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DEVELOPMENT PLAN ANALYSIS, NEEDS ASSESSMENT & CROSS-BORDER PLANNING GUIDELINES

Final Report

Support for Effective Cooperation and Coordination of Cross-border
Initiatives in Southwest Ethiopia-Northwest Kenya, Marsabit-Borana
& Dawa, and Kenya-Somalia-Ethiopia (SECCCI) -T05.491 (T005)

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EXECUTIVE SUMMARY

This analysis focuses on participatory cross-border planning processes in the Horn of Africa in the areas of Turkana-Omo at the Kenyan and Ethiopian Border; Marsabit-Moyale at the Kenyan-Ethiopian border; and Mandera-Gedo-Doolow at the Kenyan, Ethiopian and Somali border. The region is home to the Support for Effective Cooperation and Coordination of Cross-border Initiatives (SECCCI) project that has been implemented between February 2018 and February 2021. The project's overall objective is to address the drivers of conflict and instability, irregular migration, and displacement in the cross-border areas of the Horn of Africa through improved cross-border coordination and cooperation. A participatory approach was adopted to respond to the assignment's core objectives- the purpose of the study was to analyze local needs assessment, local development plans, and formulating guidelines on participatory processes and best practices for joint cross-border planning.

The major findings are, that while the development agendas of the three partner countries Kenya, Ethiopia and Somalia, signal commitment towards cross-border cooperation, the participatory planning process in local development and cross-border plans are constrained by an evolving institutional framework, transaction costs, externalities, and human capital gaps. Cross-border participatory planning still needs support from all partners, including development partners, if sustainable development is to be achieved.

Table of Contents

EXECUTIVE SUMMARY	iii
1. INTRODUCTION.....	1
2. CROSS-BORDER PLANNING LITERATURE REVIEW	3
2.1. PLANNING PROCESSES WITHIN THE THREE CLUSTERS	7
2.1.1. CLUSTER ONE DEVELOPMENT PLANNING PROCESSES	8
2.1.2. CLUSTER TWO DEVELOPMENT PLANNING PROCESSES	9
2.1.3. CLUSTER THREE DEVELOPMENT PLANNING PROCESSES.....	9
2.2. COOPERATION AND ITS COSTS IN CROSS-BORDER PLANNING.....	11
3. DEVELOPMENT PLAN ANALYSIS	16
3.1. CLUSTER ONE – DEVELOPMENT PLAN ANALYSIS	20
3.1.1. CLUSTER ONE MAJOR CHALLENGES	21
3.1.2. CLUSTER ONE DEVELOPMENT PRIORITIES	23
3.1.3. CLUSTER ONE CROSS-BORDER INITIATIVES	26
3.1.4. CLUSTER ONE OPPORTUNITIES	30
3.1.5. CLUSTER ONE DEVELOPMENT PLAN WEAKNESSES.....	31
3.2. CLUSTER TWO - DEVELOPMENT PLAN ANALYSIS	33
3.2.1. CLUSTER TWO MAJOR CHALLENGES.....	33
3.2.2. CLUSTER TWO DEVELOPMENT PRIORITIES	34
3.2.3. CLUSTER TWO CROSS-BORDER INITIATIVES.....	35
3.2.4. CLUSTER TWO OPPORTUNITIES	39
3.2.5. CLUSTER TWO DEVELOPMENT PLAN WEAKNESSES	40
3.3. CLUSTER THREE - DEVELOPMENT PLAN ANALYSIS	41
3.1.1. CLUSTER THREE MAJOR CHALLENGES.....	42
3.1.2. CLUSTER THREE DEVELOPMENT PRIORITIES	43
3.1.3. CLUSTER THREE CROSS-BORDER INITIATIVES.....	45
3.1.4. CLUSTER THREE OPPORTUNITIES.....	49
3.1.5. CLUSTER THREE DEVELOPMENT PLAN WEAKNESSES	49
3.4. EXISTING CROSS-BORDER COORDINATION TOOLS.....	50
4. NEEDS ASSESSMENT.....	53
4.1. HUMAN CAPITAL NEEDS	53
4.1.1. HUMAN CAPITAL TRAINING NEEDS IN CLUSTER 1	54
4.1.2. HUMAN CAPITAL TRAINING NEEDS IN CLUSTER 2	57
4.1.3. HUMAN CAPITAL TRAINING NEEDS IN CLUSTER 3	58
4.2. INFRASTRUCTURE NEEDS.....	60
4.2.1. INFRASTRUCTURE NEEDS IN CLUSTER 1	60
4.2.2. INFRASTRUCTURE NEEDS IN CLUSTER 2	60

4.2.3. INFRASTRUCTURE NEEDS IN CLUSTER 3	61
4.3. INSTITUTIONAL NEEDS.....	61
4.3.1. INSTITUTIONAL NEEDS IN CLUSTER 1-POLICIES	61
4.3.2. INSTITUTIONAL NEEDS IN CLUSTER 1-LAWS	62
4.3.3. INSTITUTIONAL NEEDS IN CLUSTER 1-STRUCTURE NEEDS	63
4.3.4. INSTITUTIONAL NEEDS IN CLUSTER 2-POLICIES	65
4.3.5. INSTITUTIONAL NEEDS IN CLUSTER 2-LAWS	65
4.3.6. INSTITUTIONAL NEEDS IN CLUSTER 2-STRUCTURE NEEDS	65
4.3.7. INSTITUTIONAL NEEDS IN CLUSTER 3-POLICIES	65
4.3.8. INSTITUTIONAL NEEDS IN CLUSTER 3-LAWS AND MOUS.....	66
4.4. MONITORING AND EVALUATION NEEDS.....	66
5. GUIDELINES FOR PARTICIPATORY PLANNING PROCESSES FOR JOINT BORDER PLANNING	67
5.1. CROSS-BORDER PLANNING SHOULD BE NURTURED AROUND BOTTOM-UP PLANNING PROCESSES	67
5.2. CROSS-BORDER PLANNING SHOULD BE HUMAN RIGHTS SENSITIVE	69
5.3. CROSS-BORDER PLANNING SHOULD BE SENSITIVE TO DIVERSITY	69
5.4. CROSS-BORDER PLANNING SHOULD BE GENDER-SENSITIVE	70
5.5. CROSS-BORDER PLANNING SHOULD BE INCLUSIVE.....	71
5.6. CROSS-BORDER PLANNING SHOULD ALLOCATE A MAJOR PROPORTION OF AVAILABLE RESOURCES TO RAPID RESPONSE.....	72
5.7. PLANNING PROCESS AND DEVELOPMENTS PLANS SHOULD BE CONFLICT- SENSITIVE.....	73
5.8. CROSS-BORDER PLANNING SHOULD FOSTER INCLUSIVE INSTITUTIONS.....	75
5.9. CROSS-BORDER PLANNING SHOULD STANDARDIZE MONITORING AND EVALUATION PRACTICES	76
5.10. CROSS-BORDER PLANS SHOULD HAVE AN INBUILT COMMUNICATION STRATEGY	77
5.11. CROSS-BORDER PLANNING SHOULD SEEK TO MINIMIZE TRANSACTION COSTS ..	77
5.12. CROSS-BORDER PLANNING SHOULD PRIORITIZE JOINT COORDINATION AMONG CROSS-BORDER STAKEHOLDERS	79
5.13. CAPACITY BUILDING SHOULD BE INTEGRATED IN CROSS-BORDER PLANNING PROCESS.....	79
5.14. CROSS-BORDER PLANNING PROCESSES SHOULD HAVE INBUILT ACCOUNTABILITY INSTRUMENTS.....	81
6.0. CONCLUSIONS: RECOMMENDATIONS FOR CROSS-BORDER PLANNING.....	82
ANNEX 1: PLANNING WORKSHOP	87
6.0. REFERENCES	91

Table 1:Levels and tools for bottom up planning	67
Figure 1:Map showing geographical location of the three clusters	1
Figure 2: Map showing geographical location of cluster one.....	21
Figure 3:Map showing geographical location of cluster 111.....	41

LIST OF ACCRONYMS AND ABBREVIATIONS

AUC: AFRICAN UNION COMMISSION

CCA: COMMUNITY CONSERVATION AREA

COK: CONSTITUTION OF KENYA

DRM: DISASTER RISK MANAGEMENT

GHG: GREENHOUSE GAS EMISSIONS

GOK: GOVERNMENT OF KENYA

ICPALD: IGAD CENTRE FOR PASTORAL AREAS AND LIVESTOCK DEVELOPMENT

IGAD: INTERGOVERNMENTAL AUTHORITY ON DEVELOPMENT

IOM: INTERNATIONAL ORGANIZATION FOR MIGRATION

KMP: KNOWLEDGE MANAGEMENT PLATFORM

MOU: MEMORANDUM OF UNDERSTANDING

MSF: MÉDECINS SANS FRONTIÈRES

NCIC: KENYA'S NATIONAL COHESION AND INTEGRATION COMMISSION

LAPSSET LAMU PORT, SOUTH SUDAN, ETHIOPIA TRANSPORT CORRIDOR

PPP: PURCHASING POWER PARITY

PRM: PARTICIPATORY RANGELAND MANAGEMENT APPROACH

RACIDA: RURAL COMMUNITY AND DEVELOPMENT AGENCY IN ETHIOPIA

RASMI: REGIONAL APPROACHES FOR SUSTAINABLE CONFLICT MANAGEMENT AND
INTEGRATION

SECCCI: SUPPORT FOR EFFECTIVE COOPERATION AND COORDINATION OF CROSS-
BORDER INITIATIVES

TAD: TRANSBOUNDARY ANIMAL DISEASES

TOC: THEORY OF CHANGE

UNHCR: UNITED NATIONS HIGH COMMISSION FOR REFUGEES

UNDP: UNITED NATIONS DEVELOPMENT PROGRAMME

1. INTRODUCTION

Rapid population growth, poverty, underdevelopment, climate change, and competition for limited resources are the primary drivers of communal conflict and civil war in border areas. These systemic structural factors are rooted in human capital gaps, infrastructure gaps, institutional gaps, and cultural diversities, among other developmental constraints. The core purpose of development is to improve the welfare of residents of a given geographical area. In line with the above challenges characterizing border communities in the Horn of Africa, welfare improvement can only be achieved through mitigating the drivers of conflict, instability, irregular migration, and displacement in the region.

Development is a multifaceted process entailing complementing responsibilities among local and national authorities and development partners. As a path towards welfare improvement, cross-border cooperation projects are gaining greater relevance as sustainable alternatives towards leveling disadvantaged areas' development. Multiple cross-border development initiatives, including poverty reduction initiatives, climate protection initiatives, security and conflict resolution initiatives, have been implemented over the years to respond to the root causes of the expanse's challenges.

Three geographical clusters located within Ethiopia, Kenya, and Somalia benefit from cross-border development efforts of developmental partners and regional governments through the SECCCI project. The clusters are cluster I covering Turkana-Omo at the Kenyan and Ethiopian border; cluster II covering Marsabit-Moyale at the Kenyan, at the Ethiopian border; and cluster III covering Mandera-Gedo-Doolow at the Kenyan, Ethiopian and Somali border.



Figure 1: Map showing geographical location of the three clusters

The project's overall objective is to address the drivers of conflict and instability, irregular migration, and displacement in the cross-border areas of the Horn of Africa through improved cross-border coordination and cooperation.

The specific objectives of the project are: to strengthen regional policy frameworks, structures, and protocols for cross-border cooperation between national and local governments, the private sector, civil society, and international technical and financial partners in development; capacities of communities, local governments, and civil society to fully engage in processes for development planning and results are built; and to ensure practical cooperation and coordination, monitoring and evaluation of cross-border initiatives including involvement of relevant national and regional actors in these processes.

As the project winds up, UNDP launched this assignment to examine local needs assessment, local development plans and formulate guidelines on participatory processes and best practices for joint cross-border planning. A participatory comprehensive qualitative approach was adopted to respond to the tasks. This included: collecting, analyzing, and reviewing existing literature and primary data from stakeholders. Secondary data from reports, official documents from government, civil society organizations, and development partners were used to inform the literature review and development plan analysis while primary data collected through online questionnaires, semi-structured interviews, and focus group discussion with stakeholders from the three clusters was used to respond to needs assessment and planning guidelines. The respondents included representatives from public and civil society organizations.

Findings from the two were triangulated to respond to the objectives of the assignment. The approach was limited by the unavailability of specific plans for the geographical areas in Ethiopia and Somalia. Thus, the inference was made from multiple stakeholders' interventions with an assumption the respective interventions are in line with area priorities. The rest of the document is organized as follows: chapter two reviews the literature on cross-border planning and features of planning processes within the three clusters; chapter three development plan analysis; chapter four the needs assessment, and chapter five identifies the guidelines for participatory planning in the three clusters and chapter six the conclusion to the study.

2. CROSS-BORDER PLANNING LITERATURE REVIEW

This section reviews existing literature on cross-border planning and features of planning processes in the three clusters the SECCCI project has been implemented in; the section discusses the levels of cross-border planning, cooperation features, transaction costs and identifies opportunities and needs relevant to enhancing cross-border planning.

The volatile and complex nature of challenges in the Horn of Africa calls for a dynamic planning approach responding to the drivers of challenges in a region with heterogeneous yet interlinked features. In this environment, an explicit definition is impossible to formulate, yet various authors have attempted to define cross-border planning. Cross-border planning is 'an institution-building process whose primary emphasis is facilitating collective action regarding shared natural, built, and human environments constrained by territorial politics and 'nation-states' boundaries (Peña, 2011). Cross-border planning is an exchange of information, coordination, or cooperation regarding spatial development in the cross-border area (Fricke, 2014). Closely linked is reterritorialization, described as the reorganization of social, economic, and political activities at the sub-national scale (Noferini et al., 2019). The definitions provide a basis against which cross-border planning processes should be devised, namely:

- (i) institution building responsive to evolving challenges;
- (ii) frequent exchange of information among communities, decision-makers, and implementers;
- (iii) cooperation among local cross-border communities;
- (iv) borders should be viewed as mind and not physical boundaries;
- (v) bottom-up planning for welfare improvement related initiatives; and
- (vi) top-down planning for security, climate change, and peacebuilding initiatives.

Adopting these principles in planning processes within a heterogeneous complex border area requires multilevel cooperation among stakeholders from either side of the respective clusters' borders. This is a challenging task (Knippschild, 2011) enhanced by the instability and adaptability of cross-border regions from a spatial perspective' (Pupier, 2019). Circumventing this intricate planning terrain necessitates cross-border collaboration, "a network governance system transcending national jurisdictions to develop joint cross-border initiatives" (Noferini et al., 2019)

Cross-border collaboration requires a comparable understanding of cross-border territory among stakeholders. A cross-border territory is an inhabited space crossed by flows and relations (Peyrony & Denert, 2012). This definition is limited to functional aspects prevailing in cross-border areas that also consist of political commitment from central and local governments; and acceptance by inhabitants (which is determined by the respective habitats' cultural norms among other informal institutions). (Perkmann, 2007) defines cross-border territories as "spaces of engagement." This definition broadens the concept of a cross-border territory to include political, institutional, and functional aspects. These depend on ownership among inhabitants and socio-economic actors and on communication guided by local and central government authorities along the cross-border territory. This paper adopts the latter definition and infers from it planning needs for the three geographical clusters under review.

Territorial cooperation requires a shared understanding of the concept of cross-border territory among inhabitants, local and national authorities. While evidence in the form of regional treaties, MOUs, regional infrastructure projects within the three clusters supports cooperation among local authorities and national governments of Kenya, Ethiopia, and Somalia, the developmental agenda literature of the respective countries' profiles geographical areas along borders more as national than cross-border territories. This is evident in the divergent and independent development plans (e.g., county development plans on the Kenyan territory, federal plans in Ethiopia and Somalia territory), the contrasting development levels, the varying degree of challenges within the three geographical boundaries across the three clusters. The unpredictable awareness of the territorial dimension in the prioritization of national interests limits cross-border planning among local and national authorities when the two forces (cross-border interests and national interests) compete, a feature that is prevalent in a region dominated by conflict.

The partial cooperation is further increased by social constructions associated with national borders. These divide people between native and foreign, us and them (Yndigen, 2011).

Addressing partiality is a gradual collective process involving all stakeholders with varying interests. The success of this is dependent on the "shadow of the future," which must be larger (Axelrod, 1985) for all cross-border stakeholders participating in and benefiting from cross-border cooperation.

Cooperation along borders has been found to go through four stages: (i) hostility and alienation, (ii) peaceful coexistence, (iii) some degree of cooperation, (iv) finally, integration (Martinez, 1992). While the author suggests a sequential transition among the four stages, cooperation in the three clusters has elements of all the four stages with a bias towards the first two stages. This is due to the prevalent dynamic challenges spilling off political differences (current turmoil between Somalia and Kenya, (New York Times, 2020)), natural factors, cultural differences, among other competing interests.

National borders¹ tend to represent natural, cultural, psychological, economic, political, or geographical dividing lines (Houtum, 1998), thus breaking the continuity of space (Bacsi & Kovács, 2006). These border features have been found to form mental perceptions about power relations among people living along the borders (Delanty, 2006). These mental perceptions could be an impediment or support towards cooperation in cross-border territories depending on national and cultural factors. Change in "mental borders" evolves at a snail pace, even taking decades (Hardi & Uszkai, 2017). In the Horn of Africa, the role of mental borders and national territory has been inundated by varying forms of conflict, which have displaced persons and refugees (estimated at 8.1m IDPs and 3.5m refugees (IOM, 2019)) from their indigenous areas to neighboring areas within the vicinity of the borders in the three clusters. The type of cooperation in this region (Horn of Africa) is more responsive to vulnerable persons' human needs running from challenges in their respective homes, which calls for cross-border spatial planning approaches.

Cross-border spatial planning includes stakeholders embedded in divergent political, legal, and, more broadly, cultural contexts' (Jacobs, 2016). It addresses the need to develop a joint project with various actors on both sides of the border to discuss a coordinated development strategy' (Durand, 2014).

Cooperation and interaction among a diversity of actors raise transaction costs. This is an essential aspect for cross-border planning towards understanding cross-border institutions and their contribution towards cross-border flows (North, 1990) and (Ostrom, 1990). Transaction costs include acquiring information, coordinating and negotiating costs, and lobbying costs (Ostrom, 1990), (North, 1990). In

¹ That part of the natural space where economic and social life is directly and significantly influenced by the existence of an international border." (Hansen 1977).

the three clusters, examples of these costs include costs of mobilizing community stakeholders, collecting information such as early warning signals related to conflict and climate change, costs of reconciling conflicting communities, and costs of coordinating development initiatives, among others. These costs are negatively correlated with cross-border flows. While there is information asymmetry about the volumes and nature of cross-border flows, in addition to conflict related human flows, the Horn of Africa is considered as a region with the largest informal trans-border livestock movements (Mahmoud, 2010), signaling a copious amount of cross-border flows within the three clusters.

Cross-border flows are partly determined by an existing institutional framework (laws and policies); this has been found to motivate stakeholders in cross-border areas to create rules that generate public goods for cross-border communities (Olson, 1971). Creating rules generates transaction costs; in communities with minimal or no resources like the Horn of Africa, an increase in these costs stalls cross-border flows. The scale of these flows determines cross-border processes (Alegria, 1989), informing and determining cross-border planning. Against this background, cross-border planning should be viewed as an incremental institution-building process, where communities are engaged in social learning while knowledge and action reinforce each other in an iterative process, similar to the neo-functionalism view of integration where small steps will lead to more significant changes through spillovers (Friedmann, 1987). The planning process should aim to achieve mutually beneficial outcomes through collective action, including shared natural, built and human environments constrained by territorial politics and national geographical boundaries of countries within the three clusters where the SECCCI project has been implemented.

Planning processes in the three clusters are mainly interlinked with national governance structures; these structures determine the nature, trends, and planning levels and influence decision making within the borderlands². Below is a description of planning processes in the respective host countries and the three clusters where the SECCCI project was implemented.

² The border is a unique system of relations; it may be conflict-laden or free from conflicts, depending on place and time (Guichonnet and Raffestin (1974).

2.1. PLANNING PROCESSES WITHIN THE THREE CLUSTERS

Development Planning Processes in Kenya: governance in Kenya has evolved from central government planning to decentralized planning (districts being the administrative centers of planning) to present-day devolution (Cohen & Hook, 1987) in which counties are self-governing. The county governments have the following responsibilities:

- (i) exercising powers of enacting laws at the county level;
- (ii) Acting as an oversight instrument on the county executive; and
- (iii) Approving plans and policies for smooth operation and management of resources and county institutions.

The planning meant for community development is done by a county assembly and county executive under the governor's leadership; both the governor and assembly are voted through a democratic process involving elections by citizens of a given county at the ward level.

Community development refers to an approach that brings about change by initiating projects that are responsive to community needs. In Kenya, community development entails mobilization of communities, groups, households, individuals for socio-economic growth and self-reliance. The mobilization process involves group formation, registration, and management of community development projects in all parts of the country. The constitution (GOK, 2010) recognizes communities as critical drivers of their development processes. Community development seeks to build capacities of the communities to identify and solve their priority needs. The community development process is, however, constrained by fragmented and uncoordinated efforts of multiple actors in the field, lack of relevant knowledge, lack of entrepreneurship skills, lack of leadership and governance skills, inadequate monitoring and evaluation processes, accountability practices, and limited implementation of findings from community development research (Kinyanjui, 2016).

Planning Process in Ethiopia: Ethiopia adopted a dual federal system in which most of the executive powers of each level of government are coexistent with its legislative powers. Ethiopia Governance: before 1991, Ethiopia was governed by a centralized system of governance rooted in assimilation. It encompassed principles of one nation, one language, and one culture. The military government's defeat and subsequent governance change have evolved the system to the present-day decentralized system

with five governance levels: federal, regional, zonal, woreda³, and kebele government. Apart from zones, these government levels have a tripartite structure, including an elected council, an executive organ, and an independent judiciary (Zimmermann & Bekele, 2012).

The federal government is responsible for: foreign affairs, national defense, fiscal and monetary policy, air, rail, water transport; inter-state commerce; patent and copyrights; and nationality-related issues.

The mandates of the regional states are: ensuring self-government and the continuance of the democratic order based on the rule of law; exercising responsibility for socio-economic development policies; policing and public security on the state level; levying and collecting the regional taxes; and managing the provincial civil service. Decentralization was implemented in 2001/02 to support the devolution of power. The planning process seeks to increase local participation, promote good governance and improve decentralized service delivery.

Constitutional obligations and structures highlighted above influence and determine the three clusters' planning processes; these are described below.

2.1.1. CLUSTER ONE DEVELOPMENT PLANNING PROCESSES

Planning Process in South Omo (Ethiopia): - In line with the district decentralization program, the woreda is the basic coordinating unit at the local level for planning and budgeting. Woredas' responsibilities are limited to locally based services, while regional bureaus retain responsibility for higher-level services. For example, while the woredas are responsible for primary schools, the regional bureau is responsible for secondary and tertiary institutions. The planning process is initiated at the local level (i.e., at mengistawi buden⁴ or sub- kebele level⁵, or both depending on the institutional structure of the woreda) in January every year, with a series of community consultations through which significant community challenges and priorities are identified and ranked. These lists of priorities and challenges are sent to the kebele level, where they are consolidated with regional governments' support of development agents. The consolidated priority list is then forwarded to the woreda level, where it is

³ Amharic term for an administrative unit equivalent to a district; several kebeles make up a woreda while several woredas make up an awraja (zone) (Shinn & Ofcansky, 2013).

⁴ A group of 30-50 households (Shinn & Ofcansky, 2013)

⁵ A group of 300-400 households (Shinn & Ofcansky, 2013)

reorganized into sectoral groups by the planning and budgeting desk. The budgeting desk uses the list to formulate a woreda plan which is approved by the woreda council.

Planning processes in Turkana (Kenya): consistent with the planning process in Kenya guided by the Urban Areas and Cities Act (Government of Kenya, 2011) and County Government Act (Government of Kenya, 2012), planning in Turkana is community-based founded on devolution processes involving community leaders, local government leaders, and professional groups. The overall county plan is a set of priorities identified by the stakeholders from the community.

2.1.2. CLUSTER TWO DEVELOPMENT PLANNING PROCESSES

Planning Process in Moyale (Ethiopia): In line with the decentralization planning process, planning in Moyale, Ethiopia, is ingrained in community planning processes. The process is based on a 5-household neighborhood that constitutes one working unit. Four-Six (4-6) working units make up one (1) Garreh (Development team); three-seven (3-7) Garreh make up one (1) pastoral association. The working unit ensures broad participation of all households; the development team (Garreh) is responsible for facilitating development processes, assigning roles to work units, supervising and monitoring units, and overall progress in developing a given cluster area. The Pastoral association leadership is responsible for linking community committees and central government representatives at the pastoral association level (Cordaid, 2013).

Planning Process in Marsabit (Kenya): consistent with planning processes in counties in Kenya, the planning process in Marsabit is guided by the Urban Areas and Cities Act (Government of Kenya, 2011) and the County Governments Act (Government of Kenya, 2012). On behalf of the county government, county planners prepare a 5-year integrated development plan that informs the respective annual implementation budgets. The process is founded on devolved levels of government and public institutions. These are coordinated at the local level, including community leaders from the county's political, economic, social, and environmental pillars.

2.1.3. CLUSTER THREE DEVELOPMENT PLANNING PROCESSES

Planning Processes in Mandera County (Kenya): concerning the planning process in Kenya, it entails stakeholder consultations that include professionals and county citizens. Stakeholder forums are conducted across the county to generate representative views of all county residents. Consultations are done at the ward level (the county has 30 wards); these include public forums and mid-term plans consultations. This process's findings inform the county's development plan's preparation as the plan consolidates priorities for the 30 wards. The county plan is a 5-year plan, and it informs the resource allocation and mid-term priority identification. From the 5-year plan, annual plans are formulated. These outline projects to be undertaken every financial year. The planning in the community is significantly influenced by local community informal leadership. These include councils of elders, sheiks, and imams (religious leaders) (Mandera County Government, 2018).

Planning Processes in Mandera (Ethiopia territory): in line with the planning process in Ethiopia discussed above, planning on the Ethiopian side of the border is founded on the decentralization process instituted in the country. Power is devolved to regional states, which devolve it woreda structure and further down to kebele and sub-kebeles. While community participation is at the heart of the planning process, this has been limited at the grassroots level (EUTF, 2016).

Planning processes in Doolow (Somalia): Doolow is an administrative unit under the federal government's newly created state, Jubaland State of Somalia. It consists of Gedo, Middle Juba, and Lower Juba. Administratively, Doolow town comprises four villages, namely: Halgan, Horseed, Elasha, and Wadagir. Planning in Doolow is founded on federalism's precepts - the governance system in the country at large. District plans are prepared in line with the national decentralization policy. The consolidated district plans make up the regional plans. These plans are further scaled up into the national district planning framework. The district planning process is an inclusive and participatory process involving local communities, district administrators, regional government officials, and central government representatives (UN HABITAT, 2018).

In conclusion, the three clusters' planning processes signal a bottom-up approach inspired by national development agenda interests. Despite the strong linkage with national planning structures prioritizing national interests, there is evidence of cooperation along with the respective border areas by regional governments, development partners, clans, and communities through joint infrastructure projects,

institutional frameworks, among others (see chapter 3 for details). These projects offer a platform against which territorial cooperation can be pursued by planning authorities within the three clusters.

2.2. COOPERATION AND ITS COSTS IN CROSS-BORDER PLANNING

Cross-border integration - a sub-type of spatial integration - consists of four dimensions (Durand, 2015), namely:

- (i) Structural dimension embodying the spatial characteristics of cross-border spaces.
- (ii) Functional dimension depicting all the exchanges, cross-border journeys linked to economic activity, and socio-spatial practices adopted in forming a cross-border area (cross-border flows).
- (iii) Institutional dimensions highlighting networking of actors and their involvement in cross-border cooperation.
- (iv) Ideational dimensions are a mix of more subjective elements linked to individual and collective representations involved in the process of integration.

Border types determine cross-border integration processes, which influence cross-border planning processes. (Martinez, 1994) categorizes borders according to integration levels:

- (i) "Alienated borderlands" is a border that does not allow any cross-border interaction.
- (ii) "Co-existent borderlands," a border wherein a certain sense there are conflicts or different interests, too, but they are less problematic and manageable.
- (iii) "Interdependent borderlands" are regions with a border between neighboring states that have relations. This border allows for a significant amount of exchange, albeit with the constraints limiting the free flow of goods or persons.
- (iv) "Integrated borderlands," a situation where a border has been eliminated, implying the free flow of goods and labor.

(Houtum, 1998) adds another option to the above categories-cognitive space. Borders go beyond physical boundaries and include mental borders and may act as a barrier in a cognitive sense. The model identifies the actor's actions in cross-border space, the actor's cognition of cross-border space, and the actor's level of affection towards the cross-border space as factors determining interactions and

integrations along borderlands. Thus, while planners should consider physical elements, they should adopt and consider mental borders when formulating plans within the three clusters if participatory cross-border planning is to be realized.

A model developed by Durand (2015) offers guidance to trends and features in the Horn of Africa. The model considers movements, interactions along the borders, and cross-border space production.

Cross-border production space ascends from two processes: bordering and cross-border integration. These two define the level of cross-border space. Local, regional, national, and global contextual factors influence the bordering process and cross-border integration process, determining the production of the cross-border space and cooperation.

Cross-border cooperation includes direct interactions between households, community leaders, local governments, central governments, civil society organizations (national and international), and private sector agents. These stakeholders' multiple nature relays a complex process of joint planning among cross-border agents to achieve common interests. This calls for identifying common border problems, the involvement of actors from all sides of the borders, expectations of cross-border partners, and dominant individual needs if sustainable development is to be achieved.

Sustainable Development is "development that meets the needs of the present without compromising the future's ability to meet their own needs." Cooperation towards sustainable development in the three clusters should be driven by the following reasons:

- (i) common challenges (climate change, conflict, poverty, institutional gaps) of borderlands within the Horn of Africa;
- (ii) possibility of pooling resources and exploiting economies of scale;
- (iii) similar informal norms among border communities;
- (iv) historical relationships between regional governments; and
- (v) existing support from international agencies like IGAD and UNDP, among others.

Cooperation adopts distinct modalities, including convergence, collaboration, and co-management (Valencia, 2001). Convergence is the lowest degree of intensity, and actions are spontaneous and part of the day-to-day interplay; collaboration occurs within the limits of flexible arrangements or bodies

such as committees or task forces; and co-management involves pooling of institutional, human, and financial resources. The nature of cooperation in the three clusters has features of all the levels; these are determined by interlinked systemic challenges affecting stakeholders' micro and macro decisions. Key among these is the institutional framework governing interactions within the cross-border institutions in cross-border areas that include formal (implemented by central governments) and informal (governing social interactions among communities) institutions. Understanding the two sets of institutions, especially the informal institutions, and integrating them with formal institutions smoothens cooperation among a diverse, complex environment. Institutions operate under three types of rules: operational, collective, and constitutional. Operational rules are working rules that do not necessarily require "external enforcement," (these are informal rules governing interactions in communities), whereas constitutional rules are formal law with prescribed sanctions and enforcement mechanisms; collective rules mix the above two (Ostrom, 1990). The nature of rules in a given border area determines the cooperation among stakeholders at the national and local levels.

Stakeholders include government, market, and civil society players; convergence among their varying choices determines overall resource allocation in a given society. A set of options from these stakeholders defines a given community's preferences, and planners in cross-border areas should strive to adopt choices, formulate and implement plans responsive to revealed preferences. Yet, the temptation to implement the dominant priorities should be avoided considering the significant proportion of vulnerable and marginalized communities (refugees, minority clans, women, and youth) and persons (persons with disabilities, immigrants) along the border areas within the three clusters.

Therefore, critical principles of cross-border cooperation are joint preparation by stakeholders from both sides of the border; joint implementation by stakeholders from both sides of the border; common staff constituting persons from both sides of the border; joint financing by partners from both sides of the border; and coordinated monitoring and evaluating practices should be adopted to ensure participatory cross-border planning. These principles determine the nature and success of cross-border coordination.

From cross-border cooperation, externalities are going to be generated as planners seek to achieve optimal public policy. Externalities are spillover effects arising from cross-border interventions. They

include new-good externalities and knowledge externalities, and these could be positive or negative depending on the net social benefit from respective interventions. Negative externalities arise when the marginal social cost is higher than the marginal private cost. Simultaneously, positive externalities occur when the marginal social benefit is higher than the marginal private benefit. Externalities play a significant role in determining optimal public policies (Romer, 1986 & Lucas, 1988). Because international externalities are essential for explaining several empirical regularities about growth and development (Klenow & Clare, 2004), cross-border planning processes should seek to determine the existing and likely externalities and devise mechanisms to limit their impact if optimal results from the respective cross-border policies and decision making are to be realized.

In line with the above, cooperation towards participatory cross-border planning has a cost implication. Funding of cross-border projects is a challenging goal to realize; this is because of limited funds and modest involvement of actors expected to contribute to the funding envelope (Perkmann, 1999) and different funding tools utilized by countries. Funding in the three clusters is mainly supported by resources from development partners and central governments. For effective planning, coordination, and cooperation processes should pursue funding approaches acceptable to stakeholders in the respective countries in the three clusters. Funding tools should be dynamic enough to mobilize resources from domestic and external resources to supplement the limited existing budget.

Kenya-Turkana County: cross-border cooperation is prioritized in the Turkana development plan. The plan seeks to address the conflict feeding off cross-border interactions; critical issues identified are land management, drought incidence, increasing competition for limited grazing lands, and diminishing water resources. Cooperation to address the challenges mentioned earlier is pursued through cross-border consultations, monitoring areas of conflict in pastoral regions, improving security conditions along cross-border regions, and establishing conflict prevention and management resolution platforms (Turkana County Government, 2018).

Kenya-Marsabit County: cross-border cooperation is prioritized in the Marsabit county development plan. Critical to the cause is the county development plan's linkage with the integrated cross-border program for sustainable peace and socioeconomic transformation between Kenya and Ethiopia. The key strategies include participatory action research, application of GIS as a tool to map the potential

resources, capacity building, and the creation of alternative livelihood projects (County Government of Marsabit, 2018).

Kenya- Mandera County: the development plan is designed to respond to cross-border demands. The initiatives include developing irrigation infrastructure and schemes, supporting regional security initiatives, supporting cross-border trade, diversifying livelihoods through supporting the mining sector, livestock and tourism, and institutional development (Mandera County Government, 2018).

Somalia: The country's development plan acknowledges the current opportunities and challenges (acting as a logistics gateway to the East Africa Community and the broad COMESA trading block), security-related challenges (Government of Somalia, 2017), and the role Somalia could play towards regional integration or cooperation with her neighbors. Against this background, Somalia is a member of IGAD, the tripartite agreement with Eritrea and Ethiopia, and seeks to join the East African Community. The spirit of cooperation cast in the respective development plans lays a suitable environment against which participatory cross-border planning should be pursued in the three clusters. In conclusion, while the three clusters' planning process is orientated towards community-based planning seeking to achieve the national development plan, it is influenced by regional challenges, cross-border flows, externalities, transaction costs, and funding limitations. And thus, as a way forward, cross-border planning should be enhanced to support ongoing and necessary regional interventions if sustainable development is to be achieved. This will require support from all stakeholders, including cross-border community leaders, local government leaders from the three governments, central government leaders from the three countries, and development partners.

3. DEVELOPMENT PLAN ANALYSIS

The primary challenges affecting the three clusters' geographical areas within three countries (Ethiopia, Kenya, and Somalia) include conflict, poverty, and climate change and its consequences. The inter-linkage between trends and patterns precipitating each other has led the three countries to adopt interventions highlighted below.

Conflict management and resolution capacities:

Conflict in the Horn of Africa is caused by complementary and competing factors. Key among these is competition for natural resources. The competition is explained mainly by the contribution of natural resources towards the survival of people living in the cross-border region. In addition to economic dividends, this competition's entrenchment is deeply anchored in cultural and political institutions governing the livelihoods and society at large within the area. All three clusters have identified conflict as one of the significant challenges impeding development (see the section below). The nature of conflict includes inter-clan violence, terrorism, natured violence, and competition for scarce resources natured conflict. The three countries have adopted multiple strategies to manage conflict and build security capacity; these are listed below.

Ethiopia is implementing the following strategies: supporting traditional conflict resolution mechanism in communities, building the capacity of institutions- strengthening the organizational structure with a trained and competent workforce; creating public organizations, and building the capacity of the public for effective and active participation in upholding the law and playing its role in enforcing the law, enhancing knowledge and awareness of the public about regulations, combating corruption; and signing international treaties.

Kenya is implementing the following strategies: recruiting and training of over 51,000 security personnel; voluntary repatriation of refugees; conflict resolution capacity enhancement programs; promoting of national, regional and international peace; early warning and conflict prevention; capacity development on conflict resolution, negotiation and mediation; Developing and implementing a conflict mediation strategy; and Post conflict reconstruction and recovery. These interventions are enhanced by ongoing policy and legal reforms.

Somalia is implementing the following strategies: improving budget management and donor funding mechanisms to ensure greater regularity of payments and clearance of all arrears owed to military and police personnel; completing full biometric registration of security forces tied to pay role; training of the security forces; establishing a rigorous validation and screening process in the security forces registration process; reintegrating former combatants; establishing yearly caps to militia integration based on available fiscal space.

These interventions' success will depend on aligning them with the primary causes of conflict in the region.

The significant causes of conflict are low economic growth, neighborhood spillovers, and the demographic youth bulge. These have resulted in competition for natural resources and offered extremism opportunities, among other challenges affecting the Horn of Africa.

Low Economic Growth: GDP growth has been found to reduce war risks (Collier et al. 2002) in countries and geographical areas within which conflict is taking place.

Neighborhood spillovers: neighboring countries serve as safe havens for rebel groups, receive influxes of refugees, incite support among ethnic groups that inhabit more than one state, and provide opportunities for smuggling weapons or natural resources. The governments of Eritrea and Somalia supported opposing sides in the war in Ethiopia; the governments of Senegal and Guinea sent troops to Guinea-Bissau; Ethiopia, Eritrea, Yemen, Djibouti, Egypt, and Sudan have sent arms to various warring groups in Somalia (ICG 2007; Webersik 2004); and the wars in Sudan and Uganda fed on each other.

Demographic youth bulge: countries in which young adults comprise more than 40% of the adult population are more than twice as likely as countries with lower proportions to experience an outbreak of civil conflict. There is a strong relationship between the incidence of armed conflict and demographic patterns (Cincotta et al., 2003). The population of the geographical areas within which the SECCCI project is being implemented is dominated by youth. This pattern is going to last for the medium future. Mitigating push factors such as high and long-term unemployment and inequality are critical to limiting their vulnerability to recruitment into conflict.

All countries have adopted and prioritized safety, law, and order in their development plans.

In conclusion, the challenges associated with the Islamic State (IS) and interclan violence require localized policy formulation (taking the needs of vulnerable youth and unemployed persons into consideration) and mediation at the community level (among clans), national level-traditional diplomacy (for example between Kenya and Somalia that have recently severed ties) and regional disarmament - a process that should be co-managed by all partner states. These interventions should complement education and economic growth, augmenting interventions while ensuring that participatory cross-border planning links the policies with factors causing conflict in the region.

Improving Livelihoods: poverty is prevalent in the region, estimated at above 70% in all the clusters. Among the key sectors on which livelihoods depend and are prioritized by the individual development plans are livestock and fisheries. The three countries have prioritized livestock and fishery as crucial sectors critical to improving household productivity and personal incomes.

Livestock: it is a significant economic activity in cross-border areas and is critical for welfare improvement among the three clusters' residents. Somalia has identified it as the backbone of the economy (Government of Somalia, 2017), Ethiopia has profiled it as the source of radical change in both sedentary agriculture and pastoral areas (the Federal Democratic Republic of Ethiopia, 2016), while Kenya has identified it as one of the eight (8) priority sectors to drive economic growth (Government of Kenya, 2018). The major animals the communities are rearing are camels, cattle, sheep, donkeys, and goats; the rearing methods are both primitive and prone to risks feeding off natural factors, namely weather conditions and soil fertility.

The local development priorities in the livestock industry include: identifying production methods, preparing detail plans for agro-ecological zones, genetic improving and providing of all rounded support including supply of land (Federal Democratic Republic of Ethiopia, 2016); developing livestock marketing infrastructure, providing better livestock extensions services, working with the private sector to strengthen the provision of veterinary services, protecting pastoralist lands, developing enabling infrastructure to support livestock development, empowering women and youth economically, empowering communities with information through sensitization campaigns and civic education aimed at changing attitudes and behaviors, especially those related to commercialization of livestock production (Turkana County Government, 2018); livestock marketing and trade; enhancing capacity of

sub-county and ward officers to undertake project implementation; livestock feed security, climate smart practices and value addition to livestock products and by products, rangeland resource management, livestock extension service delivery, disease control, veterinary public health infrastructural development and research (County Government of Marsabit, 2018); promoting veterinary public health, improving animal husbandry and nutrition, livestock disease control, promoting livelihood diversification, value chain addition training, improving livestock marketing, coordinating livestock activities, establishing a livestock emergency fund to improve livestock resilience to drought (Mandera County Government, 2018); climate change and environmental protection, institutional capacity development, improving animal health, enhancing livestock product trading, improving food security and safety and improving range, forest and wildlife management systems (Government of Somalia, 2017).

Fisheries: it is one of the major economic activities on which borderland residents depend to earn a living: in Somalia, it has been identified as a development priority (Government of Somalia, 2017); in Ethiopia, it has been identified as critical to increasing exports; in Turkana, it has been identified as a vital growth area (Turkana County Government, 2018), while in Mandera and Marsabit it has been recognized as one of the sectors critical to achieving food security in the county (Mandera County Government, 2018)& (County Government of Marsabit, 2018).

In conclusion, resource mobilization, capacity building, and technology improvement in the above sectors should be enhanced if increased household income and productivity will be realized in the region.

Natural resource management: The region is prone to climate change and characterized by frequent droughts, floods among other climate change consequences. These have led to the loss of human life, animal life, displacements, and destroyed property. The three countries prioritize natural resource management and are implementing a set of strategies to manage the environment.

Ethiopia is implementing the following: implementing Climate Resilient Green Economy (CRGE) at all levels; mobilizing human and financial resources including technological capabilities for a climate-resilient green economy are priorities of the sector; organizing the community into the developmental army and involving them in agroforestry development; promoting the contribution of development

partners, giving particular emphasis to women and youth, so they benefit from forestry development and natural resource conservation; providing technological and technical support to pastoral communities to ensure that benefits from environmental and forest development activities are appropriately targeted; creating a favorable environment for the private sector to play a role in modernizing the forestry sector; Wildlife Conservation and Management; and creating forest product value chains;

Kenya is implementing the following strategies: to complement the policy and legal regime reforms, Kenya is implementing the following strategies: waste management and pollution control; trans-boundary waters management; land reclamation program; integrated regional development program: and green technologies and innovations program:

Somalia:- In addition to policy and legal reforms, Somalia is implementing the following strategies: climate-smart agriculture; air and water quality standards established link to national land management policy under infrastructure pillar; environmental standards for urban development established under national land & urban management policy including guidelines for managing; awareness-raising and monitoring toxic & hazardous materials; National institution and mechanism to oversee river basin policy development and management; National land use plans developed incorporating, existing traditional laws and climate vulnerabilities for Arid and Semiarid zones; ensuring participation of local communities through strengthening their capabilities in sustainable natural resource management, establishing local disaster response mechanisms and supporting private sector involvement.

In conclusion, while varying interventions among the countries include capacity building, technology adoption, and institutional reforms, these will require regional cooperation and support if they are to be holistically realized.

The section below highlights the specific cluster challenges, priorities, cross-border initiatives, opportunities, and weaknesses for the individual development plans in light of the above common challenges.

3.1. CLUSTER ONE – DEVELOPMENT PLAN ANALYSIS

Cluster one covers Turkana County in Kenya and the South Omo Zone in Ethiopia and is bordered by Ethiopia, Kenya, South Sudan, and Uganda. Turkana county has an estimated population of 926,976 (Kenya National Bureau of Statistics, 2019), while South Omo Population had a population of 573,435 Ethiopian central statistical Agency, 2015. The significant livelihoods of the inhabitants in the region are farming, pastoralism, and informal trade. Governments and development partners are implementing initiatives on both sides of the border to tap into the existing opportunities and mitigate challenges limiting welfare improvement.

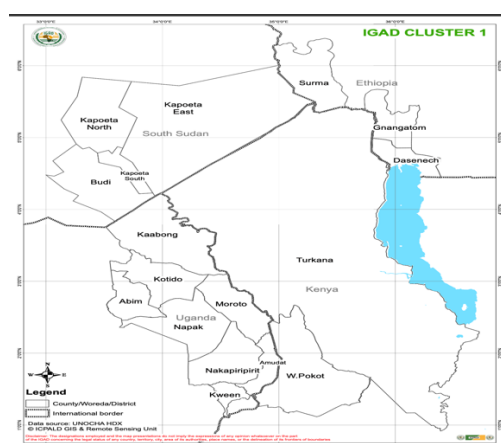


Figure 2: Map showing geographical location of cluster one

The rest of the section discusses challenges, development priorities, opportunities, and weaknesses from development plans of the geographical areas constituting the three clusters within which the SECCCI project was implemented and existing cross-border coordination tools. The section is organized as follows: 3.1 reviews the features of cluster I, 3.2 cluster II, 3.3 cluster III, and 3.4 cross-border coordination tools

3.1.1. CLUSTER ONE MAJOR CHALLENGES

Conflict and Insecurity: the significant causes of conflict and insecurity in cluster I are: competition for limited resources (grazing land and water), frequent cattle rustling along the South Sudan border, and inadequate border enforcement for the Turkana area, while the flow of weapons from neighboring countries - as was the case during the Sudan 5-year war - and generational transfer of strife driven by tribal rivalries (inter-tribal between the Kara and Nyangatom (Epple, 2012)) among border communities

have primarily informed the strife in Omo region. The consequences of conflict include loss of life, destruction of property, and displacements of people.

Climate Change: climate change and its consequences are significant challenges for cluster I. Due to several human activities that are degrading the environment and natural factors, the region faces long spells of drought, loss of soil and biodiversity, among other climate change adverse effects (Human Rights Watch, 2015) & (Hutjis & Enyew, 2015). This has resulted in barren land hindering agriculture production and grazing of cows - a significant livelihood source for the indigenous communities in both the Turkana and Omo region.

Food insecurity: food insecurity is another challenge threatening the survival of livelihoods in the region. In addition to climate change-related factors such as prolonged drought, it is mainly caused by low food productivity due to primitive farming techniques, poor extension services, the salinity of soils, ecosystem degradation, degrading water catchment in the Turkana area, and destruction of the River Omo in the Omo region - this hindered crop production along the river banks.

This has pushed communities, including the Mursi, to survive on milk, the blood of cattle, and the little grain they exchange with their cattle (The Oakland Institute, 2019).

Water Scarcity: due to low rainfall; limited resources to develop, operate and maintain water infrastructure; and limited exploration of natural resources, there is water scarcity in the region on both sides of the border in the Turkana (Brown, 2020) and Omo region (World Vision International, 2017). This threatens human and animal livelihoods and agricultural productivity, which constrain sustainable development.

Livestock diseases: among other factors, diseases are caused by climate change (Md Zulfekar et al., 2020); for example, in the Omo region, the communities are always faced with cattle diseases (FAO, 2020); the most frequent being contagious bovine pleuropneumonia (CBPP), septicemic pasteurellosis, anthrax, FMD and blackleg (Molla et al., 2013). Disease effects are exacerbated by limited access to animal treatment by communities during breakouts.

Human Diseases: free interaction of communities among cross-border communities has brought along disease transfer among humans. Lack of legislation and policies at a national and local level to address immunization and cross-border disease surveillance worsens the situation in the region.

Conflicting development priorities between the central government and indigenous communities:

Ethiopia's central government has sought to "transform the Omo region" from a pastoralist-dominated society to modern farming methods supporting commercial agriculture. The government has constructed the Gibe 111 dam and facilitated the Kuraz sugarcane development project. While these two projects have positive consequences, anecdotal evidence from indigenous communities, namely Mursi and Northern Kwegu, has identified river Omo flooding and loss of land as negative consequences for the communities mentioned above,

(The Oakland Institute, 2019).

Conflicting development initiatives with neighboring countries: the Gibe III dam under construction in Ethiopia is projected to negatively affect pastoralists, flood-dependent agriculturalists, and fishers in Turkana and along the border area, transcending the Ethiopia territory into neighboring countries, including Kenya. The effects are expected to derail livelihoods, hamper land and water management, and exasperate cross-border conflict (Hodbod et al., 2018).

Land-related challenges: because of the sugarcane plantation project, communities in Omo were resettled. This, however, came at the expense of loss of land. The plots allocated measure approximately 0.25ha per family. These have been profiled as insufficient to meet the needs of the respective residents. In the Turkana region, there is land degradation due to charcoal burning, wood harvesting, fossil fuel burning, poor grazing patterns, and extractive agricultural activities. These limit agriculture productivity and generate more strife in an already unstable environment (The Oakland Institute, 2019).

Growing and large refugee community: because of domestic and regional conflict, the number of refugees has been increasing within the cluster. The magnitude of the numbers is estimated at 203,193 refugees in Kakuma camp (UNHCR, 2021). The settlements are putting pressure on existing limited socio-economic infrastructure, constraining welfare improvement and sustainable development.

3.1.2. CLUSTER ONE DEVELOPMENT PRIORITIES

The following are the significant priorities critical to development in the cluster in line with the above challenges.

Conflict Resolution: efforts towards conflict resolution are critical to the region's security; these should involve dialogue between communities, dialogue with the central government, stopping guns flowing in from neighboring communities through regional disarmament interventions, and improving cross-border policing efforts.

Reconciling government priorities with indigenous communities' interests: in pursuit of economic transformation, there has been a threat to cultural identities associated with traditional indigenous communities' lifestyles. However, if development is to be sustainable, ownership among cross-border communities must be nurtured. This requires education of indigenous communities and negotiations between the central government and indigenous communities to reconcile the government's agenda with communities' choices.

Climate change management: due to competition for limited resources (water and land) among people from domestic and border communities between humans and wildlife, the cluster experiences environmental degradation and climate change. This is worsened by land degradation, livestock keeping, deforestation, and burning fossil fuels - activities households have identified as critical to their survival. Controlling and managing these activities is essential to both livelihood survival and sustainable economic development in the region.

Welfare improvement: there is widespread poverty in the region, efforts to improve welfare in the region are critical to sustainable development. These should involve developing necessary social services infrastructure for education and health and enhancing the diversification of livelihoods. The leadership in public, private, and civil society are diversifying the livelihoods away from traditional livelihoods (for example, 67.9% and 12.9% of the population in the Turkana region depend on livestock and charcoal burning respectively) (Turkana County Government, 2018) by tapping into opportunities in poultry, mining, apiculture, and tourism. Supporting these efforts is critical to enhancing economic development. The support should involve: developing human capacity, increasing access to finance, expanding markets with neighboring countries, and promoting value addition to existing primary products in the respective communities in the cluster.

Promote Private Sector Led Growth: concerning the above, cross-border communities' survival is significantly dependent on cross-border trade. Thus, efforts to develop and promote the private sector's

growth in the region will enable communities to realize returns associated with cross-border trade. These efforts should include entrepreneurship training, infrastructure development, and availing of cheap capital to the nascent private sector community in the region.

Infrastructure Development: developing the underdeveloped infrastructure in the cluster has been prioritized by the individual development plans; this includes:

- (i) Immigration facilities: despite being a border county sharing a boundary with Ethiopia, South Sudan, and Uganda, Turkana county has only one official point of entry (Nadapal Border Point is the only gazetted point).; this is situated at the Kenyan and South Sudan border (Turkana County Government, 2018). This is a major hindrance to cross-border interactions as the current movements and interactions are governed by informal institutions that are likely to degenerate into conflict and instability in the region. Supporting the development of immigration borders is critical to legalizing trade, disease surveillance, and crime prevention.
- (ii) Turkana County, 5.6% is bitumen, with the rest of the network consisting mainly of the earth's surface. Three roads off this network link the county with neighboring countries (Ethiopia, South Sudan, and Uganda), making them critical to cross-border initiatives. The underdeveloped state of the road network limits interaction between production units and markets and border communities at large. As a priority, mobilizing resources for road construction is critical to enhancing productivity and streamlining interactions among cross-border communities (Turkana County Government, 2018);
- (iii) Border markets: trade in the community is mainly conducted through open markets; these are the preferred business centers within Turkana county. Whereas the number of markets within the county has increased to an estimated 36 (Turkana County Government, 2018), the need for market facilities and warehouse infrastructure in border centers has been prioritized in the development plan. These are needed to facilitate storage and trade in the cluster; and
- (iv) Irrigation facilities: water scarcity due to natural and human-made factors has been identified as one of the cluster's significant challenges. Improving irrigation infrastructure is critical to addressing this challenge in the area. This should include: improving the functioning of existing irrigation schemes, improving access to existing irrigation plants, and constructing additional

irrigation plants. This should be supported with farmers' capacity building to handle the related technology (Turkana County Government, 2018). These will enable indigenous communities to feed their cattle and also support their agriculture production activities.

Cattle disease control: in as much as the Ethiopian central government seeks to transform livelihoods from pastoralism to sugarcane plantation among other livelihoods in the Omo region (The Oakland Institute, 2019), due to cultural factors, the bond and cultural identity associated with cows may make it impossible for local populations to renounce these completely. Disease control will have to be supported for the communities that are inherently going to continue herding. This is because this sector shall continue providing employment and food security to the respective indigenous tribes.

3.1.3. CLUSTER ONE CROSS-BORDER INITIATIVES

Past Cross-border initiatives

In line with the cross-border cooperation agenda, several cross-border initiatives are being implemented in the cluster area. These include:

Resolutions Platforms: resolution platforms have been established. These are improving communication between Turkana and neighboring countries; for example, resolutions were reached among the leaders across Karamoja, Uganda, and Turkana County. These enhance cross-border movement, manage grazing land, water resources, coordinate security, institutionalize peacebuilding, improve education, road, and health infrastructure, and control transboundary diseases, among other priorities (IGAD CPALD 2018).

Power Distribution from Gibbe Dam to Kenya: this is supported by the World Bank, Chinese Banks, and Commercial bank of Ethiopia. The \$684m projects involves constructing power lines to Kenya flow from Omo Ethiopia. The power is expected to support diversifying livelihoods in the Turkana community by improving the ongoing industrialization efficiency.

Lamu Port, South Sudan, Ethiopia Transport Corridor (LAPSSET): the project prioritizes infrastructure development of regional countries (South Sudan, Ethiopia, and Kenya). Its overall objective is to promote cross-border trade. This has led to either growth or conceptualization of the following critical infrastructure: Lokichar to Nkodok Roads (connecting oil fields in Turkana with

South Sudan); crude oil pipeline from Lokichar to Lamu; a resort city at Lake Turkana; and the Turkana International Airport (LAPSSET, 2020).

Veterinaires Sans Frontieres Germany's Omo Delta Project: this project is implemented in Turkana and Marsabit in Kenya and South Omo and Bench Maji in Ethiopia. The project is implementing a strategy that seeks to expand rangeland and provide diverse opportunities for pastoral communities.

The objective is to develop opportunities that mitigate drivers of instability, irregular migration, and displacement (Veterinaires Sans Frontieres Germany, 2020).

THE SELAM EKISIL (SEEK) project, implemented by Pact and Development Centre, contributes to peace and stability in the region. The project has recently supported covid-19 prevention measures through procuring, manufacturing, and distributing masks and soaps and raising awareness about covid-19 and cholera to communities in the region (PACTWORLD, 2020).

United Nations High Commission for Refugees (UNHCR) Support: - UNHCR is operating Kakuma Refugee camp and Kalobeyei integrated settlement. They host refugees from Sudan, Somalia, and Ethiopia. They offer humanitarian assistance, including WASH, foodstuffs, and shelter to the refugees migrating from their homes due to civil strife (UNHCR, 2020).

World Vision (WV): the organization is engaged in a set of interventions (WORLD VISION, 2020) that include: disaster management: under this, WV supports children, families, and communities in disaster preparedness and reducing the impact of disasters;

- (i) education and child protection: initiatives under this include: improving the capacity of households to nurture and protect children from abuse, improving access to quality Early Childhood Development (3 to 5 years), and improving literacy skills for boys and girls aged 6-13 year3;
- (ii) livelihoods and resilience: interventions under this include enhancing the capacity of households and youth for economic empowerment, improving food production for nutrition and market for targeted households, improving the management of conflict-sensitive water & environmental resources for sustainable livelihood among targeted households, and

strengthening institutions and communities in disaster-prone areas to mitigate and respond to emergencies and disasters;

(iii) health and nutrition: this included interventions meant for reducing the child and maternal mortality rates, improving the health and nutrition of children, women, and communities in the region; and

(iv) Water, Sanitation, and Hygiene (WASH): this involves interventions meant for improving access to water, sanitation facilities, and hygiene practices

Food and Agriculture Organization (FAO): FAO's mission in the region is to support efforts meant to ensure a society free of hunger and malnutrition. It focuses on five areas: policy and institutional reform; productivity and competitiveness; sustainable natural resource and environmental management; food security and nutrition initiatives; and information, knowledge management, and coordination systems. FAO provides support through a network of farmers and pastoral field schools; these support agricultural productivity through increasing access to inputs, finance, and markets, building life skills, and promoting community empowerment and ownership of development decisions (FAO, 2020).

IOM: its mandate in the region is centered on ensuring humane management of migration, promoting international cooperation on migration issues, assisting in searching practical solutions to migration problems, and aiding migrants in need, including refugees and internally displaced people. Within the Horn of Africa, the organization implements programs that include: Better Migration Management program, Mixed Migration Programme, Partnership on Health & Mobility in East & Southern Africa Programme, and Labour Migration & Human Development (LHD) Programme. A major center of these programs is the Kakuma refugee camp which hosts refugees from Sudan, Burundi, the Democratic Republic of Congo, and Ethiopia. The IOM offers pre-departure health assessments to refugees approved for resettlement, pre-departure orientation and facilitates refugee movements by providing them with safe and dignified travel from Kenya to their final destination (IOM Kenya, 2020)

Existing Policy framework: a set of policies has been formulated to improve cross-border communities' institutional governance. The areas of focus are land management, livestock, and

humanitarian support. These policies include rangeland policies and practices, a disaster risk management policy (GOK, 2017) for county humanitarian and development efforts.

Disease Mitigation Efforts: in-line with disease control efforts, the GOK and the county government's mass treatment and vaccinations have been conducted. The purpose has been to control the outbreak of major diseases, facilitate livestock trade and improve livestock productivity.

Future Cross-Border initiatives

In line with the above, the development plans are prioritizing the following cross-border initiatives:

Community Dialogues, meetings, and resettlements: the Turkana development plan targets to conduct 15 meetings and resettlements in the next four years. The purpose is to improve peace and security between the county and neighboring cross-border communities. The issues to be discussed include water management, land management, conflict resolution.

Promotion of regional Trade: in addition to ongoing regional trade enhancing efforts, the Turkana development plan seeks to implement a set of cross-border initiatives to complement the already existing efforts. These include 109 cross-border engagements on regional trade regulations, 50 cross-border engagements on the movement of goods, 52 cross-border engagements on One-Stop Border Post in the region, and 25 cross-border engagements on currency exchange bureau during the planned lifespan. The efforts are in line with diversifying cross-border residents' livelihoods (Turkana County Government, 2018).

Cross-border consultations: the Turkana development plan is prioritizing the enhancement of community participation in managing water resources. The target is to conduct two cross-border water-related conflict resolution meetings (8 are planned during the development plan's lifespan 2018-2022) (Turkana County Government, 2018).

Management of scarce resources: the development plans prioritize the formulation of legal frameworks to support managing, planning, and coordinating scarce resources (water and land) in Turkana County. The target is to enact and operationalize a set of institutional frameworks including water policy, county climate change policy and act, county irrigation policy and legal frameworks, county land reclamation policy and legal framework, livestock sector development strategy, county agriculture policy, and legal frameworks. The policy framework seeks to improve management,

utilization, and coordination of the scarce resources (water and land) and promote better farming methods to diversify livelihoods and community welfare.

Border Points Construction: to mitigate the effects of illegal rate, crime feeding off interactions through porous borders, the Turkana development plan is prioritizing the construction of seven (7) entry border points (Turkana County Government, 2018). These are expected to enhance cross-border movements and trade among cross-border communities. This, however, will require support from the central government and regional stakeholders involved in regional cooperation.

Transhumance Protocol: IGAD member countries are discussing implementing transhumance protocol mechanisms; the objective of the protocol is to guide member states on how best they can facilitate and manage movements and safety of pastoralists across the respective borders as they search for water and pasture. This is to be complemented with transboundary animal disease mitigation measures. These efforts seek to improve infrastructure, social services, and livestock productivity - pastoralists and agro-pastoralists livelihood in the arid and semi-arid areas (IGAD, 2020).

3.1.4. CLUSTER ONE OPPORTUNITIES

Against the above challenges and ongoing cross-border interventions, below is a set of opportunities that could be utilized to mitigate the respective challenges and their consequences.

Development Partners: several development partners worldwide are committing a wealth of resources to complementary development strategies. These are all seeking to address the primary challenges (food insecurity, resilience, health, education, land rights, water scarcity, and sanitation) the cluster is facing; these include UN agencies, IGAD, JICA, World Bank, USAID, DFID, EU, Mercy Corps, Save the Children and World Vision among others. Reconciling efforts and drawing from the economies of scale associated with all these partners would enhance the overall development agenda's for the respective institutions.

Tourism: since the central governments in both countries (Kenya and Ethiopia) seek to diversify the livelihoods of the indigenous communities, tourism is one of the sectors that could

be supported to employ part of the excess labor force currently surviving on pastoralism. The tourism project could be a cross-border project because the region's features are similar, with the tourism resources transcending over the respective borders. These would offer employment opportunities and better livelihoods for residents among the cross-border communities.

Dialogue: there is room to promote and support dialogue between the Ethiopian central government and indigenous communities. In as much as the government has faced opposition from indigenous communities, dialogue between the two will propel the region into development if the competing interests are reconciled. UNDP could offer leadership to this effect.

LAPSSET Project: besides existing benefits from the project, it seeks to offer more infrastructure development opportunities, for example, the 1,720 km standard gauge rail that would connect the region to South Sudan (LAPSSET, 2020). This would enhance regional trade and economic development critical to the welfare improvement of residents in the cross-border communities.

3.1.5. CLUSTER ONE DEVELOPMENT PLAN WEAKNESSES

Conflict with cross-border initiatives: whereas community lifestyle is pastoral, the Ethiopian government is prioritizing alternative livelihoods. The implication of this is that the central government is likely not to support the ongoing cross-border initiatives, like some element of the transhumance protocol seeking to support the indigenous groups' lifestyles.

Capacity Building: success of the development initiatives will mainly depend on the human capital of the cross-border residents; the high illiteracy levels and limited human capital might compromise the realization of the plans. The plans fall short of identifying the skills critical to this cause.

Limited Community participation: while the planning processes highlight community participation as a foundation for planning in the county, human capital challenges impede this process. The

development plan equally falls short of having a capacity-building strategy for the respective stakeholders relevant to decision-making.

Monitoring and evaluation: whereas monitoring and evaluation processes have been highlighted in the national plans and local community plans, implementation is compromised by the human capital gaps and technology gaps. Improving human capital and automating data collection and dissemination processes will mitigate limitations and improve planning and resource allocation decision-making processes.

Conclusion: in line with the above challenges, opportunities, and ongoing and planned cross-border initiatives, there is a need to adopt an integrated approach among all stakeholders on the different sides of the border to achieve the objectives of the respective development initiatives, guidelines, and tools to accomplish this are highlighted in the chapters five and six towards. This should be community-orientated while considering the highlighted cross-border initiatives identified as core to solving the cluster's underlying challenges.

3.1. CLUSTER TWO - DEVELOPMENT PLAN ANALYSIS

Cluster two covers Moyale and Marsabit; households in cross-border areas rely on pastoralism as their primary economic activity.

Moyale is located in the Borana zone, has an estimated population of 41,600 people on the Ethiopia territory (Ethiopian central statistical Agency, 2015) and 108,949 people on the Kenyan territory (Kenya National Bureau of Statistics, 2019); its located in the rural setting of the Woreda while Marsabit has an estimated population of 459,785 (Kenya National Bureau of Statistics, 2019). The growing population and geographical nature of the area influence cross-border dynamics that are determining welfare improving decisions. The section below highlights the challenges, priorities, opportunities, cross-border initiatives, and development plans weaknesses for the cluster.

3.2.1. CLUSTER TWO MAJOR CHALLENGES

The major challenges slowing down development and welfare improvement among households, residents along the respective cross-border communities in cluster 2 are the following:

Climate change and its consequences: a significant area within the cluster faces harsh environmental conditions; for example, the climate in eastern Moyale is characterized by strong wind, high temperature, low rainfall, and low relative humidity. The adverse consequences of the hot arid climate, low sparse vegetation, and an annual rainfall of less than 450mm (Fenetahun & Fentahun, 2020) (prolonged drought) are worsened by yearly flooding in the region. These are destroying the limited agriculture crop production and limiting livestock production within the area.

Scarcity of resources (water and grazing land): the region is faced with scarce water and grazing land, which are critical to the pastoral lifestyle of most of the communities along the border. Besides having limited grazing land available in the region, the existing land - especially in Eastern Moyale - is barren. This is aggravated by the restrictive cross-border mobility by the respective national authorities. Scarcity of grazing land and water are the significant causes of conflict among pastoralist communities in the region as they compete to access the limited resources (Fenetahun & Fentahun, 2020).

Food insecurity: food insecurity is a significant challenge threatening livelihoods in this cluster (World Vision, 2018) and (County Government of Marsabit, 2018). The factors responsible for this challenge are natural factors (weather-related and land constraints) and human-made factors (poor farming

methods, inadequate market information, and deforestation). These have resulted in increased crop failures, reduced livestock productivity, and low pricing, all of which are culminating in food insecurity.

Underdeveloped infrastructure: the cluster has underdeveloped infrastructure; for example, of the 5000km road network in Marsabit, only 6.24 % is tarmacked, with 11.6% being made of gravel while 83.6% is consists of dirt road. This limits interaction between production units and markets, cross-border trade, and overall productivity within the cluster (County Government of Marsabit, 2018).

Cross-border smuggling: there is the illegal trade in Moyale between the Kenyan and the Ethiopian territory. A few of the 30-50 estimated trucks exporting goods to Kenya from Ethiopia pass daily through the one-stop border post. The goods smuggled include maize, beans, rice, sugar, cereals, and khat. The unofficial preferred routes are Sessi, Laya, Moyale, and Forole along the common border between Ethiopia and Kenya. Among the smuggled goods there also is marijuana, which is smuggled from Shashamane in Ethiopia to Kenya along the highway (enactafrika, 2020) & (Nation Media, 2020).

Human Trafficking: Moyale has been profiled as an epicenter of human trafficking in the region. This involves illegal crossing migrants from Ethiopia through Kenya to South Africa using the trans-African highway. They come from Ethiopia, Eritrea, and Somalia and are facilitated by corrupt officials along the highway transcending through Ethiopia and Kenya (Lemma et al., 2019) & (enactafrika, 2020).

High Population Growth: the region is experiencing high population growth; empirical evidence has profiled overpopulation as one of the major determinants of migration and food insecurity in vulnerable areas. The high population challenge on either side of the border is further aggravated by the growing refugee population feeding off a set of factors in the region (County Government of Marsabit, 2018).

3.2.2. CLUSTER TWO DEVELOPMENT PRIORITIES

Population growth: the fast-growing population in the region has been profiled as a challenge in the development plan (County Government of Marsabit, 2018); it creates more pressure on the limited essential resources (education and health) and land in the region. Complementing family planning initiatives and awareness creation on the impact of demographic pressure has been identified as a priority towards addressing this challenge.

Enhancing the traditional early warning system: which the communities have been using for many years to predict and prepare for hazards. In addition to limited community involvement, the current system has inadequate data collection, sharing, and dissemination features (County Government of Marsabit, 2018). Modern technology should be adopted to replace the existing traditional approaches utilized by communities to predict and forecast environmental-related trends.

Constructing water infrastructure: to counter the adverse consequences of climate change, constructing more boreholes and water pans is a priority towards reducing drought effects. For example, building a suspended canal with a 500-1000-meter length on the Ethiopia side of the border has been identified as critical towards controlling floods in the region (Cordaid, 2013); this is expected to supplement the existing canal on the border side of Kenyan territory. The construction should be done after consulting, as some time has elapsed since this recommendation was made.

Empowering women: due to cultural factors that marginalize women, they are more affected by the adverse effects of harsh environments and underdevelopment in the region. As a priority, including women in the planning process, should be enhanced: this will make the development plans and interventions more comprehensive and responsive to the most vulnerable and community needs.

Joint planning: to mitigate conflict emanating from competition over pasture and water resources: collaborative planning among cross-border communities should be enhanced as a priority. This should focus on managing and utilizing cross-border pasturing using cross-border coordination tools; see section 3.4 for details.

3.2.3. CLUSTER TWO CROSS-BORDER INITIATIVES

The geographic features of the area have brought the need for all communities to partake in cross-border initiatives. These benefit the livelihoods of persons staying along the borderlands; they include conflict resolving, trade enhancing, and welfare-improving initiatives. Below past and future cross-border initiatives vital to the individual development plans are highlighted.

Cluster two Past Cross-border initiatives

Conflict resolution: conflict among communities is one of the major challenges the communities across the border face; it is mainly caused by competition for grazing land and pasture. Through dialogue

among communities spearheaded by RACIDA⁶ among other development partners, conflict resolution among communities has been promoted. This has involved supporting meetings among community leaders that have discussed challenges and solutions towards these challenges. For example, the conflict between the Degodia clan from Kenya and the Gare clan from Ethiopia was partly mitigated through dialogue (Cordaid, 2013).

2012 Special Status Agreement: through this agreement, Kenya and Ethiopia are seeking to convert Moyale into a joint town status and later on in a combined city. The objective is to create a commonly administered trade hub and an economic zone in Moyale (Government of Kenya & Federal Republic of Ethiopia, 2012). The agreement has led to constructing an 895km highway corridor linking the two countries, making Moyale a regional trade hub.

Lamu-Port-Sudan-Ethiopia Transport project: this has been completed and has led to the development of the ISIOLO-Moyale highway. The 505 km highway offers improved linkages between Kenya and Ethiopia (LAPSSET, 2020), enhancing trade and overall cross-border interaction.

Regional agenda: the regional development priorities as per the development plans are integrated with the critical international agenda, these include: the African Union Agenda 2063 and the East African community Vision 2050; these seek to have a peaceful and secure African, people-driven growth, and poverty-free continent (County Government of Marsabit, 2018).

Moyale One-stop border post: in line with the LAPSSET project, a one-stop border post has been constructed and commissioned in Moyale. It is situated approximately 800 kilometers north of Nairobi and 780 kilometers south of Addis Ababa (Trade Mark EastAfrica, 2020). It is expected to boost regional trade, create jobs and opportunities, improve regional connectivity, customs administration, and minimize illegal trade and crossings between Kenya and Ethiopia.

UNDP Cross-border cooperation between Ethiopia and Kenya Programme: the program addresses conflict, peacebuilding, sustainable peace, and socio-economic transformation in the cluster. The

⁶ RACIDA is a local NGO, which has been working with Somali ethnic community in Northern Kenya based in Mandera

program is achieving the above agenda through improving the capacity of local governments for preventing conflict and promoting sustainable peace; enhancing peace and strengthening community resilience to avoid conflict and to withstand shocks; supporting efficiency and effective delivery of outputs and activities on conflict prevention and peacebuilding improved; and youth economic empowerment (UNDP-Kenya, 2020)

International Committee for Red Cross (ICRC) Support: the ICRC offers humanitarian assistance to persons displaced by ethnic violence in Moyale woreda (Somali and Oromia regions). The essential assistance goods, seeds, farming tools, WASH services, veterinary services, and cash assistance. The cash assistance program seeks to support 29000 households; those who have already benefited have received between 3000 and 3800 Ethiopian Birr (International Committee of the Red Cross, 2019).

World Vision (WV) Humanitarian Support: the organization is offering food distribution to displaced persons, supporting the government to have peace meetings with affected communities, and supporting a water project benefiting 30,000 people in Moyale and Miyo districts. (World Vision 2020)

UNHCR Support: the UNHCR is conducting operations in refugee camps within the cluster. The offered support includes refugee status determination, registering and documenting refugees, refugee resettlement, facilitating individuals, families of refugees to access rights, services, and related services. The organization also offers lifesaving assistance, basic services such as education, livelihoods improving support to promote refugees' empowerment and reduce their dependence on humanitarian aid. (UNHCR, 2020).

FAO's Livestock Market Co-management Model: the program seeks to promote livestock market ownership by local communities. The model involves local authorities and market management committees agreeing to share responsibilities and revenues in the livestock markets. The Livestock Market co-management model has been implemented in Merille, Moyale, Solo, Turbi, Korr, Illaut, and Kalacha (FAO, 2020)

International Organization for Migration (IOM) Training: the organization has trained immigration officers on migration management and protection of victims of trafficking in the cluster. The training focused on document examination, fraud detection, and countering human trafficking (International Organization of Migration, 2019).

Moyale One-stop border post: a one-stop border post has been constructed and commissioned in Moyale, Marsabit County. In addition to streamlining and reducing illicit trade that is rampant in the cluster, it is expected to ease people and goods' movement across Kenya and Ethiopia's shared border (Trade Mark EastAfrica, 2020).

Future Cross-border initiatives

The development plans of the region are prioritizing the following cross-border initiatives as critical towards the development of the area:

Conflict management and disaster response: to enhance cross-border peacebuilding initiatives, the Marsabit plan seeks to conduct 70 cross-border peacebuilding initiatives for the 5-year life span (County Government of Marsabit, 2018).

Cross-border peace meetings: during the development plan lifespan (2018-2022), the Marsabit plan seeks to sensitize and create awareness for 2000 youth and women elders (County Government of Marsabit, 2018). The purpose is to reduce inter-intra communal conflicts among pastoralists' border communities.

Cross-border trade: the development plan prioritizes promoting cross-border trade to improve livelihoods. Creating six (6) cross-border trader associations in Moyale, Sololo, Uran, Forole, Dukana, and Ileret has been highlighted as one of the critical cross-border initiatives to realize it. (County Government of Marsabit, 2018)

Markets: to complement the above, Marsabit County is engaged in bilateral trade agreements between the Kenyan and Ethiopian governments to open up a market whose size is estimated at 800,000 customers (County Government of Marsabit, 2018).

Health service delivery: improving health-related challenges has been identified as critical to enhancing cross-border interactions. The plans seek to conduct 20 cross-border consultative meetings in the 5-year lifespan of the plan (2018-2022) to control tuberculosis and leprosy (County Government of Marsabit, 2018).

Cultural heritage: to further improve community stability, the Marsabit development plan seeks to carry out 20 cross-border cultural programs. These are expected to involve schools' culture and drama festivals to enhance cross-border cultural programs (County Government of Marsabit, 2018).

The Marsabit county development plan is linked with the cross-border development program for sustainable peace and socio-economic transformation: a plan to improve livelihoods in Marsabit County in Kenya and Borana Zone in Ethiopia. The latter seeks to utilize participatory research GIS applications to map potential resources in the borderlands and capacity building to create alternative livelihood projects. It also aims to create opportunities for trade investment and tourism and improved infrastructure. These initiatives are envisaged to facilitate the safe cross-border movement of people and enhance sustainable peace and development (County Government of Marsabit, 2018).

LAPSSET Project, a standard-gauge railway and pipeline running from Lamu Port through Marsabit County and into southern Ethiopia and South Sudan, has been profiled as a cross-border initiative critical to overall regional development. The project is expected to generate employment opportunities, improve transportation, expand markets, and link Marsabit County to international markets, thus improving the people of Marsabit's socio-economic livelihood (County Government of Marsabit, 2018).

3.2.4. CLUSTER TWO OPPORTUNITIES

The environment in cluster two offers the following opportunities:

Cultural ties: the bond among communities is founded on similar cultural norms and values. Tapping into these similarities when formulating and implementing development initiatives benefitting cross-border communities is critical to enhancing communal ownership of ongoing initiatives; these could still be utilized to reconcile conflicting communities in the cluster;

Support from development partners: there are multiple development partners committing resources towards welfare improvement in the clusters. These include UN agencies, WORLD BANK, IGAD, DFID, GIZ, USAID, and Red Cross. If harmonized, there would be limited duplication of efforts and sufficient returns from the scarce resources in the cluster;

Legal framework: the new Kenyan constitution empowers local authorities to formulate and implement policies. This offers an opportunity to fast track formulating legal and policy frameworks that are critical to the cluster on the Kenyan territory;

Planning among cross-border communities should be harmonized among pastoral communities in Moyale, Kenya, and Moyale, Ethiopia. This should be centered on joint management and usage of the scarce resources - pasture and water resources - along the border by the respective communities. The planning should engage communities to prepare and implement a harmonized drought risk reduction plan. This will require, among others, mobilizing communities on both sides of the border. The planning should include common identification of challenges and support multi-pronged cooperation between Kenya and Ethiopia. The planning should react and adapt to new and unforeseen realities such as migration patterns, forced displacements, trafficking, smuggling networks, climate change, and food insecurity; and

Joint migration interventions: mitigating human trafficking and smuggling require a combined approach from the two countries. These should involve formulating and implementing immigration and custom measures jointly.

Infrastructure development: the underdeveloped road network in the cluster should be prioritized for development. The development process should include both rural community roads and international roads linking communities across the borders.

3.2.5. CLUSTER TWO DEVELOPMENT PLAN WEAKNESSES

Limited human capital: a shortage of technical staff is one of the major limitations of realizing the plans' development agenda. The occupations identified as having significant skills gaps include health personnel, extension community staff, and ICT personnel. The gaps are both quantitative and qualitative.

Monitoring and Evaluation: with the above, implementing the development plan is compromised by monitoring and evaluating processes. The weak monitoring and evaluation processes are influenced mainly by limited human capital in all sectors. This is exacerbated by practitioners' limited technology in the respective implementation units: this limits supervision and efficient resource allocation, among other decision-making processes.

Political interference: whereas the planning processes are founded on participatory community structures, it has been significantly influenced by local community political leaders. This creates a bias

towards prioritizing political leaders' interests at the expense of the interests of marginalized groups in the community.

Budget gaps: The region's level of development demands a significant resource envelope to realize the various competing interests in the cluster. This is informed by a small tax base due to low economic productivity. Although supported by development partners, the available resources are still less than desired. This has led to resource diversion, especially in cases where the reoccurring challenges such as drought manifest themselves and limit the realization of the cluster's intended development agenda at large.

Conclusion: In conclusion, achieving the respective cross-border initiatives requires harmonized planning and implementation among cross-border Communities. The process should involve community leaders, central government officials, vulnerable group leaders, and development partners.

3.2. CLUSTER THREE - DEVELOPMENT PLAN ANALYSIS

The cluster covers the Mandera-Gedo-Dolow area along the border area of Kenya, Somalia, and Ethiopia. Mandera county has an estimated population of 867,457 (Kenya National Bureau of Statistics, 2019), while GEDO has an estimated population of 508,405 (UNHABITAT, 2018).

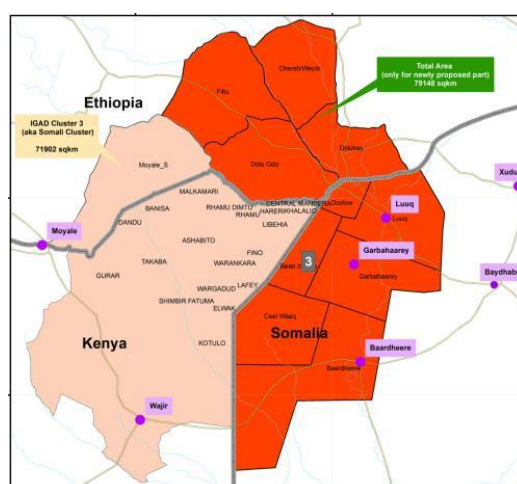


Figure 3: Map showing geographical location of cluster III

It faces challenges founded on historical and ideological factors. These inform the dynamics that the residents of the region are facing. The section below describes the challenges, development plan priorities, cross-border initiatives, opportunities, and factors likely to limit the development plans' realization.

3.1.1. CLUSTER THREE MAJOR CHALLENGES

Climate change: the cluster is prone to prolonged drought and seasonal floods. The adverse consequences include human-human conflict and human-animal conflict as they compete for water as a scarce resource; livestock death estimated at 40%-70% during prolonged drought seasons in Mandera; collapsing livestock prices during drought seasons estimated at 50% of the market price in Mandera; flooding from above-average rainfall affected 2500 households located in the villages of Garbolow and Dhagahley in 2018, it destroyed sanitation in 2 IDPs main sites, crops, livestock and caused vector and water-borne diseases (UN HABITANT, 2018).

Locusts: concerning the above, another consequence of climate change has been, in December 2019, the spread of desert locusts from Yemen to Kenyan through Somalia and Mandera and their spread to other countries in the region. The locusts have destroyed the limited existing crop production in the region, thereby further exacerbating the food insecurity challenge the region is facing (FAO, 2021).

Conflict and insecurity: the cluster is prone to conflict and insecurity. These include terror attacks and interclan clashes. The interclan clashes are due to competition for scarce resources of water and grazing land, while terrorism is mainly instigated by Al-Shabaab (reported to be retaliating Kenya's military presence in Somalia) that has formal and informal governance structures within the region; the region has degenerated into a recruitment area for Al-Shabaab among other radical groups, (NCIC & INTERPEACE, 2019), and (INSIGHT, 2019). This further highlights the inability of regional government authorities to enforce law and order along the border area.

Underdeveloped road infrastructure network: the county's road network is underdeveloped. Of the 2155.8km total road network, 65% is composed of dirt roads, with the remaining proportion mainly consisting of murram gravel roads making the roads unpassable (Mandera County Government, 2018). This limits linkages between production units and markets that are critical to livelihood diversification.

Porous Somalia border: another infrastructure gap is the existence of only one border post over a long cross-border boundary; this is located in eastern Mandera at the border between Kenya and Somalia (Mandera County Government, 2018). Movements and interactions among cross-border communities occur through porous border points as several tribes in Somalia have rejected the colonially imposed

national borders (NCIC and INTERPEACE, 2019). This has resulted in illegal trade and cross-border crime, including especially terror-related acts along the porous border between the two countries.

Overstretched health facilities: these serve approximately 70% of the cross-border population from Somalia and Ethiopia. This burden is made worse by the risk of importing communicable diseases such as cholera, polio, measles, and tuberculosis from neighboring countries (Mandera County Government, 2018).

Displacements: due to conflict and instability, forced displacement is one of the challenges local communities face; the magnitude of the displaced persons is estimated at 76,728 persons in Gedo (UNHABITAT, 2018). The increasing number of displaced persons is putting pressure on the already stretched domestic infrastructure for necessities.

Food insecurity is mainly caused by frequent and prolonged droughts, flooding, and limited internal capacity to withstand shocks and stressors, decline and low agricultural productivity, inefficient food distribution systems, and high population growth (Ali et al., 2018).

High illiteracy rates: the county's literacy rates are very high; by 2017, an estimated 71.7% of the population above three years had never attended school (Kenya National Bureau of Statistics, 2019). This creates a huge skills gap in the county hence limiting service delivery within the county

High poverty rates: due to all the above factors, economic productivity has been constrained, leading to low employment opportunities. This has resulted in a high poverty rate estimated at 77.6% in Mandera County (Kenya National Bureau of Statistics, 2018).

3.1.2. CLUSTER THREE DEVELOPMENT PRIORITIES

With the challenges mentioned above, below are the core priorities for the development of the cluster.

Institutional priorities: the Mandera plan prioritizes the formulation of the following policies (Mandera County Government, 2018):

- (i) disaster response policy: the policy is expected to offer proper guidelines to disaster and emergency responses, it has an estimated budget of 10m Kenyan shilling;
- (ii) disaster recovery and business continuity policy: this policy is expected to enhance interventions guiding Information communication and technology activities in the county. This

should address some of the gaps associated with monitoring and evaluation of ongoing development interventions; it has an estimated budget of 10m Kenyan shillings;

(iii) climate change and adaptation policy: this policy is expected to improve the county's adaptation to the consequences of climate change; it has an estimated budget of 10m Kenyan shillings; and

(iv) County water policy: this policy is expected to improve and guide water resources management and utilization.

Diversifying livelihoods: with the majority of the labor force surviving on pastoralism, the Mandera development plan prioritizes diversifying livelihoods into cross-border trade, artisanal mining, beekeeping, and irrigation aided agriculture, especially along the Dawa River. This is expected to improve the total household income that is currently 72% dominated by pastoralism. The development plan also seeks to add value to the pastoralism industry to make Mandera County a production and marketing hub for livestock (Mandera County Government, 2018).

Locusts: multi-stakeholder response to the locust's invasion is too critical to limiting crop destruction in the region and exacerbating food insecurity. This should involve resource mobilization, technology adaptation, and mobilizing communities towards the cause.

An integrated approach to healthcare among cross-border communities should include public health approaches responding to cross-border health demands. It should include health prevention and curative and rehabilitation measures along the border areas for the respective infectious diseases.

Insecurity: to mitigate the rampant insecurity, supporting cross-border policing efforts is critical; this should include: police capacity building in training and equipment acquisition. This should be supplemented with multi-stakeholder cross-border coordination of policies and mechanisms geared towards promoting cross-border security, movement, and trade.

Water scarcity: with only 2.5% of the population accessing potable water in the cluster, constructing dams and water infrastructure should be prioritized to mitigate the adverse effects of drought and water scarcity in the cluster. This should complement ongoing micro efforts to integrate solar-powered borehole systems to limit dependence on costly diesel-powered systems. In addition to addressing water

scarcity and improving access to clean water, the latter will reduce costs associated with accessing water and mitigate greenhouse gas emissions (GHG).

3.1.3. CLUSTER THREE CROSS-BORDER INITIATIVES

Past Cross-border initiatives

Security: because of Ethiopia's proximity, Doolow enjoys security as Ethiopia has made security in the area a regional priority. This has involved military protection from the Ethiopian army and supports security in the town and the country (Brown, 2020).

Building Opportunities for Resilience in the Horn of Africa (BORESHA): this project is implemented in the Mandera triangle, more precisely in the Mandera County in Kenya, Dolow and Beled Hawa districts in Somalia, and Dolo Ado and Dolo Bay woredas in Ethiopia. The project has, among other benefits, offered capacity building to borderland communities and government offices on a Participatory Rangeland Management (PRM) approach. The project builds sustainable livelihoods, improves natural resource management (of rangelands), and strengthens resilience in the cluster for pastoralists and agro-pastoralists. This project complements the efforts of the Regional Approaches for Sustainable Conflict Management and Integration (RASMI) and the Support for Effective Cooperation and Coordination of Cross-border initiatives (SECCCI) projects (BORESHA, 2020).

Cross-border trade: various goods and human capital flow between the two countries through cross-border trade; from Ethiopia to Somalia, the products include construction material, coffee, khat, skilled labor, and artisanal labor (barbers and maids), while from Mogadishu to Dolow to Ethiopia, the products include sugar, rice, cosmetics, and dairy products. Through Belet Hawa as the main route from Kenya to Somalia, the main products are potatoes, khat, tea leaves, fruits, and vegetables (UN HABITANT, 2018).

Free movement of people: there is free movement of people between the border areas. The purpose of these movements is mainly the search for humanitarian aid, employment, and trading opportunities on either side of the borders.

Médecins Sans Frontières (MSF): the organization offers humanitarian medical assistance to victims of conflict, natural disasters, epidemics, or healthcare exclusion in the cluster. They have set up four

health posts in the region, including a 100-bed hospital in Dagahaley; through these, antenatal care, mental health treatment, HIV support, covid-19 support, and other assistance are offered refugees within the cluster (Medecins Sans Frontieres, 2020).

Global Network against Food Crises Partnership Programme: With the EU's support, FAO is implementing this program to mitigate the food crisis in the region. For instance, following the damage of their crops by desert locusts, FAO distributed seeds such as sorghum, maize, and cowpeas to farmers in Somalia to enable them to re-plant and restore their production. This is in addition to providing resources such as aircraft, vehicles, equipment, biopesticides, insect growth regulators, and staff to support survey and control operations meant to tame the locusts destroying food crops in the region (FAO, 2021).

CARE BORESHA Program: - is providing disaster relief in the cluster related to natural resource management. The initiatives include: strengthening the planning and management of cross-border natural resources; protecting and rehabilitating rangelands and managing invasive species; installing roof rainwater harvesting in 30 schools across the border of the three countries; building capacity on environmental management; and rehabilitating nine (9) water points across the border area (BORESHA, 2020).

IOM Disaster management Program: in response to the frequent disasters in the region, IOM is implementing many interventions in the cluster, these include providing information and analysis at OCHA, technical support to regional governments, camp management, and camp coordination, shelter and non-food items (S-NFI), health, and water, sanitation and hygiene to displaced persons and deploys third party staff too hard to reach locations during a crisis (IOM, 2020).

World Vision (WV) Somalia Nutrition Program: with the support of local authorities, WV is supporting health system strengthening through constructing necessary health infrastructure, providing medical supplies, capacity building of health personnel provision of medical supplies, capacity building, and incentives to health personnel. The beneficiaries of the program are children, women, and vulnerable community members (World Vision, 2021)

International Rescue Committee (IRC) Support: considering the nature of the crisis in the region, the mission of IRC is to help people whose lives and livelihoods are shattered by conflict and disaster

to survive, recover and gain control of their future. It is against this mission that a set of initiatives are being implemented by the organization; these include providing emergency relief; building and restoring clean water sources and promoting acceptable hygiene practices; providing primary health care services via static and mobile clinics to underserved people, and training health workers; providing job training, food vouchers and direct cash assistance to farmers, shepherds, and small business owners; partnering with communities to identify, plan and manage development projects and promoting and protecting human rights, particularly for vulnerable groups like children and women at risk of violence (IRC, 2021).

Danish Refugee Council (DRC): in response to the human displacement crisis in the region, the DRC is implementing a set of initiatives including protection, food security and livelihoods, resilience, durable solutions, WASH, shelter, non-food items, camp coordination, and camp management, access to security and justice, innovative SMS communication project and cash and in-kind assistance (DRC,2021).

Norwegian Refugee Council is implementing a set of initiatives in the clusters to respond to the humanitarian crisis (Norwegian Refugee Council, 2016) in the cluster; these include: camp management which includes mapping settlements, capacity building training for settlement leaders, mapping existing resources, and constructing community centers and the following interventions:

- (i) education support includes providing classes for children, engaging young people through the youth education program, training teachers, and constructing classrooms.
- (ii) Information, counseling, and legal assistance: This includes helping refugees return home safely, raising awareness about the rights of displaced people among local authorities and communities, providing information and legal counseling to displaced persons about housing, land, and property rights, and assisting displaced persons in securing land tenure;
- (iii) livelihoods and food security which includes cash transfers to families, raising awareness about acceptable nutrition practices; supporting environmental conservation activities such as solar energy for irrigation; providing livelihood training to farmers among other community members-these training include methods of tackling diseases that destroy crops;

- (iv) Shelter and Settlements Program includes: providing temporary, transitional, and permanent shelters; distributing household items like solar lamps, constructing and rehabilitating classrooms to internally displaced persons in the clusters; and
- (v) WASH (Water Sanitation and Hygiene Promotion) program includes building household and community latrines, installing and rehabilitating water drinking water systems, promoting sanitation and hygiene awareness, and training communities to use and maintain hygiene and waste management.

Future cross-border initiatives

The planned and prioritized cross-border initiatives for the cluster include the following:

Cross-border related conflict- the Mandera development plan seeks to establish 29 cross-border peace structures. These are expected to enhance cross-border peace and security committees; the estimated budget is 200m Kenyan shillings (Mandera County Government, 2018).

Private sector development: the Mandera development plan seeks to promote private sector development through enterprise and entrepreneurship development. The efforts are seeking to conduct cross-border forums and entrepreneurship training. The prioritized specific cross-border trade enhancing interventions are:

- (i) training 9700 traders from Kenya, Ethiopia, and Somalia over the 5-year lifespan of the development plan. The estimated budget for this 30m Kenyan shillings;
- (ii) mapping and profiling traders and four (4) business potential sites. The estimated budget is 20m Kenyan shillings and
- (iii) creating five cross-border forums through capacity building. The estimated budget is 15m Kenyan shillings (Mandera County Government, 2018).

Porous border- the development plan sets out to construct five joint customs borders with Ethiopia and Somalia at Malka Suftu, Eymole, Damasa, Rhamu dimtu, Elwak. These are expected to reduce challenges associated with the porous border while easing people and goods' movement through legally recognized entry points; the estimated budget is 1500m Kenyan shillings (Mandera County Government, 2018).

Disease control- the Mandera development plan seeks to establish a regional human and livestock research center; this is expected to provide an accurate and timely diagnosis of human and livestock disease. This will help improve disease detection and intervention time (Mandera County Government, 2018).

Trade promotion: promoting and facilitating intra, inter-county and cross-border trade has been identified as critical towards cross-border interactions. Modernizing the Elwak SME park for trade and constructing a livestock market in Tukuba town have been prioritized for this specific cause (Mandera County Government, 2018).

Migration office: - the development plan sets out to construct an international office for migration. The office is expected to coordinate migration volumes in the region and streamline illegal cross-border movements (Mandera County Government, 2018).

3.1.4. CLUSTER THREE OPPORTUNITIES

Development partners: there is considerable resource mobilization by a number of development partners. These include IGAD, FCDC, NG, MCG, WORLD BANK, DFID, USAID, DANIDA, EU, KURA, KeNHA, Danish Refugee Council, World Vision, CARE, and WYG (a private company), among others.

Transhumance Protocol: this protocol seeks to legalize the free movement of people within the IGAD territory. It offers an opportunity to improve trade and relations among cross-border communities (IGAD, 2020).

Regional support to defeat Al- Shabab: the AU, through regional governments (Ethiopia, Kenya, and Uganda), is investing resources towards weakening and defeating terrorist groups in the region (African Union, 2021). As an opportunity, this improves security in a region that is already constrained by human-human and human-animal conflict.

3.1.5. CLUSTER THREE DEVELOPMENT PLAN WEAKNESSES

Low capacity to monitor, evaluate, and report ongoing development interventions leads to misallocation and wastage of resources due to decision-making processes that are not driven by data.

Planning: albeit the planning process is reported to be founded on opinions of local leaders; this should be broadened to include more community leaders, youth leaders, and cultural leaders. This will improve ownership of the ongoing development initiatives.

Whereas devolution of planning has been enacted within Somalia and Ethiopian territories, the individual plans are not readily available for transparency.

There is a limited linkage between Kenyan national and local governments' functional responsibilities on some of the critical issues affecting the cluster. For example, whereas the national climate change action plan includes the NDC with a 30% GHG (greenhouse gas emissions) emission target, the county development plan is yet to adopt it.

Management of scarce resources: development plans empower and give local governments more vantage to manage and coordinate the scarce resources in the cluster. This creates tensions at the national level (e.g., see Jubaland conflict between Kenya and Somalia) between communities and local government officials-hindering cooperation in development endeavors. The development plans must be instead nurtured to empower communities to be the main coordinators or drivers of the respective scarce resources' management process in the cluster.

In conclusion, to achieve the respective cross-border initiatives and development objectives, development partners and central governments must capitalize on existing informal norms and community social leaders (councils of elders, religious leaders, and tribal leaders), given their significant influence among the community.

3.3. EXISTING CROSS-BORDER COORDINATION TOOLS

Coordination tools refer to various techniques and methods, rules and procedures, political and other processes employed to achieve cross-border activities and initiatives. While not in the entirety, varying degrees of the following tools have been adopted in the Horn of Africa to facilitate cross-border coordination efforts, these are highlighted before.

Joint Programming Tool: joint programming means the collaborative planning of development cooperation by the development partners working in cross-border areas. It includes a combined analysis of the cross-border situation followed by a reciprocal response setting out how development partners

will support and measure progress. Coordinated analysis and collective response together are called 'joint strategy'. Development partners usually agree on a roadmap customized with local context-setting responsibilities for each development partner (a division of labor). The process is aligned with partner states' national agendas and is facilitated by local and central government leaders of partner states in the cross-border areas. JP has multiple benefits, including lowering transaction costs; making aid more coherent and less fragmented, cut out gaps and overlaps; raising awareness, improving public perception, increasing accountability; reducing pressure on individual development partners, and ensuring higher aid impact and value for money, development partner projects like the SECCCI project epitomizes this tool.

Traditional diplomacy is a tool that is a preserve of state institutions; it involves negotiations between countries' organizations. This has been adopted to solve conflict aspects in the Horn of Africa, for example, talks between Somalia and Kenya to solve the countries' political turmoil.

Peacebuilding Tool: is a long-term process of encouraging people to talk, repairing relationships, and reforming institutions. This has been adopted to solve the conflict between clans and communities in the region. It is included in development works through early warning information, field monitors, conflict indicators, conflict resolution and transformation tools, and dedicated studies into conflict prevention and resolution.

Micro plans: are essential tools for organizing vaccination campaigns, they include social maps to guide vaccinators and social mobilizers to every household, often omitted pastoralist settlements rendering them invisible. For example, this was used in Somalia (200 new settlements) and Ethiopia (1620 new settlements) to identify new pastoralist settlements for vaccination; this reduced the number of non-vaccinated nomadic children from 30% in 2014 to 20% in 2015 (Haydarov, et al., 2016).

Engagement of Clan Leaders: this is another tool used in the Horn of Africa to realize cross-border objectives. This involves mobilizing communities and inhabitants through clan leaders who have a systemic bond with pastoralists. For example, Global Polio Eradication Initiative partners through 2,000 pastoralist clan elders immunized children in Somalia; between 2014 and 2015, better vaccination opportunities for pastoralists' children were nurtured with the support of 868 clan leaders in Somaliland, 303 in Puntland, and 935 in the South Central Zone (Haydarov, et al., 2016). The approach is also used

to solve conflict especially inter-clan conflicts that dominate the region as communities fight for scarce resources.

Cross-Border Collaboration: residents of cross-border communities rarely observe international borders; they move freely across the marks as they search for better services, water, grazing land, and pasture, among other needs. For these flows to happen smoothly, community leaders collaborate, especially at crossing points, to coordinate the migration and flows.

Mapping of Water Points and Livestock Markets: is another tool that has been used in the Horn of Africa to achieve cross-border initiatives. In Somalia, 4192 water points and 56 livestock markets were mapped and utilized by nomads to feed and sell their livestock produce, respectively.

Pastoralist-Focused Communication Products: these are customized education kits and pictorial aids used to promote preventive health behaviors, immunization among other cross-border initiatives. They are printed and distributed to the communities.

Joint Human-Animal Vaccination Campaigns: This tool brings together central government and development partners to vaccinate animals and humans. They use this tool to mobilize communities in the borderlands to vaccinate both humans and animals through campaigns conducted by social mobilizers supported by local community leaders.

Permanent Transit Vaccination Points: due to the frequent movement of people in the region, by 2014, 611 permanent transit vaccination points had been established in the Horn of Africa at crossing points; these are used to immunize children who are on the move (UNICEF, 2014).

Early Warning System Tool: - The tool is used to produce early warning signals and develop a regional response architecture towards regional challenges such as conflict, drought, famine, and climate change. The tool is customized with the region's realities with support from all stakeholders, including local communities, civil society, and central governments in the area.

4. NEEDS ASSESSMENT

This section highlights the human capital needs, infrastructure needs, institutional needs that stakeholders identified as critical to realizing the cross-border development agenda.

These were identified from primary data collected from online questionnaires filled by stakeholders from the three clusters. This was supplemented with data from key informant interviews with stakeholders in the three clusters. Key informant interviews are qualitative in-depth interviews with stakeholders having vast knowledge about the communities under review. Stakeholders included central government staff, local community leaders, and civil society stakeholders. These provided insight on the nature of problems in the three clusters and needs vital to mitigating the respective challenges. For consolidation, common themes (human capital, infrastructure, institutional, and monitoring and evaluation) were identified from the collected data, and responses were categorized within the respective themes. While the most common themes that emerged through the interviews were the basis against which the needs were identified among the three clusters, less frequent themes were adopted since the respondents were key informants. Signals of demographic differences were equally identified and are highlighted in the needs. As a limitation to the approach, there was limited representation from the private sector and local communities' leadership as the respondents were from formal organizations in public and civil society.

4.1. HUMAN CAPITAL NEEDS

The challenges in the three clusters urgently need readily available human capital in the domestic labor market if the ongoing cross-border development initiatives are to be effectively implemented. The human capital stock should include skilled artisanal, technicians, sector-specific, cross-cutting, and managerial or leadership skills. Identification of human capital gaps is a process that requires periodic assessment and surveys of stakeholders' needs in both the supply and demand segments of the labor market. However, this section's findings are limited to opinions or somewhat anecdotal evidence of major stakeholders in the three clusters, thus signaling the need for a representative human capital audit or gap analysis in the respective clusters. The following are the major human capital interventions that should be implemented in the interim.

- (i) Regional or cluster periodical skills audits/surveys: these should be conducted periodically (from once a year to at most once in three years) to help ascertain the cluster's skills needs. They should be linked to economic sectors vital to the development of the region. These skills demand surveys that should be supplemented with skills supply censuses.
- (ii) Harmonize training at village levels within clusters: training is conducted in the villages and communities within the clusters. Harmonizing and standardizing similar subject matters has been identified as lacking. For quality purposes, this training should be standardized to mitigate the above gap.
- (iii) Awareness campaigns about existing policies, protocols, and structures: the national and local governments have formulated several policies, protocols, and structures (such as peacekeeping structures), yet community members are not aware of their existence and content. Awareness campaigns using local radios, community meetings should be organized to address this challenge.
- (iv) Best Practice sharing among members from the three clusters: study tours should be organized for community leaders to learn from neighboring communities' experiences with similar experiences.
- (v) Recruitments to fill in the gaps in managers, professionals, technical and artisanal positions: whereas organizations have human capital structures, it was reported that some of them are performing at below capacity across the varying occupations. Support towards filling in these quantitative gaps is vital to support organizations' performance in implementing the cross-border agenda.
- (vi) The actual numbers are to be identified from the human resources structure.
- (vii) Seed Capital Fund: a seed capital fund should be established and used to empower youth and women graduates from entrepreneurship training.

4.1.1. HUMAN CAPITAL TRAINING NEEDS IN CLUSTER 1

Capacity building-Trainings: the following areas were identified by stakeholders as critical to providing professional training in the cluster

Governance and Peace Building Skills

- (i) Governance skills for community leaders; the training content should include political, cultural, and socio-economic trends in the respective border communities.
- (ii) Planning skills: this should be offered to all central government stakeholders, local government, and civil society organizations partaking in the implementation process.
- (iii) Grievance management skills: this should be linked to gender violence in the cluster.
- (iv) Alternative dispute resolution training; should be customized with the cultural context in the cluster.
- (v) Trauma healing skills: this should be offered in areas with high refugee populations, high gender violence, and war victims.
- (vi) Modern concepts of peacebuilding and positive peace skills: this should be provided to all leaders, at village, community, and from marginalized groups.
- (vii) Conflict resolution skills: this should include reporting and documenting early warning signals and should be offered to all leaders in the cluster from village to local government officials.
- (viii) Environmental conservation and management skills
- (ix) Negotiation skills: these should be offered to all community leaders.
- (x) Communication skills: these should be offered to all community leaders.
- (xi) Hard conflict management skills: these should be offered to all community leaders and members.
- (xii) Advocacy skills: these should be provided to all community leaders, including central government employees
- (xiii) Training targeting questionable cultural beliefs and practices: these should be provided mainly to women who have been major victims of the status quo.
- (xiv) Enhance the capacity of law enforcement agencies to tackle crimes (Including apprehending cattle rustlers)

Data Management Skills

- (i) Monitoring Skills
- (ii) Evaluation skills
- (iii) Data management skills
- (iv) Analysis skills
- (v) Proposal and concept drafting skills
- (vi) Reporting (dissemination) skills

Livelihoods Improvement Skills

- (i) Livelihood improvement skills related to reducing poverty
- (ii) Entrepreneurship skills to all youth and women in the cluster
- (iii) Value chain creation related skills
- (iv) Awareness campaigns about alternative livelihoods: the purpose of this is to educate youth about alternative lifestyles; this should help diversify livelihoods from traditional economic ventures.
- (v) TVET related skills: whereas a list of areas has been identified, these should be updated with the skills survey results. The list is as follows:
 - fisheries-related skills;
 - marketing skills;
 - mining (modern mining) related skills to improve the artisanal mining; and
 - management skills: this should be offered to cooperative stakeholders.

Administration and Management Skills

1. Project management Skills
2. Financial Management skills
3. Procurement skills
4. Logistics skills
5. Accounting skills

One to three weeks workshops should be organized in which experts shall provide the above training to the individual staff. These should be replaced or complemented with online training offered through

platforms such as COURSERA, EDX among others. The capacity building should be periodical for all employees.

4.1.2. HUMAN CAPITAL TRAINING NEEDS IN CLUSTER 2

Capacity building-Trainings: the following areas were identified by stakeholders as critical to providing professional training in the cluster

Governance and Peacekeeping skills

- (i) Dispute resolutions skills for all leaders in the cluster, including marginalized groups
- (ii) Disaster risk management skills for all leaders in the cluster, including marginalized groups
- (iii) Peacekeeping skills for all leaders in the cluster, including marginalized groups
- (iv) Disarmament skills for local government leaders, community leaders, police units, and law enforcing organizations
- (v) Planning skills: this should be offered to all stakeholders in central government, local government, and civil society organizations participating in the implementation process.
- (vi) Arbitration skills: these should be provided to all community leaders because they all participate in some form of mediation within the respective communities
- (vii) Water Management Skills for community leaders
- (viii) Land and pasture management skills for community leaders
- (ix) Training to improve traditional peacekeeping approaches

Data Management Skills

- (i) Monitoring skills
- (ii) Evaluation skills
- (iii) Data collection skills
- (iv) Data management skills
- (v) Data Analysis skills
- (vi) Reporting skills

Livelihoods Improvement Skills

- (i) **Planning skills: this should be offered to all stakeholders in central government, local government, and civil society organizations involved in the implementation process.**
- (ii) TVET courses: these should be informed by a skills audit covering both demand and supply of skills in the respective clusters. The following TVET skills were highlighted as very critical by the stakeholders:
 - a. tailoring;
 - b. electricity-related courses; and
 - c. farming-related courses.
- (iii) Entrepreneurship skills: these should offer to all special interest groups, namely women groups, youth, disabled people, and refugees. The program should be integrated into all TVET courses
- (iv) Programs to support the development of youth talent should be initiated
- (v) Mindset change: this should focus on alternative livelihoods

One to three weeks workshops should be organized in which experts shall provide the above training to the individual staff. These should be replaced or complemented with online training offered through COURSERA, EDX among other platforms. The capacity building should be periodical for all employees.

4.1.3. HUMAN CAPITAL TRAINING NEEDS IN CLUSTER 3

Capacity building-Trainings: the following areas were identified by stakeholders as critical to providing professional training in the cluster

Governance and Peace Building Skills

- (i) Planning skills: this should be offered to all stakeholders in central government, local government, and civil society organizations playing a role in the implementation process.
- (ii) Land usage and management skills
- (iii) Conflict resolution skills
- (iv) Peacebuilding skills
- (v) Leadership skills at the village level
- (vi) Psychosocial skills

- (vii) Awareness campaigns about legal institutions that can support violence victims, such as rape victims
- (viii) Awareness campaigns about existing policies, protocols, and laws supporting regional integration

Data Management Skills

- (i) Data collection skills
- (ii) Monitoring skills
- (iii) Evaluation skills
- (iv) Data Management skills
- (v) Data Analysis skill
- (vi) Proposal and concept drafting skills
- (vii) Reporting (dissemination) skills

Livelihoods Improvement Skills

- (i) **Livelihood improving skills related to poverty reduction**
- (ii) TVET Skills in:
 - electricity-related areas,
 - solar maintenance,
 - farming skills,
 - carpentry skills, and
 - marketing skills
- (iii) Entrepreneurship skills
- (iv) Training for cooperatives: these should be determined through a skills survey
- (v) Soft skills

Administration and Management Skills

- (i) Auditing skills
- (ii) Business management skills

One to three weeks workshops should be organized in which experts shall provide the above training to the individual staff. These should be replaced or complemented with online training offered through

platforms such as COURSERA, EDX among others. The capacity building should be periodical for all employees.

4.2. INFRASTRUCTURE NEEDS

Infrastructure in the three clusters is underdeveloped; roads, energy, education, health, and agricultural infrastructure are all wanting and yet are vital to cross-border interactions. Resource mobilization is crucial to address this gap as it fits in sustainable cross-border development. The following section highlights the revealed infrastructure gaps identified by stakeholders in the respective clusters.

4.2.1. INFRASTRUCTURE NEEDS IN CLUSTER 1

The following infrastructure has been identified as needed in cluster one

- (i) one-stop border post between Kenya and Ethiopia;
- (ii) border markets;
- (iii) trauma healing centers constructed at village levels within the border communities;
- (iv) roads linking the respective border communities;
- (v) TVET Facilities;
- (vi) fishing infrastructure, especially storage facilities within the border markets; and
- (vii) information management system for collecting and disseminating data to all stakeholders in the cluster.

4.2.2. INFRASTRUCTURE NEEDS IN CLUSTER 2

The following infrastructure has been identified as needed in cluster two:

- (i) TVET facilities;
- (ii) water dams;
- (iii) water pans;
- (iv) boreholes;
- (v) mobile water tanks;
- (vi) roads (community and national roads);
- (vii) modern health facilities;
- (viii) telecommunication masks;

- (ix) establishment of a one border post supporting immigration and customs activities along the border; and
- (x) establishment of recourse center for information validation and storage.

4.2.3. INFRASTRUCTURE NEEDS IN CLUSTER 3

The following infrastructure has been identified as needed in cluster three:

- (i) irrigation improving infrastructure including motor pumps;
- (ii) tractors;
- (iii) earth dams;
- (iv) canals;
- (v) border markets to support regional trade-the border markets should have storage facilities for fish and other perishable produce;
- (vi) child care infrastructure;
- (vii) farming equipment such as tractors;
- (viii) schools including primary and secondary schools for the cluster residents; and

4.3. INSTITUTIONAL NEEDS

The following section highlights the institutional needs revealed preferred by stakeholders in the respective three clusters that are important to realizing the cross-border development agenda. These include policies, laws, protocols, memorandum of understandings, and structures. Whereas some of these are already in existence and thus require the only domestication, others require formulation and legalizing.

4.3.1. INSTITUTIONAL NEEDS IN CLUSTER 1-POLICIES

Domesticated policies

While the following policies are already in place, they require customizing to the local context of the cluster and implementation:

- (i) adopting and implementing the Turkana county community policing policy;
- (ii) domesticating the policy on Early Warning and Early Response (EWER);

- (iii) implementing the IGAD transhumance protocol to allow free movement of livestock and pastoralists;
- (iv) enacting the Turkana peace policy;
- (v) adopting and domesticating the African Continental Free Trade Area Policy; and
- (vi) implementing the special status agreement between Kenya and Ethiopia.

Formulated Policies

The following policies have been highlighted as needed by the stakeholders in cluster 1. Their formulation has been identified as critical to enhancing cross-border cooperation and interactions among cross-border communities:

- (i) regional disarmament policy for pastoral communities: the purpose of this is to control the usage of small arms and light weapons in the cluster;
- (ii) policy on cross-border trade for Kenya and Ethiopia: this policy should offer guidance on how formal and informal trade are conducted across the border geographical area;
- (iii) regional peacebuilding policy;
- (iv) cross-border community policing policy: this should guide law enforcement organizations from the respective countries managing and controlling human and animal traffic along the border;
- (v) human resource policy;
- (vi) finance and administration policy; and
- (vii) procurement policy: this should, in addition to offering guidance to procurement in the region, also allocate a proportion of the contracts to local communities and youth in particular.

4.3.2. INSTITUTIONAL NEEDS IN CLUSTER 1-LAWS

Laws to be domesticated

The following laws should be domesticated for cluster one:

- (i) cross-border peace and security law;
- (ii) regional law enhancing maintenance and respect for international boundaries;
- (iii) MoU on cross-border animal health between Uganda and Kenya of May 2013;

- (iv) MoU strengthening Cross-border cooperation between Kenya and Uganda of September 2020;
and
- (v) resolve outstanding and documented issues/conflicts based on the agreements made through traditional and formal justice systems (including compensation for lives and property lost).

Formulated laws to be formulated

The following laws should be formulated for cluster one:

- (i) regional law on management of rangeland and natural resources;
- (ii) law supporting the disarmament policy;
- (iii) cross-border law supporting regional trade and movement of people;
- (iv) regional anti-fraud legal laws;
- (v) EWER Law for surveillance;
- (vi) law of community safety /nyumba kumi;
- (vii) a law enacting pastoralists identity document;
- (viii) cross-border livestock recovery and compensation law;
- (ix) intercommunity/cross-border climate change support law;
- (x) a regional law identifying and establishing immigration entry/exit points;
- (xi) regional laws stipulating governance of cross-border crimes;
- (xii) regional resources sharing agreement: this should offer guidance on how scarce resources - water and pasture - can best be utilized by all communities while considering the environmental constraints; and
- (xiii) regional law institutionalizing leadership structures in the cross-border corridors.

4.3.3. INSTITUTIONAL NEEDS IN CLUSTER 1-STRUCTURE NEEDS

Domesticated Structures Needs

Although the following structures are existing, strengthening them is vital for cross-border planning:

- (i) Conflict Prevention Management and Resolution (CPMR) structures;
- (ii) traditional peacebuilding mechanisms/institutions;
- (iii) customary dispute resolution structures (such as the council of elders' model);

- (iv) community-based institutions/structures;
- (v) joint fishing committees;
- (vi) active peace committees involving Kraal elders at the village level;
- (vii) improving information sharing structures such as the information-sharing center or hub for Early warning and Early response information desk/center; and
- (viii) partners/government and policymakers structure.

Formulated Structures Needs

The following structures should be established in cluster one:

- (i) bilateral sub-national planning committee;
- (ii) climate change support center: this will assist in resource-based conflicts induced by impacts of climate change and related trends;
- (iii) regional women forum structure;
- (iv) regional chief forum structure;
- (v) regional youth councils' structure;
- (vi) regional leaders' structure;
- (vii) regional civil society network;
- (viii) regional peace directorate and county government structures;
- (ix) regional chiefs/local councils IIIs;
- (x) regional women forum;
- (xi) regional cross-border traders' forum;
- (xii) regional cross-border peace committees;
- (xiii) regional multi-stakeholder cross-border forum to guide the making of critical decisions and responses;
- (xiv) regional conflict prevention management and resolution structures;
- (xv) engage with seers/diviners to use them as peace ambassadors;
- (xvi) intergovernmental linkage at the border/unit: formation of joint security stakeholders at the border; and
- (xvii) peace actors' consortium in the respective cross-border corridor.

4.3.4. INSTITUTIONAL NEEDS IN CLUSTER 2-POLICIES

Domesticated Policies

Although the following structures are existing, strengthening them is vital for cross-border planning:

- (i) adopting and domesticating the African Continental Free Trade Area Policy; and
- (ii) implementing the IGAD transhumance protocol to allow free movement of livestock and pastoralists.

Formulated Policies

- (i) Regional disarmament policy: UNDP could work with IGAD and regional governments to fast-track this as it is critical to regional peace in the cluster.

4.3.5. INSTITUTIONAL NEEDS IN CLUSTER 2-LAWS

Domesticated Laws

Although the following structures are existing, strengthening them is vital for cross-border planning:

- (i) disaster risk management bill: although already enacted, implementation is lacking; and
- (ii) committee declarations such as water declaration: although already enacted, they have not been implemented.

Formulated Laws

The following laws should be formulated and passed to support the existing legal framework in cluster two:

- (i) a bill from the current peace management policy; and
- (ii) peaceful coexistence memorandum of understanding among cluster two communities.

4.3.6. INSTITUTIONAL NEEDS IN CLUSTER 2-STRUCTURE NEEDS

Formulated Structure Needs

The following structures should be established to support the existing institutional framework:

- (i) joint coordination structure; and
- (ii) mutual monitoring and evaluation committee for the ongoing development initiatives.

4.3.7. INSTITUTIONAL NEEDS IN CLUSTER 3-POLICIES

Domesticated Policies

Although the following structures are existing, strengthening them is vital for cross-border planning:

- (i) adopting and domesticating African Continental Free Trade Area Policy; and
- (ii) implementing the IGAD transhumance protocol to allow free movement of livestock and pastoralists.

Formulated Policies

The following policies should be formulated to enhance the existing policy framework in cluster three:

- (i) regional disaster response policy: the policy is expected to offer proper guidelines to disaster and emergency responses;
- (ii) regional disaster recovery and business continuity policy: this policy is expected to enhance interventions guiding ICT Activities in the county. This should address some of the gaps associated with monitoring, evaluation of ongoing development interventions;
- (iii) regional climate change and adaptation policy: this policy is expected to improve the county's adaptation to the consequences of climate change; and
- (iv) regional water policy: this policy is expected to strengthen and guide water resources management and utilization.

4.3.8. INSTITUTIONAL NEEDS IN CLUSTER 3-LAWS AND MOUS

The following laws and MoUs should be formulated to supplement the existing legal framework:

- (i) gender mainstreaming laws empowering women to partake in asset ownership and decision making;
- (ii) conflict management memorandum among the border communities in the cluster;
- (iii) memorandum of understanding about conflict resolution should be formulated and enacted with support from all cluster stakeholders; and
- (iv) memorandum of understanding to manage cross-border interactions should include land usage and management, trade interactions, and conflict resolutions.

4.4. MONITORING AND EVALUATION NEEDS

Monitoring and evaluation are vital to measuring the progress of ongoing development initiatives. In all three clusters, the following platforms should be established among the respective organizations implementing the cross-border agenda:

- (i) monitoring units with specific staff;
- (ii) specific project information management system; and
- (iii) monitoring and evaluation information management system.

In conclusion, the needs for three clusters include human capital needs, infrastructure needs, institutional and monitoring and evaluation. While these have been identified through key informant interviews, comprehensive processes informed by a representative sample of community members should be adopted; these should be periodical and aligned with cross-border dynamics.

5. GUIDELINES FOR PARTICIPATORY PLANNING PROCESSES FOR JOINT BORDER PLANNING

Planning in a complex environment like that in the border areas of Kenya, Somalia, and Ethiopia is primarily hampered by imperfect information and high transaction costs. These obstacles nurture an environment that vitiates growth models and optimal cross-border policy that inform decision making, resource allocation, and utilization. The uncertainty, though systemic, can be assuaged with the following participatory planning guidelines.

5.1. CROSS-BORDER PLANNING SHOULD BE NURTURED AROUND BOTTOM-UP PLANNING PROCESSES

Bottom-up planning: is a planning approach that allows local communities and local players to express their views and define the development course for their geographical area in line with their opinions, expectations, and plans. The approach provides border communities and stakeholders a fair chance or opportunity to identify their priority needs, formulate implementation and monitoring strategies from the inception phase throughout the given interventions' lifespans. The levels of participation include information, consultation, joint development, and collective decision-making. The proposed levels are not sequential; these should be adopted to the planning phase. The planning approach transfers planning processes away from capital cities to communities within the border areas.

Table 1: Levels and tools for bottom up planning

Levels	Tools	When	Who
Information	Community meetings Media campaigns	Initial phase program and implementation phase Project identification phase	Cultural leaders including those of marginalized clans Youth leaders Women leaders Refugees groups leaders Civil society organizations (local including the religious organizations) Local government decision makers Central government decision makers
Consultation	Cross-border community (village) audits Methods of participatory analysis	Initial phase Implementation phase Evaluation phase	Active Cultural leaders Active interest groups leaders Local government decision makers Central government decision makers Political leaders
Joint Development	Specialist working groups of partnership, training and local players, community consensus	Project launching phase Implementation phase Evaluation Phase	Stakeholders of Sectors of interest Program/project leaders Development partners Central government Local government
Collective decision making	Participatory selection of projects of the partnership	Strategy profiling phase Action formulation and prioritization phase Implementation phase Program review phase	Community leaders Stakeholders of Sectors of interest Program/project leaders Development partners Central government Local government

Checklist for bottom-up planning

- (i) Have we collected information from all stakeholders?
- (ii) Have we consulted all the active stakeholders from the different sectors in public, private, and civil society?
- (iii) Does the program require multiple stakeholders for development, i.e., joint development?
- (iv) Have all the relevant stakeholders participated in decision-making?
- (v) Is there community consensus during selection, ranking, and implementation of priority interventions?

- (vi) Is the identification process of stakeholders comprehensive enough to capture all stakeholders' voices, including marginalized groups such as women, youth, and community leaders, among others?

NB: A negative response to any of the above questions should signal planners' need to adopt measures addressing the respective gaps.

5.2. CROSS-BORDER PLANNING SHOULD BE HUMAN RIGHTS SENSITIVE

The Horn of Africa's challenges relegate a significant proportion of inhabitants to vulnerable status and place them in a more disadvantaged position compared to compatriots in more stable environments. When formulating and implementing development plans, being mindful of this vulnerability is critical to avoid human rights violations that have been reported in similar conflict volatile environments. Development planning processes should be formulated and implemented under a human rights-based approach. The Office of the United Nations High Commissioner for Human Rights (2006) profiles the approach as a conceptual framework for human development that is normatively based on international human rights standards and operationally directed to promoting and protecting human rights. The purpose of this is to analyze and address inequalities that affect marginalized and disadvantaged groups while addressing discriminatory practices and unjust distribution of resources.

Checklist for human rights sensitiveness

- (i) Are planners mindful of the principles and standards profiled by the international law of human rights?
- (ii) Has everyone been given a chance to participate in the planning process?
- (iii) Has the capacity of cross-border inhabitants been enhanced to engage in the planning process?
- (iv) Do plans include social consensus on accountability for results in cross-border projects?
- (v) Do disadvantaged persons have a representative in planning, formulation, and implementation?
- (vi) Does the planning process respond to prevalent inequalities in communities?

NB: A negative response to any of the above questions should signal planners' need to adopt measures addressing the respective gaps.

5.3. CROSS-BORDER PLANNING SHOULD BE SENSITIVE TO DIVERSITY

Diversity means variety and difference; while inhabitants could share similar languages and cultural norms, among other features, planning in cross-border areas is likely to increase the degree of type among beneficiaries of development plans. Human diversity includes family, clan, culture, country of origin, gender, age group, religious, political, and education differences. Planners in the cross-border areas should integrate and consider human diversity when formulating, implementing, and evaluating development plans.

Checklist for diversity

- (i) Are planners aware of the human diversity features in the cross-border areas?
- (ii) Does the planning process integrate the needs of different groups along with the cross-border areas?
- (iii) Are resource distribution processes and allocation mechanisms reconciled with diversity in the cross-border regions?
- (iv) Are the interests of leaders of the diverse groups considered?
- (v) Is prioritization of interventions based on the needs of the diverse society along the cross-border area?
- (vi) Is there convergence between the competing interests of the diverse groups?

NB: A negative response to any of the above questions should signal planners' need to adopt measures addressing the respective gaps.

5.4. CROSS-BORDER PLANNING SHOULD BE GENDER-SENSITIVE

Gender sensitivity is associated with sex and gender. "Sex" refers to biological and physiological characteristics that define men and women. In contrast, "Gender" refers to socially constructed roles, behaviors, activities, and attributes that a given society considers appropriate for men and women.

"Gender sensitivity" is the act of being sensitive to the ways people think about gender. Gender sensitivity tries to ensure that people rely less on assumptions about traditional and outdated views on men and women's roles. Cross-border participatory planning should mainstream gender to address the inequality institutionalized by cultural beliefs, norms, and practices.

Checklist for gender sensitivity

- (i) Is the language used in the planning, formulation, and implementation process of development plans gender neutral?
- (ii) Are the planning process and formulated development plans free from inequality inspired by gender roles⁷?
- (iii) Are the planning process and prepared development plans responding to inequality motivated by cultural beliefs?
- (iv) Is the planning process mainstreaming the disadvantaged gender?
- (v) Is the planning process free from stereotypes⁸?

NB: A negative response to any of the above questions should signal planners' need to adopt measures addressing the respective gaps.

5.5. CROSS-BORDER PLANNING SHOULD BE INCLUSIVE

Inclusion as a principle is a belief requiring "everyone in society" to have a fundamental right to fully participate in the planning process. Participation should be adopted from the inception phases of the multiple development projects throughout particular projects' lifespan. The planning process should consider all major interests of both marginalized and dominant sects of the community. The sects should include youth, women and girls, the elderly, cross-border traders, minority clans, refugees, and people with disabilities. The choices of these groups should be reconciled with central government and local government priorities. These should be supplemented with the interests of the private sector and non-government organizations.

Checklist

- (i) Does the planning process listen to everyone or their representatives in the community?
- (ii) Is the planning process capturing the voices of marginalized and vulnerable groups?
- (iii) Are development priorities capturing the interests of marginalized groups?

⁷ A gender role is a set of social and behavioral norms that are generally considered appropriate for either a man or woman in a social or interpersonal relationship. Gender roles determine how males and females should think, speak, dress, and interact within the context of society

⁸ Stereotypes are generalizations or assumptions that people make about the characteristics of all members of a group based on an image.

- (iv) Is the implementation process covering all groups in society?
- (v) Is the evaluation process covering all groups in society?
- (vi) Is the planning process flexible enough to adopt marginalized groups' interests even at later phases of planning?

NB: A negative response to any of the above questions should signal a need for planners to adopt measures addressing the respective gaps.

5.6. CROSS-BORDER PLANNING SHOULD ALLOCATE A MAJOR PROPORTION OF AVAILABLE RESOURCES TO RAPID RESPONSE

The high prevalence of conflict in the cross-border areas within the region necessitates immediate availability of resources. Traditional financial and accounting practices are built on bureaucratic processes suitable for non-conflict environments that do not necessarily require early responses.

Early warning is defined as "a process that: (a) alerts decision-makers to the potential outbreak, escalation, and resurgence of violent conflict; and (b) promotes an understanding among decision-makers of the nature and impacts of violent conflict." It involves the regular collection and analysis of data on conflicts by systematically monitoring and reporting conflict indicators (OECD, 2009).

Early response refers to "any initiative that occurs as soon as the threat of potential violent conflict is identified and that aims to manage, resolve, or prevent that violent conflict" by using preventive instruments and mechanisms (OECD, 2009).

The nature of challenges in the three clusters requires allocating a significant proportion of the budget to rapid response. This will help reduce the bureaucracies associated with resource mobilization during the frequent disasters prevailing in the region. This requires establishing data collection and dissemination infrastructure in the three clusters to enhance linkages between early responses and early warning processes.

Checklist for rapid response resource allocation

- (i) Is there frequent interaction between field teams and responders?
- (ii) Do development plans have strategies ensuring timely and quick responses to warnings from field teams?
- (iii) Do monitoring tools in the development plans inform decision-making processes?

- (iv) Are there tracking and dissemination mechanisms for conflict signals in development plans?
- (v) Are development plans flexible enough to adjust to new trends spilling off new dynamics?
- (vi) Are early warning tools embedded in local community dynamics?
- (vii) Do development plans prioritize the technology needed to detect and report early warning signals?
- (viii) Is there a budget for emergency events?
- (ix) Are there accountability measures for emergency budgets?

NB: A negative response to any of the above questions should signal a need for planners to adopt measures addressing the respective gaps.

5.7. PLANNING PROCESS AND DEVELOPMENTS PLANS SHOULD BE CONFLICT-SENSITIVE

Conflict sensitivity means the ability to:

- (i) understand the context in which you operate;
- (ii) understand the interaction between your intervention and the context (how the context affects the intervention and how the intervention affects the context; and
- (iii) act upon the understanding of this interaction in order to avoid negative impacts and maximize positive impacts (Saferworld, 2004).

Conflict sensitivity includes responsiveness to traditional forms of conflict, violence, and insecurities spilling off socio-economic disparities, gender inequalities, among other forms of inequalities (Ahmed 2011).

Checklist for conflict sensitiveness

- (i) Is the planning process mainstreaming conflict sensitiveness?
- (ii) Are the design and implementation of interventions linked with context analysis?
- (iii) Is conflict sensitivity applied consistently at the different levels (project, program, sector, policy, and inter-agency) of cross-border interventions?
- (iv) Is conflict sensitivity applied holistically throughout the program cycle (design and planning, implementation, monitoring, and evaluation)?

NB: any negative response to any of the above should be rectified with a consultation with all stakeholders; any gaps should be evolving while considering the dynamic nature of conflict in the respective cross-border areas.

5.8. CROSS-BORDER PLANNING SHOULD FOSTER INCLUSIVE INSTITUTIONS

Inclusiveness features secure private property rights; an unbiased system of law; provision of public services that ensure a level playing field in which people can exchange and contract; and an inclusive decision-making process. Achieving this requires cross-border planning to integrate non-discriminative informal laws⁹ with non-extractive¹⁰ formal¹¹ institutions and diverse social knowledge that embraces complex informal norms within the cross-border communities.

Checklist for inclusive institutions

- (i) Are existing formal institutions non-extractive?
- (ii) Are formal institutions linked with informal institutions?
- (iii) Are institutions (existing and new) giving an even platform to society members to exchange and contract?
- (iv) Are institutions (existing and new) protecting private property rights for all people in society?
- (v) Are institutions formulating processes embedded with aggregate society welfare interests?
- (vi) Are institutions protecting marginalized groups from exploitative formal and informal norms?
- (vii) Are institutions formulating processes giving an equal voice to all people in the cross-border areas?
- (viii) Are there cultural impact assessments of the existing institutions, and are the results in line with the spirit of inclusiveness?

⁹ Informal institutions are socially shared rules, usually unwritten, created, communicated, and enforced outside of officially sanctioned channels. Informal institutions are equally known but not laid down in writing, and they tend to be more persistent than formal rules (North, 1997).

¹⁰ Extractive institutions are institutions that remove the majority of the population from participation in political or economic decision-making processes and prioritize choices of the elite and dominant groups within a society

¹¹ Formal institutions include the written constitution, laws, policies, rights, and regulations enforced by official authorities

5.9. CROSS-BORDER PLANNING SHOULD STANDARDIZE MONITORING AND EVALUATION PRACTICES

Efficient and effective resource allocation of limited resources requires readily available data and information for decision making. Participatory cross-border planning processes should include monitoring and evaluation practices from the inception phases of planning levels to completion phases. **Monitoring:** is the regular collection of information (an ongoing activity) about all ongoing activities in a given level of planning. It tracks inputs and outputs, including activities, reporting and documentation; finances and budgets; and supplies and equipment. It shows whether the plan implementation is on track while identifying challenges interfering with ongoing performance.

Evaluation: seeks to determine whether a given intervention is achieving what was perceived at the inception level and making a difference. It should be done: before implementation through a baseline evaluation, in the middle of the project through a mid-term evaluation, and at the end of the project through a comprehensive evaluation comparing the set-out targets and achievements.

With multiple stakeholders participating in the process, these practices: monitoring and evaluation indicators, data collection processes, data usage, and dissemination processes should be standardized.

NB: While monitoring is done by in-house staff, evaluation should be implemented by an external team.

Checklist for monitoring and evaluation

- (i) Are there clearly defined SMART (specific, measurable, achievable, relevant, and time-bound) indicators?
- (ii) Are all partners collecting information at the same time?
- (iii) Are all partners using the same methods to collect data?
- (iv) Are all partners saving the collected data using approved methods?
- (v) Is the collected data informing decision-making processes?
- (vi) Are plans flexible enough to adopt new information vital to improving ongoing implementation processes?
- (vii) Is there staff primarily tasked with monitoring processes?

- (viii) Is there a budget for both monitoring and evaluation activities?

5.10. CROSS-BORDER PLANS SHOULD HAVE AN INBUILT COMMUNICATION STRATEGY

The communication strategy should be agreed upon with all cross-border stakeholders, including community leaders, local leaders, development partners, and central government. To reduce information asymmetry, activities to mark results, trends, and magnitudes of events should be included in the strategy. The strategy should involve five elements, namely:

- (i) Why communicate? (What is the primary purpose of your communication activities?)
- (ii) Who communicates?
- (iii) What is the target audience?
- (iv) What to communicate?
- (v) How to communicate (what tools and channels shall be used to communicate)?

Checklist for communication strategy

- (i) Does the plan have a communication strategy?
- (ii) Does the plan have a budget for communication?
- (iii) Is there staff tasked with communication tasks?
- (iv) Are tools and channels for communication defined?
- (v) Is the target audience clearly defined?

NB: A negative response to any of the above questions in the checklist should signal a need for planners to adopt measures addressing the respective gaps.

5.11. CROSS-BORDER PLANNING SHOULD SEEK TO MINIMIZE TRANSACTION COSTS

Cross-border planning processes should adopt approaches and mechanisms that minimize transaction costs as these deter cross-border flows. Transaction costs entail:

- (i) information costs incurred when acquiring information for cross-border planning and decision making;

- (ii) bargaining costs incurred when lobbying and negotiating with stakeholders and communities at large to reach any form of contract (social, economic, or political) vital to implement any form of cross-border intervention; and
- (iii) policing and environment costs incurred from ensuring that all parties to particular contracts meet their standard terms.

In a diverse developing environment characterized by high uncertainty, information gaps, diversity, and in some cases missing markets, the costs are destined to be high. The mechanisms towards reducing these costs include:

- (i) utilizing existing local government and community planning structures;
- (ii) investing in information infrastructure;
- (iii) capacity building;
- (iv) utilizing economies of scale from working with other development partners; and
- (v) adopting holistic planning processes.

Checklist for transaction costs

- (i) Are planners aware of the nature and magnitude of transaction costs in the community?
- (ii) Are there resources allocated to reducing transaction costs?
- (iii) Are the planning processes supporting the creation of markets in the cross-border areas?
- (iv) Is the planning process holistic?
- (v) Are there resources allocated to information generation and utilization processes

NB: A negative response to any of the above questions should signal planners' need to adopt measures addressing the respective gaps.

5.12. CROSS-BORDER PLANNING SHOULD PRIORITIZE JOINT COORDINATION AMONG CROSS-BORDER STAKEHOLDERS

Cross-border coordination is a set of cross-border arrangements over an integrated planning process's internal borders pursuing similar objectives for the same target group or beneficiaries. It includes joint management and allocation of scarce resources and integrating cross-border externalities in planning processes. The process should consist of: establishing cross-border coordination committees, defining meeting timelines, allocating tasks among stakeholders, mobilizing and sharing resources procedures, and monitoring practices. While each community can formulate its tools depending on the nature of the challenges, the following are some of the tools for joint coordination that could be considered, see section 3.4 and chapter 6 for joint coordination tools.

Checklist for cross-border coordination

- (i) Are cross-border coordination committees established?
- (ii) Is the membership of the cross-border committees' representative?
- (iii) Are tasks for respective committee members defined?
- (iv) Is there a resource mobilization and sharing framework?
- (v) Are meeting timelines for committees defined in the plans?
- (vi) Are there mechanisms to address negative externalities?
- (vii) Are there mechanisms to utilize positive externalities?

NB: A negative response to any of the above questions should signal planners' need to adopt measures addressing the respective gaps.

5.13. CAPACITY BUILDING SHOULD BE INTEGRATED IN CROSS-BORDER PLANNING PROCESS

Capacity-building is defined as the "process of developing and strengthening the skills, instincts, abilities, processes, and resources that organizations and communities need to survive, adapt, and thrive in a fast-changing world. The dynamic of a cross-border environment necessitates capacity building to be part of the planning processes. This should be offered to staff implementing cross-border projects

and cross-border community members. While for staff, it should seek to enhance technical and soft skills, it should also create awareness about trends and features of ongoing cross-border interventions.

Checklist for cross-border capacity building

- (i) Does the planning process allocate resources to capacity building?
- (ii) Are capacity-building beneficiaries identified in the cross-border planning processes?
- (iii) Are training customized to the context of the respective communities?

Existing Cross-border tools

Joint committees

NB: A negative response to any of the above questions should signal planners' need to adopt measures addressing the respective gaps.

5.14. CROSS-BORDER PLANNING PROCESSES SHOULD HAVE INBUILT ACCOUNTABILITY INSTRUMENTS

For cross-border interventions to continue receiving resources from national stakeholders and development partners, they should adopt accountability practices defining and monitoring resource allocation and utilization. Accountability practices should include finance practices, human resource practices, and monitoring and evaluation practices agreed upon by all stakeholders on either side of the respective clusters' borders.

Checklist for accountability

- (i) Are all interventions integrated into plans?
- (ii) Do all organizations have agreed-upon budgets?
- (iii) Do all organizations implementing cross-border interventions follow relatively similar accounting and financial practices?
- (iv) Do all organizations have somewhat similar human resource practices?
- (v) Do all organizations have relatively similar monitoring and evaluation practices?
- (vi) Are there accountability measures for emergency budgets?

NB: A negative response to any of the above questions should signal planners' need to adopt measures addressing the respective gaps.

6.0. CONCLUSIONS: RECOMMENDATIONS FOR CROSS-BORDER PLANNING

In conclusion, participatory cross-border planning within the three clusters should be fostered around a territorial border perspective. This should utilize economies of scale from existing opportunities of the three clusters that include:

- (i) common borders shared by the respective countries;
- (ii) common challenges requiring similar interventions that can easily enhance convergence within the planning process among cross-border stakeholders;
- (iii) relatively similar cultural norms and values which offer similar informal institutions that can be utilized for common institutional formulation efforts;
- (iv) development partner support from multiple partners offering the much-needed resources for a region in need of more resources;
- (v) existing institutional framework including local and central governments' legal and policy frameworks from the respective countries within the three clusters;
- (vi) regional support to defeat terrorism from regional countries, western countries, and international agencies; and
- (vii) untapped economic opportunities from mining, tourism, and agro-processing that could offer the much-needed alternative lifestyles critical towards improving regional economic growth and reducing poverty reduction efforts.

Yet, for the above opportunities to be fully utilized to support participatory cross-border planning, there is a need to:

- (i) minimize transaction costs as they deter cross-border flows hence hindering cross-border processes and desired outcomes;
- (ii) integrate non-discriminative informal institutions with inclusive institutions when formulating and developing the institutional framework;
- (iii) adopt a cooperation approach that is responsive to the diversity within the cross-border communities; this should be linked with core agendas of central governments if convergence is to be relatively realized in a complex environment;

- (iv) incorporate capacity building in planning processes to ensure both staff and communities members are readily competent to partake in the participatory planning process; and
- (v) invest in information collection, analysis, and dissemination infrastructure to ensure information symmetry for the core indicators critical to decision making;
- (vi) joint implementation of cross-border interventions including stakeholders from either side of the respective borders within the three clusters; and
- (vii) joint monitoring of cross-border interventions including stakeholders from either side of the respective borders, including local government and central government representatives;
- (viii) rotational leadership of cross-border projects with representatives of each side of the border given an opportunity to lead the respective projects. These should be supported with a common staff composed of personnel from either side of the borders;
- (ix) ensure that the outcomes of the cross-border planning processes reduce inequality aspects in the respective border sides within the three clusters;
- (x) funding approaches are diverse enough to supplement the limited resources within the border communities;
- (xi) cross-border cooperation should be rooted in the national agendas of countries partaking in the process.
- (xii) cross-border planning should support the private sector and local communities if sustainable development is to be realized within the cross-border areas;
- (xiii) ensure the needs and objectives of cross-border development in the three clusters are reconciled with objectives of national governments, regional partners; and
- (xiv) cross-border planning should integrate externalities in policy formulating while seeking interventions whose social marginal benefit is above private benefits.

Proposed Tools for Joint Coordination in Cross-Border Planning: in addition to enhancing the existing tools, the following tools could be utilized to enhance joint coordination and planning in the Horn of Africa

Community-Led Local Development (CLLD): is a tool for involving citizens and partners (civil society and local economic actors) at the local level in developing responses to the social, environmental, and economic challenges a particular community faces¹². The tool is created for small-scale territories with a strong bottom-up approach. The tool brings together local partners in cross-border areas; these create a Local Action Group (LAG) that designs and implements local integrated strategies to transition their communities (cross-border areas) to a more sustainable future. While it is a bottom-up approach in which LAGs formulate and implement the respective strategies, it also involves negotiation between member states at the national level. The negotiations at the state level determine the objectives to be achieved through CLLD, assess and approve the respective proposals formulated by the LAGs.

Integrated Territorial Investment (ITI): this is a tool that allows to "bundle" together funds to perform activities (integrated measures) aimed at supporting sustainable urban development in cross-border areas under different thematic objectives. Stakeholders in cross-border communities pool resources together into a given envelope to address particular interventions. The tool is suitable for cross-border towns and infrastructures. The tool requires an approved legal framework among partner states; the partnership agreement defines the terms of implementation, which include a mandatory financial contribution by member states towards cross-border projects.

Joint Action Plan (JAP): is considered one single operation with one single beneficiary made up of several projects, bundling one or several of the funds and using options for simplified costs. It comprises a project or a group of projects, not consisting of infrastructure provision, carried out under the responsibility of the beneficiary, as part of an operational program or programs. The outputs and results of a joint action plan are agreed upon between member states.

Three elements are needed to build a JAP, namely:

- (i). a smartly-defined goal that is what we expect to change or tackle through our plan;
 - (ii). a well-thought intervention logic that is the series of projects to be put in place to reach the goals;
- and

¹² Common Guidance of the European Commission's Directorates-General AGRI, EMPL, MARE and REGIO on community-led local development in European Structural and Investment funds, 29 April 2013

(iii). agreed milestones, outputs, and results that will serve as evidence to be paid back by the Commission through the mechanism of simplified costs.

The joint action plan contains

- (i) an analysis of the development needs and objectives justifying the joint action plan;
- (ii) the framework describing the relationship between the general and specific objectives of the joint action plan, the milestones and the targets for outputs and results, and the projects or types of projects envisaged;
- (iii) the common and specific indicators used to monitor outputs and results, where relevant, by priority axis;
- (iv) information on the geographic coverage and target groups of the joint action plan;
- (v) the expected implementation period of the joint action plan; and
- (vi) financing arrangements

Early Warning Crop Monitor is a tool developed by GEO Global Agricultural Monitoring Initiative (GEOGLAM) to fight food insecurity. The tool provides consensus reports on crop conditions in areas at risk of food insecurity. It synthesizes remote sensing data, field observations, and environmental modeling (World Meteorological Organization, 2016). This information empowers decision-makers across the food security community to make timely decisions.

Hammond (2017) the tools provide analysis that empowers decision-makers with actionable data on livelihood patterns, information on the economic welfare of households within the livelihood zones, and an understanding of mobility as a response to external shocks and in relation to livelihoods. These tools are used to minimize forced displacement and distress migration to facilitate mobility that generates income.

The Sustainable Livelihood Framework: assesses people's command over a range of assets: physical, financial, natural, human, and social. The degree to which an individual, household, or community has access to these assets determines the quality of their livelihood and, in turn, their resilience to shocks and crises, such as conflict and drought (Hammond , 2017).

The Household Economy Approach: analyzes livelihood zones and provides a detailed rundown of the income, expenditure, and consumption patterns of the people living there. Livelihood zones can then be disaggregated based on wealth groups to examine the varying levels of control that people have over assets and how they respond to shocks (Hammond , 2017).

The Drivers of Migration Framework: complements the other frameworks by shedding light on how people in different livelihood and wealth groups respond to shocks and how they make decisions about mobility.

These tools provide a detailed understanding of livelihood, welfare and mobility-aspects that are predominant in the Horn of Africa (Hammond , 2017).

ANNEX 1: PLANNING WORKSHOP

Planning workshops are tools used by organizations, communities, and societies to determine and define steps to be followed by respective stakeholders towards achieving agreed-upon objectives. Planning workshops help planners determine:

1. **Goal/vision** – Goals are general guidelines that explain what you want to achieve in your community. They are usually long-term and represent global visions.
2. **Purpose/Mission** refers to the contribution your organization commits itself to make to achieving that change.
3. **Specific objectives:** is a concrete, measurable milestone on the way to achieving a goal, [objectives can be long-term and short-term]. Objectives are specific, measurable, and have a defined completion date. They are more specific and outline the "who, what, when, where, and how" of reaching the goals.
4. **Strategies to achieve your objectives** – choosing the best approach to reach each objective
5. **Implementation plans** – the actual tasks [activities] you will have to do to make sure each objective is achieved, who will do them, by when and what resources will be needed.
6. **Evaluation mechanisms** – the ways you will measure what you have achieved or failed to achieve and what the reasons are.

A planning workshop has multiple steps, and while these may take various forms, they should include the following:

(i). Preparation Phase

This involves preparing for the planning workshop; it is done in advance; while there is no standard timeline, a reasonable timeline should be agreed upon by stakeholders depending on the nature of the challenges they intend to address, it's advisable to consider at least 3-9 months prior to the planning workshop so that planners are given ample time to mobilize all necessary resources for the planning workshop. However, with the nature of volatile prevalent challenges in the three borders, some planning workshops might require less time; this will have to be determined by the stakeholders depending on the context.

The preparation phase involves meetings, consultations, discussions among key stakeholders (in this case, cross-border community leaders, local government leaders, regional government leaders, development partners) who are likely to determine when the planning workshop will take place, avail resources, and execute tasks during the planning workshop. These meetings or discussions should determine the:

- purpose of the planning workshop;
- timelines for each of the planning phase;
- information for the planning workshop and the respective sources of this information;
- participants of the planning workshop (these should include all cross-border stakeholders critical to the respective intervention); and
- a planning committee, which determines what needs to be done, by whom and how it will be done during the planning process.

(ii). Analyzing the needs and environment

This stage of the planning workshop involves developing a common and detailed understanding of the characteristics or features of the environment within which the plan will be formulated and implemented. Under this stage, the following are done:

- identifying and accessing assumptions about the situation (development problem or challenge) that needs to be changed (addressed)
- examining the internal capacity of organizations responsible for implementing the interventions; and
- analyzing the reliability of existing information towards informing interventions

(iii). Identifying, selecting, and prioritizing goals and purpose

From the above analysis, the goal and purpose of the plan are determined and identified during this stage of the planning workshop.

A **goal** is a long-term situation you believe should be achieved in the lives of your target group.

The **purpose** describes the situation that you intend to bring about from your activities.

The goal and purpose must be:

- relevant to the problem or challenge being addressed;

- realistic in terms of considering the ability of the implementing entities; and
- appropriate towards the identified needs.

(iv). Formulating SMART objectives

The stage of the planning workshop includes determining clear and SMART objectives.

- Clear- this ensures a similar understanding of objectives among stakeholders
- Specific- this ensures that objectives are not vague.
- Measurable, this defines what success will look like. The measurements of results could be qualitative or quantitative, depending on the nature of the objective.
- Achievable- this ensures the defined objectives can be realized within the available timelines.
- Realistic-the objective should be relevant to stakeholders and should be consistent with the available resources and capacities.
- Time bound-this defines the durations within particular objectives that shall be achieved.

(v). Identifying alternative strategies and choosing the most effective

Under this phase of planning, optimal interventions are identified from all available interventions. The workshop identifies all possible ways through which each objective can be achieved. A criterion is identified; this is used to select effective interventions.

The criteria should include:

- Is the intervention relevant to the objective?
- Is the intervention realistic in terms of existing capacity and resources?
- Will the intervention utilize the resources more effectively than alternative interventions?
- Will the intervention get support from potential partners?
- Is the intervention simple enough to be implemented?

NB: - Using the agreed-upon criteria, stakeholders should be grouped into teams consisting of stakeholders from respective border areas to identify and rank strategies.

The groups should rank the interventions using the above criteria, and the most scored interventions should be adopted and cross-checked with the teams when they get back together in the main groups.

(vi). Formulating implementation plans

During this stage/session of the planning workshop, participants make decisions and choices about optimal activities suitable for realizing the respective objectives. The formulated implementation plans respond to the following:

- What must be done?
- Who must do it?
- How will it be done?
- By when it must be done?

Since interventions impact persons from cross-border communities, groups made up of people from different communities across the border areas should be tasked to review each of the planning objectives and identify the respective interventions and strategies. These groups should be facilitated by experts familiar with technical knowledge of given objectives. Each group should identify the activities, responsible partners, timelines, and estimated resources

(vii). Plan for monitoring and evaluation

Upon formulating the above implementation plans, the planning workshop should dedicate the workshop's last session to formulating indicators for the respective objectives and activities. Indicators help measure progress from ongoing implementation. Just like objectives, the indicators should be SMART.

Upon agreeing on the indicators, the participants should set and agree on targets for the respective indicators; these should be consistent with the available and expected resources and environment within which the implementation is taking place.

Summary

The planning workshop should be concluded with a summary highlighting the final plan, major resolutions, and responsible stakeholders. This should be disseminated to all stakeholders. Also, the dates on which progress shall be assessed and the plan reviewed are agreed upon and also included in the summary.

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