

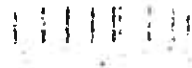
**UNIVERSITY OF NAIROBI**

**INSTITUTE OF DIPLOMACY AND INTERNATIONAL STUDIES**

**// EMERGENCE OF CROSS-BORDER MANAGEMENT INITIATIVES AND  
IMPACT ON DISASTER RESPONSE: A CASE STUDY OF KENYA AND  
ETHIOPIA BORDERS //**

**BY**

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UNIVERSITY OF NAIROBI**

**NOVEMBER 2017**

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## DECLARATION

Declaring my project is original and not submitted in any University or College.


Stephen Kerempe Sane

Signature..... 

Date..... 17 November 2017

The project is submitted to me as the official approved University Supervisor.

Prof. Peter Kagwanja

Signature..... 

Date..... 17/11/2017

## **DEDICATION**

It is a pleasure to dedicate this study to my family and friends; for their unfailing love, understanding plus support for the many absent days that I have been away toiling. Special dedication to my wife especially for being such a wonderful partner, holding the fort we call a home together and always encouraging me and assuring me that all was well while I was away on studies. In addition I sincerely dedicate this work to my loving children, whom, apart from being their Dad, a mentor too, and had to persevere my long absence. I also dedicate this to my friends who have missed me in the usual run-of-the-mill ventures and helped many ways.

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## **ACRONYNS AND SYNONYMS**

<b>AU</b>	<b>African Union</b>
<b>ASEAN</b>	<b>Association of Southeast Asian Nations)</b>
<b>AUBP</b>	<b>African Union Border Programme</b>
<b>BREXIT</b>	<b>Britain Exit</b>
<b>BSM</b>	<b>Border Security and Management</b>
<b>CAR</b>	<b>Central African Republic</b>
<b>CEPREDENAC</b>	<b>Central America, the Central American Integration System's</b>
<b>CBM</b>	<b>Coordinated Border Management</b>
<b>CHE</b>	<b>Complex Humanitarian Emergency</b>
<b>CIP</b>	<b>Cross-border Initiative Programme</b>
<b>CRM</b>	<b>Cross Border Management</b>
<b>DFS</b>	<b>Department of Field Support</b>
<b>DPKO</b>	<b>Department of Peacekeeping Operations</b>
<b>DRR</b>	<b>Disaster Response Reduction</b>
<b>DRR</b>	<b>Disaster Risk Reduction</b>
<b>EAC</b>	<b>East African Community</b>
<b>ECOWAS</b>	<b>Economic Community of West African State</b>
<b>EU</b>	<b>European Union</b>
<b>GLR</b>	<b>Great Lakes Region</b>
<b>IFRC</b>	<b>International Federation of the Red Cross</b>
<b>LDC</b>	<b>Least Developed Center</b>
<b>LRA</b>	<b>Lords Resistance Army</b>
<b>NIPSS</b>	<b>National Institute of Policy and Strategic Studies</b>
<b>OAU</b>	<b>Organization of African Unity</b>

<b>OECD</b>	<b>Organization for Economic Cooperation and Development</b>
<b>RDMCOE</b>	<b>Regional Disaster Management Center of Excellence</b>
<b>SALW</b>	<b>Small Arms and Light Weapons</b>
<b>SWAC</b>	<b>Sahel and West African Club</b>
<b>UN</b>	<b>United Nations</b>
<b>UNDP</b>	<b>United Nations Development Programme</b>
<b>UNISDR</b>	<b>United Nations International Organization for Disaster Reduction</b>
<b>UNMAS</b>	<b>United Nations Main Action Service</b>
<b>USA</b>	<b>United States of America</b>
<b>USSR</b>	<b>Union of Soviet Socialist Republics</b>
<b>UXO</b>	<b>Unexploded Ordinance</b>
<b>WCD</b>	<b>World Customs Organization</b>
<b>WCO</b>	<b>World Customs Organization</b>

## ABSTRACT

Disasters have been on the increase in the world, now more than ever before, with developing countries facing the most brunt. This study reviews the impact of cross-border management initiatives on disaster response. The general study objective is to assess the impact of cross-border management initiatives on disaster response, through the use of the case study of Ethiopia and Kenya borders. It is important to appreciate the fact that borders can be hotly contested by a wide variety of conflict actors and governments. It is also crucial to note that regular citizen can play a more decisive role on border issues, especially when it comes to building peace and stability than even government. Cross border disaster interventions have eluded most countries within the East African region, mainly owing to low capacity. This challenge is made worse by disaster management mechanisms that are inadequate and/or unavailable for regional cooperation to mitigate and prevent manmade and natural disaster. Emerging cross border initiatives and cooperation are known to allow many stakeholders to come together. In the long term, they create fairly sustainable response mechanism for disaster risks enhanced through sharing of information and resources. This study aims to examine the emergence of cross-border management in Africa. It examines how Eastern African states can create structured processes of cross-border management to enhance response to disasters, and finally examines the challenges and opportunities of cross-border management initiatives and disaster response in Kenya and Ethiopia. The study utilized neo-realist theory. Specifically, the study applied the use of *neo-realist* approach to security that has also been christened the new security thinking. This approach attempts to broaden the concept of security but still looks at the state as an important player in the provision and management of security. One of the major proponents of this approach is Barry Buzan who has broadened the meaning of security. The target populations were all the key stakeholders in national disaster preparedness sector and persons in areas with high prevalence of disasters. It relied on desktop review of exiting scholarly literature for secondary data and focused group discussion tool for primary data. A questionnaire was administered to the key disaster preparedness stakeholders such as National Disaster Operations Centre, the National Police Service, Kenya Wildlife Service, Kenya Forest Service, the Kenya Red Cross, United Nations and other Non-governmental organizations practitioners relevant to the field. Data analysis was done using descriptive statistics and document analysis was done. The study found that the majority of respondents (30%) were in age group (50 – 59) and the lowest age group numbers (6%) were in (60-69) years. This was an indication that the target group had a lot of experience on the subject of the topic. The study came to the conclusion that disaster risk management appears to be a great challenge in this modern century and hence calls for modern disaster management approaches. This study therefore recommended the need for active community participation in cross border disaster management and response. In addition, this study highly recommended refresher training, acquisition of materials/equipments and enhanced cross border disaster management techniques.

**STUDY AREA MAP 1**



**Figure 1: Map of Africa – East Africa**



## CHAPTER ONE

### 1.0 INTRODUCTION TO THE STUDY

This section is made up of the study background on emergence of cross-border management initiatives and its impact on disaster response, problem statement, research questions, justification, scope of the study, the theoretical framework, methodology and chapter outline.

#### 1.1 Study Background

Borders, in the modern world are becoming irrelevant considering modern day technology or if you were to take President Barack Obama's statement on nationhood seriously. All the world is a village as the saying goes. But still borders are usually contested, officially that is, by itinerant conflict actors. This complicates cross-border security for many countries and thus calls for regional initiatives many of them driven by national goals to address matters of insecurity, conflicts, trade among others.<sup>1</sup> Regional initiatives have been fighting hard to contribute to conflict resolution, and or conflict prevention.<sup>2</sup> Cross-border conflicts are dynamic and vary and many a time is unique.

This study notes that general public, private sector and civil society entities have been encourage by cross border initiatives to develop programs which encourage regional stability, integration and cooperation especially through funding initiatives directed to establishing common finding common ground in culture, ethnicity and trade relations among others.<sup>3</sup> These initiatives are aimed at fostering best practices that will enhance good neighborliness

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<sup>1</sup> UNDP. *Reducing Disaster Risk: A Challenge for Development*. Bureau for Crisis Prevention and Recovery, UNDP (United Nations Development Programme), New York, New York, USA, (2004), p. 199.

<sup>2</sup> The Commission on Human Security. *Human Security Now: Protecting and Empowering People*. New York, (2003), p. 23.

<sup>3</sup> UNDP. *Reducing Disaster Risk: A Challenge for Development*. Bureau for Crisis Prevention and Recovery, UNDP (United Nations Development Programme), New York, New York, USA, (2004), p. 199.

among states.<sup>4</sup> Cross-border areas are nests of growing multifaceted insecurity and disaster problems among which contemporary organized transnational crime is more pronounced and topical.<sup>5</sup> Geographic border, in many cases, seems political between two or many political entities.<sup>6</sup> It is vital to note that borders have an effect of cushioning a society from cultural, social and economic challenges, that many harbour any forms of potential disasters.

Cross border efforts generally mean the improvement on the existing cultural, political, economic and information available that foster good relations among states.<sup>7</sup> When such disasters take place, existing in-Country disaster response mechanism is generally not fully prepared to protect people's physical and psychological wellbeing within the country's borders.<sup>8</sup> World states should have the power and the full responsibility to offer protection to its citizens, property and other valuables from any form of losses attributed to disasters.<sup>9</sup> This study notes that states cannot achieve disaster management on their own and therefore need many stakeholders that include citizens, international partners, development agencies, governmental political plus or economic associations and international organisations, the media, scientific community and civil society.

Management of disaster is considered as the coordination and integration of key activities that aim to sustain, build plus enhance the capacity to mitigate and adequately prepare against potential disaster risks.<sup>10</sup> This study reveals that effective disaster preparedness can only be

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<sup>4</sup> Op. Cit. UNDP, (2004), p. 200.

<sup>5</sup> Commission on Human Security. *Human security now: protecting and empowering people*. New York: Commission on Human Security; (2003), p. 23.

<sup>6</sup> Ibid, 200.

<sup>7</sup> Beck, A.A. *Building bridges: The role of disaster diplomacy*. Crisis Response Journal, vol. 11, no. 2, (2015), pp. 42-43.

<sup>8</sup> Ibid. Beck, (2015), pp. 42-43.

<sup>9</sup> UN. *Department of Peacekeeping Operations*, (2013), United Nations.

<sup>10</sup> Bashir, A. H., Executive Secretary of the Intergovernmental Authority on Development (IGAD), Speech at the Meeting of Ministers of Justice of IGAD member states on Legal Cooperation Against Terrorism, 20 September (2007).

successfully through the coordination of various bodies from the international, regional, national and local arenas respectively.

The study notes that disasters continue to negatively impact on societies and communities living along the borders. The Eastern Africa region is recognized as one of the regions that suffer severe natural disasters, especially disaster drought and violent conflict with the worst hit areas being those on the borders between Kenya, Sudan, Ethiopia, Somalia plus also Uganda that is attributed to about forty of natural disasters with drought being the leading risk. These disasters can fuel violent conflicts and migration along the borders with negative impacts on regional peace and security.<sup>11</sup>

The study also notes that the effects of disasters are much more devastating in terms of lives and properties because usually these areas of the borders are usually populated by vulnerable persons that sometimes include rural folks, migrant and even refugees. This study observes that natural disasters combine with violent conflict, and migration, plus vulnerability of population sets in an emergency.

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<sup>11</sup> Eunice Njambi, *Emergency Preparedness and Response in Eastern Africa*, Issue Briefs 2015 series, Issue No. 6. (Nairobi: International Peace Support Training Centre), Sept 2015, p. 71.



## **1.2 Problem Statement**

Cross-border initiatives promoted by national governments of neighbouring countries can go further, for example in the form of bi-lateral, multilateral or even tri-lateral treaties or agreements authorising direct collaboration between border local and regional communities.<sup>12</sup>

This study notes that the countries within the East African region have not invested adequately on cross-border disaster response initiatives. The lack of adequate and effective disaster response is worsened by lack of sufficient funding, inadequate disaster mitigation mechanism, shallow mandate, scattered efforts, lack of trained personnel and lack of regional coordinated efforts directed towards manmade and or natural disasters.

Similarly, this study notes that states in Africa have not always factored aspects of cross-border initiatives involving disaster planning, coordination and response. This has adversely resulted in slow, insufficient and in some parts non-existence of cross border disaster response initiatives that have sometimes created unnecessary friction among neighbouring states.

Kenya, like most other countries in east Africa and the continent at large, is now at a very crucial stage of development. It has developed at the strategic level many visionary projects that will see its economy grow at double digit levels, some of which will impact directly on current social order as well as the environment. It therefore needs to effectively prepare itself to handle man-made disaster, through increased knowledge with regards to man-made disaster exposure risks and available resources for enhanced preparedness and response capacities in the region.

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<sup>12</sup> Maurice Ope, *et al*, Regional Initiatives in Support of Surveillance in East Africa: The East Africa Integrated Disease Surveillance Network (EAIDSNet) Experience (2013), Published online (2013).

### **1.3 Study Objectives**

The study objective entailed to establish emergence of cross-border disaster management initiatives and its impact on disaster response, case study of Kenya and Ethiopia borders.

- 1.3.1** Examine the rationale of emergence of cross-border management in Africa.
- 1.3.2** Examine how Eastern African states can create structured processes of cross-border management initiatives to enhance response to disasters.
- 1.3.3** Examine the challenges and opportunities of cross-border management initiatives and disaster response in Kenya and Ethiopia borders.

### **1.4 Research Questions**

- 1.4.1** What is the rationale of emergence of cross-border management initiatives in Africa?
- 1.4.2** How can Eastern African states create structured processes of cross-border management initiatives to enhance response to disasters?
- 1.4.3** What are the impacts of cross-border management initiatives and disaster response in Kenya and Ethiopia borders?

### **1.5 Study Justification**

In undertaking this study, it is aimed that it will help to minimize the division in the empirical and theoretical literature between cases on Kenya and its neighbours. Kenya and Ethiopia are mostly disaster prone states and their disaster risks usually disproportionately affects the most vulnerable populations in the area. Hence this study aims to establish new knowledge to policy makers in the pursuit of effective preparedness and timely response to disasters and emergencies that affect people in the far areas along border areas.

Kenya arrangement has put measures in place to ensure disaster management. However, there is dire need to mobilize adequate resources and embrace modern technology in disaster management strategies; therefore this study aims to influence policy makers and stakeholders such as National Disaster Management Authority and National Disaster Operations Centre on more effective disaster management strategies, coming in the wake of the most recent series of disaster in the Country and the region. The study highlight importance of disaster preparedness if the country is to attain the goals set out in the Vision 2030. In addition this study will contribute to scholarly literature on effective disaster management in Kenya.

## **1.6 Literature Review**

This study notes that borders enhance the existence of states, by making them visible as the most basic regional and global building blocks that were curved out by Westphalian state system, which reigned about four centuries ago.<sup>13</sup> Currently, borders that are considered contemporary are considered most important, especially as interdependence between neighbouring states that churns new and promising opportunities to deal with cross border mobility and ever increasing global distribution of conventional and new threats.

Bashir argues that states have now recognized the importance of securing their borders, especially in light of the challenges resulting from these porous borders. States further need enhanced cross border cooperation that will enable inter-agency cooperation, in turn resulting to community collaboration that will ultimately neutralize any form of hostility thus furthering a stronger bond in addressing potential disasters.<sup>14</sup> States should understand that a multilateral, coordinated approach to border management is integral to addressing disasters.

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<sup>13</sup> M. Mandelbaum, *The Ideas that Conquered the World*, New Delhi Viva Books Private (2007).

<sup>14</sup> Bashir, A. H., Executive Secretary of the Intergovernmental Authority on Development(IGAD), Speech at the Meeting of Ministers of Justice of IGAD member states on Legal Cooperation Against Terrorism, 20 September (2007), p. 78.

Akinyemi posits that emerging from the Westphalian state of 1648, cross border security and disaster management has taken heightened importance among developing states.<sup>15</sup> According to Stella Wasike *et. al.*, the diplomatic engagement amongst neighbouring states is usually initiated by groups and or individuals of goodwill within the society, whose main objective is to step-up mutual appreciation of cross border disaster initiatives thorough person to person contacts, and in the process impact skills on effective disaster management processes.<sup>16</sup>

Adesola observes that African states have a daunting task of better managing their borders in such a way as to secure their integrity, territorial sovereignty, tackle emerging distastes, promote regional cooperation and friendship. These cross border management drives are mainly spear headed, so as to step up the emergence of cross-border disaster management initiatives and its impact on disaster response, that may result from vices such as, human tracking, terrorism, money laundering, piracy, smuggling drug trafficking and many other cross border threats.<sup>17</sup> This study found that developing countries have unique cross border challenges, and thus understanding cross border management agendas may pose a challenge, as it is mostly dependant on the states in question.

The United Nations defined Coordinated Border Management (CBM) as the deliberately coordinated way by which agencies that control borders maintain and manage travel follows and trade while ensuring security of the concerned citizens and their property.<sup>18</sup>

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<sup>15</sup> O. Akinyemi, *Globalization and Nigeria Border Security: Issues and Challenges*; International Affairs and Global Strategy, (2013).

<sup>16</sup> Stella Wasike et al., (PhD Candidate), *The Nature of Track Three Diplomacy and its Influence on Cross-Border Security Relations between Kenya and Somalia*, Masinde Muliro University, Kenya, International Journal of Managerial Studies and Research (IJMSR), Volume 4, Issue 7, July 2016, PP 1-12, p.2

<sup>17</sup> F. Adesola, *National Security in Nigeria's Relations with its Neighbours*. PhD Thesis, Department of International Relations, Obafemi Awolowo University, Ile Ife, Nigeria, (2008), pp. 67-71.

<sup>18</sup> UNDP. *Reducing Disaster Risk: A Challenge for Development*. Bureau for Crisis Prevention and Recovery, UNDP (United Nations Development Programme), New York, New York, USA, (2004), p. 199.

This study notes that when it comes to efficient border management, Africa countries face a lot of challenges, that has now been made worse by globalization, which is slowing tearing down traditional borders by means of technological advancements is increasingly tearing down traditional borders and transforming international relations.<sup>19</sup>

According to Willie, the traditional sense of borders involves stopping, examine and even interdicting people and cargo. Willie further notes that borders are also involved in the conveyance of goods, and or cargo from the point of entry up to the exit. Therefore borders can be said to perform a linking function as well as some kind of lie that separates entities.<sup>20</sup>

Willie continues to argue that Cross Border Management initiatives have been known to bring about benefits and many advantages to individuals, governments and agencies. When it comes to the level of government, implementation, and even the initial design of Coordinated Border Management systems result in a reliable service delivery at the border points.<sup>21</sup> This therefore means that cross border initiatives usually strengthen promise to deal with issues, such as disasters adequately across borders.

The Red Cross International in its 1996 publication<sup>22</sup>, explained that the livelihood (human) approach is at the juncture of disasters and development and clarifies that disasters are part of daily life and must be overcome to maintain subsistence. It also includes several new and growing vulnerabilities that include most geodynamic areas of seismic and volcanic activity, hurricanes, fires, droughts and uncontrolled urban disproportions, and speculative land

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<sup>19</sup> C. Bassey and O. Osita, *Governance and Border Security in Africa*. Malthouse Press, Lagos, (2010), p. 19.

<sup>20</sup> N. D. Willie, *Trans-national threats and national security concerns: A study of Nigerian Republic border*, (2011), pp. 12-13.

<sup>21</sup> United Nations Development Programme, *Reducing Disaster Risk: A Challenge for Development*. Bureau for Crisis Prevention and Recovery (UNDP), New York, New York, USA, (2004).

<sup>22</sup> IFRC, *World Disaster Report: Focus on reducing Risks*, (France: SADAG Imprimerie), 1996, pp. 32-43.

markets that have led to many marginalized settlements in high risk areas.<sup>23</sup> It also highlights that development pressures of population growth and urbanization are threatening to increased vulnerability.

The East African Community expresses that contention and flimsiness appraisal, the vast Horn of Africa furnished clash plus precariousness lately thought close fringe territories; represent a noteworthy danger of overflow; and highlight capable cross-outskirt drivers, interests, and performers. As of late, local governments have restored responsibility regarding address trans-fringe strife issues and this constitutes a critical window of chance.<sup>24</sup>

The USAID noticed that the vast majority of these contentions are because of natural dangers. The distribution recommends that one of the real patterns in government interests is a substantially more prominent sense of duty regarding overseeing outskirt clashes and elevating answers for territorial clashes. There are three contending sees on the fringes of East Africa, for example, remote zones, security dangers, and regions of monetary trade and openings.<sup>25</sup>

World Disaster Report also highlights that development pressures of population growth and urbanization are threatening to increase vulnerability. It also discusses the Rwanda disaster and questions whether soldiers should be in the humanitarian frontline.<sup>26</sup> This responsibility squarely rests upon governments.

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<sup>23</sup> Op. Cit. Bassey and Osita.

<sup>24</sup> United Nations Development Programme, *Reducing Disaster Risk: A Challenge for Development*. Bureau for Crisis Prevention and Recovery, New York, New York, USA, (2004), p. 199.

<sup>25</sup> USAID. East Africa Regional Conflict and Instability Assessment Final Report, Tetra Tech ARD, 2012, p. 9 - 10.

<sup>26</sup> IFRC, *World Disaster Report: Focus on reducing Risks*, (France: SADAG Imprimerie), 2002, pp. 6-45.

Jonathan Benthall in his book *Disaster Relief and the Media* points out that disaster have been there from earliest history with the bible recording numerous plagues, floods, famines and destructions of cities. In 79 BC the city of Pompei in southern Italy was buried in volcanic ash. He goes to write that it is generally recognized that even the sudden elemental disaster nearly always include a human hand. Further, he points out that the core international humanitarian aid outside the control of government, though enshrined in law and treaties, is the Red Cross and Red Crescent movements.<sup>27</sup> This study notes that during the bomb blast of the US Embassy building in Nairobi in 1998, the Task Force formed soon after reported that the response of the public to the disaster was quick and spontaneous.<sup>28</sup> It suggests that the nation should strengthen response in Kenya disaster risk management initiatives.

This study concludes that disaster response assessments indicated that the response responded to the government and other stakeholders more than it had been if sufficient efforts made to effectively disaster management, as demonstrated by cost to respond to cross-border disaster.

## **1.7 Theoretical Review**

### **1.7.1 Neo-realism Theory**

The study will utilize neo-realist Theory. Specifically the study will apply use of *neo-realist* approach to security which has also been given the moniker the new security thinking. This approach attempts to expand the concept of security but still view the state as a key player in the provision and management of security. Barry Buzan is one of the major proponents of this

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<sup>27</sup> Jonathan Benthall, *Disaster Relief and the Media*, (London: I.B. Taurus & Co. Ltd. Publishers), 1993, pp. 10-23.

<sup>28</sup> Republic of Kenya, *Nairobi Bomb Blast Report*, August 1998, p.7.

approach.<sup>29</sup> This study concludes that most academics agree that three important elements of the state are government, people and territory. This therefore means that the whole (state) has a symbiotic relationship with the individual parts. If constituent parts of a state are insecure the state as a whole cannot be secure. Also, if the state as the institution representing its constituent parts is insecure its elements are ultimately affected. The neo-realist approach looks at the two issues - human security and state security, as referent in the conceptualization of security. Buzan has argued that the state becomes the referent of security as the representative institution of 'human collectivities' who in this case are the citizens of a state.

### **1.7.2 Regionalism Theory**

The purpose of this section is to state Regionalism Theory as an option in learning the role of hegemonic leadership in regional conflict resolution with reference to establishment of regional frontiers in East Africa, and particularly the African Standby Force. The Regionalism theory refers to regionalization of region/sub region security where security is conceptualized in the sense of regional and sub-regional arrangements. Regionalism is should be understood as a tool; a tool to establish a regional order and to mitigate local instabilities and conflicts, and to prevent future outbreaks of interstate and intrastate violence.<sup>30</sup>

In many conflicts that has taken place particularly in Africa regionalism has become a crucial factor. States are increasingly using existing regional institutions and structures to resolve disputes between them. This is especially true when viewed through the prism of foreign policies of powerful countries,<sup>31</sup> who frequently take interest on disputes between states.

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<sup>29</sup>.Wafula, Okumu, *Border Management and Security in Africa*, African Union Border Programme (AUBP), Addis Ababa, Ethiopia. p.2.

<sup>30</sup>Alagappa Muthiah, *Regionalism and Conflict Management: "A Framework for Analysis" Review of International Studies*, Vol. 21, No. 4 (Cambridge University Press), (2012), pp. 359-387.

<sup>31</sup> J. Kayode Fayemi (eds.), *Mercenaries: An African Security Dilemma*, (London: Pluto Press, 2000).



## **1.8 Hypothesis of Study**

**1.8.1** There is a direct linkage between emergence of cross-border management and response to disasters initiatives.

**1.8.2** The Eastern African states have successfully made structured processes of cross-border management initiatives.

**1.8.3** Policy framework is a clear challenge to cross-border management initiatives between Kenya and Ethiopia borders.

## **1.9 Study Methodology**

Research methodology implies the methods that will be used to tackle the research. The study the target population included all the key stakeholders' in cross-border management and in disaster response and the involved communities in the areas with high prevalence of disasters along the Kenya-Ethiopia border.

Data collection for the study included desk top review of scholarly literature for secondary data and key informants tool for primary data. For key informants, telephone and electronic mails interviews were used to obtain the required data. A questionnaire was administered to the key disaster preparedness stakeholders; Red Cross, National Disaster Operations Centre, St. Jones Ambulance, Kenya Forest Service, National Disaster Management Authority, Nairobi County Council, Non-governmental organizations, Kenya police and many others. After collection of the questionnaires of key informant, the mass of raw data collected was systematically organized to facilitate analysis. Data analysis was undertaken using descriptive statistics and document analysis. The researcher intends to use qualitative data collected to make general statements on themes of data are related.

Data analysis will be by use of content and or document analysis, through a review of literature and reports. The final data was presented in form of narrative, pie chart, bar graphs and frequency tables to assess whether or not the interpretation is supported by the data. The outcome set the record straight and results into a greater understating of issues of cross-border management impacts on disaster response initiatives.

## **1.10 Study Outline**

### **Chapter 1: Introduction to the Study**

Chapter one is made-up of the introduction. In this section the introduction lays a brief background to the study and a theoretical framework of the issues. The key components of this section are problem statement, objectives, literature review and study justification.

### **Chapter 2: Rationale of cross-border management initiatives in Africa**

Chapter two will review the background information on borders and the rationale of emergence on cross-border management.

### **Chapter 3: Eastern African states can create structured processes of cross-border management initiatives in enhancing response to disasters**

Chapter three reviews the new forms of structured processes of cross-border management initiatives in enhancing disaster responses in Easter Africa.

### **Chapter 4: Challenges and opportunities of cross-border management initiatives on disaster response in Kenya and Ethiopia borders**

Chapter four takes a look at Challenges and opportunities of cross-border management initiatives on disaster response.

## **Chapter 5: Discussion, Conclusion and Recommendation**

The chapter five summarizes up the major findings in form of a discussion - based on objectives and hypotheses of the study, gives conclusions and recommendation.

## CHAPTER TWO

### 2.0 RATIONALE CROSS-BORDER MANAGEMENT INITIATIVES IN AFRICA

The Chapter contains the background information on national borders and the rationale of emergence on cross-border management.

#### 2.1 Cross-Borders Management

African nations are increasingly challenged with daunting tasks of regulating these borders in ways that ensure they're secure and preserve their territorial sovereignty or integrity. Borders are crucial instruments in the political, socio-economic and the multi-cultural interactions among African peoples. The importance of borders in either promoting or undermining regional and continental integration is clarified by the African Union (AU) initiatives to turn borders from barriers into conduits by allowing people easy and convenient migration across them, engage in productive cross-border trade, and carry out their socio-cultural responsibilities.<sup>32</sup>

Ikome notes that crimes can now be committed without having to cross borders. In addition, goods and services are now traded through the internet from one country to the other, including through the dark web.<sup>33</sup> The study notes that the upsurge in cross border movement of persons, increased trade, ferrying of goods and services puts a lot of undue pressure on the cross border control systems, which may be more disaster prone. Major lessons can be learned

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<sup>32</sup> Alagappa Muthiah, *Regionalism and Conflict Management: "A Framework for Analysis" Review of International Studies*, Vol. 21, No. 4 (Cambridge University Press), (2012), pp. 359-387.

<sup>33</sup> Francis Nguendi Ikome, Paper for Institute of Security Studies 233: *Africa's International Borders as Potential Conflicts and Future Threats to Peace and Security*, (2012), pp.1-16.

from the European Union where the push and pull factors have been noted to disadvantage some state against others.

The border management systems also help in lowering organized criminal activities, such as traffickers, smugglers and other border crimes. This study notes that challenges in coordination and cooperation at different levels of local, national and regional levels hinder border management. Most cross borders or border structural management initiatives do not involve or include frontier communities.

In the African scene, the patrolling of cross borders amongst country's borders can quite often lead to violations of another country's territorial integrity. Further, in the words of Helmoed-RömerHeitman, "one cannot really fully control what one does not freely patrol."<sup>34</sup> African water borders face more insecurity due to the lack of enough resources to patrol and ultimately control them.

The study further notes that very few maritime boundaries have demarcated. Case in point is the border between Kenya and Uganda, Somalia and Tanzania contributed to an increase in pirate attacks in East Africa and the Gulf of Guinea. Additionally, African states face challenges from its maritime resources through unregulated, unreported and illegal (UUI) fishing, dumping of toxic wastes, and smuggling (which is sometimes supported by state parties and are given the creative euphemism).<sup>35</sup>

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<sup>4</sup> Defence Web, "African borders poorly policed," <http://www.defencweb.co.za/index>. Accessed on 17 February 2016.

<sup>5</sup> Ibid.

## **2.2 Border Management Issues in Africa**

In understanding border management in Africa, most programs for border management do not fully appreciate where state borders are located and this is because in reality borders are left unmonitored, unpatrolled or uncontrolled.<sup>36</sup> Some key security matters in border management in Africa.

### **2.2.1 Human Smuggling**

Human smuggling is the act of consciously assisting illegal immigrants, for a fee, to cross local, regional or international boundaries. It is usually exploitative and done in foreign lands. Prolonged war, grinding poverty, flawed or non-existent birth registration systems, social stigma, religious ideology, corruption and failing or failed states contribute to citizens from Africa to be trafficked and forced or trapped into vices such as, organ harvesting, prostitution or other life of criminal activity.<sup>37</sup>

### **2.2.2 Criminal Syndicates**

This study notes that some organized criminal groups use ships, aircraft and land transport, particularly in regional conflict clusters of the Great Lakes Region (GLR), the Horn of Africa and Mano River. They also smuggle weapons across these borders without much difficulty. Some of the arms smuggling activities are linked to natural resources such as diamonds that are used to buy more weapons. The GLR conflicts have particularly been ignited and propagated by natural resources that have drawn in national militaries of Angola, Namibia,

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<sup>36</sup> *Illegal Migration and the Impact of Cross Border Crime.* Web link: <http://www.defencweb.co.za>. Accessed 17 February 2016.

<sup>37</sup> Jonathan Fowler, "UNICEF: Human Trafficking in Africa Fueled by War, Economic Hardship, and Lack of Birth Registration," Associated Press, 23 April 2004.

Rwanda, Uganda and Zimbabwe and sustained by motley of rebel groups, some of them acting as proxies of foreign governments and interests.<sup>38</sup> In Kenya, these illegal arms are causing, a lot suffering, and death and propagates cattle rustling in the North Rift areas of Baringo, Turkana and Samburu.

### **2.2.3 Auto Theft**

This study notes that as per border security management across African countries Auto theft is another new phenomenon. Citing APA News report, in South Africa, more than one hundred cars, mainly Land Cruisers, four wheel drives, Mercedes-Benz, and BMWs are stolen and smuggled across the border with Mozambique, and these happen to be monthly figures.<sup>39</sup>

### **2.2.4 Terrorists Activities**

Wafula and Anneli wrote that, porous and poorly secured borders have been allowing terrorists to cross over, particularly in the Horn of Africa and the Sahel regions, with ease while armed with either weapons or munitions; bomb making ingredients; or already constructed IEDs and their radical message. Many of the sources of transnational terrorism in Eastern African, particularly in Kenya and Uganda have been found to originate from the areas of Somalia<sup>40</sup> that lack state control.

### **2.2.5 Mercenaries**

The use of mercenaries has become, if I may, almost fashionable in major African civil wars such as those fought in countries such as Sierra Leone, Somalia, Liberia, Angola, the DRC and some of these mercenaries infiltrate these civil wars easily due to unmanned and porous

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<sup>38</sup> Small Arms Survey 2007, "What Price the Kalashnikov: The Economics of Small Arms."

<sup>39</sup> APA, "Up to 100 cars smuggled to Mozambique monthly: Parliament."

<sup>40</sup> Wafula Okumu and Anneli Botha (eds), *Understanding Terrorism in Africa: Building Bridges and Overcoming the Gaps* (Pretoria: Institute for Security Studies, (2007).

borders.<sup>41</sup>

### **2.2.6 Drug trafficking**

Africa has become a major transshipment route of narcotics that are carefully hid during transportation and also fake manifests are used to hide their origins and avoid law enforcement inspection. Many a time these tactics even endangering the lives of law enforcers. Narcotics from South America to Europe have an easy time flowing across West African borders.<sup>42</sup> Illicit drug trafficking is carried out via all means of transportation known to man in this century usually culminating in offshore drops at ungodly hours.

### **2.2.7 Unexploded Ordnance**

The United Nations found that landmines and unexploded ordnance are on the African battlefield by their millions. They have contaminated the African battle spaces and border areas as a result of prolonged wars or conflicts. They were used to protect frontiers by a particular side from infiltration by enemy combatants or to deter illegal entry by unwanted foreigners.<sup>43</sup>

### **2.2.8 Movements of Population**

Kayode posits that population migration across frontiers as a consequence of war has had far-reaching security and legal implications. While these refugees fleeing these wars are protected by international humanitarian laws, many a time within their ranks may be armed combatants seeking to hide among them who could threaten the security of civilian refugees and local populations near the camps and national security as was witnessed in Rwanda when the

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<sup>41</sup> J. Kayode Fayemi. *Mercenaries: An African Security Dilemma*, (London: Pluto Press, 2000).

<sup>42</sup> UNODC, *Drug Trafficking as a Security Threat in West Africa*.

<sup>43</sup> UNMAS Annual Report 2009. Web link: <http://www.mineaction.org/doc.asp?d=1487>.



*Banyamulenge* and *Intarahamwe* militia crossed the border into Congo.<sup>44</sup>

### **2.2.9 Cross Border Raids**

This study notes that due to environmental conditions and the flora species available, Cattle herders are usually widely spread throughout border regions of Somalia, Ethiopia and Kenya. The herders, many of whom are nomads, are frequently engaged in cross-border raids by cattle rustlers. These raids many a time lead to loss of lives and property. They continue to threaten human security along Kenya -Ethiopia borders frequent at Merile and Kibish areas.

## **2.2. Ethnic Conflicts**

This study notes that there has been a perennial problem across east Africa's borders. The Oromo issue in Ethiopia, the Shifta issues in Kenya; the Sudanese People's Liberation Movement (SPLM) in Kenya-Sudan border, and currently Lord's Resistance Army (LRA) in Uganda-Sudan all point to the massive challenges being a concern in the region.<sup>45</sup>

## **2.3 Cross Border Management Initiatives in Africa**

This study further found that Cross Border Management (CBM) is actually an approach that seeks to manage national borders while involving public service agencies working across borders in a synchronized manner to achieve a shared objective and therefore provide a cohesive government response to the existing challenges of border management.<sup>46</sup>

## **2.4 Cross Border Management Initiatives on Current Issues**

Wafula believes that for the most part African countries inherited their borders; the colonialists artificially lumped together peoples whose pasts and cultures were not the

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<sup>44</sup> J. Kayode Fayemi (eds.), *Mercenaries: An African Security Dilemma*, 2000, (London: Pluto Press).

<sup>45</sup> UNODC, *Drug Trafficking as a Security Threat in West Africa*.

<sup>46</sup> UNMAS Annual Report 2009. Web link: <http://www.mineaction.org/doc.asp?d=1487>.

homogeneous and who, while not naturally or primordially against each other, would have chosen different paths to nationhood.<sup>47</sup> A recent report illustrated that international boundary issues are the most recurrent and topical factor in African peace and security concern. There has been some unrelenting incidences in all the regions of the Africa since early years of Independence.<sup>48</sup>

The eventual secession of Eritrea from Ethiopia in 1991 and, more recently, South Sudan from Sudan in 2011, would appear to raise worrisome developments of new secessionist activities such as was witnessed in northern Mali in 2011, where Islamic radicals declared a new independent sovereign republic, or the Kivu Province in eastern DRC, where a break-away faction of the national army, coded as M23, and who occupied the provincial capital town of Goma.<sup>49</sup> There are threats overlapping border forest in areas of Uganda, South Sudan and CAR by Joseph Kony's infamous LRA rebels who wreaked havoc on the land and local communities by abducting children and forcefully converting them into soldiers, raping women and forcefully making some girls brides for his soldiers.<sup>50</sup>

The difficulties facing African countries in to managing their borders are exacerbated by globalization that is making traditional borders irrelevant through great leaps and bounds in technology and the morphing of international relations as earlier stated.<sup>51</sup> Cross-border trading and movements have increased thus pressuring border control systems.

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<sup>47</sup> Wafula Okumu, *Border Management and Security in Africa*, African Union Border Programme (AUBP), Addis Ababa, Ethiopia. p.2.

<sup>48</sup> N. D. Willie, *Trans-national threats and national security concerns: A study of Nigerian-Benin Republic border*. (2011), pp. 12-13.

<sup>49</sup> Francis Nguendi Ikome, Paper for Institute of Security Studies 233: *Africa's International Borders as Potential Conflicts and Future Threats to Peace and Security*, (2012), pp.1-16.

<sup>50</sup> N. D. Willie, *Trans-national threats and national security concerns: A study of Nigerian-Benin Republic border*, (2011), pp. 12-13.

<sup>51</sup> N. D. Willie, *Trans-national threats and national security concerns: A study of Nigerian-Benin Republic border*. (2011), pp. 12-13.

The border management systems will also help in curbing organized crime activities near borderlands. They generate common understanding of border insecurity and how they can be addressed.<sup>52</sup> This study therefore concludes that cross border security, cross border disaster initiatives and cross border disaster response has not been given adequate attention in the context of developing states such as Kenya.

#### **2.4.1 Lack of Strong Institutions**

This study found that the administration of African borders is a marker of the idea of how African states lack strong and reliable institutions to manage their borders and related disasters in those borders. For instance, the commonness of cross border management and disaster training and or absence of similar administrative experts is most pronounced at the cross border zones. Therefore many African states need satisfactory and solid establishments to control their cross border issues.

#### **2.4.2 Lack of Cooperation**

This study found that challenges in proper coordination and cooperation at various levels of local, national and regional levels also affect the running of borders. Movement of security forces has often been done without the input of local people or considering local interests despite their intimate knowledge of the border terrain.

#### **2.4.3 Lack of Proper Demarcation**

This study notes that the lack of adequate cross border management training, necessary equipment, personnel, disaster management challenges, slow response and lack of capacity

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<sup>52</sup> Draft African Union Strategy for Enhancing Border Management in Africa, for African Union Border Program May 2012 Addis Ababa, Ethiopia.

amongst concerned persons, has made border within Africa unsafe and prone to disasters.<sup>53</sup>

## **2.5 Chapter Summary**

The reports clearly illustrate that most of the researches reflected the dominant realist approach, which explains the uptake of conflict over contentious issues of territory usually based on the premise of state interests.

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<sup>53</sup>Defence Web, "African borders poorly policed," <http://www.defenceweb.co.za/index>. Accessed on 17 February 2016.

## **CHAPTER THREE**

### **3.0 EASTERN AFRICAN STATES CAN CREATE STRUCTURED PROCESSES OF CROSS-BORDER MANAGEMENT INITIATIVES IN ENHANCING RESPONSE TO DISASTERS**

This Chapter reviews the new forms of structured processes of cross-border management initiatives in enhancing disaster responses in Easter Africa.

#### **3.1 Emerging Disasters Threats in East Africa**

Willie found that natural disasters are fairly manageable, as compared to man-made disasters. Earthquakes, famines and other forms of epidemics may pose a threat, but by the same token, if not worse, violent conflicts, injuries, collapsing buildings, terrorism, hunger and even cyber insecurity, causes a much bigger threat, to the developing world and all the lives at risk, as developing states tend to bare the worse brunt of disasters.<sup>54</sup> These other occurrences, which are more regular and frequent, take up most of the resources and capital of African States that would otherwise be used to tackle with disasters that, although devastate more people in a relatively shorter time period, are not regular and less frequent.

The focal point about comprehending why these calamities occur is that it is not only through acts of God. They are also due to social, political and economic environments, in regards to how these factors structure the lives of different groups of people. There's a risk in dealing with disasters as something odd or as events that deserve their own special focus. It is risky separating 'natural' (acts of god) disasters from the social-economic mechanisms that

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<sup>54</sup> N. D. Willie, *Trans-national threats and national security concerns: A study of Nigerian-Benin Republic border*, (2011), pp. 12-13.

determine how hazards affect populations, thereby stressing too much on the natural hazards themselves, and neglecting the surrounding social environment.<sup>55</sup> Quite a number of facets of the social environment are easily discerned; populations usually exist in dire economic conditions that force them to live in regions next to risky environments, be they the flood plains of rivers, near volcanoes or earthquake prone regions.<sup>56</sup>

Disasters are a complicated miasma of acts of god and their interactions to populations. For instance, conflicts in many regions are inextricably linked with famine and disease, including the spread of HIV and AIDS. Wars have many times, coincidentally, happened during a season of drought, and this has exacerbated the adversity that people have to endure.<sup>57</sup>

This study points out that disasters cause a major setback on human progress in terms of economic advancement both at the household level for obvious reasons and at the national level when infrastructure is damaged. The cyclic stresses, caused by various ‘natural’ trigger mechanisms, have many a time been made harder by human activities – both by their efforts in trying to decrease or just remedy the damage that can be brought about by disasters and by the social issues that causes of vulnerability.

### **3.2 Consequences of Cross-Border Exchanges within Eastern Africa**

Bauder defines the migration of people as the movement of people from one place to another in search of alternative livelihoods usually with the sole aim of establishing temporary

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<sup>55</sup> Akinyemi, O. *Globalization and Ethiopia Border Security: Issues and Challenges*, (2013), International Affairs and Global Strategy [www.iiste.org](http://www.iiste.org)

<sup>56</sup> Akinyemi, O. *Globalization and Ethiopia Border Security: Issues and Challenges*, (2013) International Affairs and Global Strategy [www.iiste.org](http://www.iiste.org)

<sup>57</sup> Ibid.

settlement or creating permanency in the new location.<sup>58</sup> Worldwide, population movement has become a focal discussing point on the international agenda due to its increased scale and consequences it has on world affairs, including national security concerns of states.<sup>59</sup> Migration and economic development are simultaneously linked; developmental retardation is a great motivator for people to emigrate even with limiting the resources to do so; in turn, migration can fast track the speed of development back home, though sometimes it might not be advantageous.<sup>60</sup>

The earliest efforts to record migration patterns in Africa illustrated that Africa, particularly Sub Saharan Africa, had a huge wave of population migration that surpassed averages worldwide.<sup>61</sup> The 1990s Africa saw its fair share of coups. There was an immense politicization and militarization of refugee camps and settlements leading to violent attacks and incursions into neighbouring countries, which as a result destabilized entire regions. The 1990s saw conflicts in Somalia which led to mass displacements and a large diaspora. The 1990s also saw the refugee crisis in East Timor which occurred in 1999. There was also a refugee crisis in West Africa. In Africa the refugee flow is an indication that there are a myriad crises which afflict many communities in the continent. Most of the refugee flows are the result of armed conflicts and civil strife.<sup>62</sup>

Negative consequence can emanate from migration. Key among them, violence. Violence and poverty are intimately and intricately linked, and causalities can be hard to identify. Ethnic

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<sup>58</sup>Bauder, Harald. *Labor Movement: How Migration Regulates Labor Markets*, New York: Oxford University Press, (2006), p. 10.

<sup>59</sup> Paul D. Williams, *Security Studies: An Introduction*, (Milton Park Abingdon, Oxon: Routledge 2 Park Square, 2013), p. 10.

<sup>60</sup>Ibid, (2013), pp. 12-18.

<sup>61</sup> Op cit.

<sup>62</sup> OAU Convention Governing the Specific Aspects of Refugee Problems in Africa, adopted by the Assembly of Heads of State and Government at its Sixth Ordinary Session on 10 September 1969, entered into force 20 June 1974.

fragmentation, within Africa's borders courtesy of colonial partition and hegemony, has undoubtedly stoked civil conflicts in the region.<sup>63</sup> Every year tens of thousands of Africans cross the borders illegally since it is exceedingly difficult for young workers to work in Europe legally. A study recently undertaken by the *Real Instituto-Elcano* pointed out that "this is only the beginning of an immigration phenomenon that could evolve into one of the largest in history." inexorably, organized crime syndicates have moved in to profit off this "underground" enterprise.<sup>64</sup> The viability of this enterprise is illustrated by the fact that even migrants from Asia are using Africa their conduit to Europe.

Asiwaju found that organised crime profits immensely from illegal immigration as they are already adept in smuggling a range of contraband from Africa to Europe. What are called 'Full packet solutions' are offered by West African organized crime groups. This is when the smuggling will not only involve transportation, fake papers, appropriate cover stories, and clandestine border crossings. For the most part these activities are kept under wraps from law enforcement, so awareness about them is minimal. Opportunists are also there, some purposely coordinated. They specialise in evading controls in their native countries.<sup>65</sup> The study takes into account that organized crime operates along the path of least resistance, and it selects its victims based on their weaknesses.

### **3.3 Views of Disaster in East Africa**

The study notes most work on disasters emphasises the 'trigger' or catalytic role played by natural environments in nature. Others zero in on the human preparedness to respond, resultant behaviours by people affected by risks such as trauma, economic, legal and political

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<sup>63</sup> Robert Muggah, (2006) *No Refugee: The Crisis of Refugee Militarization in Africa*, (London, Red Books Ltd.

<sup>64</sup> N. D. Willie, *Trans-national threats and national security concerns: A study of Nigerian-Benin Republic border*, (2011), pp. 12-13.

<sup>65</sup> Asiwaju, Anthony. *African Boundaries: Barriers, Conduits and Opportunities* (London: Frances Pinter Publishers Ltd, 1996).



consequences and repercussions.<sup>66</sup> Both these reports have come up with the assumption that disasters are not 'normal' social functioning, and that reconstruction means a return to normal.<sup>67</sup>

Zeroing in on vulnerable populations encourages us to consider natural events as secondary determinants of disasters.<sup>68</sup> Meier noted three crucial differences, if comparisons are made between the vulnerability of the rich and those who are less endowed in society in such cases. Firstly, fewer rich people seem to be affected in comparison by hazards like landslide across the world. Money gets one state of the art design and engineering that minimises the frequency of such events.<sup>69</sup>

The idea of defenselessness disaster represents the relationship that individuals' populaces have with their condition to social powers and organizations and the social esteems that maintain or corrupt them. The idea of vulnerability connects general political and economic conditions to specific environmental forces in understanding how basic ground conditions such as lack of resources or ethnic and racial tensions produce susceptibilities to very specific environmental hazards.<sup>70</sup>

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<sup>66</sup> Meier, P., *New Strategies for Early Response: Insights from Complexity Science*. International Studies Association Convention, (2007), p. 23.

<sup>67</sup> United Nations International Strategy for Disaster Reduction, (UNISDR). (2009). 2009 UNISDR terminology on disaster risk reduction. Geneva, Switzerland.

<sup>68</sup> United Nations International Strategy for Disaster Reduction, (UNISDR). (2009). 2009 UNISDR terminology on disaster risk reduction. Geneva, Switzerland.

<sup>69</sup> Meier, P., *New Strategies for Early Response: Insights from Complexity Science*. International Studies Association Convention, (2007), p. 23.

<sup>70</sup> Anthony Asiwaju, *African Boundaries: Barriers, Conduits and Opportunities* (London: Frances Pinter Publishers Ltd, 1996).

### 3.4 Cross Border Initiatives and Disaster Response in East Africa

#### 3.4.1 CEWARN

The study notes that disaster prevention and management in Africa is still a new field that require scholarly empirical studies. The Conflict Early Warning and Response Mechanism (CEWARN) in Addis Ababa, Ethiopia in 2002. CEWARN has progressively worked on its goals since 2003 and has a functioning mechanism that is one of longest on the African continent when compared with other bodies such as *Economic Community of West African States* (hereafter *ECOWAS*), African Union and *Southern African Development Community's* (hereafter *SADC's*) in creating and implementing initiatives of conflict prevention.<sup>71</sup> This millennium, in African countries have multiplied their initiatives to put in place modern Early Warning Systems.<sup>72</sup>

According to Glantz, early warning system integrated well with studies in risk assessment, action plan and effective communication, the EWS always lead to great benefits.<sup>73</sup> Glantz further argues that the importance of early warning systems is the ability to translate the predictions into action.

Glantz observes that the EWS were hardly state of the art, as they relied on rather primitive sources of information in order to make decisions. The author further observes that these previous systems were faced with many challenges but eventually led to an upgrading of the EWS.<sup>74</sup> Kumar notes that many institutions initially started early warning systems for their

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<sup>71</sup> Meier, P., *New Strategies for Early Response: Insights from Complexity Science*. International Studies Association Convention, (2007), p. 23.

<sup>72</sup> Jakkie C., *Towards a Continental Early Warning System for Africa*, ISS Occasional Paper 102, Pretoria: Institute for Security Studies, (2005), p. 101.

<sup>73</sup> Glantz, M.H., *Usable Science: Early warning systems: Do's and Don'ts*. Report of workshop, 20-23 October, Shanghai, China, (2003), p. 104.

<sup>74</sup> *Ibid*, p. 104.

internal projections, but in time these systems transformed globally and led to further analysis, and use of EWS.<sup>75</sup>

Weede notes that although the author highlights some key moments in the development and functioning of EWS, he falls short in giving specifics on the precise organizations and the connections between the early warning and response. Kumar notes that there are three generations of Early Warning Systems, and the first is where the entire early warning mechanisms were based outside the conflict region.<sup>76</sup>

Kumar reveals that the analysis of the existing EWS operations is still undertaken outside the conflict region.<sup>77</sup> The third generations of early warning systems are wholly placed in the conflict regions. The existing system combines together early warning and early response mechanisms in a seamless manner.<sup>78</sup> On the other hand Austin categorizes the established 'systems' into four categories of methodology: quantitative, qualitative, a hybrid of the previous two above and networks.<sup>79</sup>

The 'systems' that has an international reach include *Finance Alliance for Sustainable Trade [FAST] International* and the *International Crisis Group*. International institutions, like the United Nations (UN) and the European Union (EU), have their own 'watch lists' or 'global alerts', but these are not privately accessed. The UN High Commission for Refugees (HCR)

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<sup>75</sup> Jakkie C., *Towards a Continental Early Warning System for Africa*, ISS Occasional Paper 102, Pretoria: Institute for Security Studies, (2005), p. 569.

<sup>76</sup> Weede, E., *Income Inequality, Average Income, and Domestic Violence*, *Journal of Conflict Resolution* 25 (2001): pp. 639–54.

<sup>77</sup> Kumar, R. *A New Generation of Conflict Prevention: Early Warning, Early Action and Human Security*, paper presented at the Global Conference on the 'Role of Civil Society in the Prevention of Armed Conflict and Peace building. New York, (2005), pp. 79-92.

<sup>78</sup> Ibid, p. 123.

<sup>79</sup> Kumar, (2005), pp. 79-92.

has in addition now embraced a system that functions via write net to help the agency to respond to potential refugee flows.<sup>80</sup>

The early recognition of tensions and fact finding (FAST) at Swiss peace is the organization which has without fail used quantitative methods in data collection and analysis out of which it spawns graphs of social upheaval and cooperation trends. The methodology is based on studying of events and extrapolation of the trends which are gotten from the past and predict future escalation and crisis.<sup>81</sup>

Matveeva explains about quantitative systems as a tool of narrative analysis. The examples used by the author are good as they assist to further elaborate just how early warning systems work.

In the African context to strife early warning frameworks are distinctive considering the sorts of wars, geographic achieve, institutional levels and the kind of partners included. The method of contentions can be Intra-public clashes, between shared clashes, ethnic clashes, religious clashes, fringe clashes, between state clashes. Foundations charged to react to early cautioning are Governmental/Military Level, Academic/NGO level and Composition of Stakeholders Involved like Conflict Actors.<sup>82</sup> In Kenya, the NSC aims to promote and advocate for peace in the country through community based initiatives, to facilitate establishment of conflict early warning mechanisms, and finally to develop a comprehensive

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<sup>80</sup> Matveeva, A., *Early Warning and Early Response: Conceptual and Empirical Dilemma*: issue paper no 1; Global partnership for the prevention of armed conflict. Amsterdam: Haasbeek, Alpha a/dRijin (2002), p. 79.

<sup>81</sup> Matveeva, A., *Early warning and early response: conceptual and empirical dilemma*: issue paper no 1; Global partnership for the prevention of armed conflict. Amsterdam: Haasbeek, Alpha a/dRijin (2002), p. 79.

<sup>82</sup> Sébastien, B., and Katya, Q. J., *Early Warning, Early Response? Learning lessons from the 2010 crisis in Kyrgyzstan*. UK, (2010), pp. 109-110.

National Policy framework on Peace building and Conflict Management to provide a sound framework for conflict response in the Country.<sup>83</sup>

### **3.4.2 Regional Disaster Management Centre of Excellence**

The Regional Disaster Management Centre of Excellence (RDMCOE) is a regional initiative the goals of the initiative are to build on existing strengths of regional capacities for preparedness of disaster and response, to alleviate disasters and their impact on the populations through building on the existing regional capacity and cooperation, and to boost or enhance disaster management capability.

The centre is located in Kileleshwa in Nairobi, Kenya. It has more than 10 members including states in the northern African region like Egypt, and the horn of Africa, such as Djibouti.

The east African states would be more effective in terms of disaster preparedness and response or generally in reducing risk hazards within the region if the disaster management centre of excellence is linked with similar efforts to respond to emergencies or crisis in the states. Of particular note is the standby brigade established by the same countries to respond to calamities. Both these entities would bring to the region immense capacities in terms of manpower resource, equipment, knowledge and information and international support.

### **3.4.3 National Disaster Operation Centre**

This study notes that NDOC is an *ad hoc* arrangement in Kenya, which is non-formal, with the mandate to coordinate and mobilize resources nationally to respond to disaster risks. It is weak because it is not enshrined in the constitution, lacks a dedicated pool of skilled labour and equipment and relies on the goodwill of the stakeholders.

Since its inception in the aftermath of the 1997/8 el nino events which were widespread in

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<sup>83</sup> Mohamud Adan and Ruto Pkalya. *Article on the launch of Nation Policy framework at Hilton* (2012).

Kenya and the Nairobi bombing of the American embassy, it has not made any impact. However, a lot of proposals have been made on how to improve its operations. Whatever the case, the centre is necessary in the current national setup where, strategically, the country is adopting a multi – agency approach to dealing with national issues, including dealing with insecurity. An example is the multi-agency approach adopted by security forces in the coastal areas of Tana river and Lamu county, and the search and rescue operation in Lake Nakuru established to search for, and retrieve bodies and debris of a helicopter that went down in mid October 2017.

### **3.5 Chapter Summary**

The priority is on saving life, and that is why the constitution of these units include police for incident site security, cordon and search, fire fighters for rescue and arresting de-escalation, paramedic and ambulances for triage and evacuation. Such structures are non-existent in the East African region, as most of the countries have adopted a coordination structures that use call-ups of existing capabilities and most of which have constitutional mandates.

## **CHAPTER FOUR**

### **4.0 CHALLENGES AND OPPORTUNITIES OF CROSS-BORDER MANAGEMENT INITIATIVES ON DISASTER RESPONSE IN KENYA AND ETHIOPIA BORDERS**

This chapter concentrates on the demographic information of the respondents, presentations, interpretations and conversations of the research findings.

#### **4.1 Response Rate**

There was a high percentage return rate of about 80 percent as would be recommended by Borg and Gall, and information acquired could be considered adequate for the study.<sup>84</sup>

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<sup>84</sup>Borg, R. & Gall, D. *Education Research. 6<sup>th</sup> Edition*. New York Longman Inc (1996).

## 4.2 Demographics

### 4.2.1 Participant's age

The informants gave their age, as shown in table 1.

**Table 1:** Age of respondents

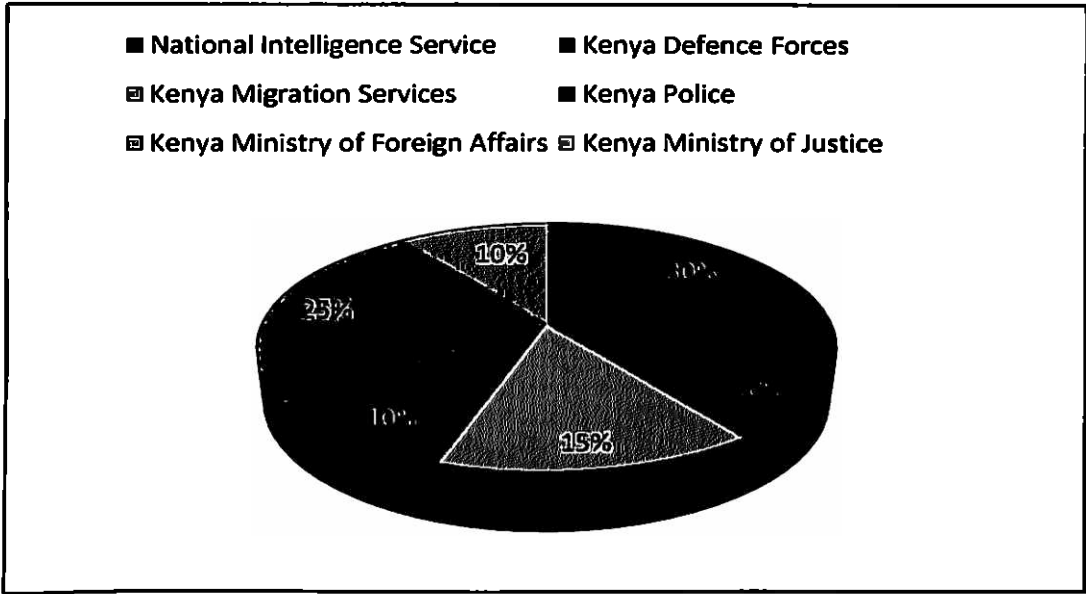
Age group	Frequency	Percentage (%)
20 – 29	5	17
30 – 39	6	20
40 – 49	8	27
50 – 59	9	30
60 – 69	2	6
Total	30	100

The age groups had an age interval of nine years, the majority of respondents (30%) were in age group (50 – 59) and the lowest age group numbers (6%) were in (60 – 69) years. This was an indication that the target group had a lot of experience in the topic of study.

### 4.2.2 Occupation

The informants gave their occupation specialization, as shown in figure2.





**Figure 2: Distribution by occupation**

The study found that majority of the participants was from the National Intelligence Service (40%), a likely indication that they were well vast in matters cross-border initiatives.

### 4.2.3 Designation

The study was interested in the duration of respondents. This was obtained by asking the respondents which department was more crucial in undertaking the cross-border policy formulation. The findings are as recorded in the table 3.

Designation	Frequency
Customs	5
Immigration	3
National Border Control	3
Intelligence	4
Military	4
Police	3
Surveyors	8
Total	30

**Table 3: Job designation**

The study points that, if these findings are anything to go by, it can be said that to be in line with the need for consistency and continuity of a cross-border initiatives, it has to gain legitimacy with domestic audience, such as, citizens of a country.

This position supports the fact that national governments should, while setting up institutions of border initiatives such as security and control of movements of people along state borders, should engage the border communities to ensure the initiatives are not just supported by the communities living along and astride borders, but they are effective in carrying out the mandates they are setup to undertake.

#### 4.2.4 Duration in office

The informants gave their duration in office, as shown in table 1.

**Table 2:** Duration

Duration (years)	Frequency	Percentage (%)
0– 4	1	3
5 –9	3	10
10– 14	7	24
15 – 19	4	13
20 – 24	5	17
25 – 29	5	17
30 – 34	4	13
35 –39	1	3
Total	30	100

The study shows that majority of the informant (24%) had served 10 – 14 years in the work place, this being a most likely indication of their day-to-day interaction with matters concerning cross-border initiatives.

### **4.3 Cross-Border Security Initiatives**

#### **4.3.1 Cross-border security concept**

The research finds 90% of the informants were familiar with the concept border security on this study. Informants said that; *Borders are necessary stops, which vet and inspect thoroughly peoples, goods/cargo and services.*

The informants went on to state that; *Borders are vital instruments in the political, social, economic and cultural engagements among African nations and their populations. This realization of the importance of borders in improving or degrading regional and continental integration is highlighted by the AU initiatives to turn borders from barriers into bridges by allowing African people to conveniently cross them.*<sup>85</sup>

#### **4.3.2 Nature of border management in Africa**

The study noted that about three quarter of the respondents suggested another sixth of the study stated that; *the commitment of the community and the states to the best possible cross boundary disaster response mechanism in Africa's sovereign states repudiates both key actors aimed at disaster rescue process, in light of the fact that it is done (rescue) at the local level.*

About another one in twenty of the informants observed that; *for any useful disaster response activity to happen, African outskirts must be appropriately differentiated and characterized first so they can fill in as scaffolds for joining, instead of being the boundaries against reconciliation they have been throughout the years.* The final 5% noted that (paraphrased); *cross-outskirt issues can be generally outlined as assets, including water, individuals, and security and in addition natural resources concerns.*

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<sup>85</sup> Ronald, Peter Barton. *Modern Border Security*. Publisher, Pearson Longman (2006).

### **4.3.3 Porous Borders in East Africa**

The study found that 70% of the respondents felt that; *intra-state clashes appear to have supplanted between state clashes as the important wellspring of flimsiness on the mainland since the late 1980s therefore increased disaster possibilities.* According to 15% of the respondents; *Africa may be disproportionately influenced toward conflict-induced alternately compelled migration that later results in future disasters.*

According to 10% of the participants, *they noted that weak and failing states are noted as a major cause of conflicts and an upsurge of disasters in Africa.* The remaining 5% were of the view that; *a major challenge to disaster response is the constituent brutality might have been likewise highlighted will make major reason for clashes done occurring in cross border areas of Africa.*

### **4.3.4 Security Challenges of Cross-Border Initiatives**

The study notes that 60% of the participants reported that; *the porosity of outskirts for Africa likewise has a tendency should make disjoints clinched alongside national identities, likewise groups once possibly side of the fringe need disaster aid just separated artificially (cross borders), in spite of hosting gang binds once possibly side..* A total of 30% of the respondents notes that; *inner security might be seen similarly as those option from or nonattendance of the individuals' propensities which might undermine interior union of dealing with cross border disaster.*

The remaining 10% notes that; *security institutions – for instance the Kenya National Police Service have been weakened to stifle the danger of culpability. However, the new furnished squad men appear to be unfit to have an effect separated from their dis-compassionate*

*administrations in dealing with disaster situations.*<sup>86</sup> The convergence of non – Kenyan-Ethiopian and unlawful workers may stir up animosity in the area particularly if they join up with the jobless adolescents in Kenya. This calls for Kenya Immigration and Customs Services to strengthen their capacities and take responsibility of their statutory obligations.<sup>87</sup>

#### **4.4 Impact of Disaster Risks in East Africa**

The study notes that EAC states shares numerous earthbound and oceanic transboundary frameworks and biological communities which require a purposeful push to secure and ration in perspective of the expanding possible disaster calamities.

##### **4.4.1 Cross-border Security and Disaster Risks**

This definition suggests that disasters are really local and therefore affects the local communities. It is relevant to borders as the communities along the borders can have their livelihoods disrupted by disasters to such an extent that it require capabilities from elsewhere to come to aid them.

The study revealed that that these capabilities should be structures that are shared by the two bordering states so that they can be effective due to the inherent recognition within the border region.

#### **4.5 Future Trends in Manmade Disaster Response**

The study notes that disaster recovery entails actions and decisions that are taken immediately after a disaster has occurred, with the aim of preventing, repairing, restoring initial pre-

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<sup>86</sup>Ngoa, S. *“The Mass Media and National Security Dillema of Balancing the Doctrine of the Public to know and magnifying the Propaganda of Terrorist Group”*.A Paper Presented at Abujs Summit. 2012.

<sup>87</sup>Vanguard Newspaper, “Bayelsa recruits over 1000 youths for state security outfits”Tuesday 29th April, 2014.

disaster condition facing the affected community so as to enhance the existing capacities to adequately respond to disasters. Kenya, like most other African countries, has always been grappling with natural disasters which are of cyclic nature.

This study notes that as populations increase, man-made disasters which are usually more rapid in nature such as the Nyamakima Kibonge House collapse, Kiambu and the Huruma and lately the house collapse in Kapsabet town may start to become numerous and can be seen to have started to stretch existing disaster responders and available equipments. Such technological disasters have been common in the west where the level of advancement is much higher than Africa and posing more dangers, hence requiring robust disaster plans and standby response units. This is bound to change in the African region as it progresses into the modern century and strive to join more developed states.

This study notes that in Kenya, Vision 2030 is the strategy to launch the nation to a developed nation status by 2030. Some of these projects include constructions of fast speed road infrastructure with overhead passages and overpasses, high speed trains (Standard Gauge Railway - SGR) with increased frequency and within and along densely populated city streets, high-rise buildings such as the University of Nairobi Tower, high voltage energy system installations and oil pipelines and types of technological advances.

#### **4.6 Chapter Summary**

In this futuristic scenario, also planned are mega cities such as the Konza ICT Metropolis, The Isiolo Economic City and Zone and various other specialized economic zones across the country, such as the free port zone planned at Dogo Kundu in Mombasa County. In Uganda, large public infrastructural projects are planned in an effort to spur economic growth and put

the country on the international scene. Uganda is accelerating the implementation the oil related infrastructure that includes an oil pipeline from Gulu wells in northern parts of the country to Tanga port on the Tanzanian coastline on the Indian Ocean.



## **CHAPTER FIVE**

### **5.0 SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS**

This section finally brought to an end the study on emergence of cross-border management initiatives and impact on disaster response. using a case study of Kenya and Ethiopia borders. It summarizes up the major findings - based on objectives and hypotheses of the study. concludes the study and makes or suggests recommendation on cross-border management of Kenya and Ethiopia borders.

#### **5.1 Summary of Findings**

The study applied Neo-realism Approach. From the realist perspective, borders have traditionally been viewed first and foremost in military terms. Analysis, presentation and findings were done based on the research objectives. The collected data was sorted and analysed using document analysis and contents analysis techniques, based on the emerging issues under study.

The study found cross borders had many issues ongoing that could impact on disaster. The study found that borders create discontinuities, hindering the free flow of people, services and goods. Discontinuity of governmental or administrative systems has high impact for emergency response and prevention across borders. Different types of borders and border obstacles often coincide. Citizens and businesses in border areas usually face a combination of obstacles. Natural borders areas often constitute vulnerable environments with high risks.

The study notes that Kenya-Ethiopia, have been for a long time looking at cross border initiatives, to promote peace and stability in their respective countries. This study found that

in light of the results found, the study revealed that the area of risk management was still poorly understood, as there was still scant research conducted on this subject matter, especially within the context of developing countries.

## **5.2 Conclusion**

The study concludes that disaster risk management is considered the single most challenge for developing countries in the modern century. It is evident that Kenya-Ethiopia, and indeed most African countries, have a lot of security responsibilities at the borders as government facing insurgency readily get access to weapons and logistics in international market as insurgents cannot successfully operate without the active support of the neighboring governments as insurgents may have close relatives living across the border who provide arms and safe havens as this enhance cross border activities to be a national security threat for government.

The study concludes that management of risk disasters has become too complex and an extremely involving process as compared to the responses of past natural and or manmade events. The study concludes that the disaster response capacities for African states want in as far as rapid onset disasters are concerned. These requires robust response units that are well trained and equipped to be able to save human life within the shortest time possible (usually less or within five minutes after the onset of the emergency incident), as well as protect property.

### **5.3 Recommendations**

Based on the research finding, the study sound:

- The study recommends involvement of the community in cross border disaster management and response programmes.
- In the study recommend a fresher coarse to all those who are involved to be accurately defined.
- The study recommends cross border community awareness projects, to enlighten the population on matters disaster response in Kenya- Ethiopia.

### **5.4 Areas of Further Studies**

#### **5.4.1 Modern risk management in Africa**

Accordingly, in line with the African Union vision 2063, African heads of states committed to fast-track their economies and to meet desired development goals by 2063. In Kenya, Vision 2030 is the strategy to launch the nation to a developed nation status by 2030. In this futuristic scenario, also planned are mega cities such as the Konza ICT Metropoly,

#### **5.4.2 Universal Definitional Issues**

The study found that early warning system is currently facing a challenge of the lack of a universal definition of early warning system. Hence the study concludes that the concept of early warning system now requires a very definite, clear and specific definition that involves the participation of many different stakeholders

#### **5.4.3 Specialized Teams**

In order to address the success and failure factors of early warning systems conflict

management. the study found that the concept of early warning requires Ta dedicated and multi-agency approach.

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## **APPENDICES**

### **Appendix I: Data Collection Authority Letter - National Council of Science and Technology**



## Appendix II: Questionnaire

### Introduction

The questionnaire is for academic purposes only and the study aims to establish enhancement of human security through disaster management in reference to a case study of Kenya.

Please answer the questionnaire by **ticking** in the boxes provided as applicable and **writing a brief follow-up statement**.

### Part 1: Respondent Profile

1. Gender?                      Male                       Female

2. Age?

below 30 years     30-39 years     40-49years     50-59 years     60-69 years

3. Education level?

Secondary    Tertiary College    Undergraduate    Postgraduate    Other (specify)

4. Office department?.....

5. How long have you worked for this organization?.....

6. Work specialization?.....

7. Do you understand the concept of cross-border initiatives? Yes    No

.....  
.....  
.....

**Part 2: Emergence of cross-border management initiatives and impact on disaster response, using a case study of Kenya and Ethiopia borders**

1. Do you think there is a connection between cross-border initiatives and disaster management?

Yes [ ]            No [ ]            I don't know [ ]

If yes, please explain.

.....  
.....

Can cross-border initiatives be used as a tool for advancing response initiatives?

Yes [ ]            No [ ]            I don't Know [ ]

If yes, please explain.

.....  
.....

2. Does disaster risk impact on cross-border security aspects in East Africa?

Yes [ ] No [ ]

If yes, please explain?

.....  
.....

3. Explain effective disaster response outcomes on cross-border issues in Kenya-Ethiopia in a changing international environment?

.....  
.....

4. What is the capacity of existing disaster preparedness and response mechanism on cross-

border initiatives concerns in Ethiopia-Kenya?

.....  
.....

5. In your experience what is the effect of disaster responses?

.....  
.....

6. Which types of disasters response in East Africa have been most prominent lately? Please explain your answers in detail.

.....  
.....

7. Is it true that manmade disasters have increased in Ethiopia-Kenya today.

Yes [ ]      No [ ]

Explain why?

.....  
.....

8. What mandate does your organization have in disaster related issues and is this recognized by the law?

Explain.....  
.....

9. Does your organization support disaster response? How?

Explain.....  
.....

10. Do you think disaster response mechanisms are effective in Ethiopia-Kenya today?

Yes [ ]      No [ ]      I don't know [ ]

Explain.....  
.....

**11. In your knowledge how can disaster management be best dealt with?**

Explain.....  
.....

**12. That Ethiopia and Kenya’s disaster management currently has a coordinated approach, is this best disaster response technique?**

.....  
.....

**13. In your view, would you say the government needs a well constituted response unit?**

**If yes, explain**

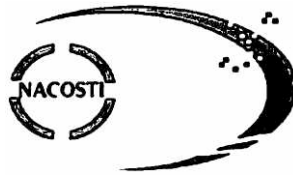
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**14. What would you suggest would be the best approach to effectively managing disasters in Ethiopia and Kenya?**

.....  
.....

**15. Final remarks**

.....  
.....



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Date: **21<sup>st</sup> November, 2017**

Stephen Kerempe Sane  
National Defence College  
P.O. Box 24381-00502  
NAIROBI.

**RE: RESEARCH AUTHORIZATION**

Following your application for authority to carry out research on *“Emergence of cross-border management initiatives and impact on disaster response: A case study of Kenya and Ethiopia Borders,”* I am pleased to inform you that you have been authorized to undertake research in **all Counties** for the period ending **20<sup>th</sup> November, 2018.**

You are advised to report **the County Commissioners and the County Directors of Education, all Counties** before embarking on the research project.

Kindly note that, as an applicant who has been licensed under the Science, Technology and Innovation Act, 2013 to conduct research in Kenya, you shall deposit a **copy** of the final research report to the Commission within **one year** of completion. The soft copy of the same should be submitted through the Online Research Information System.

*G.P. Kalerwa*

**GODFREY P. KALERWA MSc., MBA, MKIM  
FOR: DIRECTOR-GENERAL/CEO**

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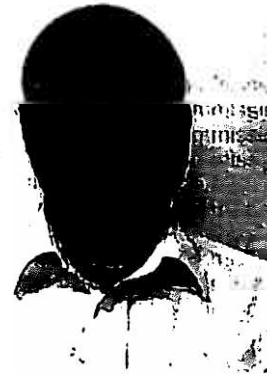
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**for the period ending:  
20th November,2018**



.....  
**Applicant's  
Signature**

*Joseph Kalerwa*  
.....  
**Director General  
National Commission for Science,  
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# EMERGENCE OF CROSS-BORDER MANAGEMENT INITIATIVES AND IMPACT ON DISASTER RESPONSE: A CASE STUDY OF KENYA AND ETHIOPIA BORDERS

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