Inception Report

Study on the Interlinkages between the Development, Peace and Security, Human Rights and Humanitarian Pillars in Eastern Africa

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Table of Contents

Inception Report Presentation

Professor Olawale Ismail (consultant) presented the inception report on the integration between the development, peace and security, humanitarian and human rights pillars in Eastern Africa at a Virtual Inception Meeting organised by UNECA on 27 October 2020. He shared that the study aims to explore transboundary dimensions of the pillars and their interlinkages to promote intra-regional cooperation in search for sustainable and lasting solution. The study will also examine COVID 19 and its impact on the pillars and their interlinkages including socio-economic, health and humanitarian responses to COVID-19 by member States in Eastern Africa. Youth and gender dimension are cross-cutting for the study analysis.

The consultant further shared how the pillars will be operationalised:

- On Development, the study will be anchored on the AU Agenda 2063, IGAD's 2016-2020 Regional Strategy and the EAC Protocol, among others. It will also explore a range of issues ranging from macroeconomic to natural resource issues;
- On Peace and Security, the presentation covered the scope and noted that the definition of peace and security already embeds interlinkages with development, humanitarian, and human rights as the basis for conflict prevention, peace building and resilience;
- On Human Rights, and in addition to the conceptual framework, the presenter noted issues for exploration ranging from the rule of law, freedom of expression, free and fair elections, political participation and religious-political freedoms., among others.
- On Humanitarian, the analysis will range from displacement to natural disasters, food security to resource scarcity, among others.

The ensuring discussion highlighted the need to address the challenge of human rights and the need to realize the centrality of governance as there can be no peace and security without it. There was appreciation of the fact that the study will capture the experiences of women. The presenter further noted that overall, the analytical framework revolves around human security with a focus on conflict prevention and resolution, and governance is cross-cutting. He cautioned against framing governance narrowly to political governance to the exclusion of other aspects of the concept. Regarding corruption, which the meeting felt deserves to stand alone, the presenter assured that corruption will be analysed within governance. The concept of sustainable development should factor its universal definition and application as embodied in the 2030 Agenda and Agenda 2063.

Meeting participants noted the need (opportunity) to come up with recommendations that that strengthen conflict prevention and management frameworks and activities in Eastern Africa. Respondents also noted the need to capture ongoing collaboration by IGAD, COMESA and EAC on a common programme on human security and governance and their (RECs) contributions to the collective African responses to COVID 19. The need to explore migration as either a humanitarian issue or a cross-cutting phenomenon (especially as the four pillars are contributory factors), and its impact on the risks of conflict and conflict prevention efforts was also suggested.

1. Introduction

The proposed study focuses on and interrogates the inter-linkages of four pillar issues, namely, development, peace and security, human rights, and humanitarian issues as they relate to the search for effective and lasting solutions to conflict in Eastern Africa. Based on the ECA geographical definition of Eastern Africa, the study will cover Burundi, Comoros, Djibouti, DR Congo, Eritrea, Ethiopia, Kenya, Madagascar, Rwanda, Seychelles, Somalia, South Sudan, Tanzania, and Uganda. The study will also cover the policy initiatives and activities of regional integration and cooperation in Eastern Africa whose policy initiatives and activities have direct implications for the four pillars. The regional bodies include the East African Community (EAC), Indian Ocean Commission (IOC), Inter-Governmental Authority on Development (IGAD), and International Conference of the Great Lakes Region (ICGLR). Due to transborder issues and regional dynamics, including the membership of IGAD, the study will also cover Sudan in areas and on issues relevant to the four pillars in relation to conflict prevention and resolution.

The study is aimed at identifying and analysing the key issues and interactions among these pillars in Eastern Africa, as well as identifying challenges and opportunities for harnessing the inter-linkages, and promoting synergies and complementary implementation of interventions and programmes addressing conflict and related situations in the subregion. This is necessitated by the search for more inclusive, sustainable, and effective solutions to armed conflicts and insecurity and persistent development challenges in the subregion. In interrogating the inter-linkages to effectively address conflict and development situations in the subregion, the study will mainstream youth and gendered dimensions as crosscutting policy issues.

The study will also examine COVID-19 and its impact, including the socio-economic, health and humanitarian responses to COVID-19 by member States with the support of relevant agencies, on the interlinkages and the complementary implementation of interventions across the four pillars in the subregion.[1]

It will analyse the transboundary dimensions of the pillars and their inter-linkages to promote intraregional cooperation in the search for sustainable and lasting solutions. It will explore existing policy instruments and tools for harnessing the interlinkages, and capacity development challenges in relation to mainstreaming the inter-linkages into policy and strategies, including those related to Agenda 2030 and 2063. Informed by its findings, the study will present robust conclusions and generate action-oriented recommendations for advancing collaboration and complementary implementation.

The study findings will be presented as a standalone report and will contribute to informing a continental assessment of the inter-linkages of the four pillars led by the United Nations Office for the Special Adviser on Africa (OSAA). The Eastern Africa report will contribute to the broader objective of accelerating the integrated implementation of Agenda 2063 and the 2030 Agenda for Sustainable Development through enhanced capacity of African Union organs and agencies, and Regional Economic Communities (RECs).

The report will contribute to enhancing awareness harnessing the interlinkages between the four pillars to inform policy and practice in conflict prevention and resolution in the subregions. In addition,

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[1] The consultant will leverage extant analyses on COVID-19 in Eastern Africa by the ECA, including the strategies adopted by national governments, range of impacts, lessons learnt, and how to build back better.

it will contribute to informing future work on the development of methodologies and tools for mainstreaming the interlinkages into policies and strategies, including those addressing Agenda 2063 and the 2030 Agenda. Target audience including member States, the African Union, and relevant RECs and IGOs in the subregion, including EAC, IOC, IGAD, ICGLR, ECA-SRO Eastern Africa. Secondary beneficiaries include national and regional civil society groups/networks, the SDG Centre for Africa (Rwanda), researchers and academic think-tanks, media, the African Peer Review Mechanism Secretariat (and relevant country assessment missions), etc.

This study responds to the increasing global, continental, and regional consensus among research, policy and practice institutions in relation to the need to promote coherence in addressing structural vulnerabilities, including development, human rights, humanitarian and peace and security challenges over the past decade. The nature of armed conflict and insecurity has exacerbated humanitarian, development and human rights challenges, and the interactions amongst them. Their impacts on structural stability continue to evolve and change rapidly over the past decade. Indeed, armed conflicts have become more protracted, prolonged, more vicious (violent) against civilians and more regionalised and internationalised. This has increased the complexities of armed conflict interlinkages with other pillars, creating fused (inter-linked) risks and consequences. There is a growing recognition that interventions have a better chance of creating the conditions for sustaining peace if they simultaneously address the humanitarian, development, human rights, and security needs of aggrieved communities.

Harnessing the inter-linkages among the pillars is seen as central to preventing and resolving armed conflicts and insecurity and building and sustaining peace. The recognition of this fused dimension (interlinkages of the four pillars) is already embedded in the Agenda 2030 for Sustainable Development and Africa's Agenda 2063. Recent policy initiatives also underscore this new reality, including Resolutions by the UN General Assembly and Security Council in April 2016 (Resolutions 70/262 and 2282) on sustaining peace by building an inclusive, common vision of society, and ensuring coherence and synergies across the four pillars. In addition, the 2016 World Humanitarian Summit noted that humanitarian assistance alone cannot resolve protracted crises, and highlighted the need for a "New Way of Working", including the need for improved collaboration between humanitarian and development actors as imperative for reducing needs, risk, and vulnerability. The World Bank's Pathways to Peace of 2018 also emphasized new thinking about the relationship of development, peace, and security in strategies for inclusive conflict prevention. Also, the UN Secretary-General António Guterres has placed sustainable peace at the top of his agenda and is rolling out his vision for a UN capable of preventing conflict and integrating development, human rights, and peace and security approaches.

Over the past decade, the UN, and the Africa (through the AU) have advanced a series of cooperation in specific areas that are designed to promote coherence and synergies relevant to the interlinkages of the four pillars. This is embodied in the series of UN-AU Cooperation Frameworks; for instance, the AU-UN Peace and Security Framework highlights key areas of collaboration and synergies for preventing and managing conflicts in Africa through increased common understanding of the causes (including the four pillars and their interlinkages) of conflict in Africa; joint conflict prevention efforts through coordinated early warning and preventive diplomacy; cooperation in mediation and conflict management, and peacebuilding.[2]

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[2] See https://unoau.unmissions.org/sites/default/files/jount_un-au_framework_for_an_enhanced_partnership_in_peace_and_security.pdf

The AU-UN Agenda 2030/2063 Development Framework includes a commitment to joint activities and programmes for the effective implementation, tracking and monitoring of and reporting on the Agenda 2030 and Agenda 2063 to promote Africa's inclusive, broad-based, and sustainable development. This framework recognises the importance of the links between development, human rights, and humanitarian work to the reduction of risk and vulnerability, especially among young people and women. The framework aims at strengthening "the linkages between political governance and respect for human rights, peace and security, resilience and development by building on joint programmes and activities under the Joint United Nations-African Union Framework for an Enhanced Partnership in Peace and Security."[3]

The AU and the UN Office for the Coordination of Humanitarian Affairs (OCHA), through a memorandum of understanding and a joint workplan on humanitarian issues, work to support the capacity of African states and regional institutions to respond to humanitarian emergencies and strengthening their regional disaster response capacities. As part of this initiative, OCHA collaborates with AU and RECs (EAC, IGAD and IOC) to advance initiatives on the protection of civilians, resilience planning and disaster preparedness.[4]

2. Conceptual Framework

a. Scope (coverage) of Countries

In line with the study objectives and the Terms of Reference, the study will cover 14 countries, including Burundi, Comoros, Djibouti, DR Congo, Eritrea, Ethiopia, Kenya, Madagascar, Rwanda, Seychelles, Somalia, South Sudan, Tanzania, and Uganda. All the listed countries (except Sudan) are covered UNECA Subregional Office for Eastern Africa (SRO-EA).[5] Sudan is included as a secondary case study because of its patterns of the four pillars (development, human rights, humanitarian and peace and security issues) are intertwined with those of the other 14 countries. Sudan also embodies some of the transregional dimensions of the interlinkages, and the country is also a member of some of the regional groupings in East Africa, especially IGAD, and remains a priority country for international, continental and sub-regional peace and security interventions. Thus, in terms of RECs, the study will cover EAC, IGAD and COMESA. With regard to the latter, it is noted that 12 out of 14 countries of Eastern Africa are members of that regional body,

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[3] See UNECA (2018), 'United Nations. Economic Commission for Africa (2018-01). AU–UN framework for the implementation of agenda 2063 and the 2030 agenda for sustainable development.' Addis Ababa: UNECA, p.22, https://repository.uneca.org/bitstream/handle/10855/24248/b1188311x.pdf?sequence=3&isAllowed=y

[4] See UNOCHA, "OCHA's support to the New Partnership for Africa's Development (NEPAD) Planning and Coordinating Agency", https://www.un.org/en/africa/osaa/pdf/unsystemfolder/2014/ocha2014.pdf

[5] See https://www.uneca.org/sro-ea

b. Operationalisation of Key Concepts (Pillars)

Development

This study operationalises development in line with the expanded approach of Amartya Sen's concept of development as "Freedom" and "Capability"[6], and the Brundtland Commission's notion of 'Sustainable Development', while recognizing that the definition and application of the concept embodied in the 2030 Agenda and Agenda 2063.[7] Amartya Sen's approach transcends the traditional focus on economic growth and its variables to include human development issues linked to the expression and fulfilment of human freedom, the removal of impediments to freedoms such as poverty, discrimination, inequalities, absence of social services, lack of economic opportunities, social exclusion, armed conflicts, large scale violence and other forms of physical insecurity. Poverty and mainstream economic issues are only one component of development, rather than its totality. Here, poverty and economic underdevelopment the deprivation of capabilities, rather than mere lowness of income. The conditions leading to constraint to freedom are, by nature, subjective. Therefore, the input must come through a democratic and participatory process following a bottom-up approach, rather than from statistics.

The idea of sustainable development integrates its economic, social and environmental dimensions in a balanced manner. In the context of Africa, good governance and strong institutions are considered important prerequisites for this development paradigm. The Brundtland Commission defines it as "development that meets the needs of the present without compromising the ability of future generations to meet their own needs".[8] It allows for adapting strategies for addressing sources and symptoms of environmental degradation with the creation of socio-economic opportunities and incentives for economic advancement. The more recent formulation of sustainable development as contained in the UN Agenda 2030 and the AU Agenda 2063 expand the concept into three components, namely economic, social, and environmental aspects. The economic issues includes build economic growth, address unemployment (provide job opportunities) and tackle poverty; the social aspects include empowering women and girls, and widen access to education, health, and social protection; and the environmental aspect includes addressing climate change and environmental protection.[9]

The expanded approach to development represents the mainstream thinking and approach by major policy actors since the late 1990s, and it is consistent with global and regional development initiatives in Eastern Africa. The UN's Agenda 2030 and the AU's Agenda 2063 all embed key human development aspirations and goals. The subregional development framework also reflects the expanded approach, including IGAD's identification of agriculture, natural resources, and environment; peace and security, and disaster resilience as key priorities of its strategy for 2016-2020. The IGAD strategy also incorporates the AU's Agenda 2063 and UN's SDGs initiative.[10]

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[6] Amartya Sen, *Development as Freedom*, Oxford: Oxford University Press, 1999.

[7] Kono N. (2014) Brundtland Commission (World Commission on Environment and Development). In: Michalos A.C. (eds) Encyclopedia of Quality of Life and Well-Being Research. Springer, Dordrecht. https://doi.org/10.1007/978-94-007-0753-5_441

[8] United Nations General Assembly. (1987). Report of the world commission on environment and development: Our common future. Oslo, Norway: United Nations General Assembly, Development, and International Co-operation: Environment, p.43.

[9] See UNDESA, "Social Development for Sustainable Development", https://www.un.org/development/desa/dspd/2030agenda-sdgs.html

[10] See IGAD (2016) IGAD Regional Strategy: The Framework, Vol. 1, Djibouti: IGAD Secretariat, pp. 25-27.

Development is used here to encompass orthodox macro-economic measures of growth rates, investments and fiscal stability; access to basic social services and poverty alleviation; democracy, human rights and civil liberties; reasonable level of security; and good governance virtues (accountability, transparency, etc.).[11] This conception is consistent with the study objectives (as contained in the Terms of Reference). Sen's approach is relevant for this study because of its emphasis on the 'human', as opposed to the single-level analysis of macro-economic trends and patterns. This makes it consistent with human security concerns, including a broader definition of threats to populations, including humanitarian emergencies, human rights issues, and peace and security challenges. The mainstream profile of this approach gives it a congruence with extant data and datasets such as the UNDP Human Development indicators.

Based on this conception, and initial assessment of extant development data and trends for Eastern Africa, this study will explore the following development issues/indicators:

1) Macro-economic issues, including economic growth trends and patterns.
2) Government revenue and expenditure patterns, including social spending.
3) Investment flows and patterns.
4) Agriculture; patterns of outputs and contributions to production, and risks of shocks.
5) Socio-economic inequality
6) Poverty trends (over extended period, especially before, during and post-conflict).
7) Human capital development issues, including literacy and employment patterns.
8) Natural resource issues, including issues of ownership, control, and distribution of receipts.

Peace and Security

This study defines peace and security in line with the AU's Protocol Relating to the Establishment of the Peace and Security Council. The Protocol under Articles 3 (objectives) and 6 (functions) outlines the components of peace and security to include the following:

1) Protection and preservation of life and property, the well-being of population and the environment.
2) Creation of conditions conducive to sustainable development.
3) Anticipation and prevention of armed conflicts, including promoting democratic practices, good governance, and the rule of law, protect human rights and fundamental freedoms, respect for the sanctity of human life and international humanitarian law, as part of efforts for preventing conflicts.
4) Peace-related activities in the event of conflicts, including peace-making, peace support operations, post-conflict reconstruction and peacebuilding.
5) Combat transnational security challenges, including violent extremism and terrorism.
6) Prevention and management of humanitarian and disaster emergencies.

This definition already embeds linkages with development, humanitarian, and human rights as the basis for preventing conflicts and building peace and resilience. The operationalisation covers the latent and manifest aspects, and the structural dimensions of peace and security. In particular, the

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[11] See Amartya Sen, Development as Freedom, pp. 13-34.

structural aspects speak to the need for multi-dimensional approaches to conflict prevention through emphasis on development, human rights, and humanitarian issues.

This definition is consistent with those adopted by relevant regional bodies in Eastern Africa, including IGAD and EAC. For instance, the 1996 Agreement Establishing IGAD (Article 7) emphasizes the promotion of "peace and stability in the region and create mechanisms within the region for the prevention, management and resolution of inter-State and intra-State conflicts through dialogue."[12] The IGAD's 2016-2020 Regional Strategy also highlights a broader definition of peace and security as one of the four areas of cooperation, and highlights its strategic priorities to include conflict early warning and early response; preventive diplomacy and mediation, transnational security threats; governance, democracy, rule of law and human rights; humanitarian affairs; and gender equality and women empowerment.[13] The EAC Treaty and its Protocols on Peace and Security (2006), and Conflict Prevention, Management and Resolution Mechanism (2012) pinpoint the interdependence between peace and security, and socio-economic development, humanitarian and environmental issues, and democracy and human rights. The EAC protocol on Peace and Security defines core priorities to include conflict prevention, management and resolution; prevention of genocide; combating terrorism; combating piracy; peace support operations; disaster risks management and response; management of refugees; control of small arms and light weapons; combating transnational crimes; and addressing cattle rustling among others.[14]

Based on initial exploration of extant data, and the core priorities of IGAD's 2016-2020 Regional Strategy and the EAC's Protocol on Peace and Security, the study will collect and analyse data on the following key elements/indicators in the analysis of peace and security in Eastern Africa:

1) Armed conflict and violent clashes
2) Socio-political tensions
3) Insecurity as it relates to violent attacks against civilians
4) Protests and riots
5) Activities of militias and non-state state armed groups
6) Transnational violent extremist groups
7) Peace processes, including mediation, preventive diplomacy, and peace operations

Human Rights

Human rights are inalienable provisions and allowances inherent to all persons irrespective of race, age, sex, ethnicity, religion, language, etc. The operationalisation of human rights in this study is situated in the 1981 African Charter on Human and People's Rights that recognises and provides for a range of civil, political, economic, and cultural rights. The African Charter expressly notes that it is "…essential to pay particular attention to the right to development and that civil and political rights cannot be dissociated from economic, social and cultural rights in their conception as well as universality and that the satisfaction of economic, social and cultural rights is a guarantee for the

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[12] IGAD (1996) Agreement on Establishing the IGAD, p.7, http://www.gsdrc.org/docs/open/regional-organisations/igad,%201996,%20establishing%20agreement.pdf

[13] IGAD (2016) Regional Strategy Vol 1: The Framework, p. 47, https://igad.int/documents/8-igad-rs-framework-final-v11/file

[14] See Article 2 of EAC Peace and Security Protocol, http://eacgermany.org/wp-content/uploads/2015/03/EAC-PROTOCOL-ON-PEACE-AND-SECURITY.pdf

enjoyment of civil and political rights."[15] The African Charter provides for social and economic rights such as right to own property (Art. 14), right to work (Art. 15), right to enjoy physical and mental health (Art. 16), right to education and cultural life of a community (Art. 17) and right to economic, social and cultural development (Art. 22). In addition there are provisions for civil and political rights such as equality of persons (Art. 19), right to life and integrity (Art. 4), right to liberty and security of persons (Art. 6), right to fair hearing (Art.7), freedom of association and free assembly (Art.10-11), right to political participation and equal access to public services (Art. 13), etc.

In line with the objectives of the study (Terms of Reference), the history of Eastern Africa, and initial exploration of extant data, the study will focus on the following indicators/aspects of human rights:

1) Rule of law in relation to arbitrary arrests and detention, and torture.
2) Freedom of expression and Press freedom.
3) Right to education and cultural practices
4) Free and fair elections
5) Political participation
6) Religious and political freedoms

Humanitarian

This study operationalises humanitarian issues to include incidence and impacts of natural disasters and human emergencies (e.g. linked to armed conflicts, political tensions, and inter-group violence) leading to displacements and dislocations. This definition incorporates inter-linkages between humanitarian crises and other pillars of this study, especially peace and security and development; for instance, where armed violence and insecurities; drought, famine and floods; unemployment, food scarcity, and pandemics trigger internal and cross-border displacements. This definition is consistent with the 1991 UN General Assembly (UNGA) Resolution 46/182 that identified the victims of natural disasters and other disasters are key targets of humanitarian assistance.[16] The UNGA resolution further mentions the relationships between emergency, rehabilitation and development (paragraph 9), as well as the links between economic growth and sustainable and the prevention and preparedness against emergencies (paragraph 10).

The definition is also appropriate for the focus countries; for instance, the AU Humanitarian Policy Framework emphasizes early warning, preparedness and response, protection and assistance to victims and vulnerable groups, protection of civilians in armed conflicts, disaster management and risk reduction, inclusive peace process and post-conflict reconstruction and development as core priorities.[17]

The definition also aligns with 2016 IGAD Regional Strategy that placed resilience and prevention are core priorities of its disaster risk management strategy. The IGAD strategy recognises the multiple sources and manifestations of shocks and vulnerabilities in member-states, and notes the ability to identify, address and reduce risk; and improved social and economic conditions of vulnerable

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[15] See Preamble of the 1981 African Charter on Human and People's Rights, https://www.achpr.org/legalinstruments/detail?id=49
[16] See UNGA Res 46/182 (1991), https://undocs.org/A/RES/46/182
[17] See 2015 AU Humanitarian Policy Framework, http://www.peaceau.org/uploads/humanitarian-policy-framewrok-rev-final-version.pdf

populations as key to disaster management and risk reduction.[18] The resilience-based approach makes humanitarian issues a cross-cutting theme with those of other pillars of this study.

In line with the objectives of the study (Terms of Reference) and initial exploration of extant data, the key humanitarian issues/indicators to be covered in the focused countries are as follows:

1) Internal displacement
2) Refugees
3) Pandemics
4) Natural disasters e.g. droughts, famine, locust, and flood.
5) Food security
6) Population pressures and resource scarcity.

c. Analytical Template

The study recognises the four pillars to be equally constituted and are inter-dependent. To this extent, the four pillars will be treated equally in terms of data collection and coverage (as operationalised above). In line with the reading of the history of the focused countries, and the initial exploration of extant data, the study will use human security (preventing and resolving violent conflicts) as the analytical pivot.

Conceptually, human security speaks to debates in the 1990s following the publication of the 1994 United Nations Development Program (UNDP) annual report, which raised the critical question of rethinking the intellectual and policy content of security. The report noted that as civil conflicts became common, there was a trade-off between inter and intra-state conflicts; that feelings of insecurity arise from daily existential issues of hunger, deprivation, gender-based violence, religious and ethnic persecution and repressions by the state and regimes, as opposed to a cataclysmic world event or the international system.[19] The debate triggered the recognition of non-military "threats" to states and citizens to include the political problems of economic dislocation, political violence, displacement and refugees, and environmental degradation amongst others. The report lists seven areas of potential concern for security — economics, food, health, environmental, personal, community and political security. It also lists the main threats to these new security issues to be unchecked population growth, disparities in economic opportunities, migration pressures, environmental degradation, drug trafficking, and international terrorism.[20] The debate established two elements of human security, namely, freedom-from-fear and freedom-from-want. The former emphasizes physical safety of populations from violence and natural disasters, and the latter encompasses socio-economic, cultural, and human rights issues.[21]

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[18] See IGAD (2016), Regional Strategy Vol 1, p. 27.

[19] See UNDP (1994) Human Development Report 1994. See also United Nations Commission on Human Security (UNCHS) (2003) Human Security Now, New York: UN.

[20] Smith, S (2005) 'The Contested Concept of Security' in Booth, K (ed) Critical Security Studies and World Politics, Boulder/London: Lynne Rienner: 27- 62.

[21] Suhrke, A. (1999) "Human Security and the Interests of States", Security Dialogue 30(September): 265-276. See also, Knudsen, O. (2004) "Post-Copenhagen Security Studies: Desecuritizing Securitization", Security Dialogue Vol. 32(3): 355.

In the context of this study, human security will be operationalised as processes and interventions for preventing and resolving conflict more sustainably. It speaks to issues at the core of structural causes (prevention) of conflicts, including those highlighted as elements of the four pillars e.g. inequality, poverty, poor human capital development, lack of political participation, displacements, and resource scarcity, etc. It also speaks to issues associated with active conflict prevention and resolution such as effective responses to natural disasters (drought, famine, locust invasion, etc.), free and fair elections, protection of civilians, and formal peace processes. The end goal of harnessing the inter-linkages among the four pillars and promoting synergies and complementary implementation of interventions and programmes is more systematic and sustainable prevention and resolution of violent conflicts in Eastern Africa subregion.

The operationalisation of human security as conflict prevention and resolution in Eastern Africa is consistent with the EAC's Protocol on Peace and Security (Articles 3a and 4) that identifies conflict prevention, management, and resolution as a key of cooperation and priority issue. This is also reinforced by the IGAD Strategy 2016-2020 which identifies the core priorities of its peace and security agenda to include conflict early warning and early response, preventive diplomacy and mediation, humanitarian issues, and gender equality.[22]

This study adopts the EAC's definition of conflict as "a disagreement through which the parties involved perceive a threat to their needs, interests or concerns."[23] A conflict becomes violent when parties resort to the use of physical or psychical force to pursue or defend their needs and interests.

The study defines conflict prevention in line with the AU's approach as a direct and operational focus of intervening before violence occurs as well as a systematic, strategic focus of addressing the root, proximate, and structural causes of conflict.[24] It has two components; operational prevention – interventions to address immediate causes of conflict or to de-escalate a given conflict –, and structural prevention which involves efforts to reduce the risk or likelihood of conflict and violence with positive incentives for societies that strengthen their resilience and provide access to political, economic, social and cultural opportunities.[25] This two dimensions reflect the role of a diverse range of issues, including the four pillars, in the outbreak and efforts at preventing and resolving conflict in Eastern Africa.

It defines conflict resolution as " a wide range of methods of addressing sources of conflict and of finding means of resolving or containing it in less destructive form."[26] This extends the use of tools and instruments for preventing and managing conflict for also addressing the root causes (structural issues) of conflict in Eastern Africa.

As indicated in Table 1.0 below (conceptual framework), the study will explore inter-linkages at two levels' first is the exploration of two-pillar interlinkages in relation to conflict prevention and resolution. This produces six combinations (interlinkages listed as follows:

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[22] See IGAD (2016), Regional Strategy Vol 1, p. 27.
[23] See EAC (2012) 'East African Community Conflict Management Act 2012', p. 2. https://www.eala.org/uploads/EAC_Conflict_Management_Act_2012.pdf
[24] This is in line with the AU APSA Roadmap 2016-2020. See African Union Commission, African Peace and Security Architecture: APSA Roadmap 2016-2020, December 2015, www.peaceau.org/uploads/2015-en-apsa-roadmap-final.pdf.
[25] Carvalho, G. (2017), 'Conflict Prevention: What's in it for the AU', Policy Brief 103, ISS/TFP, p. 2. https://css.ethz.ch/content/dam/ethz/special-interest/gess/cis/center-for-securities-studies/resources/docs/ISS_Africa-policybrief103.pdf
[26] EAC Conflict Management Act 2012, p. 10.

1) Humanitarian-Human Rights interlinkages: it explores how the nexus of humanitarian and human rights issues produce outcomes that impact the risk of conflict and the prospects of conflict prevention and resolution in Eastern Africa. Based on extant data and desk review, the study will highlight key issues at the nexus of this interlinkage for Eastern Africa. For instance, how do displacement, food insecurity and natural disasters affect conflict risks, or shape conflict prevention and resolution?

2) Humanitarian-Development interlinkages: It explores how the nexus of humanitarian and peace and security issues produce outcomes that affect the risk of conflict, and the prospect of resolving violent conflicts in Eastern Africa subregion. Based on extant data and desk review, the study will highlight key issues at the nexus of this interlinkages for Eastern Africa. For instance, how does the intersection of displacement, natural disasters, poor human capital, food insecurity and poverty produce violent conflicts or could reduce the risk of violence in Eastern Africa?

3) Humanitarian-Peace and Security interlinkages: This explores the intersection of humanitarian and peace and security issues produce violent conflicts, or how humanitarian interventions modulate the risk of violent conflicts in Eastern Africa.

4) Human Rights – Development interlinkages: This will examine the nexus of human rights and development issues in relation to conflict prevention and resolution in Eastern Africa subregion. For instance, it could investigate how human rights violations and socio-economic inequalities and poverty affect the risk of violent conflict, or how addressing human rights and development issues mitigate the risk of armed conflict in Eastern Africa.

5) Human Rights – Peace and Security interlinkages: This interrogates the nexus of human rights and peace and security issues, and how it increases or decreases the risk of violent conflict, and the prospect of conflict prevention and resolution in Eastern Africa subregion. For instance, it could explore how human rights violations, lack of political participation or disputed elections cause violent conflicts, or how peace processes are used to prevent conflict relapse or address human rights issues.

6) Development – Peace and Security interlinkages: This will explore the intersection of development and peace and security issues in relation to the existence of violent conflicts, or in efforts at preventing and resolving violent conflicts in Eastern Africa.

For each of these linkages, the study will provide regional overview, highlighting key issues at the nexus, and select events/countries as case study(s) to deepen the analysis in Eastern Africa. The study will also map the range of institutions and policy initiatives and interventions relevant to each of the six combinations (interlinkages) of the four pillars.

The second level of analysis is the four-pillar interlinkages in Eastern Africa. Based on desk review and using specific case studies, the study will select three issues/case studies that demonstrate the intersection of the four pillars in the outbreak of violent conflict, or in efforts at preventing and resolving violent conflicts in Eastern Africa. Potential case studies include DRC, Somalia, South Sudan, Ethiopia, Burundi and Kenya and will involve exploring the intersection of issues of displacement, human trafficking and organised crime, food security, militias and non-state armed groups, inequality, elections, and peace processes in relation to conflict outbreak and the prospect of conflict prevention and resolution. The analysis of the case studies will also entail institutional frameworks and policy initiatives available at the national, subregional, and regional levels that seek to mainstream the four pillars or could be utilized to deliver approaches that reflect the interlinkages.

Across the two levels of analysis, the study will include reflections on youth and women issues, the impact(s) of COVID-19 on the interlinkages, the range of stakeholders in the respective pillars, and the transboundary/transregional dimensions of the interlinkages.

The use of human security (conflict prevention and resolution) as the analytical pivot is intended to simplify the analysis (reduce complexities). Also, the definition of the four pillars already embeds analytical possibilities for exploring how the highlighted issues can impact the risk of conflicts, and the prospect of conflict prevention and resolution. Moreover, conflict prevention is increasingly mainstreamed into development, human rights, peace and security, and humanitarian policies and strategies at national, regional, and global levels. Finally, the history of Eastern Africa since the 1990s also points to the salience of violent conflicts (imperative of conflict prevention and resolution) as its impact development, human rights, and humanitarian dynamics.   peace and security issues as the major driver of regional cooperation and integration, as well as being the most important factor in development, human rights, and humanitarian challenges.

Figure 1.0: Human Security (conflict prevention and resolution) as Analytical Pivot
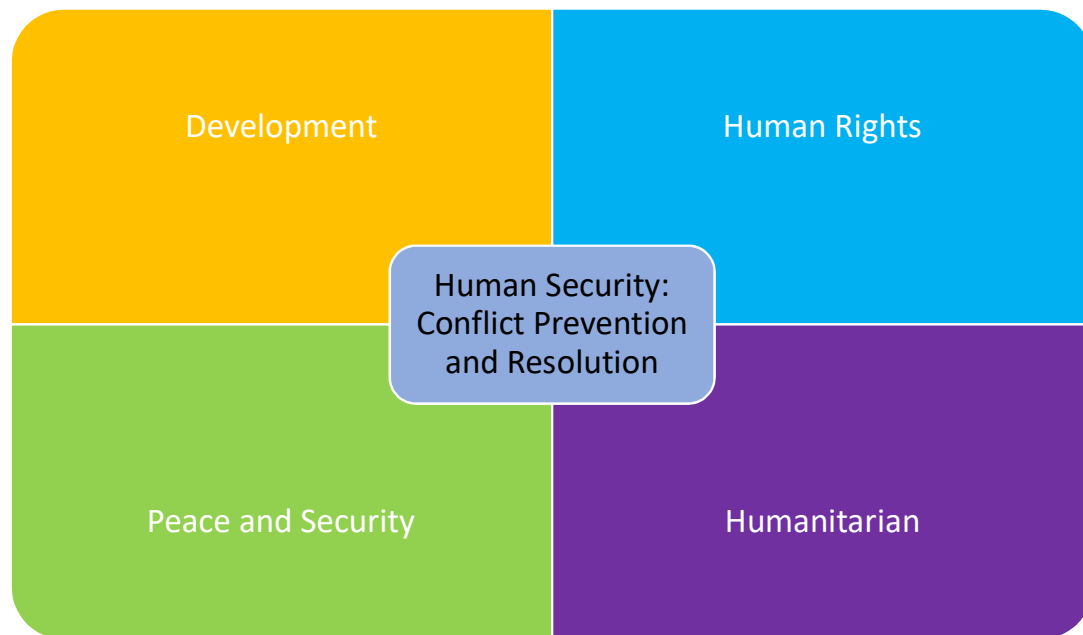

Table 1.0: Analytical Matrix

Inter-linkages	Key Indicators or Components	Risk of Violent Conflict	Impacts on Conflict Prevention and Resolution	Gender and Youth dimension	Case study
Humanitarian-Development					
Humanitarian-Human Rights					

Human Rights-Development					
Humanitarian-Peace and Security					
Human Rights-Development					
Human Rights-Peace and Security					
Development-Peace and Security					
Four-Pillar Interlinkages					
Four-Pillar Interlinkages and conflict prevention and resolution					

3. Methodology

Case Study Approach

This study will use a case study approach as the central methodology as it allows for the interrogation of social phenomena in their real-life context, especially where phenomenon overlap and where multiple sources and data are required.[27] In applying this approach, the study will define the central research problems/questions to be explored, generate hypothetical statements and explanations, and use theme-based events, communities and states to evaluate the research problems and propositions.[28] The proposed study will frame the research problem/questions along those contained in section 1 (Introduction), which incorporates work to be done.

This approach is favored as it allows the study to combine multiple types (qualitative and quantitative) and sources (document analysis, questionnaire surveys, interviews) of data in order to gain robust evidence. It also provides logical foundations for comparing and applying (and generalizing) findings across a broader set of cases in Eastern Africa. The approach also reduces complexity by narrowing down to logical cases and samples for particular inter-linkages and allows findings to be contextualized.

As highlighted in the conceptual framework, a series of events, processes, territories, and states will be selected for in-depth interrogation of particular inter-linkages in East Africa. As such, each of the three two-variable inter-linkages will involve the use of case studies to explore the empirical realities in Eastern Africa within countries and across boundaries. there will be case studies to This will be guided by the following considerations:
- Thematic relevance based on the objectives of the study and the analytical matrix.

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[27] R. Yin, *Case Study Research: Design and Methods. Applied Social Research Methods*, Vol.5. Thousand Oaks, CA, Sage, 1994

[28] D. Silverman, *Qualitative Methodology and Sociology: Describing the Social World*. England: Gower, 1985.

- Logical fit based on propositions derived from secondary data analysis.
- Data availability and access to primary respondents (completion of questionnaire).
- Spread across the 14 target countries, plus Sudan.

Necessary Conditions Analysis (NCA)

Though the case study approach is the overarching methodology, the study will also use the Necessary Conditions Analysis (NCA) as a secondary analytical approach for specific aspects of the study. The study will also use the multiple Necessary Condition Analysis (NCA) to determine conditions (variables) that are necessary for the outcome (conflict prevention and resolution)). This approach will be used to explore the inter-linkages between the four pillars and conflict prevention and resolution, exploring the necessary conditions for improvements (or deterioration) in human security outcomes. The methodology is appropriate for small-sample cases and focus primarily on the condition(s) whose absence would ultimately lead to the absence of the outcome. Theory of change models based on the exploration of data and propositions will be developed from the literature; and the NCA will be used to interrogate this theory in a systematic way with the purpose of establishing logical connections between them and how they impact upon the thematic outcome. The strength of this approach is shown in its capability to show the degree of necessity of each condition; that is, what level of human rights, or development or humanitarian challenges is responsible for what level of peace and security experienced in a country. Of course, the NCA cannot predict an outcome but it can explain logical connections and causation between independent and dependent variables. The study will use case studies with different level of outcomes (i.e. present or absence; high or low peace and security score) will be selected from the 14 countries covered by the study to provide more robust perspectives for interpreting the findings from the states cases.

Data Collection

In line with the objectives of the study and the official Terms of Reference, the study will use secondary and primary data. The range of secondary data will include desktop review and analysis of extant datasets for the variety of indicators for the four pillars (see Table 2.0 below). In addition, qualitative analysis as contained in academic books and journals, research reports, official documents of national and regional institutions, media reports, report of think-tanks and civil society groups, and other open sources materials will be used. Primary data will be derived from questionnaire surveys targeted at stakeholders including officials of national governments and regional bodies, academics and researchers, civil society groups, media, etc. The questionnaire will be administered virtually (online). Where possible, the study will explore targeted semi-structure interviews. Information from the survey will assist in deepening knowledge about the interlinkages and their application as they relate to conflict prevention and resolution, test (confirm) inferences derived from secondary data, and tease out policy issues (recommendations) on how to harness the interlinkages and build synergies across the four pillars in promoting conflict prevention and resolution in Eastern Africa.

Table 2.0: Quantitative Data Matrix

Pillar	Indicators	Quantitative Data Sources

Development	- Macro-economic issues, including economic growth trends and patterns. - Government revenue and expenditure patterns, including social spending. - Investment flows and patterns. - Agriculture; patterns of outputs and contributions to production, and risks of shocks. - Socio-economic inequality. - Poverty trends (over extended period, especially before, during and post-conflict). - Human capital development issues, including literacy and employment patterns. - Natural resource issues, including issues of ownership, control, and distribution of receipts.	- UNECA data and analysis, including reports from ECA-SRO for Eastern Africa. - Reports of EAC, IOC, IGAD, ICGLR. - AfDB. - UNDP HDI, - World Development Report, - UNFPA State of the World Population. - African Development Bank AEO Series. - SDG progress/monitoring reports. - Afrobarometer. - Reports of National Central Banks and Statistics bureau.
Peace and Security	- Armed conflict and violent clashes. - Socio-political tensions. - Insecurity as it relates to violent attacks against civilians. - Protests and riots. - Activities of militias and non-state state armed groups. - Transnational violent extremist groups. - Peace processes, including mediation, preventive diplomacy, and peace operations	- UNECA data and analysis, including reports from ECA-SRO for Eastern Africa. - Reports of EAC, IOC, IGAD, ICGLR. - AfDB. - ACLED - Uppsala Conflict Data project. - Global Peace Index. - Fragile State Index. - Heidelberg Conflict Barometer. - Munich Security Report. - SIPRI Yearbook. - IPPS Annual APSA Impact Report. - Global Terrorism Database.
Human Rights	- Rule of law in relation to arbitrary arrests and detention, and torture. - Freedom of expression and Press freedom. - Free and fair elections. - Political participation. - Religious and political freedoms	- UNECA data and analysis, including reports from ECA-SRO for Eastern Africa. - Reports of EAC, IOC, IGAD, ICGLR. - Freedom House

		-	Ibrahim Index of African Governance.
		-	UNDP HDI Report.
		-	Global Rule of Law Index.
		-	Anti-Torture Database
		-	Press Freedom Index.
Humanitarian	- Internal displacement. - Refugees. - Pandemics. - Natural disasters: droughts, famine, locust, and flood. - Food security.	-	UNECA data and analysis, including reports from ECA-SRO for Eastern Africa.
		-	Reports of EAC, IOC, IGAD, ICGLR.
		-	AfDB.
		-	UNHCR Data Finder
		-	World Disaster Report.
		-	WHO Dataset
		-	Africa CDC
		-	FAO Annual Report.

4. Research Phases and Work Plan

The study will involve five phases described as follows:

- *Inception:* this will cover laying out the scope of work, conceptual framework, methodology and overall research design.
- *Data Collection:* for collecting primary and secondary data based on methodology. This will include developing a statistical compendium on the 14 states included in the study, desktop review of qualitative materials, design and administration of online questionnaires, and where possible targeted semi-structured interviews.
- *Data Analysis:* based on analytical framework and methodology, this will involve processing of data from primary and secondary sources, and qualitative and quantitative types to generate and compare inferences as a prelude to distilling key findings based on the research design.
- *Identification of Key Findings:* this will be generated from analysed data based on the research problem/questions and the objectives of the study. In particular, this will involve identifying the inter-linkages across the four pillars in East Africa, as well as opportunities and challenges for harnessing the inter-linkages, transboundary dimensions of the inter-linkages, the impact of COVID-19 on the inter-linkages, and action-oriented recommendations.
- *Drafting of Report and Validation:* this will involve an iterative process in which the consultant will work closely with the SRO-EA and other stakeholders to review (offer feedback) of the first draft of the report, participation (presentation) at a validation session, and finalisation of the report.

Table 3.0: Work Plan Matrix

Phase	WK 1	WK 2	WK 3	WK 4	WK 5	WK 6	WK 7	WK 8	WK 9	WK 10
Inception	■	■								
Data Collection		■	■	■						
Data Analysis			■	■	■	■				
Key Findings				■	■	■				
First Draft of Report					■	■	■			
Validation - EGM (17-18 Dec 2020)							■	■		
Final Report								■	■	■

5. Annotated Outline of the Report

1. Introduction:
   - lay out the study objectives, key research questions, justification of study, and the organisation of the report.
   - Analytical Framework and Methodology: to operationalise key concepts, provide key indicators/elements of the four pillars and how they relate to conflict prevention and resolution in Eastern Africa, and the methodological approach, including data collection.

2. The context of Eastern Africa: provide overview of the socio-economic, political, security, and environmental situation of Eastern Africa. This will also include statistical overview of the four pillars and conflicts (as defined by the listed indicators) for Eastern Africa.

   Regional Specificities of the Four Pillars: to present ways in which the four pillars inter-link in East Africa based on statistical evidence, as well as case studies illustrations to establish their relevance to conflict prevention and resolution. In addition to presenting the overview, it will also reflect on the gender dimensions and youth and women issues.

3. Interlinkages of the Four Pillars in relation to the risk of conflicts and the prospect of conflict prevention and resolution Eastern Africa subregion:
   a. Humanitarian-Human Rights.
   b. Humanitarian –Development.
   c. Humanitarian -Peace and Security.

     d.   Human Rights – Development.

     e.   Human Rights – Peace and Security.

     f.   Development – Peace and Security

4. Interlinkages of the Four Pillars and conflict prevention and resolution in Eastern Africa: this will explore the triple nexus and how they shape the risk of conflict, and the prospect of conflict prevention and resolution in Eastern Africa. This will use two case studies to interrogate the interlinkages of the four pillars. Potential case studies include Eastern DRC, South Sudan, Somalia, Ethiopia, etc.

5. Trans-regional Dimensions of the Pillars and Inter-Linkages: to present the trans-regional dimensions of the four pillars and their inter-linkages in relation to conflict prevention and resolution in East Africa, primarily using mini-case studies (text boxes). Possible transboundary issues (three issues/case studies to be selected) include displacement/refugees, non-state armed groups, natural disasters, food security, agriculture, and natural resources. The transboundary dimensions would explore the transregional manifestations of the interlinkages in the Great Lakes region (with states in Central and Southern Africa; and the Horn of Africa (with states in Arab Maghreb and the Middle East).

6. Impact of COVID-19 on the Pillars and Inter-Linkages: to present data on COVID-19 for the 14 countries, and how this interacts with the individual and collective dynamics of the four pillars in East Africa. This will also reflect on the gender and youth dimensions of the impacts of COVID-19.

7. Key issues and Challenges and Opportunities for harnessing the inter-linkages: to highlight policy initiatives and interventions on the four pillars and ways the inter-linkages have been missed or leveraged. This will discern instances of challenges and leveraged opportunities in exploring the inter-linkages. It is recognized that COVID-19 could present both a challenge and an opportunity to harnessing the interlinkages in the search for effective and lasting solutions to conflicts.

8. Capacity Development Issues in Mainstreaming: this will explore existing methodologies and tools for harnessing the interlinkages and mainstreaming into policies and strategies, and capacity building needs in relation to the adoption and application of tools. This will draw from extant policy documents/data and feedback from questionnaire surveys to reflect and present on the capacity development issues in mainstreaming the inter-linkages into policies and strategies.

9. Conclusions and Action-Oriented Recommendation: to present action-points based on the overall insights and findings from the study.

10. Annexes: to include sample of questionnaire, data from questionnaire survey and statistical annexes for East Africa.

Statistical Annex for Eastern Africa

Name	Pop	Area (km2)	GDP (US $ bn)	GDP per capita (US$)	Humanitarian (2019)		Development			Human Rights			Peace and Security		
					Conflict (IDPs)	Disasters (IDPs)	HDI (2018)	SDG-I (2020)	Social Progress Index (2019)	Freedom to make life choices (2019)	Demo Index (2019)	World Press Index (2020)	WPS 2019/2020)	Global Peace Index (2019)	Fragile States Index (2019)
Kenya	48,756,000	580,367	108.074	1,877	162000	1400	0.579	54.54	53.51	0.431	5.18	33.72	0.700	2.300	93.5
Tanzania	51,605,000	947,300	63.000	798		1300	0.528	57.00	52.69	0.417	5.16	40.25	0.704	1.860	80.1
Uganda	45,319,000	241,038	33.000	851	32000	1100	0.528	55.71		0.356	5.02	40.95	0.678	2.196	95.3
Burundi	9,879,000	27,830	2.976	301	23000	12000	0.423	50.37	39.09	0.22	2.15	55.33	0.616	2.520	98.2
Rwanda	11,887,000	26,338	9.052	762		5500	0.536	57.65	52.96	0.555	3.16	50.34	0.743	2.014	87.5
South Sudan	13,137,000	644,329	5.239	399	1352000	246000	0.413	32.35	24.44	0.202		44.49	0.479	2.207	112.2

Country															
Djibouti	921,804	23,200	2.187	2,084			0.495	51.30	48.05		2.77	76.73	0.604	2.434	85.1
Ethiopia	109,224,414	1,104,300	103.607	1,066	390000	1414000	0.47	54.15	45.41	0.344	3.44	32.82	0.651	2.434	94.2
Eritrea	6,081,196	117,600	8.116	1,295			0.434	44.17	31.61		2.37	83.5		2.504	96.4
DR Congo	101,780,263	2,345,409	46.117	501	5512000	168000	0.459	44.83	36.77	0.269	1.13	49.09	0.512	3.218	110.2
Comoros	850,688	1,861	1.179	1,349			0.538	46.98	52.04	0.142	3.15	29.77	0.632		81.7
Madagascar	26,262,313	587041	12.734	471			0.521	47.94	43.58	0.148	5.64	27.68	0.622	1.867	80.9
Mauritius	1,265,475	2,040	14.812	11,693		100	0.796	66.79	74.88	0.498	8.22	28	0.752	1.606	38.9
Seychelles	97,096	459	1.564	16,332			0.801					28.66			55.2
Somalia	15,893,219	637,657	5.218	348	2648000	600	0.351	42.73		0.559		55.45	0.564	3.574	112.3