

SEPTEMBER 2009



# Feinstein International Center

Strengthening the humanity and dignity of people in crisis through knowledge and practice



Annual Report: July 2008 to June 2009



**Tufts**  
UNIVERSITY

Gerald J. and Dorothy R.  
Friedman School of  
Nutrition Science and Policy





# Feinstein International Center

## **Vision**

**We have a vision of a future in which famine, widespread violations of human rights, extreme suffering, and crimes against humanity are held to be self-evidently unacceptable by states and their peoples. A vision in which nation states, and the international community, in all its manifestations, feel duty-bound to act – and do act – to prevent and alleviate such abuses.**





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**Feinstein International Center  
Tufts University  
200 Boston Ave., Suite 4800  
Medford, MA 02155  
USA  
tel: +1 617.627.3423  
fax: +1 617.627.3428  
fic.tufts.edu**

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*photo by Kate Sadler*



## INTRODUCTION

2008/09 has proved an extraordinarily productive year for the Center. We have 34 active research projects across five major programs, carrying out research in 12 countries and globally. We produced 20 major Center reports, all freely available on our website, as well as numerous journal articles, two books, and five book chapters.

Faculty at the Center taught 11 courses at the graduate level at Tufts. Sixteen students graduated with Masters in humanitarian-focused degrees driven by Center courses, and 90 students completed the Humanitarian Studies Initiative Certificate.

Staffing at the Center has remained relatively static with 21 faculty, eight support staff, and seven visiting fellows.

More impressive than the numbers has been the outreach from our research to change policy and programming in crisis-affected areas. To highlight just five of our research projects:

**In Darfur**, our research into the relationships between livelihoods, conflict, and the environment has influenced humanitarian programs, policies, and longer-term strategies of donors, UN agencies, INGOs, national bodies, and civil society. Our work has been warmly welcomed and endorsed by the previous and current UN Resident Coordinator in Sudan, by the Presidential National Council of Nomads, and by the UN Environment Programme. We have been invited by the World Bank and African Union to serve as expert facilitators at the Wealth Sharing Workshop process and for the Darfur Joint Assessment Mission.

**Working out of Addis Ababa**, our faculty driving research on pastoralism in Africa have worked through the Common Market for Eastern and Southern Africa (COMESA), an intergovernmental body dedicated to improving trade in the region. Feedback from the COMESA Secretariat indicates that the Center's support has substantially raised understanding of pastoralism and livestock at senior levels, and COMESA has started to disseminate policy briefs on pastoralism and livestock marketing to member states and other stakeholders.

**Our studies on targeting food aid in complex emergencies**, though only recently carried out, are already having an impact on targeting practices and on food aid management more generally in complex emergencies. Three members of the research team were invited by WFP (World Food Programme) Sudan in February 2009 for a stakeholder's consultation on strategic changes to the food assistance program in Darfur – one of the largest food assistance programs in the world. The team was also called on to make the keynote address at a June 2009 ECHO (European Commission's Humanitarian Aid Office) consultation on a new European Food Assistance policy.

**Building on our research into livelihoods and insecurity in Northeastern Uganda**, we have recently engaged in an awareness-building campaign in response to the Ugandan military's decision to stop providing protection to animal *kraals*, a move likely to lead to an increase in violent attacks and asset-stripping. As a result of our efforts, major donors and UN agencies have asked the military for more information and have highlighted the potential negative repercussions of these actions.

**Our study into the relationship between aid and security as manifested in military "hearts and minds"** campaigns is already generating considerable interest in policy-making circles. The Principal Investigator has been invited to give presentations and briefings at embassies and at the NATO/ISAF Headquarters in Kabul, and at the Pentagon, State Department, USAID (US Agency for International Development), Center for Strategic and International Studies, and the US Institute for Peace in Washington, DC.

The Center has not of course escaped the financial crisis of the last year. We have seen many of our traditional donors cut back substantially on their contributions, but at the same time have found new partners with AusAID and the Norwegian Foreign Ministry joining Humanity United, Irish Aid, Ford Foundation, and Swedish SIDA (Swedish International Development Cooperation Agency) as core long-term donors. In 2008/09, the Center's annual expenditure grew from \$4.9 million in 2007/8 to \$5.8 million in 2008/9.



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## LIVELIHOODS AND NUTRITION OF MARGINALIZED PEOPLE

### **Advancing Financial Resilience (Karen Jacobsen, Kim Wilson)**

#### ***Goal and Rationale***

The Financial Resilience program seeks to promote understanding of financial resilience – the ability of a household or community to prevent, sustain, or recover from financial shocks – in marginalized populations in high-risk/high-stress environments. In particular, we seek to explore how communications technology and externally-driven microfinance interventions influence household resilience.

The field of microfinance is bursting with pioneering products, services, and breakthrough technologies, yet the industry still lacks hard evidence about the impact of these innovations. The FiRe program is a direct response to this need. We seek to conduct a series of rigorous impact assessments and identify specific measures of service effectiveness. We believe that better understanding of interventions and the market will enable providers to better serve unbanked and under-banked populations.

### *Activities Undertaken*

With funding from OFDA (Office of Foreign Disaster Assistance (USAID)), we undertook a review of the literature on how different kinds of disasters affect the financial resilience of households and communities, and what they and outside actors do to sustain and restore that resilience. This project will identify a range of interventions that have succeeded in supporting financial resilience and will undertake impact evaluations of selected programs in the coming two years, as part of our wider Disaster Risk Reduction research program.

### **Linking Microfinance to Mobile Payphones: The Impact on Livelihoods (Karen Jacobsen, Daryl Collins, and Kim Wilson)**

#### *Goal and Rationale*

The rapid arrival of mobile phones in Sudan is having a profound effect on people's ability to communicate, to share information, and to facilitate financial transfers, essential to the household economies of the region. In collaboration with UNDP (United Nations Development Programme), the Central Bank of Sudan, and several INGOs, Tufts/FIC will investigate the impact of an ambitious new mobile payphone pilot program linked to microfinance, which will be rolled out by the mobile phone corporation, Zain, in several areas of Sudan. Tufts/FIC has designed a rigorous impact study employing random assignment of payphones and a control group that will allow us to determine the financial and livelihood impact of payphones on poor and displaced clients.

#### *Activities Undertaken*

Bureaucratic problems and difficulties associated with international humanitarian programs in Sudan during 2008/09 prohibited us from carrying out the planned research this past year. UNDP and Tufts/FIC still want to conduct the research, and we have embarked on a new project that explores how mobile telephony and microfinance interact in supporting the financial resilience of conflict-affected and displaced people in Darfur.

### **Livelihoods Change over Time (LCOT): Responses of Communities and Agencies to Chronic Crisis (Dan Maxwell, Jennifer Coates)**

#### *Goal and Rationale*

Disasters and the ensuing humanitarian response significantly change the livelihoods, institutions, and power relations of affected communities. Yet there are many gaps in the understanding of the impact of crisis on people's livelihoods and on the humanitarian programs designed to address the impacts of crisis. This study is designed to improve our knowledge of livelihoods in crisis, to enable humanitarian agencies to better address the protection of livelihoods, and to enable policy makers to have a better understanding of the institutional drivers of livelihoods change.

#### *Activities Undertaken*

Two scoping studies were undertaken during the 2008/09 academic year, one in Ethiopia (Maxwell) and one in Bangladesh (Coates). Although the year proved to be a difficult funding environment, the Ethiopia scoping study resulted in a proposal that has been funded to a modest level by World Vision, the in-country partner organization, and all the preparatory work for a two- to three-year study has been completed. Technical assistance was provided to help World Vision conduct a project baseline in April, and the research baseline will be conducted in July 2009. In addition to the basic questions of the study, the Ethiopia case will focus on the impact of disaster risk reduction (DRR) interventions in an area of the country prone to repeated crises. The Bangladesh proposal is being written. One further case study (Sudan) was in the process of being submitted to a donor when agencies were expelled from Sudan, including the proposed LCOT partner (Oxfam GB). That study is now on hold.

#### *Outputs and Impact*

Outputs from work conducted in 2008 include two scoping study reports and the proposal to fund work in Ethiopia.



### **Targeting in Complex Emergencies (Dan Maxwell, Helen Young, John Burns, Susanne Jaspars, and Jacqueline Frize)**

#### *Goal and Rationale*

This study addresses the question of community-based approaches to the targeting of humanitarian assistance in complex emergencies and whether such approaches improve participation and reduce targeting error. Although the literature suggests that community-based targeting works best in slow-onset emergencies with no conflict or displacement, participatory approaches to targeting assistance have been attempted in complex emergencies, either directly (through elected relief committees) or indirectly (often through unelected but representative leaders).

#### *Activities Undertaken*

This study examined community participation throughout the food aid program cycle to understand the role of recipient communities in the targeting of food assistance under the conflict conditions in four case studies in three countries: Sudan (Darfur and the South), Somalia, and Colombia. The Darfur case study was conducted in October 2008. A fifth case study in Afghanistan, scheduled for December, had to be canceled for security and logistical reasons. It was replaced with extensive key informant interviewing in several South Asian countries. The study resulted in a synthesis paper, and Program Guidance Notes will be completed in August 2009.

#### *Outputs and Impact*

One case study report was completed this year, as well as a synthesis paper and presentation to the World Conference on Humanitarian Studies. Program Guidance Notes will be finalized and submitted to WFP by August 2009, but this study has already had an impact on targeting practices, and food aid management more generally, in complex emergencies. Three members of the team were invited by WFP Sudan in February 2009 for a stakeholder's consultation on strategic changes to the food assistance program in Darfur – one of the largest food assistance programs in the world. Maxwell and Jaspars were also called on to make the keynote address at a June 2009 ECHO consultation on a new European Food Assistance policy.

### **Preventing Corruption in Humanitarian Assistance (Dan Maxwell, Peter Walker, Cheyanne Church, Paul Harvey, Sarah Bailey, Roslyn Hees, and Marie-Luise Ahlendorf)**

#### *Goal and Rationale*

Dan Maxwell and Peter Walker completed a two-year study, *Preventing Corruption in Humanitarian Assistance*, in 2008, following the release of the final report. Dan Maxwell and Center Director Peter Walker collaborated with other Tufts faculty and staff of two other institutions (Transparency International and the Overseas Development Institute) to conduct the research. The research mapped the ways in which corruption happens, how agencies presently guard against it, and what they might do to improve their systems. A major workshop preceded the final report. A tool box of approaches to reducing corruption risks in humanitarian operations is coming out shortly from Transparency International.

#### *Activities Undertaken*

A final report of the research has been issued and Tufts/FIC staff continue to support the drafting of the Transparency International corruption toolbox.

#### *Outputs and Impact*

The full report was published in July 2008 on the Center's website (<https://wikis.uit.tufts.edu/confluence/display/FIC/Preventing+Corruption+in+Humanitarian+Assistance>). In addition, an academic paper based on the research has been submitted for publication by the journal *Disasters*.

### **Longitudinal Study of Market- and Credit-Based Livelihood Interventions in Ethiopia (John Burns)**

#### *Goal and Rationale*

The objective of this research is to generate evidence on the impact of market-oriented microfinance projects in reducing chronic poverty and food insecurity in Ethiopia. Consistent with this objective, the overall goal of the research will be to generate evidence on the effectiveness of market-oriented microfinance interventions as part of a national food security and poverty reduction strategy that is being implemented under the government of Ethiopia's Productive

Safety Net Program (PSNP). The research therefore seeks to influence and assist humanitarian policy by informing food security programming at the national level. The research will involve a series of impact assessments of microfinance and value chain interventions being implemented by international and national NGOs, in three different socio-economic zones in the Ethiopian highlands. The impact assessments will use a combination of participatory and quantitative methods to assess changes in physical and financial assets against a pre-project asset baseline, these assets being proxy indicators for PSNP graduation. A baseline and three impact assessments will be carried out in each of the research areas, for a total of nine impact assessments. The findings from these assessments will be shared with the government of Ethiopia and other stakeholders as they become available.

### *Activities Undertaken*

Since the research started in early 2009, the three research areas have been selected, and scoping visits to the three areas have been carried out. The objective of these visits was to meet with the communities, implementing partners, and local officials to collect background information and to sensitize key stakeholders to the goals and objectives of the research. The visits were also used to collect indicators on assets and other information that will feed into the design of the baseline and first set of impact assessments. These are planned for the last quarter of 2009. Meetings have also been held with federal-level government stakeholders, with the objective of engaging them in the research process.

### *Outputs and Impact*

Outputs from the three scoping visits carried out to date will inform the overall design of the longitudinal study. More specifically, the indicators collected during these visits will be used to develop assessment tools for the baseline and first impact assessment.

## **Refugees and Internally Displaced Persons in Urban Areas (Karen Jacobsen)**

### *Goal and Rationale*

We continue our focus on urban migration and forced displacement. The first phase of our urban internally displaced persons (IDP) profiling study conducted surveys in three cities to develop data-gathering tools and sets of data that allowed us to make population estimates of urban IDPs and compare their experiences with their non-IDP neighbors. In Phase II, we want to work closely with aid agencies and donors to conduct a fourth study in a new city, probably Kabul, and to develop practical program and policy initiatives based on all the data from our four surveys.

We have also begun a study in Cairo, partnering with the American University of Cairo's Center for Migration and Refugee Studies, which examines how Sudanese refugees pursue livelihoods and the role of remittances.

### *Activities Undertaken*

With funding from UNHCR (United Nations High Commissioner for Refugees), we developed a training program for aid agencies (both UN and NGOs) that will enable them to use the tools we developed in Phase I to conduct surveys in urban environments. These surveys will enable agencies both to estimate the number of IDPs and to compare the situations of IDPs and non-IDPs.

In addition to the Cairo study, we have conducted initial explorations into conducting studies in different urban environments, including in Afghanistan, Georgia, and Nepal. Conducting such studies requires significant preliminary exploration before committing to full-scale surveys. Our initial discussions with potential agency partners are in process.

## **Building Capacity Among Refugee Mutual Aid Associations in Maine (Lacey Gale)**

### *Goal And Rationale*

The primary goal of this project is to assist Maine's refugee communities to integrate into the state's mainstream community through strengthening their community organizations without compromising their core traditions, customs, and values. Approximately 30 mutual aid associations (MAAs) – of which some are fully incorporated 501c3 organizations and others are loosely-

organized groups – currently serve Maine’s refugee population. Many of these organizations are under-resourced and under-developed, hindering the delivery of services to communities they seek to assist. This project uses the findings from intensive interviews with refugee organizations to develop and deliver a series of trainings designed specifically to enhance the capacity of the leaders of the organizations that serve Maine’s refugee communities. The trainings will: build leadership and organizational capacity within the refugee communities; connect refugee participants to statewide funding, mentoring, and advocacy resources; and build peer networks.

### *Activities Undertaken*

During 2008/09, we focused on: 1) establishing a baseline of information concerning the current activities and capacity of refugee mutual aid associations (MAAs) in Maine through interviews and the creation of organizational profiles; 2) creating case studies of best practices among MAAs nationwide; 3) developing a curriculum for the Learning Institute (LI), a series of four, two-day comprehensive training programs for refugee community organizations; and 4) developing evaluation instruments to assess on an ongoing basis how well the series of LI meets the needs of participants. This baseline information was used by project partners the Maine Association for Nonprofits (MANP) and the State of Maine Office of Multicultural Affairs (MOMA) to create and deliver the first LIs and the subsequent Train the Trainer (TTT) workshops for LI graduates. Tufts/FIC evaluated the trainings using the following instruments: a formal written questionnaire completed by participants at the end of each LI and TTT weekend training; phone debriefs with participants in between trainings; and an extensive report, which is shared with the training team in order to improve the subsequent training. The first Learning Institute series, which concluded in August 2008, included 30 participants from nine MAAs representing the Somali, Somali Bantu, Azerbaijani, Congolese, Rwandese, and Sudanese (Azande, Acholi, and Agola Kapuk) communities. We then held two, two-day Train the Trainer workshops for 12 graduates of the first LI to help participants deepen their understanding of the LI curriculum and practice their skills.

### *Outputs and Impact*

- Eighteen graduates of the first Learning Institute (LI) trainings received certificates of completion in November 2008.
- Twelve LI graduates successfully completed the Train the Trainers workshop held in January 2009 to become Peer Trainers.
- Six Peer Trainers led sessions in the second LI.
- Twenty-five participants will complete the second LI in August 2009.
- Five MAAs in Lewiston, Maine and six MAAs in Portland, Maine are taking part in a MAA coalition organized and directed by graduates of the LIs and TTT.
- In September 2009, the project team will be reviewing the impact of the two LIs and the TTT trainings on individual and organizational capacity through follow-up interviews and debriefs.

### **Interventions Research to Reintegrate Young Women Trafficked for Sexual Exploitation to Boston and London into The Formal Economy (Lynellyn D. Long, Alicia Foley)**

#### *Goal and Rationale*

This research formulates and assesses an intervention to provide entrepreneurial training and skills through formal business school programs and professional mentoring to young women trafficked for sexual exploitation into the Boston and London economies. The research will assess the cost effectiveness and impact of the intervention for reintegrating women into the formal economy and for expanding access to educational opportunities. In addition, the intervention will be assessed for its impact on engaging London and Boston’s business communities and schools in terms of financial, technical, and other in-kind support to improve awareness of human rights trafficking violations and to sustain these interventions. Finally, the research will identify effective remedies and redress for human rights violations related to trafficking and sexual violence and abuse.



### *Activities Undertaken*

With limited financial assistance from the Boston Initiative to Advance Human Rights (BITAHR) and from Londonations (a foundation connected to London's financial "city" community) as well as in-kind support from Northeastern and Imperial Business Schools, the project has delivered entrepreneurial training for seven trafficked women in Boston and for 21 in London. Some 30 potential mentors have also been trained in London and Boston. The financial support received to date has paid only for direct project interventions. Thus, Tufts/FIC core funding has supported the Boston mentor training, some of the development of the London and Boston mentor training materials, and the interventions research.

The London program is in its second year; thus, the demand on and applications to the program were considerably higher. In addition, the women have all been matched with professional/business mentors and almost all of the mentors and their mentees have held at least one meeting. In London, all of the mentors come from the business community, whereas in Boston, the mentors come from academics, the nonprofit sector, and business. The mentors and their mentees in Boston are closer to or still trying to exit their trafficking situations. Thus, they are also being backed up and supported by Tufts Medical School's Psychiatric and Trauma Support Services.

The Tufts and London organizers have produced a mentor training manual and, with Imperial Business School, have refined an entrepreneurial curriculum. In addition to the business mentors, the organizers in Boston engaged Northeastern MBA students in helping the women develop their projects and identify their professional plans. The women also had a chance to visit a Massachusetts business incubator center and to be trained in basic word processing. The London program organized a panel of four of the city's foremost women entrepreneurs, whose stories were very inspiring to the trafficked women (as some of the women entrepreneurs' own life stories also included experiences of abuse, rape, and other forms of violence). The London program, in collaboration with the POPPY/Eaves Housing and Women-to-Work, ) British charities) has also obtained 21 laptops for the women and is organizing software training for the women following successful completion of their course in August.

### *Outputs and Impact*

Outputs to date include: (1) six out of seven women in Boston successfully completed the Northeastern entrepreneurial course; (2) 21 out of 21 women have successfully completed the first phase of the Imperial Entrepreneurial Course; (3) 27 out of 30 men and women business mentors trained for the program have been matched with their mentees; and (4) in-kind donations for the program have been obtained from Saatchi and Saatchi, a human resource leadership training firm, a securities firm, Tufts Medical School/Hospital, the UK Professional Association for Mentors and Coaches, and the two business schools; and (5) a mentor training manual has been produced that has been reviewed and cited by the UK Professional Association for Mentors and Coaches.

Some preliminary findings to date include: (1) food, shelter, and some counseling services should be in place before beginning any kind of entrepreneurial training or mentoring; (2) social support and basic services specifically tailored to address the trauma and violence trafficked women have suffered, as provided in London, rather than placing them in homeless shelters and leaving them to fend largely for themselves, as in Boston, are critical; (3) collaboration rather than competition needs to be encouraged between different service providers to organize this kind of program and recruit appropriately; (4) clear institutional and role boundaries need to be established at the start; (5) entrepreneurial training goes beyond encouraging women to initiate small businesses and builds on their survival and marketing skills and experiences; and (6) women need to be beyond the reach of their traffickers and fully protected in order to avoid being re-trafficked and/or to exit prostitution as a primary means of livelihood. In general, an entrepreneurial model and business mentoring model in the context of a well-organized social support system is well-received and contributes to the women's professional advancement.

**Community-Based Management of Severe Acute Malnutrition in Bangladesh: Reducing Vulnerability to Malnutrition in Poor Cyclone-Prone Communities**  
(Kate Sadler)

*Goal and Rationale*

Malnutrition is a major public health problem throughout the developing world and is an underlying factor in over 50% of the 10-11 million children under five years of age who die each year of preventable causes. In many areas where chronically high levels of acute malnutrition have been identified, there is a dearth of feasible strategies for identifying the condition and for delivering treatment within ongoing child survival programming. Improvements in care at health facilities are necessary, but in the poorest areas of the world, primary health care facilities are often a long way from people's homes and the opportunity and financial costs of seeking care for these families are high. This means that children from the poorest families are significantly less likely to be brought to health facilities and may receive lower-quality care once they arrive.

This study aims to test the effectiveness of adding the diagnosis and treatment of severe acute malnutrition (SAM) to the integrated management of the childhood illness package delivered by community health volunteers (CHVs) outside health facilities. The findings will be used to inform policy and practice for the diagnosis and treatment of SAM both in Bangladesh and across the developing world.

*Activities Undertaken*

Funding for basic input over 18 months from the PI was secured from Save the Children USA in August 2008. The search for additional funding to cover important components of the project continues. The PI made two trips to Bangladesh during this year. Unfortunately, the Bangladesh-based Co-PI, trained by the PI during the first trip, left the study soon after she was trained. A replacement was found in March 2009, but this slowed study progress considerably. Despite this setback, progress has been made. Considerable effort during both trips has gone into sensitizing the Bangladeshi health and nutrition community about the possible advantages of incorporating community-based management of SAM into ongoing services. As a result, key stakeholders in

Bangladesh now value the outputs of this study (see below). In addition, study implementation tools have been developed and were piloted during the second visit by the PI. During this visit, the new Co-PI in Bangladesh was trained and, together with the PI, he led the training of study supervisors and the first group of CHVs. Training and rollout of activities continues and is expected to be completed in August 2009. At the time of writing (June 2009), 47 children with SAM had been admitted onto the study. Data collection is expected to be complete by June 2010.

A PhD student is now fully committed to this project with a strong committee to support specific outputs, particularly a cost-effectiveness component, of this project. She made a first scoping visit to the study area in April 2009 and is expected to spend five months there from December 2009 to run surveys and collect data.

*Outputs and Impact*

Outputs from work in 2008/09 include the completion and approval of study implementation and data collection tools, the training of the national Co-PI and the study implementing team, and the formation of a co-investigator committee, including: Prof. Fatima Parveen Chowdhury, Director of the Institute of Public Health and Nutrition in Bangladesh; Prof. Syed Zahid Hossain, Head of Pediatrics at Sher-E Bangla Medical College Hospital in Barisal; and Dr. Nazneen Anwar, Deputy Program Manager for the Director General of Health Services, Bangladesh. Prof. Fatima Parveen Chowdhury has said, "*We want you to finish...we are waiting for the results of this study to inform the Bangladesh National Guideline [for the treatment of SAM].*"

## Technical Review of Mortality and Nutrition Indicators Used for Food Security Classification (Helen Young)

### *Goal and Rationale*

Malnutrition and mortality indicators have been used to determine the severity of humanitarian crises for more than 40 years. Since 2004, they have been included in the Integrated Food Security Phase Classification of WFP and FAO as “Key Reference Outcome indicators.” Reference levels for each indicator (thresholds) have been

attributed to each of the five phases of the classification (from generally food-secure to famine/humanitarian catastrophe).

This research and technical consultation is part of a comprehensive technical review of indicators by the IPC (Integrated Food Security Phase Classification) Technical Working Group. The purpose of the review is to ensure that these indicators, in combination with others, help in making a single statement on the food security situation (situation analysis), by reflecting the progressive changes in the food security situation.





### *Activities Undertaken*

A comprehensive draft technical report has been prepared in advance of a Technical Consultation and Review of IPC Nutrition and Mortality Indicators held in Rome (July 2009), organized by the Standing Committee on Nutrition (SCN) Task Force on Assessment, Monitoring and Evaluation (TF-AME). The consultation on reference levels was the first of its kind, and included representatives from the key UN and technical agencies, including other international systems using these indicators (WHO Global Nutrition Database, the Health and Nutrition Tracking Service of WHO, the report system on Nutrition in Crisis Situations, focal points of the Sphere Standards, and Centers for Disease Control).

### *Outputs and Impact*

The draft report produced 15 practical recommendations on modifications to indicators and guidance for their application. This was reviewed, modified, and further developed during the Technical Consultation and will generate revisions to the IPC Reference Framework (showing indicators and reference levels for phases 1 to 5). Accompanying guidance will be included in the forthcoming IPC Updated User Guide, and inform the roll-out of the IPC globally. The review and revised key reference outcomes are also likely to influence wider classification systems and international standards of classification and contribute to greater evidence based harmonization.

## **Food Aid Quality Review: Products, Processes, and Price (Kate Sadler)**

### *Goal and Rationale*

Advances in nutrition and biological sciences must be considered alongside developments in food technology to make available cost-effective commodities tailored to meet the needs of people living in developing countries. After many years of work on food aid quality by highly regarded organizations, including Sharing United States Technology to Aid in the Improvement of Nutrition (SUSTAIN), the Food Aid Management Group (now defunct), the World Food Programme (WFP) and others, there remain large areas of unresolved debate over food aid's nutrient specifications and formulations. The objective of this project is to develop a consensus surrounding these issues among a range of stakeholder groups,

among which are key officials at the United States Agency for International Development (USAID) and the United States Department of Agriculture (USDA), who can ensure the implementation of recommendations emerging from the project recommendations.

Kate Sadler will work on one area of this project which aims to review the role of nutrition support in the progress of HIV/AIDS, and in USAID programming related to HIV-affected populations. The paper will address the question of whether specially formulated foods or product mixes are needed, the optimum duration of nutrition support for people living with HIV (PLHIV), and approaches to transitioning beneficiaries from Title II nutrition support. Other project areas will examine the current situation with respect to fortified blended foods (FBFs) used in Title II programming and the role of FBFs in specific programmatic contexts.

### *Activities Undertaken*

Kate Sadler is one member of a large team of experts led by Patrick Webb, Academic Dean of the Friedman School of Nutrition, working on this project. Funding was secured for the project from USAID in April 2009. Since this date, the team of technical experts has been established and a first team meeting took place in June 2009. This meeting established a timeline for the consultative process that will take place over the next year and for the completion of four working papers to be presented to USAID by April 2010.

### *Outputs And Impact*

No outputs were planned for 2008/09.

## **Promoting Evidence-Based Livelihood Programming in Karamoja, Uganda** **(Elizabeth Stites)**

### *Goal and Rationale*

Insecurity in Karamoja since the 1970s has limited the collection of data on key livelihood and human security issues. In particular, there is a dearth of quality data regarding the mobile cattle camps, populations living in contested and insecure areas, and gender and generational differences. Not surprisingly, major gaps exist in knowledge regarding livelihood systems, food security, mobility strategies, decision-making, and gender roles at the household and community level.

Save the Children in Uganda (SCiUG) has been working in the Karamoja region since 1996, making it one of the international organizations with the greatest extent of institutional knowledge on the region. SCiUG is currently seeking to expand and diversify their programs in Karamoja. The Tufts/FIC team will work in collaboration with SCiUG on a research project designed to inform programming, policy making, and advocacy through the collection and dissemination of qualitative data on key livelihood issues. We will also seek to understand how SCiUG livelihood and food security interventions influence local coping mechanisms in response to the drought cycle in Karamoja. The findings from this work will feed into SCiUG programming, but will also be shared with local and national authorities and other agencies working in the region. This research is particularly timely, as a growing number of international agencies are turning their attention towards Karamoja, but few have in-depth experience or understanding of the local conflict dynamics or livelihood constraints. We aim to help to inform and improve the programming of these organizations as they expand into the complex region of Karamoja.

### *Activities Undertaken*

The Tufts/FIC team worked with SCiUG to design and implement a research study on the impacts of the ongoing disarmament campaign on livelihood strategies and outcomes. Focusing on male and female youth, we collected data in April 2009 in the districts of Moroto and Kotido. We presented on the initial findings in Kampala and Moroto in May 2009 and shared the draft report with SCiUG and key stakeholders for comment in June. The final report will be released in mid-July.

### *Outputs and Impact*

Our study illustrates the profound impact of the government-led disarmament campaign on the lives and livelihoods of men, women, and children in Karamoja. Decision-making power and management of animals have shifted from the communities to the national military, with negative consequences for animal health, food security, and strategies to manage vulnerability and smooth consumption. Young men have lost many of their traditional roles, including animal husbandry and the (armed) protection of their communities and assets. This has occurred at the same time that insecurity has increased, with a growing number of attacks on settlements and on women and children collecting natural resources. Abuses by the military as part of forced disarmament activities continue. However, even with profoundly negative personal experiences of disarmament, communities overwhelmingly support uniform and complete disarmament as the best way to bring sustainable peace to a region long plagued by violence. This local perception indicates an important opportunity for intervention on the part of national and international actors to change the way disarmament is conducted.

We are working with SCiUG on direct programmatic and policy recommendations arising from this collaborative research. We briefed the larger international community in Kampala in May and will be sharing our complete report in an effort to have as wide an impact as possible. We continue to share our more sensitive findings regarding human rights abuses with those donors and national and international organizations best positioned to address these concerns.

We will be undertaking a second research project with SCiUG late in 2009 on a topic yet to be determined.

## Livelihoods-Based Programming and Impact Assessment in Pastoral Areas of the Horn of Africa (Andy Catley, Berhanu Admassu, and Yacob Aklilu)

### Goal and Rationale

Although the language of livelihoods is increasingly present in the strategies and proposals of aid agencies, the actual application of these approaches varies considerably at the community level.

Through coordination and technical support to multi-actor programs in pastoral regions, our goal is to improve the quality of aid programming in pastoral areas, and to institutionalize impact assessment as a norm within donors and NGOs.

### Activities Undertaken

Activities under this project focused on technical coordination of NGOs under two USAID-funded programs, the *Pastoralist Livelihoods Initiative* (PLI) in Ethiopia and the regional *Pastoral Areas Coordination, Analysis and Policy Support* (PACAPS) program working at field level in Ethiopia, Kenya, and Somalia.

- In PLI, we worked with the Afar, Oromiya, and Somali regional governments to facilitate quarterly regional coordination meetings with government and NGO participants, at which real-time information and experiences of pastoralist livelihoods programming were shared and advice was offered. The main NGOs involved were Save the Children US, Save the Children UK, CARE, Mercy Corps, and IRC (International Rescue Committee). At the federal level in the PLI program, we provide the secretariat support to the PLI Steering Committee which is led by the federal Ministry of Agriculture and Rural Development (MoARD) and with participants from the Ministry of Federal Affairs, Ministry of Finance and Economic Development, regional governments, USAID, and the World Bank. The other main activity during 2008/09 was the final compilation and editing of the MoARD *National Guidelines for Livestock Relief Interventions in Pastoralist Areas of Ethiopia*, launched by the MoARD in November 2008 by the Minister of MoARD, the US Ambassador, and two state Ministers. These guidelines arose through a national Livestock Policy Forum convened by the MoARD and backstopped by the Center, involving more than 60 representatives from

government, NGOs, academic and research institutes, the private sector, professional associations, and donors. Evidence was collected under the Forum using participatory impact assessments.

- In PACAPS, we provide technical support to NGOs via multi-agency working groups. This support focuses on livestock marketing, natural resource management, and veterinary services.

In addition to the two formal programs outlined above, through our office in Addis Ababa we provide ad hoc research and technical support to NGOs working in pastoralist areas. For example, we worked closely with Save the Children US in Ethiopia on the impact assessment of their human health program and the resulting *Health Matters* initiative (see the project *Cross-Sectoral Learning for Service Provision in the Somali Region of Ethiopia*). We also worked with CARE to help them design an impact assessment of their savings and credit programs in pastoral areas.

### Outputs and impact

The main output during 2008/09 was the publication of the Ethiopia government's *National Guidelines for Livestock Relief Interventions in Pastoralist Areas of Ethiopia*, launched by the MoARD in November 2008. The guidelines focus on drought cycle management and livelihoods-based programming, and emphasize approaches such as community participation and working with private service providers and traders to provide emergency assistance.



## Livestock Emergency Guidelines and Standards (Andy Catley)

### *Goal and Rationale*

The Livestock Emergency Guidelines and Standards (LEGS) are a set of international standards and guidelines for the assessment, design, implementation, and evaluation of livestock interventions to assist people affected by humanitarian crises. The overall goal of LEGS is to improve the quality of livestock-related programming in humanitarian crises and to have an impact on the livelihoods of people affected by such crises.

The LEGS process responds to the recognition that livestock are a crucial livelihoods asset for people throughout the world, and livestock interventions are often a feature of relief responses. Yet until recently, there were no widely-available guidelines to assist donors, program managers, and technical experts in the design and implementation of livestock interventions in disasters. Up to mid-2009, the LEGS process was funded mainly by OFDA (Office of Foreign Disaster Assistance), with additional funding from Oxfam GB and FAO/DFID (Food and Agriculture Organization/Department for International Development). The LEGS Steering Group comprised the Center, FAO, ICRC (International Committee of the Red Cross), AU (African Union), and VSF Europa; the main implementing partner was Vetwork UK, who provided the LEGS Coordinator.

### *Activities Undertaken*

- The LEGS Steering Group met to review the final manuscript of LEGS, which was submitted to the publisher in October 2008.
- The LEGS Steering Group developed a concept note for post-publication activities such as regional trainings and translation of LEGS. Members of the LEGS Steering Group met DFID in August 2008 and ECHO in November 2008, primarily to discuss funding options for post-publication activities.

Various awareness-raising events and publications, such as:

- Presentations on LEGS were made at the International Disaster and Risk Conference in Davos in August 2008 and the World Conference on Animal Production in Cape Town in November 2008.

- A half-day meeting on LEGS was held in Nairobi in late September 2008 for donors and NGOs.
- The LEGS Coordinator and Tufts Research Director finalized a paper on LEGS for publication by the Humanitarian Practice Group at ODI (Overseas Development Institute) in early 2009.
- An official launch of LEGS was held in Addis Ababa, Ethiopia in 2009, with awareness-raising seminars also held at OFDA in Washington DC and the Overseas Development Institute in London.

### *Outputs and Impact*

- The hard copy English-version of LEGS was published in early 2009 and a free download of the book was made available at the updated LEGS website <http://www.livestock-emergency.net>.
- DFID and ECHO agreed to fund much of the LEGS post-publication project (2009 to 2011), with funding to be channeled via the Center and FAO. Contracts were being finalized in July 2009.



## DARFUR: LIVELIHOODS, VULNERABILITY, AND CHOICE

**Markets, Trade, and Livelihoods: Darfur, Sudan (Helen Young, Margie Buchanan-Smith) and Pastoral Perspectives: Vulnerability, Power, and Choice (Helen Young)**

### *Goal and Rationale*

Tufts/FIC has been researching livelihoods and conflict in Darfur together with a range of local, national, and international partners since 2004. This work has confirmed the centrality and importance of livelihoods in relation to the Darfur conflict. Livelihoods are integral to the causes of conflict in Darfur and the devastating impact it has had on loss of livelihoods, and livelihood issues are central to any lasting solutions to the conflict.

The integration of conflict analysis as part of livelihoods analysis ensures that protection is explicitly incorporated into the process of analysis, response planning, and monitoring. The broader goal of the Tufts/FIC Darfur program on livelihoods and conflict is to reduce the vulnerability of livelihoods in conflict settings by widening options and enabling more informed choice. A large part of widening options is concerned with re-establishing relationships, supporting networks, and strengthening local capacities and local governance. As part of this approach, the Tufts/FIC team has actively promoted partnerships, supported local networks of professionals and local NGOs, and supported participatory ways of working by engaging with all groups. Tufts/FIC

has worked with UNRCO/UNOCHA (UN Resident Coordinator's Office/UN Office for the Coordination of Humanitarian Affairs), UNDP, UNEP (UN Environment Programme), WFP, Oxfam GB, Oxfam US, MercyCorps, Kebkabiya Charitable Society, Kutum Agriculture Environment and Development Society, the Council for the Development of Nomads (GoS (Government of Sudan)), Ahfad University for Women, and the Darfur Resource Network (a civil society network). We have engaged with numerous other stakeholders through workshops and meetings in Darfur, Khartoum, and internationally.

### *Activities Undertaken*

In 2009, a number of research activities reached completion, and the Darfur program published four major research reports, including:

1. *Adaptation and Devastation: The Impact of the Conflict on Trade and Markets in Darfur*, by Buchanan-Smith and Fadule.

2. *Livelihoods, Power, and Choice: The Vulnerability of the Northern Rizaygat, Darfur*, by Young, Osman, et al. This exploratory study illustrates the particular vulnerability of those pastoralists who are associated with the pro-government *janjaweed* militia.

3. *Livelihoods, Migration, and Remittance Flows: Two Case-Studies among IDPs, Darfur Region*, by Young, Jacobsen, et al. This research is based on household surveys of IDPs and illustrates the increase in remittance-sending since 2003, and the adaptations made.

4. *Targeting in Complex Emergencies: A Case-study from Darfur*, by Young and Maxwell. This was part of a wider multi-country study of targeting practices, focusing on community-based targeting.

The reports and results have been disseminated widely, including debriefings in Khartoum to government, donors, the UN, and civil society. UNEP Sudan, who financially supported the pastoralist study, organized a half-day workshop for donors and UN representatives on the pastoralism and markets work. Similarly, WFP invited Tufts/FIC to participate in an expert panel for a three-day program-strategy review in Khartoum with senior program staff from the region and Khartoum. Earlier this year, Helen Young was invited to Washington to debrief USAID/OFDA on the Darfur livelihoods program in the context of ongoing insecurity and conflict.

### *Outputs and Impact*

This work has influenced humanitarian programs, policies, and longer-term strategies of donors, UN agencies, INGOs, national bodies, and civil society. Our work has been warmly welcomed and endorsed by the previous and current DSRSG/RC/HC (Deputy Special Representative of the Secretary General/Resident Coordinator/Humanitarian Coordinator), by the Presidential Council of Nomads, and by the UN Environment Programme. We have been invited by the World Bank and African Union to serve as expert facilitators at the Wealth Sharing Workshop and for the Darfur Joint Assessment Mission. We have subsequently met frequently with members of the Joint Mediation Support Team, UNAMID (UN - African Union Mission in Darfur), and the Darfur-Darfur Dialogue and Consultation process. Recently Tufts/FIC was invited to Addis Ababa to present their work to representatives of the African Union, UNAMID, IGADD (Intergovernmental Authority on Drought and Development), the DDDC (Darfur-Darfur Dialogue and Consultation), and the HMST at a conference on Environment and Livelihoods organized by University of Peace.

Livelihoods approaches are now commonplace throughout Darfur, and the importance and role of livelihoods in both the causes of the conflict and also in terms of their importance in the future recovery, peace, and stability of the region is widely acknowledged. Tufts/FIC has put livelihoods on the map in Darfur and raised the bar on standards of field-based research in complex environments. While facing the enormous challenges of insecurity, unpredictable access, and geographically-challenging conditions, Tufts/FIC has established lasting relationships, trust, and confidence in this work, and wider recognition that all positive change must be based on enhanced knowledge and better understanding of all stakeholders. In 2008, Tufts/FIC (with support from Humanity United) sponsored six Sudanese professionals working in Darfur to attend the Tufts/FIC two-week course "Livelihoods Under Stress" in Addis Ababa.

For the future, Tufts/FIC intends to expand its pastoralist and markets research as part of a broader livelihoods and environment program. This will include establishing a community-based market monitoring system and developing within civil society and local institutions a core pastoralist



multi-stakeholder forum, with a view to developing a comprehensive advocacy strategy on pastoralism. While directed at the Darfur context, the lessons learned are almost certainly widely applicable to the increasing number of contexts where a governance gap and livelihood “maladaptations” are generating conflict and destroying livelihoods.

Abdalmonim Osman and Helen Young are also intending to take forward field-based research into conflict, livelihoods, and food security among different livelihood groups in the Kebkabiya area, in partnership with local NGOs.

**Remittances to Conflict Zones: Phase 2: Transition Countries: The Sudanese Diaspora In Cairo (Karen Jacobsen, Helen Young)**

*Goal and Rationale*

Refugees and migrants in transit countries like Egypt are linked into wider diaspora networks that help support them, and in turn enable the migrants to support their families and communities back home. In this study, we will explore the significance of these transnational linkages, particularly remittances, for Sudanese refugees and migrants in Cairo, to understand whether and how remittances impact their urban livelihoods and influence migrants’ political involvement in their home regions.

We selected Cairo as a case study of a transition, “near” diaspora country and a good example of a transit country representing South-South remittance and migration flows. Cairo is a primary destination of Sudanese migrants and a key refugee host country.

*Activities Undertaken*

In preparation for the survey in November 2009, Karen Jacobsen visited Cairo in June, and worked with AUC (African Union Commission) to assemble and train the field team and begin the mapping of the city. We held meetings to plan and test the qualitative mapping approach and our sampling strategy. We conducted several focus group discussions with Sudanese refugees and met with various stakeholders, including UNHCR, to apprise them of our study and obtain their cooperation. During the site visit, we discussed, tested, and revised the survey questionnaire and made a provisional translation (pending final field tests). Jacobsen also conducted a Training of Trainers for the survey.

During the current phase of the project (July-October 2009), we are completing the mapping exercise of the Sudanese refugee distribution in Cairo, including the identification of sampling sites. We expect the finalized map to be produced by the end of September.

We are also identifying and meeting with community gatekeepers and interlocutors who will help us implement the survey. This phase will see the finalization of the questionnaire, including testing, translation, and then back-translation. It should be ready for pilot by October.

This phase of the study includes the literature review, including a report on the institutional context, both of remittances in Cairo and of refugees.



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photo by Andy Catley

## UNDERSTANDING THE FUTURE OF PASTORALISM IN AFRICA

### **Regional Policy Support on Food Security in Pastoralist Areas (Andy Catley, Dawit Abebe, Yacob Aklilu, and Berhanu Admassu)**

#### *Goal and Rationale*

The livelihoods of many pastoral communities in Africa are cross-border in nature. Pastoralists are often geographically located at the margins of countries and their livelihood depends on the movement of livestock to and from seasonal grazing areas, which in turn may require movement across national boundaries. Similarly, livestock trade in pastoralist areas often has important cross-border elements. In times of drought or conflict, pastoralists may also move in search of grazing or to avoid violence. Scientific research shows that the mobility of pastoralists and their opportunistic use of fragile dryland environments partly determine the efficiency of their livestock production systems, yet this movement is often regarded by government as irrational or illegal. Similarly, these cross-border pastoral systems are

currently hindered by livestock marketing policies and regulations which view cross-border livestock trade as illegal. Such trade is crucial if pastoralists are to convert livestock into cash. In some areas, income from seasonal labor is based on travel to neighboring countries. The cross-border nature of pastoralism indicates that regional approaches to both development policy and humanitarian assistance are needed. The goal of this project is to improve the food security of pastoral communities by working through regional organizations and facilitating the development of pro-pastoralist regional food security policies and programming.

#### *Activities Undertaken*

The following activities were supported by the Center through a USAID-funded program, *Pastoral Areas Coordination, Analysis and Policy Support (PACAPS)* which works with the Common Market for Eastern and Southern Africa (COMESA).



- Through the secondment of a senior policy adviser from the Center into the COMESA Secretariat in Lusaka, we provided day-to-day mentoring and policy support to COMESA, particularly under the Comprehensive Africa Agriculture Development Programme (CAADP). This support also included: the design and facilitation of the COMESA Regional Livestock and Pastoralism Forum meetings, involving various government, NGO, and private sector stakeholders in the region; and the design of policy briefs and technical papers published by COMESA.
- Three training courses on pastoralist livelihoods and food security in the COMESA region were designed and run by the Center for COMESA technical staff and policy makers from the AU, IGAD (InterGovernmental Authority on Development), Djibouti, Kenya, and Ethiopia. The courses drew on support from our partners such as the International Institute for Environment and Development.
- The first course was held in Garissa, Kenya in September 2008 and focused on domestic, regional, and international livestock trade issues, with visits to the well-known Garissa livestock market which receives animals from southern Somalia. Cross-border livestock trade and options for COMESA to support this trade were emphasized.
- The second course was held in Adama and Awash, Ethiopia in November 2008 and covered pastoralist mobility and natural resource management, conflict, land tenure, and examples of policy and legislation to enable cross-border pastoral movements. The course included discussions with pastoralist elders in Ethiopia and field visits to Kereyou and Afar pastoralist areas.
- The third course was held in Nairobi, Kenya in June 2009 and covered humanitarian policy and programming in pastoralist areas, with a focus on livelihoods-based responses to drought and drought cycle management. This course ended with the development of a work plan for finalizing the COMESA Policy on Food Security in Pastoralist Areas, including steps in ensure endorsement by the COMESA Council of Ministers.

We also worked with a second African regional program during the year, the IGAD-FAO Livestock Policy Initiative. With funding from this program, we began research on the impact of the livestock export trade on poorer pastoralists in the Horn of Africa region, including three case studies

from Ethiopia, Kenya, and Sudan. Given donor and government interest in programs to develop the export trade, the research examines where the impacts occur within pastoralist communities by wealth group, and whether aid investments in these areas are really “pro-poor.” The field research was completed in June 2009 and the final report is due for completion in August 2009.

### *Outputs and Impact*

Feedback from the COMESA Secretariat and CAADP staff indicates that the Center’s support has substantially raised understanding of pastoralism and livestock at senior levels, and COMESA has started to disseminate policy briefs on pastoralism and livestock marketing to member states and other stakeholders. The role of COMESA as primarily a trade organization which promotes both international and regional trade and the free movement of goods, services, and people fits well with pastoralist livelihoods. The final outcome of the process will be the COMESA Policy and Food Security in Pastoralist Areas, which is due to be drafted in August 2009, with a final version endorsed by the COMESA Council in 2010.

The report of the research with IGAD-FAO is not due until next year. Results will be presented at briefings with regional and national policy makers, to be arranged by IGAD-FAO.

### **Towards Pro-Pastoralist Policies in Ethiopia (Berhanu Admassu, Yacob Aklilu, and Andy Catley)**

#### *Goal and Rationale*

The policy environment for pastoralism in Ethiopia exemplifies the misunderstandings about pastoralism found in many other countries and the incoherence of policies between line ministries. The mandate of the Ministry of Federal Affairs (MoFA) includes federal-level support to regional governments which are perceived to be weak, including the pastoral and agro-pastoral regions of Afar, Somali, Borana, South Omo, and Gambella. The MoFA role includes the promotion of good governance and pastoral development policies. Although its policies include sedenterization of pastoral communities, there is no evidence which attributes improved livelihoods or reduced vulnerability to settlement. Regarding the sensitive issue of land tenure in pastoral areas, the 1997 proclamation of the Federal Rural Land

Administration states an intention to demarcate land in accordance with the particular conditions of a locality and through communal participation. However, recent appropriation of communal pastoral grazing land for large-scale irrigation schemes seems to lack communal participation, and was at odds with the efforts of the Ministry of Agriculture and Rural Development (MoARD) to promote livestock production and trade. Related to land tenure is land use, and here again government policies (where they exist) contradict efforts by pastoralists to protect their livelihoods and environment. The goal of this project is to raise understanding of the benefits of pastoralism among senior federal-level policy makers in Ethiopia and incorporate pro-pastoralist policies into national development policies.

### *Activities Undertaken*

From 2008 to 2009, much of the activity under this project focused on securing funding to continue and expand our policy and research work under the USAID-funded *Pastoralist Livelihoods Initiative* (PLI) in Ethiopia. This included the further development of the *Pastoralism and Policy* course, which uses evidence from research in Ethiopia to present alternative policy options on pastoralism to federal and regional governments. In 2009, we obtained funding from USAID for a new four-year program (2009 to 2013) which will include the use of the course with government partners, and will also work with universities in Ethiopia to examine how the course might be adapted for postgraduate teaching on pastoralism and policy.

Our policy work under PLI also includes substantial local support to federal and regional governments through activities such as advising on policy documents and providing technical advice to government committees and expert groups.

### *Outputs And Impact*

No outputs or impact were planned during 2008/09.

## **Cross-Sectoral Learning for Service Provision in The Somali Region of Ethiopia (Andy Catley, Berhanu Admassu)**

### *Goal and Rationale*

Livelihoods analysis in the Somali region of Ethiopia indicates that high levels of poverty and vulnerability are directly related to weak services, particularly in health and education. Like many other pastoral areas, the Somali region is characterized by its large geographical size, a relatively small and mobile human population, and limited modern infrastructure. In these situations, the transaction costs of service provision are usually high and governments struggle to provide basic services. The general approach to service delivery is a fixed-point approach based on the deployment of government employees to stationary facilities such as schools or clinics. For pastoralists, the key determinant of service usage is probably accessibility, the physical distance to the service. Given the large areas to be covered and the mobility of communities, reasonable levels of accessibility are difficult to achieve unless a substantial number of fixed-point facilities are constructed, staffed, and equipped. Experience in the region indicates that although government is often able to construct facilities, such facilities often become derelict or not staffed or serviced. The goal of the project is to improve service provision in the Somali region of Ethiopia by promoting cross-sectoral learning and promoting testing of alternative community-based approaches.

### *Activities Undertaken*

- In November 2008 we finalized the report of the impact assessment of the Save the Children US health program in Somali pastoralist areas of southern Ethiopia. The assessment covered basic immunization activities, community-based health workers, and activities intended to promote mother and child health, such as improved breast-feeding practices.
- In June 2009, we supported the SC US workshop *Rethinking Health Care Delivery Systems in Pastoral Areas*, held in Addis Ababa, Ethiopia. We presented the results of the SC US human health program impact assessment and compared it with experiences from the use of community-based animal health workers in Ethiopia. This included a comparison of rinderpest eradication

in pastoralist areas with recent attempts to implement measles vaccination programs.

### **Outputs and Impact**

- The impact assessment of the SC US human health program helped SC US to refocus attention on women's and children's health in remote pastoralist areas of Ethiopia and influenced the development of a new regional *Health Matters* initiative to be led by SC US. We led the design of the action research component of the *Health Matters* proposal.
- The impact assessment was also used as contemporary case study material in a new elective course, *Human and Animal Health Systems in Protracted Crises*, for the Doctor of Medicine/Masters in Public Health and Doctor of Veterinary Medicine/Masters in Public Health program, taught at Tufts University in April 2009.

### **Alternative Approaches To International Trade In Livestock Products: Commodity-Based Trade (Andy Catley, Yacob Aklilu)**

#### **Goal and Rationale**

The current international standards governing trade in livestock commodities emphasize a need for animal products to be derived from areas which are free from certain animal diseases. The underlying principle of the standards is that if an area is free from disease, it cannot export disease to another area or country. For Africa and other developing regions, the implication of the standards is that these regions need to eradicate numerous animal diseases before they can engage in international trade. Unfortunately, such eradication is technically infeasible and hugely expensive, and therefore, millions of livestock producers remain isolated from lucrative international markets.

The goal of our work on commodity-based trade is to contribute to a growing international, but largely Africa-driven, effort to revise the international standards on livestock trade and to clarify the standards related to trade in livestock commodities.

#### **Activities Undertaken**

Activities under this program fell under the Center's project *Pastoral Areas Coordination, Analysis and Policy Support* (PACAPS), funded by USAID.

- In October 2008, with the COMESA Desk in the Ministry of Trade in Kenya and the COMESA Secretariat, we led a livestock and livestock commodity marketing study in Mauritius with the Kenya Director of Veterinary Services and the Executive Officer of the Kenya Livestock Marketing Council. Findings were presented to the Kenya Agriculture Sector Working Group, and to government and NGO partners in Ethiopia.
- A comparative review of livestock marketing policies in Kenya and Ethiopia was completed in November 2008. The report discussed general policy outlines, animal health services, and infrastructure. It also discussed the status of meat and live animal exports, market stratification, feeds, production, and provision of finance. Suggestions for improvement are included in each part of the policies analyzed.
- In early 2009, we assisted the United States Department of Agriculture (USDA) and USAID to design their regional workshop in Nairobi on transboundary animal diseases (TADs) and international trade. This assistance focused on short- to medium-term technical alternatives to TAD eradication, and the concept of "living with TADs." Center staff and partners under PACAPS made four keynote presentations at the meeting, held in late March.

#### **Outputs and Impact**

- The work on livestock marketing with COMESA and the Government of Kenya reflected the increasing commitment of COMESA to support regional livestock trade. Capacity-building of COMESA is one aim of the PACAPS project.
- Our support to the USDA/USAID workshop has helped to move thinking on livestock diseases and international trade and raise awareness of alternative approaches. This work is part of a long-term process of institutional change around international standards, involving numerous institutions and standard-setting bodies.

### **Camel Marketing and Pastoral Livelihoods in Ethiopia (Yacob Aklilu)**

#### **Goal and Rationale**

The goal of this project is to promote understanding of the camel market chain that impacts the livelihoods of tens of thousands of pastoralists, agro-pastoralists, farmers, and traders living in diverse agro-ecological regions of Ethiopia. The



research is targeted at national policy makers in Ethiopia but also, due the cross border nature of the trade, at regional trade organizations such as the Common Market for Eastern and Southern Africa. Improved awareness of the trade will also assist policy makers to see how marginalized pastoral areas can be integrated into mainstream economies and therefore warrant investment.

#### *Activities Undertaken*

A preliminary survey was carried out to identify trade routes from central parts of the country to northern and northwestern Ethiopia. Subsequent surveys were delayed, pending the launching of the second Pastoralist Livelihoods Initiative (PLI II).

#### *Outputs and Impact*

Work will continue under PLI II.

### **Cattle and Meat Value Chain Assessment in Ethiopia (Yacob Aklilu)**

#### *Goal and Rationale*

The goal of this project is to analyze incremental values along the cattle and meat supply chains at each level of transaction to promote understanding of why beef prices have risen to such a high level despite the huge resource potential in the country.

#### *Activities Undertaken*

Funding has been made available under PLI II to undertake this assessment. Work will begin shortly.

#### *Outputs and Impact*

No outputs were planned for 2008-09

### **Milk Matters: Improving the Health and Nutritional Status of Children in Pastoralist Communities (Kate Sadler, Andrew Catley)**

#### *Goal and Rationale*

Children in pastoralist/semi-pastoralist areas in the Horn of Africa are particularly vulnerable to increasingly frequent drought and to chronically high rates of acute malnutrition. The dominant response to this from the international community continues to be the delivery of large quantities of food aid each time rains fail and rates of acute malnutrition peak. Despite acceptance of the urgent need for risk reduction and drought mitigation, there is still little understanding of the causes of malnutrition and which interventions in

the medium to long term should be prioritized to improve the health and nutritional status of children in these settings.

In pastoralist communities, milk is well-known as the staple food of children's diets and, because of this, is directly linked with the nutritional status of young children. In some areas, young pastoralist children obtain up to 66 percent of their daily food from milk. This work aims initially to explore the role of milk in the diets of children in pastoralist communities and the priority interventions that may improve nutritional status in this group.

#### *Activities Undertaken*

Activities under this project have included an initial trip by the PI (Kate Sadler) to Ethiopia that established the working group for the project and the working mechanisms. Partner agencies include Save the Children USA, Save the Children UK in Ethiopia, and Tufts/FIC. During this trip, the objectives of the project were established and a draft of a proposal for funding was completed. Subsequently, funding was provided by USAID/OFDA. The first phase of this work was a literature review which aimed to improve our understanding of those aspects of pastoral child nutrition that are well-established and those issues that remain debated or poorly covered by the literature.

A second trip to Ethiopia by the PI presented the findings of the review back to key stakeholders of the project. During this trip the specific research questions and methodologies for the next phase of this work were developed: this included a qualitative study that aimed to "ground-truth" some of the literature review findings for the Save the Children's program areas of Liben and Shinile zones in the Somali region of Ethiopia, and to ask pastoralist women and men themselves what they think about the important causes of child malnutrition, links between child nutritional status and milk supply, and "best bet" interventions for addressing malnutrition in their communities. It was during this trip that the PI travelled to the Somali Region and conducted a series of focus group discussions using standardized participatory methods to answer these questions.

Finally, a third trip to Ethiopia included presentation of the findings of the primary data collection back to key stakeholders and discussion of a proposal for Milk Matters II. Subsequently, the first draft of a report on the findings of the

primary data collection has been completed. This report will be finalized by August 2009.

### **Outputs and Impact**

Outputs from this work during 2008/09 have included a literature review entitled: *A Literature Review of Pastoralist Nutrition and Programming Responses*. The first draft of the final report for the project, including results from the primary data collection, has also been completed.

In summary, this work has identified the close association between access to human and animal milk and malnutrition in young pastoralist children. It has identified problems with IYCF (Infant and Young Child Feeding) practice and with accessibility to animal milk during the dry season and drought. It has also identified the range of livestock interventions that are currently used in pastoral areas to improve animal milk supply and shown that there is a link between access to milk and human health perceived by pastoralists themselves. However, the literature review highlighted the scarcity of work that has specifically aimed to improve milk supply (both human and animal) to pastoralist children and concludes that this gap limits understanding of the possible benefits of these projects to child nutrition. This now paves the way for the second phase of Milk Matters, which aims to use a combination of quantitative and systematic participatory approaches and methods to link human nutrition, access to milk, and livestock information which, for external actors at least, tend to exist as separate bodies of knowledge. The funding for this next phase is in the process of being secured.

### **Seers as War Makers, Peace Makers, and Leaders Within the Karamoja Cluster (Darlington Akabwai, Khristopher Carlson)**

#### **Goal and Rationale**

Pastoral populations living within the Karamoja Cluster (namely Uganda, South Sudan, Kenya, and Ethiopia) believe that particular people known as “seers” possess special capacities that enable them to foresee and manipulate the future. With this ability, seers perform an important role within communities as they are central players in decision-making concerning security, raiding and war making, peacemaking, and migratory patterns of people and livestock. Therefore, the Tufts/FIC research team believes seers are an important

group to engage with in the effort to build greater regional peace and stability. However, many government officials and NGOs operating in the Karamoja Cluster continually marginalize these influential community leaders, limiting the amount of knowledge the seers can impart on regional peace and stability processes. Tufts/FIC field research throughout the Karamoja region will allow us to document and analyze how seers operate within their own communities and shed light on the complex nature of their relationships with other tribal groups, both friends and enemies. To complement the findings of this work, we have incorporated a photography component that will assist in illustrating the daily activities of seers and other members of their pastoral communities and draw attention to the environmental and economic challenges that many within the Karamoja Cluster face today. It is these environmental and economic challenges that spur some of the armed conflict in the region at present. With both the written and visual aspects of the work carried out simultaneously, this project will help lay the groundwork for future strategies that seek to help better network seers with local leaders, government agencies, and NGO activities whose aim is peaceful resolution to conflict and peaceful co-existence among pastoral groups in the Karamoja Cluster.

#### **Activities Undertaken**

The team completed two field visits to Uganda’s Karamoja region (February and May 2009) and one field visit to the Toposa region of South Sudan (October 2008). Field data collection was completed in May 2009. At present, the team is finishing its data analysis and will complete its report by the end of 2009.

#### **Outputs and Impact**

A final report on the role and impact of seers among pastoralists’ communities in South Sudan and Karamoja will be published by Tufts/FIC and distributed in Uganda and South Sudan among national and international NGOs and concerned donor organizations. An academic article will also be submitted to a leading Africa journal regarding the importance of seers in mitigating conflict and building peace within the Karamoja Cluster region. In addition to written reporting, photographs taken during our field visits will be used to provide additional context to the issues

and findings we discuss within our reporting. In an effort to take our research back to the communities in which we carried out our study, we will return to selected areas and host photography exhibitions in outdoor spaces that are frequented by pastoral populations, thus allowing local people to see the images from our work and read the captions accompanying each image. In addition, an elder from the region will be on hand to discuss the images and stories in the pictures with local people. Research team members will also be present to discuss in an informal way with the viewers the images and larger findings of our research. Finally, we will have a series of briefings in Uganda to share our findings with local and international NGOs, donors and Ugandan government officials.

### **Livelihoods and Insecurity in Northeastern Uganda (Elizabeth Stites)**

#### *Goal and Rationale*

The Karamoja region of northeastern Uganda is the poorest and least developed region of the country and is host to the worst human development indicators in key areas, including primary school enrollment, maternal and infant mortality, and life expectancy. Periodic and extended droughts and extreme climate variability shape the pastoral and agro-pastoral livelihood strategies practiced in the region. Violent cattle raiding and asset stripping, exacerbated by a steady flow of small arms into the region, create extreme insecurity for local populations. Alliances between tribal and ethnic groups and across national and international borders once allowed for drought mitigation through transhumance, but violence and conflict over natural resources has led to the collapse of many of these important relationships. Animal disease, growing inequity in animal ownership, climate change, and a national disarmament program have placed further pressures on the cattle-based livelihood systems.

This research aims to improve the understanding of livelihoods and security in Karamoja, and how livelihoods have shifted over time. We are particularly interested in the dynamic links between conflict and livelihood strategies and how these two aspects may perpetuate or mitigate each other. This nuanced and detailed understanding is critical at a time when a growing number of international and national stakeholders are

expanding their programming into the region. We will work in consultation and maintain regular dialogue with key national and international NGOs and with the primary United Nations agencies working in the region, in particular UNICEF, WFP and OCHA.

#### *Activities Undertaken*

In 2008/09, we completed the field work for this project in four different research trips to the region. We have extensive data from the focus area of southern Karamoja, as well as comparative data from several sites in the northern part of the region. We are currently analyzing our data. We have prepared two articles for publication in peer-reviewed journals (one under review at present, the other to be submitted in July 2009) and are on track for completion of a final report and a book manuscript by July 2010.

#### *Outputs and Impact*

We have worked closely with national and international actors throughout our field work and preliminary data analysis stages. The team leader remains in close contact with the major international organizations working in the region, UNICEF and WFP, and provides input where possible on programmatic and policy aspects. We use formal and informal briefings to keep major bilateral donors (in particular USAID and the EU) abreast of our findings and observations from the field. We have recently engaged in an awareness-building campaign in response to the Ugandan military's decision to stop providing protection to animal *kraals*, a move likely to lead to an increase in violent attacks and asset-stripping. As a result of our efforts, various donors and UN agencies have asked the military for more information and have highlighted the potential negative repercussions of these actions.





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## UGANDA: UPHOLDING RIGHTS IN THE FACE OF VIOLENCE

### Reparation and Rethinking Justice and Accountability in Northern Uganda (Teddy Atim, Ariane Brunet, and Dyan Mazurana)

#### *Goal and Rationale*

With the collapse of the Juba peace process, the increase in number and viciousness of LRA (Lord's Resistance Army) attacks in parts of the DRC (Democratic Republic of Congo), CAR (Central African Republic), and South Sudan, and the return to military action between the rebel LRA and the GoU (Government of Uganda) army, the formal justice and accountability mechanisms envisioned in the Juba peace process have been dormant and have not been taken up by the GoU or foreign governments. To date,

there are no meaningful efforts to establish the formal justice mechanisms outlined in the Juba accords that were to respond to the widespread grave crimes and human rights violations that occurred during the 23-year war in northern Uganda.

Because at the formal and national level there is little being done for people who have suffered grave harms and gross violations in northern Uganda, we sought to understand what communities are already doing themselves to repair the damage done during the wars. Our research pays close attention to the work highly-affected individuals and communities undertake to rebuild their relations, lives, and communities—their own processes to remedy what has happened to them, their families, and their communities because of



grave and serious violations of international human rights and humanitarian law. A central part of understanding reparation from this perspective necessitates careful attention to both relational and social change (positive and negative) that occurred during and after the armed conflict. Our research seeks to understand reparation based on the realities and actions of the victims, their families, and their communities and offers new ways of understanding what constitutes reparation, the scope of people necessarily involved in reparation, the time frame of reparation, who carries out reparation, and how reparation can be supported.

### *Activities Undertaken*

In 2008/09, we carried out the field work for this project, with researchers making monthly research trips into the villages and communities selected for the study, beginning in October 2008 and continuing through 2009. We have collected extensive data from the research areas and are currently beginning to analyze the data. We will prepare a final briefing report for this phase of the study and are on track for the work to be included in a book manuscript by July 2010.

### *Outputs and Impact*

We have provided informal briefings on our initial findings to local district officials, local CSOs (Civil Society Organizations) and NGOs, UNICEF Uganda, CARE Uganda, and the World Bank. We have also had a series of exchanges with senior officials of the International Criminal Court Trust Fund for Victims regarding our thinking on reparations for women and children. We are also, at their request, in dialogue with local organizations tasked by the ICC's Trust Fund for Victims to implement reparations on the ground. In November 2008, our team leader for northern Uganda, Teddy Atim, represented northern Uganda in developing the general communiqué for women in the Great Lakes Region to the UN Special Rapporteurs on Violence Against Women and Human Rights Defenders on the situation of women in the Great Lakes Region.

## **Traditional Justice and Accountability in Northern Uganda (Teddy Atim, Ariane Brunet, and Dyan Mazurana)**

### *Goal and Rationale*

This field research documents and analyzes how traditional justice and accountability systems in northern Uganda address (or fail to address) war-related crimes and harms committed during the region's conflict. Special attention is given to how these informal systems take up rebel- and government-perpetrated crimes against women and girls. One of the methods used to study how gender- and sexual-based crimes are handled within traditional systems is to investigate how some of the most highly affected groups perceive certain justice and accountability issues such as gender-based and sexual crimes vis-à-vis their own traditional systems.

As traditional systems in the north have not evolved to deal with widespread and systematic violence like that experienced and perpetrated in this conflict, it is the intention of the Tufts/FIC team to provide timely information on what is happening within traditional justice structures to respond (or not) to the atrocities and, if they are responding, to examine their modifications of local customary law and the outcomes of attempts to use traditional justice to handle these cases. Our prior research supports claims that among the different ethnic groups in the north there are dissimilar notions regarding the "road map" to attain justice and accountability for war-related crimes and, ultimately, for the formation of sustainable peace. How traditional systems handle war-related crimes will have social, economic, and political implications nationally and regionally.

### *Activities Undertaken*

The team has undertaken monthly research trips to the study sites since October 2008. We will complete data collection by October 2009 and begin data analysis. We have provided informal briefings of our initial findings to local district officials, CBOs (Community-Based Organizations) and NGOs, UNICEF Uganda, CARE Uganda, and the World Bank, as well as to international actors working on justice and reconciliation in northern Uganda.



### *Outputs and Impact*

A final report on gender, generations, grave crimes and serious violations, and traditional justice in northern Uganda is to be published and distributed in Uganda and internationally (via Tufts/FIC). We will prepare an article on gender, generation, grave crimes and serious violations, and traditional justice in northern Uganda for submission to a leading African human rights law journal. As noted above, we have engaged in dissemination of our findings to date through formal and informal briefings and ongoing dialogue with key local, national, and international actors.

### **Migration, Political Conflict, and Economic Insecurity in Georgia (Lynellyn Long, Karen Jacobsen, And Marc Hulst)**

#### *Goal And Rationale*

The current insecurity in Georgia has witnessed a number of internal and external migration flows. Following conflict with Russia over territorial sovereignty in South Ossetia and Abkhazia in the early 1990s and most recently in 2008, Georgia received large numbers of internally displaced persons. The tensions between the two countries have also encouraged many Georgian labor migrants to return voluntarily or to be expelled from Russia. In addition, the current international financial crisis may be encouraging returns – voluntary, assisted voluntary, and forced – of Georgian labor migrants from Russia, Turkey, Greece, other parts of Western Europe, and North America. Remittances from Georgian migrants working abroad and the longstanding Georgian diaspora have reportedly fallen. Declines in household income, in turn, may be precipitating further migrations and re-migrations. Within Georgia, ethnic minorities and those living in mountainous regions are also being displaced for economic, political, and environmental reasons. Some are emigrating abroad whilst others are moving from rural to rural or urban areas, primarily Tbilisi. Given Georgia's current climate of insecurity, this research proposes to determine how these different migration flows and factors are affected by and, in turn, are affecting the country's stability and economic prospects. A particular focus of this research will be the implications of

these migration flows for poor and marginalized communities in both rural and urban areas. The research will provide specific program and policy recommendations for addressing livelihoods, managing these flows, and promoting stability and further investment.

#### *Activities Undertaken*

To date, Tufts/FIC researchers and IOM have collaborated on identifying IDP, environmental and rural-urban, and external labor migration flows and trends in relation to effects on conflict, regional economic growth, and political stability. A literature and document review, as well as an assessment of existing data sources, has begun. Preliminary interviews have also been conducted with organizations working in the region, including CRRP, EBRD (European Bank for Reconstruction and Development), and IOM's Migration Centers.

#### *Outputs and Impact*

The expected impact is to provide recommendations for managing the increasing labor, environmental, and ethnic migration and IDP flows through improved migration management, utilization of diaspora investments/remittances and collaboration, and identification of viable livelihood strategies.



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## THE EVOLVING GLOBAL ENVIRONMENT OF CRISIS AND CRISIS RESPONSE

### Preparing for Humanitarian Crises of the Future (Peter Walker)

#### *Goal And Rationale*

The shape of humanitarian crises is evolving, with climate change and globalization set to have a profound impact upon community vulnerability. Humanitarian agencies will also need to evolve and change the way they work if they are to meet the challenges of the next two decades. This research project seeks to understand the impact climate change and globalization will have on future humanitarian crises, focusing initially on two at-risk countries, Bangladesh and Ethiopia. The research then goes on to examine the present fitness of key humanitarian agencies in meeting these expected challenges and will develop strategies for agency institutional change to better meet these challenges.

#### *Activities Undertaken*

Two short research projects were undertaken in the year ahead of the main two-year collaborative research program (Humanitarian Horizons).

At the request of UN-OCHA, the Center, in collaboration with the Humanitarian Futures Program at King's College, London and the consultancy group Development Initiatives, carried out a study to gauge the effect climate change will have, over the next twenty years, on the cost of international humanitarian response. The findings indicated that climate change will have a significant impact on humanitarian costs and the increase in projected expenditure could range from a low of 32%, taking into account only changes in frequency of disasters, to upwards of a 1600% increase when other criteria, such as intensity, are also taken into account. The main finding was that data on the present true global



scale of humanitarian need and action is so sparse that all predictions suffer from huge potential error factors.

Working with Oxfam–America, we researched the field coordinating mechanisms used by the five big, federated, humanitarian NGOs. The research found that all the agencies are grappling with the dual needs of cohesive, effective, and timely global systems for humanitarian response and the realization that the best response is highly tailored to the local environment and needs.

In September 2008, we started a two-year collaborative program with the Humanitarian Futures Program at King's College and the International Working Group, a collaborative of seven of the largest humanitarian NGOs. For this Humanitarian Horizons project, four key background reports have been commissioned on climate change, globalization, global demographics, and the changing nature of the global humanitarian business. These reports will be published in late summer 2009. Working with the seven major NGOs, we are exploring how these global trends are likely to affect their business, attitudes, and ways of responding to crises in the future.

### **Outputs and Impact**

The Humanitarian Cost of Climate Change project report can be downloaded at <https://wikis.uit.tufts.edu/confluence/display/FIC/The+Humanitarian+Costs+of+Climate+Change>.

An academic paper from the report has been accepted for publication by the Journal of Environmental Hazards.

The report on aid agency field coordination, *One for All and All for One*, is available at <https://wikis.uit.tufts.edu/confluence/display/FIC/One+for+All+and+All+for+One>. An academic paper from the report has been submitted for publication to the Journal of Nonprofit Management and Leadership.

The four commissioned reports from the Humanitarian Horizons project will be published in late summer 2009. We do not expect to see significant impact from this project until well into the second year.

Briefings and workshops, based on the initial finds of the climate change and globalization work, have been given as follows:

**June 2008:** UN Global Humanitarian Platform, Geneva. Keynote address on *Globalization and Humanitarian Action*.

**July 2008:** Ghana Institute of Management. Keynote address to the African Red Cross Societies meeting.

**August 2008:** ICRC Geneva: global seminar on future conflicts. Paper – *What Does Humanitarian History Tell Us about the Future?*

**November 2008:** Transparency International AGM, Athens. Paper – *Confronting Corruption in the Humanitarian World*.

**November 2008:** LIMU University, Libya. Briefing – *The History and Future of Global Humanitarian Action*.

**November 2008:** IRC AGM, Miami. Keynote address – *Global Trends and Global Disasters*.

**February 2009:** Yale Public Health Conference. Two papers – *Climate Change and Disaster and Humanitarian History*.

**March 2009:** Harvard Humanitarian Summit. Paper – *The Linkages between Climate Change and Conflict and Its Implications for Future Crises*.

**May 2009:** Sphere project working group, Geneva. Briefing – *Future Challenges for Humanitarian Standards*.

**May 2009:** Canadian Foreign Affairs and CIDA (Canadian International Development Agency). Briefings on *Climate Change and Security*.

**June 2009:** Good Humanitarian Donorship workshop, Sweden. *Briefing on The Problems of Evidence-Based Methodologies in Humanitarian Aid*.

**June 2009:** Irish Ministry of Foreign Affairs, Irish Aid. Briefing on *Climate Change and Human Security*.

## **The Humanitarian Agenda 2015: Principles, Power, and Perceptions (Antonio Donini)**

### *Goal and Rationale*

The evolution of the humanitarian enterprise, the power relationships that it entails, and the perceptions of communities affected by crisis and conflict remain priority concerns of Tufts/FIC. Building on the evidence-based findings on the views from below, we intend to continue to engage in policy and institutional development actions with donors, UN agencies, and NGOs, with a view to improving the effectiveness of assistance and protection activities for the most vulnerable.

### *Activities Undertaken*

During the reporting period, and building on the multi-year Humanitarian Agenda 2015 research program, Tufts/FIC has continued to engage with donor governments, UN agencies, and NGOs on “big picture” humanitarian issues. Following the publication of the final report of HA2015, *The State of the Humanitarian Enterprise* in the spring of 2008, we have continued to respond to requests for briefings and presentations in donor capitals, UN venues, and in the field. Given the topicality of the issues and the seriousness of the encroachment of political agendas on humanitarian action, we have prepared two updates of the country case studies in Afghanistan and Iraq. These were presented at briefings in New York, Washington, DC, and Geneva, as well as in the field (Amman and Kabul). We have also engaged with US military/NATO civil and stabilization operations personnel on the issues covered in the reports. The updates served to highlight, on the basis of fresh data from the field, the importance of protecting humanitarian action from incorporation into political/military agendas.

A thirteenth HA2015 case study on humanitarian issues in the Georgia conflict is currently underway and will be issued in late summer 2009. During the coming months, we will continue to monitor developments in key countries where we have conducted research (Afghanistan, Iraq, Nepal, Sri Lanka) and issue updates as required. More broadly, we intend to continue to capitalize on the evidence-based HA2015 reports, with a view to influencing policy at the global and country levels on humanitarian issues.

### *Outputs and Impact*

As mentioned above, HA2015 updated reports on Afghanistan and Iraq have been issued and a study on Georgia is underway. The continuing requests for briefings and both formal and informal inputs into donor and UN agency humanitarian policy development testify to the relevance of our work as one of the prime institutions with a track record on evidence-based humanitarian policy development.

## **“Winning Hearts and Minds?”**

### **Understanding the Relationship Between Aid and Security (Andrew Wilder)**

### *Goal and Rationale*

There is a widely-held assumption in military and foreign policy circles that development assistance is an important soft-power tool to promote stabilization and security in fragile states and insurgency-affected environments. Counterinsurgency doctrine in particular emphasizes the importance of aid projects (often in the form of Quick Impact Projects or QIPS) to “win hearts and minds” and undermine support for insurgents. This assumption is having a major policy impact on how aid is apportioned and spent and provides an important rationale for the growing securitization of development assistance. Given how widespread the assumption is, and given its major impact on aid and counterinsurgency policies, there is surprisingly little empirical evidence that there is a strong relationship between increased aid and improved stabilization and security in counterinsurgency contexts. While considerable time, effort, and resources have been devoted to assessing the effectiveness of aid in achieving humanitarian and development objectives, surprisingly few resources have been devoted to assessing the effectiveness of aid in achieving political and security objectives. The objective of this study is to help address this evidence gap by conducting a comparative study in Afghanistan and the Horn of Africa (and perhaps elsewhere if resources permit) which examines the effectiveness of aid in promoting stabilization and security. By helping to clarify the relationship between aid and security, the study hopes to make development assistance more evidence-based and effective in addressing the needs of the poor and marginalized in crisis-affected communities and states around the world.

### *Activities Undertaken*

During the summer and fall of 2008, approximately \$620,000 was raised in funding for the aid and security research project from the Afghanistan Research and Evaluation Unit (AREU), and the governments of Australia, Norway, and Sweden. The deteriorating security situation in Afghanistan, as well as problems recruiting qualified field researchers, delayed the implementation of some of the field research. However, by the end of the first year of the study, the PI and five other researchers were able to complete the field research in Kenya for the Horn of Africa case study, as well as for four of the six provincial case studies in Afghanistan (Balkh, Faryab, Helmand, and Paktia). Field research in two more provinces (Urozgan and Kandahar or Kunar) will be completed in the fall of 2009.

### *Outputs and Impact*

The priority of the first year of the study was planning and implementing the field research for the aid and security study, so there were no published outputs by the summer 2009. However, the study is already generating considerable interest in policymaking circles, and the Principal Investigator has been invited to give presentations and briefings at embassies and at the NATO/ISAF Headquarters in Kabul, and at the Pentagon, State Department, USAID, Center for Strategic and International Studies, and the US Institute for Peace in Washington, DC. In February 2009, the PI co-organized a session on *“Winning Hearts and Minds? Examining the Role of Aid in Securing Insecure Environments”* at the World Conference of Humanitarian Studies at the University of Groningen in the Netherlands.

Most of the research, analysis, and write-up of the Kenyan and Afghan case studies should be completed by the end of 2009. During the first half of 2010, publications synthesizing the findings of the Afghanistan and Africa research will be produced, and briefings, seminars, and a major conference will be organized to disseminate the research findings.

## **Humanitarianism and Corporate Social Responsibility (Lynellyn D. Long, Fa'iz Marhami)**

### *Goal and Rationale*

Major international private corporations are increasingly aware that their investments and operations can improve humanitarian outcomes through their contributions to local and regional development. Increasingly, private sector CSR (Corporate Social Responsibility) programs go beyond charity and public philanthropy to engage in specific interventions and investments to achieve sustained humanitarian outcomes. Nationally and globally, standards of corporate citizenship and accountability may also contribute to improved political security and economic growth. Investors likewise recognize that the lack of due diligence may increase local inequalities and heighten resource conflicts within communities. The lack of corporate due diligence also sanctions corruption, creates public distrust in markets, leading to costly and sometimes ineffective regulation, and increases economic volatility. Thus, CSR to promote humanitarian objectives is increasingly considered good business practice.

Linking CSR programs to specific humanitarian objectives and outcomes is of growing interest to the corporate/private sector, NGOs, international organizations, and communities. Both private and public sector actors recognize the importance of developing these linkages. Nevertheless, important questions remain as to corporate commitment, feasibility, effectiveness, costs, benefits, and risks. A significant difference exists between private companies undertaking humanitarian operations as part of their core profit-making business and corporations engaged in humanitarian operations as part of their social and civic responsibility. The former, commercial ventures, derive direct financial benefits from disaster capitalism and seek to profit from humanitarian interventions, whereas the latter, corporate ventures, engage in humanitarian activities to mitigate risk for their core operations and constituencies, to demonstrate social responsibility (and social license to operate), and to exemplify good citizenship practices.

While this study will identify and distinguish the different modes of private sector operation in humanitarian affairs, its primary focus will be to identify cost-effective CSR interventions and



performance standards for both corporations and nonprofit humanitarian organizations. The proposed research builds on the investigator's own CSR and humanitarian analyses in several countries in Africa, Asia, and Central and Eastern Europe.

### *Activities Undertaken*

The research team has developed a proposal for a case study of the impact of the Baku-Tbilisi-Ceyhan (BTC) oil pipelines and proposed liquefied natural gas pipelines on regional, national, and local/community conflict and stability. The team will examine both historical and contemporary price volatility and the impact of financial investment flows in the pipelines on conflict in the Caucasus region. They further plan to consider the impact of royalty payments on human rights performance and interethnic relations, income differentials (Gini coefficients), and national development. In addition, the team will analyze the role of private and government security forces, property title and claims, and community investment strategies on conflict and inter-ethnic relations and livelihoods at the community/local level. The areas of immediate potential conflict include: relations between Georgia and Russia (and Russia and the West), particularly along the western branch of the pipeline along the South Ossetia border; relations with the PKK in Turkey; and increased militarization of Azerbaijan and Azeri/Armenian relations over Nagorno-Karabakh. Other concerns about the pipeline include increased migration flows and labor migration following the end of the construction phase.

### *Outputs and Impact*

Following the approval of IRB (Institutional Review Board) protocols, the researchers have begun interviewing and seeking support from socially responsible investment funds and investors. They have also begun a document review of the CSR/CIP, financial, and sustainability analyses conducted to date on the pipelines. They have interviewed a BP-representative and obtained BP support for accessing the Georgia pipeline corridor. The expected impact of the preliminary phase of this project is to identify specific sources of conflict related to financial flows and construction of the pipelines, with the aim of identifying sustainability strategies and tactics for preventing or alleviating sources of conflict.

## **Crisis and Social Transformation in Nepal (Antonio Donini)**

### *Goal and Rationale*

How does conflict affect people's perceptions of change? How are identities shaped and re-formed during uncertain transitions? What can we learn from recent experience? Our work in Nepal has uncovered a number of interesting issues around the challenges of social transformation in a (hopefully) post-conflict environment that we feel are important to research both because they are largely unexplored and because of their potential policy implications. Building on earlier work in Nepal as part of the Humanitarian Agenda 2015 research, we have been exploring three different but related areas. These are discussed below.

### *Activities Undertaken*

The objectives of the Maoist ten-year (1996–2005) insurgency against the Nepali state were the overthrow of the monarchy, the convening of a constituent assembly, and the establishment of a multiparty republic. At its core, the Maoist agenda attacked the feudal nature of Nepali society and the structural inequalities inherent within it. The Maoists mobilized around awareness and rights as an entry point for their political and military actions. Their messages resonated in isolated and marginalized hill communities that had seen little or no development in the past two to three decades. Our research endeavors to understand whether the Maoist message still resonates with these populations, its impact is on Nepali society, and how it relates to other drivers of change.

**Aid and violence:** Our retrospective study of the relationship between aid and conflict in Nepal has been recently released (available at <https://wikis.uit.tufts.edu/confluence/display/FIC/Aid+and+Violence>). Based on a literature review and extensive interviews in Kathmandu with aid agency personnel and local researchers, it documents and analyzes how aid policies contributed to shaping the events that led to the conflict and aid agencies' efforts to adapt to the conflict environment. More specifically, the research attempts to answer the question of whether or not the conflict was a consequence of "development failure" and how development policies and activities interacted with other drivers of the conflict.

### **Local perceptions of conflict, aid, and social transformation:**

This research aims to understand how, against the backdrop of the Maoist insurgency, local people in Nepal perceive and understand change. Based on extensive interviewing and focus group discussions in eight different ethno-geographic areas, the research builds an evidence-based picture of how local people and communities experience change, what is meaningful for them in what has happened in the past eight to ten years, and what they perceive the drivers of change to be. The fieldwork is completed and we are elaborating our findings. A Tufts/FIC report (due out in late 2009) will be followed by academic articles.

### **Youth participation and transformations in the Maoist organizations:**

This research aims to understand transformations of young men and women within the Maoist party during the so-called “People’s War,” as well as the transformation of the Maoist party and its numerous organizations, with a focus on the People’s Liberation Army (PLA) and the Young Communist League (YCL), during the conflict and post-conflict period up to 2009. The research is based on interviews with members of PLA, YCL, and other party cadres. It focuses on the question, “What does it mean to be a Maoist?” i.e., on how young men and women view their involvement in the insurgency and the values they attach to it. The study seeks to understand how young people made decisions about joining the armed struggle. How transformative was their participation in the insurgency? Why did some leave the village to join the armed struggle while others stayed back? How do they view their involvement in the insurgency? What is their reception back in their community by family and peers in the current transition period? Factors of gender, generation, and caste are considered throughout data gathering, documentation, and analysis. The fieldwork has been completed and a report will be published in late 2009.

### ***Outputs and Impact***

Our report on Aid and Violence has attracted considerable attention in Nepal. Tufts/FIC has been asked to present its findings at a workshop at Tribhuvan University, academic seminars in Edinburgh and Belfast, and various briefings for donors, UN, and NGOs. Given the topicality of the theme, we expect this attention to continue. We are planning a one-day conference on conflict and social transformation in Kathmandu in December 2009 to present the findings of our empirical research and draw out policy implications. Since January 2008, Tufts/FIC has established a presence in Kathmandu, with a full-time researcher based there. This has allowed us to develop networks in the research and aid communities, which hopefully will lead to research partnerships on new themes, such as migration and understanding conflict-related violence issues.

## Publications From Center Researchers

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## TEACHING AT TUFTS

### **The Master In Humanitarian Assistance (MAHA)**

We continue to offer the one-year MAHA degree and enroll an average of five students per year. The graduating class of 2009 had five students, from the Netherlands, Uganda (two), Kenya, and Canada. The incoming fall/09 class has seven students enrolled.

Scholarship funding for the degree remains a challenge. It costs around \$43,000 to come and do the degree (the tuition fee is \$25,000 and living costs are \$18,000). Funds from the Center and the School have allowed us to subsidize on average 70% of the 2008/09 tuition fee, thus reducing the students' financial burden to around \$20,000. None of our students in the past three years have found independent funding. All have relied on their own funds to finance the rest of their costs.

### **Food Policy and Nutrition Master (FPAN)**

Within the School of Nutrition Science and Policy, the FPAN degree<sup>1</sup> offers a humanitarian specialization, provided primarily by courses taught by the Center. In 2009, five students graduated with the humanitarian specialization, representing 19% of all FPAN graduates.

### **Humanitarian Field of Study (Fletcher School)**

Within the Fletcher School's MALD degree<sup>2</sup> we have established a full humanitarian concentration alongside the already-established human security concentration. All MALD students need to take two concentrations, each consisting of three subject-specific courses. We now have a package of six courses to offer to such students. In 2009, nine students graduated with the humanitarian or human security concentration, some five percent of all Fletcher graduates this year.

<sup>1</sup> [http://nutrition.tufts.edu/1174562918439/Nutrition-Page-nl2w\\_1177953853007.html](http://nutrition.tufts.edu/1174562918439/Nutrition-Page-nl2w_1177953853007.html)

<sup>2</sup> <http://fletcher.tufts.edu/mald/default.shtml>

## Humanitarian Studies and Field Practice Initiative

The Humanitarian Studies Initiative, a collaborative program with Harvard University and Massachusetts Institute of Technology, continues to grow. The initiative delivers a certificate program in basic humanitarian programming skills, consisting of a two-week full-time residential course in the winter and a three-day field-based simulation exercise in the spring. The course has now been opened up to resident doctors at Harvard and Tufts. In 2008/09, over 90 students took the course, including 23 from Tufts.

### Courses Taught

Faculty at the Center offered the following courses in 2008/09:

*Human and Animal Health Systems in Protracted Crises* (Catley) for the Doctor of Medicine/Master in Public Health, and Doctor of Veterinary Medicine/Master in Public Health program, taught in April 2009.

*Research Seminar in Forced Migration and Human Security* (Jacobsen)

*Tutorial in Forced Migration* (Jacobsen)

*MAHA Thesis Seminar* (Jacobsen)

*Qualitative Research Methods* (Long)

*Humanitarian Action in Complex Emergencies* (Maxwell)

*Daily Risks and Crisis Events: How People and Planners Cope with Vulnerability* (Webb, Maxwell)

*Gender Culture and Conflict in Humanitarian Complex Emergencies* (Mazurana)

*Nutrition in Complex Emergencies* (Sadler, Young)

*International Nutrition Program* (Sadler, Webb)

*Humanitarian Assistance*. An online distance learning course as part of the Fletcher School's Global Master of Arts (GMAP) program<sup>3</sup> (Walker)

*Humanitarian Practice in the Field* (Walker, Leaning)

## Support for Student Research (Masters and Phds)

The Center attaches great importance to preparing our students for future employment as researchers/humanitarian practitioners. In 2008/09, we provided small summer research grants to four students to carry out research overseas in humanitarian crisis situations.

In addition, Center faculty now support five PhD students, across the Fletcher, Nutrition, and Engineering Schools, as advisors on their committees. Tufts/FIC faculty are also external examiners for PhD students at other universities.

### Visiting Fellows and Practitioner Expert Programs

We now have seven Visiting Fellows. A full list can be found at <https://wikis.uit.tufts.edu/confluence/display/FIC/Fellows>. Visiting fellows are external to the Center but collaborate closely with us on research programs and publications.

The Practitioner Expert Program is open to humanitarian workers who want to take time out to write up their experiences or pursue short research projects.

### Groningen: First World Academic Conference on Humanitarian Studies

The first-ever truly global academic conference on humanitarian studies was held at Groningen in the Netherlands, February 2009. Over 400 researchers attended, presenting over 200 papers.

The Center was well-represented, with eight faculty attending, all presenting papers and chairing three of the panels. The conference was used to launch the International Humanitarian Studies Association, with Center Director, Peter Walker, being on the founding board. The next conference of the association is scheduled for summer 2011 and will be hosted by the Center at Tufts University.

<sup>3</sup> <http://fletcher.tufts.edu/gmap/default.shtml>





## COLLABORATION AND NETWORKING

### Collaboration With Southern Researchers and Institutions

During the summer and fall of 2008, the Aid and Security study was implemented in partnership with the Kabul-based Afghanistan Research and Evaluation Unit, which contributed \$70,000 to Tufts/FIC to help fund the study.

In Nepal, we cooperate with the Social Science Baha, a respected local institution. It provides a base from which our Kathmandu-based researcher can work and a venue for meetings and presentations. Joint research programs with the Baha are currently under discussion.

In East Africa, we partner with the Intergovernmental Common Market for Eastern and Southern Africa (COMESA), the Ethiopian Federal Ministry of Agriculture and Rural Development (MoARD), and the Ministry of Federal Affairs in our work to help develop more pastoralist-friendly agricultural policy and practice. We are also working closely with the Universities of Mekelle, Addis Ababa, and Jimma in Ethiopia.

Following the recent financial support from UNEP Sudan to our study of pastoralist perspectives in Darfur, UNEP Sudan and Tufts/FIC have developed a three-year Environment and Livelihoods program focusing on Darfur, Sudan, funded by the Department for International Development. The Tufts/FIC components build on earlier work on markets and trade, and also pastoralism, and in this expanded phase will collaborate closely with UNAMID, the UNRSCO, the Joint Mediation Support Team and the Darfur-Darfur Dialogue and Consultation (a provision of the Darfur Peace Agreement). A major part of this work is being implemented in partnership with local Darfuri NGOs and members of Darfuri universities.

We are currently in partnership with the Center for Migration and Refugee Studies at the American University of Cairo, where we are jointly conducting a study of Sudanese refugees in Cairo.

### Collaboration with the International Humanitarian Community

Internationally, we are partnering with international NGOs WorldVision, CARE, Oxfam, SCF (Save the Children Fund), International Rescue Committee, CRS (Catholic Relief Services), MercyCorp, and Transparency International as well as with the UN agencies, WFP, UNICEF, UNOCHA, and UNEP. We also work closely with the ICRC and a number of the humanitarian quality assurance initiatives including the Sphere Project, ALNAP, and the new LEGS livestock initiative.

In Ethiopia, we are working in partnership with CARE, CRS, and REST (Relief Society of Tigray) along with SC-UK and SNV on a program seeking to improve the quality of aid impact assessment in the country.

### Effecting Change at Tufts

Promoting Research for Social Change: The program to promote research for social change at Tufts now involves some 26 faculty member from across all schools at the university. Initial seminars in 2008/09 have been used to share experiences and approaches used in the different schools. In 2009/10, we are planning to organize a more formal campus wide half-day seminar to promote the engagement of research in social change.

## CENTER STAFFING, INFRASTRUCTURE, AND BUDGET

**Staffing and Infrastructure**

The Center continues to occupy a suite of offices at 200 Boston Ave, Medford, just off the Tufts Medford Campus. In addition, we have a small permanent office in Addis Ababa, Ethiopia. We also rent office space in Kathmandu, Nepal.

During the 2008/09 year, the Center's Events Officer, as well as our Communications Officer, moved on to take up work elsewhere. The Events Officer has not been replaced for the moment and the Communications Officer has been replaced with a half-time post primarily dedicated to our website, listserves, and publications.

Present Medford-based support staff are now:

- a Finance and Administration Director
- an Office Manager (also looking after HR and contract issues)
- a Budget Officer
- a Receptionist/Bookkeeper
- a half-time IT/Communications Officer

This year, we have also hired a full-time Office and Finance Manager for the Center's office in Addis Ababa. That office is also supported by a full-time Administrator and Accountant.

**Budget**

The three tables that follow summarize the Center's, income and expenditure for this year, and our overall finances across the past five years.

The Center had a total income of \$10,459,027 in 2008/9. \$5.6 million of this was carry forward from 2007/8 in the form of multi-year grants and endowment funds, thus \$4.9 million was raised through new multi-year grants. Our year on year fund raising is up from 07/08, which is encouraging given the present state of the economy. High income figures in previous years also reflect two major multiyear grants, both of which came to an end this year and are not being renewed in a multi-year format.

Expenditure in 2008/9 amounted to \$5,848,673 with \$4,610,353 income carrying over to 2009/10. The Center's year on year expenditure has increased every year for the past four years in line with our growth projections.

**Year on Year Financials.**  
All figures in US\$ millions

	04/05	05/06	06/07	07/08	08/09
Income brought forward from previous year		\$0.60	\$3.90	\$6.90	\$5.60
New income raised in present year	\$4.20	\$6.10	\$7.00	\$3.60	\$4.80
Total expenditure for present year	\$3.60	\$2.80	\$4.00	\$4.90	\$5.80
Income carried over to next year	\$0.60	\$3.90	\$6.90	\$5.60	\$4.60

### Summary of Annual Report for July 2008 to June 2009

<b>Income</b>	<b>\$10,556,218.00</b>
Deobligated	\$97,191.00
<b>Total Income 2008-2009</b>	<b>\$10,459,027.00</b>
<b>Expenses</b>	
Salaries - FIC	\$1,943,752.00
Salaries - Research Assistants	\$67,703.00
Benefits	\$472,911.00
International package	\$124,493.00
Travel - CORE	\$98,840.00
Travel - Other Projects	\$230,764.00
Sub-Contracts	\$1,088,624.00
Workshops	\$87,864.00
Consultants	\$465,313.00
Scholarship	\$184,601.00
Supplies	\$45,702.00
Visa Fees	\$6,990.00
Computer Equipment	\$19,572.00
Facilities	\$45.00
Catering	\$922.00
Books	\$2,110.00
Postage	\$18,238.46
Advertising	\$1,460.00
Repair Service	\$277.00
Printing/Copying/Publications	\$51,252.00
Phone/Communications	\$25,987.00
Housekeeping	\$6,316.00
Vehicle	\$27,309.00
Utilities	\$22,067.00
Rent	\$109,018.00
Non-Allocable Expenses	\$58,099.00
Conversion Loss	\$1,680.00
Overhead	\$686,764.00
<b>Total Expenses</b>	
<b>07/01/08 to 6/30//09</b>	<b>\$5,848,673.46</b>
<b>Balance</b>	<b>\$4,610,353.54</b>
<b>Carryover 2009-2010</b>	<b>\$4,610,353.54</b>



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### Summary of Income for July 2008 to June 2009

Income	Amount US\$
<b>Source</b>	
Government Donor Agencies	\$3,409,055
Foundations	\$2,570,690
Foreign Governments	\$2,095,427
UN Agencies	\$907,889
NGO agencies	\$270,413
Endowments Income	\$853,856
Incidental donations	\$322,814
State	\$28,883
<b>Total</b>	<b>\$10,459,027</b>



## ANNEX 1

Full listing of Center faculty and researchers, staff, and Visiting Fellows:

### Faculty and Researchers

Abdal Monium Osman – *Senior Researcher*

Andrew Catley – *Research Director for Policy Process*

Andrew Wilder – *Research Director for Policy Process*

Antonio Donini – *Senior Researcher*

Berhanu Admassu – *Field Technical Coordinator for the Pastoralist Livelihoods Program*

Daniel Maxwell – *Research Director for Food Security and Livelihoods in Complex Emergencies*

Darlington Akabwai – *Senior Researcher, Team Leader for the Karamoja Research Team*

Dawit Abebe – *Senior Pastoralism and Policy Specialist*

Dyan Mazurana – *Research Director for Gender, Youth, and Community*

Elizabeth Bontrager – *Assistant Researcher*

Elizabeth Stites – *Senior Researcher for Conflict and Livelihoods*

Helen Young – *Research Director for Public Nutrition*

Jeevan Raj Sharma – *Researcher*

John Burns – *Lead Researcher for Humanitarian Impact Assessment*

Karen Jacobsen – *Associate Professor and Academic Director, Research Director for Refugees and Forced Migration*

Kate Sadler – *Senior Researcher Public Nutrition in Emergencies*

Khristopher Carlson – *Senior Researcher: Children, Armed Conflict, and International Human Rights*

Lacey Gale – *Researcher*

Lynellyn D. Long – *Research Director for Humanitarian Studies*

Peter Walker – *Director of the Feinstein International Center*

Yacob Aklilu – *Senior Researcher*

### Support Staff

Anita Robbins – *Administrative Assistant*

Ann O'Brien – *Administrative Manager*

Beth O'Leary – *Grant and Budget Coordinator*

Fasil Yemane – *Office Manager, Addis Ababa*

Hailu Legesse Tsehayu – *Accounting Assistant, Addis Ababa*

Hirut Demissie Banjaw – *Administrative Assistant, Addis Ababa*

Jonelle Lonergan – *Web Specialist*

Rosa Pendenza – *Administrative and Finance Director*

### Visiting Fellows

Ali Saleem – *Visiting Fellow*

Anton Baare – *Visiting Fellow*

David D. Sussman – *Visiting Fellow*

Elisa Mason – *Visiting Fellow*

Kim Wilson – *Visiting Fellow*

Margie Buchanan-Smith – *Visiting Fellow*

Simon Harris – *Visiting Fellow*





**Feinstein**  
**InternationalCenter**

Feinstein International Center

Tufts University

200 Boston Ave., Suite 4800

Medford, MA 02155

USA

tel: +1 617.627.3423

fax: +1 617.627.3428

[fic.tufts.edu](http://fic.tufts.edu)