

HUMANITARIAN IMPLEMENTATION PLAN (HIP) 2017

HORN OF AFRICA¹

The full implementation of this version of the HIP is conditional upon the necessary appropriations being made available from the 2017 general budget of the European Union.

AMOUNT: 132 250 000 EUR

The present Humanitarian Implementation Plan (HIP) was prepared on the basis of financing decision ECHO/WWD/BUD/2017/01000 (Worldwide Decision) and the related General Guidelines for Operational Priorities on Humanitarian Aid (Operational Priorities). The purpose of the HIP and its annex is to serve as a communication tool for ECHO's partners and to assist in the preparation of their proposals. The provisions of the Worldwide Decision and the General Conditions of the Agreement with the European Commission shall take precedence over the provisions in this document.

0. MAJOR CHANGES SINCE PREVIOUS VERSION OF THE HIP

First modification as of 20 March 2017

The Horn of Africa is facing severe drought conditions with greatest impact on Somalia (pre famine alert issued on 16/1/2017), Ethiopia (south and south-east) and Kenya (arid and semi-arid lands in the north-east as well as coastal areas). Two months of the current dry season remain before the next rains, which are predicted to be below average. Harvests are not due until June-July.

Early warning information shows emergency levels of food insecurity, water access, malnutrition and livestock conditions, as well as lack of food stocks, and increased cereal prices.

In Somalia, the Humanitarian Country Team (HCT) is launching an EUR 825 million 'Operational Plan for Pre-famine Scale up of Humanitarian Assistance (Jan. – June 2017)'. The number of people in need has increased drastically to 6.2 million – half of the population. 2.9 million people face food insecurity at crisis (IPC III) or emergency level (IPC IV). 363 000 children are acutely malnourished. If the situation is not responded to urgently, it poses a great risk for the country's stability and that of its neighbours.

The current situation is comparable to the drought conditions in 2010/11, which led to a famine in Somalia in July 2011 when approximately 750 000 people entered the IPC V (famine) phase, 260 000 people lost their lives and massive displacement across the region occurred.

In Ethiopia, 5.6 million people are in urgent need of food assistance. This number will increase, should the next seasonal rains be below average as it is currently predicted. A further 9.2 million people need access to clean drinking water and basic latrine facilities while 1.9 million people require livelihood support. The Ethiopian government

¹ Horn of Africa for this HIP covers: Djibouti, Eritrea, Ethiopia, Kenya, Somalia and Uganda.

recognised the drought in the margin of the Africa Union summit, requesting support from the international community. The Government lacks fiscal space to respond as robustly as it did during the El Niño crisis.

In Kenya, President Kenyatta declared a "national disaster" on 10 February 2017. The majority of affected population are in arid and semi-arid areas, and face crisis levels of food insecurity. Obstacles for the delivery of Kenya's humanitarian response remain the sub-optimal implementation of devolution policies (the transfer of funding to counties takes time), and access. A further complicating factor is the very poor conditions in the Coastal areas, traditionally a fall-back area in times of drought.

Approximately **10.7 million** people are now in urgent need of food assistance in Somalia (2.9 million), Kenya (2.2 million) and Ethiopia (5.6 million). Somalia is a specific case, with 50% of the population facing food insecurity. Prospects are bleak with below-average rains predictions from March to May 2017.

In accordance with the concept of "Early Warning, Early Action", rapid action is required to prevent another famine in Somalia, a sharp increase in mortality and massive displacement internally and in the region.

To respond to the crisis on a timely basis, the EU mobilised EUR 10 million in December 2016 to start responding to the most urgent needs in Somalia. The 2017 humanitarian funding priorities for the region have been revisited in light of the unfolding crisis. Half of the initial HIP 2017 funding is now allocated to the drought response. However, the scale of the crisis requires additional efforts to avoid the worst to happen.

Given the humanitarian situation described above, the budget of this HIP is increased by **EUR 65 000 000** to scale up the current humanitarian response in the three affected countries. The additional funds will support humanitarian partners already responding to the needs of the drought-affected populations in Somalia, Ethiopia and Kenya. Emergency food assistance and treatment of malnutrition will be prioritized, together with support to projects addressing water supply (emergency and sustainable systems) and livestock protection, the main source of livelihood across large swathes of the drought-affected area. The use of multipurpose cash transfers (MPCT) will be favored whenever possible to meet basic needs. In Somalia, harmonized MPCT with a common donor approach should be followed and cash should be provided in an unconditional way to the neediest population (IPC III and IV) as a priority. Regional approaches and responses across the various countries affected will be considered as an asset.

1. CONTEXT

The Horn of Africa is characterised by a plurality of crises, both protracted and acute, affecting a significant number of people. Crises include armed conflicts and insecurity, forced displacement, food insecurity and under-nutrition, natural disasters (drought, floods, increasing desertification and land degradation) and recurrent epidemics as well as diseases affecting livestock. Many crisis-affected people lack livelihood opportunities and often live in extreme poverty, while access to basic social services is often inadequate, especially in Somalia and the Arid and Semi-Arid Lands (ASALs).

Across the region, the security situation has deteriorated, notably in Somalia, Ethiopia and Kenya. Conflicts in the Horn of Africa are dynamic and cause high displacement

within and across every national border in the region, which now hosts over 2 million refugees, mainly from Somalia but also from South Sudan, Sudan, Burundi, the Democratic Republic of Congo (DRC), Eritrea, Ethiopia and Yemen. Ethiopia, Uganda and Kenya host the largest refugee caseloads in Africa. In addition, about 2.3 million people are internally displaced in Somalia, Kenya and Ethiopia. The recent upsurge of the South Sudan crisis triggered a new influx of refugees into neighbouring countries, especially Uganda. The announcement of the closure of Dadaab refugee camps by the Kenyan authorities may create additional needs for returnees, while a hastened and disorderly mass refugee return, and failed integration may lead to further instability in the region.

The armed conflict in Somalia continues, with the AMISOM-supported Federal Government and multiple regional security forces on one side, and Harakat al-Shabaab al-Mujahideen (Al Shabaab) on the other. Outbreaks of fighting cause displacement – internally and across borders – civilian casualties and destruction of livelihoods. Several regions of Ethiopia are also affected by long-standing conflicts driven by their peripheral location, inequities in levels of development between and within regions, competition for scarce resources, volatile influxes of refugees from neighbouring countries, recurrent flooding and drought, the presence of multiple ethnic groups, weak governance, and limited social services. Kenya faces recurrent conflict caused by competition for constrained resources and insecurity especially in the North Eastern counties, due to the involvement of Kenya Defence Forces (KDF) in Somalia and subsequent retaliatory attacks. The next general elections are set for August 2017 and continued monitoring of the situation is needed.

Insecurity across the region results in reduced access to people in need, putting them and humanitarian workers at risk.

The El Niño in 2015 and 2016 triggered drought and floods in large parts of the Horn of Africa and particularly in Ethiopia and Somalia, peaking during the first half of 2016. The consequences of El Niño continue to be felt while there is an increasing probability that the region is going to be affected by the La Niña phenomenon, which is expected to negatively affect the growing seasons in late 2016 and early 2017. Some areas of the region are already experiencing late and below average rainfall affecting the livelihoods of the most vulnerable people.

ECHO's Integrated Analysis Framework for 2016-2017 identified strong humanitarian needs in Djibouti, Ethiopia, Kenya, Somalia and Uganda. Overall, approximately 23 million people are in immediate need of humanitarian assistance in the region.

	Djibouti	Ethiopia	Kenya	Somalia	Uganda
INFORM Risk Index²	4.6 / 10	6.5 / 10	6.1 / 10	8.9 / 10	5.4 / 10
Vulnerability Index	5.3 / 10	7.2 / 10	6.0 / 10	8.7 / 10	6.2 / 10
Hazard and Exposure	2.7 / 10	5.4 / 10	5.8 / 10	8.8 / 10	3.5 / 10
Lack Coping Capacity	6.7 / 10	7.2 / 10	6.5 / 10	9.2 / 10	7.1 / 10
Crisis Index	3 / 3	3 / 3	3 / 3	3 / 3	2 / 3
Conflict Index	0 / 3	0 / 3	3 / 3	3 / 3	1 / 3
Uprooted People Index	3 / 3	2 / 3	2 / 3	3 / 3	2 / 3
Natural Disaster Index	0 / 3	3 / 3	3 / 3	3 / 3	0 / 3
HDI Ranking³ (Value)	168 (0.47/1)	174 (0.44/1)	145 (0.55/1)	n / a	163 (0.48/1)
Total Population	876 174	96 958 736	44 863 584	10 517 569	37 782 972

2. HUMANITARIAN NEEDS

1) Affected people/potential beneficiaries:

Displaced populations

▪ Refugees⁴

Djibouti is hosting about 17 000 refugees, the majority of Somali origin. However, there are currently some 3 000 Yemeni refugees still registered in Djibouti, as many have returned to Yemen or moved on.

Ethiopia is the largest refugee hosting country in Africa with an official refugee population of approximately 743 000 individuals composed of mainly South Sudanese (284 000), Somali (over 250 000), Eritreans (155 000), and Sudanese (38 000)⁵ living in 24 camps located in five different regions of the country. On-going biometrics verifications are likely to slightly reduce the overall figure.

Kenya is hosting more than 575 000 refugees primarily from Somalia (over 410 000) and South Sudan (over 100 000), located mainly in Dadaab and Kakuma camps. Some 50 000 refugees are living in urban areas (in particular in Nairobi). With the Government of Kenya's announcement to close the Dadaab camps, the number of Somali refugees is likely to reduce drastically. The Tripartite Agreement between UNHCR, the Government of Kenya and the Federal Government of Somalia signed in 2013, is the legal framework upon which assisted voluntary and safe return of Somali nationals from Dadaab to Somalia is being implemented.

Somalia hosts nearly 30 000 refugees and asylum seekers mainly from Ethiopia and Yemen.

² INFORM is a global, open-source risk assessment for humanitarian crises and disasters.

³ Humanitarian Development Index (HDI) developed by UNDP (United Nations Development Programme).

⁴ All refugees figures come from UNHCR (United Nations High Commissioner for Refugees).

⁵ The figure of refugees living in the camps (mainly Eritrean refugees) is being revised downwards as a result of biometric controls for continued verification.

Uganda is hosting over 615 000 refugees mainly from South Sudan (over 315 000), DRC (over 215 000) and as well as some 41 000 Burundian refugees. The Office of the Prime Minister and UNHCR expect further increases by the end of 2016, particularly from South Sudan following the renewed upsurge of the conflict there.

In the Horn of Africa protracted refugee caseloads co-exist with “new crisis” caseloads, most of the time in the same camps or settlements forcing the response to be adapted to the different needs of the respective caseloads using a clear targeting approach towards the most vulnerable. The majority of newly arrived refugees are women, children and unaccompanied minors, raising major protection concerns.

▪ **Internally Displaced Persons (IDPs)**

In **Ethiopia**, while figures can significantly vary, the total number of IDPs is approximately 775 000⁶, caused by ethnic clashes or natural disasters. In 2016, alone, around 200 000 have been displaced due to drought and floods exacerbated by El Niño.

In **Kenya**, it is estimated that insecurity, coupled with recurrent natural disasters, have displaced some 400 000 people within the country. Local conflicts, combined with drought, contribute to the displacement of pastoralists from their traditional and primary source of livelihood⁷.

In **Somalia**, there are over 1.1 million IDPs, with nearly 600 000 new displacements since January 2015 (including forced secondary displacement). IDPs represent three quarters of people in acute livelihood and food crisis in the country. Forced evictions of IDPs and urban poor continue to be a major problem in Somalia's urban areas. Nearly 140 000 forced evictions were reported in Mogadishu alone between early 2015 and mid-2016.

▪ **Returnees**

In May 2016, **Kenya** announced the closure of Dadaab camps, which are currently hosting 330 000 Somali refugees, by the end of November 2016. The decision to close the camps might have a significant impact on the neighbouring countries and in particular on Somalia, where a major influx could destabilise an already fragile situation.

In addition, **Somalia** saw over 28 000 of its nationals returning from Yemen and more than 14 000 Somali refugees repatriating from Kenya by mid-2016. Nearly one million Somali refugees remain present in the region.

Populations affected by food insecurity and under-nutrition

The Horn of Africa is characterised by food insecurity, mainly triggered by the recurrence of natural and man-made disasters. The most recent are the drought and floods caused by El Niño in 2015/2016 and the severe drought in 2011, when famine was declared inter alia in Somalia. There is a likelihood of a La Niña developing from late 2016, bringing extreme weather to the same (or adjacent) regions affected by El Niño. This may undermine an already fragile recovery process.

⁶ International Organisation for Migration, figures are compiled based on the Monthly Internal Displacement Update- April 2016 (MIDU), April 2016.

⁷ Global Report on Internal displacement (IDMC/NRC).

Currently over 23 million people are estimated to be in need of humanitarian food assistance.

In **Djibouti**, food and nutrition insecurity persists in all rural pastoral and some urban areas. The estimated total of persons in need of food and nutrition assistance in the country is more than 125 000 people out of 876 000 inhabitants. Furthermore, over 17 000 refugees in Markazy, Hol Hol and Ali Adeh camps rely on external food assistance. GAM⁸ for refugees in Markazi and Obock is 26%.

In **Ethiopia**, El Niño caused the worst drought in 50 years in 2015 and 2016, followed by above-average rainfall and flooding. Food insecurity and under-nutrition are widespread. Close to half of all woredas (districts) in the country are classified as priority, facing a dire food security and nutrition crisis, with several reaching critical GAM levels. In total 9.7 million people are still in need of emergency food assistance according to the revised Humanitarian Requirement Document (HRD). 2.36 million children under the age of 5, pregnant women and nursing mothers need treatment for moderate acute malnutrition and 420 000 children are severely malnourished. Loss of assets and livelihoods have caused people to move out of the most affected areas. In addition to the number of food insecure people in need of emergency relief assistance, approximately 7.6 million chronically food insecure people are benefitting from the Government-led Safety Net Programme (PSNP), through it remains unclear what the planned caseload for the PSNP will be for 2017. In addition, 743 000 refugees rely on external food assistance.

In **Kenya**, recurrent food and nutrition crises continue to cause high levels of vulnerability. Some 800 000 people are food insecure with the majority (70%) being in the Arid and Semi-Arid Lands (ASALs). Internal displacements were experienced in these same areas thus reinforcing peoples' vulnerabilities. This is in addition to 575 000 refugees dependent on food assistance. In the counties with critical levels of under-nutrition, the under-5 SAM⁹ caseload is estimated at 30 000 per year.

In **Somalia**, around 5 million people remain in food security stress with 1.139 million people estimated to be in IPC¹⁰ 3 (crisis) and 4 (emergency) levels according to the latest FSNAU/FEWSNET¹¹ report dated 20 September 2016. Somalia is an extremely fragile country and people's ability to cope with any additional shock is very limited. Critical levels of global acute malnutrition are found mainly in southern and central Somalia. An estimated 300 000 children under five would be acutely malnourished of which 50 000 children are likely to be severely malnourished and are risk of death if not treated. Somalia has one of the worst infant and young child feeding and micro-nutrient indicators in the world.

In **Uganda**, half of the population in Karamoja is food insecure, of which 12% are severely food insecure. GAM prevalence is currently 11%¹². In addition, Uganda hosts a total of 616 000 refugees (as of September 2016) who rely on food assistance.

⁸ Global Acute Malnutrition (GAM)

⁹ Severe Acute Malnutrition (SAM)

¹⁰ Integrated Food Security Phase Classification (IPC).

¹¹ FAO-managed Food Security and Nutrition Analysis / Famine Early Warning Systems Network.

¹² Food security and nutrition assessments, WFP and UNICEF, July 2016.

2) Description of the most acute humanitarian needs (by sector)

As a general remark, a **multi-sectoral approach** will be encouraged in project implementation in order to ensure an integrated response to the needs of the most vulnerable.

Protection: Displaced populations and people affected by conflict require special consideration in terms of protection throughout the region. In light of the political pressure for refugee and IDP returns as well as the forced relocation of IDPs, legal protection and the voluntary and informed nature of returns in safety and dignity, as well as return and reintegration monitoring, must be ensured. Violence against civilians is reported to be at an alarming rate, requiring prevention and response strategies to be effectively implemented: in Somalia, the civilian population continues to be severely affected by the ongoing-armed conflict, and violations of International Humanitarian Law (IHL). High incidence of gender based violence (GBV), among resident and displaced populations, and child and youth protection violations (such as association with armed forces and/or groups) represent some of the main protection concerns in the region. Moreover, unhindered access to those in need of assistance and protection is constantly under threat, leading to unmet basic needs. A specific caseload is refugees. Special attention should therefore be given to: (1) legal protection and the voluntary and informed nature of returns in safety and dignity, (2) violence against the civilian population (3) violations of IHL, and (4) access to those in need of assistance.

Food Assistance, Food Security & Livelihoods: Recurrent stress on the livelihoods of the most vulnerable populations/communities has sharply eroded household economic security. Food insecurity is mainly caused by insufficient access to food and availability on some local markets, repeated animal disease outbreaks, displacement and insufficient coverage of safety net mechanisms. In addition unsafe water availability and access coupled with poor hygiene practices and disruptive health systems are aggravating factors to food insecurity and under-nutrition. The vulnerability of crisis-affected urban or urbanised populations must be taken into consideration within food security and livelihoods analysis. In the past years in the region, there has been a strategic shift from traditional food in-kind distributions to large-scale cash based transfers, both for the local and refugee populations. Biometrics with fingerprinting for continued verification at distribution sites are being implemented in most countries of the region to ensure efficient assistance delivery.

Nutrition: Under-nutrition rates remain above critical thresholds in many areas. Micro-nutrient deficiency and poor feeding practices are highly prevalent and contribute to malnutrition levels. ECHO's core objective is to reduce or to contain the excessive mortality and morbidity associated with under-nutrition by scaling-up the CMAM¹³ approach. There is a clear need to ensure an integrated humanitarian response, taking into consideration access to safe water, hygiene practices and access to health systems to address the underlying causes of under-nutrition.

Health: In disaster-affected areas, the health systems are generally quite weak and underfunded. Surge models aiming at building the capacity of health structures to timely adapt to a new crisis are highly encouraged. Moreover, the region is prone to many epidemic outbreaks (such as Cholera, Polio, Yellow Fever, Measles, etc.). In many parts

¹³ Community-based Management of Acute Malnutrition (CMAM).

of the region, very low vaccination coverage, high under-nutrition rates, mass population movements and overcrowded IDP/refugee camps, sharply increase the risk of transmission of diseases and mortality. The overall infant mortality and maternal mortality rates remain high, especially in disaster-affected areas. There is also a critical need to fill gaps in secondary health care as part of life saving actions and to ensure the quality of drugs, medical equipment and nutrition products.

Water, sanitation and hygiene (WASH): Availability and access to safe water for drinking, hygiene and livestock is a major challenge in the ASALs and in IDP and refugee camps and settlements. Inadequate hygiene and sanitation practices and lack of clean water are identified as underlying causes of high mortality and under-nutrition. In addition, access to water can be a source of conflict between communities. There is a need to improve the access to safe water and to upgrade the management of WASH facilities/services. Preparedness and response to water borne or diarrheal diseases should be strengthened as well as effective barriers to transmission routes.

Shelter and Non-Food-Items (NFIs): For refugees/IDPs camps or settlements, the provision of shelters and NFIs is essential and should be adapted to the reality on the ground including environment, land tenure and protection concerns.

Education in Emergencies (EiE): In the Horn of Africa, indicators related to education remain highly unsatisfactory: an estimated 3.82 million children are currently out of school (primary and lower secondary)¹⁴, dropout rates remain very high and gender based discriminations significantly hamper girls' access to education, especially at secondary level. Failure to provide education during crises, especially protracted conflict situations, has long-term implications and risks creating lost generations of children. Particular attention will be paid to displaced children, and those of host communities, in close connection with protection activities and any other relevant sectors of intervention.

Disaster Risk Reduction (DRR) and Resilience: Disaster risk reduction should be scaled-up and mainstreamed into humanitarian response and within the development agenda. DRR interventions/components should focus on community-based approaches, early warning systems, surge models/crisis modifiers embedded into the action and financing to ensure rapid response to new shocks and policy level advocacy. DRR cuts across sectors and is essential to increase resilience. It is also crucial for all actions to be risk informed. In the Horn of Africa, humanitarian assistance will seek more opportunities to reduce vulnerability and lay the foundation for longer-term development while continuing its primary focus on saving lives.

Self-Reliance: Self-reliance is the ability of people, households or communities to meet their basic needs and to enjoy social and economic rights in a sustainable and dignified way¹⁵. The refugee and IDP caseloads in the Horn of Africa present both challenges and opportunities to involve development stakeholders in order to find more long term and sustainable solutions to protracted situations. Both host communities and displaced populations should be included into programming by humanitarian and development actors. Early engagement of development donors in refugee programming is key. The search for more self-reliance/durable solutions, complementarities and coordination

¹⁴ ODI, 2015.

¹⁵ Communication "Living in Dignity: from dependence to self-reliance – Forced displacement and development – COM(2016) 234 final 26.4.2016.

between humanitarian and development stakeholders should be part of the joint response analysis from the very beginning of any crisis.

Safety and security: The volatile and deteriorating operational environment for humanitarian actors calls for enhanced and coordinated safety and security awareness, as well as strictly neutral, impartial and independent action. This remains a pre-condition in order to operate in countries or regions classified as high risk.

Coordination and advocacy: Given the nature of the protracted complex emergencies, the recurrent natural disasters affecting the Horn of Africa and shrinking humanitarian space, enhanced humanitarian coordination and advocacy on principled actions need to be ensured and strengthened. Systematic and timely needs assessments, data collection, analysis, presentation and dissemination, are necessary to lead to enhanced humanitarian coordination. Furthermore, advocacy and communication could help increase the level of understanding about the issues at stake in the region, help bridge the gap between emergency, relief and rehabilitation and bring more donors to cover the crises.

Logistics: Humanitarian needs are dispersed across the region/countries, often in areas very difficult to access due to geographical remoteness, insecurity and lack of infrastructure such as intact airstrips. Support to logistics may be crucial to implement projects.

3. HUMANITARIAN RESPONSE

1) National / local response and involvement

In 2011, IGAD (Intergovernmental Authority on Development) launched the Drought Disaster Resilience Sustainability Initiative (IDDRISI) to "end drought emergencies in the Horn of Africa" by building sustainable livelihoods.

In **Djibouti**, the overall local response is limited and needs significant external support to address all identified humanitarian needs. The *Office National d'Assistance aux Réfugiés et aux Sinistrés* (ONARS) coordinates the provision of emergency assistance to people affected by displacement and natural disasters in Djibouti.

In **Ethiopia**, in close cooperation with the Ethiopian Humanitarian Country Team, the newly established National Disaster Risk Management Commission (NDRMC) directly responding to the Prime Minister (through its Deputy) plays the key role in the coordination and implementation of crisis response and relief food distribution. The Productive Safety Net Programme (PSNP) management and resilience initiatives remain however under the Ministry of Agriculture and provides a predictable mechanism to organise transfers in cash and food for 6 to 10 million people. It is largely carried out by the Government and mostly financed and supported by international donors. The PSNP includes a contingency budget that allows scaling up the humanitarian response in times of acute crises. The Administration for Refugees and Returnees Affairs (ARRA) remains in charge of all refugee affairs.

In **Kenya**, the National Drought Management Authority (NDMA) and the National Drought Contingency Fund (DCF) aim at building resilience to drought, rapidly reacting to early warning signs of drought and responding to the aftermath of disasters. The County Governments respond to small-scale crises, with County Governments increasingly empowered to deliver these services. Local emergency response is however mainly implemented by the Kenyan Red Cross Society, acting as a first responder. On refugee matters, the dissolution of the Department of Refugee Affairs (DRA) following

the announcement from the Kenyan Authorities to close down Dadaab camps has left a gap that hampers humanitarian assistance to refugees and creates major protection concerns. There is a lack of clarity on the operational role of the Refugee Affairs Secretariat (Ministry of Interior and Coordination of National Government) which has been identified to replace DRA.

In **Somalia**, despite some progress in government and state building, as well as federal entity formation, capacities remain very limited at all levels. The capacity of the Somali Disaster Management Agency (SODMA) of the federal government hardly extends beyond the capital Mogadishu. The disaster management agencies of Somaliland (NERAD) and Puntland (HADMA) have limited though growing capacity, but are challenged by the consequences of severe drought conditions, exacerbated by El Niño and the influx of refugees and returnees from Yemen. National NGO capacity is fragmented, though the Red Crescent Society is present in most regions. Support from the diaspora in the form of remittances and direct support to basic services is still vital but requires stronger coordination to maximise its positive impact on the health system.

In **Uganda**, the government has a progressive policy towards refugees and asylum seekers. This is embedded in the Refugee and Host population empowerment (ReHoPE) strategic framework that promotes self-reliance and resilience of refugees and host communities. The ReHoPE aims at enabling refugee and host communities to meet their immediate needs and to manage future shocks. The overall refugee response is coordinated by the Office of the Prime Minister - Refugee Department (OPM) together with UNHCR.

2) International Humanitarian Response

International response in **Ethiopia** is organised in the framework of a Government-led process, the annual Humanitarian Requirement Document (HRD), which reflects the updated humanitarian needs. It includes all relief activities for food insecure areas and IDPs, but not refugees, who are addressed under a separate programme. The HRD is jointly developed by the NDRMC and the UN cluster system (through OCHA) and is based on an intensive joint field assessment of the needs. The cluster system in Ethiopia is now well developed and functions efficiently with nine clusters which are built around the equivalent counterpart ministries in the Government. This cluster system reports to the EHCT (Ethiopian Humanitarian Country Team) in which three donors (ECHO being one of these) play an essential role and represent the international humanitarian donor community. These international humanitarian donors also have their own coordination platform (HRDG - Humanitarian and Resilience Donor Group) and meet on a monthly basis.

There is no Humanitarian Response Plan (HRP) in **Kenya** and **Uganda**. However, Uganda falls under three Regional Response Plans (D.R. Congo, South Sudan and Burundi).

In **Somalia**, the annual HRP is linked to a 3- year humanitarian response strategy (2016-2018) to tackle the complex, inter-linked and multi-dimensional humanitarian challenges in the country with the aim to significantly reduce humanitarian needs in the long-term. The UN works as an integrated mission in Somalia, which requires a clear distinction between the instruments for the political stabilisation and independent humanitarian aid. The humanitarian coordination system includes the Humanitarian Country Team (HCT) of which the Commission/ECHO is a member, and inter-cluster coordination consisting of nine clusters. Coordination among the main traditional donors, including the EC,

Members States and the US, works well but more advocacy is required to convince non-traditional and/or Islamic donors of the advantages and efficiency gains of a better integration into the traditional humanitarian coordination structures. Despite major needs, international humanitarian funding regularly fails to meet the requirements of the HRP.

3) Constraints and ECHO response capacity

Access and humanitarian space: Restricted **access**, either due to insecurity and/or administrative requirements put in place by authorities, as well as context-specific difficulties such as remoteness, are major constraints in the region.

Administrative hurdles such as obstacles to import equipment or recruit expatriate staff for the humanitarian response, as well as registration and taxation demands, hamper the capacity to deliver aid in a timely, effective and accountable manner.

Across the whole region, **security** remains a major constraint for humanitarian operations. An increase in attacks directly targeting aid workers is an extremely worrying trend, as is the level of pressure and obstruction from various parties that constrains the independence, impartiality and operating space for relief organisations ("blurring of lines"). The situation is particularly worrying in South Central Somalia, and in the Kenya-Somalia-Ethiopia border regions (Mandera and Wajir counties in Kenya) and nearby refugee camps (notably Dadaab camps in Kenya and Dollo Ado and Gambella in Ethiopia). Overall, the security situation remains very volatile and other areas may be subject to security incidents and need to be closely monitored.

Preserving **humanitarian space** implies that the delivery of humanitarian assistance must be based on independently assessed and verified **needs and access**. In that respect, dialogue with all parties needs to be pursued and International Humanitarian Law (IHL) dissemination ensured.

The risk of **instrumentalisation** of humanitarian aid remains high, leading to a potential misperception about the independence and neutrality of the humanitarian action and putting at risk humanitarian workers' safety while reducing access to the most vulnerable. In the Horn of Africa, the focus on stabilisation, counter-radicalisation and prevention of migration to Europe has the potential to put at risk access and shrink the humanitarian space.

Partners:

ECHO has an extensive partner network in most of the countries of the Horn of Africa.

In order to provide assistance to the people most in need, especially in areas with difficult access such as South Central Somalia, as well as disputed and frontline areas, ECHO allows as a last resort option the implementation of life-saving action in remote management modality. Partners will have to strictly comply to the guidelines laid out in the ECHO Remote Management Guidance note¹⁶.

It remains paramount for ECHO partners to ensure that all activities involving transfer of resources are properly monitored and supported by strong accountability mechanisms as the risk of aid diversion may be particularly high in some areas. ECHO partners are reminded that they should immediately inform ECHO of any irregularities, incidents or

¹⁶ http://dgecho-partners-helpdesk.eu/actions_implementation/remote_management/start

events, in particular regarding aid misappropriation and theft, likely to hamper or delay the implementation of the action and resulting in negative financial consequences.

Cost effectiveness and efficiency

The high level of insecurity in the region has a direct impact on the costs of the operations that needs to be taken into account. Likewise, self-reliance policies that aim at including the local/host communities in the refugee and IDP response, may have an impact on the overall operational costs and should be taken into account.

- 4) Envisaged ECHO response and expected results of humanitarian aid interventions.

In view of the nature of the crises in the Horn of Africa, both man-made and natural disasters, both acute and protracted, and the significant number of people affected either by forced displacement or food insecurity, it is crucial to prioritise the response to the most acute needs and most vulnerable populations while at the same time not compromising the on-going efforts to link with development actors in view of seeking long-term solutions to recurrent issues i.e. both forced displacement and food insecurity. In this respect, a fine balance will have to be found, depending on funds' availability, security, access and capacity of partners, between the pure emergency response and the resilience and self-reliance efforts needed to decrease the dependence of the population on humanitarian assistance and, in the long run, to design an exit strategy.

In the past years in the region, there has been a strategic shift from traditional food in-kind distribution to large scale cash-based transfers both for the host population and the displaced. In order to enhance efficiency, accountability and scalability, the increasing uptake of cash transfers to meet basic needs of affected populations should be continued as the preferred modality whenever feasible. The use of biometrics for continued verification at distribution sites and other e-tools for monitoring should be expanded in the region.

- Emergency response, including crisis modifier and DRR

In line with its mandate, ECHO will continue to prioritise the response to new emergencies, which can also be the result of the deterioration of an existing crisis ("*a crisis within the crisis*"). Wherever possible and relevant, disaster risk reduction and emergency preparedness should be mainstreamed with a clear risks analysis and mechanisms for response in case of new emergencies affecting the implementation of the projects. Such measures have previously been put in place in the Horn of Africa and should be continued and expanded.

- Response in the framework of protracted displacement situations

In the Horn of Africa, forced displacement situations have the tendency to become protracted while at the same time being aggravated by new displacements. Needs based targeting will be key to ensure that priority is given to the most vulnerable throughout their displacement. Rapid response capacity should be swiftly scaled-up in the case of large-scale movements. For protracted refugees and IDPs, specific response modalities, that go beyond care and maintenance and seek to increase self-reliance, should be embedded into the response. In all cases, interventions should take into consideration the host populations.

Returns of IDPs and refugees to their respective countries/areas of origin or choice need to be coordinated and follow the same assistance strategies in the country of return in

order not to create further disparity. Any return must remain voluntary, informed and take place in safety and dignity and to areas of choice.

In Ethiopia, even though priority in terms of emergency response will be given to new influx of refugees, complementarities should be sought with other EU programmes such as the Regional Development and Protection Programme (RDPP) for more protracted situations.

In Kenya, ECHO will ensure there is no duplication with the RDPP for the funding of the new settlement (Kalobeyei) next to Kakuma refugee camp. However, complementarities will help ensure that an adequate emergency response can be given whilst integrated service delivery and the integration of refugees and local communities is promoted. In the case of Dadaab refugee camps, support will be given to a voluntary and sustainable repatriation programme, alternative solutions for those refugees who are not able to return to Somalia and support to vulnerable host communities, based on compliance with international refugee law and with the Tripartite Agreement signed between Kenya Somalia and UNHCR. No support will be given to processes that have characteristics of forced return.

In Somalia, the 1.1 million IDPs are among the most vulnerable population groups and remain a priority group for humanitarian assistance. The Somalia IDP Solutions Initiative will need to complement the humanitarian response with effective development interventions that target IDPs as well as host communities. In case of a large influx of returnees, a situation must be avoided where the latter simply join the former in already over-crowded IDP settlements.

In Uganda where both protracted and new caseloads co-exist, priority will be given to new influxes while seeking complementarities with development actors to ensure specific financial efforts to support the self-reliance policy promoted by the authorities.

- Resilience building and targeted DRR

In view of ECHO contribution to the resilience pillar of the European Union Emergency Trust Fund for Africa (EUTF), no specific resilience actions will be financially supported in 2017 in all countries where the EUTF has taken over or where the EU Delegation investment has increased. However, advocacy efforts for inclusion of a resilience approach by development stakeholders will be continued in line with the 2012 Commission Communication on Resilience. This is notably the case in Ethiopia for RESET II (Resilience Building in Ethiopia) where ECHO will continue its technical support to the programme at field level.

In Kenya, where ECHO resilience building was mainly using nutrition as an entry point, support to targeted DRR/resilience actions will be scaled down in 2017 and an exit strategy will be implemented in view of the significant investment of the EU Delegation in the nutrition sector and its support of the authorities' DRR efforts in the ASALs.

In Somalia, advocacy efforts to include IDPs and returnees in development-driven resilience programmes will be pursued.

- General considerations for all interventions

Partners will be expected to ensure full compliance with visibility and communication requirements and to acknowledge the partnership with and funding role of the EU/ECHO, as set out in the applicable contractual arrangements.

Effective coordination is essential for an efficient humanitarian response. Partners will be expected to participate in coordination efforts.

4. LRRD, COORDINATION AND TRANSITION

1) Other ECHO interventions

In 2016, **ECHO Flight HIP** to secure safe air transport to humanitarian actors amounted to EUR 13 935 000 of which about 25% is spent in Kenya.

The **Emergency Toolbox HIP** may be drawn upon for the prevention of, and response to, outbreaks of **Epidemics** in the Horn of Africa. Also, under this HIP the **Small-Scale Response** and **Disaster Relief Emergency Fund** (DREF) instruments may provide funding options.

The overarching aim of ECHO's **Enhanced Response Capacity HIP** is to help to address the growing gap between the scale of humanitarian needs and the resources available.

2) Other concomitant EU interventions (e.g. the Instrument contributing to Stability and Peace/IcSP, EUTF)

In all the countries of the region, the **European Development Fund** (EDF) is the main EU instrument to provide external development assistance. The 11th EDF covers the period 2014 to 2020 with substantial resources programmed for food security and resilience.

In November 2014, the EU and the countries of the Horn of Africa and transit countries launched a regional cooperation framework for dialogue on migration to enhance cooperation, focusing in a first phase on human trafficking and smuggling known as the EU-Horn of Africa Migration Route Initiative or "**Khartoum Process**".

The "**EU Emergency Trust Fund** for stability and addressing root causes of irregular migration and displaced persons in **Africa**" (EUTF for Africa) aims at financing activities in twenty-three African countries crossed by major migration routes responding to four objectives: (1) Create greater economic and employment opportunities; (2) Strengthen resilience of communities, and in particular the most vulnerable, as well as refugees and displaced people (ECHO involvement is focusing on this objective); (3) Improve migration management in countries of origin, transit and destination; and (4) Improve governance and conflict prevention and reduce displacement and irregular migration.

As part of the EUTF, development-related actions within the **Regional Development and Protection Programme (RDPP)** for the Horn of Africa have been designed to address the developmental needs of populations in protracted displacement, in particular by creating education and livelihood opportunities for IDPs, refugees and host communities in a sustainable manner. In addition, the RDPP should contribute to enhancing the protection capacity of the regions involved, and to improving reception conditions for refugees and IDPs, by supporting activities that fall outside the scope of humanitarian assistance, yet provide a valuable complement. RDPP projects are currently being implemented in Ethiopia, Kenya and Sudan.

Under the Instrument contributing to Peace and stability (**IcSP**), a project with a budget of EUR 18 000 000 in **Ethiopia** - "*Exceptional Assistance Measure on Ethiopia – Support to Early Recovery and Socio-Economic Stability of the Drought Affected Population in Ethiopia*" 2016-2017 contributes to helping stabilise severely drought affected communities in response to the El Niño caused drought by helping them to preserve and restore their productive capacity and resilience.

In **Kenya**, a soon to be launched project entitled "*Exceptional Assistance Measure in favour of Kenya – Improving Security in Dadaab and Kakuma Refugee Camps by Strengthening Formal and Community Policing Set-ups and Preventing Radicalisation*" with a budget of EUR 6 300 000 aims at improving security and peaceful coexistence in Kenya's Dadaab and Kakuma refugee camps and surroundings.

In **Somalia**, there are two ongoing financing decisions: (1) "*Support to enhanced stability and security in Somalia*" with a budget of EUR 7 000 000, which contributes to the development of the Somali Security Architecture and to a multi-donor trust fund to support stability in South-Central Somalia; and (2) "*Support to the State Formation Process in Somalia*" with a budget of EUR 6 950 000, which supports state-building efforts at federal and regional level.

In addition, there are three (complementary) **missions** under the EU's Common Security and Defence Policy (CSDP) in Somalia: (1) EU Naval Force (EU NAVFOR) Somalia – Operation Atalanta, fighting piracy off the Somali coast; (2) EUCAP Nestor for maritime security capacity development; and (3) EU military training mission in Somalia (EUTM Somalia).

3) Other donors' availability (see also section 3.2)

In **Kenya**, the presence of traditional donors such as USAid/OFDA, DFID, SDC, SIDA, CIDA, Norway, Australia and Japan is considerable although humanitarian funding has generally reduced for the ASALs. On the refugee side, the main donors involved together with ECHO remain the US (BPRM, FFP) and DFID. To be noted is an increased interest of development donors (WB, USAID, DFID, EU) in the new Kalobeyei settlement near Kakuma camp, with an EUTF contribution confirmed. The announcement of the closure of Dadaab camp in May 2016 led to an increased focus on the latter, with already additional funding provided by BPRM and DFID based on the UNHCR supplementary appeal released in July 2016.

In **Ethiopia**, the three main donors (DFID, USAID and EU¹⁷) all consider resilience building as a priority action and organise this within a strong LRRD framework. Whereas DFID plans to focus more on institutional and Government capacity building for crisis preparedness and response, USAID and EU/ECHO are working more on grass root level.

In **Somalia**, most traditional donors are present and active. These include US (USAid / OFDA, FFP, BPRM), DFID, Switzerland, Denmark, Netherlands, Germany, Finland, Belgium, Sweden, Norway, Australia, Japan, Canada and EU. Common priorities are emergency / humanitarian action, but also durable solutions for protracted crises, such as internal displacement and refugees. Resilience is also a focus area. The donors coordinate well in the framework of the informal humanitarian donors group (IHDG). In addition, other donors are active, such as Turkey, Qatar, UAE and the Organisation for Islamic Cooperation (OIC).

In **Uganda**, the presence of humanitarian donors has been limited with BPRM (US State Department) being the largest. Main development donors include the EU, DFID and USAID. The self-reliance approach in Uganda makes it ideal for the engagement of development donors in the comprehensive refugee programming. The EU targeted the

¹⁷ Also donors such as Germany, Canada, Austria, Netherlands, the World Bank, Italy have resilience building high up in their agenda.

West Nile refugee region mainly comprising South Sudanese refugees starting in 2016. Lack of funding however remains a major issue.

In the **region**, the three Appeals/HRD¹⁸ in 2016 amount to approximately USD 2.64 billion. In Ethiopia, the total financial requirement amounted to USD 1.68 billion, reflecting a steep increase from 2015. It is funded at 63%, while the refugee programme (UNHCR only) is funded at 35% of the total appeal of USD 276 million. The Somalia Humanitarian Response Plan (HRP) is 36% funded and that of Djibouti only 15%.

The 2016 South Sudan Regional Refugee Response Plan in response to the crisis in neighbouring countries (Ethiopia, Kenya and Uganda) with financial requirements amounting to USD 701 606 726 is only funded at 20%.

4) Exit scenarios

In a context strongly marked by recurrent and protracted crises, working on finding long-term solutions has been instrumental in order to reduce dependency towards humanitarian aid while at the same time being able to respond quickly to new emergencies or deterioration of on-going crises.

- building the **resilience**¹⁹ of vulnerable individuals, households and communities in the Horn of Africa to inevitable future shocks has been of paramount importance with a view to tackle the key risks and address the underlying causes of vulnerability together with other donors and development stakeholders, including DEVCO and the EU Delegations.

- tackling the **self-reliance** of forcibly displaced people, both for refugees and IDPs, has also been instrumental in trying to get development actors more active in protracted situations.

Sound cooperation requires the right use of the appropriate instruments and tools, a constant search for complementarities and better knowledge as well as respect of respective mandates to avoid blurring of lines and instrumentalisation of aid.

¹⁸ Humanitarian Requirement Document.

¹⁹ Resilience is the ability of an individual, a household, a community, a country or a region to withstand, to adapt, and to quickly recover from stresses and shocks (EU COM, “The EU approach to resilience: learning from food security crises”, October 2012).