

MINORITY INCLUSION LEARNING REVIEW OF THE MINISTRY OF FOREIGN AFFAIRS OF SWITZERLAND

Programmes in the Horn of Africa

Principal authors and researchers
Claire Thomas (MRG)
George Otieno Opiyo (CCORD)



July 2021

Acknowledgements

The authors are deeply grateful to the staff in the following minority led NGOs based in Somalia/Somaliland who gave up their time and expertise freely to support this research:

Daami Youth Development Org (DYDO)
Livelihood Relief and Development Organisation (LRDO)
Marginalized Community Advocacy Network, (MCAN)
Midnimo Relief and Development Organisation (MRDO)
Puntland Minority Women's Development Organisation (PMWDO)

We are also grateful to the staff of the SDC office in Nairobi, in particular Thomas Oertle and Severine Weber who provided solid information, resources and support throughout. Many other actors, Somali and international, too many to name, provided information, gave up their time to explain factors and otherwise supported this process.

Samiya Lerew, herself a minority, living partly in the diaspora and partly in Somalia supported MRG (entirely on a voluntary basis) in its efforts to surface and tackle minority discrimination and exclusion over most of a decade. She was tireless in her willingness to explain the intricacies of clan based political systems and local systems of allocation and disadvantage. Tragically she died in Mogadishu in February 2021. She will be sadly missed.

Graphic design: Mihaela Cojocaru (MRG)

The views expressed in this study are exclusively those of the authors and are not necessarily those of the Swiss Agency for Development and Cooperation SDC.

Acronyms

BoANRD	Bureau of Agriculture and Natural Resource Development
BoLPD	Bureau of Livestock and Pastoralist Development
DSA	Detailed Site Assessment
DYDO	Daami Youth Development Organisation
FGS	Federal Government of Somalia
FMS	Federal Member State
ICCPR	International Convention on Civil and Political Rights
IDP	Internally Displaced Person
JMCNA	Joint Multi-Cluster Needs Assessment
KI	Key Informant
LNOB	Leave No One Behind
LRDO	Livelihood Relief and Development Organisation
MCAN	Marginalized Community Advocacy Network
MRDO	Midnimo Relief and Development Organisation
OHCHR	Office of the High Commissioner on Human Rights
OPOV	One Person One Vote
PMWDO	Puntland Minority Women's Development Organisation
RFBF	Reach the Furthest Behind First
SDG	Sustainable Development Goals
SPMS	Somalia Protection Monitoring System
UNFPA	United Nations Population Fund
UNHCR	United Nations High Commission for Refugees
UNICEF	United Nations Children's Fund
WFP	World Food Programme

TABLE OF CONTENTS

Executive Summary	5
Introduction	12
1.1 Background	12
1.2 Minorities, marginalised groups and disadvantages in Swiss implementation programming areas: definitional issues.....	12
1.3 Review Purpose, Scope and Use	16
1.4 Methodology.....	17
1.5 Limitations	19
1.6 Legal and Policy frameworks for mainstreaming Minority Inclusion within Swiss MFA	20
Data and Findings Somalia/Somaliland	22
2.1 Government Legal and Policy frameworks	22
2.2 Implementing partner legal and policy frameworks for mainstreaming Minority Inclusion	24
2.3 Level of mainstreaming minority inclusion in the criterion used for beneficiary recruitment and site selection within the SWISS funded interventions.....	25
2.4 Data Disaggregation and Reporting Requirements	25
2.5 Patterns of inclusion/exclusion of Minority groups	26
2.6 Challenges limiting minority inclusion and important factors	42
Data and Findings North Eastern Kenya	45
3.1 Context	45
3.2 Government Legal and Policy Frameworks for Mainstreaming Minority Inclusion	47
3.3 Level of Mainstreaming Minority Inclusion in the Criterion used for Beneficiary Recruitment and Site Selection within the SWISS Funded Interventions	50
3.4 Data Disaggregation and Reporting Requirements within the SWISS Funded Interventions	55
3.5 The Extent of Minority Beneficiary Contribution within SWISS Funded Interventions	56
3.6 Existence of Beneficiary Feedback Mechanisms within the SWISS Funded Interventions..	57
3.7 Reported Incidents of AID Diversion within the Study Locations	59
3.8 Effects of COVID-19 Pandemic on Minority Groups	61
3.9 Challenges that Limit Minority Inclusion within SWISS-Funded Interventions.....	64
Annexes	66
1. A. Verified Minority led CSOs/NGOs in Somalia/Somaliland that have cooperated on this study	66
1. B. Other useful sources of advice and support on minority issues in Somalia/Somaliland ..	67
2. A. Suggested specific CSO/NGO project activities to promote minority inclusion Somalia	68
3. Suggested advocacy recourse options	70
4. Specific recommendations for Third Party Monitoring	71
5. Specific recommendations for Accountability to Affected Populations	72
6. Recommendations on Minority Inclusion for the Humanitarian Country Team (HCT)	73
7. Utilising conflict of interest provisions	75
8. Example of Proposal document where inclusion is understood solely as gender	76
9. Suggested disaggregation / minority inclusion mainstreaming in selected indicator examples	77
10. Ethiopia results and findings	79
11. Programmes Reviewed and Documents Consulted	94
12. List of Key Informant Interviews (or key meeting attendees)	97
13. Fieldwork questionnaire	98
14. TOR	111

TABLE OF FIGURES, TABLES AND TEXT BOXES

FIGURE 1. 1 SOMALIA: SELECTED SURVEY RESULTS ON INCLUSION OF MINORITIES.....	6
FIGURE 1. 2 KENYA: SELECTED SURVEY RESULTS ON INCLUSION OF MINORITY GROUPS ...	7
FIGURE 2. 1 MAIN SOURCE OF INCOME.....	27
FIGURE 2. 2 FOOD SECURITY CATEGORIES	27
FIGURE 2. 3 RECRUITMENT CRITERIA FOR INTERVENTIONS.....	29
FIGURE 2. 4 ACCESS TO SOCIAL SAFETY NETS (SELECTED ANSWERS ONLY)	30
FIGURE 2. 5 EDUCATION LEVELS	31
FIGURE 2. 6 DO YOU FEEL SAFE WALKING AROUND YOUR LOCALITY/NEIGHBORHOOD?	32
FIGURE 2. 7 SOURCES OF PROBLEMS FOR RESIDENTS	33
FIGURE 2. 8 AWARENESS OF ANY/ALL FEEDBACK MECHANISMS.....	34
FIGURE 2. 9 AVAILABLE FEEDBACK MECHANISM(S).....	34
FIGURE 2. 10 RESPONSE TO FEEDBACK	35
FIGURE 2. 11 ACCESS TO MEDIA DEVICES AND COMMUNICATION PLATFORMS	36
FIGURE 2. 12 MAIN SOURCE OF INFORMATION.....	36
FIGURE 2. 13 REASONS FOR EXCLUSION FROM INTERVENTIONS.....	37
FIGURE 2. 14 AID DIVERSION (POSITIVE RESPONSES)	37
FIGURE 2. 15 SOMALIA PROTECTION MONITORING SYSTEM: EXCLUSION FROM ASSISTANCE	41
FIGURE 2. 16 COVID-19 IMPACT ON MINORITY GROUPS.....	42
FIGURE 3. 1 PERCEPTIONS RE EQUAL TREATMENT BY SETTLEMENT TYPE	50
FIGURE 3. 2 MINORITY INCLUSION WITHIN INTERVENTIONS	50
FIGURE 3. 3 MINORITY INVOLVEMENT IN THE DESIGN OF INTERVENTIONS	57
FIGURE 3. 4 AWARENESS OF ANY BENEFICIARY FEEDBACK MECHANISM	58
FIGURE 3. 5 INCIDENTS OF AID DIVERSION	61
FIGURE A 1 PERCEPTIONS ON EQUALITY	82
FIGURE A 2 PERCEPTIONS ON INCLUSION IN INTERVENTIONS	83
FIGURE A 3 INTEGRATION OF REPRESENTATIVES FROM MINORITY GROUPS, WOMEN AND PERSONS WITH DISABILITIES	85
FIGURE A 4 HOW WOULD YOU RATE THE EXTENT TO WHICH MINORITY GROUPS ARE CONSULTED AND INVOLVED WHEN PLANNING FOR INTERVENTION WITHIN YOUR LOCALITY?	88
FIGURE A 5 BENEFICIARY FEEDBACK MECHANISMS	89
TABLE 1 2021 DETAILED SITE ASSESSMENT RESULTS.....	39
TABLE 2 TYPE OF BENEFICIARY FEEDBACK MECHANISM.....	59
TEXT BOX 1 WORLD BANK BIYOOLE PROJECT	17
TEXT BOX 2 WORLD FOOD PROGRAMME	28
TEXT BOX 3 SOMREP	29
TEXT BOX 4 DAAMI B IDP CAMP	32
TEXT BOX 5 MINORITY EXCLUSION MECHANISMS	38
TEXT BOX 6 PROS AND CONS OF ONE PERSON ONE VOTE IN SOMALIA: MINORITY EXCLUSION	38
TEXT BOX 7 BACKGROUND OF SAMPLED PROJECTS	51

Executive Summary

This report was commissioned to enable the Swiss Federal Department of Foreign Affairs to better understand the impacts of its programme interventions on different ethnic, religious, linguistic communities within the target beneficiary populations in the Horn of Africa. The commitments of the 2030 Agenda for Sustainable Development to **'Leave No One Behind' and 'Reach the Furthest Behind First'** have underlined the existing, in principle, inclusion imperative for many. The report provides a lens through which it is possible to better understand the extent of the operationalisation of the Leave No One Behind principle with specific reference to inclusion of and benefits to ethnic, religious, linguistic minorities and those affected by descent-based discrimination of the Swiss funded aid and development interventions.

Many actors in this region have been concerned about inclusion and equity for some time, particularly with respect to Somalia/Somaliland¹, based on (largely anecdotal) reports of unintended consequences of aid on minority groups, aid diversion, exclusion from aid and continuing patterns of discrimination and marginalisation. The reports suggesting that discrimination remains largely unaddressed (or may even be worsening) in societies where aid is a mainstay of the local economy, led to questions as to whether aid is, at least in part, far from leaving no one behind, implicit or complicit in maintaining such structures. However, hard data was lacking and there was a strong reluctance to ask direct questions, indeed many sources were of the opinion that asking such questions was either unfeasible or so ill-advised that it would garner no useful information or lead to repercussions against either enumerating teams or interviewees.

Swiss government interventions in the Horn of Africa (HoA) cover three different contexts: Somalia/Somaliland, North Eastern Kenya, and Somali Regional State in Ethiopia. Despite significant challenges in all contexts, the study set out to, and was successful in, reviewing beneficiary reach and inclusion in all three locations through a minority lens.

The study found that at the level of policy, the Swiss programmes had regular references to the importance of inclusion, and this was a strong principle mainstreamed together with a human rights-based approach and do no harm through almost all documentation. However, where operationalised, inclusion often referred to “vulnerable” or “marginalised” groups that were not well defined (or not defined at all). References to inclusion, where expanded upon and made concrete, were almost always limited to gender, with some attention to age (i.e., youth), but almost none to either disability or ethnicity/minority status. Indicators very rarely disaggregated beneficiaries/rights holders by any characteristic beyond gender and monitoring and evaluation systems did not require either data disaggregated beyond gender, nor any holistic analysis of the effects of the intervention on power relations, the local political economy or any other wider review that might have surfaced impacts on social exclusion or inclusion dynamics. The impact of any Swiss policies, implementing frameworks and monitoring and evaluation, would in any event be mediated by implementing organisations; and in the case of Somalia/Somaliland, this is not simple as, for the most part it has involved the Swiss making contributions to efforts funded multilaterally and implemented primarily by UN entities with established and relatively inflexible systems.

It is important to note at the outset that our findings are not that Swiss aid is less effective than any other similar actors in reaching those left behind; the patterns of power and exclusion and impact on interventions documented in this study are reminiscent of many others that MRG has encountered worldwide. The only difference between the Swiss and any other donor is that they were brave enough to open themselves to this level of scrutiny. In Somalia/Somaliland, in particular, the Swiss funds are largely pooled with those of other donors and the conclusions reached here apply to most, if not all, donors (with some notable exceptions in the form of selected INGOs and local NGOs).

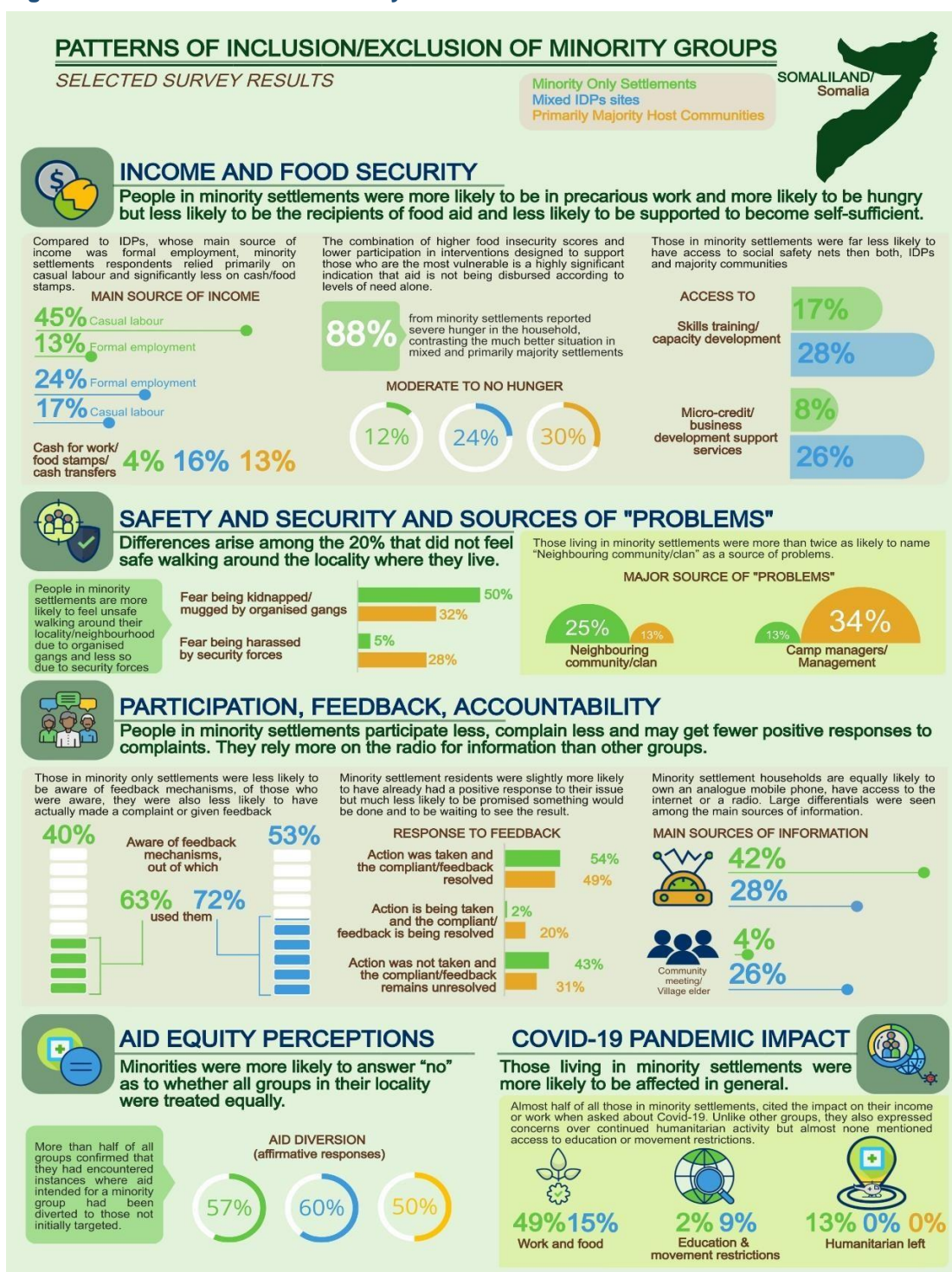
In **Somalia/Somaliland**, the research revealed distinct patterns of minority experience that differed from the population at large:

- Those in primarily minority settlements **had higher food insecurity**
- But were **less likely to be receiving food aid/cash or stamps for food**
- They were much more likely to work as **casual labourers**
- Where identified as beneficiaries **they were recruited in ways that were different**
- They identified **different sources of problems** for their community and **different security risks**

¹ Throughout this report the authors use Somalia/Somaliland to refer to the combined area de facto controlled or claimed by the authorities in Mogadishu and Hargeisa. This does not imply any recognition of the legal status of any territory.

- They got their **information from different sources** (the radio) and were much **less likely to be consulted or to attend community meetings**
- Minority settlement respondents were **less likely to know how to complain, less likely to have made a complaint** and where they had complained were **more likely to report that no action had resulted**.
- They were **less likely to have attended any post-secondary education**.
- **Importantly, a majority of all sources (i.e., not just minorities) confirmed that they were aware of specific instances of aid diversion**.
- However, those in minority settlements were as likely to own an analogue mobile phone and they did not live further from educational, health or sanitary facilities.

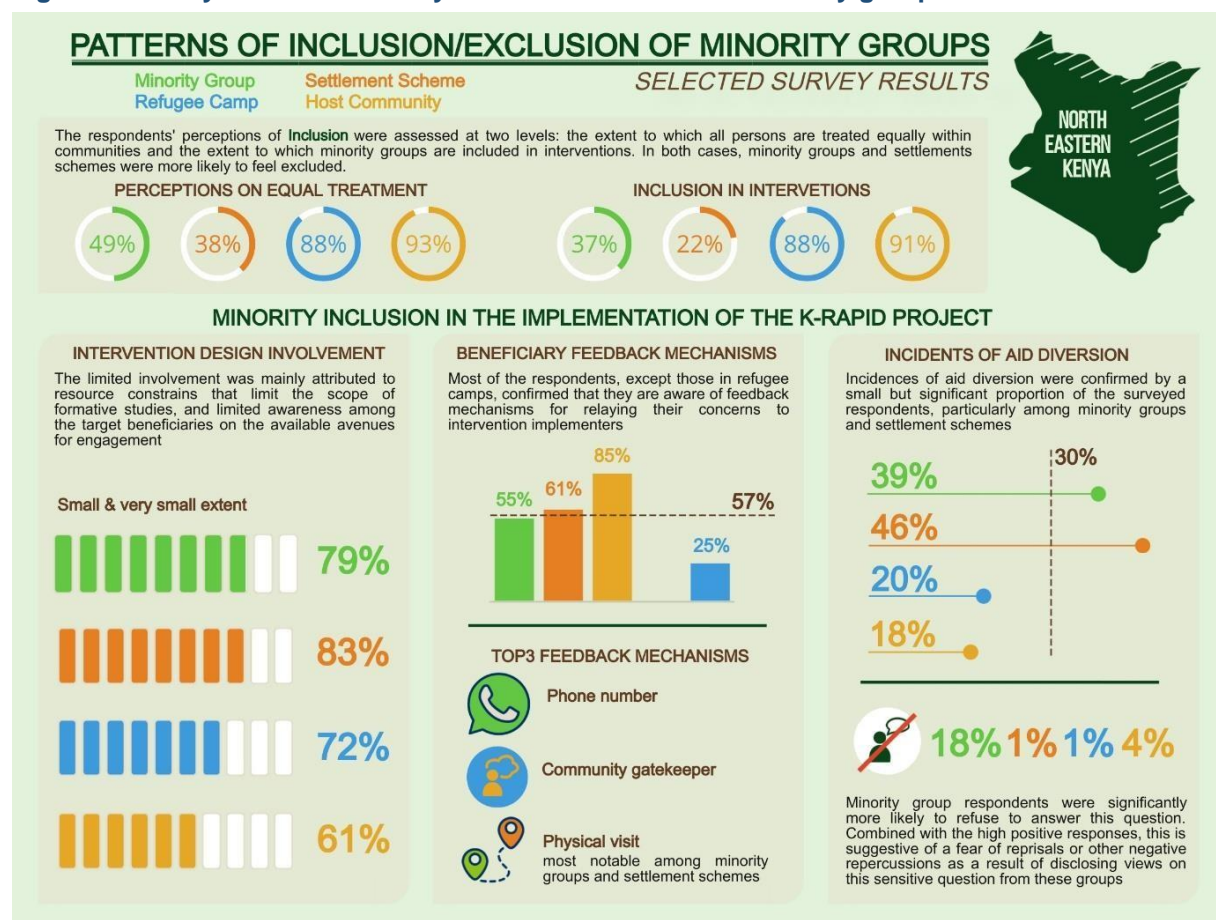
Figure 1. 1 Somalia: selected survey results on inclusion of minorities



In **NE Kenya**, the Swiss intervention overall benefits populations of counties that are minorities who experience marginalisation in the context of Kenya as a whole. By doing so, the Swiss intervention is already reaching minorities and those left behind. However, the study went beyond that level to also review the experience of smaller minorities within the target area (which holds locally dominant clans as well as highly excluded local populations, essentially forming minorities within minorities). For the latter,

- Minority community members **were half as likely to agree that all people in their area are treated equally** as locally dominant communities were and **five times more likely to say that interventions excluded minority groups**.
- They reported being **less well consulted** and were **less aware of beneficiary feedback mechanisms** and had different preferences for giving feedback.
- In minority settlements and one other context **4 out of 10 respondents stated awareness of an incident of aid diversion**. One in five of the locally dominant community respondents also reported this.

Figure 1. 2 Kenya: selected survey results on inclusion of minority groups



In the Somali region of **Ethiopia**, the Swiss intervention again benefits the population of an area who are minorities and who experience marginalisation in the Ethiopian context. In Ethiopia, existing knowledge suggests that the minorities within minorities are a much smaller proportion of the population and also less distinct being themselves Somali language speakers. The study methodology was less effective here, but the research nonetheless suggested that the project implementation team had made more strenuous efforts here to objectively map levels of disadvantage and to direct project interventions to where they were most needed.

Key Recommendations	Specific Recommendations	Priority	SDC & Development Partners	Local Authorities	International Actors/ Implementing Partners
1 Introduce Inclusion or “Leave No One Behind” Principle as a cross cutting issue/element to be mainstreamed in all SWISS funded interventions	1.1 Introduce new Aggregated Result Indicator on inclusion i.e., the indicator to reflect on “ <i>Number of persons from left behind groups benefiting from projects to reduce exclusion, discrimination and inequality</i> ”	High	√	-	-
	1.2 Require minority disaggregation in most indicators within interventions (with support to partners to find ways to gather data where this is challenging)	High	√	-	-
	1.3 Require assessment and reporting on systemic issues that perpetuate exclusion within interventions and implementation locations/sites	Medium	√	-	-
	1.4 Require an expert focal person/advisor on inclusion or minorities within Swiss teams and implementing partners	High	√		√
	1.5 Introduce minority inclusion consideration as an additional factor when recruiting staff within an intervention	Medium	-	-	√
	1.6 Review existing and planned needs assessment, beneficiary recruitment and community engagement mechanisms to mainstream inclusion. Where there is evidence that existing lists and past selection processes may bias against minority inclusion, use alternative methods (e.g., build new lists, use multiple ways to reach out.)	High	-	√	√
	1.7 Strengthen existing feedback mechanisms to mainstream inclusion. This can be realized through adopting the use of feedback mechanisms that can be easily accessed and used by every targeted beneficiary as well as those who have not benefitted but might have qualified that include those that are illiterate, marginalized, disabled i.e., blind, deaf, physically challenged among others. Proactively build trust of minority communities in feedback mechanisms over time working with minority led NGOs, using minority languages and messaging.	High	-	-	√

2 Support intervention/ initiatives that are geared towards generating evidence on minority inclusion and exclusion	2.1	Fund studies or surveys that are geared towards generating evidence on minority inclusion and exclusion	High	√	√	-
	2.2	Use influence to require routine data collection exercises and census or demographic data gathering to progressively improve data disaggregation on minorities	High	√		
	2.3	Identify and collaborate with likeminded institutions to fund or facilitate studies or surveys that are geared towards generating evidence on minority inclusion and exclusion (i.e., government, development partners, civil society organizations, non-governmental organizations, community-based organizations, private sector and academia)	Medium	√	√	-
	2.4	Support efforts to experiment with ways to ask questions and gather data on minority rights inclusion. Support empirical studies that are aimed at investigating incidences of aid diversion and low-level conflict that are perpetuated as result of exclusion	Medium	√	√	√
	2.5		High	√	√	-
3 Explicitly support new interventions to reduce exclusion, discrimination and inequality	3.1	Adopt a community led approach to implement minority led interventions through working with existing community structures, minority led institutions and local governments	High	√	-	√
	3.2	Solely use data driven approaches to inform implementation strategies of intended interventions like Political Economy Analysis, Community Mapping and Baseline Survey among others	High	√	-	√
	3.3	Explicitly design consultation processes that allow for minority only meetings with the involvement of a minority led NGO/opinion shaper with a proven track record	High	√	√	√
	3.4	Interventions should factor in clan/communal/ethnic dynamics in their implementation strategies	High	√	-	√
	3.5	Pilot an intervention to test whether inter-communal dialogues or conversations with key opinion shapers and community members can act as lever for mainstreaming inclusion between communities/clans	Medium	√	√	√

4	Support capacity building efforts that are geared towards mainstreaming minority inclusion	4.1	Commission a capacity Need Assessment among minority led organizations to identify areas of capacity needs. These organizations should draw from government, NGO's and CBO's	High	√	-	√
		4.2	Support capacity building efforts to enhance capacities of minority led organizations with capacity gaps. The capacity building should focus on Organization Development and Systems Strengthening (ODSS) training that includes <i>Organization development, Leadership and governance, Administration and human resource management, Financial resource management, Systems strengthening, Project management, Networking and advocacy, Knowledge management, Sustainability of CSOs and Monitoring and evaluation</i>	High	√	-	√
		4.3	Provided financial aid to minority Led Local NGOs/CBOs	High	√	-	-
5	Explicitly target minority excluded areas in Kenya, Ethiopia and Somalia	5.1	Commission a study within SWISS intervention sites/locations to identify all ethnic, religious and linguistic diversity in the areas highlighting the locations as well as extent of exclusion for each group and document their particular circumstances and experiences	Medium	√	√	-
6	Support advocacy initiatives holding duty bearers accountable on legal and policy frameworks that advance minority inclusion	6.1	In working with the government, pursue commitments that are geared towards domesticating progressive legal frameworks, policies and international commitments that are geared towards mainstreaming inclusion in government work	Medium	√	√	√
		6.2	Build capacities of minority led local and national institutions to hold local and national governments to account on their commitments to mainstream inclusion within local, national, regional and international platforms	Medium	√	-	√
		6.3	Support and build capacities of minority led local and national institutions to pursue advocacy efforts that are geared towards enacting or domesticating legal frameworks or policies that are advancing inclusion	Medium	√	√	√

	6.4	Explicitly support minority led local institutions to commission debates/conversations to explore on pros and cons of localizing minority inclusion	Medium	√	√	√
--	-----	---	--------	---	---	---

Introduction

1.1 Background

The Government of Switzerland, primarily through the Swiss Agency for Development and Cooperation (with support from the Peace and Human Rights Division of the Federal Department of Foreign Affairs, and the State Secretariat for Migration) supports an international cooperation programme focused on the Horn of Africa. This intervention covers Somalia/Somaliland, South Eastern Ethiopia and North Eastern Kenya. With the exception of parts of the area covered in Kenya, the entire area of this intervention has a majority Somali ethnic population with largely common cultural, religious and social norms. The area of intervention is also primarily arid or semi-arid, with a strong tradition of pastoralism. Development challenges in all three areas are pronounced:

Ethiopia. The Somali region of Ethiopia is remote, arid and poor. The population is overwhelmingly of Somali ethnicity but with small numbers of minorities existing within the Somali population. SDG indicators are significantly below those in other areas of Ethiopia. Infrastructure is limited. The region has seen conflict and insecurity until 2018 but is now benefitting from a period of relative stability. The Swiss intervention is focused on food security, durable solutions and one health.

Kenya. 4.5 million people reside within the six counties in the North Eastern region of Kenya: Garissa, Wajir, Mandera, Marsabit, Isiolo, Samburu and Turkana. The population is comprised of diverse ethnic groups, with the most dominant being the Somali, Turkana, Samburu, Rendile and Degoodi. However, there also exist smaller clans and communities within these ethnic groups. These counties also have SDG indicators significantly below those in other areas of Kenya. The area has seen continuing but low-level insecurity. In addition to life in a semi-arid, remote and conflict affected area of the country shared with all residents of these counties, Kenya's ethnic Somali population faces considerable challenges including social discrimination as a result of the conflation of this group with both refugees from Somalia and with fundamentalist Islamic terrorism; Kenya's Somali citizens face considerable hurdles in accessing ID documentation as a result of these factors which is symbolic of the distrust and "othering" that they encounter in society. The Swiss intervention in NE Kenya is focused on durable solutions, livestock and water management/access.

Somalia/Somaliland. This is the most insecure of the intervention areas currently. Humanitarian needs remain high. Populations are vulnerable to shocks including floods and droughts. Humanitarian and development access remains limited. Al Shabaab continues to be active, controlling or affecting de facto large swathes of central and southern Somalia, and mounting regular attacks on political leaders and targets associated with pro-international or perceived western agendas. Inter-Somali clan conflicts have also been a relatively regular, if low scale, occurrence, (with a spike in the first half of 2021 linked to the failed Federal area democratic transition/electoral process and linked inter-regional and inter-clan tensions). Despite some signs of progress, Somalia remains an extremely fragile, and only partially functioning state. Somaliland scores higher on some measures of rule of law or governance but is hampered by its lack of international recognition as a sovereign state. Unlike the two regions above, the Swiss intervention is more heavily channelled through international organisations, primarily those within the UN system, the World Bank as well as some INGOs and NGO consortia, and is focused on governance, resilience, maternal and child health as well as durable solutions.

1.2 Minorities, marginalised groups and disadvantages in Swiss implementation programming areas: definitional issues

Who are minorities?

Before seeking to understand inclusion or exclusion of minorities within these areas, it is important to agree on who we mean by this term, (as well as the overall context for those included within the term). There is no internationally agreed definition of minorities in international law or agreements, but there are strong binding commitments against discrimination including those, for example, in Article 26 of the ICCPR:

*"All persons are equal before the law and are entitled without any discrimination to the equal protection of the law. In this respect, the law shall prohibit any discrimination and guarantee to all persons equal and effective protection against discrimination on any ground such as race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth or other status."*²

² <https://www.ohchr.org/en/professionalinterest/pages/ccpr.aspx>

The subsequent Article (27) of the same Convention refers to “*ethnic, religious and linguistic minorities*”. These international agreements provide limited definitional clarity in themselves, and further ambiguity is added when they are applied to the realities of life in the areas covered by the Swiss interventions, (although the situation in both Ethiopia and Kenya is more straightforward than that of Somalia/Somaliland).

Kenya. The populations of NE Kenya are linguistic, ethnic and in many cases religious minorities. They speak a distinct language (Somali, Samburu etc), have a traditional lifestyle which is distinct from the majority of Kenya’s population (pastoralism, fishing, hunting and gathering), have distinct cultural traditions and practices and wish to self-identify as distinct from Kenyans in general and maintain their traditions and ways of life.³ Whilst some counties have a mixture of religions, Mandera county of Kenya, which is primarily ethnic Somali, is over 98% Muslim in contrast to Kenya’s majority Christian population. The rights holders benefitting from the Swiss intervention in NE Kenya are therefore overwhelmingly those generally accepted as being minorities within the population of Kenya. However, within the region, there are significant differences in levels of disadvantage, with minorities existing within minorities. In Marsabit County, the Borana ethnic group is the most dominant, followed by Gabbra and Rendile. However, there are 8 other ethnic communities residing in the county, including Sakuye, Burji, Sidam, Watta, Koriso, Elmolo, Dasanach and Turkana. Among these, the Watta, Konso, Elmolo, Dasanach and Turkana have been identified as marginalized communities in the county.⁴ In Garissa, Somalis are the most dominant ethnic community. However, 8 other minority communities here include the Sakuye, Borana, Harti, Boni, Aweer and Watta. The Boni, Aweer and Watta communities are the minority and marginalized communities⁵. All these minority communities are characterized by high illiteracy levels, poverty and unemployment and limited political representation. This aligns with existing research⁶ detailing a relationship between ethnic identity and resource distribution, and the regional imbalances in development in Kenya. In Kenya there is no particular difficulty or sensitivity in asking a person which ethnic heritage (locally referred to as tribe) they belong to, and this question was asked and answered throughout the fieldwork without any concerns being raised.

Ethiopia. The population of the Somali state within Southern Ethiopia are similarly linguistic, ethnic (and religious) minorities. They speak a distinct language (Somali), have a traditional lifestyle which is distinct from the majority of Ethiopia’s population (pastoralism), have distinct cultural traditions and practices and wish to self-identify as distinct from Ethiopians in general and maintain their traditions and ways of life. Ethiopia’s Somali state is also overwhelmingly Muslim. The rights holders benefitting from the Swiss intervention in Somali state of Ethiopia are therefore all generally accepted as being minorities within the population of Ethiopia. Many of the clan dynamics and inequalities found in Somalia/Somaliland are also found in Somali communities of Ethiopia. As in Kenya, in Ethiopia respondents were comfortable identifying themselves as Somali but the issues that apply to internal clan dynamics also apply when finer distinctions are asked about (see below).

Somalia/Somaliland.⁷ Somalia/Somaliland has long been portrayed as ethnically homogenous,⁸ but this is largely a myth. Setting aside clan divisions, Somalia has always had two languages, Mahaatiri or Maxaa-tiri (also known as Northern Standard Somali) and Maay May (also referred to as Mai and Mai Mai). These two are considered by many to be dialects (and within Somalia even the term “accents” is used) but are described by experts as “*as different as Spanish is to Portuguese*”.⁹ A number of other languages are spoken in Somalia including Benadiri, Bravanese (on the coast), Mushunguli, Tunni, Boni and Awer (spoken by Bantu and Hunter/gatherer communities).

Other than linguistic diversity, Somalia/Somaliland has also had significant ethnically and racially distinct coastal populations resulting from ancient and modern in-migration and inter marriage (e.g., Bravanese and Benadiri communities, also those descending from intermarriages between Italian

³ It should be noted that as well as self-identifying as ethnic, religious and/or linguistic minorities, many of the groups in this region of Kenya could also or instead identify as indigenous peoples. As with minorities, definitional issues are complex, but the key generally agreed facets of indigeneity³ are present, including a distinct way of life and a holistic relationship between people and an area of land traditionally occupied by them.

⁴ NGECC (2018). Annual Report 2017 -2018. National Gender and Equality Commission

⁵ Ibid

⁶ Kanyinga k. (2006) Governance Institutions and Inequality in Kenya: Readings on Inequality in Kenya: Sectoral Dynamics and Perspectives. SID

⁷ For a more detailed review of these issues, see Position Paper Defining a Common Definition of Vulnerability: Marginalized and Minority Groups, Protection Cluster, March 2021 which resulted in a set of recommendations the HCT which are reproduced in Annex q)⁶

⁸ “At the end of the colonial era Somalia was arguably in ethnic terms the most homogeneous country in sub-Saharan Africa.” <https://www.economist.com/middle-east-and-africa/2013/05/11/the-centre-holds-but-only-just>

⁹ Expert anthropologist personal communication to the author

occupiers, and their Eritrean workers, and local communities). Somalia also has significant Bantu populations. The latter are seen by many as in-migrants (and some, but not all, may indeed have arrived as captured slaves) but in fact many Bantu occupied and farmed many riverine areas considerably prior to Somalia's independence and potentially much further back in time as well. In other cases, concerning traditionally hunter-gatherer groups (e.g., Eyle or Boni/Awer) they are almost certainly indigenous to the area and predate the in-migration of Somali pastoralists. Thus, assertions about Somalia's homogeneity are at the very least exaggerations, and as has been stated by UN OCHA, deliberately or conveniently ignore many of the minority communities that report exclusion and marginalisation in Somalia.¹⁰

Other than these ethnic/racial and linguistic diversities, another critically important factor that defines minority communities in Somalia is clan heritage. To quote UN Office of the High Commissioner on Human Rights (OHCHR):

*"Somalis are divided into clans and numerous sub-clans and the clan structure remains socially and politically important in every aspect of Somali life. The main four clans are: Darod, Hawiye, Digil and Mirifle (sometimes referred to as Rahanweyn) and Dir."*¹¹

Three of these clans (Darood, Hawiye and Dir) were traditionally referred to as "noble clans". Nobility was associated with nomadic pastoralism as a way of life. These clans were traditionally higher status than others and bore arms (to protect their livestock), but within them contained numerous sub-clans (and sub-sub-clans) many of which had less influence or power than others. The Digil/Mirifle/Rahanwen clan group, in contrast, were a settled agrarian or agro-pastoralist community, who, at one time, were considered inferior to the three noble clans, but who took up arms and essentially fought their way to parity with the other three groups during Somalia's long period of civil war. The clan is a key social, economic and political structure throughout Somalia/Somaliland that mediates access to resources, opportunities, influence, protection and relationships (e.g., marriage, patronage). Traditionally these clans (and sub-clans) entered into relationships with other groups, traded with them (coastal groups) or offered them protection, in return for their labour or cooperation (particularly concerning tasks which the higher status clans considered unclean or beneath them – leatherwork, metal work, pottery and certain ritual practices). Thus, groups emerged that were defined by their occupation, which was inherited by birth. Essentially, these groups formed a lower status caste level in society that was subservient to the "noble clans". Somali society today (in all areas, e.g., including in Kenya, Ethiopia, Somalia/Somaliland) includes the descendants of these groups, these include the Gabooye, Tumaal and Yibir communities although in Kenya and Ethiopia they may be referred to as 'corner tribes'. These groups face discrimination based on descent, analogous to caste discrimination in South Asia. Reports include majority clan members refusing to eat together with occupation group members and viewing them as unclean or a source of defilement.¹² It should be noted that elsewhere in the world systemic exclusion on the basis of race or descent have proven extremely intractable to remove and resolve even when explicit attention is paid to the issue and states endorse and attempt to enforce proactive measures aiming to bring about equality of access to opportunity, wealth and services between communities. The murder of George Floyd in the USA a half century after action to end racism began or the continuing poverty and exclusion of Dalits in India 75 years after caste discrimination was first made illegal demonstrate that eliminating such discrimination requires long sustained commitments and strong political leadership. The fact that such a form of discrimination prevails in Somali society today is neither unique nor surprising.

Somalia has not published a national census since 1975 and since then major international refugee flows and significant internal displacement have occurred. (Somaliland has never conducted a full census). It is thus extremely difficult to calculate or even estimate with a high degree of accuracy numbers of people living across Somalia/Somaliland and their situation, let alone the proportions of the minority or majority clan heritage of those people and how the situation of each compares with the

¹⁰ "Until recently, many people perceived Somalia as a country with a population of 7,000,000 people who share one culture, one language and one religion. This was the impression given during previous regimes in order to sustain the illusion of homogeneity. One of the things that were deliberately downplayed was the existence of minority groups." A study on Minorities in Somalia, UN OCHA 2002: <https://reliefweb.int/report/somalia/study-minorities-somalia>

¹¹ Voices Unheard, OHCHR, 2019: https://unsom.unmissions.org/sites/default/files/voices_unheard_english_final.pdf

¹² No Redress: Somalia's Forgotten Minorities, Martin Hill, Minority Rights Group, 2010, p 11.

population as a whole.¹³ The UN has nonetheless estimated that minority communities could form 30% of the population.¹⁴

In the Federal Government area of Somalia,¹⁵ political and economic power is determined along clan lines; this is done in a way which does not reflect population numbers; and that is manifestly unequal.

“Somalia uses a 4.5 formula, which is a political power-sharing agreement that gives an equal quota to [the] four major clans and a half-point to the cluster of “minority” clans made up of a host of “smaller” and marginalized clans which are categorized into two groups: ethnic groups (Somali Bantu, Banaadiri and Arabs who fall outside the traditional Somali clan structure and are seen to be of foreign origin) and occupational groups (a caste of artisans). The half-point (0.5) denotes the assumption of their being regarded as small in numbers and not carrying significant weight politically and socially.”¹⁶

Whilst the four majority clans have agreed the 4.5 formula to manage the sharing of political and economic resources and opportunities, each clan has geographical strong holds where it is dominant. Thus, a member of one of the majority clans who is displaced to a different region by conflict, drought or the search for work, has a higher level of vulnerability in the new area where they cannot look to the clan system for the same level of protection or access to resources or opportunities. When the term “marginalised” is used in Somalia/Somaliland, some consider that it includes majority clan members living in an area where their clan is not dominant or influential as well as those who do not belong to any of the four majority clans. At times, the terms marginalised, and minority are used interchangeably, this conflates two vulnerable groups, with different characteristics, facing different sorts of discrimination and for whom, different inclusion measures may be required. In this report, the term “minority” is used to refer to those Somalis who do not belong to any of the four majority clans. This aligns with the group covered by the 0.5 in the 4.5 formula and therefore also has a strong basis in both Somali social definitions as well as a solid basis in Somali legal and political structures and norms.

If both the wider “marginalised” and “minority” groups are vulnerable, the question arises as to why it is important to make any clear distinction between them. This is a valid question; there is a strong argument that the two groups could benefit from making common cause and seeking changes in social dynamics in Somalia together, and both groups do face exclusion and could benefit. Clarity in distinctions and terminology is not to undermine or deny the benefits of joined up processes seeking change. However, the degrees, drivers and mechanisms of exclusion do vary between the two groups; majority clan members who face marginalisation have the option to move back to an area where their clan groups are more influential and/or invoke relationships with powerful clan allies for protection, justice and advancement which minorities do not. Majority clan members who are “out of place” also do not need to deal with others viewing them or treating them as inherently inferior by birth which occupational and Bantu minority clan members do experience regularly.

One rare feature of the occupational minority communities in Somalia is the lack of external clues or signs of minority heritage. Social stratification and linked exclusion in many contexts are enabled by minority communities having distinct physical features and thus being immediately visible to all, or having traditional ways of dress, hairstyle or scarification or other religious symbolism which allow identification. In other contexts, surnames, places of origin, languages, accents or ways of earning a living act as markers or identifiers. Although, many Bantu, hunter gatherer and coastal in-migrant /intermarriage-based communities may be physically identifiable as such by most Somalis, the groups that are based on a traditional occupation are not. And with the major shifts in ways of earning a living emerging post conflict, not even occupations are a consistent identifier for this group currently. For some individuals in Somalia, accent may reveal clues about clan heritage, but some individuals are also able to conceal heritage from others who they do not know and with whom they do not share networks, to some extent.¹⁷

¹³ The best and most recent attempt to do this was undertaken by UNFPA which garnered better data than had been available before. https://somalia.unfpa.org/sites/default/files/pub-pdf/FINAL%20SHDS%20Report%202020_V7_0.pdf However in dialogue with the Federal Government authorities, a decision was taken to ask no questions about clan heritage. UNFPA correspondence with the author.

¹⁴ A study on Minorities in Somalia, UN OCHA 2002: <https://reliefweb.int/report/somalia/study-minorities-somalia>

¹⁵ Notably, Somaliland does not use this formula and has a direct electoral system. While many people attribute the longevity and depth of discrimination against minority clans in Somalia at least partially to the 4.5 system, it must be said that the direct elections in Somaliland have not seemed able to contribute to its elimination in those areas with minority candidates neither standing nor getting elected in numbers proportional to their (estimated) proportions of the population.

¹⁶ Voices Unheard, OHCHR, 2019: https://unsom.unmissions.org/sites/default/files/voices_unheard_english_final.pdf

¹⁷ Ultimately a determined enquirer can almost always reach back to identify clan relatives of the individual, as has occurred, for example, when a physically unidentifiable minority girl was about to marry a higher status clan boy. The marriage was called off at the insistence of the groom's family after her minority clan heritage was revealed after enquiries carried out by his female

Adding to this difficulty is the fact that even prior to the conflict affected displacement, the occupational groups in particular did not live in discrete and identifiable swathes of territory but were intermingled with the majority clans. This was not true of the coastal communities or the hunter-gatherer communities nor to a lesser extent, the Bantu groups all of whom tended to live more separately and in a distinct minority only location (settlements along the coastal strip, offshore islands and Juba and Shabelle river valleys). However, one impact of the longstanding conflict was the displacement of many of Somalia's population and of members of many minority groups, in particular, who did not have armed or powerful clan allies to protect them. Historically, for example, prior to displacements, the Bantu were found primarily in the Southern region of Somalia but are now also present in Hargeisa, much further north.

Due to the lack of visible or external minority linked attributes, and the challenge of using location as any kind of proxy, it becomes particularly important in Somalia to be able to ask questions to individuals about their clan heritage. Despite the centrality of clan dynamics in Somali social, political and economic life, clan heritage is something that Somalis in many regions are reluctant to discuss, in particular with outsiders. The authors were repeatedly told during this research, by a wide number of interviewees, both Somali and non-Somali, that asking a question about minority clan status was too sensitive and would alienate survey participants. This was based on limited actual feedback or experience. FCDO's team in Somalia/Somaliland had included a question on clan heritage in telephone feedback interviews in 2019 and had had negative responses and finally withdrew it.¹⁸ Other organisations (Human Rights Watch) had asked the question and did not report any major adverse impact.¹⁹ It is worth considering whether the differing experience of FCDO and Human Rights Watch is linked to whether or not the organisation in question is involved in supplying aid and resources to beneficiaries. Fieldwork carried out for this report also asked the question and whilst some did decline to answer, and others answered in ways that did not provide meaningful information (e.g., "Somali" "none") overall 35% of respondents provided a meaningful answer to the question, with wide geographic variations in willingness to respond.

It is important to note that part of the sensitivity concerning questions about clan heritage in Somalia is tied up with competition over resources. This competition primarily involves the majority clans and as such, questions that ask about majority clan heritage are, in our view, considerably more sensitive than questions about minority clan heritage. In the latter case, minorities do not present a threat to a majority clan's (or majority clan member's) position or access to resources or opportunities and as such the sensitivity of the question is lowered. This was partially confirmed when the JMCNA 2020 (Joint Multi-Cluster Needs Assessment) and DSA 2021 (Detailed Site Assessment) surveys both included questions about minority status and/or minority impediments to receiving aid and interventions without significant adverse consequences, beyond some challenges, some discomfort to enumerators and a few interviewees terminating the interview – the question had been included at the end of the questionnaire for this reason. (Both surveys avoided asking questions about majority clan heritages.)

There are many other significant axes of disadvantage relevant in the Horn of Africa; notably including gender, disability and age and this report does not seek to undermine or downplay these. All of these factors are important in their own right, and intersectionally with ethnic, religious and linguistic minority factors and indigeneity. However, the ways in which each of these factors affect rights and entitlements and access are subtly different and whilst some common recommendation areas may be apparent (e.g., participation in decisions that affect them), others are discrimination-ground specific and cannot be generalised.

1.3 Review Purpose, Scope and Use

This review aims to investigate and demonstrate whether Swiss supported programmes of work in the Horn of Africa have succeeded in reaching and benefitting equitably, (or in line with levels of need), disadvantaged minority communities. Concerns that minority clan members are excluded in Somalia/Somaliland are not new and the county level statistics for Kenya and Ethiopia speak for themselves. Numerous sources have reported credible and authoritative reports on this issue in Somalia/Somaliland and all those working in Somalia should have access to those reports.²⁰ However, the issue is extremely intractable, and the international community does not have tools at its disposal

relatives. This absence of external visible signs or clues to a person's clan identity in Somalia also applies to the majority clans and membership of any particular clan is not immediately visible to another Somali.

¹⁸ KII FCDO staff member

¹⁹ KII with research team member

²⁰ Two recent and excellent studies are: Food and Power in Somalia: Business as Usual?, Jan 2020, http://eprints.lse.ac.uk/103138/7/Food_and_Power_in_Somalia_business_as_usual_v5.pdf
Voices Unheard, UNSOM, 2019
https://unsom.unmissions.org/sites/default/files/voices_unheard_english_final.pdf

to effectively remedy the inequality in the life circumstances and experiences of minority clan members, let alone consistently deliver equity in terms of the benefits of their interventions. Beyond ascertaining whether exclusion is happening or not, this study aims to do three things:

1. To ascertain the degree to which asking questions and documenting levels of exclusion of particular communities **is possible**.
2. To **begin to surface and understand** the mechanisms whereby exclusion takes place in international aid and development assistance programmes
3. To offer some methods by which, in the long term, as there are no quick fixes, the Swiss, local actors and the international community can support duty bearers and rights holders in Somalia, Kenya and Ethiopia to effectively counter discrimination and exclusion.

1.4 Methodology

Inclusion reviews are not new, but the methodology has been most developed and tested in regard to gender inclusion (primarily in the form of gender inclusion or gender impact assessments). For reasons explained above concerning the possible unwillingness of interviewees to respond to questions about clan heritage combined with the fact that external markers of clan heritage are absent, at least for some, there was doubt as to the feasibility of the research. The review process began with an evaluability assessment. The review team reviewed documentation concerning all of the significant Swiss interventions in the Horn of Africa region with a minority inclusion lens and considered whether a minority inclusion review could shed light on them and if so, what methodologies would be likely to elicit the most useful data and surface lessons for all concerned. (For a list of the programmes reviewed see Annex 11.) The review generated a large number of lines of enquiry whereby programme documentation suggested an opportunity for minority inclusion could have been utilised or missed and could potentially be verified. Certain types of intervention were considered likely to inherently be of less potential relevance to certain minority communities. For example, given three of the majority clans having a strong association with pastoralism in Somalia/Somaliland, support for animal health services could have been expected to reach minority communities less for valid reasons which are not linked to discrimination or exclusion but instead reflect differences in the ownership of herds between majority and minority communities. Another intervention concerned support for graduate placements in local government. Low university graduation rates of minority community individuals could have interfered with minority representation in such programmes and explained low participation rates independently of any programme design or inclusion/exclusion element. For an additional example concerning World Bank interventions concerning support for the construction of small dams/water points, see **Text box 1**. Such programme elements were very few and the large majority of the interventions were assessed to be relevant to minority communities and ones from which they should potentially benefit.

Text box 1 World Bank Biyoole Project

World Bank Biyoole Project

This project concerns water harvesting, the provision of new water points and rehabilitation of existing water points (and subsequently land management and support for agro-pastoralism techniques for increased resilience). Roll out had begun in Somaliland and Puntland. The authors supported by minority led NGO staff reviewed the selected implementation locations (villages) in both areas. None of the targeted villages were in areas with minority populations. The site selection was informed by availability of existing water points combined with topological features. It was beyond the remit, resources or competence of this study to repeat the site selection process undertaken by the World Bank Group in full to ascertain whether suitable sites with minority residents in the vicinity were deprioritised or whether the topological features of minority areas or the relatively low herd owning characteristics of minority communities also influenced the selection of sites. Given that **none** of the project locations benefitted minorities, the question at least arises as to whether social dynamics might have affected site selection. And the recommendation (3) to ensure consultations with minority led NGOs and minority communities at early design stages and to carry out a minority inclusion analysis likewise before and during site selection for interventions of this type is relevant to the World Bank Group together with all others.

For the programme elements considered to be susceptible to the minority inclusion methodology, the authors spoke with or corresponded with a number of Key Informants (See Annex 12) to understand the extent to which awareness of minority clan communities and the known potential barriers to their inclusion were included in programme design, implementation, monitoring and roll out.

Field work was undertaken in Somalia/Somaliland, NE Kenya and Somali region of Ethiopia. The final sample size was 1991 in Somalia/Somaliland, 495 in Kenya, and 182 in Ethiopia. In Kenya and Ethiopia, the sample area of project beneficiaries was mutually agreed with the Swiss MFA and with implementing partners. In Somalia/Somaliland, given the potential difficulty in asking direct questions to respondents concerning clan heritage, the sample consisted of three sites in each of six districts. Working with trusted minority led organisations, (in what we believe is “a first”), the team was able to identify primarily minority settled sites, primarily majority host communities and mixed IDP sites in each district. As well as this “pre-identification” of minority clan sites, the survey team did also ask respondent about their clan heritage. The data collected on minority clan status from respondents largely confirmed that the balance of minority/majority population varied by these types of sites. Sites remain unnamed in this report to protect the identity of those who reported aid diversion or minority exclusion who may otherwise be at risk of reprisals. A detailed questionnaire with 70 questions was drawn up (see Annex 13) and enumerators trained. Minority led partner organisation staff accompanied the fieldwork enumeration teams to each of the districts to build confidence within the minority sites, in particular, to participate in data collection and to ensure that minority as well as majority interviewees were genuinely identified in the mixed IDP sites.

Aware of significant differences in experience, and responses by gender and age, the team worked hard to ensure that this did not skew the results. In all three settings and all three groups the demographic balance was within reasonable limits.²¹

The data for each region (Kenya, Ethiopia, Somalia/Somaliland) was analysed independently with comparisons being made between the data supplied by each of the three site types. In Somalia/Somaliland, the final question within the survey asked each respondent to identify their clan heritage. Sufficient numbers responded allowing this sub-set to be divided into minority and majority clan respondents which was as an additional check on the findings for a small number of variables.

Part of the mandate of the consultancy team was to provide advice to actors in particular in Somalia concerning minority inclusion and exclusion modalities. As part of this work, the team advised several data gathering exercises concerning how best to gather and/or present data on minority inclusion and exclusion which resulted in new questions being added to surveys. One such was the Detailed Site Assessment carried out in early 2021 to which a question about impediments in receiving aid related to age, disability and “heritage” was added. Selected results from this survey are also presented here to triangulate against the field work carried out by our team. Also presented are some snapshots of data extracted from the Somalia Protection Monitoring System that includes disaggregation by whether or not the informant is from a marginalised group. And finally, the results of a survey carried out by a minority led partner organisation (MCAN) are included. Given the paucity of available data they are useful in, at the very least, suggesting areas for further study and investigation, and also largely provide independent confirmation of some elements of this study.

Given that this was an innovative methodology, overall, the results were positive. The research was most successful in Kenya, in a more focused geographical area, where questions concerning minority identity are unproblematic. The result was research that made clear links between the Swiss funded projects and inclusion and perceptions of inclusion within the minorities within minorities found in the intervention area. Whilst the research was successful in Somalia/Somaliland in evidencing minority exclusion, the difficulty of asking direct questions about clan identity, the very wide scope of the Swiss support in geographical terms and the low level of knowledge by beneficiaries about the agencies responsible for interventions, made it difficult to make very clear links between inclusion or exclusion and any specific Swiss funded programme in most cases (as opposed to a general aid and development effort which the Swiss are part of). The 35% response rate to the direct clan question overall, with wide geographical variation, confirmed the decision to use communities identified by minority led NGO partners to be sure to reach minority respondents. However, this limited the options in terms of sample sites and a compromise was made in terms of a clear focus in areas where the Swiss programmes were known to be particularly active. The research was least successful in Ethiopia, here the minority within minority communities were the smallest, least organised and we lacked any on the ground minority leadership to pre-identify them. Added to the identification challenges which were present in

²¹ E.g., in Somalia across the three settlement types, the gender balance was within \pm 3%, the range of mean ages of respondents was within \pm 5% and that of the mean age of children was below \pm 6%. One demographic difference between the households in the three settlement types in Somalia was that minority community settlements had, on average, slightly more people living in each household than either of the other two settlement types (6.16 people/household in minority settlements; 5.65 IDPs; 5.68 hosts, differential 9%). Certain questions that might have been affected by household size have not been reported here as a result.

Ethiopia as in Somalia, this limited the minority specific data that we gathered. (For this reason, and to save space, the Ethiopia section is included in Annex 10)

1.5 Limitations

Numerous factors constrained or limited the research process:

Security and access. The primary effect of security related risks was a decision to not carry out fieldwork in areas where Al Shabaab is most influential in South Central Somalia. Al Shabaab uses minority and other marginalised young peoples' grievances about extremely limited progress, opportunities and discrimination in Somalia as a recruitment tool. It has succeeded in overcoming Somali social norms in that minority recruits have reached senior ranks within the organisation. However, it would not welcome cooperation with a study such as this and attempting to carry it out in such areas would carry both short-term risks to enumeration teams but much longer-term risks to those interviewed after the team had left the area. In consultation with the Swiss delegation in Nairobi, it was agreed that "do no harm" meant that the added value of work in these regions did not justify the added level of risk to both enumerators and rights holders. Likewise in Kenya, fieldwork avoided the riskier areas close to the Kenya/Somalia border and careful measures were taken to mitigate risks throughout the fieldwork.

Even in the areas of Somalia/Somaliland not affected by Al Shabaab influence or risks, there were concerns that some interviewees may react negatively to being asked questions about clan heritage or minority exclusion. In fact, this fear proved unfounded and whilst some gatekeepers responded to open questions with almost monosyllabic answers and some individuals declined to answer some sensitive questions, cooperation with the survey in full was very high.

The team were able to gain access to every site selected in the sample without interference or constraint by local officials, with the sole exception of Daami B IDP settlement in Hargeisa.²² Alternative sites were identified in Somaliland to ensure the sample size and coverage of the three types of sites. However, Daami B is a major settlement where Gabooye minority community members are found and its exclusion from the sample was unfortunate.

Trust and frank responses. Due to past reports of instances of minority communities having been assessed to show high levels of need, prompting interventions which have not always flowed equally to minority community members, there is a very high degree of distrust by minority communities, leaders and organisations of majority clan organised assessments. There are also past reports of reprisals (e.g., evictions, harassment, threats) against individuals who have raised concerns about aid diversion or biases in the identification of beneficiaries. The team had taken steps to mitigate the risk of minorities fearing or opting not to speak openly and frankly by having a person who was personally from a minority community accompany the team to every site as a signal to minority respondents that there was genuine interest in them, and that the information would be used to make the case for more equity in the provision of aid and development support where this was not already the case. Interviews were carried out without gatekeepers or other camp personnel in attendance. All interviewees were guaranteed anonymity and even site locations are being withheld in this report to avoid any potential reprisals. Nonetheless, it is apparent that communities in Somalia are aware that surveys and assessments are potentially linked to later aid disbursements or other support opportunities, and there is a continuing risk that individuals may have answered certain questions with a view to maximising the possibility of receipt of aid on behalf of their household or the entire site in future.²³

COVID-19. Covid caused a delay in the start of fieldwork of several months but finally fieldwork was able to be carried out during a lull between the first and second wave of Covid19 infections in the Horn of Africa during December 2020 and January 2021. This meant that travel to and within field work locations and physical face to face interviews were possible in all cases. Full precautions were taken to prevent the spread of illness during, and as a result of, the fieldwork

Political transition. The methodology proposed a series of meetings with duty bearers in Federal Government controlled Somalia to discuss the fieldwork findings between the completion of that phase and report writing. This was successfully completed for Kenya where meetings were held with County officials/political figures. Unfortunately, during the relevant period, Somalia was in a long period of political turmoil when disagreement broke out about the slated elections. With political figures and

²² Access to Daami B was denied not on security grounds per se, but when a large fee was required which the study team was neither willing, nor able, to pay.

²³ These issues are fully discussed in "The political economy of aid data procurement and analysis in Somalia, Tobias Hagmann, Ahmed Musa & Mahad Wasuge, 2021

officials focused very heavily on the election transition and avoiding renewed conflict linked to the political uncertainty, meetings to seek duty bearer views on the survey results were not possible.

Sample. The fact that no current census data is available for Somalia/Somaliland means that the basics of establishing a scientific sampling frame are lacking. In the remote regions of Kenya and Ethiopia, birth registration is still low and as mentioned above Kenyans of Somali origin face additional barriers in accessing ID documents. Our methodology deliberately avoided working from official population records or IDP camp records as we were concerned that, if this was a contributory factor in minority exclusion and marginalisation, using this as a starting point might replicate that exclusion and bias the sample. The sites that we selected were as representative as possible given the constraints, including security and the need to identify one third of sites which were primarily inhabited by minorities about which no official records exist in Somalia.

1.6 Legal and Policy frameworks for mainstreaming Minority Inclusion within Swiss MFA

In common with the international community as a whole, the Government of Switzerland demonstrates a strong in principle commitment to human rights, inclusion and equity. The Federal Constitution of the Swiss Confederation explicitly stipulates that in its foreign relations Switzerland must promote respect for human rights and democracy and the peaceful coexistence of peoples (Art. 54). Switzerland, of course, together with 193 countries, commits to not only the overarching mandate within the 2030 Sustainable Development Goals to ensure that 'no one will be left behind', and to 'endeavour to reach the furthest behind first' but also by the UN International Convention on the Elimination of all forms of Racial Discrimination.²⁴ Of particular relevance to this topic is the UN Declaration on the Rights of [...] Minorities²⁵ a non-binding treaty which notably covers international organisations as well as UN member states:

Article 5

1. National policies and programmes shall be planned and implemented with due regard for the legitimate interests of persons belonging to minorities.
2. Programmes of cooperation and assistance among States should be planned and implemented with due regard for the legitimate interests of persons belonging to minorities.

Article 9

The specialized agencies and other organizations of the United Nations system shall contribute to the full realization of the rights and principles set forth in the present Declaration, within their respective fields of competence.

The SDC website states "Overall, [the Quality Assurance and Poverty Reduction section] ensures that the fight against poverty is implemented as the objective of development cooperation and that Switzerland fulfils the commitment of the 2030 Agenda for Sustainable Development to leave no one behind".²⁶ And "Rule of law requires the existence of a consistent, binding legal framework for the work of government authorities. This also entails the application of immutable rules for peaceful coexistence in society, as well as respecting the dignity and rights of the individual, including the poorest and socially most marginalized."²⁷

SDC produced a normative guide on the implementation of the LNOB principle in its work which contains equally strong commitments and guidance.²⁸ A diagram on page 8 of this guidance identifies ethnicity, race, origin and religion as drivers of poverty and exclusion (along with others). The guidance states that SDC is:

Aiming for transformative change by tackling exclusion, discrimination and inequality. The SDC seeks to catalyse social transformation and to bring about sociocultural, economic and political changes. Exclusion and discrimination are the result of deeply rooted power structures and mind-sets resulting in policies and behaviours that

²⁴ Which "Resolved to adopt all necessary measures for speedily eliminating racial discrimination in all its forms and manifestations, and to prevent and combat racist doctrines and practices in order to promote understanding between races and to build an international community free from all forms of racial segregation and racial discrimination."

²⁵ <https://www.ohchr.org/en/professionalinterest/pages/minorities.aspx>

²⁶ <https://www.eda.admin.ch/deza/en/home/sdc/organisation/departments/south-cooperation/quality-assurance.html>

²⁷ https://www.eda.admin.ch/deza/en/home/themes-sdc/state-economic-reforms/protecting-rights-poorest.par1_projectfilter_page2.html#accessiblecontent0-1

²⁸ https://www.shareweb.ch/site/Poverty-Wellbeing/leave-no-one-behind/Shared%20Documents/sdc-guidance-leave-no-one-behind_EN.pdf

tend to entrench existing inequalities. The commitment to leaving no one behind demands critical measures to facilitate the conversion of human rights into equitable opportunities and well-being at the lowest end of the social ladder. This equity perspective ensures that through its programmes, the SDC aims at balancing power, interests and participation in decision-making.

It also commits to:

Ensuring that populations left behind or at risk of being left behind are considered in all new SDC cooperation and thematic strategies.

And

Enhancing information systems and the production of disaggregated data that reveal the challenges of those left behind and strengthen the relationship between duty bearers and rights holders.

The guide goes on to provide excellent detailed guidance on how to design interventions with a LNOB inclusion lens, suggests indicators and evaluation methods.

Another part of the SDC website specifically concerning the Horn of Africa region states:

“Switzerland’s interests and overall hypothesis of change is that people in the region gradually gain confidence in, and benefit from, their State institutions and services. Despite temporary setbacks they are increasingly able to share and manage resources peacefully and take advantage of economic opportunities. Switzerland promotes the transformation of conflicts and regional connectivity by addressing the long-term drivers of conflict and poverty which lie at the core of the fragility in the Horn of Africa, particularly the Somali conflict dynamics and conflicts concerning power and resource sharing.”²⁹

This aligns well with the Swiss integrated approach to peace, justice and poverty alleviation which is described as the ‘16+’ approach. The figure 16 refers to the SDG goal 16 which focuses on justice, reducing discrimination and violence and good governance and accountability. The addition of the ‘+’ signifies that this needs to be accompanied by inclusive development and efforts on the other SDG goal areas (Education, Health, Decent Work) to be effective.

Thus, tackling identity-based discrimination, leaving no one behind, including minorities and managing conflict drivers linked to power and resource sharing are all commitments that the Swiss government and/or SDC has made, with steps in place to move beyond rhetoric and operationalise this.

²⁹ https://www.eda.admin.ch/countries/south-sudan/en/home/international-cooperation/strategy/strategy_horn_africa.html#:~:text=In%20the%20Horn%20of%20Africa,Ethiopia%20and%20north%20Deastern%20Kenya.&text=Switzerland%20supports%20the%20provision%20of,of%20trust%20in%20state%20institutions

Data and Findings Somalia/Somaliland

2.1 Government Legal and Policy frameworks

Somalia/Somaliland has several governance and policy setting challenges. Somaliland is governed functionally separately from Federal Government of Somalia area which is now made up of five Federal Member States (FMS) which have more control over local affairs and decision making than does the capital, Mogadishu. And, of course, Al Shabaab de facto controls or influences many areas, in particular, the Southern federal states as well as areas as far north as the Puntland/Somaliland border.³⁰ The Federal authorities have a large backlog of legislation following a cessation of law making in the country for over a decade. However, Somalia has signed or ratified the following relevant international human rights treaties: International Convention on Economic, Social and Cultural Rights, the International Convention on the Elimination of All Forms of Racial Discrimination and the Convention on the Rights of the Child. It has also ratified the Kampala Convention (African Union Convention for the Protection and Assistance of Internally Displaced Persons in Africa)³¹ which contains progressive and relevant commitments:

Article III [...]

1 b) Prevent political, social, cultural and economic exclusion and marginalisation, that are likely to cause displacement of populations or persons by virtue of their social identity, religion or political opinion;

[...]

1 d) Respect and ensure respect and protection of the human rights of internally displaced persons, including humane treatment, non- discrimination, equality and equal protection of law;

Article IV [...]

- 4) All persons have a right to be protected against arbitrary displacement. The prohibited categories of arbitrary displacement include but are not limited to:
- a) Displacement based on policies of racial discrimination or other similar practices aimed at/or resulting in altering the ethnic, religious or racial composition of the population; [...]

Federal Government. The Somalia Provisional Constitution adopted in 2012 includes the following provisions:

Article 11. Equality

- (1) All citizens, regardless of sex, religion, social or economic status, political opinion, clan, disability, occupation, birth or dialect shall have equal rights and duties before the law.
- (2) Discrimination is deemed to occur if the effect of an action impairs or restricts a person's rights, even if the actor did not intend this effect.
- (3) The State must not discriminate against any person on the basis of age, race, colour, tribe, ethnicity, culture, dialect, gender, birth, disability, religion, political opinion, occupation, or wealth.
- (4) All State programs, such as laws, or political and administrative actions that are designed to achieve full equality for individuals or groups who are disadvantaged, or who have suffered from discrimination in the past, shall not be deemed to be discriminatory.³²

Subsequent to the adoption of the provisional constitution, in Mogadishu there was established a Ministry of Human Rights (2012) and a Directorate General for Human and Minority Rights and Rule of Law within the Office of the Prime Minister (2013). The Ministry of Human Rights has adopted biennial Human Rights roadmaps with some attention to minority clans and Ministers have raised this issue in international fora on occasion, notably in the 2016 UPR dialogue in which "The Minister also underlined that her ministry was putting special emphasis on the protection of minority groups, taking steps to

³⁰ The UN has estimated that Al Shabaab controls approximately 20% of Somalia:
<https://www.securitycouncilreport.org/monthly-forecast/2019-08/somalia-5.php> More details can be seen here
<https://www.polgeonow.com/search/label/al%20shabaab> (subscription required)

³¹ https://au.int/sites/default/files/treaties/36846-treaty-kampala_convention.pdf

³²

https://web.archive.org/web/20130124010543/http://www.somaliweyn.com/pages/news/Aug_12/Somalia_Constitution_English_FOR_WEB.pdf

include them in the ongoing political process of federalizing Somalia".³³ Beyond such high-level commitments, concrete policy steps towards removing discrimination against minority clans remain extremely limited in Federal Somalia. The retention of the 4.5 formula's role in political power at the Federal level and resource allocation which solidifies and enables discrimination against minority clans already signals that these commitments will not translate fully into reality. The concomitant lack of moves towards concrete data gathering or identification of minority clan-based exclusion and its impacts by state entities (and indeed some resistance to such initiatives by state officials on occasion), suggests that parts of the Somali elite currently holding power in the Federal area prefer to maintain the unequal status quo rather than holding any sincere willingness to move substantively towards equality for members of minority clans.

Federal Member States. As mentioned above, authorities at the Federal Member State level in Somalia have more direct on the ground impacts than does Mogadishu in many instances, thus it is important to also consider what commitments have been made at this level. Two states have been in existence longer than the other three and have had opportunities to develop their own constitutional provisions:

The transitional Constitution adopted in Puntland in 2009 includes the following articles:

Article 12. Equality of the people

I. Everyone is equal before the law.

(2) No person shall be discriminated against on the basis of colour, religion, birth, nationality, property, belief, political affiliation, language, or race.

(3) The Constitution shall safeguard the rights of minorities.³⁴

However, the term 'minorities' is not defined. The constitution also makes provisions for human rights defenders (Article 118) however the extent to which this has been operationalised remains unclear. The constitution of Puntland in Article 128 also helpfully explicitly provides that 'Government officials and civil servants shall be recruited based on merit and capacity, and no political or clan affiliation, family or social relationship shall be taken into consideration.'

It is important to note that Puntland has announced that it will hold one person one vote (OPOV) elections at the regional level in 2021.³⁵ At the time of writing pilot projects had started in a few districts (in Eyl district Nugal region and Qardho district in Bari region.) Currently, so far as we are aware, no minority candidates have come forward or are being proposed. The developments in Puntland have the potential to act as a model for other FMS processes and even for OPOV at the national level. It would therefore be desirable if the high levels of marginalisation of minorities were factored into the Puntland process by explicitly discussing the advantages of minority representation being achieved. The idea of a minority quota might be rejected by the local authorities as reintroducing a formula reminiscent of the 4.5 formula which the OPOV process is intended to move away from, but proactively including minority candidates could be achieved in other ways and these should be discussed.

Similarly, the provisional Constitution for Jubaland adopted in 2015 states:

"(1) All citizens are equal before the law.

(2) Nobody can be denied their rights regardless of their colour, religion, gender, ethnicity, appearance, ownership of property, opinion, attitude, political perception, language and origin.

*(3) Members of minorities have constitutional and human rights."*³⁶

Somaliland. Somaliland's constitution dates from 2000 and includes the following:

Article 8. Equality of Citizens

(1) All citizens of Somaliland shall enjoy equal rights and obligations before the law, and shall not be accorded precedence on grounds of colour, clan, birth, language, gender, property, status, opinion etc.

(2) Precedence and discrimination on grounds of ethnicity, clan affiliation, birth and residence are prohibited; and at the same time programmes aimed at eradicating long lasting bad practices shall be a national obligation.

³³ https://www.securitycouncilreport.org/atf/cf/%7B65BFCF9B-6D27-4E9C-8CD3-CF6E4FF96FF9%7D/a_hrc_32_12.pdf

³⁴ <http://extwprlegs1.fao.org/docs/pdf/som197962.pdf>

³⁵ <https://www.polgeonow.com/search/label/al%20shabaab>

³⁶ <https://www.slideshare.net/ADENOSMANQALOSHE/provisional-constitution-of-jubaland-20151>

Somaliland does not have a Ministry of Human Rights but includes the issue in the mandate of one of the House of Representative Committees; Constitutional, Judiciary, Justice and Human Rights sub-committee. In recent years, Somaliland's President had appointed a special representative linked to the office of the President who was a member of the Gabooye community to voice concerns, however, this arrangement broke down in around 2016.³⁷ In his annual speech to Somaliland's citizens concerning the Constitution in March 2021, the incumbent President of Somaliland stated as part of a section devoted to rule of law:

"The judiciary is the binding factor of the society and as such it gives priority to:

- *Protection of rights of citizens and equality*
- *[...]*
*Stability of the society can be realized by having equal opportunities for employment, economy, education and support of the vulnerable groups in the society."*³⁸

As mentioned above, Somaliland does operate direct OPOV elections. In 2018 in line with Article 8.2 of the Constitution cited above, Somaliland passed an amendment mandating that 3 out of the total of 82 seats in the Parliament should be reserved for "Gabooye"³⁹ candidates (under 4%). In the same Act 18 seats (25%) were reserved for female candidates. In announcing the move, the President stated that this would provide for: *"full representation to women and minority groups who at the present are noticeably absent from the decision-making process – to the detriment of the country's development, [...]"*⁴⁰ In late 2020, there was an opportunity to amend this provision to increase the number of reserved seats for both women and minorities. However, Somaliland's Parliamentarians opted to not take advantage of this opportunity and both reservations remain well below the estimated proportions of the populations in question.⁴¹

Thus, in all areas of Somalia/Somaliland, there exist in principle commitments to the elimination of discrimination on the grounds of colour, clan, language or dialect and in the case of Somalia, occupation. In the case of Somaliland, at least some steps have been taken to recognise and address these in the form of political affirmative measures for at least one minority community within a direct electoral OPOV system.

2.2 Implementing partner legal and policy frameworks for mainstreaming Minority Inclusion

For a full list of the projects, programmes and implementing partners supported by the Swiss please see Annex 11 which also shows how each was considered as part of this inclusion learning review process. As mentioned above, in Somalia/Somaliland, the highest proportion of Swiss funded interventions are delivered by UN system entities (although there are notable exceptions in some sections e.g., health). Implementing via UN entities creates both opportunities but also constraints. The opportunities lie in the fact that the whole of the UN and all of its constituent parts have strong and explicit commitments, in principle, to equality, non-discrimination and Leave No One Behind/Reach the Furthest Behind First.⁴² The constraints lie in the fact that Switzerland is one of many donors to such multi-donor funded efforts and has limited possibilities to request special attention to minority clans if other donors seek to prioritise other issues, but also in that the UN entities' systems and procedures are more fixed, rule bound, and inflexible than that of INGOs or local NGOs. Unlike with some of the projects in Kenya and Ethiopia, the Swiss in Somalia are less likely to be able to require or insist on measures specific to their priorities and concerns. Outside of support via UN entities, the Swiss are increasingly engaging directly with INGOs (ICRC, Save the Children), local NGOs (Somalia NGO Consortium), mixtures of the two (SomRep) and thinktanks. These are more flexible and may be quicker to react and change than larger entities with a global footprint in which member states have significant control. Furthermore, with a new Swiss Framework for Risk Governance and Adaptive Programming (FRAP), an increase in direct partnerships with local stakeholders is planned (which may

³⁷ And so far as the authors are aware no similar role has been established.

³⁸ <https://madaxtooyadajsl.com/annual-constitutional-address-of-the-president-of-the-republic-of-somaliland-h-e-muse-bihi-abdi/>

³⁹ Gabooye being the (occupational) minority group which is estimated to be the largest within Somaliland territory.

⁴⁰ <https://madaxtooyadajsl.com/cabinet-ministers-propose-draft-bill-granting-parliament-quotas-to-women-minorities/>

⁴¹ Even if a formally agreed quota were in place, there remain many barriers to both minority and women's political participation which are usefully discussed by Mona Ahmed Abdi LLB here: <https://www.horndiplomat.com/2021/04/14/somaliland-obstacles-to-women-candidates-in-2021-elections/>

⁴² Every UN entity has documents that restate this commitment which are not all listed here for reasons of space.

also offer an opportunity to engage directly with Minority led organisations, either singly or in a consortium.)

2.3 Level of mainstreaming minority inclusion in the criterion used for beneficiary recruitment and site selection within the SWISS funded interventions

Based on a detailed review of over 50 documents/web pages concerning Swiss funded work in Somalia/Somaliland, the research demonstrated the following.

There was a consistent attention, as a matter of principle, to the necessity to ensure inclusion and addressing the needs of “the marginalised” or “the vulnerable” in programme design and implementation. Many, if not most, documents included attention to “inclusion”. In some cases, there was little evidence of this being translated into practice at all. Where inclusion was made operational, in the majority of cases this was done only in relation to gender. General statements concerning inclusion were routinely ‘unpacked’ or further explained in ways that referred only to gender inequality.⁴³ (for one anonymous example please see Annex 8). It was not only minority clan status that was omitted in terms of analysis and operationalisation of inclusion; the same also applied to exclusion linked to age and disability. In other cases, no additional specificity was added to the general description of “vulnerable or marginalised” which can mean many different things to different people.⁴⁴

Programme documents reviewed by the team contained a wide variation in the understanding of political and power relations in Somalia/Somaliland. This ranged from some including basic errors about the 4.5 formula, some documents which appeared to be naïve about the realities of politics, and the realities of exclusion based on ethnicity and power in Somalia/Somaliland. The externally available evidence setting out sophisticated and well-argued analyses of minority/majority relationships, political processes and political exclusion and accountability failures⁴⁵ were largely not reflected in the documents describing efforts and programmes to which the Swiss were making, at times, substantial, contributions. Some documents included statements on risks, human rights compliance and “do no harm” that seemed to us at least questionable and in some cases, it appeared to the research team that very limited thought had been given to potentially “doing harm” from a minority perspective. Linked to this the threat of ongoing and escalating conflict and need to manage tensions and avoid drivers of conflict is ever-present in the documents. Conflict prevention appears to be a trump card that overlays all other factors including inclusion, Leave no one behind and human rights. Of course, avoiding conflict is important but peace at the price of justice and equality is not a bargain that the UN should be striking. Tensions between conflict prevention, local ownership of activities and fulfilment of human rights seemed to the review team to be of critical importance, but are under-explored or at times, implied but not made explicit.

2.4 Data Disaggregation and Reporting Requirements

As mentioned above, the Swiss were not primarily responsible for or able to straightforwardly influence the majority of the interventions in Somalia, which were delivered via the UN, with multiple donors contributing and no single donor having any significant degree of control. Despite the overarching commitment to and mentions of inclusion referred to above, in very few cases (almost none) were the results frameworks or matrices constructed to require data or reporting disaggregated by any specific criterion linked to disadvantage other than gender. A number of indicators did refer to “vulnerable” and/or “marginalised” but these were not defined and as explained above, where expanded in texts, were generally understood to allude to gender and nothing more. In 2 instances, out of the many sets of indicators and evaluations linked to programmes supported by Swiss funding in Somalia/Somaliland, did an indicator include a specific reference to minority or ethnic disadvantage or a minority community who should benefit (whether equitably via mainstreaming or in a targeted fashion) from an intervention. In fact, the indicator in question targeted elements of programmes towards minorities and one evaluation finding called for more attention to minority inclusion. In contrast many instances of gender

⁴³ Of course, gender inequalities are extreme in Somalia/Somaliland and this research is not arguing that attention to gender in these circumstances is wrong or misplaced; just that it is not the sole factor that contributes to disadvantage that any external actor intervening in Somalia/Somaliland should be concerned about.

⁴⁴ There is some evidence that failing to specify groups that are “behind”, or experience discrimination and exclusion is linked to weaknesses in targeting and benefitting the groups within these general categories at all and that the best chance of benefitting those excluded is when the group and the exclusion factor is clearly described in the programme context analysis and factored meaningfully into the programme design.

⁴⁵ See note 19 above

disaggregation in indicators were noted, but very few indicators were disaggregated by age (where this occurred it was primarily youth) and even fewer included any disaggregated by disability.

The lack of attention to minorities in disaggregation of data may potentially partially result from the perceived unfeasibility of questions concerning clan heritage of beneficiaries and the lengths gone to in carrying out this research have shown that gathering this type of data is not a simple or easy process. However, this study has shown that it is possible and must be attempted, and over time, if all else remains constant, it will become easier and may eventually become routine (as gender disaggregation is now). Given a previously reported credible pattern of widespread exclusion on the basis of minority clan membership, the routine lack of attention to targeting minorities in monitoring and evaluation and in indicators in particular is of serious concern. The Swiss funded interventions did not have the monitoring and evaluation plans in place to ascertain whether the interventions were reaching the left behind, nor could they show how they were making a positive difference to known patterns of exclusion. The absence of specific tracking and disaggregated indicators not only means that these programmes cannot show that they made a positive difference to these groups, even more worrying is the possibility (which can't be discounted given the lack of data) that some may, at times, have not only perpetuated but also further entrenched and deepened existing patterns of inequality, exclusion and disadvantage linked to ethnicity, occupation and social status.

2.5 Patterns of inclusion/exclusion of Minority groups

This section reports the data from fieldwork in Somalia/Somaliland was collected from three site types:

1. **Primarily minority only settlements.** These were sites identified by minority led partner organisations. The question about clan heritage in our survey confirmed in large measure (but see also Willingness to answer question on clan heritage section below) that these were correctly identified with 84% of those willing to reveal their clan heritage in these sites belonging to minority communities. Residence in these sites is therefore taken as a proxy for belonging to a minority community
2. **IDP camps.** These were officially listed IDP camps which were presumed to have a mixed minority and majority population. It is commonly considered that IDPs in Somalia are among the most vulnerable populations and for this reason, it was important to compare the IDP population with the minority only settlements. Of those willing to reveal their heritage in IDP camps 55% had a majority clan heritage and 45% had a minority clan heritage.
3. **Primarily majority settlements.** These were normal settlements in the same districts as the above two settlement types, thus aiming to compare those living under the same jurisdiction and in similar contexts. Due to the intermingling of occupational groups with host communities mentioned above, we did not aim to reach a 100% majority community in these sites. In fact, of those willing to reveal their clan heritage in these settlements, 63% identified as majority and a surprisingly high 37% identified as minority (using the definition described in Section 1.2).⁴⁶ So, whilst this group stands as a proxy of some kind for majority clan, it is not perfect, but we can be confident that the proportion of majority clan members in this settlement is significantly higher than in the minority only settlements. The presence of 35% minority groups in these settlements could be expected to dilute the minority/majority differences that we were investigating. Thus, the differences shown may well underreport as against reality on the ground, given this diluting effect.

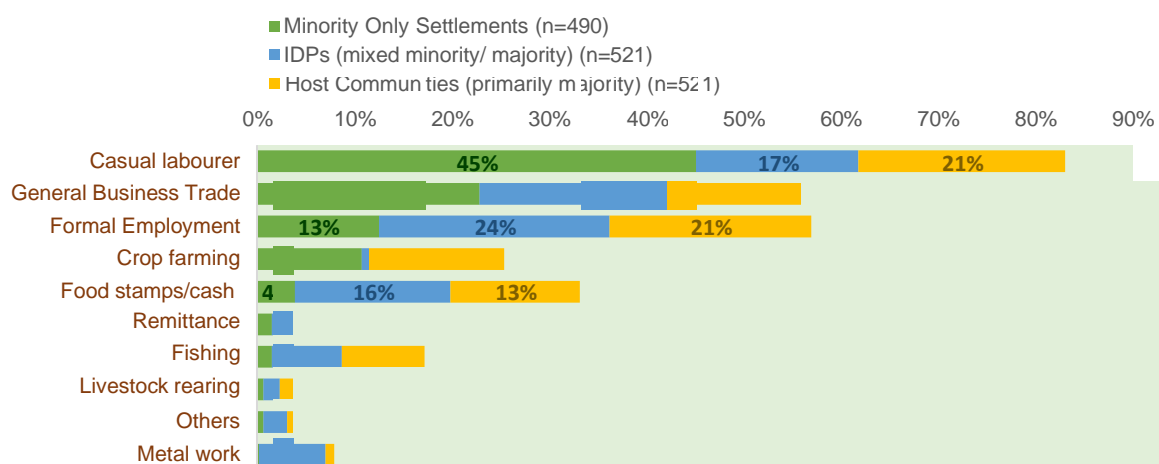
Income and food security. Those in minority settlements were most likely to report having no source of income (24% minorities; 19% IDPs, 20% host communities) and least likely to report having two incomes per household (3.4% minorities; 6.1% IDPs; 9.3% host communities). Moreover, for those with an income, almost half (45%) of those living in a minority settlement were dependent on casual labour for their main source of income (see Figure 2. 1). This was more than double those in IDP camps (17%) and host communities (21%). IDPs were almost twice as likely to be in formal employment (24% compared to 13% for minority settlements). The fact that almost half of the minority settlement respondents were mainly reliant on casual labour for income suggests their high vulnerability to any economic or crisis related shocks (including, of course, Covid-19, for more on which, see below).

⁴⁶ It is not possible to use this information to estimate with any degree of reliability the overall proportion of Somalia's population that have a minority clan affiliation or heritage; firstly, this is based on a sample drawn from 6 districts in which 65% of the respondents declined to provide information about clan heritage with wide variations in the proportions willing to do so by district. Added to this, minority clan members may have been either more willing to self-identify (if sufficiently reassured by the presence of a minority community member accompanying the research team) or less likely to self-identify due to the low social status that minority clan members endure. The most that can be said is that these results certainly don't conflict with the previous and most commonly cited estimate that minority clan members form approximately 30% of the population.

Other patterns emerging were as expected with no household in a minority settlement gaining income any income from pastoralism (traditionally reserved for the three 'noble' clans) and households in both minority settlements and host communities more likely to gain income through growing crops than IDPs who are less likely to have access to agricultural land after displacement. More surprising was the fact that, despite the survey capturing at least 155 respondents who self-identified as members of descent based/occupational groups, the levels of those working in traditional occupations associated with those minorities (metal work, leather work and traditional healing) was extremely low and for all three types of work, the numbers earning a living these ways in IDP camps vastly outweighed the very few people in minority settlements still engaged in these occupations. This underlines the ways in which conflict impacts and economic development have moved ahead of the historical basis for at least some of Somalia's social stratification; discriminatory attitudes long outlasting the differentiation in work on which they are supposedly based.

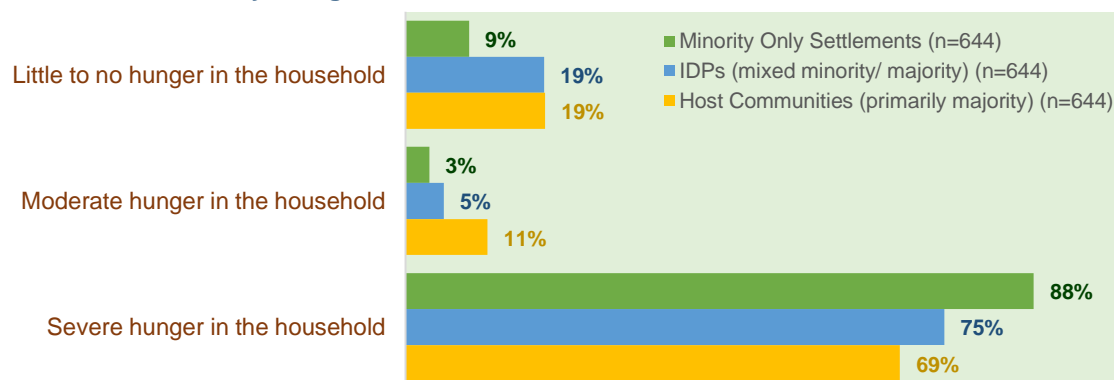
Figure 2. 1 Main source of income

Of all the sources of income you have mentioned, what is your household's MAIN source of income? (selected responses)



In minority community settlements, only 4% of households mainly relied for income on cash for work/food stamps/cash transfers, with more than three times that rate reported in host communities (14%) and four times the rate in IDP camps (16%) relying on those sources. It could be argued that the needs of those in IDP camps or host communities were higher, which after assessments are carried out, resulted in the higher access to these sources in IDP and host settlements but the responses to questions about food insecurity do not support this as shown by **Figure 2. 2**. Whilst food insecurity is high in general in Somalia, in our survey responses, it was higher in minority settlement households (88%) than in either IDP settlements (75%) or host communities (69%).⁴⁷

Figure 2. 2 Food security categories



⁴⁷ The fieldwork was carried out at a time when many income sources were being disrupted by the Covid-19 pandemic but not during a period of lock down when the ability of those doing casual labour (disproportionately minority) to find work may have been adversely affected by the lock down measures. Some impact of Covid-19 on the findings, of course, cannot be ruled out, particularly as previous research see for example, that cited in footnote 18) has argued that minority clan members may be particularly vulnerable at times of crisis when competition for resources is at its most intense.

As both host communities and IDP settlements contained some minority community members, we also ran an analysis of food security based on the self-identification provided by 35% of our sample. This confirmed the above result with self-identified minorities reporting significantly higher food insecurity scores on average (6.55 compared to 5.53 for self-identified majority community members).

The combination of higher food insecurity scores and lower participation in interventions designed to support those who are the most vulnerable is a highly significant indication that aid is not being disbursed according to levels of need alone.

Text box 2 World Food Programme

World Food Programme/ Camp Coordination and Management Cluster

In late spring 2020, minority led partner organisations reported to MRG that numerous minority only settlements were in receipt of no food aid despite the fact that already high levels of hunger and low levels of income were being impacted by the Covid19 lockdown which was affecting the ability of casual workers (disproportionately minority) to obtain work. A list of 33 such settlements were submitted to WFP, who investigated and confirmed that only one of the settlements was in receipt of WFP support. WFP reported benefitting just over 4.5 million Somalis⁴⁸ during 2020 out of a total (then) population of 15.8 million (28%). The fact that their coverage of the 33 settlements listed was approximately 3% compared to the national coverage of 28% therefore raised concerns.

Once convinced of the problem, WFP acted quickly to involve minority led NGOs to attend regional meetings that discuss and feed into decision making (this was swiftly implemented in most regions but did encounter resistance in others). The Camp Coordination and Camp Management Cluster team also acted quickly to add the details of the sites to their lists for assessment and support. Since then, minority led NGOs have continued to identify and supply details of minority settlements that are not listed or receiving support to these authorities. This should not be necessary as these sites should have been identified via routine monitoring and data collection, and together with the fact that these efforts are not being resourced by the organisations in question who are entirely reliant on the goodwill, ability to meet the travel expenses incurred and voluntary time given by the minority led organisations who prioritise this effort in the hope and trust that identification of sites will flow into assessment and equal access of these camp residents to aid in due course.

Both WFP and CCCM have strong commitments to LNOB, and inclusion. For example, the CCCM handbook states:

“Generating a representative site governance structure that includes women, children and minority groups will be different in each operational context. [...] The barriers (cultural, physical, or socio-economic) that could impede certain groups from participating meaningfully in governance structures need to be recognised, and measures taken to mitigate these. Understanding the power dynamics already in play in the community, both displaced and host, as well as the barriers that different groups face to participating in decision-making, are crucial steps to define the best way to work towards increasing the participation of all groups.”⁴⁹

And among the key takeaways and lessons WFP shared with a group of donors in consultations for strategic plans for the period 2022-2025 are “work on **minority inclusion**”.⁵⁰

However, mechanisms routinely in place in such institutions may have unintended effects. WFP currently requires that a local implementing partner has a reference from the local authority. This is a precaution relating to both security but also for added local ownership and in most contexts makes perfect sense. Given the clan dynamics in Somalia, however, when local authorities are dominated by one clan (which is normally the case) and given that minorities are severely under-represented in all local structures, this has strong potential to bias partnerships in favour of those more closely associated or aligned with the locally dominant clan. NGOs associated with a majority clan that is not locally dominant might be able to benefit from reciprocal arrangements to provide references in each other's areas, but NGOs associated with minority clans will not as they do not control any areas.

⁴⁸ <https://reliefweb.int/report/somalia/wfp-somalia-2020-annual-country-report>

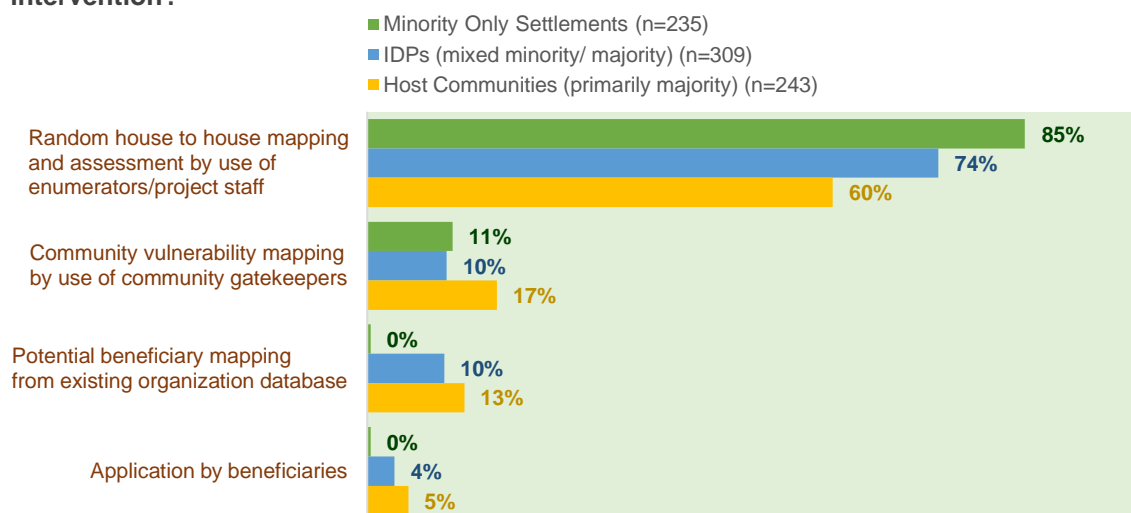
⁴⁹ <https://cccmcluster.org/sites/default/files/2021-03/Minimum%20Standards%20in%20Camp%20Management-%20Field-testing%20edition.pdf> (page 24)

⁵⁰ Unpublished WFP consultation document in .pdf shared with the authors.

Half of those in IDP camps (48%) had been identified or recruited to be a potential beneficiary of an intervention (of any kind), higher than both other groups (at 38% host and 37% minority). There were significant differences in the mechanism by which those in minority settlements were recruited as beneficiaries. Where minority community households had succeeded in accessing benefits, they were more likely to have done so via random mapping (minority 85%; IDP 74%; host 60%) and almost none had been included either because they had applied (0.5% compared to 4-5% of other groups) or were already on an organisation's database (0.5 compared to 10-13% of other groups). The use of gatekeepers to identify beneficiaries was less clear; host community recruits reported this more (17%) than either minority community or IDP recruits (10-11%). This finding suggests that gatekeepers are more likely to recruit majority clan members. The reduced recruitment using gatekeepers in camps may reflect camp oversight pressure to move away from this as a preferred recruitment strategy, a positive move for minority clan members.

Figure 2. 3 Recruitment criteria for interventions

Through which criteria did you or member of your household get recruited into the intervention?



Of concern to longer term movement towards a more equal society in Somalia, were the patterns relating to efforts intending to allow households to lift themselves out of poverty or to increase resilience in the face of frequent and somewhat predictable shocks (see [Figure 2. 4](#)). Those in IDP camps were more likely to report having access to skills training programmes (28%) than those in host communities (20%) or minority settlements (17%), but a far larger differential was seen in both access to micro credit and business support services where those in minority communities (both 8%) were around 1/3rd of those in the other two settlement types.

Text box 3 SomReP

SomReP

A consortium of organisation (SomReP) works on increasing the resilience of vulnerable households in Somalia, with Swiss support, a 2018 evaluation,⁵¹ despite confirming:

“These forms of social capital are particularly important in Somalia where social dependency on clans is prominent”

did not directly address the issue of minority (or other) clan inclusion or exclusion in the work. One conclusion noted that

“... targeting for other high impact interventions did not appear to be sufficiently deliberate “

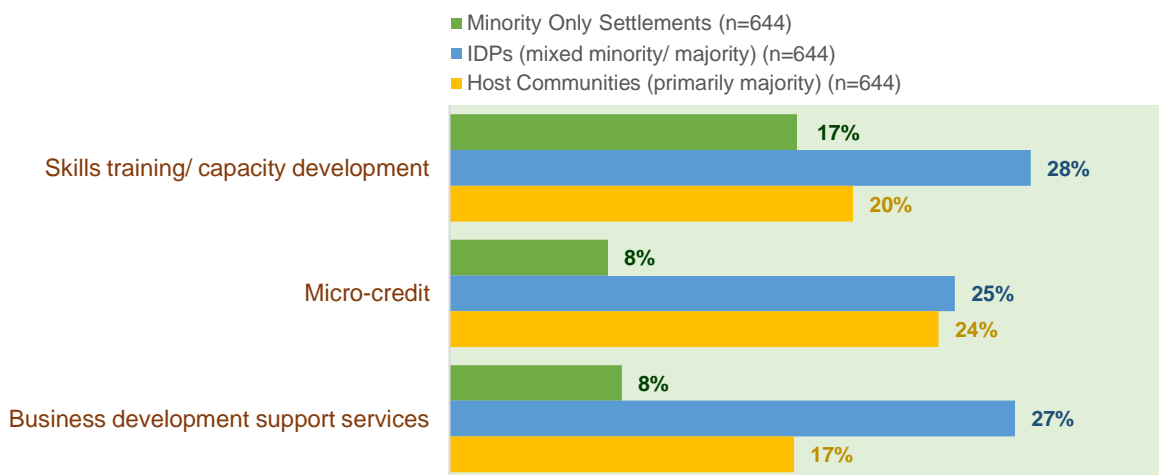
Even when the next steps to address this are detailed, the issue of minority clan membership is not listed as a factor which might affect vulnerability and access

⁵¹ Somalia Resilience Program, Positive Deviance in Somalia: Why are some households more resilient than others? 2018

“SomReP should conduct a study to determine thresholds in the amount and timing of various high impact interventions in different segments of its target population, namely, IDPs, pastoralists, agro-pastoralists, peri-urban, the poorest segment of community.”

This is one missed opportunity to explicitly mention minority clan members, and whilst it might be expected that they would be captured under the “poorest segment of community”, the exclusion dynamics, invisibility and lack of connections of minorities mean that unless explicit targeting and/or explicit mainstreaming is in place interventions risk not reaching them in equitable ways.

Figure 2. 4 Access to social safety nets (selected answers only)



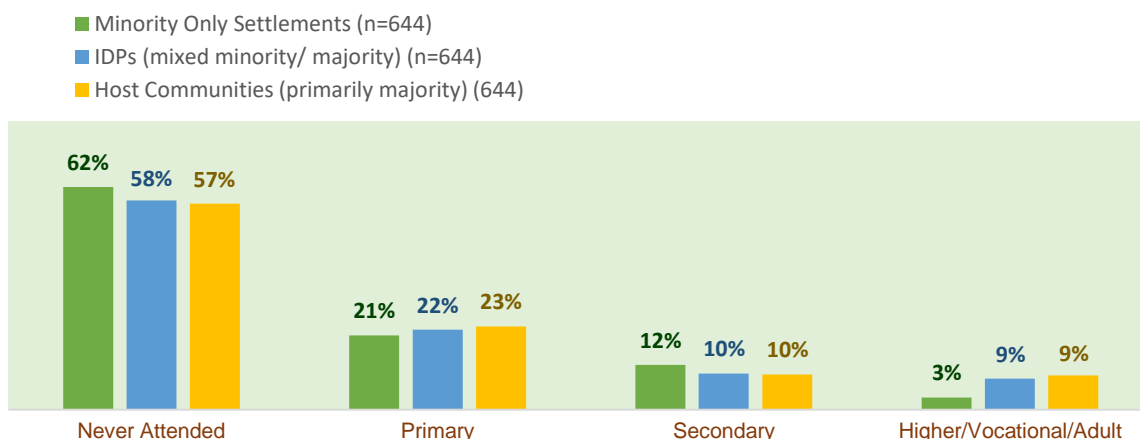
In summary those in minority settlements were more likely to be in precarious work, more likely to be hungry, but less likely to be the recipients of food aid and also less likely to be supported to become self-sufficient or more able to survive shocks in future.

Access to Services. As can be seen in **Figure 2. 5**, respondents in minority community settlements were slightly less likely to have attended school at all and were significantly less likely to continue education beyond secondary school with about one third of those in minority settlements benefitting from post-secondary education of any kind compared to both other groups. This is despite the fact that a slightly higher proportion of the minority settlement groups did attend (at least some) secondary school. When asked about whether their children were in school, minority settlement resident members were equally likely as others to refer to poverty related reasons for children not attending school (inability to pay school fees or to pay for books/pens/uniform.) Notably very few of those in minority settlements stated that their child was not in school because he or she had been made to feel unwelcome (e.g., as a result of racism, discrimination, bullying etc. This contrasts with past reports from minority community members⁵² and is a welcome finding.) Further analysis of the education findings on the 35% of respondents who did reveal a clan heritage shows interesting differences within different settlement types; self-identified minority community members living within host communities were significantly more likely to have never attended school (88%) compared to either majority clan members in the same kinds of settlements (70%) or minority community members living in IDP camps and minority only settlements (64%-60% respectively). They were also roughly half as likely to have attended primary school (12%) and none in this group reported attended secondary school, let alone university or adult education or training. In contrast self-identified minority clan members living in minority settlements were as likely to have attended both primary school and secondary school as others. Self-identified majority clan members however showed no significant differences in terms of having never attended school cross the three site types (at 68-70%). These results are interesting, suggesting that minorities who live in discrete settlements fare better than those who live intermingled with majority clan members but can only be taken as indicative; firstly, they are based on only 35% of the full sample and secondly, we cannot exclude the possibility that the willingness to answer the clan question correlates with education level and could affect the results, nor that a further independent variable links the two (e.g. that higher levels of conflict in the locality are linked to both lower education completion and willingness to answer the clan identity question). Further research on where minority clans are found in Somalia and the situations of those who live within majority clan settlements and those who live apart is required.

⁵² <https://minorityrights.org/publications/looma-ooyaan-no-one-cries-for-them-the-situation-facing-somalias-minority-women-january-2015/> (page 17)

Figure 2. 5 Education levels

What is the highest level of school you attended?



The survey asked about distance from respondents' homes to the nearest water, sanitation, primary school and health clinic with a qualified medical professional. The data does not suggest that those in minority settlements live on average further from these services.

To better understand minority clan members concerns about access to health, we looked in more detail into the siting and services provided by a clinic in Hargeisa which was set up in 2019. The clinic is titled Daami B Health Centre. Daami B is an IDP camp in Hargeisa which is known to have a large number of minority residents. The Daami B Health Centre is, however, sited neither in nor adjacent to Daami B IDP camp. It can be found in a majority clan residential area, off paved roads, approximately 1.2km and 14 minutes' walk from Daami B (see [Text box 4](#)).

Minority leaders believe that the justification for the creation of the clinic was correctly assessed high levels of unmet health needs among the minority and IDP populations in Daami B, but that the siting of the clinic signals that the authorities or decision makers subsequently deprioritised those needs. Our main survey was not able to go ahead within Daami B (see footnote [22](#)), but we did carry out two small auxiliary surveys, one of Daami B residents concerning their awareness of the clinic and an exit interview of those using the clinic on a particular day. For the latter, on the day in question, 60% of the clinic users were NOT Daami B residents. Of the users who were Daami B residents, one in four reported that they had not had their health needs met, excluding one other group,⁵³ 91% of the remainder of those exiting reported having had their needs met. Of the survey carried out within Daami B, 71% of the camp residents consulted were aware of the clinic but of those who had used it, none rated their experience of doing so positively. (In fact, both Daami B residents and others reported low levels of satisfaction with the clinic services).

Clearly, this requires further detailed research to understand fully, but the title Daami B, given to a clinic which is not in or particularly close to Daami B, which seems to serve the majority settled population at least as much as, if not more than, the (largely minority) IDP population suggests to minority community members that aid given in their name is being used to benefit others. The lack of consultation, transparency around decision making and good faith contacts between the decision makers and the minority communities in question add to this level of suspicion.

⁵³ One other group, residents of Sheek Madhar, was even more likely to not receive the treatment or service sought with 43% of residents from there reporting this. If this group are excluded the remaining clinic users were almost all able to receive treatment/the desired service with 91% reporting that they had done so. It must be noted that the results were obtained on the basis of a single survey on one day only and the numbers involved were small (47 for the Daami B survey and 30 for the clinic exit interview).

Daami B IDP settlement: Gabooye minority

"If donors intended the clinic to benefit Daami B residents (who are largely minority clan members), why wasn't it built inside the camp or at least close to its border and not hidden away in a residential area where majority clan members reside?"

Daami B resident

DAAMI B HEALTH CENTRE PATIENTS

40%

A small exit interview poll showed that only 40% of those attending the clinic were Daami B residents, a quarter of whom reported they did not receive the sought treatment.

DAAMI B MCH TSP/PMCH PROGRAMS ARE SUPPORTED BY WORLD FOOD PROGRAMME (WFP) IN COLLABORATION WITH MINISTRY OF HEALTH AND HEALTH POVERTY ACTION

Individual Ration	Family Ration
C.S.B=7.5kg	Cereal = 35kg
Oil=0.75kg	pulses = 15kg
Plumpy Nut=2.5kg	CSB = 100kg
	oil = 52kg
	TSP/PMCH
	Plumpy Supp=2.75kg or 3kg

Figure 2. 6 Do you feel safe walking around your locality/neighborhood?

- Minority Only Settlements (n=137)
- IDPs (mixed minority/ majority) (n=130)
- Host Communities (primarily majority) (n=134)

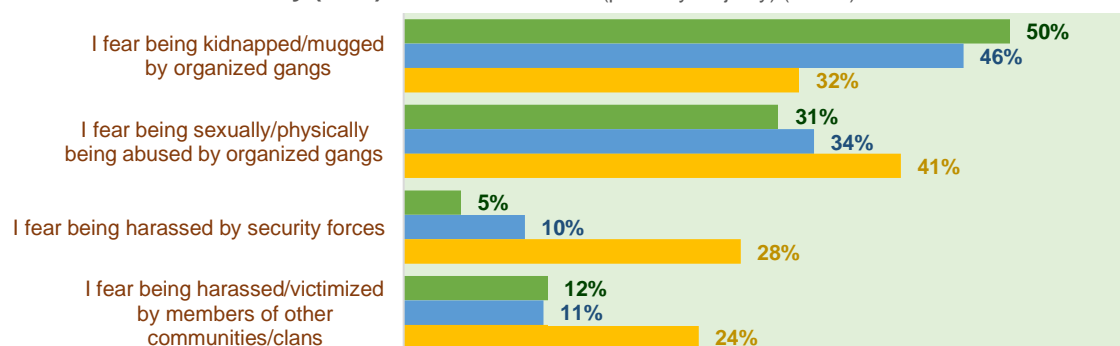
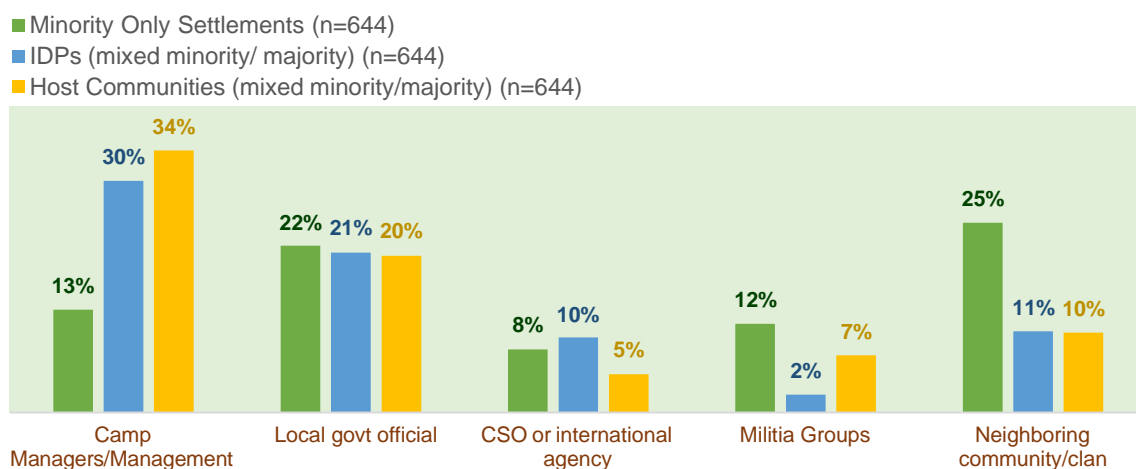


Figure 2. 7 Sources of problems for residents

Which agencies or individuals (whether within your locality where you reside or outside of it) would you say create problems for people living in this camp/place?



The main take away from this question is that those living in minority settlements were more than twice as likely to name “Neighbouring community/clan” as a source of problems (minorities 25%; hosts 10%) and those in minority only settlements were also more likely to report “militia groups” as a source of local tension, possibly a reflection of minorities’ lack of access to political (and linked) military influence and protection. When we reviewed this data from respondents in all settlement types through the lens of minority/majority self-identification, the findings re the militia were confirmed (indeed the difference between minority and majority respondents was 7-fold but the finding re neighbouring community/clan was no longer found. At the time of the fieldwork in Somalia (December 2020/Jan 2021), tensions between the majority clans were rising due to the postponement in Sept 2020 of the electoral process and political transition. The fact that minorities consistently reported more problem creation by militias, and those in minority settlements reported the same of neighbouring communities/clans, even during this period of high tension is therefore concerning. One explanation may be that in many areas of Somalia, different majority clans live in relatively separate places and do not encounter each other regularly except along “borders” whereas minorities are more likely to live in small pockets interspersed within the “territory” of a majority clan. Only a census or mapping that identifies minority populations across Somalia is likely to be able to provide certainty on such outstanding questions.

Whilst not directly related to our subject it is concerning that 30% of IDP respondents named camp management (see [Figure 2. 7](#)) as a source of problems.⁵⁴ Another significant finding is that minorities were less likely to name camp management as a source of problems. To investigate this further, we broke down the responses from all respondents by those who had self-identified as members of a minority clan, this analysis revealed that when looking at all sites self-identified minority clan members in fact more often attributed problems to camp management. However, seemingly in contradiction to this was the fact that only 13% cited the same response when they were residents of a minority only settlement, which suggests that minorities who live independently from others, where those in charge of the settlement are themselves minorities, feel more positively about the way affairs are managed.

Participation, feedback, accountability. There was some evidence that minorities were less well consulted in the design of interventions (only to a small extent or a very small extent; minorities 86%; IDPs 80%; host 79%).

The survey asked about awareness of feedback mechanisms. This was asked of all respondents as well as separately to those respondents who had actually benefitted from at least one intervention with the results being shown in [Figure 2. 8](#). In general, those in minority only settlements were less likely to be aware of how to raise a complaint or give feedback (minority; 40%, host 45%; IDP 53%), of those who were aware, they were also less likely to have actually made a complaint or given feedback (minority 63%; IDP 72%; host 76%). For those who had accessed an intervention, although minority

⁵⁴ Other concerning specific results within the dataset included 48% of all respondents in Kismayo reporting that camp management was a source of problems, and the 86% of all respondents from all sites in Barawe reporting that a local government official was a source of problems

settlement respondents were slightly more likely to be aware of a feedback mechanism (minority 86%; host and IDP both 82%), they were still less likely to have used it (minority 55%; IDP 68%; host 74%). For those who were aware of ways to complain or provide feedback, there were interesting patterns in the types of mechanisms known about; with host communities more likely to rely on phone, gatekeeper and physical visits, those in IDP camps least likely to cite phone-based methods, (possibly because they have access to providers more directly), and those in minority settlements least likely to cite gatekeepers but most aware of phone-based methods. The latter is an important finding given the move towards phone-based sources of information gathering during, and potentially post, covid.

Figure 2. 8 Awareness of any/all feedback mechanisms

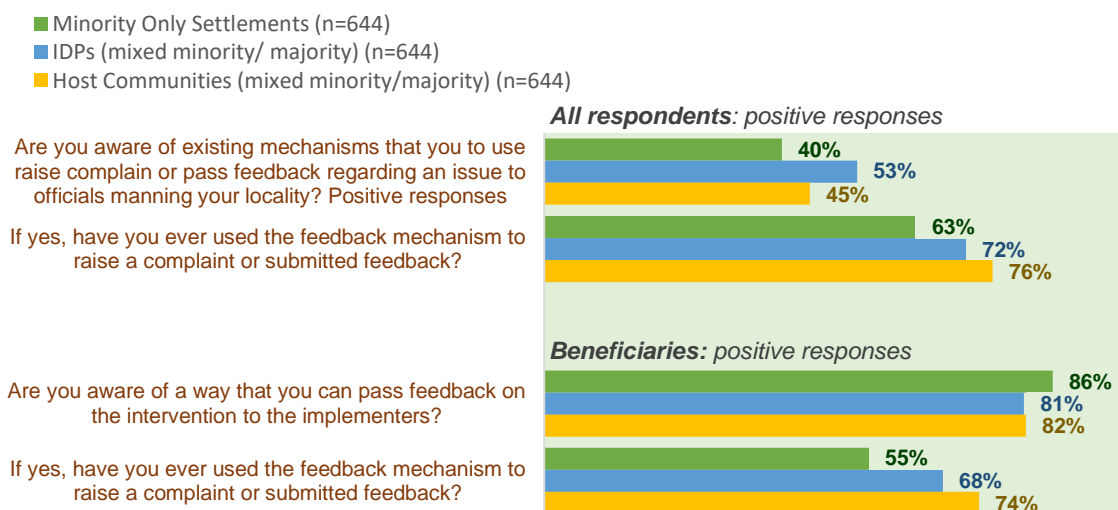
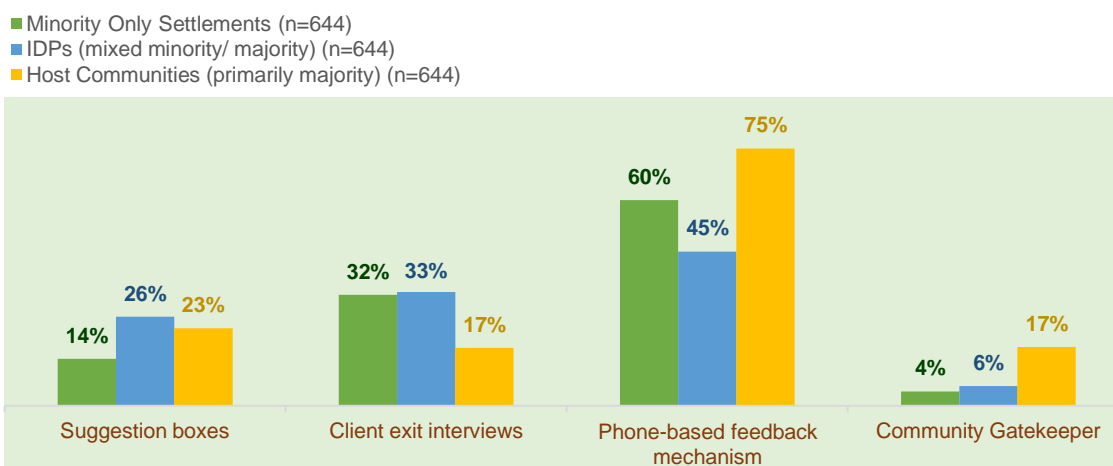


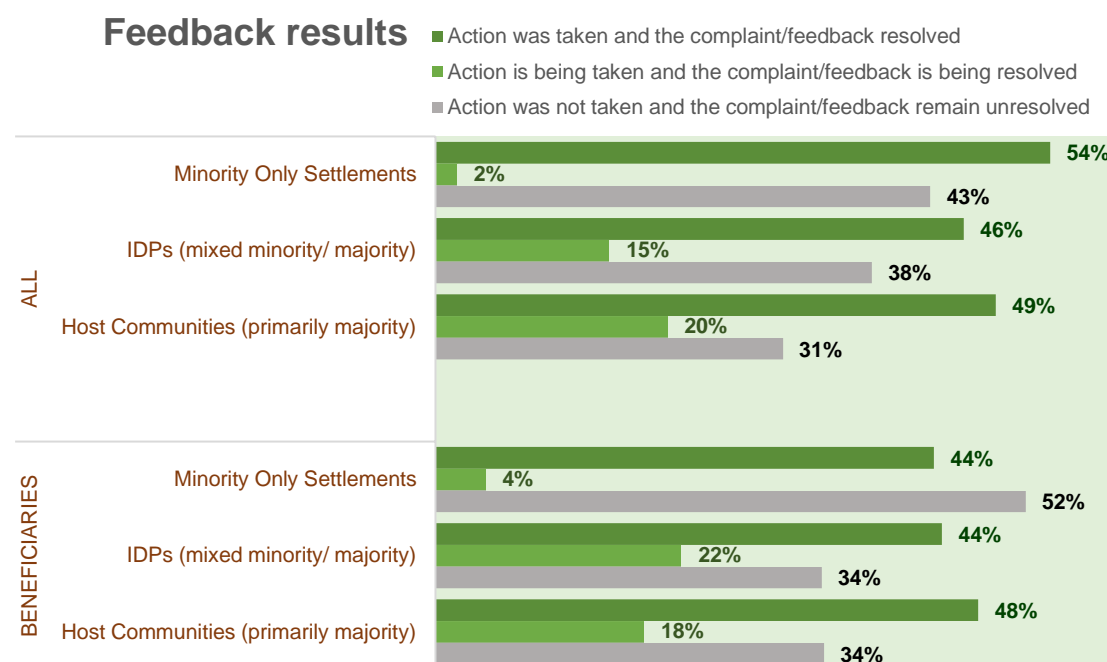
Figure 2. 9 Available feedback mechanism(s)

If yes, please state the existing feedback mechanism(s) available



Those in IDP camps most often reported that they did not use complaint mechanisms because they did not need to raise any issue and for IDPs in camps trust in complaint mechanisms was high at over 95%. Those living in host communities and minority only settlements were much more likely to report distrust in these mechanisms although these levels were still relatively low (12% and 13.5% of all responses respectively). Clear differences were found in the responsiveness of those responsible to the feedback or complaint by minority, IDP and host settlement (see [Figure 2. 10](#)). Minority settlement residents were slightly more likely to have already had a positive response to their issue (minority 54%, host 50% and IDP 46%). Minority settlement residents were much less likely to be promised something would be done and to be waiting to see the result (minority 5%, host 18%, IDP 22%) meaning that overall minorities were slightly more likely to be left feeling that nothing had been nor would ever be done (that they were aware of) (minority 43%, IDP 37% and host 30%).

Figure 2. 10 Response to feedback



Again, we analysed this data by the self-identification of minority v majority clan by respondents from all settlement types which showed that those identifying as minority were overall slightly less likely to have had a positive outcome of their complaint (65% minority clan; 73% majority clan) and that they were in fact twice as likely to have had no positive outcome, or to be unaware of it (30% minority clan; 18% majority).⁵⁵

As can be seen in **Figure 2. 11**, those in minority settlement households are equally likely to own an analogue phone (which is important in allowing access to e.g., complaint and feedback mechanisms), and feel that they can use the internet, but slightly less likely to own a smart phone, have access to a computer or a radio. However, the differences are not sufficiently significant to indicate that surveys that rely on making calls to beneficiaries or potential recipients may introduce a bias against already poor minorities due to their lower access to phones and connectivity. However, large differentials were seen when respondents were asked about where they find information (see **Figure 2. 12**). Minority communities were much more likely to gain information from the radio (42%, compared to 27% for both other groups) and less likely to gain information from community meetings or elders (combined 3.6% compared to over 20% for both other groups.) This strongly supports reports that minorities are excluded from or made to feel unwelcome at decision making and consultation community meetings and that radio is an important communication method for these groups.

⁵⁵ As mentioned above as only 35% of the sample overall were willing to reveal a clan heritage, this analysis is based on a much smaller sample and should be viewed as confirmatory or indicative and not definitive.

Figure 2. 11 Access to media devices and communication platforms

Do you or your household own or have regular access to any of the following media devices or communication platform?

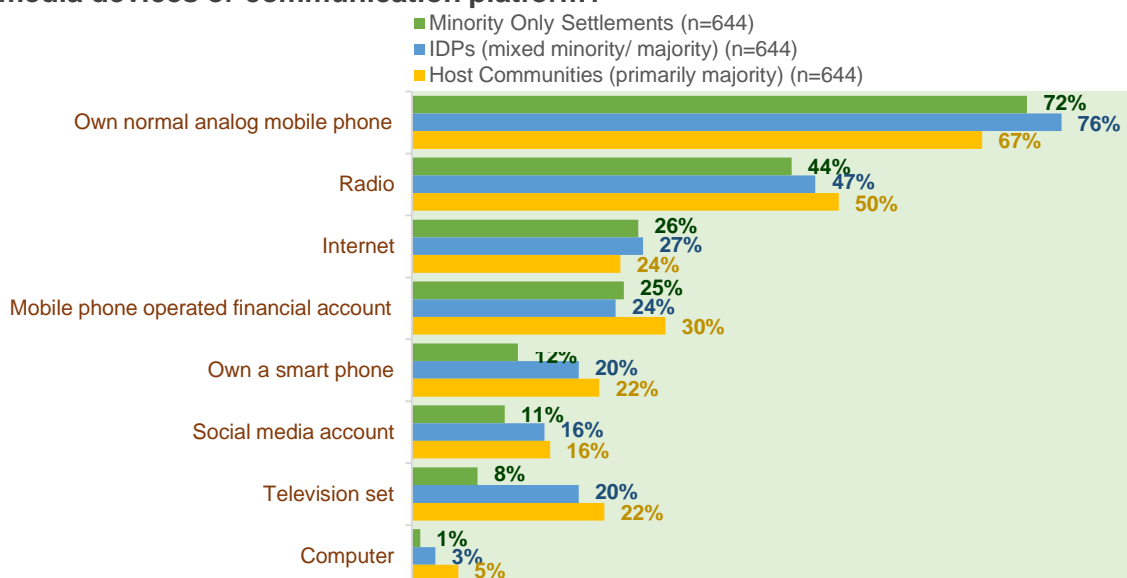
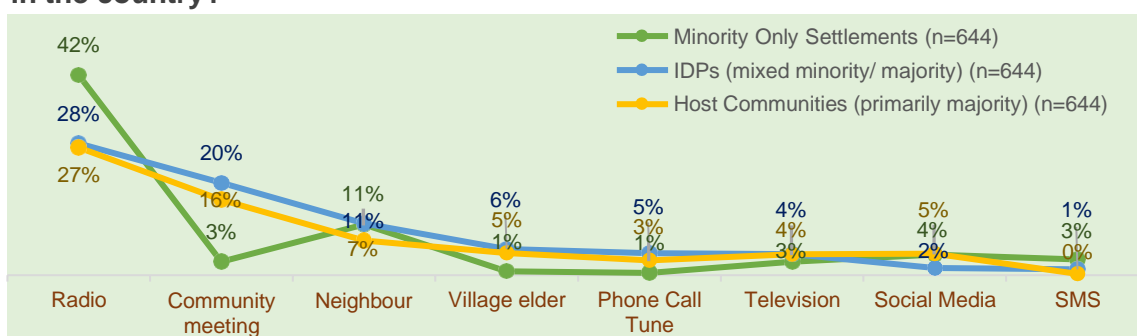


Figure 2. 12 Main source of information

What is your MAIN source of getting information on current development trends in the country?



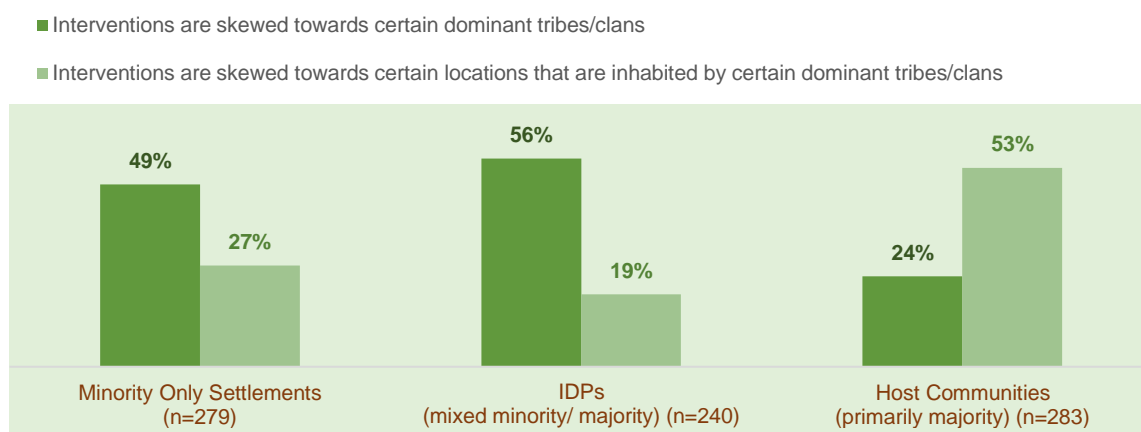
These findings suggest that minorities participate less, complain less and may get fewer positive responses to complaints. They rely more on the radio for information than other groups.

Perceptions about Aid Equity. Minorities were more likely to answer “no” as to whether all groups in their locality were treated equally (minorities 13%, Host 8%, IDPs 2%). This last figure does also suggest that experiences in IDP camps may be more equal than in settlements that are not under the sustained influence of international agencies.

Importantly more than half of those who responded to a question about whether aid and development interventions integrated everyone overall – all settlement types - answered no. There were some differences with those in minority settlements and host communities more likely to say no (minorities and hosts responding no outweighed those saying yes by 13% and 10% respectively). Those in IDP camps were more likely to say yes than no (by 3%). When the group who stated that interventions did not integrate everyone were asked why this was the case, some interesting patterns emerge⁵⁶ (see **Figure 2. 13**). Host communities attribute interventions not reaching communities to the choice of location (i.e., interventions happen to target places where majority clans are found). The other two groups were more likely to attribute exclusion to skewing or a bias towards the dominant clan’s members per se.

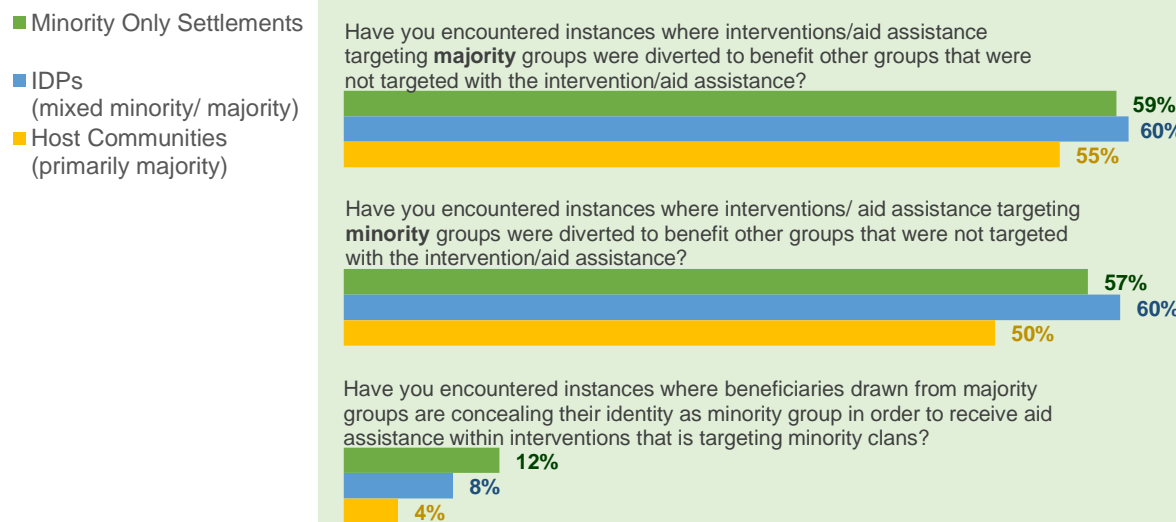
⁵⁶ By region as well as by minority/majority. Those responding “Interventions are skewed towards those of certain dominant clans” ranged from 14% in Kismayo to 72% in Barawe. Those responding “interventions are skewed to locations occupied by certain dominant clans/tribes) ranged from 11% in Galkayo to 55% in Borama.

Figure 2. 13 Reasons for exclusion from interventions



When we factor in self-identification of clan heritage, even more variation emerges with 74% of those self-identifying as minorities living in primarily majority host communities reporting skewing towards majority inhabited areas (compared with 49% of the same group living in minority settlements and a much lower figure of 21% in IDP camps). However, when asked about aid diversion, (see [Figure 2. 14](#)), more than half of all groups confirmed that they had encountered instances where aid intended for a majority group had been diverted to those not initially targeted. And only a slightly lower proportion (still over half of all groups) confirmed that aid intended for a minority group had been diverted to those not initially targeted. The differences between groups were small but with host communities slightly less likely to confirm both. When asked whether they were aware of instances where “beneficiaries drawn from majority groups are concealing their identity as minority group in order to receive aid assistance within interventions that is targeting minority clans” overall the numbers agreeing were lower and there were clear differences in responses with minority settlement respondents 1.5 times as likely to agree as IDPs and three times as likely to agree as host communities.

Figure 2. 14 Aid diversion (positive responses)



When asked to provide more detail on the above questions, some answers included:

“For example, immunization programme for ... this district it was planned 260 beneficiaries for the District - the DC took 200 people from his clan and give minority 60 only”

“There was a time when an agency refused to give food to minority groups”

“The bigger clans are given larger portions.”

“We have several times seen majority clans being disguised as minority clans in food distribution.”

Text box 5 Minority exclusion mechanisms

Minority Exclusion mechanisms

According to minority led NGOs, there are three main modalities of minority exclusion:

- A. Minorities who live in minority only settlements are not assessed for aid or development interventions (see **Text box 2** on WFP/CCCM). They do not appear on lists of potential beneficiaries or those who should be consulted.
- B. Minorities are included in those assessed, with evidence of low food security etc being used to justify interventions but then minorities are not included as beneficiaries for the resulting intervention, or a proportion of the aid or development intervention intended to benefit minorities is directed to others (normally members of a powerful majority clan members' extended clan group). (See quotes above and from MCAN study page 40/41)
- C. Minority IDPs who live in camps run by or on land owned by majority clan members have no choice but to share a proportion of any benefits intended for the use of their household with camp management or gatekeepers. This is similar to rent but is calculated more like a tax with residents sharing a proportion of their income with the landowner and not a fixed amount. (See quotes from MCAN study page 40/41)

When asked what five actions could be used to promote the mainstreaming of minorities as beneficiaries in aid and development interventions in their locality, the general ordering of preferences between the group was roughly similar with all groups recommending first 'inclusive policies and legislation', 'communication and information' and 'transparent, and accountable decision making'. After this the three groups parted company with those in minority settlements ranking fourth 'tackling discrimination' but the other two groups ranking that 12-13% points lower and after 'affirmation of human rights'. It is important to note that very few respondents felt that moving to one person one vote would provide a solution to minority problems in Somalia (less than 5% in all groups and lower again in the minority settlement group at 3%). Other much discussed solutions were equally unpopular with supporting minorities to make complaints selected by very few (and even fewer minority settlement residents) and ensuring feedback is acted on also scoring very low.

Text box 6 Pros and Cons of One Person One Vote in Somalia: minority exclusion

Pros and Cons of One Person One Vote as a solution to minority exclusion in Somalia

Experience in Somaliland suggests that a straightforward move to OPOV may well result in lower minority representation than the current 4.5 arrangement (which results in 1/9th of positions being allocated to minorities). Minorities are present in the Parliament in Hargeisa (in very small numbers) primarily due to a quota and it is argued that voters vote largely along clan lines and following the instructions of clan elders (see footnote 40). However, whilst the unavailability of census data remains a challenge, it may be the case that specific areas of the FGS where minority communities form a majority, would benefit markedly in ways that differ from the Somaliland experience. This will, naturally, depend on how or where constituency boundaries are drawn and the exact OPOV electoral system selected, as well as other enabling factors being in place.

In the FGS, discussions have continued with frequent commitments made to move to OPOV in the FGS area over at least the last 5 years with extremely limited actual progress. Despite the experiences in Somaliland, minority activists and leaders in the FGS area are extremely critical of the 4.5 formula as it strongly symbolises their being valued at half the level of other communities. Three potential ways forward can be envisaged:

1. A move to OPOV in FGS and in each FMS with no quotas in place for majority clan candidates but quotas in place for both women and members of minority clans. This would be a good outcome but remains politically challenging in terms of feasibility.
2. A move to OPOV (without quotas) in FGS which may result in minority representation falling below current levels in the short term but with a consequential long-term improvement in demand-side accountability claims and decision makers increasingly assessed with regards to their record in office rather than clan representation. It is possible that the growing numbers of younger Somalis who feel clan affiliation less acutely, those Somalis who live outside their

clan's stronghold areas, those of lower status sub-clans within the majority clans as well as minority clan members would push (given adequate civil space) for a more effectively functioning democracy. Given limited civil space and security it may well take years, if not decades for this to feed through into a more egalitarian and inclusive as well as better functioning political system.

3. A fall-back position, if substantial moves towards OPOV are not forthcoming in 2021/2022, as promised (again), would be to call for a change in the formula from 4.5 to 5 with minorities benefitting on an equal basis with other clans. This would remove the hated "half value" attributed to minorities, but it would necessitate the organisation of disparate groups of minority communities, of many different types unified only by the discrimination that they all experience, into one cohesive or at least cooperating group. It has the disadvantage of removing the link between record in office and election, and it would further solidify the clan basis for elections, albeit on a more equal basis.

Willingness to answer clan heritage question. The question asked in our survey was:

"As a Somali/Kenyan/Ethiopian Citizen, from which ancestral lineage do you identify yourself with?"

As noted above 65% of respondent declined to provide a meaningful answer but 35% did. And it must be noted that the question asked about all clans and not just minorities and so was of the more sensitive/ambitious type. The answers were coded by the research team using their knowledge of minority /majority clans.⁵⁷ As noted above, this was not the primary means of identification, but was used as a supplement to the settlement type proxy and was used to confirm the general appropriateness of that as a useful proxy, given the existing paucity of data on this question. The overall figures mask concerning variations in the willingness of respondents to reply with certain districts returning literally zero willingness (including Kismayo and Barawe) but in other regions a large majority of respondents were willing to provide this information (Borame 86%.) It is not possible to estimate whether minority communities were more willing to self-identify as we have no baseline/census disaggregated data regarding the proportions of the different populations in Somalia, but it may not be a coincidence that a very high 69% of all settlement types surveyed in Borama reported an identity that fell within a minority community and thus it was the district with both the highest willingness to state clan heritage overall and the district with the highest proportion of those responding being of a minority heritage.

It is clear that the acceptability of the above question was highest in Somalia and Puntland and lower in areas further south. However, enumerators reported no adverse security concerns as a result of asking the question (which was asked last, to avoid the risk of losing other data if respondents did object to it.)

Triangulation data. So far as the authors are aware, this is the first study that has reached a relatively large number of minority only settlements in Somalia/Somaliland to gather data on their situation, experiences and views. We are aware that a high degree of political and social sensitivity surrounds our findings. For that reason, we have made an effort to seek evidence from alternative available complementary sources and compare them.

In partnership with the CCCM Cluster, the 2021 Detailed Site Assessment (DSA)⁵⁸ included both direct and proxy indicator questions aimed at capturing data concerning IDP sites with minority groups residing within these settlements. The data was collected by strengthening the assessment methodology to include four site-level key informants and a snowballing sampling method that aimed to increase the likelihood that key informants from minority groups or other vulnerable demographics were included. Some results are shown in the table below:⁵⁹

Table 1 2021 Detailed Site Assessment Results

# of IDP sites and exclusion issue identified	Location of IDP sites
222 IDP sites cited impediments for minority groups accessing sanitation supplies	Afgoye (6 sites), Baidoa (78 sites), Daynile (32), Galkaayo (8), Jowhar (11 sites), Kahda (14 sites), Kismayo (17 sites)

⁵⁷ We did not ask individuals to self-identify as minorities or not, as firstly the definitions are not clear, and secondly there have been instances of majority clan members assuming minority clan identities where they believe that this will result in them benefitting from an intervention.

⁵⁸ The current full data set not yet publicly available at the time of writing

⁵⁹ Data supplied by CCCM cluster team March 2021

150 IDP sites mentioned impediments for minority groups accessing non-food items	Baidoa (100 sites), Daynile (11 sites), Kismayo (9 sites), Kahda (7 sites)
179 IDP sites stated general impediments for minority groups when accessing services and support	Afmadow (7 sites), Baidoa (61 sites), Beletweyne (6 sites), Burco (8 sites), Daynile (12 sites), Jowhar (8 sites), Kismayo (23 sites)
38 sites cited that minority groups face impediments in all three indicators	33 of these sites are in Baidoa, 2 in Yaawshiid, 1 in Ceel Waaq, 1 in Daynile and 1 in Xamar Weyne

Overall, this DSA data supports the finding that minorities do face barriers when accessing aid interventions. Whilst the number of sites is relatively small (in comparison with the total number of sites surveyed - 2,344), it must be noted that the methodology of snowballing from the camp management was one that was less likely to encourage revelations of barriers (see also finding above re camp managers as a source of problems for minority clan members in non-minority only sites) and that whilst efforts were made to reach out to minorities (by including a Mai Mai speaker in settings where this would be spoken by minority clan members), this approach was partial and was only adopted in a minority of sites.

The Somalia Protection Monitoring System (SPMS)⁶⁰ is maintained by the Somalia Protection Cluster. It uses a consistent team of anonymous but authoritative informants and asks a set of questions each month to all informants concerning protection incidents. Just over 20% of these informants have been coded as speaking for “marginalised communities” and the data collection team confirmed to the authors that this is interpreted as speaking for minority communities as defined by our study. The SPMS portal was designed to portray the evolution of protection concerns (and successes in countering them) over time. However, the system allows a user to view, at any one given time, information provided by those speaking for marginalised communities and those who do not.⁶¹ The figure below shows extracted data from the portal that allows direct comparisons between those speaking for marginalised groups and not,⁶² for a small selection of the data shown. This data is broadly supportive of the conclusions drawn above and in particular the SPMS system shows:

- Minority community informants consistently report higher levels of exclusion from aid and extortion/diversion of aid
- Minority community informants more often report that nothing was done about exclusion from aid
- Minority community informants attribute exclusion from aid to discrimination due to social background more than non-minority informants

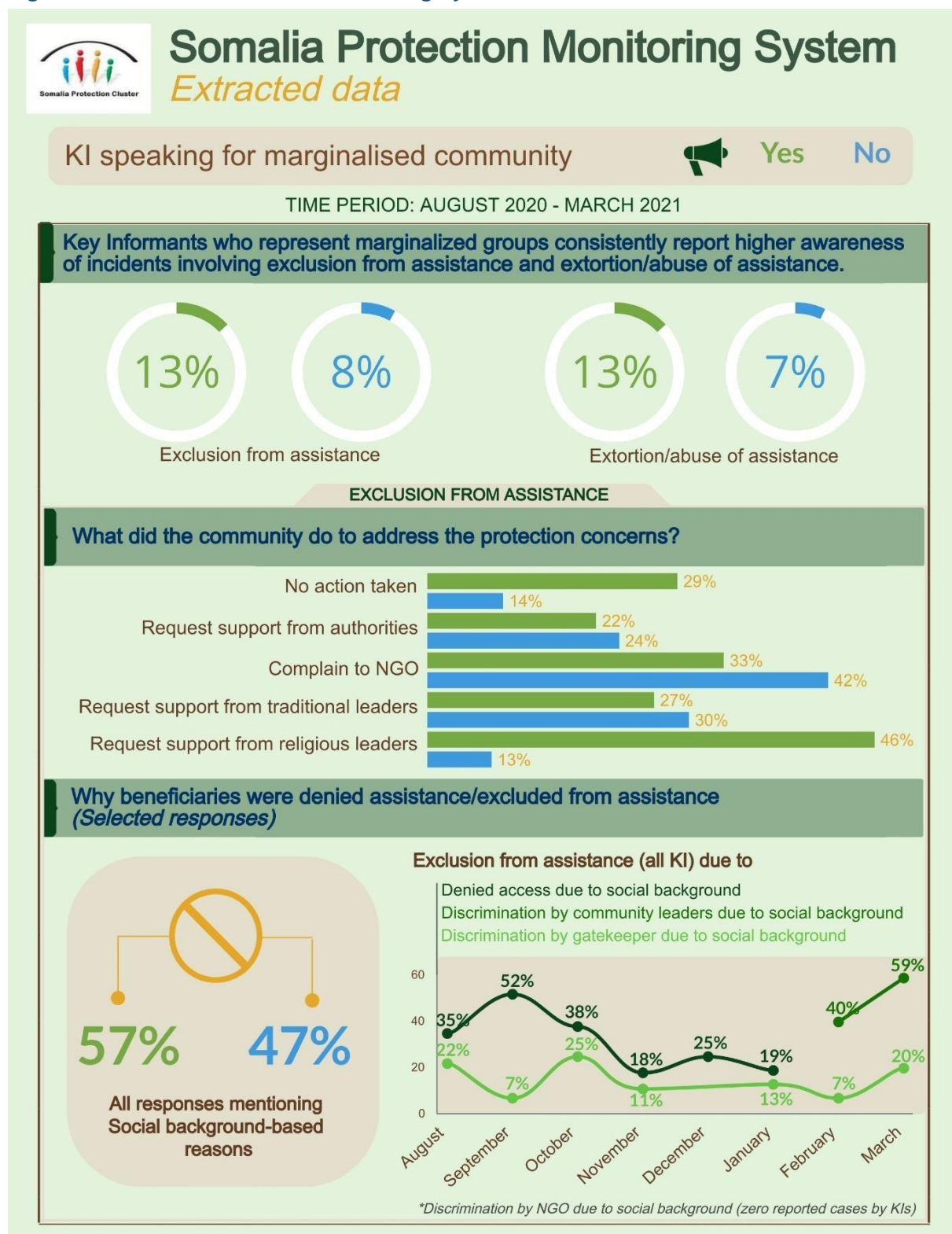
The final graph is extremely interesting as it shows which actors were thought to be behind the exclusion from aid on the basis of social background. Discrimination by gatekeepers is found in all months at a relatively constant level between 7 and 25%; discrimination by community leaders is not present in the first months but is reported at 40% and 59% in the last two months; prior to that, a residual category with no actor cited is the most used. The category of ‘discrimination by NGOs’ was available but was not cited by any informant of either type during this period.

⁶⁰ <https://www.protection.drchub.org/>

⁶¹ It is thereby possible to switch between the two views, however great care must be taken when doing so, due to the design of the system being constructed to show trends over time. The scale of the resulting graphs automatically adjusts to best show those trends, thus a shaded area representing 12% for one group may be same height on the screen as that representing 30% for another group.

⁶² Limited explanations are provided on the site re the statistical treatment of the data, but we are assuming that the results are adjusted per the proportion of respondents of that type (via a significant test or similar.) If not, then the results shown under-report the disparities significantly.

Figure 2. 15 Somalia Protection Monitoring System: exclusion from assistance



A minority led organisation, the Minority Community Advocacy Network (MCAN) carried out a perception survey of 288 individuals belonging to minority communities in Kismayo and Mogadishu in July and August 2019. The findings largely correlate with those of our study (although the MCAN study found more discrimination in access to health and education than our study did). In other respects, the studies align:

"In several groups, [Minority] IDPs mentioned that they cannot access other camps where assistance is provided. When distributions are held in other camps, IDPs are barred from

these camps by the gatekeepers. IDPs are told that assistance will come to their camps, and they have to wait there, but no assistance comes to the sites. Basically, IDPs can only survive from the rare livelihood opportunities, on markets for instance.”

“[Minority] IDPs highlighted that they don’t know where to complain and ask for help. They don’t know where organizations are located, and where to get them.”

“For many IDPs, incomes are very small and irregular. There are days when displaced men or women go to find work and come back to their site at the end of the day, without any money. IDPs and their children have to skip meals, and often go to sleep without food. Often, families share their resources with other families in the site to help them overcome bad days.”

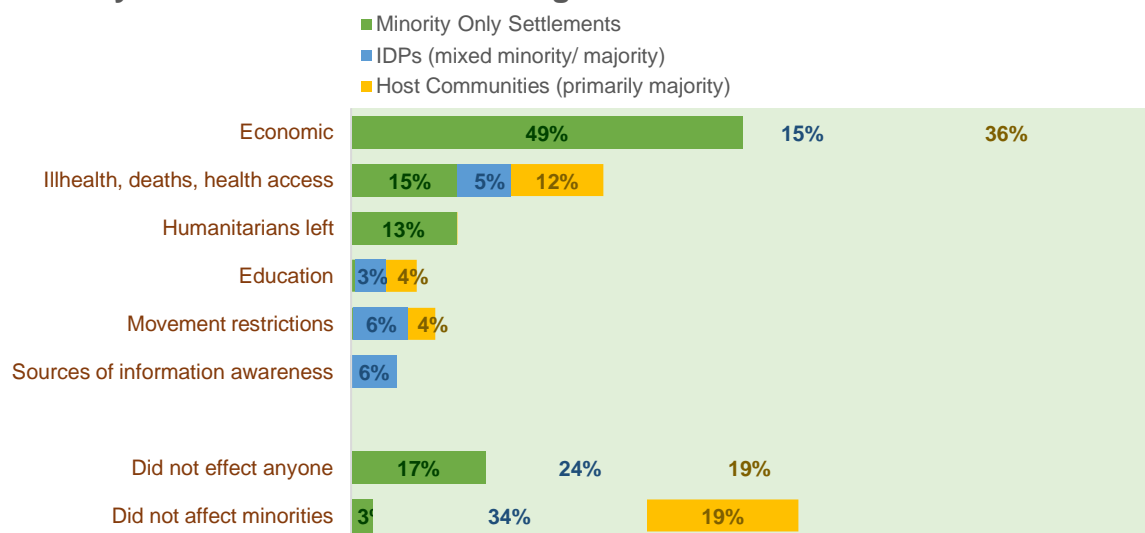
“Gate keeper is here to collect money. Every family gives 5 USD or 10 USD depending on the size of the family, whether you get assistance or not. The main reasons for which the landlord has given us the land is waiting for the assistance, so that he can get his share.”

“One of indication of exclusion was also among out of the six sites conducted for assessment only one site in Kismayo in the Mapping of CCCM cluster whereby the other five are not part yet they have been in the IDPs sites over 10 years.”⁶³

Effects of COVID 19 pandemic on Minority Groups. In a late addition to the plan, the team included questions about the impact of the Covid-19 pandemic on respondents and their households (see **Figure 2. 16**). Linked with the findings on income vulnerability above, minority settlement respondents were more likely to report concerns about food, work and hunger and were less likely to be concerned about impacts on education, movement restrictions per se or access to information. They were significantly more likely to be concerned about the reduction in the activities of the humanitarian sector as a result of the pandemic, (which it is tempting to suggest may be related to new ways of working or recruiting beneficiaries without physical visits to sites, but more investigation would be needed into this).

Figure 2. 16 COVID-19 impact on minority groups⁶⁴

How has COVID 19 pandemic affected minority groups beneficiaries differently from other beneficiaries in general?



2.6 Challenges limiting minority inclusion and important factors

- All those working in Somalia have had access to credible regular reports concerning the fact that aid diversion means that minority/marginalised communities have consistently not benefitted equitably from interventions from before 2011 until now. While some elements of this are contested in some quarters, broadly, there is acceptance that, at least in places, this has occurred and continues to occur. However, action taken to address known factors is sporadic, limited and has limited effects. Actors, and agencies with full goodwill to tackle this may still underestimate the powerful factors that

⁶³ A Survey Report on How the Marginalized Communities in IDP sites in Mogadishu and Kismayo Perceive Their Exclusion, MCAN, August 2019, available <https://minorityrights.org/publications/mcan-report/>

⁶⁴ To facilitate analysis, qualitative data has been coded into major categories.

militate against equity in aid delivery. They take small steps for a short period, perhaps believing that this will bring about change, whereas in fact it does not. All actors in Somalia need to start from the premise that pressures exist which will capture and divert aid and development support unless those pressures are continuously and very actively resisted. The current Somali economic and power structures, which maintain and even deepen inequalities, which have been built on 30 years of aid, are very strongly embedded. A sustained effort lasting a decade is likely to be needed to turn this around fully.

- b) Aid diversion is a much wider problem than minority clan exclusion, with minority clan exclusion forming a sub-set of a wider pattern. Many less powerful or less well-connected households within the majority clans are also losing out a great deal as a result of the pattern of exclusion /diversion and the international community should seek to build alliances and stress the shared benefits of need-based aid and development intervention allocation for both groups.
- c) The incentives for equity in aid interventions (for local staff taking decisions) are offset by incentives and pressures from within clans and Somali social structures to direct aid according to clan loyalties and not solely according to need. These factors need to be openly discussed in all agencies and sub-contracted organisations on an ongoing basis. Currently it appears that in many contexts, incentives for “turning a blind eye” to diversion or minority exclusion outweigh incentives to resist these pressures. It must be noted that those exerting pressure may be known to have used threats or violence against those who oppose them in the past and the risks of doing so are real and not imagined.
- d) The exact mechanisms of exclusion vary greatly, but rest on social hierarchies, unequal access to power, control or manipulation of information flows and inadequate feedback loops. Addressing loopholes, design faults or blind spots in mechanisms will only ever be a partial solution. Wider changes in the political economy of aid and hierarchies in Somali society need to be continuously included as relevant factors fully considered in intervention design in the longer term.
- e) Agencies need to apply a games theory approach to this issue; namely that steps taken by them will result in opposing moves by those who benefit inappropriately from current arrangements. To avoid an “arms race” type situation arising whereby monitoring takes place at higher and higher levels of detail and frequency, (with diminishing cost effectiveness) agencies will need to be very smart and to invest in building more robust and reliable demand side accountability processes and routines.
- f) In some of the conversations and meetings held as part of this research, reference was made to the “Do No Harm” principle and in particular, it was argued that asking questions about minority clan exclusion might result in harm in the form of reprisals against individuals or might result in increased social tensions. Whilst this principle is an important one, there was an apparent tendency to rate the risks of doing harm as a result of a change in policy as higher than the risk of maintaining a status quo that was acknowledged to be doing harm in the form of excluding some groups in a discriminatory way. Not only does this lead to unacceptable discrimination but it also contributes to preventable deaths which themselves “do harm”. These are difficult conversations, but must at the very least involve in meaningful ways those who are experiencing discrimination and must measure and factor in, so far as is possible, what is known about the concrete harm resulting from existing discrimination (e.g., higher maternal and child mortality, malnutrition, stunting, illiteracy, untreated disease burden etc)
- g) Minorities missing out on aid completely are often willing to speak when given the opportunity (when speaking to someone they trust). Essentially, they have a lot less to lose. Speaking against a majority clan, does not entail the same risk of an accusation of disloyalty, nor does it risk cutting off a possible future source of support. Minority clan members are therefore a very valuable potential source of information about aid diversion and exclusion in Somalia/Somaliland.
- h) It is more challenging to get feedback from those whose aid is being skimmed by gatekeepers but not impossible. Minorities in this position risk losing the support that they are receiving, they are much more likely to be individually known to those carrying out aid diversion and thus more likely to be vulnerable to retaliation as a result, nonetheless, they may well be more likely to speak out than any majority clan member in the same situation. However, expecting such individuals to give such information to those who are part of the same clan or who are perceived as being affiliated with or associated with the same clan as those who organise the skimming is unrealistic. It is not that third party monitors or staff working in call centres can never be high integrity trustworthy individuals, even if they are majority clan members, but that they will be perceived as potentially having divided loyalties.

- i) The feedback loop instigated by agencies may focus on those receiving aid or development support and may not encompass those not on lists or not in receipt. Reporting and feedback mechanisms should be spread as widely as possible (e.g., via local radio broadcasts) and should not be only directly linked to those in receipt of assistance. Agencies will need to devote additional resources to taking calls from those who state that they are not benefitting when they perhaps should and investigating all of the circumstances of these households. Building trust in such reporting is essential and agencies must be seen to react promptly, effectively and impartially when reports and feedback come in. The limitations of agencies “self- policing” in Somalia need to be understood and addressed within this.
- j) Monopolies of provision or information flow are easier to capture than systems that rely on multiple approaches. Ultimately, beneficiaries /rights holders should be aware that there may be an option to change the provider/contractor and for them to have influence on this or to have a choice between several options simultaneously. Allowing multiple routes for e.g., information to flow increases the potential for any one person to feel safe using one of them.
- k) Agencies under-utilise the potential of minority led organisations to get aid and development interventions to marginalised communities. They should consider a twin or multi-track approach to “last mile” those who are at most risk of exclusion using minority led agencies as a safety net to catch those who are missed and/or to gather and analyse information about why this has occurred.
- l) All actors need to take every opportunity to openly and honestly share experience and lessons on this as a group and to agree common positions and shared strategies. Institutional knowledge and excellent handover between cohorts of staff whose deployment to work in Somalia for 2-3 years is essential if a decade long and concerted push back is to be organised. The creation of and allocation of time to a minority focal point in each agency would be a good place to start. Those in such a post should have a wide network of minority allies and should induct, train and support all staff on minority exclusion within their agency. They should also ensure that new competing topics do not result in attention moving away from this in future years.
- m) Appointing key staff at local level who are not part of the local dominant clan is a clear route to improved inclusion. Whilst such staff will encounter more resistance from local power holders and they may be more vulnerable in terms of risks, they are not subject to the local clan power dynamics and expectations as a staff member who shares a clan background with local power holders.
- n) Agencies need to continuously push back on statements that discussion of clan affairs is considered to be too sensitive to be asked in monitoring or broached within decision making conversations. Agencies should push back on this in general but in particular should push back on asking about minority clans; citing that discussion of minority clans is less sensitive than discussions that involve local power/resources and the four majority clans. The clan structure is endorsed by the Somali Constitution and suggesting it is “too sensitive to discuss” needs probing and discussion and should not be accepted at face value.
- o) Agencies will need to take a human rights defender/witness protection approach to those who are threatened or face reprisals as a result of sharing information about the diversion or skimming of aid. Accompaniment of minority activists to build back trust and information sharing directly between minority communities and agencies is one potential strategy. Another is the willingness to relocate and protect whistle-blowers or informants who come under threat.
- p) It is not realistic to expect minority community members to compete for jobs with majority clans (setting aside any bias in HR departments) as the current levels of post-secondary education, experience and qualification (in almost all cases, excepting some individuals returning from the diaspora) are too low. Minority focal points, sources of expertise in organisations should be able to operate primarily in Somali and be supported to improve English language skills during their contracts. Individuals should be appointed based on their knowledge of minority communities and dynamics and a proven track record of work on minority rights issues within Somalia.
- q) Agencies should identify a pool of informants on minority issues and should meet with NGO minority staff alone and then meet jointly with them and with minority MPs. Such meetings should be recurring regularly e.g., 6 months or annually and should allow minority informants to surface local information concerning improvements in the aid and development opportunities reaching minorities, continuing problems and /or responses to closed loopholes or system improvements.

Data and Findings North Eastern Kenya

3.1 Context

Within the Kenyan context, the definition of “minorities” has evolved over time. Prior to the promulgation of the Constitution of Kenya, 2010, the definition of “minority groups” was limited to ethnic and cultural arrangements (Abraham, 2012). However, the occurrence of post-election violence in 2008 revealed the need for the definition to be viewed from a localized level – sub-national level. The Kenyan Constitution provides for equality and protection of “marginalised communities” and “marginalised groups.” It defines marginalised groups as persons:

“Who, because of laws or practices before, on, or after the effective date, were or are disadvantaged by discrimination on one or more of the grounds in Article 27 (4)’, including race, sex, pregnancy, marital status, health status, ethnic or social origin, colour, age, disability, religion, conscience, belief, language or birth.”⁶⁵

“Marginalised community” is defined in the Constitution of Kenya as:

“a community which, by reason of its size or otherwise, has been unable to participate in public life in Kenya; an indigenous community that has retained and maintained a traditional livelihood based on a hunter or gatherer economy; nomadic or sedentary pastoralists; and groups which are geographically isolated.”⁶⁶

However, the constitution does not provide a definition of “minorities” perhaps due to the absence of a universal definition of the term. Nonetheless, the definition of marginalised groups and marginalised communities provide sufficient scope to distinguish minorities in the community, considering the dynamic contexts at sub-national level in Kenya.

The North Eastern region of Kenya has historically been significantly marginalized compared to the rest of the country. This is evident from the poor ranking across all human development indices. According to the UNDP, poverty rates remain highest in the North Eastern parts of Kenya, despite a marked improvement over the last ten years. The poverty rates in the remote parts of the North-eastern region are above 70% compared to the 36.1% national average (UNDP, 2018).⁶⁷ Overall, the region performs poorly on indices depicting access to crucial goods and services, particularly access to water, food, proper housing, education and health. This situation is attributable to years of neglect of the region by the government, which has translated into limited development and delivery of public goods and services, including infrastructure, healthcare, education, and security, among others. The underdevelopment has impacted negatively on the ability of residents in the region, particularly minority groups, to access and benefit from public goods and services. This is further exacerbated by the characteristically sparse population in North Eastern region.

According to the Kenya National Bureau of Statistics, approximately 4.5 million people reside within the six counties in the North Eastern region of Kenya. These are distributed as follows: Garissa – 841,353, Wajir – 781,263, Mandera – 867,457, Marsabit – 459,785, Isiolo – 268, 002, Samburu – 310,327 and Turkana – 926,976. The population is comprised of diverse ethnic groups, with the most dominant being the Somali, Turkana, Samburu, Rendile and Degoodi. However, there also exists smaller clans and communities within these ethnic groups.

In Marsabit County, the Borana ethnic group is the most dominant, followed by Gabbra and Rendile. However, there are 8 other ethnic communities residing in the county that are regarded to be minorities, including Sakuye, Burji, Sidam, Watta, Koriso, Elmolo, Dasanach and Turkana. Among these, the Watta, Konso, Elmolo, Dasanach and Turkana have been identified as marginalized communities in the county (NGEC, 2018).⁶⁸ The marginalised communities in the county are characterized by high poverty and illiteracy levels, with limited political representation. In Garissa, Somalis are the most dominant ethnic community. However, there are 8 other minority communities residing in the county that include the Sakuye, Borana, Harti, Boni, Aweer and Watta. The Boni, Aweer and Watta communities are the minority and marginalized communities (NGEC, 2018). Isiolo County comprises five dominant ethnic

⁶⁵ <https://minorityrights.org/wp-content/uploads/old-site-downloads/download-1092-Kenya-at-50-unrealized-rights-of-minorities-and-indigenous-peoples.pdf>

⁶⁶ <https://minorityrights.org/wp-content/uploads/old-site-downloads/download-1092-Kenya-at-50-unrealized-rights-of-minorities-and-indigenous-peoples.pdf>

⁶⁷ UNDP (2018) UNDP Kenya Annual Report 2018. UNDP

⁶⁸ NGEC (2018). Annual Report 2017 -2018. National Gender and Equality Commission

groups, including the Somali, Borana, Maasai, Meru and Turkana.⁶⁹ Other minority communities in the country include the Nubian/Arera, Watta, Gabra, Ndorobo and Lesan. These form the minorities in the county (NGEC, 2018). In Mandera, the minority communities include the Harti, Issak, Arabs, Barawa, Kikuyu, Luo, Kamba, Meru, Ashraaf, Shegal, Maasai and Garre. The Murale and Borana are considered minority and the most marginalised in the county. In Mandera, Somalis are the dominant ethnic group, with most of the other communities residing in the county considered to be minorities and marginalised. These include Watta, Degodia and the “corner tribes” of Shegal, Warabey, Shabelle, Sharmuge, Gabaweih, Marehan, Leisah, Ashraaf and Hawadhi.

The minority communities in these counties and the North Eastern region in general, are characterized by high illiteracy levels, poverty and unemployment. This aligns with Kanyinga (2006)⁷⁰ argument that there exists a relationship between ethnic identity and resource distribution, and the regional imbalances in development. The marginalization and exclusion of these minority groups is attributable to multiple phenomena that characterize the context of North Eastern Kenya. These include:

Poverty, inequality and marginalisation. Poverty is one of the important dimensions among the key phenomena that contribute to continued social exclusion.⁷¹ NGEC (2017) demonstrated that poverty is a key characteristic among minority groups across Kenya. The poverty rates are even higher in North Eastern Kenya where poverty rates are as high as 70% in remote areas (UNDP, 2018). The poor performance in human development indices is indicative of implications of poverty, inequality and years of marginalization by national government on access to critical public goods and services. With such dynamics, the little resources that trickle down to these regions often end up in the hands of the locally dominant community, whilst the minorities are pushed to the periphery.

Misuse of political power to influence distribution of resources. The political class has substantive influence over decisions on distribution of resources in the region. Given the populations are largely organized ethnically, dominant groups often have greater say and control who occupies leadership positions. With politicians and county leadership dictating county development priorities, interests of minority groups are often side-lined or overshadowed as politicians prioritize interests of those who elected them. Further, they also influence definitions of minority groups, and thus the distribution of resources to these groups.

Limited representation in decision-making spaces. Given ethnic community is the most salient unit in political dynamics in Kenya, minority ethnic groups often remain disadvantaged due to lack of numbers to sway leadership in their favour at local, county and national levels. Consequently, with the limited representation in decision-making spaces, they hold limited power to leverage their political clout in influencing decisions on resource distributions. Often, the dominant ethnic groups are favoured.

Illiteracy and low levels of education. Access to education and information bears significant transformative power, with regards to access to resources and leadership opportunities. However, low literacy levels pose a significant challenge to access of opportunities and resources from government and aid interventions. Minority groups in Marsabit, Garissa and the larger North Eastern region have characteristically low literacy levels. This limits their opportunities to get into leadership positions or participate effectively in decision-making processes on resource allocation.

Clan lineage. Communities in North Eastern Kenya are organized according to clans. This presents a challenge to achieving goals on inclusion as often, within the locally dominant ethnic group, the dominant clans and ethnic groupings have more influence and power over decisions regarding resource allocation and access. This leaves limited opportunities for less influential clans as well as minority groups to participate in such processes, translating to limited resources cascading to them.

Land tenure insecurity. The social and cultural dynamics of communities in Northern Kenya have fuelled security concerns. Communal ownership of land, augmented by poverty, drought and pastoralism have resulted in occurrence of conflict in pursuit of control for the limited resources available in the region. Other than control of the limited resources in the region, the

⁶⁹

<https://journals.plos.org/plosntds/article?id=10.1371/journal.pntd.0005405#:~:text=Isiolo%20County%20is%20inhabited%20by,Somali%2C%20Meru%2C%20and%20Turkana.>

⁷⁰ Kanyinga k. (2006) Governance Institutions and Inequality in Kenya: Readings on Inequality in Kenya: Sectoral Dynamics and Perspectives. SID

⁷¹ <https://www.un.org/esa/socdev/rwss/2016/chapter1.pdf>

proliferation of illicit arms also fuelled the perennial insecurity in the region (Mkutu & Wandera, 2016). These dynamics make the North Eastern region of Kenya to be characterised by chronic insecurity (IRIS, 2015). This in turn contributes to the inability of various agencies responsible for delivering public goods and services, and humanitarian aid, to access the intended beneficiaries, or enhance the scope of their interventions. The persistent insecurity in the region continues to fuel poverty and inequality by limited access to social and economic opportunities, and results in destruction of social amenities.

Underdeveloped physical infrastructure. Infrastructure is critical to attainment of desired social and economic outcomes (Raje, 2018). It has a critical impact on social wellbeing, health, earnings and educational opportunities. Inaccessibility of infrastructure to social groups elevates the risk of their social exclusion and limits their participation in society (Agarwal and Steel, 2016). The years of marginalization have created a massive infrastructure gap in North Eastern Kenya. While the devolved system of governance is making efforts to bridge the gap between the region and other parts of the country, the infrastructure remains largely underdeveloped translating to limitations in access to opportunities and crucial public goods and services for residents, particularly minority groups.

The government has made efforts towards addressing issues on minority inclusion. Most notable is the promulgation of the constitution, formulation of various laws and policies, and ratification of international legal instruments, and the establishment of institutions to spearhead the inclusion agenda. These are discussed in section 1.2.

3.2 Government Legal and Policy Frameworks for Mainstreaming Minority Inclusion

This section explores the various legal and policy frameworks in place that aim to promote equality and inclusion in Kenya. An interrogation of these policies and institutional frameworks is critical in developing an understanding of efforts and mandate of various instruments of governments in ensuring inclusions of all groups.

International laws and conventions. Kenya is a signatory to various international laws and rights treaties related to discrimination. These international instruments are largely aimed at guiding signatory countries implement the Human Rights agenda. Kenya is a signatory to and has ratified several conventions that seek to promote non-discrimination and equality. Some are highlighted below:

The Universal Declaration of Human Rights (1948).⁷² The Universal Declaration of Human Rights acknowledges the inherent dignity and equal rights for all as the foundation for freedom, peace and justice. It also provides that all persons are equal before the law and are entitled to equal protection before the law without any form of discrimination. Overall, the declaration recognises importance of equity in accordance with the rights and opportunities to all.

The International Covenant on Economic, Social and Cultural Rights (ICESCR).⁷³ This convention was adopted in 1966. It provides that states should promote the cultural, social and economic rights, including rights to social protection, adequate living standards, health, education and enjoyment of cultural freedom. Under the convention, all states are obliged to ensure everyone enjoys their rights and freedoms without discrimination.

African Charter on Human and Peoples Rights (Banjul Charter).⁷⁴ The Banjul Charter is an International Human Rights instrument whose objective is promotion and protection of basic human rights and fundamental freedoms among signatory states. This charter dictates that states should take up measures to ensure non-discrimination and promote equality in governance participation and working opportunities.

National laws and policy framework. At national level, the Kenyan government has formulated various legal and policy instruments for mainstreaming minority inclusion and promotions of equality. These include:

The Constitution of Kenya (2010).⁷⁵ The Constitution of Kenya (2010) provides a strong commitment to upholding the spirit of equality and non-discrimination with regards to access to public goods and services for citizens, including minority groups that have traditionally been marginalised. These are enshrined in Article 27 of the constitution. Article 27(4) provides a

⁷² <https://www.un.org/en/about-us/universal-declaration-of-human-rights>

⁷³ <https://www.ohchr.org/en/professionalinterest/pages/cescr.aspx>

⁷⁴ <https://www.achpr.org/legalinstruments/detail?id=49>

⁷⁵ <http://kenyalaw.org/8181/exist/kenyalex/actview.xql?actid=Const2010>

guarantee of non-discrimination of exclusion of citizens based on ethnic, social or racial origins. Holistically, the Constitution of Kenya (2010) has sufficient provision for legal protection in principle for the right to equal access to good and services by all citizens, including minority groups.⁷⁶ The Constitution provides in Article 204 for the establishment of an Equalisation Fund comprising 0.5% of all government revenues. The articles states that the “*national government shall use the Equalisation Fund only to provide basic services including water, roads, health facilities and electricity to marginalised areas to the extent necessary to bring the quality of those services in those areas to the level generally enjoyed by the rest of the nation, so far as possible*”.

National Cohesion and Integration Act (2008).⁷⁷ Adopted in the wake of the 2008 post-elections violence, this act was operationalized to prohibit any form of discrimination against ethnic, racial or religious grounds. One of the outstanding provisions, applicable to inclusion of minority groups in Kenya is in Section 11 of the Act. It outlines provisions for ethnic equity in the distribution of public resources. It specifies need for distribution of public resources to take into account the poverty and population index. Section 12 also provides additional prohibitions on discrimination with regards to the acquisition, management and disposal of public property.

Public Participation Bill.⁷⁸ The Public Participation Bill guarantees citizens, communities and organizations the right to be consulted and actively involved in decision-making processes, it also outlines mechanisms for involvement, including feedback mechanism. This provision of the constitution aims to further strengthen democratic participation of citizens in all governance processes, including on decisions regarding acquisitions, management and distribution of public resources. In the context of minority inclusion, this bill (also enshrined within the constitution) guarantees minority groups the right and opportunity to have a say regarding access to public goods and services from relevant government authorities.

Political Parties Act 2011.⁷⁹ The political parties act outlines provisions that require political parties in Kenya to reflect the country's diversity, including recognition of minorities and marginalised groups.⁸⁰

Refugee Act 2006.⁸¹ The Act provides for protection of all refugees and asylum seekers, including their families, against any form of discrimination, in line with international treaties and conventions Kenya is party to. This provision is critical for the context of North Eastern Kenya given the region houses refugees from Somalia and South Sudan. The Act guarantees them protection of their human rights, recognition as a refugee or asylum seeker, and a basic level of protection.

National Policy and Action Plan on Human Rights.⁸² The policy provides a framework for integrating and mainstreaming human rights in the processes of planning, implementation and evaluation of development across all sectors in the country. It aims to i) mainstream human rights in development of public policy and allocation of resources, and ii) strengthen capacity of both state and non-State actors to respect, promote and protect human rights whilst executing their mandate.

Vision 2030.⁸³ The Vision 2030 provides a blueprint of Kenya's long-term development. Section 5.6. and 5.7 are relevant in the pursuit of equity and inclusivity for “Gender, Youth and Vulnerable Groups”, and “Equity and Poverty Elimination.” It specifies Kenya's pursuit for equality in accessing opportunities to access public goods and services and participate in social and economic activities.

County Integrated Development Plans. These are plans prepared by county governments to guide their development agenda over a period of five years.⁸⁴ The law requires that development planning by counties should be anchored on integrated national values of equity, resource mobilization and focused on addressing concerns of minority groups and marginalised communities. Provisions of the Public Finance Management Act in Kenya dictate that appropriation of public funds can only happen within the scope of development priorities defined

⁷⁶ https://www.equalrightstrust.org/ertdocumentbank/Kenya_Part_3_Legal.pdf

⁷⁷ http://kenyalaw.org/kl/fileadmin/pdfdownloads/Acts/NationalCohesionandIntegrationAct_No12of2008.pdf

⁷⁸ http://kenyalaw.org/kl/fileadmin/pdfdownloads/bills/2018/PublicParticipationBill_2018.pdf

⁷⁹ <http://kenyalaw.org/kl/fileadmin/pdfdownloads/Acts/PoliticalPartiesAct.pdf>

⁸⁰ Political Parties Act 2011, (Cap. 11), section 7(2)(b).

⁸¹ http://kenyalaw.org/kl/fileadmin/pdfdownloads/bills/2019/The_Refugees_Bill_2019.pdf

⁸² <http://www.knchr.org/Portals/0/Bills/National%20Human%20Rights%20Policy%20and%20Action%20Plan.pdf>

⁸³ <http://vision2030.go.ke/wp-content/uploads/2018/05/Vision-2030-Popular-Version.pdf>

⁸⁴ <https://www.internationalbudget.org/publications/kenya-key-questions-county-integrated-development-plan/>

within County Integrated Development Plans (CIDPs). The CIDPs are critical to the realization of inclusive development as they inform development of annual development plans, and county fiscal strategy papers, and the annual budget process at county level.

The County Integrated Development Plans for both Marsabit and Garissa counties have benchmarked on the principles of inclusivity outlined in the Kenyan Constitution. The Marsabit County CIDP 2018-2022 outlines that its development was based on, “integrated national values, equity, resource mobilization and concerns of minorities and marginalized groups.” Further, Chapter 2.10 of the Marsabit CIDP outlines linkages of the county plan to Sustainable Development Goals adopted globally. The Garissa County CIDP 2018-2022 outlines that its development was anchored on values of, “protection and integration of rights and interest of minorities and marginalized groups and communities; protection and development of natural resources; aligning county financial and institutional resources to agreed policy objectives and programmes; promotion of equity in resource allocation; unification of planning, budgeting, financing, programme implementation and performance review; and public engagement.” These provisions indicate that both counties have demonstrated their commitment to ensuring inclusion and protection of minority groups interests.

Institutional frameworks. There also exist two key governments institutions responsible to mainstreaming equality and inclusions within government’s development agenda. These include:

National Gender and Equality Commission.⁸⁵ The National Gender and Equality Commission (NGEC) was established in pursuant of Article 59 (4) of the Constitution of Kenya. The commission’s focus is on special interest groups – women, youth, children, persons with disabilities, and the minority and marginalised groups in the society. Its mandate is promotion of principles of equality and non-discrimination for the highlighted special interest groups, in alignment with provisions of the Constitution of Kenya (2010).

National Cohesion and Integration Commission.⁸⁶ The National Cohesion and Integration Commission was established as a statutory body under the National Cohesion and Integration Act. Its mission is to, “Develop and sustain processes that alleviate all forms of ethnic discrimination and promote diversity through knowledge” with the vision of attaining, “A peaceful, united, harmonious and integrated Kenyan society.” Among its key function is eliminating ethnic and racial discrimination in society and promoting equal opportunity, harmony, and peaceful coexistence among persons from different ethnic and racial backgrounds in Kenya.

Kenya National Commission on Human Rights (KNHRC).⁸⁷ The National Commission on Human rights was established in 2011 through the KNCHR Act. Its operations are guided by the Paris Principles. Its mandate includes acting as a watchdog over government with regards to human rights and providing leadership and guiding the country towards becoming a human rights state. In carrying out its mandate, it investigates human rights violations, conducts research and monitoring of human rights standards and norm, conducts advocacy campaigns and offers training and education on human rights.

The existing policy and institutional frameworks on equality and inclusion demonstrate that Kenya has made significant strides towards promotion and mainstreaming inclusion of all groups in government’s development priorities.

Respondents’ perception on Inclusion. Whilst the existing policy and institutional frameworks apply to all members of the society, the understanding of the concept of inclusion varies among communities. This may be largely attributable to the social-cultural dynamics of the population, particularly literacy levels, access to infrastructure and information, and how communities are organized with regards to access to information and opportunities. As such, the study sought to assess the perception of respondents on the concept of inclusion, within the target sites. This was done at two levels: i.) assessing the extent to which all persons are treated equally within communities; and ii.) assessing the extent to which minority groups are included in interventions. Respondents were drawn from Marsabit and Garissa counties. In Garissa County, respondents from host communities were drawn from persons residing near the refugee camps. Minority communities targeted included the Sekuye, Borana and Harnti. Within Dadaab, the study sampled Ifo and Gagahley camps in drawing respondents for the study. In Marsabit County, study participants were selected from the host community, minority groups in the region and from the settlement schemes in the county. Respondents from the host communities

⁸⁵ <https://www.ngeckenya.org/>

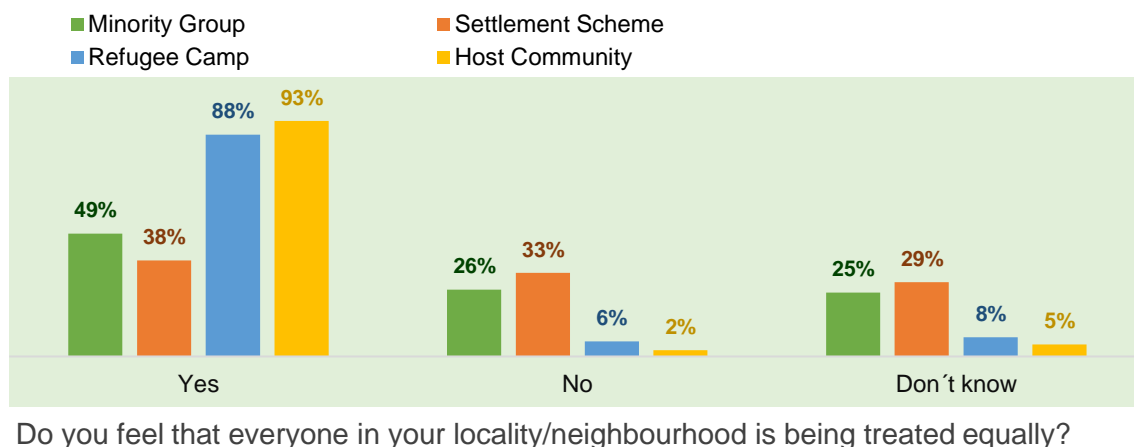
⁸⁶ <https://www.cohesion.or.ke/index.php/about-us/functions-of-the-commission>

⁸⁷ <https://www.knchr.org/>

were drawn from Borana tribe, while minority groups were drawn from Burji, Konso, Wayu, Sidam and Turkana tribes. Within settlement schemes, respondents were sampled from the Sidam and Burji tribes.

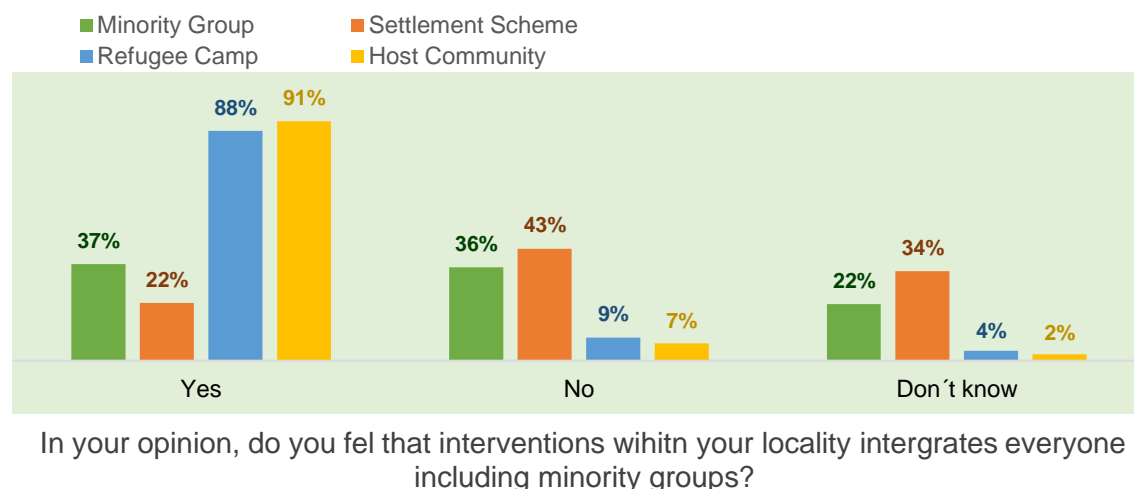
Beneficiaries consulted during the audit indicated that, in general, all persons within their communities were accorded equal treatment as shown in **Figure 3. 1** below. However, there were notable variances among different segments of beneficiaries consulted. For instance, the appreciation of equal treatment within host communities and refugee camps was higher compared to minority groups and persons residing within settlement schemes.

Figure 3. 1 Perceptions re equal treatment by settlement type



The study also noted an overall appreciation of inclusion of minority groups within interventions in the regions as shown in **Figure 3. 2** below. However, the pattern of variances was similar to that in **Figure 3. 1**. Appreciation of inclusion of minority groups was highest among beneficiaries drawn from host communities and refugee camps and lowest among respondents drawn from minority groups and settlement schemes. These variances across the two levels may be attributable to how the variances in context, and how decisions regarding distribution of resources apply within the different segments of beneficiaries consulted. These are discussed in subsequent segments in this section.

Figure 3. 2 Minority inclusion within interventions



3.3 Level of Mainstreaming Minority Inclusion in the Criterion used for Beneficiary Recruitment and Site Selection within the SWISS Funded Interventions

This study sought to assess the extent to which SWISS-funded projects in the North Eastern Region of Kenya mainstreamed minority inclusion in their implementation. Five sampled projects were examined, including: i) K-RAPID project implemented by Millennium Water Alliance, ii) Skills for Life Project implemented by SWISS Foundation for Technical Cooperation, iii) Enhance Resilience Building, Access to Information and Protection for Refugees & Host Communities in Kenya project by the Refugee

Consortium of Kenya, iv) The Kakuma Kalobeyei Challenge Fund implemented by the International Finance Cooperation, and v) Interventions by the UNHCR in Dadaab and Kakuma refugee camps. The study provides a broad focus on the five sampled projects whose findings are taken to reflect the overall landscape of Swiss funded projects in North Eastern Kenya.

The five sampled projects are being implemented in the North Eastern Part of Kenya covering seven counties namely Marsabit, Garissa, Turkana, Isiolo, Mandera, Wajir and Isiolo. The two key pillars being pursued by the projects include: i) Drought and Resilience Building and ii) Migration and Protection.

Text box 7 below provides brief illustration of the projects background.

Text box 7 Background of sampled projects

1. K-RAPID Project

The Kenya Resilient Arid Lands Partnership for Integrated Development (K-RAPID) Program was a five-year program implemented by The Millennium Water Alliance between 2015 and 2020. The program sought to increase access to water and sanitation for 450,000 residents of the Arid and Semi-Arid Lands in Kenya. Specifically, the project was implemented in Garissa, Marsabit, Isiolo, Turkana and Wajir counties. The program was anchored on three main strategic objectives that contributed to the overall goals of increasing access to water coverage across the target counties to over 50%. These three strategic objectives included:

SO1: A responsive and accountable governance framework is in place and operational at county government level that ensures sustainable provision of water and pasture;

SO2: Replicable and scalable business models for sustainable WASH and livestock service delivery have been developed and operationalized; and

SO3: Communities have increased access to sustainable WASH services and improved range-land management

The approach to implementation of the K-RAPID project was bringing together county governments, development partners, donors and sector actors/institutions to pursue the set goals. At the core of the project was the county government. The implementing partners pursued project objectives by supporting programs implemented by the county government.

On management and oversight of the K-RAPID project, research established that the approach adopted for decision-making on site selection and beneficiary recruitment for the project was a joint process involving different stakeholders drawn from different County departments, Millennium Water Alliance (MWA) partners and private sector players. More specifically, decision-making for the K-RAPID project was jointly made through the County Program Steering Committee. The approach adopted for implementing K-RAPID was aligning the programme objectives with the county priorities. Thus, county governance was the main pillar upon which the K-RAPID project implementation was anchored.

2. Skills for Life Project

The Promoting Life Skills and Livelihoods (S4L) project was first implemented in 2013-2015. The project was designed to strengthen youth from refugee and host communities to carry out income-generating activities. The project was implemented in Kakuma and is focused on enhancing the technical, life, literacy and financial skills of beneficiaries. These are delivered using a learning group model, complemented by life skills training, structured apprenticeships and business development support.

The objective of the project is to catalyse systemic change in skills enhancement and creation of employment through the facilitation of low-cost, flexible, competency-based and market-oriented skills training. The target population for the project includes youth aged 16 through 26, with a particular emphasis on the participation of adolescent girls and young mothers.

The specific objective of phase one was strengthening income-generating capabilities of youth from refugee and host communities for improved livelihoods. The objective of the second phase was to enhance the income-generating capabilities of refugees and host communities (50%) women in Kakuma and Kalobeyei settlement.

3. Enhance Resilience Building, Access to Information and Protection for Refugees & Host Communities in Kenya

Enhanced resilience building, access to legal information, and protection for refugees and host communities in Kenya is a project being implemented by Refugee Consortium of Kenya with financial assistance from the Human Security Division (HSD) of the Swiss Federal Department of Foreign Affairs (FDFA) to engage in the following interventions to enhance the protection environment of refugees and asylum seekers in Kenya through:

- Engagement with the National Government to enact necessary legislation that would enhance the protection and socio-economic inclusion of refugees in Kenya.
- Engagement with the County Government to work towards attainment of inclusive governance and public participation for refugees.
- Providing legal services to refugees, including registration of new refugees at Dadaab Refugee Camps and registration of asylum seekers.
- Engagement with Refugee Appeal Board – provision of legal representation to asylum seekers whose claim for asylum has been rejected.
- Implementation of the Comprehensive Refugee Response Framework. This framework contains Kenya's commitments to host refugees.
- Engagement with community members, administrative leaders and refugee-led organisations in fostering peace and conflict resolution.
- Providing refugees with technical and legal assistance required in registering businesses, as a means of promoting socio-economic inclusion of refugees.

4. The Kakuma Kalobeyei Challenge Fund

The **Kakuma Kalobeyei Challenge Fund (KKCF)** is an International Finance Cooperation (IFC) programme implemented in partnership with the Turkana County Government, UNHCT and African Enterprise Challenge Fund. The five-year project is designed to unlock the economic potential of residents of Kenya's Turkana County by supporting and promoting private sector investments. The project is premised on four main objectives. These include:

- Attracting new social enterprises, private businesses to the Kakuma-Kalobeyei area, resulting in better opportunities for employment for locals, increased access to goods and services and a reduction in commodity prices.
- Enhance opportunities for scaling up operation of private companies and existing social enterprises in the Kakuma-Kalobeyei region.
- Develop new businesses owned by refugees and host communities and enhance opportunities for women and youth.
- Minimise time required to acquire business permits, registrations and licenses by advocating for streamlined procedures.

5. Annual Contribution into UNHCR Pool Fund

Through the pool fund, SDC seeks to support UNHCR enact its mandate of improving migration, protection and living standards for refugees, internally displaced persons, and migrants in the Horn of Africa. SDC sought to mainstream protection into all activities related to refugees and ensure SDC's strategies address all activities and issues related to displacement. The main focus of the intervention includes:

- Increase protection and improve living conditions for vulnerable refugees, IDPs and migrants, while at the same time working with host communities.
- Strengthening national and regional migration management capacities to better respond to mixed migration challenges, while advocating for migrants' rights and protection needs.
- Supporting pilot projects with diaspora organizations involved in humanitarian and development assistance.

A. Mechanisms for mainstream minority inclusion

Decision-making on site selection and beneficiary recruitment was mainly data-driven and was focused on alignment with project objectives. Looking at the broader landscape of the other SWISS funded interventions in Kenya, it emerged that the selection of beneficiaries, and consequently, the level of mainstreaming minority inclusion is largely data-driven and dependent on the unique design and dynamics of a project and its intended beneficiaries. For instance, interventions implemented by the UNHCR target broadly refugees, with the ethnic identity and clan dynamics having little or no influence over the recruitment of beneficiaries. For International Finance Cooperation, the beneficiaries are selected based on merit. The use of data remains a cross-cutting factors informing beneficiary and site selection in all interventions. For example, taking cognizance of the fact that county development priorities as documented in CIDPs and Annual development plans are informed by data highlighting the most pressing needs of communities living within the County. Within K-RAPID project it emerged that the data-driven approach to decision-making was the main mechanism adopted for site and beneficiary selection. These pieces of information were generated from research and adopted technologies such as GIS that were commissioned by Implementing partners to generate crucial data on pressing needs of beneficiaries to inform the intervention logic. Some of the surveys that were commissioned within K-RAPID project include a baseline survey in 2016 to establish the key gaps in Water, Sanitation and Hygiene service delivery in northern Kenya, particularly within schools in the region. The findings of this survey augmented by decisions by the county program steering committee, informed site selection in Turkana East and target beneficiaries for the WASH projects.

B. Implementing partners mechanisms for mainstreaming minority inclusion

Beyond the existing policy framework on equity and minority inclusion adopted at national level, it was established that **two out five of the projects and their implementing partners had no specific principal, policies or legal framework for mainstreaming minority inclusion** into the project. The two implementing partners that were notably identified to have policies for mainstreaming inclusion are UNHCR and IFC. UNHCR was noted to have two robust policies for mainstreaming minority inclusion. These include UNHCR's age, gender and diversity (AGD) policy and Leave no one behind (LNOB) Principle. The Leave no one behind (LNOB) is the central, transformative promise of the 2030 Agenda for Sustainable Development and its Sustainable Development Goals (SDGs). It represents the unequivocal commitment of all UN Member States to eradicate poverty in all its forms, end discrimination and exclusion, and reduce the inequalities and vulnerabilities that leave people behind and undermine the potential of individuals and of humanity as a whole⁸⁸. As UN agency UNHCR is bound to implement, track and report on its efforts to mainstream Leave no one behind principle. On the other hand, UNHCR's age, gender and diversity (AGD) policy seeks to ensure that all persons of concern (PoC) fully participate in decisions that affect them and enjoy their rights on an equal footing with others.

As documented in Performance Standard 7 titled "*Indigenous Peoples*", International Finance Corporation (IFC) was noted to have IFC Performance Standards on Environmental and Social Sustainability (January 2012)⁸⁹ which seeks to ensure that the development process fosters full respect for the human rights, dignity, aspirations, culture, and natural resource-based livelihoods of Indigenous Peoples. Further, The International Finance Cooperation was noted to utilise research findings on the most disadvantaged to ring-fence a proportion of project resources to women and youth. In addition, IFC was noted to be using "Do no harm" Principle which seeks compel IFC to take a step back from an intervention to look at the broader context and mitigate potential negative effects on the social fabric, the economy and the environment.

On the existence of an overarching principle on inclusion cutting across all interventions, it emerged from the projects assessed by the study that the principle of inclusion is applied widely across all interventions, albeit in varying ways. For instance, the Swiss Foundation for Technical Cooperation utilises a 50:50 ration in recruiting beneficiaries from both host and refugee communities. Additionally, it seeks to ensure that at least 20% of the beneficiaries are young mothers, who have conventionally been marginalised. The Refugee Consortium of Kenya and UNHCR both apply the principle of age,

⁸⁸ <https://unsdg.un.org/2030-agenda/universal-values/leave-no-one-behind>

⁸⁹ https://www.ifc.org/wps/wcm/connect/c02c2e86-e6cd-4b55-95a2-b3395d204279/IFC_Performance_Standards.pdf?MOD=AJPERES&CVID=kTjHBzk

gender and diversity in recruiting beneficiaries for their interventions. Whilst these approaches to ensuring inclusion vary from project to project, the study found considerable demonstration of mainstreaming principle of inclusion. However, there was little evidence of agencies demonstrating the mainstreaming of minority inclusion (i.e., with any focus on diversity in terms of ethnicity, religion, language).

The K-RAPID project was noted to have subscribed to a set of principles to mainstream transparency and accountability into project implementation. The Millennium Water Alliance was noted to have employed Project Implementation using Facilitation Approach (PIFA),⁹⁰ which is guided by 11 key principles namely innovation, capacity development, decision-making, financial management, clear roles, advocacy, knowledge management, networking, coordination, transparency and accountability. The roles and responsibilities of implementing partners were defined using a RACI matrix (Responsibility, Accountable, Consulted, Informed). The matrix provided a clear articulation of the roles and responsibilities of various stakeholders involved in implementation and provided a framework for measuring progress. However, while employing the PIFA and RACI principles was aimed at ensuring inclusivity and streamlining operations, it was notable that the project demonstrated no explicit effort seeking to promote inclusivity for every disadvantaged group including minority groups. Additionally, by upholding the PIFA principles, the problem of Neutrality versus Equity arises. While equity calls for fairness in distribution of resources thus providing for proactive targeting of special interest groups like minorities, neutrality often limits this preferential targeting of minority groups and promotes impartiality. This discordance may have influenced the decision-making on site and beneficiary selection and, consequently, the impact on the program on minorities.

Across all the projects that were assessed, there were some notable efforts by implementing partners to report on some systemic issues that continue to perpetuate disparities in terms of reach to and impact on beneficiaries. Reporting on such efforts were useful in monitoring and reporting on progress made towards inclusion of disadvantaged groups including minority communities. However, such efforts were noted to be minimal and isolated. The indicators for reporting were largely focused on gender and age set inclusion, with some focus on persons with disabilities in some instances. It was established that in designing and implantation of the projects, there was a limited attempt to develop an inclusion action plan that would have been useful in informing programme-wide indicators for minority inclusion. Below are excerpts from some of the key informants that were consulted in the study.

“In all our activities as we provide legal support to the refugees, we have policies and guidelines that are direct our work, we have policies on using the AGD that is the age gender and diversity approach, where our services are open to different groups who do not discriminate like we serve the whole community.”

KII, Refugee Consortium of Kenya

“Yes, of course, we are all working with the policy to help the refugees making sure they’re not left behind and we as UNHCR we have a system in place which is called age and diversity mainstreaming which seeks to ensure that every intended beneficiary benefits from UNHCR interventions.”

KII, UNHCR

C. Clan Based Mechanisms for Mainstreaming Minority Inclusion

Clan-based systems were useful in promoting minority inclusion during beneficiary selection. There were notable instances where community gatekeepers drawn from different targeted villages argued that they apply a clan-based resource distribution formula when distributing resources within their jurisdiction. For instance, in the Abakaile Host community area, Garissa County, a quota is used to guide distribution of resources. This system ensures that while majority of resources goes to the general population mapped out as target beneficiaries, part of it is also channelled to the various minority groups within the community. It was established that a “80% majority - 20% minority” criteria is used during beneficiary recruitment in Abakaile. In other areas, beneficiaries are recruited through recruitment committees. The constitution of these committees often includes representatives of minority groups within the community. Such

⁹⁰ http://mwawater.org/wp-content/uploads/2019/11/Final-PIFA-Brief_2-November.pdf

approaches help in attainment of some level of mainstreaming in criterion used for beneficiary recruitment and site selection.

Clan-based approach (Clan based special considerations): Aid is also sometimes distributed based on clans, where minority groups are sometimes considered as a special group and given their unique share of aid. However, this approach remained largely in favour of host communities because it was applicable in isolated cases – Saretho and Iftin communities in Garissa.

"In Somalis everybody comes from certain tribe, so we distribute in tribal lines. Minorities also stand as a tribe and take their share, also the widows stand as a minority and takes their share."

Minority Community Leader, Saretho, Garissa County

"Every community is given a chance to bring one person to participate in the training to pass the information to other community members."

Minority Community Leader, Iftin Garissa County

These approaches point to at some level a conscious approach to mainstreaming minority groups within the K-RAPID project.

3.4 Data Disaggregation and Reporting Requirements within the SWISS Funded Interventions

Conventional practice demands that proper assessment of impact of programme interventions require utilization of quantitative and qualitative approaches in data analysis. Over the years, there has been an increased emphasis for donor intervention to set guidelines for monitoring and evaluation of programmes. The reporting requirements offer utility in aggregating and summarizing data across programmes that are useful to draw insights as to the impact of programmes. Additionally, emphasis on elaborate M&E framework is crucial for fostering transparency and accountability in utilization of resources.⁹¹

The study established that data disaggregation for most SWISS-funded interventions in Kenya were largely informed by the specific objectives of a project. The Skills 4 Life project, for instance, reported based on predetermined project indicators. Similarly, reporting for The Kakuma Kalobeyi Challenge Fund, K-RAPID Project and **Enhance Resilience Building, Access to Information and Protection for Refugees & Host Communities in Kenya** was done in alignment with the approved M&E framework. However, data disaggregation based on age, gender and persons with disabilities was the overarching theme cutting across all Swiss funded interventions in Northern Kenya.

All the projects were established to have a monitoring and evaluation framework. The projects were identified to have logframe that had distinct outcome indicators drawn from key result indicators. However, while the M&E frameworks were useful for tracking number of beneficiaries reached as a result of the intervention, it was notable that the frameworks were biased towards documenting numbers of people reached while laying little emphasis on other factors that point to project effectiveness beyond the reach. More specifically, it was notable that the adopted M&E framework for the projects, and the indicators lacked unique indicators for tracking minority inclusion. This suggests that there was limited emphasis on minority inclusion during the design of the project's M&E frameworks.

Consequently, these M&E frameworks shaped the data disaggregation during reporting. It was established that reporting was done through a reporting template unique to specific project outcomes and indicators. The reporting is largely based on documenting number of persons reached through the intervention. Reporting was mainly anchored on an age and gender analysis criteria. Specifically, in K-RAPID project it was noted that USAID indicators within the project were largely inclined to exploring the age and gender disparities in data during reporting. In addition, the study noted minimal reporting on persons with disabilities who are often a high interest group in such interventions. However, there were no elaborate donor reporting requirements requiring implementing partners to perform a detailed analysis on minority groups and the various systemic factors that perpetuate their exclusion. This limited depth of analysis is also attributable to the absence of indicators unique to minority groups that would have been useful in informing the data disaggregation criteria. This approach to reporting and data disaggregation was ineffective in reflecting the dynamics within the context and means that the assessed projects could not be sure whether or not interventions could be either addressing or perpetuating minority exclusion.

⁹¹ <https://www.toladata.com/blog/why-is-monitoring-evaluation-good-for-ngos/>

Nonetheless, there were some efforts demonstrating adoption of issue-based reporting that is appreciative of the context. The audit established that there was increased interest on impact of the programme on target beneficiaries, and the implication of systemic issues such as climate change, poverty, conflict and ethnicity, among others. This was best demonstrated by the Refugee Consortium of Kenya who capture contextual and systemic issues impacting target beneficiaries. There was also increased focus on governance and how government policies impact how resources trickle down to minority communities. This signals a departure from reporting confined to numbers and gender analysis, to issue-based reporting that puts into context the systemic issues and how they impact minority inclusion during interventions. On overall, reporting and data disaggregation is still largely based on age and gender. One of the key informants had this to say:

“Basically when we are doing data analysis, and looking at why is this gender, or why is this particular group expressing this for example when we are doing the legal clinics and we get issues of just an example, stigma and discrimination, we go further to look at what exactly are the issue; who are the main complainants of stigma and discrimination and maybe what puts them at that vulnerability and look at how best to address these issues in the community and with other partners.”

KII, Refugee Consortium of Kenya

3.5 The Extent of Minority Beneficiary Contribution within SWISS Funded Interventions

Success of a programme intervention is predicated on ability to adequately accommodate contextual issues within the targeted implementation site. This largely entails conducting a proper assessment of the dynamics at play within the context and establishing the state of key programme indicators prior to project implementation. Attainment of these insights often require conducting formative studies like Political Economy Analyses (PEA), baseline studies and Preliminary Assessments, among others, to inform the nature and design of the intervention. Critical to this process of design of interventions is beneficiary contribution. Engagement of programme beneficiaries in programme design can be useful in i) making them more responsive to the intervention, ii) identifying flaws and weaknesses in initial programme design, and iii) exploring opportunities for group action for achieving greater impact.

In Kenya, under the provisions of the Public Participation Act, national and county governments are required to consult and gather inputs from the community prior to implementation of development interventions. For instance, given that K-RAPID project is being implemented jointly with the County governments, some of the surveyed participants argued that the project was obliged by law to consult members of the public for their input.

Across all the projects that were assessed, the study noted that after site and beneficiary selection by the implementing partners together with stakeholders, projects normally commission formative studies, in alignment with its data-driven approach to programme implementation. These normally take the form of Surveys, Baseline studies, Political Economy Analyses (PEA), Feasibility Studies and Environmental and Social Impact Assessment studies, among others. For instance, K-RAPID commissioned a baseline survey in 2016 to assess the Water, Sanitation and Hygiene (WASH) service delivery gaps in schools in the northern region of Kenya. The study entailed aggregating data on schools in the region, was largely supported by AMFREF Health Africa and UNICEF interventions. In addition, IFC was reported to be relying on findings from surveys to inform strategies of implementing its interventions. For example, from one of its survey findings where 60% of women were reported to have been excluded from the labour force within Kakuma Refugee Camp, IFC was reported to have adopted a deliberate approach of targeting 30% of women in Kakuma Kalobeyei Challenge Fund project. Some of the surveys that were notably cited by the surveyed respondent include Kakuma the Market Place⁹², 2019 Kakuma Socioeconomic Survey⁹³ and Understanding the Socio-Economic Conditions of Refugees in Kenya⁹⁴ among others. These studies are normally regarded as a mechanism of consulting beneficiaries directly to generate their feedback into the project design and implementation.

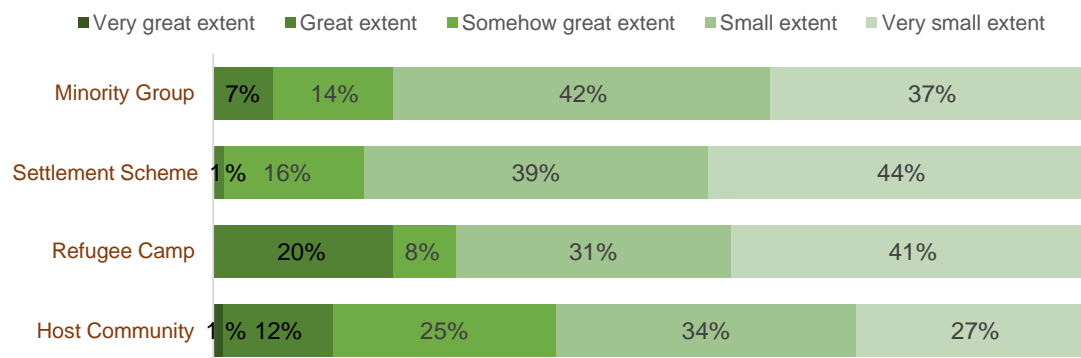
⁹² https://www.ifc.org/wps/wcm/connect/0f3e93fb-35dc-4a80-a955-6a7028d0f77f/20180427_Kakuma-as-a-Marketplace_v1.pdf?MOD=AJPERES&CVID=mc8eL2K

⁹³ https://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=&cad=rja&uact=8&ved=2ahUKEwissaE4sHxAhXqyYUkHWMtA1sQFnoECAGQAw&url=https%3A%2F%2Fdata2.unhcr.org%2Fen%2Fdocuments%2Fdownload%2F85273&usq=AOvVaw04pp3_lq6ntiUMx_f-Cm4k

⁹⁴ <https://documents.worldbank.org/en/publication/documents-reports/documentdetail/443431613628051180/understanding-the-socio-economic-conditions-of-refugees-in-kenya-volume-b-kakuma-camp-results-from-the-2019-kakuma-socioeconomic-survey>

Examination of face-to-face quantitative study findings to assess the extent to which project beneficiaries are consulted revealed that on aggregate a significant proportion (72.6%) of surveyed respondents confirmed that they are consulted to a smaller extent (see **Figure 3. 3**). Among the minority groups (79.1%) of the respondents cited that they are consulted to a smaller extent leaving only (6.7%) of respondents who felt that they are consulted to a greater extent. Greater involvement was reported within refugee camps and least within settlement schemes. This limited involvement was mainly attributed to resource constraints that limit the scope of formative studies, and limited awareness among the target beneficiaries on the available avenues for engagement.

Figure 3. 3 Minority involvement in the design of interventions



Despite the aforementioned efforts to incorporate voices of beneficiaries in the design and implementation of the different projects that were assessed, the study noted that the extent to which targeted beneficiaries are consulted and involved in planning for intervention within the various projects was minimal. Overall, there was limited evidence demonstrating active involvement and engagement of target beneficiaries in the design of the various interventions. Largely, considerations on needs of beneficiaries were limited to use of data to inform site and beneficiary selection and perceived needs of the beneficiaries by donors and implementing partners. This therefore called for the conceptual need to initiate efforts of incorporating interests of minority groups and target beneficiaries to inform the design and implementation of interventions.

3.6 Existence of Beneficiary Feedback Mechanisms within the SWISS Funded Interventions

A beneficiary feedback mechanism is a framework or tool designed to collect and analyse feedback from respondents on programme implementation.⁹⁵ These mechanisms play a useful role in ensuring programmes remain accountable and responsive to the need of the beneficiaries, foster transparency and redress power imbalances that often characterize aid interventions.⁹⁶ Additionally, such mechanisms can be useful in fostering accountability among implementing partners and gaining trust of the beneficiaries. An ideal beneficiary feedback mechanism is cyclic and maintains a continuous cycle of engagements, feedback provision, acknowledgment of feedback reception, analysis and response to feedback and communication of the response to the feedback and/or changes to the intervention taking into account the feedback. The scope of tools that can be leveraged to gather feedback from beneficiaries include suggestion boxes, SMS messages, public forums, voice calls and SMS, and individual one-to-one outreach. The application of these mechanisms varies depending on the contexts and dynamics affecting the target beneficiaries.

The study established that all Swiss-funded interventions that were assessed had established beneficiary feedback mechanisms suited to the target beneficiaries. These ranged from direct engagements with beneficiaries, open door policy, suggestions boxes, phone calls, WhatsApp messaging systems, consultation through surveys and online systems, among others. These mechanisms varied depending on the unique dynamics characterising an intervention. For instance, the Swiss Foundation for Technical Cooperation leveraged Community-based trainers, social skills

⁹⁵ [http://feedbackmechanisms.org/2016/08/09/what-is-a-beneficiary-feedback-mechanism/#:~:text=A%20beneficiary%20feedback%20mechanism%20is,as%20government\)%20for%20the%20implementati on](http://feedbackmechanisms.org/2016/08/09/what-is-a-beneficiary-feedback-mechanism/#:~:text=A%20beneficiary%20feedback%20mechanism%20is,as%20government)%20for%20the%20implementati on)

⁹⁶ <http://feedbackmechanisms.org/public/files/A2CFAQ.pdf>

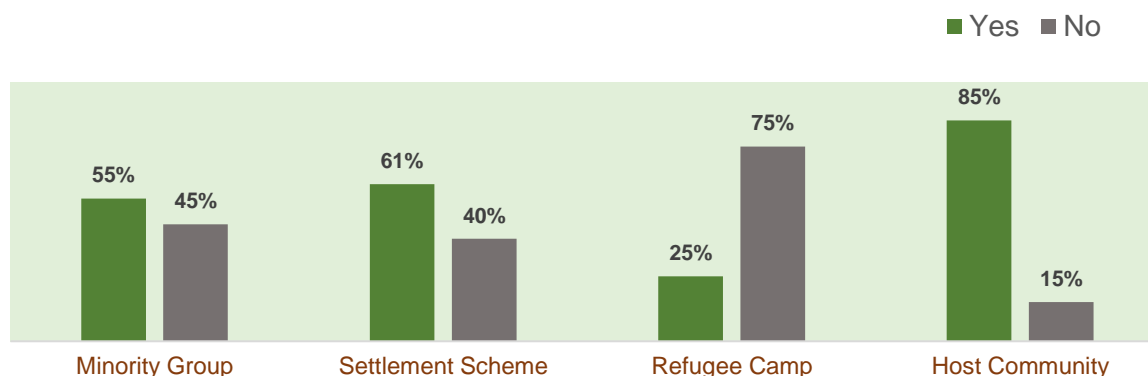
trainers and project assistants as points of contact and gathering feedback from beneficiaries through periodic direct field visits by staff and surveys. Direct field visits were noted as critical mechanisms for interacting and gathering insights from disadvantaged groups like persons living with disabilities. For the Refugee Consortium of Kenya, phone calls, social media and direct engagements through focal persons were the main beneficiary feedback mechanisms utilised. The UNHCR utilised a 24/7 free to air programme on mainstream media, WhatsApp communication and regular outreach by protection officers in the refugee camps aiming to ensure that every targeted beneficiary including disadvantaged persons and those living with disabilities are also granted an audience. Most unique was the Kiosk Automated Services and Information (KASI) System which is implemented by UNHCR with support from other stakeholders including International Finance Cooperation. This is an automated online platform strategically stationed within the camp using standalone booths loosely known as “Kiosk”. The KASI system is programmed in 19 languages to allow beneficiaries drawn from the different nationalities and clans living within the refugee camps to report any complaint to UNHCR for redress.

For K-RAPID project, the study established that during its initial implementation stages, the **project had made substantive efforts of initiating non-automated** mechanisms for generating feedback from the targeted beneficiaries. The mechanisms were noted to be very basic, largely involving the use of existing structures as water committees, chiefs, ward administrators and politicians to channel any feedback to the county director of water for action and redress. Direct engagements with the beneficiaries also occurred through physical visits during focus group discussions, gatherings and at various water points. In the course of project implementation, the study noted that K-RAPID made efforts to introduce an automated beneficiary feedback mechanism. However, these efforts were hampered due to i.) low literacy levels among beneficiaries, ii.) poverty among the beneficiaries which resulted in lack of resources to purchase devices like smartphones and internet bundles that were necessary to facilitate the use of such mechanisms, and iii) poor network/internet connectivity in the region, a critical element to the utility of an automated system. These factors resulted in the initiative being abandoned and increasing focus on the basic engagement approaches using non-automated structures that were already in existence and functional.

Also, the study noted that K-RAPID implementing partners introduced the use of solar technology that uses borehole sensors to report any technical hitch with the water points. The sensors were designed to relay data in real time from the water point to the department of water services in case of a technical problem, this would then be followed up by appropriate action immediately. The technology was noted to have been effective, particularly in greatly reducing the turnaround time required to fix faulty water points which was never the case before. Despite this technology being useful in responding to issues within water points, it was notable that the technology had no means of reporting actual feedback from the beneficiaries. By design, the technology only relays data on status of the water point and does not require human input.

Face to face interviews with beneficiaries drawn from project implementation sites revealed that on aggregate (63.2%) of the respondents confirmed that they are aware of feedback mechanisms for relaying their concerns to intervention implementers (see **Figure 3. 4**). Among the minority groups, slightly over half (55%) of the respondents confirmed that they were aware. Comparison between the different groups that were assessed shows that the least awareness levels were registered by respondents drawn from refugee camps whereas the highest was reported among host community at (85%).

Figure 3. 4 Awareness of any beneficiary feedback mechanism



When asked to state mechanism they are aware of, the three mechanisms that were prominently mentioned by the surveyed respondents phone number (47.4%), community gatekeeper (34.6%) and physical visit (28.2%). Among minority groups and settlement schemes the most notable mechanism that was highlighted by the respondents is physical visit. These disparities in awareness of the existing feedback mechanisms may be attributable to the differences in approaches used and the context under which they are used (Table 2). For instance, feedback forms and suggestion boxes are only useful and applicable where literacy levels are high. Similarly, community dialogues may be effective in host communities but ineffective in refugee camps and settlement schemes where the dynamics are different. However, exclusion dynamics may also be a factor e.g., host communities being significantly more likely to cite Community Gatekeepers as a feedback mechanism whereby there is some evidence that gatekeepers tend to align with locally dominant communities. Conversely, minority groups citing a physical visit as the most used or known feedback mechanism may indicate their higher trust in a field visit to their location by a team which is likely to include outsiders who are perceived as neutral or above the local power and inclusion/exclusion dynamics. Conversely the host community would clearly prefer that their feedback was mediated by the community gatekeeper, as less than one in ten cited giving feedback during a physical visit.

Table 2 Type of beneficiary feedback mechanism

	Aggregate	Garissa	Marsabit	Minority Groups	Host Community	Refugee Camp	Settlement Scheme
Suggestion boxes	5.1%	9.3%	0.0%	2.8%	9.1%	5.9%	0.0%
Client-exit interview	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Phone-based feedback	6.4%	9.3%	2.9%	8.3%	9.1%	0.0%	0.0%
Toll free number	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Phone number	47.4%	76.7%	11.4%	36.1%	36.4%	94.1%	0.0%
Community gatekeeper	34.6%	16.3%	57.1%	38.9%	50.0%	5.9%	33.3%
Physical visit	28.2%	16.3%	42.9%	50.0%	9.1%	0.0%	66.7%
Others	2.6%	2.3%	2.9%	2.8%	4.5%	0.0%	0.0%

Despite considerable efforts that have been made by SWISS funded interventions to institute suitable beneficiary feedback mechanisms, a considerable proportion of the respondents – 36.8% - still demonstrated limited awareness on the available feedback mechanisms. This points to the need for Swiss-funded interventions to explore effective and reliable feedback mechanisms that work best for target beneficiaries, considering the context. This can be done through:

- Promoting increased awareness and clarity on the mechanisms used to relay feedback amongst the beneficiaries.
- Consideration of the inclusion and exclusion dynamics associated with different feedback mechanisms. Where different sections of the community speak different languages, have different access to phones, data and an internet, may or may not be part of local social or religious structures and have different levels of trust in those responsible for collecting data, this will impact on a projects ability to gather data from all. If a single mechanism may tend to exclude one or more particular groups, either multiple mechanisms should be put in place and/or specific targeting of groups of potentially excluding beneficiaries (e.g., women and girls, minority groups, people living with a disability, the elderly) should be pro-actively organized to ensure that feedback from all groups is secured (and of course, acted on). FGDs could thus be organized with these groups in minority languages, periodically as a supplement to the main BFM in place.
- Continuous audit of the employed mechanisms to assess their effectiveness and level of inclusion. This can be done through field visits and engagements with implementing organization and beneficiaries through telephone conversations.

3.7 Reported Incidents of AID Diversion within the Study Locations

Incidences of aid diversion is not something new in Kenya and especially in the North Eastern part of Kenya. The scale of diversion has not been ascertained, although there have been reported allegations

that considerable share of aid is being stolen.⁹⁷ The magnitude of diversion is difficult to establish due to risks involved in generating credible information that can be used to ascertain the breadth of diversion. In most instances, individuals with credible evidence on aid diversion fear speaking up due to fear of being victimized by the perpetrators. In other instances, seeking for information on aid diversion is also a life and death affair that very few individuals would be willing to get involved in. This is the main reason as to why there is very scanty information on aid diversion which can hardly be used to make an informed decision.

Corruption in humanitarian aid is the most egregious form of this, as it deprives the most vulnerable among the poor – the victims of natural disasters and civil conflicts – of essential life-saving resources.⁹⁸ In northern Kenya, incidences of aid diversion are mainly perpetuated by the weak implementation of rule of law, endemic corruption, abject poverty, inter-clan conflicts, politicians and religious leaders who wield significant power. Marsabit and Garissa County is an extreme context, with areas without proper law enforcement and an economy intricately tied into local power structures and incidents of inter-clan conflict. The economic ‘rules of the game’ borders a fine line between what is legal and illegal, what is corrupt and what is normal business. How resources are transported and distributed in insecure environments often entails kickbacks and is, undoubtedly, influenced by powerful groups and individuals.

In assessing incidences of aid diversion within Swiss-funded interventions, the study established that **programme funds are largely utilised for their intended purposes**. For instance, within the K-RAPID project, the study noted that prudent utilisation of project resources was aided by the adopted implementation approach that is based on multi-stakeholder implementation design, availability of a robust financial and M&E framework for tracking and reporting on use of project resources and aligning project interventions with county needs and priorities within water, sanitation and hygiene component. These measures create enhanced transparency and accountability on the part of implementers. For instance, since decision-making of K-RAPID project is done through County Programme Steering Committee (CPSC), which draws its membership from different players involved in project implementation that include county government departments, implementing partners, Millennium Water Alliance (MWA) and Private sector players. This has provided a safeguard that protected against diversion of project funds. Therefore, the study asserts that K-RAPID project remained accountable to stakeholders, donors and beneficiaries, funds were spent in ways that benefitted local populations. Beyond channelling resources in response to Covid-19 pandemic, respondents consulted from across the various Swiss-funded interventions indicated that projects funds were utilised in activities within scope of the interventions.

“I’d say, in terms of the diverting of maybe funds from one community to another, I don’t think we have experienced any, that has not happened, as far as to our knowledge, we have not seen or heard any of that.”

KII, Swiss Foundation for Technical Cooperation

Through Key Informant Interviews (KIIs) with community gatekeepers, the study noted instances of aid reportedly being diverted from one group of beneficiaries to another, which is another form of aid diversion, less egregious but still serious, as it has long term consequences in terms of leaving no one behind as well as social cohesion and the reduction of inequality as a driver of conflict and instability in the area. Below is an excerpt from one of the key informants that was consulted in the study:

“There was a time when water tanks were brought through to minority groups or the name of our village (Hadle village) and was diverted to other place. We have not received those water tanks up to date.”

Host Community Leader, Kumuhumato Village, Garissa County

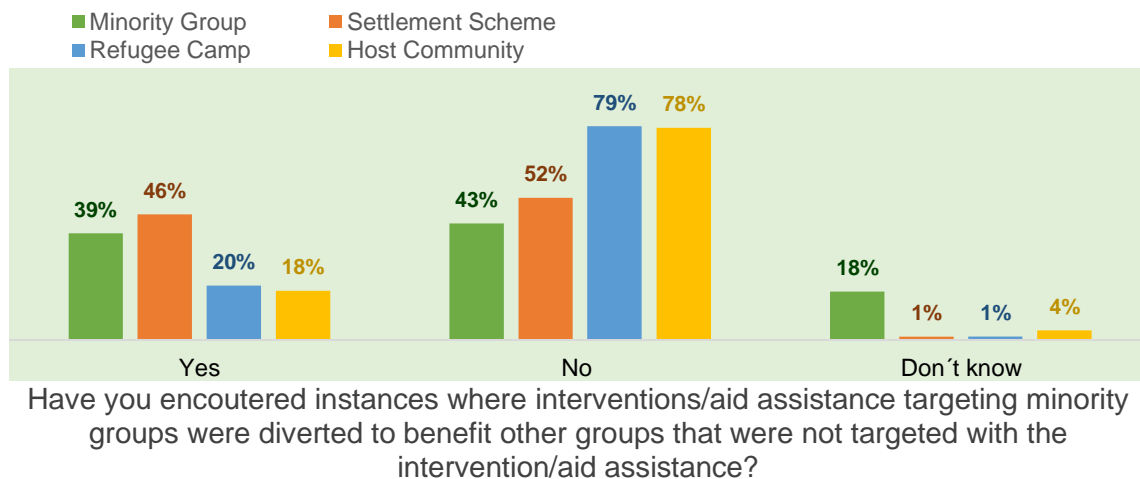
In other developments, face to face interviews with respondents drawn from sampled study sites noted incidences of aid diversion that were confirmed by a small but significant proportion of the surveyed respondents. As illustrated in **Figure 3.5** below, thirty per cent of the surveyed respondents confirmed that they have encountered instances where interventions/aid assistance targeting minority groups were diverted to benefit other groups that were not targeted with the intervention/aid assistance; although it could not be established whether these made exclusive reference to SWISS funded project resources. The two-settlement type where incidences of aid diversion were prominently cited by the respondents are settlement schemes (46%) and Minority group settlement at (39%). These findings

⁹⁷ <https://www.theafricareport.com/24282/%E2%80%8Akenya-study-reveals-scale-of-foreign-aid-diversion-offshore/>

⁹⁸ <https://tikenya.org/humanitarian-aid-integrity-programme/>

show a very worrying trend where approximately four out ten (4/10) of the respondents confirmed that they have encountered incidences of aid diversion. Equally worrying was the fact that minority group respondents were significantly more likely to refuse to answer this question (18%, compared to 3.5% for the host community). When combined with the high positive responses, this is suggestive of a fear of reprisals or other negative repercussions as a result of disclosing views on this sensitive question from these groups. The fact that almost one in 5, host community respondents also acknowledged that aid had been diverted away from minority groups to others, when this group would have no self-interest at all in reporting this (almost the converse) adds credibility to the overall findings.

Figure 3. 5 Incidents of aid diversion



Whilst the study notes that donor funds within the study locations were largely utilized for their intended purposes, there were some isolated cases where diversion of aid could not be justified. For instance, in Medina village, Garissa County, there was a reported case where donations meant for vulnerable groups were diverted by local chiefs.

“One time food aid from an Islamic organization meant for the minority and vulnerable people during the Ramadhan was hastily diverted to others by the chiefs.”

Minority Community Leader, Medina, Garissa County

Such instances of diversion of aid were largely attributable to limited transparency during beneficiary recruitment process, and selfish interests among those charged with responsibility to distribute the resources. In Bakabaricha village, a community gatekeeper that was consulted during the study asserted that there were several instances where aid meant for the community was diverted to other majority groups. These instances were attributable to the influence of politicians, chiefs, community gatekeepers, and village elders who had control over allocation and distribution of resources. Often, they leverage their power and influence in favour of their tribes or clans, further perpetuating exclusion. As such, minority groups often have to lean on host communities and majority groups for clout and to benefit during distribution of resources. It is vital to note that the study could not exhaustively examine the extent to which aid diversion occurred due to sensitivity of aid diversion topic which may have caused some respondents to refrain from commenting on the topic or failed to accurately triangulate claims that resources were prudently utilised. Overall, available data suggests that aid assistance is, to a greater extent, utilised for the intended purpose. However, there are notable reported incidences of aid diversion between different groups of those with and without local power within study locations as confirmed by surveyed respondents.

3.8 Effects of COVID-19 Pandemic on Minority Groups

The prevalence of Covid-19 has resulted in significant disruption and distortion of socio-economic activities of the Kenyan population. In efforts to contain the spread of the disease, the Kenyan government implemented several containment measures, including restrictions on movement, restrictions on social gatherings, closure of schools and institutions and a nationwide curfew. These mechanisms have resulted in significant disruption in livelihoods and social lives of citizens. Studies have shown that, while these containment measures have been useful in limiting the spread of the pandemic, they have resulted in an exacerbation of the number of people leaving in extreme poverty

and limited citizen's access to basic services such as health, water and sanitation.⁹⁹ Additionally, given the Kenyan economy is largely fuelled by the service sector, guidelines on social distancing and limitation in gatherings have resulted in significant job cuts and loss of incomes for a majority of Kenyans who rely on this sector of the economy.¹⁰⁰

Like any other part of the country, it was established that the prevalence of the pandemic has had a negative impact on citizens living in the Northern and North Eastern region of Kenya in similar ways. There were no unique effects on minority groups compared to other segments of the population. However, the pandemic exacerbated their already dire situation, that is making minority groups more vulnerable. Some of the resulting impact of the pandemic that exacerbate vulnerability of minority groups include:

Disruption of some intervention activities. With the restrictions on movement and gatherings, some interventions were suspended. This translated to some of the targeted minority groups failing to access services offered to them through the interventions. Within K-RAPID project the study showed that a significant share of activities that required physical interactions were suspended. The same trend was also observed in the refugee camps. It emerged that some aid programmes by various agencies were suspended planned interventions in the camps in efforts to contain the spread of the COVID 19 as was reported for interventions implemented by the Refugee Consortium of Kenya.

“With the COVID-19 situation I think most of the agencies in the country down scaled their activities, there has been reduced field movements but at the same time there has been an increase in the engagement and usage of technology, and refugees have been affected because most of the time they really want to have that face to face meeting with officers from different agencies and when that opportunity is down scaled and they feel like they are not accessing services but they also go through technology and there also has been an enhanced psycho social issues within the camps.”

KII, Refugee Consortium of Kenya

Increased Psycho-Social related issues. The study noted that some of the COVID 19 related effects were reported to have resulted into increased incidences of psycho-social related cases which in turn led to increased mental problems, stigma and discrimination, people living with anxiety and fear of being repatriated, suicide incidences and murder cases among the refugee population. It was noted that the two major causes of increased psycho-social related cases are loss of ability to fend for household needs and the Government of Kenya ultimatum to close down camps and repatriate refugees back to their countries of origin.

Increased incidents of Sexual and Gender Based Violence (SGBV), Female Genital Mutilation (FGM) and Child Early Forced Marriage (CEFM). North Eastern Kenya and the Refugee camps are known to be predominantly inhabited by clans that have been significantly reported to be practicing harmful cultural practices like FGM/C and CEFM. According to the Kenya Demographic Health Survey (2014), North Eastern Kenya scored the highest (97.5%) prevalence rate of FGM compared to the national average reported at (21.0%). Previous studies have indicated that sexual and gender-based violence (SGBV) is widespread throughout North Eastern Kenya, this is mainly attributed to patriarchal system of social governance where men have dominance over women in all aspects of life. With closure of schools as a containment measure of the COVID 19 pandemic, the study noted increased incidence of FGM and CEFM. In addition, at the household level, the study reported increased cases of SGBV. All these incidences were mainly attributed loss of livelihood that led parents to subject their daughters to FGM in readiness for marriage or to marry off their daughters as way of reducing the household burden or generating resources to support household wellbeing from rewards provided to the family as dowry.

Suspension of registration services for new refugee arrivals. Reduction in activities that required physical interactions like registration and profiling of new refugee arrivals exposed them to extreme vulnerability since they lacked tokens which are normally provided during registration to access food stamps and other basic services within the camps like health care among others. Further, due to lack of movement passes, the study noted increased incidences of arrests along the migration corridors which has resulted into increased demand for legal aid and social support. Below is an excerpt from one of the key informants consulted during the study.

⁹⁹ <https://devinit.org/resources/socioeconomic-impacts-covid-19-kenya/>

¹⁰⁰ <https://bmcmmedicine.biomedcentral.com/articles/10.1186/s12916-020-01779-4>

“With COVID 19 pandemic, registration exercise for new refugee arrivals was suspended for quite some time and people coming in for the first time have had a difficult time accessing basic services like food stamps, health care among others. For instance, you will find people coming in and not just in Daadab or Kakuma Camp but also even in Nairobi. But since the new arrivals that were coming in are people who do not have documentation, how do you expect people to survive without documents? Even as a Kenyan, you need documents to access a building; you need documents to do various services. Therefore, lack of documentation exposed the new arrivals to extreme vulnerability.”

KII, Refugee Consortium of Kenya

Limited implementation of certain interventions. The pandemic has resulted in disruption of financial and budget plans for programme implementation. In some instances, funds initially meant for other activities such as trainings were diverted to help enforce compliances with Covid-19 protocol, especially in refugee camps. Further, additional resources were also channelled towards setting up necessary infrastructure for enhanced hygiene within organisations and the surrounding communities, and purchase of Personal Protective Equipment such as masks for staff and beneficiaries of programmes. Due to these diversions, there has been significant strains on the available resources, thus limiting implementation of some activities.

Increased humanitarian need. Movement restrictions limited delivery of critical goods and services to communities in remote parts of the Northern and North Eastern region of Kenya. This has translated to disruption in supply chains and ability of humanitarian agencies to access and deliver basic commodities to target beneficiaries. Additionally, this disruption in supply chains led to increase in prices of basic commodities. With income disruption and limited access to financial aid, the purchasing power of individuals was constrained (even further than pre-COVID low levels), translating to increased need for humanitarian assistance.

Income disruption. The disruption of social and economic activities disrupted incomes of residents in the regions. This has had negative impacts on the livelihoods of residents, including the minority groups. Closures of markets limited the ability of residents in the Northern and North Eastern region to convert their assets, largely livestock, to cash (and food). Disruption of tourism has resulted in limited demand for local crafts such as bead worked products that are the economic lifeline of some minority groups (and in particular women and girls within these groups). The resulting economic strains impacted negatively on the household wellbeing,¹⁰¹ despite the region already recording the highest poverty rates in the country pre-pandemic – at 83.2% in Marsabit County¹⁰² and 54.5% in Garissa County.¹⁰³ Additionally, income disruption impacted ability of some individuals to purchase necessary personal protective equipment such as masks, as limited resources are instead channelled to purchase of food, water and access to healthcare services. Within refugee camps, the suspension of activities in agency offices resulted in loss of employment, particularly for casual workers. This also resulted to disruption of their income source for casual workers.

“During this COVID 19 period, moving in and out of the refugee camp has been reduced to almost nothing, or very minimal. So that means, even if you’ve started a business, you being able to travel let’s say to Nairobi to source for materials has now become literally next to impossible. You have to rely on a third party, and you know that comes at an extra cost, comes the risk of not getting the items you wanted among others risks.”

KII, Swiss Foundation for Technical Cooperation

Disruption in sensitization and aid distribution efforts. Imposed restrictions on gathering has transited to slowing down of sensitization and aid distribution efforts. Community forums in social halls or mosques that are normally utilised as a medium for distribution of resources – information and aid – no longer take place. Thus, reaching vulnerable groups has become more difficult.

Slowed down aid support. The pandemic has resulted in some NGOs and humanitarian organisation working in the Northern and North Eastern region of Kenya deciding to downsize or even, in some

¹⁰¹ <https://www.worldbank.org/en/country/kenya/publication/kenya-economic-update-covid-19-erodes-progress-in-poverty-reduction-in-kenya-increases-number-of-poor-citizens>

¹⁰² <http://www.nutritionhealth.or.ke/wp-content/uploads/SMART%20Survey%20Reports/Marsabit%20County%20SMART%20Survey%20Report%20-%20July%202019.pdf>

¹⁰³ <http://www.nutritionhealth.or.ke/wp-content/uploads/SMART%20Survey%20Reports/Garissa%20County%20SMART%20Survey%20Report%20-%20E2%80%93%20July%202019.pdf>

instances, halt their operations. This has been as a consequence of slowed donations and funding for activities as most resources that initially trickled from donor countries were channelled to supporting COVID-19 containment. As a result, minority groups, refugees and vulnerable groups that relied on these NGOs and humanitarian organisations were exposed to extreme vulnerability with regard to access of basic needs like food, water, healthcare, and education. For instance, in Kakuma refugee camp it was reported that due to reduced field movements most aid agencies down scaled back their physical activities but at the same time were leveraging technology to continue implementing activities that could be implemented remotely.

Increased insecurity. The socio-economic impact of the pandemic has heightened the strain on individuals to afford purchase of basic commodities. As a result, there are heightened risks of livestock theft, road banditry and ethnic conflicts linked to competition for the limited accessible resources. A worsened security situation, coupled with limited government capacity to maintain law and order, also results in difficulties in accessing minority groups with necessary aid.

As a social safety net measure for preventing citizenry from sinking into extreme vulnerability from the prolonged effects of COVID 19 pandemic the study noted that the government of Kenya had put in place various measures that include initiative such as Kazi Mtaani programme (loosely translated “work at community level”) for the young people.¹⁰⁴ The initiative was commissioned by President Uhuru Kenyatta as a means of providing the “most vulnerable” youth with a source of income in wake of COVID-19 pandemic. In Marsabit County, the Kazi Mataani initiative was launched by the County Commissioner on July 13th 2020¹⁰⁵ whereas in Garissa County, the programme was launched by the County Commissioner targeting 3,000 youth drawn from the county.¹⁰⁶ On the flip side, the study established that minorities, largely, did not benefit from such government interventions. Only few selected individuals and groups benefited from the government intervention.

“There is no any assistance, not even Kazi Mtaani which has benefited other areas. There is very minimal help.”

KII, Sadima Village, Marsabit County

“No efforts or interventions have come to us, we have not seen any aid assistance to protect us from the effects of COVID 19,”

KII, Kumuhumato Village Garissa County

Similarly, there were limited efforts by the county government to cushion locals, including minorities against the effects of the pandemic. Therefore, beyond awareness creation on the prevalence of the disease, there were limited benefits of the government’s COVID-19 safety net measures that were geared towards cushioning vulnerable groups including minority groups from sinking into extreme vulnerability.

3.9 Challenges that Limit Minority Inclusion within SWISS-Funded Interventions

Of course, the location of Swiss-funded interventions wholly in Counties that are poorer and less well developed than other areas of Kenya already begin to meet the challenge of reaching minorities. However, the authors of this study would argue that benefitting these areas as a whole does not go far enough, and in particular, it does not meet the test of Leave No One Behind or Reach the Furthest Behind First as these are commonly understood. The Swiss and K-Rapid team would, to some extent, seem to agree as substantive efforts have been made towards ensuring inclusion of minority groups in the K-RAPID project. To a large extent, the criteria for site selection and beneficiary recruitment that was largely informed by data appeared to be sufficient and effective in mainstreaming inclusion to a considerable extent. However, below are six challenges that were identified by the study to be limiting minority inclusion within the K-RAPID project. They include:

- a) **Availability of limited or no principles or policies on mainstreaming minority inclusion in K-RAPID project.** It was established that the K-RAPID project is guided by the principle of “Vulnerability” whereby the project targets to intervene in vulnerable situations first. In most scenarios’ minority groups constitute vulnerable groups within the study locations. To confirm this assertion, some of the implementing partners argued that minority groups are part of the beneficiaries who have been benefiting from their interventions, however the only gap is, they have never made efforts to assess the extent to which minorities per se are benefiting from their

¹⁰⁴ <https://housingandurban.go.ke/national-hygiene-programme-kazi-mtaani/>

¹⁰⁵ https://www.youtube.com/watch?v=fef27WmX-k&ab_channel=Nation

¹⁰⁶ <https://www.the-star.co.ke/counties/north-eastern/2020-07-07-kazi-mtaani-youths-programme-launched-in-garissa/>

interventions. Despite the progressive effort to mainstream inclusion using the vulnerability principle, the study however noted that no implementing partner organization was obligated to subscribe to this principle of inclusion. Similarly, there was no evidence to suggest donor agencies subscribed to or formally required any principles or policies for mainstreaming minority inclusion. This appeared to limit effectiveness of efforts and strategies for ensuring inclusion of minority and marginalised groups in SWISS funded projects.

- b) **Lack of donor requirement to ensure minority inclusion in K-RAPID project.** It was established that implementing partners of K-RAPID projects are not specifically obligated to ensure minority inclusion while implementing their projects. This is attributable to interest and focus of the donors, which influence other dynamics of the intervention and project implementation. The effort towards inclusion would potentially have had costs (in terms of increased financial costs and/or reduced reach, and political costs in terms of relationships with County officials) and might have involved trade-offs. Without a solid push factor pushing for its prioritization such costs and barriers act as perverse incentives against full efforts to reach inclusion.
- c) **Availability of limited or no evidence/data on minority exclusion that can be used to inform minority inclusion within K-RAPID project.** The compendium of data available from the project are largely disaggregated based on age group, gender and, to a lesser extent, persons with disabilities. There remains limited or no data disaggregated based on minority group (nor on any linked or potential proxy factor e.g., language, religion, ethnicity) that can be leveraged to inform efforts (or to ascertain success or failure) in ensuring minority inclusion.
- d) **Limited scope of indicators and information captured by the M&E framework.** It was established that while K-RAPID project had well established M&E systems, its reporting structure was largely designed to capture numbers, with a bias on gender and age group comparative analysis. However, there was limited information on systemic issues such as culture, religion, language, access to political decision makers, conflict, climate change, etc. that have the potential to continue to perpetuate exclusion of minority groups. This reporting structure is largely informed by donor indicators, which largely focus on reporting number of beneficiaries reached to justify expenditures incurred to implement an activity.
- e) **Area of focus for implementing partners.** The study noted that implementing partners area of focus also played a bigger role in determining the extent to which they consider and report on inclusion. For instance, CARE Kenya area of focus is on Women and Girls. As such, in most of their interventions their interest groups are women and girls. With that in mind, they appear to have opted to limit the extent to which they considered other additional focus areas like minority inclusion that does not fall within their domain of interest. Whilst the challenges around attention to multiple or intersectional discrimination are real, focus on one single axis of exclusion cannot justify a decision to not pay attention to any other exclusion factor that might interact with and significantly exacerbate or alter the exclusion picture for some individuals and groups within the selected group.
- f) **Limited influence of government institutions (i.e., NGE, NCIC) in compelling implementing partners of K-RAPID project to mainstream minority inclusion.** Whilst the National Gender and Equality Commission and National Cohesion and Integration Commission are mandated to ensure equality and inclusion for all groups as provided for in the available legal and policy frameworks, the study noted that their mandate is limited to providing advisory opinion with a very weak component on enforcement. With the frail enforcement component that cannot compel implementing partners including county governments to mainstream inclusion into K-RAPID implementations, this creates leeway for implementing partners to lay their emphasis on project objectives, which sometimes may be silent on inclusion of disadvantaged groups including minority groups.

Annexes

1. A. Verified Minority led CSOs/NGOs in Somalia/Somaliland that have cooperated on this study

Most if not all CSOs and NGOs in Somalia routinely state that they include and benefit Somali minority communities equally. Minority communities dispute this. Documented historical instances whereby the NGO sector has been involved in or has turned a blind eye to minority exclusion has heavily eroded trust between minority community members and the NGO sector in general, and this affects organisations who do genuinely seek to benefit minorities. Minority community members and leaders recommend that only minority led NGOs and those with a demonstrably and documented solid track record of benefitting minority clan community members be entrusted with projects that seek to do so.

It must be noted that whilst the below named organisations are well connected to and knowledgeable about minority communities and are highly motivated to work with, include and benefit them, they are under-resourced and cannot assume to have funds available to cover either staff time or travel expenses if they are asked to supply information or advice on minority communities and issues.

Organisation name	Contact email	Base and coverage	Leadership, track record and notes
Daami Youth Development Org (DYDO)	Director: Mohamud Sooyan mshiine10@gmail.com	Base: Daami IDP camp Hargeisa. Coverage: Somaliland	Gabooye leadership, youth focus, education, experience in political participation, emergency response, data gathering and analysis, advocacy. Received small levels of funding from Oxfam/Novib, Somaliland National Electoral Commission, UNHCR and UNSOM.
Livelihood Relief and Development Organisation (LRDO)	Mr Yusuf Abdi Chair www.lrdo.org info@lrdo.org yusuf@lrdo.org	Base: K4 Mogadishu Coverage: Banadir, Middle Shabelle, Lower Shabelle, Bay, Bakool, Hiran, Dhasamareeb & Jubaland	Mixed minority leadership, livelihoods focus, experience in WASH, data gathering and analysis, participation in cluster meetings, experience of work with UNICEF. Registered with SHF.
Midnimo Relief and Development Organisation (MRDO)	Jama Isack Director midnimo.hiran@gmail.com infor@midnimorelief.org	Hiraan	Mixed minority leadership, experience in emergency response, data gathering and analysis. Member of a number of clusters including Wash, Food security, protection, camp management, GBV.
Marginalized Community Advocacy Network (MCAN)	Ibrahim Hassan Mohamed Qorsheeye Director mcadvocates.somali@gmail.com info@mcadvoc.org website www.mcadvoc.org twitter. @MCANetwork2	Base: Mogadishu Coverage	Primarily Bantu leadership, connections with hunter-gatherer groups. Collaboration with several UN bodies to research and report on minority exclusion in IDP camps and in general. Offices and representation in Hirshabelle, Banadir, SWS (mainly Lower Shabelle), and Jubaland. Past work includes with UNDP, HRP, OCHA, EAJ, PACT, INTERPEACE, BBC, UNHCR, EISA. Registered in HRP

Puntland Minority Women's Development Organisation (PMWDO)	Dr Maimuna Farah Executive Director pmwd2000@yahoo.com	Base: Garowe Coverage: Puntland	Gabooye/Mahdiban leadership, female headed organisation, women focus, experience in food security, education, health, emergency response, data gathering and analysis. Registered with SHF. Currently implementing programmes funded by UNICEF, Forum Syd and OCHA
--	--	---------------------------------------	--

1. B. Other useful sources of advice and support on minority issues in Somalia/Somaliland

Organisation name	Contact email	Expertise or contribution on minority inclusion
Adeso	https://adesoafrika.org/ (Degan Ali)	Pioneering organisation addressing potential bias in cash transfers. Potential to supply training for Somali national staff on clan dynamic risks and withstanding clan pressures/influence safely.
Africa's voices	info@aficasvoice.org https://www.africasvoices.org/engaging-somali-voices/	Organisation utilising radio and SMS conversations to open up sensitive topics. Week 21 of recent series (Nov 2020) was devoted to the question: How can minorities be involved in decision-making processes related to COVID-19 recovery? The organisation has also developed drama radio stories to surface sensitive issues and to model positive behaviour
ACTED	https://www.acted.org/en/countries/somalia/	Experience of working with minority communities at grassroots level to build interventions. Source of promising practices
Voices of Somaliland Minority Women's Organisation	https://www.facebook.com/VOSOMWO	Women led organisation focused on minority issues in Somaliland. Minority founder. Many minority-focused activities reported.
Protection Capacity (Pro-Cap)	Matt Byrne Senior ProCap Adviser Skype: <i>mattbyrne</i> 75 Tel/WhatsApp/ Signal: +40765858476	Tasked with improving Protection Capacity in general, current focus on improving the capacity of protection actors to deliver minority inclusion through the provision of advice, training and solution finding.

2. A. Suggested specific CSO/NGO project activities to promote minority inclusion Somalia

Immediate term

- i. **Advocate for minority candidates to stand in Puntland pilot OPOV elections due 2021**
Support minority led organisation to lobby decision makers for a quota or other measures to promote inclusion, to provide training to potential candidates and voter education to minority community members.
- ii. **Continued research into modalities of minority exclusion**
Support minority led organisations to continue to investigate, gather evidence concerning and report on specific instances of aid diversion, exclusion and bias. Ideally evidence gathering should go beyond hearsay and reports and should clearly document specific instances. Human rights defender support for those involved might be essential.
- iii. **Commission detailed research into reasons for low (post-secondary) educational opportunity access and take up and qualifications of minority clan community members (including minority women).**

Medium term

- iv. **Support a minority professionals fellowship scheme** that allows minority clan community members who would not otherwise compete for formal employment roles to at least gain work experience in government and international agency offices. Consider how to support the career development of those who successfully complete placements so that they can gain formal employment in the longer term and such offices will have a more diverse staff group.
- v. **Build demand side accountability within minority communities through trained mediators**
Identify and train a cohort (30-40) of young minority activists to be aware of rights and exclusion dynamics. Connect them directly with feedback systems and personnel above local clan dynamics. Provide funding for them to travel to gather evidence and report back where instances of aid inequalities etc are reported to them locally through minority networks. Provide human rights defender support. Provide for analysis of exclusion dynamics and regular reporting and advocacy to Somali and international decision makers.
- vi. **Support a consortium of minority led organisations (with support) to establish and run firstly a fund to address barriers to post-secondary education of minority clan community members (based on the results of ii) above, and secondly a fund providing income generation opportunities/small business support for minority clan young men and women.** Alternatively, a scheme that trains 50% of minority and 50% majority trainees which may be seen as more acceptable and less sensitive but also may help break down discriminatory attitudes among the group.
- vii. **Support minority led organisations to meet and strategize together regularly, to begin to build trust and to share learning and methods.**
- viii. **Support consortia of minority led organisations to gather evidence and feed into international mechanisms (Treaty Bodies, UPR, African Commission on Human and Peoples Rights and similar)**
- ix. **Provide for an annual meeting of minority led organisations and the UN Resident Coordinator (or someone in that office).**

Long term

- x. **Organise state level assemblies of minority clan leaders, representatives and activists whereby all minority clans in that Federal member state meet and agree common positions and platforms.** Separate meeting held for women within/alongside such events.
- xi. **Support minority led NGOs to consult communities at the Federal State and Federal level concerning the 4.5 formula and eventual moves to OPOV** and how their rights are best fulfilled in the short, medium and longer term, publish the results and support advocacy based on the findings.

- xii. Undertake mapping to create maps and lists of settlements containing minority clan members in Somalia

Kenya

- xiii. Support **locally led NGO capacity building** in project intervention areas, but in particular minority NGOs and those supporting minorities within minorities.
- xiv. Support efforts to increase **community awareness of budget allocation decisions** and transparency and accountability linked to those decisions.
- xv. Build the **capacity of leaders of minority within minority communities to participate in political processes and systems**

Ethiopia

- xvi. Consider supporting the establishment of an organisation in Somali State of Ethiopia that is knowledgeable about and represents minority communities within local societies.

3. Suggested advocacy recourse options

Somalia

- i. Encourage Somalia to meet its reporting obligations vis a vis international human rights treaties that it has ratified as well as to submit a VNR regarding progress towards the 2030 Sustainable Development Goals.
- ii. Support Minority led organisations to gather and submit shadow reports or other evidence and include minority voices at international fora where Somalia's human rights or SDG 2030 record is reviewed or discussed as well as where minority rights and/or discrimination are discussed (e.g., UN Forum on Minorities).
- iii. Convene meetings between OHCHR staff working on human rights in Somalia and minority representatives.
- iv. Convene meetings with the UN Independent Expert on Human Rights in Somalia to discuss the findings of the current study involving minority led NGOs.
- v. Enter into a proactive dialogue with the FMS authorities in Puntland regarding securing minority inclusion and representation in the OPOV electoral process due to take place in 2021 in this region.

Somaliland

- vi. Support efforts to increase the quota for minority representation in Parliament
- vii. Discuss with the authorities in Somaliland the potential to pass an anti-discrimination law, to give effect to commitments made in Articles 8.1 and 8.2 of the Constitution.

Ethiopia

- viii. Assuming a peaceful election in June 2021 and a smooth transition, support efforts towards a constructive dialogue concerning the benefits of the ethnic federal system, ways to overcome historical grievances linked to ethnic diversity and ensure a peaceful and inclusive diverse society.

4. Specific recommendations for Third Party Monitoring

- a) The TPM process should go beyond confirming aid reached those targeted and satisfaction levels of beneficiaries. It must also engage with the question of whether the right beneficiaries were targeted. To do so, it may need to interact with non-beneficiaries within areas targeted to ascertain whether objective assessments of their level of need relative to others have corrected identified the beneficiaries or whether other factors have intervened.
- b) The TPM could consider issuing radio ads (which are likely to reach minority community members) to solicit feedback of various types: those who feel that they should have benefited from an intervention but have not; those who are benefitting but are having a portion of their aid skimmed and those who are benefitting but are dissatisfied and wish to provide feedback to the provider. This might generate a number of calls far in excess of 500 calls per year (a figure which is mentioned in the proposal).
- c) The TPM process should involve review of recruitment methods for identification of beneficiaries (bearing in mind the reported bias in recruitment of minorities) by some methods reported in this study
- d) The TPM process should be prepared to take a human rights defender approach where feedback arises whereby follow up investigations and/or publication may put individuals or households at risk.
- e) The TPM contractor proposes the use of participatory assessments. In target areas where minority clans are present, consideration should be given to meeting privately with minority community members separately in advance of any wider meeting (to which they should also be invited.)
- f) In 6.7.1 of their proposal the contractor pays attention to “cross cutting issues”, minority inclusion should be specifically addressed as a cross cutting issue throughout the work.
- g) Enumeration teams should include speakers of as many Somali languages and dialects as possible as well as representation of occupational groups that experience discrimination.
- h) Enumeration teams should be provided with specific training on identifying and including minority participants in different settings, on asking questions about minority clan status and responding to any concerns linked to such questions. Any existing guidance for either team members or implementors (e.g., ROM Guide) should be reviewed for minority inclusion before roll out.
- i) Survey and data gathering in Somaliland and Puntland should normally confidently include questions concerning clan heritage. If concerns are raised about this, at the very least, data should be required on minority clan heritage.
- j) The team should progressively seek to include questions about minority (but not majority) clan heritage in other areas, referring to the 4.5 formula as evidence that clan dynamics are relevant and must be openly discussed.
- k) The following elements of the planned digital dashboard should ensure attention to minority clan inclusion: 1. Risk matrices 2. Results indicators 3. Effectiveness scoring 4. Stakeholder mapping
- l) The contractor should use the expected positive relationship with the National Bureau for Statistics to open a positive dialogue concerning the benefits of gathering data disaggregated by minority clan heritage. This should also apply to the Central Statistic Department in Hargeisa.

5. Specific recommendations for Accountability to Affected Populations

- m) Minority community members may internalise the discrimination that they experience in daily life, which may result in them feeling less entitled to services or equal treatment. For them to fully participate in accountability systems they may need input in terms of rights awareness and entitlement, assurance and trust building over time that negative repercussions will not result from providing feedback as well as positive examples of note being taken of feedback and positive steps being taken to address concerns. AAP systems may need to provide for a level of accompaniment of minority community members in the initial stages of roll out (as a positive discrimination) measure to ensure that minorities participate.
- n) Minority community members will not divulge instances of aid diversion to members of the same clan that is perceived as having a role in or otherwise condoning that aid diversion. AAP staff that are not part of the locally dominant clans in the implementation areas should be used to clearly signal distance between the local power holders and AAP processes.
- o) Demand side accountability is not functional for minority communities in current political systems. Providers of AAP need to factor into their planning the likelihood that the results and lessons from AAP will run directly counter to local power structures, dynamics and traditions. Results and lessons are therefore likely to be unpopular with power holders at times which may result in criticism of the system and may result in some efforts to subvert or otherwise interfere with the system.

6. Recommendations on Minority Inclusion for the Humanitarian Country Team (HCT)

Prepared by the Somalia Protection Cluster and Implementation Support Group (ISG) for the HCT Centrality of Protection strategy and action plan.

3 Key Issues and Recommendations

- 1) **Issue: The need to identify and address the risk and occurrence of exclusion of persons with minority clan affiliations as their exclusion is not limited to the humanitarian response and impacts programming across the nexus.**
 - a) **Key Ask** the HCT and UNCT should adopt common terminology to improve consistency in the collection of data across the nexus.
 - b) **Tasks**
 1. Convene a consultation between HCT and UNCT actors to identify and agree on standardized terminology. The HCT can use the Protection Cluster's March 2021 *Position Paper: Defining a Common Definition of Vulnerability: Marginalized and Minority Groups* as the basis for the consultation as well as the leaving no one behind principle.
 2. After the definition is agreed upon the IMAWG, co-chaired by OCHA and IOM DTM, to develop an appropriate policy on data collection standards with regards to persons with minority clan affiliations, to be included in data collection tools utilized by the agencies in Somalia (i.e., JMCNA, DSA, DTM, PRMN, etc). This will allow for subsequent staff and enumerator training to improve the quality of data, ability for triangulation and potential for collective analysis. The Protection Cluster will share results and recommendations outlined in the *Guidance Note on Data Collection for Minority and Marginalized Groups*.
 3. The Protection Cluster to share with IMAWG the outcomes of the survey and meetings convened with partners on data collection, best practices, and limitations to data collection for minority groups and identified mitigation measures.
- 2) **Issue: The need to gather evidence and data is limited by national and local authorities meaning there is a clear need to bring the FGS in as a key partner on inclusion of persons with minority clan affiliations.**
 - a) **Key Ask** An appropriate HCT member to engage with the FGS to ensure the Somalia National Bureau of Statistics (SNBS) is actively collecting data on persons with minority clan affiliations to understand the needs of this population to help prevent exclusion from assistance. Advisable that the initial engagement to go via the Ministry of Humanitarian Affairs to ensure their buy in.
 - b) **Task**
 1. In advance of planned assessments, advocate those local authorities receive a clear instruction from the state that areas or population groups for data collection must be agreed jointly with humanitarian actors to decrease the risk of exclusion of certain groups, in particular groups with minority clan affiliations.
 2. State level ministries may have more influence on the FMS because of the ongoing debt relief work, consult with an identify how actors such as the World Bank are engaging with issue of minority clan affiliation as part of their social protection work.
- 3) **Issue: A multi-sectoral approach in addressing social protection needs can ensure some of the needs beyond protection are addressed.**
 - a) **Key ask & Tasks** the ICCG to design an area-based approach to decrease the risk of exclusion in selected pilot areas. Area-based approaches should be in line with the outcome of the IDP site criteria review led by the CCCM Cluster. Urban areas are recommended for pilots due to accessibility and the heightened risk of exclusion in these sites for persons with minority clan affiliations.
 - b) Ensure the engagement of minority clan leaders in the pilot areas to help ensure equal distribution of humanitarian assistance based on need and not status.
 - c) Develop a communication channel, through minority rights organizations, that persons with minority clan affiliations can submit requests to the humanitarian community for assistance.
 - d) To strengthen commitments on Accountability to Affected Populations (AAP) a proposal of recommended activities will be submitted to SHF with a request to fund a consortium of minority-led organizations that are supported by the clusters.

Ongoing Activities

- **Minority Audit** led by the Swiss Cooperation in partnership with Minority Rights Group International of humanitarian and development programs in the region.
- **Establishing a network of Inclusion Focal Points** under the leadership of the ICCG, all clusters should identify inclusion focal points with the purpose to train and inform on advice related to minority inclusion. The focal points and Cluster Inclusion WG is in-line with the GenCap Roadmap and HCT CoP strategy.
- The **Protection Cluster is establishing a repository** to provide institutional memory through the documentation and archiving steps that have been taken to address exclusion of minority communities. This includes a historical review to identify previous responses since OCHA first raised the issue in 2002.

7. Utilising conflict of interest provisions

UN conflict of interest rules are set out in staff regulations and in a memo from the Secretary General¹⁰⁷ and are overseen by the UN Ethics office.

There is a duty to report any potential conflict of interest on all UN staff:

*“A conflict of interest occurs when, by act or omission, a staff member’s personal interests interfere with the performance of his or her official duties and responsibilities or with the integrity, independence and impartiality required by the staff member’s status as an international civil servant. **When an actual or possible conflict of interest does arise, the conflict shall be disclosed by staff members to their head of office, mitigated by the Organization and resolved in favour of the interests of the Organization**”.*¹⁰⁸

However, only staff above certain grades D.1 or fulfilling certain roles (e.g., procurement) are obliged to submit a regular disclosure statement of potential conflicts of interests. (This is by way of an online form and the authors were not successful in obtaining the exact question posed.) Nonetheless the rules provide that additional staff can be asked to make such disclosures as deemed necessary.

It would be advantageous for many reasons if all UN staff operating in Somalia were asked questions about their clan links or affiliation to those with whom they may interact in the course of their work.

Such a question set could be phrased as follows:

“As provided by the UN staff regulations, all UN staff are obliged to report any actual or possible conflict of interest. Aware of the potential of clan dynamics to influence resource allocation and decision making in Somalia [Somaliland], [Agency] is determined to support staff to openly discuss how to manage such potential or perceived conflicts of interest. As a first step in this process, this form requires all staff working for [Agency] in [location] to disclose any clan heritage (or others’ perception of an individual’s clan heritage) and shared clan affiliations with local actors with decision making authority or with whom the staff member may interact in the course of his or her work. Information supplied by any individual will be maintained in complete confidence within [Agency] HR department and only shared with senior management on a need-to-know basis. Aggregated and anonymous data may be used to establish, internally and externally report on and discuss the level of diversity of groups of staff in terms of clan heritage.”

- 1) Please state which of the following groups you identify with, or your heritage is most closely linked to:
 - a) Darod
 - b) Dir
 - c) Hawiye
 - d) Rahanweyn/Digil/Mirifle
 - e) Minority clan (e.g. Bajuni, Banadiri, Bantu, Gabooye, Mahdiban, Tumaal, Yibir, etc)
 - f) International staff member (not of Somali nationality or ethnicity)
- 2) Please disclose the clan heritage of your immediate family members (if different)
 - a) Darod
 - b) Dir
 - c) Hawiye
 - d) Rahanweyn/Digil/Mirifle
 - e) Minority clan (e.g., Bajuni, Banadiri, Bantu, Gabooye, Mahdiban, Tumaal, Yibir, etc)
 - f) International staff member (not of Somali nationality or ethnicity)
- 3) Please list any senior local officials or actors with whom you may interact in the course of your work, with whom you share a clan affiliation or heritage (as described above).

¹⁰⁷ ST/SGB/2006/6

¹⁰⁸ <https://hr.un.org/page/staff-regulations#Regulation%201.2>

8. Example of Proposal document where inclusion is understood solely as gender

Despite clear guidance from the checklist and the existence of a separate question on gender, this proposal covers inclusion very superficially and the only development in terms of concrete activity relates to gender and no other exclusion factor.

Extract from Social and Environmental Sustainability checklist

“Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups?”⁴³

“Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.”

Briefly describe in the space below how the Project mainstreams the human-rights based approach

“The project will be implemented through participatory approach with consultation and inclusion of minority groups, such as women, young people and other marginalized groups in the activities of the parliament. The project will be mainstreamed with active engagement of communities through civic outreach in order to strengthen women political participation, women’s rights and to promote the empowerment of marginalized groups. The project will closely work with its stakeholders to bring together Federal Parliament and CSOs to promote protection of human rights. The project will support capacity building training activities for female MPs in the areas of gender analysis of legislation, gender budgeting and collection of sex-disaggregated data.”

Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment

“The project will promote gender equality through capacity development activities in gender elements, with trainings for MPs on gender specifically and gender mainstreamed into all other activities. The project will provide resources in support for the establishment of the Women’s Caucus. The project will work with women’s caucuses in the parliaments and develop links with women’s groups to engage in parliamentary processes to promote gender equality. The project will also work with women MPs in other legislatures and assemblies with substantial numbers of women MPs to establish women’s caucuses and to provide specialized training to women MPs based on their unique challenges they are facing. As part of the work to develop CSO partnerships with the NFP and other legislatures, the project will also pay special attention to identifying women’s groups for engagement. These groups can be supported with advocacy training to enable them to more effectively lobby parliaments, and the project can also facilitate These efforts will ensure the sustainability of the project and the development of stronger capacity that can outlive the project timeframe. 90 connecting up these women’s groups with MPs and relevant parliamentary committees, especially during public hearings. The project will also work with the NFP and other legislatures to reach out to specific marginalised groups, most notably, women and youth.”

9. Suggested disaggregation / minority inclusion mainstreaming in selected indicator examples

	Existing Indicator text (in all cases emphasis added)	Suggested Inclusive indicator text
1	Female Health Workers selected, trained and verified to provide basic health services in selected Federal states.	Female Health Workers (disaggregated by minority/majority clan, age, and disability) selected, trained and verified to provide basic health services in selected Federal states OR Female Health Workers selected, trained and verified to provide basic health services in selected Federal states 750 (of which 30% members of minority clans)
2	Proportion of women and girls in Garowe, Puntland who participate in safe spaces activities and know where to find GBV services (percent): Baseline: 0 (2018) Target: 70 (2022)	Proportion of women and girls in Garowe, Puntland who participate in safe spaces activities and know where to find GBV services (percent) (disaggregated by age, minority/majority clan and disability): Baseline: 0 (2018) Target: 70 (2022) OR Target: 70 (2022) with minority clan women and girls forming > or = 30% of beneficiaries giving equally positive feedback
3	Outcome 2 "Somali women and men, girls and boys benefit from more inclusive, equitable and accountable governance, improved services, human security, access to justice and human rights" Outcome indicators as stated in the CPD. Output 2.1: "Mechanisms for the transition to democratic and accountable structures and systems of governance designed and implemented" Output 2.3: The capacities of parliamentary and civil society actors strengthened for effective and accountable Government oversight. Output 4.2: Women's participation in peacebuilding, representation, civil service and public life increased at all levels	Output 2.1: "Mechanisms for the transition to democratic, more equitable, inclusive and accountable structures and systems of governance designed and implemented" Output 2.3: The capacities of parliamentary and civil society actors (with particular attention to minority clan MPs and minority led CSOs) strengthened for effective and accountable Government oversight. – Output 4.2: Women's and minority clan member's participation in peacebuilding, representation, civil service and public life increased at all levels until in proportion with estimated population share
4	By [date], the space for and engagement of local NGOs in coordination mechanisms, advocacy and policy influencing work, will have increased.	By [date] the space for and engagement of local NGOs in coordination mechanisms, advocacy and policy influencing work, (including at least 35% women led local NGOs and 10% minority led NGOs) will have increased. Milestones:
5	Increased utilization of quality services which are rated by the target, population accessible, acceptable, affordable and equitable # of U5 children (disaggregated by sex) benefitting from child health care services	# of U5 children (disaggregated by sex, minority/majority clan status and disability) benefitting from child health care services OR # of U5 children benefitting from child health care services, of which at least 50% are girls and at least 30% are members of minority communities
6	350,000 people have improved access to water for drinking, livestock, and other productive uses through new and rehabilitated water infrastructure such sand dams, shallow wells, boreholes, rainwater harvesting (RWH) structures, earth plans,	350,000 people (disaggregated by ethnicity, gender, age and disability) have improved access to water for drinking, livestock, and other productive uses through new and rehabilitated water infrastructure such sand dams, shallow wells, boreholes, rainwater harvesting (RWH) structures, earth plans, and other

	and other types of ASAL-appropriate technologies for people and livestock	types of ASAL-appropriate technologies for people and livestock 350,000 people have improved access to water for drinking, livestock, and other productive uses through new and rehabilitated water infrastructure such sand dams, shallow wells, boreholes, rainwater harvesting (RWH) structures, earth plans, and other types of ASAL-appropriate technologies for people and livestock (beneficiary numbers per ethnicity are in line with proportions of the local population in target counties within a margin of +/- 15%)
7	Pastoral and agro-pastoral communities manage natural resources within rehabilitated areas according to conflict- and gender-sensitive use agreements. 1. For 90% of all rehabilitated pilot sites, conflict and gender sensitive use agreements are endorsed at target group level. B: 0 T: 90% 2. In 50% of the rehabilitated pilot sites, natural resources are managed by community/clan-based organizations.	Pastoral and agro-pastoral communities manage natural resources within rehabilitated areas according to conflict- and gender-sensitive equitable use agreements. 1. For 90% of all rehabilitated pilot sites, conflict and gender sensitive equitable use agreements are endorsed at target group level. B: 0 T: 90% 2. In 50% of the rehabilitated pilot sites, natural resources are managed by community/clan-based organizations (with the inclusion of ethnic and occupational minority community members) .

10. Ethiopia results and findings

1. Context

Ethiopia adopted a federal political system in 2005 resulting in development of regional political blocks segregated based on ethnic identities.¹⁰⁹ The country comprises 10 regional states, largely segmented by their ethnic identities. These include Afar, Amhara, Benishangul-Gumuz, Gambela, Harari, Oromia, Sidama, Somali, Tigray and Southern Nations Nationalities and People (SNNPR). The country has a population of approximately 117,159,125.¹¹⁰¹¹¹ Oromia state had the largest population, while Harari has the lowest, based on official statistics from 2017.¹¹² However, the biggest segment of the population lives in rural areas, with only 21.3% living in urban areas.

The Somali region of Ethiopia comprises of several ethnic groups, but the Somalis are the most dominant, accounting for more than 99% of the population. The Oromo and Gurages and other minority groups like foreign-born Somalis and refugees also form part of the population of Ethiopia's Somali State. However, there also exists other minority groups whose identities are not recognised by existing state laws. Granted the ethnic federalism, it is notable that persons belonging to other ethnic groups, predominantly residing in urban and semi-urban towns on Somali region of Ethiopia are considered minorities. These minority groups have been noted to be disproportionately marginalised, usually without equal access to food aid and other humanitarian support.

Between 2000 and 2021, there has been substantive progress made by regional and state governments towards enhancing the social and economic conditions of Ethiopia's citizens. This has been demonstrated by economic growth and reductions in poverty. However, the arid-and semi-arid lowlands of Ethiopia like the Somali Regional State, have been historically marginalised. Despite the country's gains overall, a substantive proportion of the population here still has limited access to basic goods and services guaranteed by the Constitution. According to UNICEF, an estimated 26% of the country's population still lives under the poverty line.¹¹³

Often, minority groups are the most vulnerable and worst affected by marginalization with regards to access to public goods and services. Limited access to opportunities for accessing and controlling these resources, often due to low literacy levels, limited rights to own land, and limited representation in decision-making spaces contribute to their marginalization and prevalence of poverty among these groups. These also expose them further to shocks occasioned by drought, flooding and other natural calamities, which worsens their poverty situation.

Some of these contextual issues in that continue to enhance the impacts of minority exclusion are succinctly discussed below:

Climate change - Recurrent drought. Up to 85% of the population in Ethiopia's Somali National Regional State rely on pastoralism and agro-pastoral lifestyles as their main socio-economic activity. However, the regular occurrence of drought in the region and other part of the country has negative implication on outputs of agriculture and livestock-rearing thus threatens their socio-economic stability and increases their exposure to poverty. It is estimated that moderate drought in the country results in reduction in agricultural incomes by up to 15% and worsens the prevailing poverty by 13.5%.¹¹⁴ The negative effects of food security caused by drought also triggers violent conflict, as communities and ethnic groups fight to control the limited resources available. In such instances, dominant communities become the main beneficiaries of the limited resources that trickle from state and non-state agencies, while minority groups remain marginalised.

Ethnic fractionalisation. The Ethiopian population can be best described as a "Cultural Mosaic" comprising more than 80 ethnic groups. The ethnic composition influences the governance structure given most regions in Ethiopia are created based on one locally dominant ethnic group. The Oromo and Amhara communities form the largest segment of the country's population accounting for 34.4% and 27% of the population respectively. The Somali come third representing 6.2% of the population and Tigray fourth at 6.1%. The distribution of population in Ethiopia best demonstrates ethnic dominance and existence of minority ethnic communities. The top 13 ethnic communities in the country account for over 90% of the population while the

¹⁰⁹ <https://www.afdb.org/fileadmin/uploads/afdb/Documents/Project-and-Operations/Ethiopia%20%E2%80%93%20Country%20Governance%20Profile%20EN.pdf>

¹¹⁰ <https://www.worldometers.info/world-population/ethiopia-population/>

¹¹¹ <https://worldpopulationreview.com/countries/ethiopia-population>

¹¹² <https://www.ethiovisit.com/ethiopia/ethiopia-regions-and-cities.html>

¹¹³ <https://www.unicef.org/ethiopia/social-policy-and-evidence-social-inclusion>

¹¹⁴ <http://documents.worldbank.org/curated/en/644821522154723489/pdf/WPS8380.pdf>

remaining 67 ethnic communities make up less than 10% of the population. The ethnic fractionalisation has also been proven to weaken the social contract and exacerbate marginalization and exclusion of minority groups. However, there have been notable efforts towards addressing the issue of inclusion, evident by representation of each ethnic group in the house of federation at federal government level. However, representation still remains a challenge given there only exists 10 regional states against more than 80 ethnic groups.¹¹⁵

Culture and practices. Sisto (2014) established that culture had a significant role in perpetuating discrimination against minority groups across Ethiopia. Beyond ethnic identities, cultural norms and beliefs continue to perpetuate exclusion of minority groups based on their occupation. This situation is attributable to the fact that communities in Somali Regional State are largely pastoralists and Agro-pastoralists. As such, minority groups in Somali region of Ethiopia with varying occupations such as smiths, tanners, weavers, potters, woodworkers, and hunters are marginalised.¹¹⁶

Marginalisation of Some Regional States. Some states have suffered from decades of historical marginalisation by the federal government.¹¹⁷ This has translated to limited regional capacity to mobilise and manage resources at regional level that would contribute to improved provision and access to critical public goods and services by communities, particularly minority groups in the remote parts of the country. The Somali regional state, which is the sampled study location for this review, is known to be one of the marginalised regions of the country with poor access to public goods and services. Additionally, according to UNDP, the region has one of the lowest human development rankings (UNDP, 2018).¹¹⁸

High Poverty Rates. For decades, the poverty rates in Ethiopia have been high, with the country recording among the highest poverty rate globally in 2000.¹¹⁹ Over the last two decades, state and non-state agencies have made concerted efforts to change this narrative. As a result, poverty rates in the country reduced by 33% between 2000 and 2011. While the poverty rates in Ethiopia have declined over recent years, they remain substantively high. The high poverty levels are attributable to limited diversity in income sources for the population due to overreliance on agriculture and pastoralism, insecurity, war and low literacy levels.¹²⁰

Weak institutions of governance. There exist significant capacity limitations within institutions of governance charged with the mandate of ensuring equitable access to public goods and services for all. As a result, there has been increased reliance on donor-funded interventions to bridge the gaps. However, minority groups that are already vulnerable, particularly persons bellowing from other ethnic groups and residing in urban and semi-urban town such as the capital Jijiga, stand exposed to further marginalization with regards to access to good and services.

Fiscal Imbalances and regional borrowing. Ethiopia's governance structures are characterised by high levels of fiscal imbalances, which occurs both horizontally and vertically (Belay, 2014). The fiscal imbalances in the country are largely attributable to limited economic space. This has resulted in ineffective mobilisation of resources by regional states and increased borrowing from domestic sources (regional states in Ethiopia are restricted by law to domestic borrowing only for purposes of funding investments with a guarantee of return on investment, sufficient to cover the interest rate and servicing the debt (Assefa, 2015). Overall, the fiscal imbalances in the country have implications on the ability of the government to deliver critical public goods and services to citizens and minority groups across the states. While the fiscal decentralisation shows great promise, particularly in bridging the development gaps and variations, the fiscal imbalances and increased regional borrowing, which are compounded by limited fiscal autonomy at sub-national level, continue to impact public revenue management and, consequently, delivery of public goods and services to the population. Additionally, the fractionalisation of the population, coupled by the government's preference of foreign direct investments over domestic investments¹²¹ continue to limit the fiscal balance of the country and regional states.

¹¹⁵ <http://213.55.79.198/xmlui/bitstream/handle/123456789/1723/Belete%20Mehari.pdf?sequence=1&isAllowed=y>

¹¹⁶ http://eprints.lse.ac.uk/67847/1/Freeman_Marginalisation%20in%20Ethiopia.pdf

¹¹⁷ <https://www.lse.ac.uk/ideas/Assets/Documents/Conflict-Research-Programme/crp-memos/Hagmann-Two-years-after-Iley-final.pdf>

¹¹⁸ http://hdr.undp.org/sites/default/files/ethiopia_national_human_development_report_2018.pdf

¹¹⁹ <https://www.worldbank.org/en/topic/poverty/publication/ethiopia-poverty-assessment>

¹²⁰ <https://borgenproject.org/main-causes-of-poverty-in-ethiopia/>

¹²¹ <https://reliefweb.int/sites/reliefweb.int/files/resources/Ethiopia-Fragility-Brief-2021.pdf>

Capacity limitations in national and regional systems for service delivery. Whilst there exists an elaborate network of systems and institutions responsible for management of resources at both national and regional level, they suffer from capacity challenges, which limit their ability to carry out their mandate effectively. As a result, structural systems that have conventionally led to exclusion and marginalisation of certain groups and under development are still persistent and continue to limit efforts towards ensuring inclusion and equitable distribution of resources.

Conflict and terrorism. The adoption of a federal system designed on the bases of ethnic segregation and politicisation of tribal identities has been a major cause of the recurrent conflict in Ethiopia.¹²² Ethnic profiling has led to smaller ethnic groups being killed, mistreated and displaced. The occurrence of conflict in the country is largely attributable to structural weaknesses in governance, long-standing and under-managed inter-ethnic grievances, institutional structures promoting ethnic intolerance, and fight for control of resources and rights (Admassu, 2019). By 2020, there were more than 1.8 million internally displaced persons in Ethiopia.¹²³ Additionally, the country is the biggest host of refugees in Africa. According to UNHCR data,¹²⁴ the country is host to over 900,000 refugees who have been displaced from their home countries due to political upheaval, civil war, conflict and drought.¹²⁵ The occurrence of conflict and war has negative implications on minority groups who are the most vulnerable. It limits access to critical goods and services, further marginalising the minority groups from opportunities for social and economic development.

These prevailing contextual issues influence the social and economic dynamics of the Ethiopian population. They also influence the distribution and access to resources from both state and non-state agencies, particularly for marginalised and minority groups. As such, interventions need to take into account these contextual issues in the design and implementation of their projects.

2. Government Legal and Policy frameworks for mainstreaming Minority Inclusion

In this section, the study explores the existing legal and policy instruments in Ethiopia that aim to promote inclusion and mainstreaming of minority groups in Ethiopia. This is useful in demonstrating efforts by government to mainstream inclusion of minority groups.

International laws and conventions. Ethiopia is a signatory to and has ratified various international laws and rights treaties related to inclusion, equality and elimination of discrimination. Some are highlighted below:

International Convention on Elimination of All Forms of Racial Discrimination.¹²⁶ This convention was adopted signifying a pledge by signatory states to encourage and promote universal respect for human rights and fundamental freedom for everyone regardless of their sex, race, language or religion.

International Convention on Civil and Political Rights.¹²⁷ This convention was adopted in 1966 but came into force in 1976. It provides that its parties respect the civil and political rights of all persons, particularly their freedom of religion, speech, assembly and right to life. It also seeks to safeguard rights electoral rights and the right to being accorded fair trial.

International Convention on Economic, Social and Cultural Rights.¹²⁸ This convention provides that party states should promote the cultural, social and economic rights, including rights to social protection, adequate living standards, health, education and enjoyment of cultural freedom. Under the convention, all states are obliged to ensure all persons are guaranteed and enjoy their rights fundamental and freedoms without form of discrimination

African Charter on Human and People's Rights.¹²⁹ This is an international right instrument whose objective is protecting and promoting human rights and fundamental freedoms in Africa. It dictates that signatory states should establish necessary legal, policy and institutional frameworks to ensure non-discrimination and promotion of equal opportunity to participate in political, social and economic activities.

¹²² <https://www.accord.org.za/ajcr-issues/ethnic-federalism-conflict-ethiopia/>

¹²³ [http://www.xinhuanet.com/english/2020-](http://www.xinhuanet.com/english/2020-09/16/c_139370881.htm#:~:text=ADDIS%20ABABA%2C%20Sept.,(IOM)%20revealed%20on%20Tuesday.)

[09/16/c_139370881.htm#:~:text=ADDIS%20ABABA%2C%20Sept.,\(IOM\)%20revealed%20on%20Tuesday.](http://www.xinhuanet.com/english/2020-09/16/c_139370881.htm#:~:text=ADDIS%20ABABA%2C%20Sept.,(IOM)%20revealed%20on%20Tuesday.)

¹²⁴ <https://reporting.unhcr.org/node/5738>

¹²⁵ <https://www.hi-us.org/ethiopia>

¹²⁶ <https://www.ohchr.org/en/professionalinterest/pages/cerd.aspx>

¹²⁷ <https://www.ohchr.org/documents/professionalinterest/ccpr.pdf>

¹²⁸ https://treaties.un.org/doc/treaties/1976/01/19760103%2009-57%20pm/ch_iv_03.pdf

¹²⁹ <https://www.achpr.org/legalinstruments/detail?id=49>

National Laws and policy framework. The existing national laws and policies related to promotion of inclusive development and mainstreaming of minority groups in Ethiopia include:

Constitution of the Federal Democratic Republic of Ethiopia.¹³⁰ The Ethiopian constitution guarantees everyone the right to equality and recognition as a human being. It provides for full respect of the fundamental rights and freedoms of all persons, including minority groups, and access to resources and opportunities regardless of their sexual, cultural or religious backgrounds. Article 25 of the constitution specifies:

“All persons are equal before the law and are entitled without any discrimination to the equal protection of the law. In this respect, the law shall guarantee to all persons equal and effective protection without discrimination on grounds of race, nation, nationality, or other social origin, colour, sex, language, religion, political or other opinion, property, birth or other status.”

It also provides for right to self-rule and representation in the house of federation.

On the country's economic objectives outlined in Article 89, the constitution provides for equal participation of both men and women in the economic and social agenda of the country. Additionally, Ethiopia's social objectives under Article 90 provide those policies in the country shall aim to provide all citizens access to basic goods and services, including education, public health, housing, food, clean water and social security.

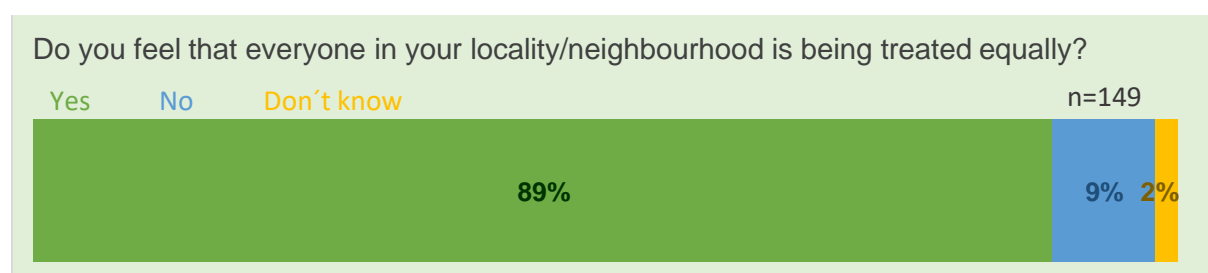
Homegrown Economic Reform. The “Homegrown Economic Reform” was launched in 2020 and charts a way for Ethiopia to move from a low-income economy to an industrialised middle-income economy by 2030. Among the key action plans for realisation of this vision is increased investment in infrastructure, improved monetary policy and increased social spending.¹³¹ This development agenda, and particularly the three anchors mentioned impact nature of distribution and access to public good and services to citizens, including minority and marginalized groups.

The ratification of international conventions and declarations, and formulation of national laws and policies that promote equity and inclusion demonstrate the commitment of the Federal Government of Ethiopia to ensuring all persons, regardless of their ethnic, racial, social or occupational identity have accorded equal rights and opportunity to access public goods and services and participate in socio-economic activities.

3. Respondents Perception of Inclusion

In alignment with the various laws and policy instruments instituted by the government to promote equality, it was established that there was a general appreciation among respondents consulted that everyone in the community was accorded equal treatment. Study data as shown in **Figure A 1** demonstrates that significant proportion (89%) of the respondents consulted felt that everyone in their locality was accorded equal treatment.

Figure A 1 Perceptions on equality

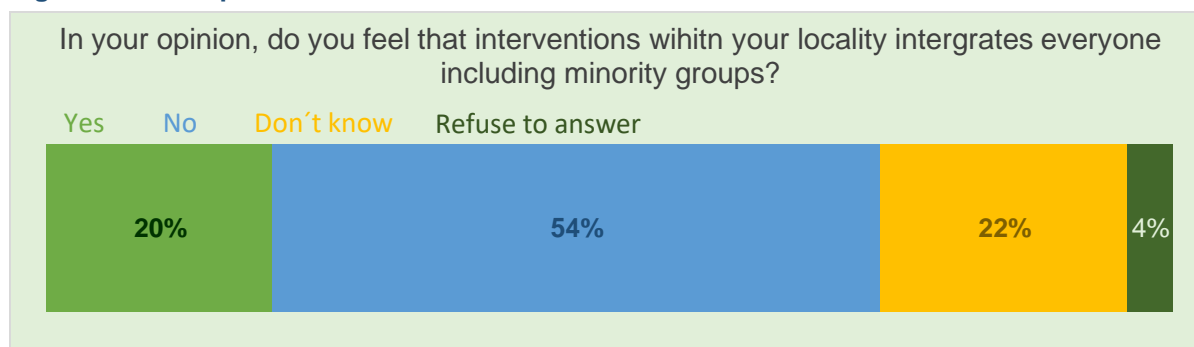


However, the appreciation of the degree of inclusion of minorities was noted to be minimal. As shown in **Figure A 2** below, majority of the respondents, 54%, indicated that most interventions implemented in their communities were not inclusive, with minority groups granted limited consideration. A further 22% percent could not provide a profound appreciation of whether or not interventions were inclusive.

¹³⁰ https://www.africa.upenn.edu/Hornet/Ethiopian_Constitution.html

¹³¹ <https://www.imf.org/en/News/Articles/2019/12/23/na122319-six-things-to-know-about-ethiopias-new-program>

Figure A 2 Perceptions on inclusion in interventions



These findings are a reflection of the efforts made in mainstreaming inclusion within Somali region of Ethiopia and within the Swiss-funded interventions in Ethiopia. These are reflected in subsequent discussions in this section.

4. Level of mainstreaming minority inclusion in the criterion used for beneficiary recruitment and site selection within the SWISS funded interventions

In drawing inferences highlighted herein, the study assessed two Swiss-funded interventions in Ethiopia. These were i) **The Strengthening Drought Resilience in Pastoral and Agro-pastoral Areas (SDR Project)** and ii) the **Jigjiga University One Health Initiative**.

The Strengthening Drought Resilience in Pastoral and Agro-pastoral Areas of Somali National Regional State of Ethiopia is a project being implemented with the aim of enhancing food security. The overall objective of the project is to ensure communities and relevant government institutions and agencies in Somali Regional State address needs of pastoralists and Agro-pastoralists through implementation of strategies and measures within the legal and institutional framework to enhance their drought resilience. While pastoralism provides a means to exploring the maximum utility of vast rangeland resources in Somali region of Ethiopia, climate change, socio-economic and political changes have resulted in increased vulnerability to drought. Additionally, degradation of natural resources continues to threaten the socio-economic well-being of Ethiopia's lowland communities. Implementation of the SDR project took on a multipronged approach and was anchored on three key pillars. They included field-level outputs targeting project beneficiaries, institutional level outputs targeting regional government partner organizations, and policy and strategy level outputs targeting the Ministry of Agriculture and other relevant government departments. In assessing the level of mainstreaming minority inclusion in the criterion used for beneficiary recruitment and site selection, the study largely focused on field-level output – activities directly related to rehabilitation of the dry valleys.

The Jigjiga University One Health Initiative (JOHI) is a partnership project funded by SDC that seeks to establish research on health and strengthen capacity of Jigjiga University in health research covering both animal and human health. The overall objective of the project is to contribute to improved health and wellbeing of pastoral communities residing in Somali Regional State over two project phases spanning 10-12 years. The intervention is implemented through Jigjiga University and University of Addis Ababa (for phase two).

According to the study findings it was evident that decisions regarding site and beneficiary selection for Swiss-funded interventions were made through a collaborative process involving multiple stakeholders. For instance, in the JOHI project, the study established that site selection and recruitment of beneficiaries for the project's was largely data-driven and based on multi-stakeholder consultations with different players that are involved in the project implementation that include but are not limited to implementing partners, respective government ministries/departments, stakeholder representatives and community gatekeepers like clan elders, religious leaders, women leaders and youth leaders among others. Further, within scholarship opportunities intervention, the study established that beneficiary selection is based on merit. However, it was also noted that affirmative actions to integrate female beneficiaries into the scholarship opportunities were also pursued by the project.

In the SDR project, it was established that decisions on site selection were a collaborative process involving GIZ and the Bureau of Agriculture and Natural Resources. The Ministry assumed the lead role with regards to site selection. The stakeholders involved in the process were drawn from the different departments of government within the Bureau, including the Pastoral Directorate, the Natural Resource Management directorate and the Disaster Risk Management Directorate. The Bureau's decision-making mandate cascaded down from state to the village and community levels.

Overall, the study identified key themes undercutting the criteria for beneficiary selection in the two interventions assessed during the study. These are discussed below:

Decision-making on site selection, and consequently, beneficiary selection was data driven. The study found evidence on the use of data and research studies commissioned to identify suitable sites and beneficiaries for the interventions. Within the JOHI project, data from consultations with different stakeholders, and findings of studies commissioned by the project was noted to be useful in informing the selection of beneficiaries. The use of data and research was even more pronounced in the SDR project. It was notable that the Agriculture Bureau relies on regional profile data generated through an assessment of dry valleys and rangelands within the region. This data informed the decisions on most suitable sites and beneficiaries for various project interventions under the program. It emerged that areas that are most degraded and affected by the drought situation in Somali state received the highest priority during site selection. However, implications of context, particularly the security situation was also a significant variable influencing site selection. Areas with stability were highly favoured over conflict-prone areas. In addition to the regional profile, it also emerged that the Bureau commissioned studies, largely involving engagement with the target beneficiaries. The data obtained from these studies was useful in informing the intervention logic – highlighting the most pressing needs of the target beneficiaries within the selected sites. Beneficiary selection was largely premised on the site selection. Notably, respondents consulted during the study argued that most communities residing within the rehabilitated dry valleys are considered vulnerable groups. Additionally, given Somalis are the dominant ethnic community in the region, and agro-pastoralism is the main socio-economic activity in the region, little to no special consideration is granted to minorities in region. Nonetheless, it was notable that the Bureau made efforts to ensure equitable distribution and utilization of project resources to ensure everyone benefited. For instance, in drilling boreholes, new sites were prioritized over sites that had benefited from previous drilling projects.

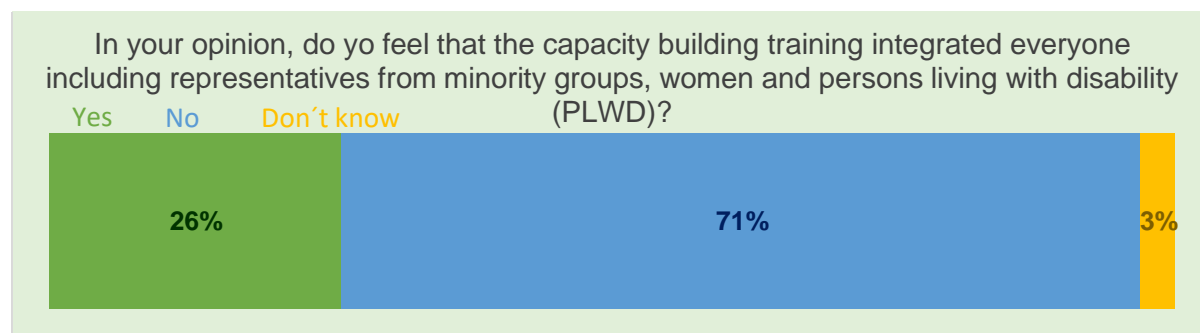
The project on rehabilitation of the dry valleys was also anchored on its capacity building component. It targeted to train masonries within select intervention sites on how to construct water-spreading weirs along the dry valleys. This approach was two pronged – contributing to the overall project objective of rehabilitating the dry valleys and providing an economic lifeline for beneficiaries by equipping them with masonry skills. By October 2019, the program had trained up to 300 young men on basic masonry skills, including developing literacy skills for reading and writing measurements and figures.¹³² It was established that **the Ministry of Agriculture was in charge of identification and selection of beneficiaries to undergo these trainings.** The selection was done largely through random house mapping and community vulnerability mapping done through community gatekeepers. **The selection and training were noted to consider the gender element as a means of pursuing gender inclusion.** However, the study did not identify any unique consideration for minority groups.

Narrowing down to beneficiaries of these masonry training, it emerged that community vulnerability mapping and mapping of potential beneficiaries were noted to be the main criteria used for selection, at 41.9% and 25.6% respectively. However, 16.1% of the beneficiaries indicated that they made an application to be include. Overall, the beneficiaries demonstrated general appreciation of the recruitment criteria, with (90.3%) of respondents consulted indicating that the approach to recruitment was the best.

In probing for the level of inclusion of minority groups, women and persons with disabilities in the recruitment and capacity building component of the project, the study noted that the appreciation of inclusion was largely limited. Of the beneficiaries consulted, (71%) (see **Figure A 3**) indicated that the capacity building training did not integrate everyone, including representatives from the three marginalized groups. This further demonstrates the limited focus and appreciation of various minority groups within communities targeted in project implementation.

¹³² <https://www.giz.de/en/worldwide/81128.html>

Figure A 3 Integration of representatives from minority groups, women and persons with disabilities



However, the level of inclusion during planning processes for the capacity building sessions was noted to be somehow great as registered by (67.7%) of the trained beneficiaries.

The SDR intervention was noted to have aligned its objectives and activities with provisions of inclusivity within the constitution. The Constitution of the Federal Democratic Republic of Ethiopia provides for inclusion of all persons. It guarantees everyone's the right to participate in the country's economic and social agenda. GIZ and the Ethiopian Ministry of Agriculture made substantive efforts to ensure alignment with this provision of the constitution. Additionally, **the SDR programme was in coherence with the national strategic development priorities.** The main objective of the SDR program was to strengthen drought resilience in Somali State through implementation of strategies and measures within the legal and institutional framework, reflecting of the needs of pastoralists and agro-pastoralists who are considered vulnerable including minority groups. These objectives were in alignment with Ethiopia's second Growth and Transformative Plan (GTP II) which gives more emphasis on development of the lowlands. The project objectives were also in alignment with the country's commitment to the Intergovernmental Authority on Development (IGAD) Drought, Disaster Resilience and Sustainability Initiative (IDDRSI) which prioritizes addressing drought emergencies in the lowlands.

The approach to ensuring inclusion was different in the JOHI project. Inclusion was largely demonstrated through the multi-stakeholder approach to beneficiary selection. The public announcements of the scholarship opportunities aimed to ensure that everyone is informed and granted equal opportunities to apply for the available scholarships. The multi-stakeholder approach to beneficiary selection ensured that the beneficiaries were selected based on merit and not biased favouritism.

Swiss-funded interventions implemented principles on inclusion. It was noted that the Bureau has made substantive effort to ensure all persons living within SDR selected sites benefited from the intervention. To a great extent, this ensured vulnerable groups including minority groups had equal opportunity to access, participate and benefit from the project activities. GIZ and the Bureau also subscribed to the principle of inclusion. These further enhanced efforts to mainstream minority inclusion within the overall SDR project. In the JOHI project, the study established that the conduct of project activities was guided by the principle of leaving no one behind. Additionally, through an integrated surveillance unit – an umbrella of operational research surveillance – the project ensured considerations were made for minorities groups drawn from communities living along Shabale River. Similar to the SDR project, there were demonstrated efforts aimed at ensuring everyone was granted equal opportunity to benefit from the interventions. **There was, however, no evidence demonstrating the existence of a specific policy guideline for mainstreaming minority inclusion unique to the various projects.**

The implementing partners made efforts to prioritise women and people living with a disability in program activities. The study also established that there were notable efforts by implementers to prioritize women and persons with disabilities in recruitments. In the JOHI project, emphasis on female beneficiaries to apply was placed when scholarship announcements were made. In the SDR project, this emphasis was largely informed by the fact that women are often the most affected by the occurrence of drought. Additionally, women and those living with disabilities are considered disadvantaged with regards to accessing public goods and services, and opportunities for social and economic participation and development. As such, the

consortium of departments within the Bureau provides for a special focus on women and persons with disabilities.

For the SDR project, investing in small-scale irrigation projects targeting villages and sub-villages considered vulnerable during site selection. Land in the Somali region mostly belongs or is controlled by host communities and dominant ethnic groups. Minorities clans occupy small piece of land thus only practice small-scale farming. While the SDR program largely invested in larger irrigation projects, it is notable to report that the project was also reported to be purposely targeting villages and sub-villages that were considered vulnerable to effects of rangeland degradation, these efforts while minimal, were useful in ensuring vulnerable groups including minority groups/clans living within host communities also benefited from project interventions.

Overall, the study established that there were efforts to ensure mainstreaming of minority groups during site selection and beneficiary recruitment. There was demonstrable evidence of the application of the principle on leaving no one behind, albeit manifestation of the same varied between the projects, largely due to their varying designs and approached to implementation. However, there still exist substantive gaps. It was notable that, while the implementing partners used a data-drive approach to decision-making, there was limited data disaggregated based on minority groups that would be useful in informing decisions. Additionally, there was limited focus on consulting minorities – beyond persons with disabilities – as a special group during development of project proposals and design. As such, the interventions paid no unique focus on needs of ethnic, religious or linguistic minorities. This points to the need for enhanced efforts to develop a compendium of data on minority groups to inform implementation of interventions that focused on benefitting all the intended beneficiaries including minority groups.

5. Data Disaggregation and Reporting Requirements within the SWISS funded interventions

The study sought to examine the extent to which the Swiss-funded interventions made efforts to disaggregate and report data on minority groups. It also sought to examine the manner in which intervention data was reported to the donors. To achieve this, it examined the established frameworks for monitoring, evaluation and reporting, with a unique focus on how program objectives shaped its design and influenced the choice of indicators. The study also assessed the extent to which SWISS requested data on minority groups and their inclusion from implementing partners of the SDR and JOHI projects.

The SDR project was anchored on two main output indicators targeting three different groups at micro level, meso level and macro level. The output indicators are:

Outcome 1: Pastoralist and agro-pastoralist communities have increased access to sustainably managed natural resources.

Outcome 2: Public and private sector institutions are strengthened on DVR measures and government policies and strategies are revised and adopted to the lowland context in the areas of NRM.

The three target groups include:

1. Micro level: a total of up to 3'500 PAP households (23'000 individuals; 10'000 women) will have access to 4'500 ha of rehabilitated land in five woredas. Around 342'000 (160'000 women) individuals will also benefit indirectly.
2. Meso level: the technical staffs of all concerned government offices (mainly BoANRD and BoLPD and their respective woreda offices), Gode & Jigjiga Polytechnic Colleges, University of Jigjiga; and customary institution leaders playing a major role in rangeland governance and conflict management. Private sectors who provide required services for construction works will also be targeted via capacity development interventions.
3. Macro level: national government staffs and members of the Durable Solutions Working Group (DSWG6) at the regional and national level are targeted to adopt the proven NRM approaches based on documented evidence to further upscale promising practices based on the SNRS experience.

The JOHI project's objectives were specific to the two phases of implementation. The first phase implemented between 2015 and 2020 aimed to build capacities of Jigjiga University in research and teaching, and to establish systems knowledge on human and animal health. The second phase between

2021 and 2025 is focused on improving the health and resilience of Somali pastoralists and their livestock. Overall, the project envisions an improved human and animal health, livelihood opportunities and environmental management for the entire Somali regional state.

The study established that the **projects had robust Logical Frameworks demonstrating clear interlinkages between the overall project goals and the outcome and output level indicators**. It was comprehensive in elaborating the outputs being pursued, stakeholder involved, the pre-existing assumptions and means of verification (supporting data sources). The frameworks provide a clear demonstration of linkages between the input activities and the overall objective of the project. The framework also made an attempt to consider implications of external factors that may influence the nature and scope of results attained. This was particularly evident in the SDR project where field-level activities are implemented involving communities directly.

However, it was notable that **the M&E frameworks for the Swiss interventions in Ethiopia were not designed to capture outputs or impact of the projects unique to minority groups or inclusion of groups based on ethnic diversity**. Instead, the frameworks were largely designed to document the reach of the project by reporting numbers of beneficiaries reached through the rehabilitation of water spreading weirs and capacity development of masons for the case of the SDR project. This, consequently, impacted the nature of reporting. The study established that data disaggregation during reporting was largely informed by the project indicators, and universal variables of age and gender. The SDR project, especially, was noted to have an elaborate gender policy that emphasised reporting by gender.

Whilst the overall monitoring, evaluation and reporting frameworks were not designed to uniquely focus on minority groups, there were some notable instances where data disaggregation was done beyond the scope of gender analysis. For instance, given the SDR project specifically targeted women at micro level, data on income of women was captured to demonstrate results of the project along this trajectory. Additionally, there were notable instances of efforts to disaggregate data unique to Persons with Disabilities (PWDs) and ethnic group. However, these were rare and isolated. In the JOHI project, it emerged that there was some element of focus on systemic issues impacting pastoralist communities that informed the nature of reporting.

It also emerged that the nature of reporting and data desegregation was largely influenced by reporting requirements by the SDC. It was established that reporting requirements are largely project-specific, with reporting done based on unique project objectives and associated outcome indicators. However, even within this framework of project-specific reporting, there was more emphasis on age and gender analysis, with limited focus on issue-based reporting or any specific focus on minority groups.

The implication of these data disaggregation and reporting practices is limited emphasis on unique systemic issues that in general continue to perpetuate exclusion of minority groups. This points to the need for re-evaluating the reporting requirements and guidelines for SWISS funded interventions in the region, with the objective of developing indicators unique to minority groups.

6. The extent of minority beneficiary contribution within the SWISS funded intervention

A bottom-up approach to designing interventions is becoming increasingly important. It offers more utility compared to top-down approach to project design as it ensures the architecture of interventions are based on the actual needs of target beneficiaries and the existing gaps in the community. It also provides a more effective pathway to enhancing impact of interventions. However, the success of interventions is also dependent on the political economy context of the intervention site.¹³³ These necessitate engagements with beneficiaries during project design. As such, the study sought to examine the extent to which these engagements and consultations happened and how they shaped the intervention logic.

Given the JOHI project was research-based and was multi-institutional, the study could not establish the existence of opportunities for beneficiary involvement in informing the design and conduct of the project. However, for the SDR project, it was established that there was substantive investment in understanding the context of Somali Region in Ethiopia to inform its design, particularly its Phase II. In implementing Phase I of the project, GIZ commissioned a context analysis study to demonstrate the complex dynamics at play within the regional state. Additionally, Phase I was largely a pilot phase used

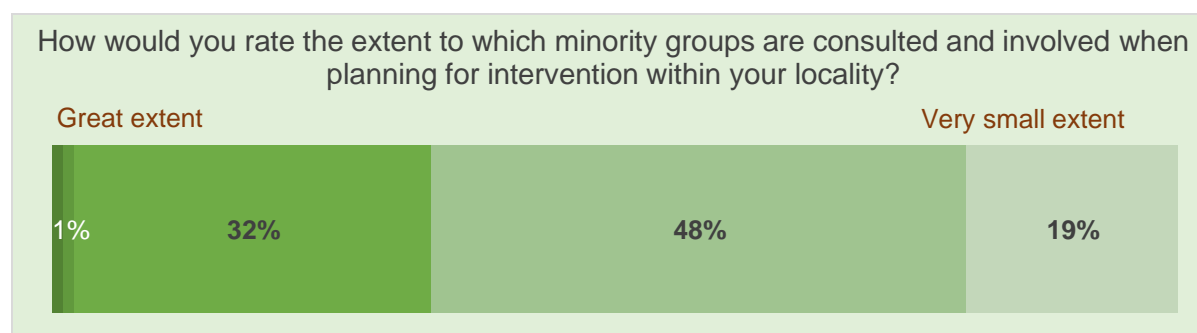
¹³³ <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC3535631/>

to enhanced knowledge of SDC and GIZ on the region to inform the strategies to be employed during future phases of the interventions.

At project level, the study noted that there were concerted efforts to consult and gather inputs from target beneficiaries, particularly vulnerable groups. For instance, in developing project proposals in the SDR project, the Bureau of Agriculture and Natural Resources normally conducts community needs assessment surveys that involve direct engagements with target beneficiaries in select sites. The insights gathered through these assessments are leveraged to estimated expected benefits of the intervention to target groups and shaping the rationale of the projects. With this approach, the SDR intervention has enhanced its reach, particularly to vulnerable groups including minority groups.

However, while there were efforts to ensure beneficiaries were consulted to inform the nature of field-level projects, the design of the interventions was largely determined and tailored to conform to the overall objectives and expected outputs. As such, feedback from beneficiaries did not significantly inform the design of the interventions. For the SDR project, such engagements only informed the field-level projects linked to projects output at micro level, while for the JOHI project, there was no substantive evidence to know the extent to which beneficiary input was sought in informing the design of the project, and the extent to which the same was applied. Additionally, there was no concrete evidence to demonstrate that minority groups were granted a unique focus during the notable consultative efforts identified in the study. As shown in **Figure A 4** below, 48% of respondents consulted indicated that minority groups were consulted to a small extent in planning of interventions, while 19% demonstrated the least appreciation of the degree to which minority groups were consulted, indicating that it was to a very small extent.

Figure A 4 How would you rate the extent to which minority groups are consulted and involved when planning for intervention within your locality?



Overall, the extent of minority beneficiary involvement in design of Swiss-funded projects was limited. Whilst there was some level of engagements with target beneficiaries through research, particularly within SDR and JOHI project, these engagements largely targeted the general target population and were not designed to provide a unique focus on minority groups within the target sites. This points to the need for incorporating views of minority groups during design of interventions. This will be useful for ensuring interventions are focused on needs of minorities and address the risks and contextual issues that contribute to their exclusion.

7. Existence of beneficiary feedback mechanisms

Beneficiary feedback mechanisms are critical in programming of development initiatives for ensuring accountability and transparency. They also provide a means of enhancing understanding of the context, examining utility of approaches being implemented and enhancing inclusivity.¹³⁴ In the context of the SWISS funded interventions, beneficiary feedback mechanisms within interventions demonstrate commitment and compliance with institutional guidance for leaving no one behind in all development programme and strategies.¹³⁵

The research study established that the **SDR project through the Bureau of Agriculture and Natural Resources in the Ethiopia Ministry of Agriculture, and the Jigjiga One Health Initiative had robust beneficiary feedback mechanisms.** In the SDR project, the bureau constituted a complaints committee comprising 7-10 Directors from different departments. This committee is responsible for

¹³⁴ <https://www.ukaidirect.org/learning/beneficiary-feedback/#:~:text=Tools%20such%20as%20beneficiary%20feedback,project%20is%20working%20to%20support.>

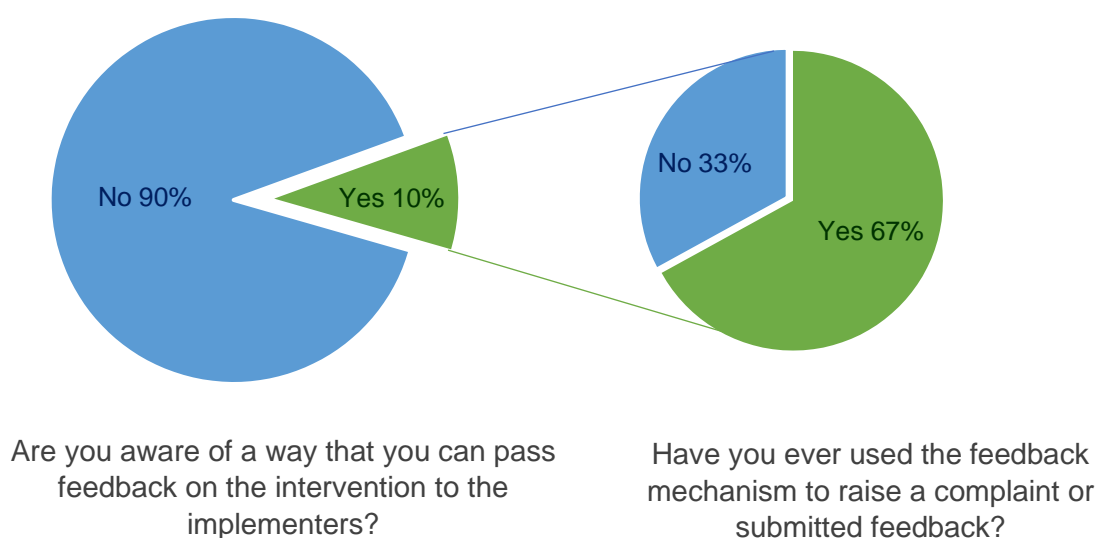
¹³⁵ <https://www.oecd-ilibrary.org/docserver/9789264309333-22-en.pdf?expires=1618978668&id=id&accname=guest&checksum=2CA8B5E456F41349BEB1225F7A32630A>

gathering and responding to feedback from the beneficiaries. Beneficiaries can submit their feedback and complaints to the committee in person or in written form. There were also notable instances of direct engagements with target beneficiaries by implementing partners in efforts to gather feedback from target beneficiaries. Additionally, GIZ and the bureau partners commissioned an evaluation to assess the extent to which previous phases benefited target beneficiaries. For the JOHI project, direct engagements between beneficiaries and the project beneficiaries was the main feedback mechanism applied. This entailed beneficiaries relaying their feedback to the project implementers directly. These approaches were noted to be effective in the two projects,

However, at program level, the feedback mechanisms remained unclear, particularly for the SDR project. **There was limited evidence on any established feedback mechanism for the capacity development interventions** targeting relevant staff in government, Gode and Jigjiga Polytechnic Colleges, University of Jigjiga and customary institution leaders who are influential in governance and conflict management within the rangelands. This may have influenced the nature and scope of results along this trajectory.

While the beneficiary feedback mechanism for the Jigjiga One Health Initiative appeared to be effective considering the design and approach to the project, the study established that the **beneficiary feedback mechanisms for the SDR project remained weak**. Beyond the functions of the complaints committee, and the evaluation of initial phases of the project, the mechanisms for gathering feedback from target beneficiaries remained unclear as demonstrated in **Figure A 5** below. It was notable that only 10% of respondents consulted were aware of the existing frameworks for relaying feedback to the implementing partners.

Figure A 5 Beneficiary feedback mechanisms



Additionally, there were notable gaps within the beneficiary feedback mechanisms that were used. Only (67%) of respondents that had knowledge of the feedback mechanisms were able to utilise them. This demonstrates the overall weakness and effectiveness of the feedback channels employed in the project. For instance, submission of feedback of complaints to the complaints committee at the bureau required in-person visits or submission in written form. This approach was noted to be limiting, particularly in the context of minority groups where such modalities are inconvenient due to issues such as low literacy levels and lack of funds to travel and/or lack of confidence to appear at such meetings. Additionally, there was limited evidence to demonstrate levels of awareness of these feedback mechanisms and assess their usefulness to beneficiaries. Nor was there clear evidence of how feedback loops were closed with information about how actions were taken in response to feedback being circulated back to beneficiaries.

These gaps point to the need for re-evaluating the modalities for collecting and leveraging feedback from target beneficiaries. The study noted the need for adoption of additional tools for feedback mechanisms that are convenient to target beneficiaries, including minority groups. Use of voice calls, SMSs, dedicated toll-free phone numbers and one-to-one outreach may be leveraged to enhance

engagement with beneficiaries and provide a more convenient means for relaying feedback, even for minority groups with low literacy, confidence and income levels.

8. Reported incidents of aid diversion within the study locations

Here, the study sought to examine the extent to which donor funds were utilised for their intended purposes. Study data shows that a near universal of respondents did not encounter any incidents of aid diversion targeting both majority and minority groups that were diverted to other groups that were not targeted.

It is, however, notable that approximately 3% of respondents consulted indicated to have noted instances of aid diversion, while a further 2% did not provide a response. These are indicative of the sensitivity of this topic. Additionally, while the proportion remains dismal, they point to existence of loopholes and inefficiencies in oversight of aid resources. They also raise questions on credibility of the high number of positive responses recorded.

9. Effects of COVID 19 pandemic on Minority Groups

Like most countries in the world, the prevalence of Covid-19 resulted in the disruption of lives of the citizens of the intervention area. Enforcement of measures to curb the spread of the disease resulted in distortion of normalcy – social and economic activities. In wake of the COVID-19 pandemic, the Ethiopian government put in place measures to curb the spread of the disease, including movement restrictions within the country and suspension of international travel, closure of schools and directives for employees to work from home.¹³⁶ Additionally, the country enforced a mandate on wearing of mask and social distancing directives in further efforts to limit physical interaction.¹³⁷

The continued enforcements of these containment measures, among others, caused significant disruption in the social and economic lives of Ethiopian residents. These negative effects of the pandemic impacted all groups regardless of their ethnic or social identities. However, given minority groups are more vulnerable, the pandemic increased their vulnerability. According to UNDP, women, school-going children, habitants of informal settlements, persons with disabilities, IDPs, refugees and migrants were the most vulnerable and impacted by the shocks occasioned by COVID-19 (UNDP, 2020). The notable implication of the pandemic on these minorities include:

Loss of livelihood for workers in the formal and informal sector. The restrictions to curb the spread of COVID-19 limited ability of businesses to generate income in the conventional ways, that most relied on physical human interaction. With the reduced income, formal and informal institutions have been forced in lay off some workers disrupting their source of livelihood. Additionally, restrictions on gathering and the social distancing measures have limited ability of such minority groups to engage in small-scale economic activities such as trading.

Increased risk of food insecurity. The pandemic has had negative implications on Agricultural productivity across the Horn and East Africa (Action Against Hunger, 2020). This was attributable to disruptions in supply chains and reduced consumption capacity due to reduced purchasing power occasioned by loss of livelihoods. The vulnerability was even higher for minority groups whose access to opportunities to enhance their food security was already constrained. The concomitant desert locust infestation further exacerbated the already dire situation. The infestation continues to damage output from agricultural activities, consequently, worsening the food insecurity situation, particularly for minority groups.¹³⁸

Disruption of humanitarian interventions. Aid interventions are critical in providing opportunities for minority groups to access public goods and services and participate in various social and economic activities. However, the prevalence of the pandemic caused a significant disruption in humanitarian interventions across the country. The restrictions in movement and closure of borders resulted in many delays in implementation of planned humanitarian assistance projects. This translated increased vulnerability for minority groups reliant on these interventions to access critical goods and services such as food, water, healthcare and economic opportunities.

The pandemic also impacted implementation of the SDR project. The study established that the restrictions put in place delayed implementation of some activities. For instance, with the movement restrictions, some key staff from implementing partner organizations could not travel to Ethiopia to steer implementation of the project. Additionally, international consultants contracted to support execution of

¹³⁶ <https://news.trust.org/item/20200408160545-mxibf/>

¹³⁷ <https://rstmh.org/news-blog/news/covid-19-in-ethiopia-status-and-responses>

¹³⁸ <https://reliefweb.int/sites/reliefweb.int/files/resources/COVID-19-Food-Security-Burden-HEARO.pdf>

various tasks such as research studies and capacity development support were inhibited from traveling to Ethiopia, thus resulting in delays. However, the project made substantive efforts to navigate the new context. With the easing of restrictions, projects interventions were reinitiated. Some project activities were also extended to cater for the lost time.

10. Challenges limiting minority inclusion within the SWISS funded interventions

The SDR project made some efforts to ensure inclusion of minority groups through various elements of the intervention. The criteria for site and beneficiary selection largely aligned with the vulnerability principle. The criteria were largely focused on ensuring equity in distribution of donor resources for the benefit of all. However, it was notable these efforts did not form the core pillar of the SDR project. Holistically, the project design demonstrated limited focus on minorities as a unique group. As such, the design and critical elements of the project, such as the M&E framework was not designed to capture systemic issues that in general continue to perpetuate minority exclusion.

The study identified these issues as the main challenges limiting minority inclusion within the intervention:

Limited data on minority groups and their unique needs. The compendium of data available on minority groups in Somali Regional State remains limited. This is largely attributable to the fact that most interventions are largely focused on gender analysis and assessing needs of persons with disabilities. Consequently, data disaggregation and design of M&E frameworks for most interventions fail to narrow the focus to systemic issues that impact minority groups and continue to perpetuate their exclusion.

Limited involvement of minority groups in design of interventions. Assessment of the SDR project demonstrates that there is limited involvement of minority groups in the design of the overall project. Through project implementation, there were efforts to incorporate inputs from target beneficiaries through context analysis and community engagements during development of project proposal by the Bureau of Agriculture and Natural Resources. However, these engagements had no specific focus on minority groups, but instead targeted all beneficiaries especially those considered to be generally vulnerable. As such, the projects and overall program were not designed to uniquely address issues perpetuating exclusion of minorities.

Reporting requirements for SWISS funded projects have limited focus on minority groups. The reporting was largely project-specific and conformed to the approved indicators and reporting frameworks. The reporting framework and project indicators were largely focused on capturing number of people reached. Although there were efforts to highlight risk linked to each output indicator in the framework, these were not specific to minority groups.

Prevalence of conflicts. The occurrence of conflict within the Somali State is a significant barrier to minority inclusion. For instance, during site selection in the SDR project, areas characterised by stability were considered over areas where conflict was prevalent. As a result, minority groups residing in these areas remain excluded and do not benefit from SDR intervention.

Poor infrastructure and wide geographical scope. Somali Region in Ethiopia has been marginalized for many decades. The region still lags behind in infrastructure development and is characterised by poor roads and telecommunication infrastructure. This limits the ability of relevant agencies to access and deliver critical goods and services relevant to the needs of residents in these remote areas. Consequently, minority groups in these areas remain exposed to further vulnerability to effects of harsh climatic conditions and natural disasters. This elevates risk of food insecurity, prevalence of conflict in control of limited resources and vulnerability to natural calamities like drought, floods and locust infestation.

Harsh climatic conditions. The Somali Region of Ethiopia experiences regular drought resulting in humanitarian crises.¹³⁹ Rainfall also results in flooding, contributing to worsened crises. In 2020, nearly 80% of people affected and displaced due to flooding were from the Somali Region.¹⁴⁰ In 2019, up to 127,524 people in the region were displaced due to floods. The occurrence of such climate crises limits ability of minority groups to access critical goods and services necessary for social and economic stability.

¹³⁹ <https://www.islamic-relief.org/persistent-drought-somali-region-ethiopia/#:~:text=A%20drought%20in%20the%20Somali,herds%20and%20dying%20of%20livestock.>

¹⁴⁰ <https://www.unocha.org/story/ethiopia-floods-impact-thousands-people>

For maximum impact of interventions geared towards mainstreaming inclusion, it is necessary that all stakeholders involved in implementation of interventions consider and make efforts to address these challenges.

11. Recommendations on how to mainstream minority inclusion within the SWISS funded interventions

Somali Regional State still lags behind in development due to years of marginalization. As such, the focus of the Swiss intervention on this region already contributes to minority inclusion in the context of Ethiopia as a whole. However, as with Kenya, within this region are found smaller numbers of minorities within minorities whose needs may be different than those of the locally dominant community (Somalis). Reaching the Somali Regional State at all does represent reaching some of those “left behind” but it does not fulfil completely the commitment to “reach the furthest behind” as particularly vulnerable groups within the region may have had their needs addressed to a lower extent. Whilst donor interventions such as the SDR project have made efforts to mainstream minority inclusion, more needs to be done to address the gaps that exist. Based on the conduct of the SDR project, the audit proposes the following recommendation for improved minority inclusion in this and other SWISS funded interventions:

1. **Introduce a Minority Inclusivity Pillar within the SWISS strategic framework for programmes to be more focused on minorities.** This pillar can be embedded within the overall objective of leaving no one behind. Incorporation of the minority inclusivity pillar would be useful in ensuring the concept and design of all programme interventions align their objectives and other key programmatic elements to the overall goal envisioned under the pillar. It will also shape the data disaggregation and reporting mechanisms for interventions to be more focused on demonstrating impact to minority groups.
2. **Encourage fully inclusive participatory planning with communities and government agencies.** Enhancing existing “Bottom-up” approaches to designing interventions will help enrich the value of data utilised in decision making and improve the alignment of the project objectives with the immediate needs of the beneficiaries in as inclusive a manner as possible. The bottom-up approach will also be useful in strengthening the intervention logic and localising intervention strategies and approaches which yield stronger and more sustainable outputs. Inclusivity can also be pursued by advocating for diversity in the composition of directors within the bureau responsible for making determinations on site and beneficiary selection. Increased representation of minorities in decision-making processes will ensure their voices are not eclipsed by those of dominant majority.
3. **Augmenting project-specific guidelines on inclusivity with program-wide principles.** This will be useful in compelling the various stakeholders involved in project implementation – GIZ, The Bureau of Agriculture and Natural Resources – to prioritize immediate needs of minorities during site and beneficiary selection. Additionally, it will foster compliance with principle of inclusivity and equity provided in the constitution. Such principles as “Leave no one behind” and other project-specific policies/principles specific to minorities should be formulated and implemented for every unique intervention.
4. **Commissioning formative research and evaluation focused on minority groups to identify systemic issues that perpetuate their exclusion and means of mitigating them.** These studies can include context analyses, Political Economy Analysis, Baselines Surveys, Needs Assessments and Evaluations, among others. Such targeted research will be useful in highlighting the unique structural issues that perpetuate exclusion of minority groups and means of mitigating or navigating them. The data and insights from these studies can build on the on regional profile data generated through an assessment of dry valleys and rangelands that is utilised by the Bureau to inform site selection and beneficiary recruitment.
5. **Improve frameworks for gathering feedback from project beneficiaries.** This should be done by developing and adopting more efficient frameworks and more inclusive mechanisms for gathering and responding to feedback and complains from the beneficiaries. This will be useful in enhancing relevance and effectiveness of the project and improving efficiency in utilisation of project resources.
6. **Expand the data disaggregation requirements during reporting to highlight impact of interventions on minority groups.** This will be useful in highlighting the impact of the intervention on minority groups and expand the scope of the reporting beyond gender analysis. It will also help build on the compendium of data on minority groups in the Somali Regional State. This can be achieved by including unique indicators on minority groups, and the unique contextual issues impacting them.

7. **Enhance collaboration with security agencies and informal structures at local level to access conflict prone areas.** This will enhance the reach and impact of the interventions to minority groups in conflict-prone areas that are often under prioritised during site selection due to insecurity. As such, collaboration with government agencies in charge of security will be useful in promoting stability thus allowing access to such territories. Additionally, there is need to work towards incentivizing leaders in such conflict-prone areas to buy into the logic of the intervention. Where ethnic grievances are a driver of such conflicts, inclusive approaches that explicitly reach out to all across ethnic diversities have potential to transcend boundaries and appeal to all parties.
8. **Continue with capacity strengthening initiatives targeting government officials, private sector, community representatives and beneficiaries.** This will be useful for enhancing progress towards institutionalisation of service delivery to minority groups. For beneficiaries, capacity development would be useful in increasing their awareness of how to participate effectively in such interventions, expand their knowledge and skills, and consequently enhance their opportunities to participate in other socio-economic activities.

11. Programmes Reviewed and Documents Consulted

General

Title	Desk Review	KII	Fieldwork
Accountability to Populations WORKSHOP REPORT	✓	✓	
Annual Report 2017 Horn of Africa.pdf	✓		
Annual Report 2018 Horn of Africa.pdf	✓		
Annual Report 2019 Horn of Africa.pdf	✓		
PROGRAMMING FOR DYNAMISM IN THE HORN OF EXTREMES Context and conflict analysis Horn of Africa Appendices	✓		
PROGRAMMING FOR DYNAMISM IN THE HORN OF EXTREMES Context and conflict analysis Horn of Africa Report	✓		
Management Response - Annual Report 2018 HoA.pdf	✓		
Management Response Annual Report 2017 HoA.pdf	✓		
Management Response Annual Report 2019 HoA.pdf	✓		
Monitoring System for Development-Relevant Changes Ethiopia 2019	✓		
Monitoring System for Development-Relevant Changes Kenya 2019	✓		
Monitoring System for Development-Relevant Changes Somalia 2019.pdf	✓		
Monitoring System for Development-Relevant Changes Ethiopia_2018	✓		
Monitoring System for Development-Relevant Changes Kenya_2018	✓		
Monitoring System for Development-Relevant Changes Somalia_2018	✓		
Results Framework Food Security	✓		
Results Framework Governance	✓		
Results Framework Health	✓		
Results Framework Management Performance Result	✓		
Results Framework Migration Final	✓		
Somalia Humanitarian Fund strengthening inclusion and participation	✓		
Somalia HCT Centrality of Protection Strategy 2018-2019	✓	✓	
Somalia Protection Monitoring System online portal - Link	✓	✓	
Strengthening Accountability in Somalia Report - 2019	✓		
Swiss Cooperation Strategy Horn of Africa 2018 - 2021	✓		

Project specific

Title	Desk Review	KII	Fieldwork
ICRC Mid-Term Report 2019, Somalia	✓		
ICRC Proposal 2019 Ethiopia, Somalia	✓		
UN Joint Programme on Local Governance Somalia Proposal Phase	✓	✓	
UN Joint Programme on Local Governance Gender Review Desk Study	✓	✓	
UN Joint Programme on Local Governance II EVALUATION.pptx	✓	✓	
UN Joint Programme on Local Governance Phase III Gender and inclusion strategy	✓	✓	
UN Joint Programme on Local Governance III Proposal	✓	✓	
Somalia UN MPTF UN Joint Programme on Local Governance - Semi-Annual Progress Report January-June 2019 Consolidated	✓	✓	

UN Joint Programme on Local Governance Gender Review Findings Key Informant Perspectives	✓	✓	
OCHA Contributions to Field Operations Proposal 2019	✓	✓	
Strengthening Drought Resilience of the Pastoral and Agropastoral Population in the Lowlands of Ethiopia 2016 Narrative Report	✓	✓	✓
Strengthening Drought Resilience of the Pastoral and Agropastoral Population in the Lowlands of Ethiopia 2017 Narrative Report	✓	✓	✓
Strengthening Drought Resilience of the Pastoral and Agropastoral Population in the Lowlands of Ethiopia 2018 Narrative Report.pdf	✓	✓	✓
Strengthening Drought Resilience of the Pastoral and Agropastoral Population in the Lowlands of Ethiopia Project Evaluation	✓	✓	✓
Strengthening Drought Resilience of the Pastoral and Agropastoral Population in the Lowlands of Ethiopia Project Description 2015	✓	✓	✓
Strengthening Drought Resilience of the Pastoral and Agropastoral Population in the Lowlands of Ethiopia Credit Proposal 2015	✓	✓	✓
Strengthening Drought Resilience of the Pastoral and Agropastoral Population in the Lowlands of Ethiopia End of Phase report	✓	✓	✓
Jijiga One Health Initiative 2016 Annual Report	✓	✓	
Jijiga One Health Initiative 2017 Annual Report	✓	✓	
Jijiga One Health Initiative 2018 Annual Report	✓	✓	
Jijiga One Health Initiative 2018 Annual Report Annex	✓	✓	
Jijiga One Health Initiative 2019 Report	✓	✓	
Jijiga One Health Initiative Credit Proposal	✓	✓	
Jijiga One Health Initiative Entry Proposal	✓	✓	
Strengthening Institutions for Better Service Phase 2 Credit Proposal	✓		
Mitigating the Risk of Sexual Exploitation & Abuse and Gender-based Violence in World Bank-funded projects in Somalia	✓		
Somalia-Country Partnership Framework 2019-2022 (World Bank)	✓	✓	
Kenya RAPID Progress Operational and Financial Semi-annual Report Sept 2018 -March 2019	✓	✓	✓
Kenya RAPID Progress Operational and Financial Annual Report to SDC 21.11.2018	✓	✓	✓
Kenya RAPID Credit Proposal	✓	✓	✓
Kenya RAPID Program Doc	✓	✓	✓
Kenya RAPID Final PSC minutes and midterm evaluation report	✓	✓	✓
7F-09418_Kenya Rapid- Entry Proposal	✓	✓	✓
Somalia NGO Consortium Proposal Biannual Report Covering Period June - December 2018	✓	✓	
Somalia NGO Consortium Credit Proposal	✓	✓	
Somalia NGO Consortium Proposal	✓	✓	
Somalia NGO Consortium Report January - May 2019	✓	✓	
Somalia NGO Consortium 2017-2019 Report	✓	✓	
Somalia NGO Consortium Biannual Report Covering Period June-Dec 2018	✓	✓	
Community Health and Social Accountability Project Annual report 2019	✓		
Community Health and Social Accountability Project Annual Report 2018	✓		

Community Health and Social Accountability Project Draft Evaluation Report-Dec 2019	✓		
Community Health and Social Accountability Project Credit Proposal	✓		
Building Inclusive and Accountable Parliaments for a Peaceful Somalia II Programme document	✓		
UNDP Constitution Review Support Project Document	✓		
Building Inclusive and Accountable Parliaments for a Peaceful Somalia Main text	✓		
Somalia Inclusive and accountable governance Credit Proposal Phase 1	✓		
Somalia-Support to the Durable Solutions Initiative Credit Proposal	✓		
UNFPA 2018 Country Office Annual Report - Somalia	✓	✓	
UNFPA Somalia Credit Proposal	✓	✓	
UNFPA Somalia Programme Evaluation Report_2016	✓	✓	
UNFPA Somalia Country Programme Document	✓	✓	
Support to Aid Management and Coordination in Somalia Programme document	✓		
Support to Aid Management and Coordination in Somalia credit proposal	✓		
Framework for risk governance and Adaptive Programming Entry Proposal	✓		
Framework for risk governance and Adaptive Programming Results Chain	✓		
Regional Support to durable solutions of displacement affected communities credit proposal	✓		
Regional Support to durable solutions of displacement affected communities project document	✓		

12. List of Key Informant Interviews (or key meeting attendees)

Agnes Kaburu – Africa's Voices
Ahmed Mohamed Hussein – Danish Refugee Council
Alastair Carr – Saferworld
Alastair Scott-Villiers – United Nations
Anna Geller – Danish Refugee Council
Ayushi Kalyan – Food information and Action Network
Ben Conner – Camp Coordination and Management Cluster, IOM
Bernard Mrewa – World Food Programme
Bonga Lensse Gobu - SDC Programme Officer Health; Swiss Cooperation Office in Ethiopia
Christophe Beau - UNHCR
Dan Van Lehman – Visiting Scholar, Portland State University
Degan Ali – Adeso
Deidre Clancy - Expert
Delphine Dechaux – World Food Programme
Dirk Stoelhorst – Somalia Risk Management Unit
Faraz Merchant – Reach Initiative
Graham Thompson – FCDO
Hibo Yassin – IIDA
Imadi Mohamed – Reach Initiative
Irene Raciti – UN Panel of Experts on Somalia
Ivana Unluova - Ass. Representative (Programme); UNHCR POOL FUND
Joash Mokoro Amemba – Danish Refugee Council
Jose Maria Bendito Prieto – UNICEF
Joseph Lenakiyo - Technical Skills Coordinator; SWISS Foundation for Technical Cooperation (Swiss contact)
Kate Marja Kakela – UNHCR
Kirsten Young – Expert
Kirstin Arthur – UNHCR
Leila Muriithia Simiyu - Senior Programmes Officer & Programme Officer Legal and Psychosocial Programme; Refugee Consortium of Kenya
Leo Thomas – FCDO
Lillian N. Kilwake - Programme Officer; Swiss Agency for Development Corporation (SDC) Migration and Protection Section
Lilian Onsongo – World Food Programme
Luba Shara - Senior Operations Officer; International Finance Corporation (IFC)
Madhumita Sarkar – Gender Capacity Adviser
Mark Bradbury – Rift Valley Institute
Matt Byrne - Senior ProCap Adviser
Meena Bhandari – Accountability to Affected Populations
Melissa Bencik – UN Disability Focal Point - Somalia
Merita Jorgo – Somalia Risk Management Unit
Miro Modrusan – Intersos
Nabil Hudda – Reach Initiative
Nisar Majid – London School of Economics
Paul Gol – World Food Programme
Paul Healy – Trocaire
Randa Merghani - Head, Humanitarian Financing Unit; Somalia Humanitarian Fund (SHF)
Samatar Abdi – Africa's Voices
Seb Fouquet – FCDO
Tim Britten – Reach Initiative
Tim Midgely – Saferworld
Vanessa Sigrid Tilstone – World Bank

Staff at Acted, Millennium Water Alliance; CARE Kenya and Food for the Hungry as well as a number of a minority led partner organisations wished to remain anonymous

13. Fieldwork questionnaire

INTRODUCTION

Hello. My name is and on behalf of the "Swiss Agency for Development and Cooperation", we are currently conducting a Minority Audit Study to assess the extent to which Minority Groups are integrated in programs that are funded by The SWISS Confederation in Somalia, Somali region of Ethiopia and North Eastern Counties of Kenya. The findings of the audit are aimed at generating long term recommendations for improving governance, food security, health and migration/protection programmes. This questionnaire is meant to obtain your opinions on the subject areas and whatever information you may provide us with will be kept strictly confidential and will not be shared with anyone other than for the purposes of this audit. You are free to ask any question and not to respond to any question you feel uncomfortable with. The interview will take approximately 45 minutes to complete and your participation is voluntary. We hope you will participate in this audit since your views are very important with regard to improving the subject areas. At this point in time, do you want to ask me anything about the survey?

Would you like to participate in this study?	Yes	1 (Thank Respondent and Continue)
	No	2 (Thank Respondent and Terminate)

Definition:

Minority Group. A minority group is any group of people who, because of their physical, ethnic, racial or cultural characteristics, are singled out from the others in the society in which they live for differential and unequal treatment, and who therefore regard themselves as objects of collective discrimination." Sociologist Louis Wirth (1945)

RESPONDENT DETAILS

Name	Location	
Interviewer's Name:	Supervisor's Name:	Date: ____/11/2020
Contacts:	Checked by Supervisor:	Start time: End time:

DEMOGRAPHIC DETAILS

Village	District/County	GPS Coordinates
		Longitude:
		Latitude:

No.	Question	Skip routine pattern
-----	----------	----------------------

HOUSEHOLD DYNAMICS

1.	Age of the respondent?	Record Exact Age in Years.....	
2.	Sex of the respondent	1. Male 2. Female	
3.	Are you the head of the household?	1. Yes [Go to Qn. 4] 2. No [Go to Qn. 5]	
4.	Who is the head of the household?	1. Wife 2. Husband 3. Brother 4. Sister 5. Mother 6. Father 7. Grandmother 8. Grandfather 9. Uncle 10. Aunt 11. Other relative (Specify)	[Go to Qn. 5]
5.	What is the highest level of school you attended? <i>Only record formal schooling. Do not record bible or koranic school or short courses.</i>	1. Never Attended 2. Primary 3. Secondary 4. University 5. Vocational Training	[Go to Qn. 6]

		6. Adult Education 7. No response				
6.	Are you currently married or living together with someone as if married? Probe: If no, ask whether the respondent is divorced, separated, or widowed.	1. Yes, currently married 2. Yes, living with someone 3. Not currently in union 4. Divorced/separated 5. Not currently in union: Widow 6. No, never in union 7. No response		[Go to Qn. 7]		
7.	How many household members are living in your household?	Record Number [.....]		[Go to Qn. 8]		
8.	From the total household members, how many children under the age of 16 years do you have?			[Go to Qn. 9]		
	Name of the Child	Age				
	Child Number 1	Record Number [.....]				
	Child Number 2	Record Number [.....]				
	Child Number 3	Record Number [.....]				
	Child Number 4	Record Number [.....]				
	Child Number 5	Record Number [.....]				
9.	For each child under 16;					
	Name of the Child	Qn. 9a). Are they currently attending school?	Qn. 9b). If Yes, how far is/are the schools they attend? [Go to Qn. 10]		Qn.9c). If No, why did they stop attending school? [Go to Qn. 9d]	Qn. 9d). If No, at what age did they stop attending school [Go to Qn. 10]
	Child Number 1	1. Yes [Go to Qn. 9b] 2. No [Go to Qn. 9c]	1. 0 – 0.5 Kilometers 2. 0.6 – 1.0 Kilometers 3. 1.1 – 3.0 Kilometers 4. More than 3 Kilometers 5. I don't know		1. Too young to attend school 2. Has never attended school due to lack of school fees 3. Stopped attending school due to lack of school fees 4. Stopped attending school as unable to afford uniform, books, shoes, etc 5. Has never attended school because the child is sick 6. Stopped attending	Record Number [.....]
	Child Number 2					
	Child Number 3					
	Child Number 4					
	Child Number 5					

				school because the child is sick 7. Lack of normal schools around 8. Lack of specialized schools around 9. Insecurity along the journey to and from school 10. Insecurity of HH / displacement 11. Flooding 12. Drought coupled with hunger 13. Needed/preferred to work to gain income 14. Needed to carry out domestic tasks 15. Felt unwelcome at school 16. Others (Specify)	
HOUSEHOLD SETTLEMENT AND NEIGHBOURHOOD DYNAMICS					
10.	What is your household type settlement? <i>[Single Response]</i>	1. Minority only urban settlements 2. Minority only rural settlements 3. Minority only peri-urban settlements 4. Minority IDPs settlements 5. Internally Displaced Persons (IDPs) 6. Nomadic Pastoralist settlements 7. Host community settlement 8. Others (Specify)	[Go to Qn. 11]		
11.	Have you always lived here?	1. Yes [Go to Qn. 15] 2. No [Go to Qn. 12]			
12.	If No, where did you live before? <i>[Single Response]</i>	1. In a neighborhood closer this village 2. In a village within to this district 3. In a district within this region 4. Outside this region 5. Outside the country 6. Others (Specify)	[Go to Qn. 13]		
13.	What prompted you to make the decision to move here? <i>[Multiple Response]</i>	1. Poor or lack of access to water 2. Poor or lack of access to sanitation facilities	[Go to Qn. 14]		

		3. Poor or lack of access to health care 4. Poor or lack of access to educational facilities 5. In search for water and pasture 6. In search for food 7. Pushed here by floods 8. Pushed here by drought 9. Pushed by desert locust invasion 10. Pushed by interclan conflict 11. Pushed by militia attacks 12. In search for employment 13. In search of security for women in family 14. Transferred for purposes of work 15. Disagreed with those who ran last living place/settlement 16. Others (Specify)	
14.	In what ways has the condition of your household changed since you moved here? [Multiple Response]	1. Economically improved 2. Economically worse 3. Socially improved 4. Socially deteriorated 5. Security wise improved 6. Security wise deteriorated 7. Access to basic amenities improved 8. Access to basic amenities worse 9. Morale/Self-esteem better 10. Morale /Self-esteem worse 11. Others (Specify)	[Go to Qn. 15]
15.	Which agencies or individuals make the most positive difference to your life in this locality where you reside? [Multiple Response]	1. Support from diaspora direct to me/my household 2. Support from diaspora to community which is shared with me 3. Camp Managers/Management <i>(Please specify the name)</i> 4. Local govt official <i>(Please specify the name)</i> 5. CSO or international agency <i>(not camp management)</i> 6. Community elder 7. Religious leader 8. National Police 9. Somalia National Army Officers 10. Militia Groups 11. AMISOM Soldiers 12. Neighbouring community /clan 13. Others (Specify).....	[Go to Qn. 16]
16.	Which agencies or individuals (whether within your locality where you reside or outside of it) would you say create problems for people living in this camp/place? [Multiple Response]	1. Camp Managers/Management <i>(Please specify the name of the institution responsible)</i> 2. Local govt official 3. CSO or international agency <i>(Please specify the name)</i> 4. Community elder 5. Religious leader 6. National Police 7. National Army Officers 8. Militia Groups	[Go to Qn. 17]

		9. AMISOM Soldiers 10. Neighbouring community/clan 11. Others (Specify).....	
17.	Are you aware of existing mechanisms that you use raise complain or pass feedback regarding an issue to officials manning your locality?	1. Yes [Go to Qn. 18] 2. No [Go to Qn. 22]	
18.	If Yes, would please state the existing feedback mechanism available? [Multiple Response]	1. Suggestion boxes 2. Client exit interviews 3. Phone-based feedback 4. Toll free number 5. Phone Number 6. Community Gatekeeper 7. Physical visit 8. Don't Know 9. Others	[Go to Qn. 19]
19.	If yes, have you ever used the feedback mechanism to raise a complaint or submitted feedback?	1. Yes [Go to Qn. 20] 2. No [Go to Qn. 21]	
20.	If Yes, what was the result? [Single Response]	1. Action was taken and the complaint/feedback resolved 2. Action was not taken and the complaint/feedback remain unresolved 3. Action is being taken and the complaint/feedback is being resolved 4. No action was taken that I am aware of 5. Others (Specify).....	[Go to Qn. 22]
21.	If No, why not? [Single Response]	1. I don't have trust in the existing feedback mechanism (Please Specify) 2. I did not see the need to use the feedback mechanism 3. I have not had complaint/feedback to report through the feedback mechanism. 4. Others (Specify).....	[Go to Qn. 22]
SOURCES OF HOUSEHOLD INCOME			
22.	How many sources of income do you have within your household? [Single Response]	1. None [Go to Qn. 25] 2. One source [Go to Qn. 23] 3. Two sources [Go to Qn. 23] 8. More than two sources [Go to Qn. 23]	
23.	If at least one source of income, which sources of income are these? [Multiple Response]	1. General Business Trade 2. Formal Employment 3. Casual labourer 4. Remittance 5. Cash for Work (Please state source agency if known) 6. Food Stamps 7. Cash Transfer 8. Exchanging Food Stamps for cash 9. Fishing 10. Crop farming 11. Livestock rearing 12. Bee Keeping 13. Leather work 14. Metal work 15. Traditional healing practices	[Go to Qn. 24]

		16. Others (Specify).....	
24.	Of all the sources of income you have mentioned, what is your household's MAIN source of income? <i>[Single Response]</i>	1. General Business Trade 2. Formal Employment 3. Casual labourer 4. Remittance 5. Cash for Work (Please state source agency if known) 6. Food Stamps 7. Cash Transfer 8. Exchanging Food Stamps for cash 9. Fishing 10. Crop farming 11. Livestock rearing 12. Bee Keeping 13. Leather work 14. Metal work 15. Traditional healing practices 16. Others (Specify).....	[Go to Qn. 25]
25.	On average, how much money do you spend in a day in terms of taking care of household welfare? (in monetary terms)	Record the amount in USD	[Go to Qn. 26]

HOUSEHOLD FOOD SECURITY SCORE

HOUSEHOLD FOOD SECURITY SCORE

26. During the last 12 months, was there a time when, because of lack of money or other resources:

Question	Y e s	N o
a. Did you worry that your household would not have enough food?	1	2
b. Were you or any household member not able to eat healthy nutritious food?	1	2
c. Did you or any household member have to eat a limited variety of foods due to a lack of resources?	1	2
d. Did you or any household member have to eat some foods that you really did not want to eat?	1	2
e. Did you or any household member have to eat a smaller meal than you felt you needed because there was not enough food?	1	2
f. Did you or any household member have to eat fewer meals in a day because there was not enough food?	1	2
g. Was there ever no food to eat of any kind in your household because of lack of resources to get food?	1	2
h. Did you or any household member go to sleep at night hungry because there was not enough food?	1	2
i. Did you or any household member go a whole day and night without eating anything because there was not enough food?	1	2

[Go to Qn. 27]

HOUSEHOLD ACCESS TO SOCIAL SAFETY NETS

27.	Do you or any member of your household have access to following social safety Nets?			[Go to Qn. 28]
	Social Safety Net	Response		
		Yes	No	
	1. Food Stamps	1		
	2. Grants	1		
	3. Unconditional Cash Transfer	1		
	4. Cash for Work Transfer	1		

	5. Skills training/ capacity development	1			2
	6. Micro-credit	1			2
	7. Business development support services	1			2
	8. Others (Specify)	1			2
28.	On a scale of 1 to 5 where 1 is completely not accessible, 2 is not accessible, 3 is somehow accessible, 4 is accessible and 5 is easily accessible, how accessible are the following social safety nets in your community?				
	Social Safety Net	Completely Not Accessible	Not Accessible	Somehow Accessible	
	1. Food Stamps	1	2	3	
	2. Grants	1	2	3	
	3. Unconditional Cash Transfer	1	2	3	
	4. Cash for Work Transfer	1	2	3	
	5. Skills training/ capacity development	1	2	3	
	6. Micro-credit	1	2	3	
	7. Business development support services				
	8. Others				
MEDIA COMMUNICATION PATTERNS					
29.	Do you or your household own or have regular access to any of the following media devices or communication platform?				
	Statement	Yes	No		
	a. A television set?	1	2		
	b. A radio?	1	2		
	c. Access to a computer?	1	2		
	d. Own a smart mobile phone?	1	2		
	e. Own normal analog mobile phone?	1	2		
	f. Use internet for communication and other needs? i.e., you have sufficient access to data and phone calls	1	2		
	g. Have a registered and operational social media account?	1	2		
	h. Have a mobile phone operated financial account	1	2		
30.	What is your MAIN source of getting information on current development trends in the Country? [Single Response] Do not Read Out to the respondent	1. None 2. Community meeting 3. Village elder 4. Neighbour 5. Relative 6. Radio 7. Television 8. SMS 9. Poster/Picture 10. Newspaper 11. Magazine 12. Social Media 13. Phone Call Tune 14. Billboard 15. Branded Novelty Items 16. NGO/agency worker 17. Government representative			

		18. Health Centre 19. Health Worker 20. Schools/teachers 21. Religious leaders 22. Don't know Other (specify)	
ACCESS TO BASIC SOCIAL AMMENITES			
31.	How far is the MAIN source of water for drinking and cooking from your house?	1. Between 0 – 500 Meters 2. 1.1 – 2.0 Kilometers 3. Between 2.1 – 3 Kilometers 4. More than 3 Kilometers 5. I don't know	[Go to Qn. 31]
32.	How far is your sanitation facility from your house? (Record in meters distance taken to reach the location for defecation)	1. Between 0 – 250 meters 2. Between 251 – 500 meters 3. Between 501 – 750 meters 4. Between 751 – 1,000 meters 5. More than Kilometers 6. I don't know	[Go to Qn. 31]
33.	How far is a health facility from your house with a). a qualified Doctor, b). a midwife, or c). a nurse? (Record in meters distance taken to reach the health facility).	1. Between 0 – 250 meters 2. Between 251 – 500 meters 3. Between 501 – 750 meters 4. Between 751 – 1,000 meters 5. More than Kilometers 7. I don't know	[Go to Qn. 31]
34.	How far is nearest primary school from your house?	1. 0 – 0.5 Kilometers 2. 0.6 – 1.0 Kilometers 3. 1.1 – 3.0 Kilometers 4. More than 3 Kilometers 5. I don't know	[Go to Qn. 31]
EFFECT OF INTERVENTIONS ON BENEFICIARIES			
35.	Would please describe recruitment criteria's being used to select beneficiaries into interventions within your locality? [Multiple Response]	1. Random house to house mapping and assessment by use of enumerators/project staff 2. Community vulnerability mapping by use of community gatekeepers 3. Potential beneficiary mapping from existing organization database 4. Application by beneficiaries 5. Don't know 6. Others (Please Specify)	[Go to Qn. 36]
36.	Have you or member of your household been recruited as a potential beneficiary into any intervention within your locality?	1. Yes [Go to Qn. 37] 2. No [Go to Qn. 52] 3. Don't Know [Go to Qn. 52]	
37.	Through which criteria did you or member of your household get recruited into the intervention? [Single Response]	1. Random house to house mapping and assessment by use of enumerators/project staff [Go to Qn. 38] 2. Community vulnerability mapping by use of community gatekeepers [Go to Qn. 38] 3. Potential beneficiary mapping from existing organization database [Go to Qn. 38] 4. Application by beneficiaries 5. Can't remember [Go to Qn. 42] 6. Don't know [Go to Qn. 42] 7. Others (Please Specify) [Go to Qn. 38]	

38.	Do you feel that the recruitment criteria used to select you or member of your household into the intervention was the best?	1. Yes [Go to Qn. 40] 2. No [Go to Qn. 39] 3. Don't Know [Go to Qn. 40] 4. Refuse to Answer [Go to Qn. 40]									
39.	If Not, would you please describe how the beneficiary selection criterion can be improved? [Multiple Response]	1. There is need to increase more transparency in the recruitment process 2. There is need to update the existing database of potential beneficiaries 3. There is a need to involve beneficiaries' participation into the recruitment process 4. There is need to sensitize potential beneficiary about the recruitment before embarking on the recruitment drive 5. There is need involve community gatekeepers into the recruitment drive 6. There is need to involve everyone, including disadvantaged group into the recruitment drive 7. Others (Please specify) 	[Go to Qn. 40]								
40.	Is there another better beneficiary selection criterion that can be used instead of the one used to recruit you into the project?	1. Yes [Go to Qn. 41] 2. No [Go to Qn. 42]									
41.	If yes, please describe the criterion?		[Go to Qn. 42]								
42.	Would you please describe how the intervention has benefitted target beneficiaries' groups? [Multiple Response]	1. Improved economic wellbeing [Go to Qn. 43] 2. Improved access to social amenities [Go to Qn. 43] 3. Improved literacy levels [Go to Qn. 43] 4. Improved household food security scores [Go to Qn. 43] 5. Improved health outcomes/status [Go to Qn. 43] 6. Improved access to social safety nets [Go to Qn. 43] 7. The intervention has not benefitted the beneficiaries [Go to Qn. 44] 8. Don't know [Go to Qn. 44] 9. Others (Specify) [Go to Qn. 43]									
43.	On a scale of 1 to 5, where 1 represent very small extent and 5 very great extent, how would you rate the extent to which the intervention has benefitted target beneficiaries' groups?	<table border="1"> <tr> <td>Very small extent</td> <td>Small extent</td> <td>Somehow great extent</td> <td>Great extent</td> </tr> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> </table>	Very small extent	Small extent	Somehow great extent	Great extent	1	2	3	4	[Go to Qn. 44]
Very small extent	Small extent	Somehow great extent	Great extent								
1	2	3	4								
44.	On a scale of 1 to 3, where 1 represent condition remained the same, 2 condition improved and 3 condition declined, how would you rate the extent to which the intervention has changed circumstance of target beneficiaries? [Single Response]	1. Condition remained the same 2. Conditioned improved 3. Condition worsened 4. Don't know	[Go to Qn. 45]								
45.	How would you assess the quality of the service received from the intervention? [Single Response]	1. Very dissatisfied 2. Dissatisfied	[Go to Qn. 46]								

		3. Somehow satisfied 4. Satisfied 5. Very satisfied 6. No response	
46.	Do you feel that you were treated with respect and dignity with the staff that were/are managing the intervention?	1. Yes 2. No	[Go to Qn. 47]
47.	Are you aware of a way that you can pass feedback on the intervention to the implementers?	1. Yes [Go to Qn. 48] 2. No [Go to Qn. 52]	
48.	If yes would please state the existing feedback mechanism available? [Multiple Response]	1. Suggestion boxes 2. Client exit interviews 3. Phone-based feedback 4. Toll free number 5. Phone Number 6. Community Gatekeeper 7. Intervention Implementation Staff 8. Don't Know 9. Others	[Go to Qn. 49]
49.	If yes, have you ever used the feedback mechanism to raise a complaint or submitted feedback?	1. Yes [Go to Qn. 50] 2. No [Go to Qn. 51]	
50.	If yes, what was the result? [Single Response]	1. Action was taken and the complaint/feedback resolved 2. Action was not taken and the complaint/feedback remain unresolved 3. Action is being taken and the complaint/feedback is being resolved 4. No action was taken that I am aware of 5. Others (Specify).....	[Go to Qn. 52]
51.	If no, why not? [Single Response]	1. I don't have trust in the existing feedback mechanism (Please Specify) 2. I did not see the need to use the feedback mechanism 3. I have not had complaint/feedback to report through the feedback mechanism. 4. Others (Specify).....	[Go to Qn. 52]
MAINSTREAMING OF MINORITY INCLUSIVITY INTO INTERVENTIONS			
52.	In your opinion, do feel that interventions within your locality integrates everyone including minority groups?	1. Yes [Go to Qn. 52] 2. No [Go to Qn. 52] 3. Don't Know [Go to Qn. 55] 4. Refuse to answer [Go to Qn. 55]	
53.	If No, would you please provide a reason for your answer? [Multiple Response]	1. Interventions are skewed towards certain dominant tribes/clans 2. Interventions are skewed towards certain locations that are inhabited by certain dominant tribes/clans 3. Minority groups are not given priority into the interventions 4. The interventions don't target minority groups 5. Others (Specify)	[Go to Qn. 55]
54.	If Yes, would you please provide a reason for your answer? [Multiple Response]	1. The intervention targets everyone within our locality including the most disadvantaged	[Go to Qn. 55]

		2. Interventions within our localities mainly targets disadvantages members of the society 3. Minority groups are not given priority in most interventions within our locality 4. Others (Specify).....								
55.	On a scale of 1 to 5, where 1 represent very small extent and 5 very great extent, how would you rate the extent to which minority groups are consulted and involved when planning for intervention within your locality?		[Go to Qn. 56]							
	<table border="1"> <tr> <td>Very small extent</td> <td>Small extent</td> <td>Somehow great extent</td> <td>Great extent</td> </tr> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> </table>	Very small extent		Small extent	Somehow great extent	Great extent	1	2	3	4
Very small extent	Small extent	Somehow great extent		Great extent						
1	2	3		4						
56.	Do you feel that everyone in your locality/neighborhood is being treated equally?	1. Yes [Go to Qn. 57] 2. No [Go to Qn. 59] 3. Don't know [Go to Qn. 59]								
57.	If Yes, would you please give examples of those being treated differently		[Go to Qn. 58]							
58.	If Yes, would you provide reasons why they are being treated differently?		[Go to Qn. 59]							
59.	In your opinion are minority groups really considered to be minorities within your locality?	1. Yes [Go to Qn. 61] 2. No [Go to Qn. 60] 3. Refuse to answer [Go to Qn. 61]								
60.	If No, would you provide a reason for your answer?		[Go to Qn. 61]							
61.	Have you encountered instances where interventions/aid assistance targeting majority groups were diverted to benefit other groups that were not targeted with the intervention/aid assistance?	1. Yes 2. No 3. Refuse to answer	[Go to Qn. 62]							
62.	Have you encountered instances where interventions/ aid assistance targeting minority groups were diverted to benefit other groups that were not targeted with the intervention/aid assistance?	1. Yes 2. No 3. Refuse to answer	[Go to Qn. 63]							
63.	Have you encountered instances where beneficiaries drawn from majority groups are concealing their identity as minority group in order to receive aid assistance within interventions that is targeting minority clans?	1. Yes 2. No 3. Refuse to answer	[Go to Qn. 64]							
64.	Have you encountered instances where beneficiaries drawn from minority groups are concealing their identity as majority group in order to receive aid assistance within interventions that is targeting majority clans? If YES, would you please describe the encounter(s)	1. Yes 2. No 3. Refuse to answer	[Go to Qn. 65]							
65.	How has COVID 19 pandemic affected minority groups beneficiaries differently from other beneficiaries in general?		[Go to Qn. 66]							
66.	Do you feel safe walking around your locality/neighborhood?	1. Yes [Go to Qn. 68] 2. No [Go to Qn. 67]								
67.	If no, would you provide a reason for your answer? [Multiple Response]	1. I fear being kidnapped/mugged by organized gangs 2. I fear being sexually/physically being abused by organized gangs	[Go to Qn. 68]							

		3. I fear being harassed by security forces 4. I fear being harassed/victimized by members of other communities/clans 5. Others (Specify)	
68.	Would you please highlight at least FIVE factors that are limiting minority groups from being integrated into interventions within your locality? [Multiple Response]	1. Exclusive policies and legislation 2. Lack of respect for human rights 3. Discrimination, intolerance, stigma, stereo-typing, sexism, racism and homophobia 4. Physical Insecurity 5. Segregation 6. Violence and abuse 7. Fear and psychological insecurity 8. Lack of access to land 9. Lack of access to credit 10. Lack of transparency in decision-making 11. Lack of access to political processes 12. Lack of access to information and communications 13. Lack of transportation 14. Lack of access to public spaces 15. Lack of access to basic services, including education, health care, 16. Lack of clean water and sanitation 17. Lack of access to decent work and employment 18. Lack of resources to sustain livelihood 19. Lack of effective means to capture feedback 20. Lack of attention to feedback 21. Aid does not flow generally to those who need it. 22. Aid does not flow to certain groups who are not close to those who allocate or control it 23. Others (Specify)	[Go to Qn. 69]
69.	Would you please highlight at least FIVE actions/recommendations that can be adopted to ensure that minority groups are integrated into interventions within your locality? [Multiple Response]	1. Promote inclusive policies and legislation 2. Promote access to information and communication 3. Promote transparent and accountable decision-making processes 4. Promote affirmation of human rights 5. Take effective action against discrimination, stigma, stereotyping and hate speech 6. Promote participation in decision-making 7. Promote social protection 8. Promote opportunity for personal development 9. Promote respect for diversity	[Go to Qn. 70]

		10. Promote freedom (of choice, religion, etc.) 11. Promote Solidarity 12. Promote access to basic services, including education, health care, clean water and sanitation 13. Promote adequate income and employment opportunities 14. Promote access to clean and safe places for living, work and recreation 15. Promote access to public spaces 16. Promote access to resources 17. Promote access to transportation 18. Ensure minority led organizations have a key role in service design and delivery 19. Move to one person one vote 20. Ensure minority individuals encountering discrimination are supported to make complaints without repercussions. 21. Ensure that feedback is taken seriously and acted on 22. Others (Specify).....	
70.	As a Somali/Kenyan/Ethiopian Citizen, from which ancestral lineage do you identify yourself with? [Single Response]		End the interview
THANK THE RESPONDENT AND END THE INTERVIEW			

14. TOR

Embassy of Switzerland in Kenya

Call for proposals/offers to conduct a Minority Inclusion Audit for SDC Horn of Africa Programme 2018-2021

1. Introduction

1.1 Switzerland in the Horn of Africa

Switzerland has a Whole-of-Government Regional Cooperation Strategy for the Horn of Africa, geographically focusing on Somalia (incl. Somaliland), North-Eastern Kenya and South-Eastern Ethiopia. Thematically, the strategy is based on four domains: Governance, Food Security, Health and Protection/Migration. The main target groups are pastoralists and the most vulnerable population, such as refugees, IDPs and host communities.

1.2 Minorities in Somalia

Minority groups (ethnic minorities such as Bantu, Bajuni, Benadiri, RerXamar, Bravanese; or occupational groups such as Midgan/Gaboye, Tumul, Yibir, Galgala) that are estimated to represent up to 1/3 of the population in Somalia, continue to be excluded from political participation, have limited access to justice, are denied multiple rights and are disproportionately affected by natural hazards and conflicts. Women from minorities and/or among IDPs are particularly affected by multiple violations of their rights, both as women and as members of a minority group. The marginalization and social segregation of vulnerable groups is one of the key driving forces of the protracted massive displacement of people and the difficulty to find durable solutions for them.

Minorities in Somalia can be considered to be those who fall outside the four main clans. There are three main groups of minorities:

- a. Occupational groups – these communities, including Gabooye, Tumul and Yibir – traditionally fulfilled a particular function that was considered taboo by the main Somali clans. This included leatherworking, pottery, metalworking, hunting and some traditional health practices (including carrying out FGM). These communities are found all over Somalia. They experience extremely daily social discrimination. Inter-marriage between young people from these communities and those from the four main clans is socially unacceptable – with at times tragic consequences when reprisal actions are taken when occasionally such marriages have taken place in spite of social disapproval and threats.
- b. Coastal communities – these communities including Ashraf, Benadiri, Bajuni, Bravanese– often resulted from in migrants from the Arabian Peninsula (but also Italians), who settled and inter-married with Somalis. Once living relatively privileged lives, often in larger coastal urban centres, many of these communities were displaced by conflict (both internally and internationally) and their communities were decimated.
- c. Bantu groups – more often found in South Central, these communities may have originally migrated north from the Bantu lands of Central and Eastern Africa. These communities were more likely to earn a living by growing crops – often in the fertile riverine areas of South Central, they coexisted with the major Somali clans who lived more by pastoralism with systems of patronage keeping the Bantu groups in a servile and sometime unpaid labourer position.

Other groups do exist, but they are very small in number and in many cases remain highly invisible. There are a small number of Christians but threats to them in South Central remain acute and they keep an extremely low profile and even the bravest NGOs and CSOs tend to avoid mentioning them.

Major challenges facing Somalia's minorities

- a. In FGS areas, there is an urgent need to carry out a census and to negotiate and move to a system of one person one vote elections. Despite the public discourse, it seems unlikely that the next elections will be according to such a system. The current electoral provisions directly discriminate against and disenfranchise minority communities. The current 4.5 formula whereby minorities are represented by 0.5 (i.e., one ninth) of the representatives compared to two ninths allocated to each of the major clans is highly problematic in a context where (due to flight) the remaining population of Somalia is estimated to be between 20% and 33% minority (2014). Not only is this highly problematic in terms of democracy, participation and accountability, but it also strongly symbolises that those who belong to these communities are not of equal value to the main clans. A census would be very helpful in targeting aid and ensuring that all benefit and that none are left behind. This may be in doubt. The most recent UNFPA demographic study has not been published yet and

is politically highly contested. These challenges underpin all other efforts in working with Somali minorities.

- b. Impunity: Whether through traditional Xeer systems or official state organs (police, judges) minorities find it almost impossible to pursue a complaint or access justice. The Xeer system involves resolution within or between clan elders and minorities are discounted in this process. All major clan members have been raised with deep discrimination against minorities in daily social life and state officials in all areas very often can bring these mindsets and attitudes into official decision making – often unconsciously. Instances where individuals have sought redress but have been attacked or counter charges have been laid against them, act as disincentives to all minorities to attempt to pursue justice in the event of experiencing discrimination or being the survivor of a human rights abuse. This effect is felt particularly strongly by minority women.
- c. Discrimination. Minority community members experience direct discrimination in many daily interactions e.g.:
 - being told to wait until last to be seen at a health clinic
 - children experiencing negative comments or bullying linked to ethnicity at school
 - discrimination in hiring for employment or in providing access to contracts or e.g., loans

Minorities also suffer from indirect discrimination – they are less likely to have completed school, less likely to own land or collateral, they have more limited social networks and fewer links or relationships with decision makers. They are more likely to be IDPs (their lack of armed clan relatives meaning that they had to flee to survive).

- d. Minority Aid Diversion. Donors aware of discrimination and high levels of need within minority communities have at times, tailored aid or targeted minorities as being amongst those who are the poorest. But it has been reported on cases of aid diversion whereby aid intended for minority communities was diverted instead to communities with links to the powerful in one of the four major clans. The same was true for resettlement opportunities outside of Somalia. This has resulted in extreme distrust between minority activists and communities on the one hand and mainstream CSOs and NGOs on the other

2. Objective and Purpose of the Audit

The overall objective is to conduct a Minority Inclusion Audit covering the on-going CS Horn of Africa 2018-2021. The team is to generate recommendations of long-term relevance to the total Somalia Country incl. possibly the Somali region of Ethiopia and the North-Eastern Counties of Kenya.

The outcomes will inform the governance, food security, health and migration/protection programmes. It will further inform the Third-Party Monitoring and Accountability for Affected Populations Programme SDC is to launch in 2020 in order to have a robust monitoring on how minorities are included and benefitting from Swiss funded interventions. Furthermore, it will give information about adaptations needed in the Results Framework for the upcoming strategy 2021-2024.

The purpose is to deepen the programmes potential impact across the four domains through actual delivery on 'inclusion' and Leaving No One Behind – in humanitarian and development contexts.

The Audit will peruse available documentation, meet relevant stakeholders (multi-agency), engage directly with beneficiaries in locations highlighted as deserving an audit, avail of minority expertise for strong analysis and later substantiation with a possible roundtable with key stakeholders.

3. Methodology

A team of consultants (possibly from MRG) with research expertise in the Horn of Africa and Somali speaking researchers with the ability to travel in Somalia incl. Somaliland, North- Eastern Kenya and South-Eastern Ethiopia.

They envisage expert meetings of minority leaders in Somalia, Kenya and possibly Ethiopia. One early in the research phase and one to validate the results. A minority lens inclusion audit of SDCs work in the Horn of Africa in the period of 2018-2021 will be performed including an analysis of SDCs Horn of Africa Programme and related strategy documents.

Desk specialist meeting- and field-based elements are envisaged and commissioned qualified Somali-based teams. Given the sensitive yet strategic nature of the consultancy, it is understood that flexibility will be required in its implementation.

It is an opportunity to broadly screen for 'inclusive' approaches in terms of themes, locations and the level of focus given to social diversity in the programme design, implementation, monitoring and evaluation. Were the interventions and benefits arising distributed equitably among the real

populations? Where feasible, the team will identify a set of actions of strategic interest and follow-up for detailed data and carry out field visits to a sample of beneficiaries in the three countries to glean perspectives and insights from selected minority groups with attention to women, youth, disabled, their leaders. This will glean positive and negative experiences and will be explored-, how, whom and will be as representative of the geographic programme coverage as possible, among displaced, refugees (e.g., Kakuma), returnees and engagement with host community (minority or majority communities) as appropriate. Expected outputs include a map of programme locations, investigations of the minority proportion of the population in those locations, their main status (e.g., peri- urban displaced) and the extent and type involvement in the project life cycle.

The field sample size may be small due to the intensive and micro level of the work involved. The findings are likely to involve some quantitative findings, but these will be localised. These findings will be complemented with qualitative case studies or stories which explore the range of factor that have either helped or hindered minority participation and benefits from elements of the project cycle.

The sample will be constrained by a) the availability of contact data for beneficiaries of some programmes b) security and access and c) the availability of trusted intermediaries who can persuade minority community members to report honestly why they have not benefitted (should this be the case).

The research will provide the opportunity for a fairly granular review of the sample – including disaggregation by gender, ethnicity, disability, status (displaced etc.) and age – with full intersectionality analysis applied although the reported findings will concentrate on ethnicity (and the intersection of the other identified factors within it.)

Lesson-learning on inclusion – not just targeting: The consultants will investigate not only whether minority inclusion in programme beneficiaries is in line with proportions of the population locally (or the target population of a particular activity) but will also investigate where negative disparities and successful targeting exist, why this is the case?

A very wide range of reasons may account for minority communities not benefitting from aid programmes ranging from aid capture by the more powerful, direct discrimination and indirect discrimination, barriers to inclusion being set at a level that minorities cannot fulfil, and minorities failing to access or claim benefits due to a low sense of entitlement or fear of reprisals. As part of this the consultants may wish to speak to a sample of unsuccessful applicants or “missed minorities”. Equally importantly where factors have facilitated or improved minority communities benefitting, they can investigate and report this (e.g., minority staff in key positions, strict and adhered to human rights and equality protocols, human rights based and truly participatory programme design that targets the poorest and most excluded.)

Review of overall pattern (if any) in benefits accruing for particular groups under different settings: It is seen as valuable to review humanitarian and longer-term interventions separately if possible. Minorities comprise the majority displaced in Somalia for years along with smaller majority clans (Rahanweyn example) as mentioned. It is known that gatekeeping and other power related actions discriminate against minority vulnerable communities especially girls, women, disabled, the elderly for the most basic of items – by majority clan personnel employed by government, including security, international and national agencies. This includes sexual exploitation and abuse (SEA) in return for medicines, food rations and non-food items.

Minority specialists will review the CS HoA 2018-2021 holistically for pro or anti minority bias that may be unintended, but which may follow from overall programme design choices. This group will also substantiate the findings of the detailed research and will be available to enter into a dialogue with SDC staff and the staff of its implementing partners on the findings of the inclusion audit. Wholescale review of CS HoA 2018-2021 and related strategy documents holistically for pro or anti minority bias that may be unintended, but which may follow from overall programme design choices. This would include evidence-based commentary on:

- The thematic foci, their location and distribution across the regions
- The activities, goals and ambitions within the thematic programmes
- The relative allocation of resources across foci and within strands of work
- The maintenance of minority targeting into indicators and throughout the results framework (disaggregation of data at results level) and arrangement for tracking and reporting on same whether through Third Party monitors or SDC personnel
- Potential for aid diversion and dilution of minority targeting as the programme is implemented and ways that this could be prevented (humanitarian-development)

Given that DANIDA may equally perform a minority audit of their portfolio, synergies both in the analytical process as well as field work should be actively sought.

4. Deliverables

- One report detailing analysis of CS HoA 2018-2021. Including methodology, quantitative data on inclusion in sampled areas/sampled activities, qualitative case studies elaborating findings on enabling and barrier factors, conclusions and clear recommendations for wider adoption of good practice/changes in practice. It will highlight location and community specific opportunities of economic, value chain, durable solutions. Baseline for 2019 for minority targeting, yearly targets and recommendations for monitoring established.
- Recommendations for the TPM / AAP project to be started in 2020
- Recommendations for the preparation of the next CS HoA 2022-2025; recommendations for the Results Framework
- Roundtable + Feedback sessions

5. Timing

- November 2019 – April 2020
- November: Identify / contract staff
- November-December: Desk study of documents. Identify activities susceptible to inclusion audit, identify locations, identify sample selection methods. Interviews with SDC staff concerning minority targeting/other relevant steps taken, design features.
- January-February 2020: Fieldwork
- March: Draft Reports; roundtable and feedback sessions
- April 2020: Reports
- A total of 50-60 days is foreseen.

6. Administrative Arrangements

The consultant will report to the Regional Director of Cooperation at the Swiss Embassy in Nairobi

7. Qualifications and team capacity

- Extensive knowledge and experience of working on minority and human rights especially for Somalia and the Horn of Africa with familiarity of international standards and global commitments
- Familiarity with internal and regional dynamics of minorities including internal and external migration and capacity to identify opportunities in terms of skills exchange, jobs, enterprise development
- Technical capacity to comprehensively screen project narratives and results frameworks with a minority rights lens
- Competence and sensitivity in knowing when to engage on minority community issues in a participatory manner; capacity to build team skills in ensuring the field and interview processes yield positive results
- Relevant linguistic skills among the field teams proposed – may not all be Somali-speaking (or Kiswahili or English)
- Strong analysis, writing and packing of multifaceted issues for easy use e.g., in adjusting M and E frameworks

8. Proposed Structure and content of the proposal

Part 1: Description of the organization

Chapter	Description	Nbr pages max
0	Cover letter with signature(s)	
Cover page	Conducting a Minority Inclusion Audit for SDC Horn of Africa Programme 2018-2021 Submitted by (name of the organization).	1
1	Presentation of the Applicant structure	
1.1	Interlocutor <i>Full details of the contact person (email and telephone)</i>	
1.2	Economic, financial, organizational capability	1

	<i>A complete description of the submitting organization: institutional profile, organizational structure, administrative and financial performance and areas of expertise.</i>	
1.3	Experience in conducting Minority and Human rights Audit <i>The organization will provide information on comparable work in fragile context with limited humanitarian Access for example Somalia</i>	2
1.4	Thematic and methodological experience in the order below <ul style="list-style-type: none"> - <i>The organization will provide information that demonstrates its experience and expertise in working on minority and human rights especially for Somalia and the Horn of Africa with familiarity of international standards and global commitments</i> - <i>Familiarity with internal and regional dynamics of minorities including internal and external migration and capacity to identify opportunities in terms of skills exchange, jobs, enterprise development</i> - <i>Technical capacity to comprehensively screen project narratives and results frameworks with a minority rights lens</i> - <i>Competence and sensitivity in knowing when to engage on minority community issues in a participatory manner; capacity to build team skills in ensuring the field and interview processes yield positive results</i> - <i>Relevant linguistic skills among the field teams proposed – may not all be Somali-speaking (or Kiswahili or English)</i> - <i>Strong analysis, writing and packing of multifaceted issues for easy use e.g., in adjusting M and E frameworks</i> 	2

Part 2: Technical and financial proposal

Chapter	Description	Nbr pages max
2	General understanding of the mandate and proposed approach	1
2.1	Proposed strategy for the implementation of the mandate <i>The organization will outline and briefly describe the approaches and implementation mechanisms chosen to drive the work.</i>	1-2
2.2	Type of expertise proposed <i>The organization will indicate the type of expertise it intends to mobilize for this mandate (Description of the composition, roles and responsibilities of the team CVs of the members of the permanent team Max 3 pages per CV).</i>	Open
2.3	Risk analysis capacity and alternative measures <i>The organization will describe the main risks related to the mandate and the proposed alternative measures</i>	1
2.4	Approach and organization <i>Description of the agenda, activities and organization of the mandate</i>	1-2
2.5	Financial proposal (in KES) <i>See the attached budget template</i>	

9. Submission of offers

Applications to be sent to nairobi@eda.admin.ch copy to thomas.oertle@eda.admin.ch

Addressed to The Regional Director of International Cooperation, latest on Tuesday the 05th November 2019 at 23:59 EAT