1%	10.6%	35.1%
Changed occupation	13.3%	51.4%	23.3%	29.3%

The CSI score was computed based on the WFP VAM guidelines which focused on coping measures taken during food shortage. Households largely limit the portion size or reduce the meal frequency in order for their food stocks to last longer as majority of the respondent households reported that their food reserves would last for a maximum period of 1 week (22.5%) and a period between 1-3 months (33.4%). Table 2.4-4 below gives the recently employed coping strategies employed by the respondent households as used to compute the CSI scores.

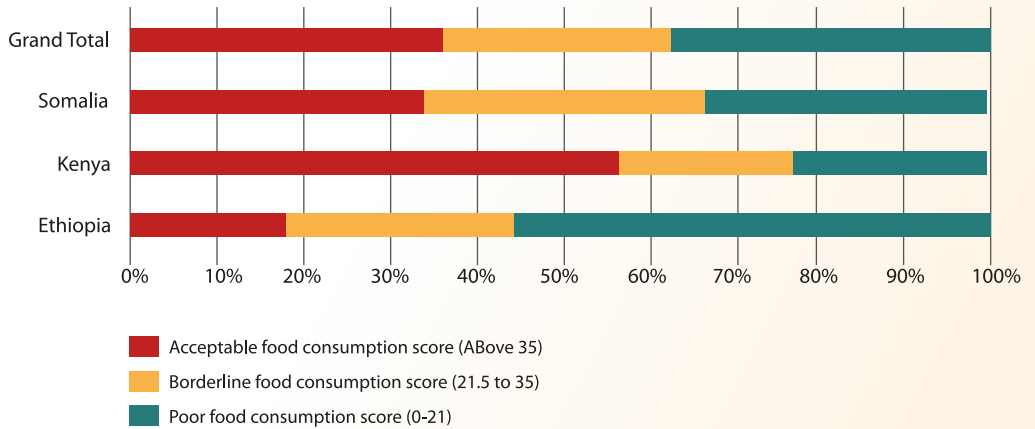
Table 2.44: Household recent coping strategies

Coping strategy	Severity Weight	Kenya	Ethiopia	Somalia	Grand Total
Rely on less preferred / less expensive food	1	15.7%	5.7%	8.6%	10.0%
Borrowed food / helped by relatives	2	14.3%	11.4%	24.3%	17.1%
Limit meal size for the food to last long	1	22.9%	14.3%	22.9%	20.0%
Reduce daily meals frequency for food to last long	1	22.9%	14.3%	28.6%	21.4%
Reduce consumption by adults for children to eat more	3	10.0%	15.7%	10.0%	11.4%
Purchase food on credit	2	18.6%	5.7%	28.6%	17.1%
Consumed seed stock held for next season	3	8.6%	1.4%	4.3%	4.3%
Feed working members at the expense of non-working members	2	8.6%	2.9%	2.9%	4.3%
Gather wild fruits / consume premature crops	4	5.7%	2.9%	1.4%	2.9%
H/H members sent to eat elsewhere	2	5.7%	2.9%	7.1%	5.7%
H/H members sent to beg	4	5.7%	2.9%	1.4%	2.9%
Children drop out of school to support family		7.1%	2.9%	5.7%	5.7%



Generally, the coping strategies employed by households have an impact in the overall food consumption patterns and thus have an effect on the Food Consumption Scores (FCS). The analysis also looked at food consumption patterns in a 7 days' recall period using the WFP VAM guidelines (21/35 thresh-hold) to examine the food consumption patterns and the resultant Food Consumption Scores. The 7 days' food consumption patterns (as indicated in figure 2.4-1 below) indicated that maize, rice and wheat were the commonly consumed cereals where-as beans, milk / dairy products were the commonly consumed sources of protein (all these recording a weekly average consumption of at-least 20%).

Figure 2.41: Food Consumption Scores classification (21/35 thresh-hold)



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Discussion and conclusion:

From the different data and analysis presented, it is clear that the community largely depends on 2 sources of food, namely: own production, and market purchase. It was also observed that the average income of an estimated 1 USD per household (with an average of 6 members) per day is far below the poverty line (which is around USD 1.9 per person per day) and thus limiting the purchasing power for most of the households. In addition, the farm produce mostly lasts for a period of up-to 3 months, signifying that the produce may not be enough to take them through the entire season. As a coping mechanism, households have reported to have sold livestock (58.5% of the respondent households) with the main reason being to buy food, besides other adoptive coping mechanisms (dietary change and strategies to increase short-term food availability) as given during computation of the rCSI. With the small livestock herds, selling of the herds (mainly to buy food) and the recurrent droughts (which was reported as a major threat to livestock), the communities are thus left very vulnerable to potential shocks and hazards that directly affect the livestock sector. This thus calls for coordinated efforts in: 1) improving the livestock management practices (including the relevant livestock value chains); 2) improving and promoting crop production (including the relevant value chains); and 3) looking at other potential sources of livelihoods where vulnerable households can engage in and increase their household income. Looking at the BORESHA project strategies, all the three outcome areas are contributing towards addressing most of the key challenges reported by livestock farmers (as given in table 4-15 below) through the different outputs. Key to work on around advocacy / lobbying with the relevant government institutions is addressing the fear of livestock theft / cattle rustling and attack of livestock by wild animals.

- *A key driver of economic growth across the three clusters is trade and access to markets. Trade in these markets focuses on livestock, cereals, electronics, clothes and consumer items. Traded goods in these markets are dominated by the flow of livestock from Ethiopia and Somalia through border areas and eventually to large urban markets in Kenya or external markets in middle east through the port of Somalia. Most of the community members have access to small markets with limited livestock and only serving a few settlements. At the same time, it was reported that the goods needed cannot be found most of the time. In relation to the prices, the markets performed better in the Ethiopian cluster compared to the Kenya and Somali clusters but generally, there is still quite some work that needs to be done to open up the markets and make them favorable to the local communities.*



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This publication was produced with the financial support of the European Union. Its contents are the sole responsibility of BORESHA Consortium and do not necessarily reflect the views of the European Union



Funded by European Union



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