

**INDEPENDENT EVALUATION OF THE PROGRAMMES
AND COOPERATION OF THE FOOD AND AGRICULTURE
ORGANISATION OF THE UNITED NATIONS
IN ETHIOPIA**



EVALUATION REPORT

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Acronyms

A-FAOR	Assistant FAO Representative
ADLI	Agricultural Development Lead Industrialization Strategy.
AGP	Agricultural Growth Programme
ATVET	Agriculture Technical and Vocational Training
AU	African Union
BOARD	Bureau of Agriculture and Rural Development
BSF	Belgian Survival Fund
CAHW	Community Animal Health Workers
CAADP	Comprehensive Africa Agriculture Development Programme
CFSAM	Crop and Food Supply Assessment Mission (FAO/WFP)
CG	Consultative Group
CPF	Country Planning Framework (has replaced NMTPF)
CSA	Central Statistics Authority of Ethiopia
DAG	Donor Assistance Group
DRMFSS	Disaster Risk Management and Food Security Sector (MoARD)
DRM PoA	FAO Disaster Risk Management Plan of Action
DRRU	FAO Disaster Response and Rehabilitation Unit
ECTAD	Emergency Centre for Transboundary Animal Disease Operations
EFASA	Ethiopian Fisheries and Aquatic Science Association
EIU	Economist Intelligence Unit
ESE	Ethiopian Seed Enterprise
FAO	United Nations Food and Agriculture Organization
FAOR	FAO Representative
FAO RAF	FAO Regional Office for Africa
FAO REOA	FAO Regional Emergency Office for Africa
FAO SRC	FAO Sub Regional Coordinator
FLH	Family Landholdings
FRETH	FAO Ethiopia
FSP	National Food Security Programme
GAFFSP	Global Agriculture and Food Security Programme
GoE	Government of Ethiopia
GDP	Gross Domestic Product
GTP	Growth and Transformation Plan
HAB	Household Asset Building (Component of FSP)
HPAI	Highly Pathogenic Avian Influenza
HQ	FAO Headquarters
IA	Impact Assessment
IDA	International Development Association (World Bank)
IFPRI	International Food Policy Research Institute
IGAD	Intergovernmental Authority on Development
IGAD LPI	IGAD's Livestock Policy Initiative
IMF	International Monetary Fund

M&E	Monitoring and Evaluation
MDG	Millennium Development Goals
MNB	Multi-Nutrient Blocks
MoARD	Ministry of Agriculture and Rural Development (now MoA)
MOSS	Minimum Operational Security Standards
MoU	Memorandum of Understanding
NFP	National Forestry Programme
NGO	Non Government Organization
NMTPF	National Medium Term Priority Framework (FAO)
NPDRM	National Policy and Strategy on Disaster Risk Management
NWFP	Non Wood Forest Products
OCHA	UN Office for the Coordination of Humanitarian Assistance
OED	FAO Office of Evaluation
OFSP	Other Food Security Programmes (now HAB)
OSD	FAO Office to Support Decentralization
PASDEP	Plan for Accelerated and Sustained Development to End Poverty 2006-2010
PCM	Project Cycle Management
PFM	Participatory Forestry Management
PIF	Policy Investment Framework
PSNP	Productive Safety Net Programme (component of the FSP)
REDFS	Rural Economic Development and Food Security sectoral working group
SFE	FAO Sub regional office for East and Central Africa
SLA	Sustainable Livelihoods Analysis
SLM	Sustainable Land Management
SNNPR	Southern Nations Nationalities and People's Region
SPSS-LMM	Sanitary and Phytosanitary Standards and Livestock & Meat Marketing
SPFS	Special Programme for Food Security
TCE	Emergency Operations and Rehabilitation Division, FAO
TOT	Training of Trainers
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
WFP	United Nations World Food Programme

Executive summary

INTRODUCTION

The evaluation

The Ethiopia Country Evaluation has been an independent and forward looking process, providing FAO's stakeholders with a systematic and objective assessment of the relevance, efficiency, effectiveness, impacts and sustainability of the programmes and activities undertaken by FAO in Ethiopia. The evaluation considered all of FAO's work in Ethiopia during the period 2005- 2010, irrespective of the source of funding (regular programme or extra budgetary resources) or the location of project management (HQ, Regional Office or the FAOR). The evaluation also included an assessment of the activities of the FAO representation which are not necessarily carried out through projects. The team developed a wide ranging evaluation framework; in broad terms, FAO's performance was evaluated against the FAO corporate objectives, the draft National Medium Term Priority Framework (NMTPF), the draft FAO Disaster Risk Management Plan of Action (PoA) and by review of projects implemented in the country.

The evaluation involved several phases. These included the screening and preparation of background documentation, an inception mission, in-country impact assessments of two key programmes, a desk review of FAO's work in disposal and management of pesticides, a full three week country mission which included extensive field visits, a debriefing of in country FAO staff, GoE staff and donors, a debriefing of staff at FAO headquarters, and a debriefing of the Consultative Group in Rome.

The Ethiopian context

Ethiopia has a population of over 80 million people, and a GDP *per capita* currently estimated at around US\$ 360. The agriculture-based economy accounts for about 40% of national GDP, 80% of exports, and 80% of total employment. Production remains mainly rain-fed at a peasant, smallholder producer level. The principal crops include coffee, pulses, oilseeds, cereals, potatoes, sugarcane, and vegetables. Exports are almost entirely agricultural commodities, and coffee is the largest foreign exchange earner. There is also an increasingly important formal export of meat, and to a lesser extent live animals, from Ethiopia. Despite Ethiopia's agricultural enterprises, a high and growing human population, recurrent droughts and periodic floods, complicated by climate change and accompanied by severe soil and landscape degradation in some regions, all contribute to a situation of national food insecurity. Ethiopia's striking diversity and the equally diverse challenge it poses have led the GoE to adopt the valuable conceptualisation of "Three Ethiopias"; these are: Productive Ethiopia, Pastoral Ethiopia and Hungry Ethiopia. "Productive Ethiopia" (estimated to be 45 million people) has the potential to increase food availability and thus reduce prices. The challenge of "Pastoral Ethiopia" (estimated at 12-14 million) is to maximize productivity and increase resilience to shock (mainly drought) without upsetting the environmental equilibrium so essential to food security in pastoral areas. "Hungry Ethiopia" (estimated at 15-20 million) includes households with small farms on degraded soils and limited means of production.

FAO's PROGRAMMES IN ETHIOPIA

The management structure of FAO's Ethiopia programme comprises two elements; the Ethiopia country office itself, manned by a small staff which includes the FAO Representative (the only FAO regular-funding international position) which directly manage a small set of development-focussed extra-budgetary projects, and the Disaster Response and Rehabilitation Unit (DRRU), manned by some 70 staff including 5 internationally recruited staff managing a large set of emergency-focussed extra-budgetary projects. These two elements are complemented by the sub-Regional Office for Eastern Africa (SFE), which shares office premises in Addis Ababa, and which provides technical support to Ethiopia's country programmes in certain disciplinary fields, as well as to seven other countries of the region.

FAO's responses to food security and rural development priorities over the past five years have been delivered through a large portfolio (more than 100 projects valued at over US \$80 million) of extra-budgetary projects managed largely by the FAO Representative and TCE. This is complemented by FAO support for investment projects (typically financed through grants/loans from the World Bank, IFAD, AfDB, etc.) which has generated over three quarters of a billion dollars worth of external financing for the GoE. The main technical areas of intervention for FAO Ethiopia include plant production and protection (including desert locust), irrigation, animal production and health (including early warning for avian influenza and other hazards) and food security information and agricultural statistics. Other important areas of intervention have included environment/natural resource management (including land tenure, forestry and management of obsolete pesticides) and support for policy and programme formulation and agricultural investment. A handful of projects cover the management of water and genetic resources and global environmental challenges; another set of projects focuses on markets and rural development, and there are several consecutive projects covering nutrition and food security (in particular household asset building).

The most important donors to the FAO Ethiopia programme over the past five years have been Norway, OCHA/HRF (emergency), Italy, Spain, USA (emergency), Belgium, the European Union (emergency & development), and the Netherlands.

FINDINGS

Programme relevance

FAO's programmes have broad relevance to the humanitarian needs of Ethiopia and to the development aspirations of the GoE in the fields of agriculture and natural resource management. However, in the absence of a national planning framework for FAO in Ethiopia in the form of a CPF, the relevance of FAO's work is inadequately aligned with the updated needs of the country, and with FAO's comparative advantage. This deficiency is exacerbated by inadequate collaboration between the operational groups of FAO in Ethiopia.

With regard to the contributions of FAO in the area of food security and nutrition, FAO's draft NMTPF does not adequately reflect GoE's food security priorities or FAO's global strategic objectives. The NMTPF limits itself to direct assistance, and there is little analysis of how FAO might contribute to the core functions of knowledge generation, policy formulation or institutional capacity

development. There is no indication of how FAO will support emergency preparedness, or of FAO's vision on how the much discussed process of transition from relief to development will take place.

Many of the themes addressed by FAO's crop-related projects in Ethiopia are highly relevant to the country's needs (introduction of new technologies, promotion of marketing innovations, etc.) The continuing role of FAO in emergency seed distribution is more questionable. Concern has been raised about the relevance of this activity, including the extent to which some target populations are unable to acquire seed, the adequacy of some of the crop varieties provided, the wisdom or necessity of supplying seeds season after season in certain locations, and the failure to incorporate longer-term strategies to build resilience. Although there is widespread agreement (within FAO and GoE) on the need to move away from multiple emergency interventions and towards longer-term development programmes for crop production and marketing, there has apparently been little thought given to what a comprehensive development strategy might entail. Many of the resources available come from donor funds that are ear-marked for short-term use; the transition process attracts relatively little technical oversight from FAO or its donors; and the short-term projects are largely evaluated by FAO, donors and government agencies in terms of "outputs delivered" rather than "outcomes", "capacities built" and "lessons learnt". Finally there are built in incentives/disincentives within FAO's institutional framework that contribute to an inertia in changing the programming approaches.

Among the challenges facing the Ethiopian livestock industry, the greatest problems are; low genetic potential, poor feeding practices, poor health, water shortage (particularly in the pastoral areas) and underdeveloped market infrastructures. FAO's involvement in addressing these challenges has been largely emergency response-based and limited mostly to health and feed interventions. There is no long-term livestock development strategy within FAO Ethiopia, or a 'pastoral development' strategy. Furthermore, FAO has not engaged adequately in the area of understanding and promoting value chains to support the growing number of market (including export) orientated enterprises.

The activities carried out by FAO in sustainable land management were found to be relevant to the needs of the primary beneficiaries. Furthermore, analysis of the country's policy documents and the discussion with the government partners indicate that project activities were aligned to government policies and priorities, particularly as they are expressed in PASDEP. However, in many cases the interventions were built from scratch without adequate prior understanding of beneficiary needs. There were no relevant studies to establish typologies of farmers, farming systems and livelihood enterprises in order to develop a more targeted approach in delivery during the implementation phases. With regard to the disposal of obsolete pesticides, these activities were relevant because they addressed an important problem of the presence of significant stockpiles of dangerous pesticides in Ethiopia, and the corresponding need to build capacity to manage them.

Programme effectiveness

In general terms, FAO has made several significant contributions to the crop and livestock sectors and to improved food security and nutrition for chronically and acutely vulnerable households. Participatory forest management interventions in SNNPR effectively contributed to the protection and rehabilitation of some of Ethiopia's last remaining forests, and to new GoE policies. Capacity building within the Central Statistics Authority has contributed substantially to future improvements

in agricultural statistics. FAO's engagement with the threat of avian influenza strengthened the coordinated zoonotic disease preparedness and response capacities of GoE and international agencies. These successes have been due largely to the implementation of projects through MoARD, which has resulted in a high level of national ownership of the interventions, particularly at the regional level. There is little evidence to suggest that FAO efforts have contributed to gender equity (except perhaps in the case of the BSF project), largely due to a lack of any type of gender analysis. The concept of promoting livelihoods diversification in projects such as the promotion of temperate and tropical fruit trees in northern Ethiopia is applauded by the Evaluation Mission. However, while these activities are technically impressive, there is inadequate attention being given to market access for the emerging products from these initiatives, and to engaging appropriate counterpart staff (ideally from the growing rural private sector), so that they can be truly effective in diversifying livelihood options. At a broader level in both the crop and livestock fields, there has been inadequate attention given to exploring and developing market opportunities, linkages, value chains and private sector actors.

Behind the scenes, the FAO Investment Centre has played a crucial role in working with GoE and other development partners to try and ensure that budgetary aspirations are met, well articulated priorities are set in the form of proposals, and that emerging funding proposals are channelled to potential funding agencies in an appropriate way. GoE processes of priority setting have benefited substantially from the leadership in development policy planning displayed by the outgoing FAOR.

Despite these successes, there has often been inadequate coordination, communication and synergy between projects at both organisational and operational levels, so constraining programme effectiveness and efficiency. Achievements have been localised due to the limited geographical coverage in project design. Furthermore, despite attempts to promote continuity through the implementation of sequential emergency interventions in the same areas, and the results of this in terms of partnership and capacity building, the short duration of many projects has undoubtedly limited their effectiveness, in particular with respect to behavioural change and sustainability. With regard to the short term emergency projects managed by the DRRU, there has been grossly inadequate post intervention monitoring and synthesis, limiting the potential to learn lessons for future programming.

Finally on effectiveness, while recognising certain institutional collaborations and MoUs, there is a need for substantially stronger partnerships with national (and regional) research institutes to both strengthen the evidence base of interventions, and to engage a wider constituency.

Efficiency

In FAO's administrative and financial management in Ethiopia, there are recognised efficiencies through the centralisation of these services for the three elements of FAO in Ethiopia, which exemplifies the "One FAO" concept. However, efficiency on the operational side is not replicated in the technical fields, and with the possible exception of the livestock projects, there is inadequate integration of the long-term development and short-term DRRU managed activities, and the Ethiopia-specific contributions of the SFE; these shortcomings undoubtedly limit the efficiency of

programmes. In the DRRU, there appears to be efficient management of the multiple emergency response interventions themselves, and a solid data management of their operations, but these interventions are sometimes complicated by delays and inefficiencies in procurement and logistics. As far as partnerships are concerned, FAO's commitment to working through MoARD and the BoARDs at national, regional and *woreda* levels respectively is seen as an efficient strategy for responding to acute and chronic food insecurity, for promoting good practices and for ensuring ownership and sustainability. FAO has benefited from many partnerships with a wide range of local and international NGOs in livestock and crop emergencies. Nevertheless, these benefits have sometimes been limited by the high levels of staff turnover in both GoE and FAO.

The wide geographical dispersion of the FAO food security activities, as well as the staffing and project approaches, has reduced the potential synergies between interventions within the same regions. This has also had an impact on FAO's image because the results are not visible enough.

Impacts

FAO is broadly acknowledged in Ethiopia for having had impact in the past, through the building of institutions and the development of human capacity. This reputation for impact has faded substantially. Nevertheless, the Evaluation Mission recognises certain significant, although not necessarily widely recognised, impacts. These are in the areas of mobilising resources through the Investment Centre, and influencing national development policies. However, little emphasis has been given by FAO to quantitative impact assessment of its activities. This is particularly the case with *ex post* evaluation of DRRU projects, in which the feeds and seeds distributed are quantified, but the significance and impacts of the numbers presented generally goes unquestioned.

In the animal health field, there were recognised impacts in the building of laboratory capacity and inter-institutional dialogue for preparedness and response to avian influenza, and these impacts almost certainly have broader implications for other diseases. Unfortunately, some of the laboratory capacity built with FAO's assistance is now underutilised. Also in the livestock field, there is documented livestock survival and some performance-enhancing impacts from pilot interventions on the deployment of multi-nutrient blocks.

There are indications that the BSF project has had positive impacts on household assets and resilience (both in beneficiary households and their neighbours) and on community empowerment. At a policy level, the BSF experience has informed the design of the new National Food Security Programme.

Sustainability

The long term sustainability of programme outputs appears to be of general concern, and not just for FAO activities. While there is a policy of operating through MoARD to strengthen the chances of sustainability, the weakness of some arms of the GoE constrains this. There has been substantial turnover in both FAO and GoE staffing, which has resulted in inefficiencies and some discontinuity of efforts in terms of capacity building, policy advice; this has negatively affected the sustainability of

FAO's work. With FAO projects there have been mixed results with regard to long term capacity building and partnership development; some projects have performed better than others.

Nevertheless, some useful tools and methods have been developed, particularly by the BSF, CSA, LEGS and fruit tree projects, for instance, which will offer continuing benefits in Ethiopia. The revolving credit within the BSF project, for example, is creating sustainable physical and financial assets both at community and household levels. However, replication of the BSF model to other areas appears to have been constrained by a lack of engagement of regional and federal stakeholders in the pilot and phasing out projects.

Capacity development holds the key to many of the sustainability issues. The promotion of capacity development should be integrated into the job descriptions of all staff; it is of course particularly relevant for emergency staff where greater attention to developmental approaches is required. Capacity development should be an explicit objective in both the CPF and PoA.

Conclusions

- ***The global importance of Ethiopia.*** Ethiopia continues to hold its place in the global spotlight as a food insecure country, but one with the potential for agriculture to play a much more demonstrable role in development, food security and poverty reduction; FAO has a key role to play in helping Ethiopia to realise this potential
- ***FAO's achievements in Ethiopia.*** There have been some key milestones in FAO's recent achievements, evidence of the talent and institutional strengths existing in Ethiopia and elsewhere in FAO. These have been particularly in the areas of food security and asset building, infectious disease control, sustainable land use management, contributions to the Livestock Emergency Guidelines and Standards (LEGS), and resource planning and mobilisation. The visionary attributes of the outgoing FAOR and his contributions to the development policy debate are well recognised by all partners; regrettably these visionary attributes have not permeated FAO's programmes in Ethiopia
- ***The urgent need for a Road Map for FAO in Ethiopia.*** The Mission finds the absence of a shared vision for FAO's engagement in Ethiopia; this directly affects the effectiveness and efficiency of its contributions, and the image of FAO in the country. The draft NMTPF does not address key issues of mainstreaming disaster risk management (DRM), natural resource management (NRM) and gender; and the delays in developing the NMTPF are inexcusable. There is now an urgent need to pick up on this process, and develop a well articulated Road Map for FAO as a whole in Ethiopia, with clear priorities, action points, funding strategy and outcomes, developed through a structured dialogue with partners. The Road Map will demand time, extraordinary commitment, and above all engagement of key partners in the process. This will be a primary task for the incoming FAOR and his team.
- ***There is a disharmony between FAO's diverse contributions in Ethiopia.*** Notwithstanding the lack of a CPF built on a shared vision of FAO's role in Ethiopia, the Evaluation Mission concludes that inadequate attention has been given to harmonising the sometimes

disparate contributions of the emergency and development arms of FAO in Ethiopia in order to capture more effectively FAO's comparative advantage. This reflects on the inadequate cohesion and management of FAO's programmes in the country. Programmes are too dispersed and often undertaken in a piecemeal fashion, causing inefficiencies, reducing synergies and constraining the potential for demonstrable impacts.

- ***The role of the SFE in supporting national programmes in Ethiopia.*** The SFE is still searching for the appropriate balance in its national and regional responsibilities as it seeks to please its multiple clients and host country government. This apparent inadequacy in the mechanisms for prioritisation results in a lack of clarity in the roles and responsibilities of its contributions to the Ethiopia programme, .
- ***The unrealistic division of labour of the FAO Representative.*** The FAOR has six different positions, most of them beyond the role of head of FAO's country mission to Ethiopia. The overburdening of the FAOR, under the auspices of the decentralisation of FAO, places unrealistic demands on the bearer of this office, and at the same time reduces the credibility and effectiveness of FAO's representation to Ethiopia.
- ***Competitiveness and achievement in resource mobilisation.*** The Evaluation Mission concludes that there has been insufficient effort by, and capacity of, the FAOR and A-FAOR in fundraising. This has been compounded by an inadequate dialogue between FAO Ethiopia and the Investment Centre in Rome. While the DRRU has been successful in raising funds for emergency operations, some of which have had a strong development flavour, the development programme has not had the same success. Moreover, repeated short term funding is not appropriate for resourcing these types of capacity building interventions required for longer-term development & NRM issues. Key to this will be a visionary Road Map.
- ***Recognition of the strength of a sound evidence base to policies and strategies.*** The CSA project has contributed to improvements in institutional capacity to collect and analyse crop production statistics, a national resource in planning and evaluation. However, FAO needs to give greater consideration to a sound evidence-base of the multiple risks to which Ethiopians in different environments are exposed, and the use of such understanding in poverty reduction and food security planning processes. Sound data and well structured monitoring and evaluation systems are central to this. Furthermore, FAO's own system and capacity for monitoring, evaluation and analysis leaves much to be desired.
- ***The capacity to respond to market opportunities.*** FAO has concentrated in its emergency activities on the distribution of seeds, fertilizer, feeds, MNBs, etc, and in its development activities on diversification of livelihoods into fruit trees, etc. It is important that much greater attention is given to the sustainable production and marketing of input and output commodities of crop and livestock enterprises through a sound understanding of current and emerging rural value chains, and the appropriate engagement of private sector and/or cooperative actors.

Recommendations

1. **Develop a Road Map for FAO in Ethiopia.** FAO must urgently reignite the process of dialogue, both internal and with the GoE, to develop the CPF which will serve as a Road Map for the strategy FAO in its entirety in Ethiopia for the next 5 years aligned with priorities identified within the GTP. While the content of the Road Map will be developed through constructive dialogue on priorities and strategies, the Evaluation Mission identifies certain key areas which deserve consideration.
 - **Restructure the national portfolio.** A restructuring of the portfolio is necessary to feature a much stronger emphasis on longer-term development activities, while ensuring these are based on a sound conceptual framework comprising integrally linked processes of development, emergency response, recovery, rehabilitation and resilience building.
 - **Draw on key policy documents.** The Road Map should draw strongly on the GoE's new GTP, on the PIF, the FAO's strategic objectives, and on the TCE Operational Strategy for 2010 – 2013.
 - **Develop pillar-specific strategies.** FAO should have differentiated strategies within the CPF for addressing the three pillars of chronic food insecurity, acute food insecurity and economic growth. A resource mobilisation strategy for each pillar should be articulated based on the CPF.
 - **Strengthen market perspectives and commercial partnerships.** It is important that much greater attention is given to the sustainable production and marketing of input and output commodities of crop and livestock enterprises through a sound understanding of current and emerging rural value chains, and the appropriate engagement of private sector and/or cooperative actors.
 - **Include gender indicators.** Include gender indicators in all household level information gathering activities. Invest in gender analysis of the different livelihoods of, and roles played within those livelihoods, by males and females. Use this analysis in the design of interventions to promote improved gender equity.

From discussions with multiple stakeholders, the Evaluation Mission suggests that key technical areas that stand out as potential strengths for FAO to consider in the CPF process include:

- Support to Ethiopia's agricultural development and natural resource management policy agenda
- Enhancement of crop and livestock production and marketing enterprises through sound value chain analysis
- Support to developing the seed and fertiliser industries through innovative public private partnerships
- Support to land use and natural resource management
- Support for PSNP graduation through the promotion of effective household asset building interventions.

- Developing a sound conceptual framework that effectively links the processes of development, emergency response, recovery and resilience building, and spells out clear action points for the appropriate engagement of FAO.
2. ***Engage proactively in programmatic resource mobilisation.*** FAO should utilize its Road Map, and its international reputation, technical capacity, global networking and information capabilities and other attributes to better mobilize longer term resources for integrated risk reduction, resilience building and development interventions.
- **Strengthen links between TCI and FAO Ethiopia.** Much success has been achieved by the Investment Centre (TCI) with and on behalf of the GoE. A continuing dialogue between TCI and FAO Ethiopia should be established to ensure a mutual understanding of opportunities and modalities for increased funding to emerging Road Map priorities.
 - **Establish fund raising forum.** The country focus team (led by the Policy and Programme Development Support Division-TCS) and the relevant technical units of FAO should establish a forum to discuss fundraising for development in Ethiopia, and how the capacity for local fund mobilization by the FAOR/SRC and A-FAOR could be strengthened. This is particularly relevant in the context of increasing levels of decision making within donor organizations being delegated to the country level. Joint and collaborative efforts should be pursued by FAOR, DRRU and the multi-disciplinary team of SFE.
 - **Mobilize regular budget resources for the deployment of a FSN expert within the SFE MDT.** Given widespread food security issues in Ethiopia and the broader region, the SFE multi-disciplinary team should include a food security and nutrition expert, working in close collaboration with the REOA in Nairobi and with TC AGN, and ES in HQ. Funding for this position should come from regular programme resources to ensure sustainability.
 - **Engage with NFSP forums.** FAO should engage in NFSP forums and programmes, in particular HAB, advocating a broader package of support to chronically vulnerable households. This would exploit the increased interest by GoE and donors in HAB and potential resources available for interventions that promote PSNP graduation strategies.
3. ***Unify FAO in Ethiopia.*** The new incoming FAOR must use the Road Map to create a common vision within the FAO country team, complemented by management structures and systems for sectoral and thematic teamwork for planning, implementation, monitoring and evaluation of FAO interventions. This will include:
- **Institutionalise information sharing.** Greater transparency should be established in the FAO Ethiopia by institutionalizing information sharing among the staff of FAOR, DRRU and SFE. An annual retreat should be established with the participation of all the staff for jointly reviewing collaboration and performance and identifying a common workplan and priorities for the coming year.

- **Develop clear guidelines for the engagement of SFE staff in Ethiopia issues.** All engagement of SFE staff in Ethiopia-specific programming and planning (rather than purely technical) activities should be undertaken under a clear set of operational guidelines and monitored by the FAOR, to ensure engagement at the right level, and appropriate commitment and follow-through.
 - **Establish a food security team.** Establish a food security and nutrition (FSN) thematic team within FAO Ethiopia to work on FAO's country level FSN analysis, strategy, approaches and key messages, and to provide a much more structured interface with WFP and UNICEF. Good practice in prevention, mitigation & response and recovery (DRM) should constitute the main thrust of FAO's strategy for tackling acute food insecurity. Good practice and lessons learned in household asset building should constitute the main thrust of FAO's strategy for tackling chronic food insecurity.
 - **Establish an agricultural development and economic growth team.** Within the FAO Ethiopia a team should be set up to follow up on the agricultural development and economic growth components of the new CPF. This team should establish regular dialogue with the food security team to ensure compliance with the development, emergency response, recovery and resilience building continuum.
 - **Establish a natural resource management team.** Within FAO Ethiopia a focal point should be established to ensure that crop and livestock development and emergency response initiatives are carefully shaped within a sustainable NRM framework.
 - **Integrate the IGAD-LPI programme into SFE.**
 - **Promote gender equity.** Proactively seek to promote gender equity within FAO human resources through the preferential recruitment of qualified female staff (in particular for field positions), the inclusion of gender training as a desirable qualification skill within job descriptions, and the establishment of a gender focal point within the country team with a clear mandate to mainstream gender equity within the programme.
4. ***Strengthen FAO's visibility in, and relevance to, Ethiopia.*** Given the multiple functions of the FAO representation, and the deleterious effect this has on the country representation to Ethiopia, and with a view to further strengthening the principles of the decentralisation of FAO's activities, FAO should consider options that would give greater strength to the FAO Ethiopia country office, and minimise the negative effects on Ethiopia of the double accreditation currently in place. These might include:
- The appointment of an internationally recruited A-FAOR and/or the assignment of a senior programme officer.
 - Soliciting donor support to appoint Junior Professional Officers to augment FAO representation professional staffing.

- Recruitment of national volunteers. Similarly, efforts should continue to seek the appointment of five technical counterpart officers in SFE on a secondment basis by the GoE.
 - Provide additional training opportunities to the A-FAOR by institutionalizing his participation in periodic meetings of A-FAORs and/or by allowing his participation in the periodic meetings of the FAORs in the region.
 - Identify specific senior professional staff within both the FAO regular programme and DRRU to systematically cover designated external policy and technical forums.
5. ***Increase the depth and moderate the breadth of FAO field activities.*** This recommendation centres on prioritization, to ensure greater relevance and impact. FAO should devote less effort to fund management of relatively small projects implemented by NGO and GoE partners. FAO should give greater attention to promoting innovative approaches in the areas of food security and rural development that can be scaled up through national programmes and widely disseminated as good practice guidance. Greater emphasis on capacity building, networking and technical backstopping to the emergency response and development interface would be much more conducive to FAO's comparative advantage.
- Seek funds for providing technical support and coordination to food security and economic development forums, such as the REDFS, DRMFSS Ag WG, HAB working group, etc.
 - Reduce efforts to raise funds for micro-projects; concentrate more on the design of field based activities for testing and documenting innovative approaches in a reduced number of locations.
 - With regard to seeds and crop diversification, change from a “distribution” mode to strategies that place greater emphasis on testing and demonstration, building extension and farmer capacities to recognize advantages and disadvantages of particular options and ensuring that there is widespread access to information on the various alternatives.
6. ***Strengthen the evidence base.*** Lack of reliable data remains a challenge in Ethiopia. FAO should review information system work completed to date and develop a clear plan for strategic support for capacity development in the area of food security and development statistics for the purpose of knowledge generation, sectoral M&E and policy support.
- **Strengthen FAO accountability.** FAO Ethiopia should investigate options for making FAO Ethiopia in general, and the DRRU in particular, more accountable in terms of synthesising results, substantiating impacts, assembling lessons learned, rather than merely enumerating delivered seeds and feeds. This will be to ensure greater long-term relevance of short-term funded emergency projects. Ideally each development project and programme should have an M & E system allowing for the systematic characterisation of available information on evolving good practices and summarizing lessons learnt.

- **Enhance the food security information system.** Support for food security information system development should continue; this will be highly relevant to the M & E framework for the new GTP, as well as NFSP. A particular contribution can be made in the re-analysis of chronically food insecure areas (the current criteria is a static analysis based on food aid history). To be more effective FAO should support ISFS data gathering in all of the key domains (not just production) and take full advantage of the recently updated livelihood atlas for Ethiopia.
 - **Include MDG hunger indicators.** FAO, together with UN partners, should advocate for the inclusion of the MDG hunger indicators (not just the poverty indicators) in the new macro-economic M&E framework (GTP).
7. **Raise the profile of SLM, forestry, pasturelands and fisheries management.** Due probably to the weight of emergency funding in FAO's project portfolio, attention to sectors other than crops is dramatically dwarfed, in spite of their importance in sustainable development and food security. Sustainable land and water management need to be streamlined in land-based development projects. Innovative methods to promote community-based natural resource management, including agro-forestry, soil and water conservation and land management with *kebele*, *woreda* and region involvement, should be promoted.
8. **Place greater emphasis on capacity building.** FAO needs to broaden its horizons in capacity building in Ethiopia, in line with FAO's core functions. Of particular relevance is capacity development in the areas of quality data assembly and synthesis, policy analysis and policy development. There is also a need for wider engagement with national (and regional) research institutes to both strengthen the evidence base of interventions, to engage a wider constituency, and to make a greater contribution to the rapidly expanding range of academic institutions in Ethiopia.
- Provide training (and with improved training materials) related to extension and agricultural technology, drawing on FAO's experience and normative products which target higher levels (such as ATVETs), so that the impact is broader and more sustainable.

In terms of seed production, recognize that many farmer seed producer groups have difficulty to emerge as independent commercial entities, but could have good prospects for becoming contract growers for regional or national seed enterprises, a few well-resourced cooperatives, or the private sector under the umbrella of bodies with the requisite skills, equipment and organization to market seed.

- Begin to work with appropriate seed enterprises to build their capacity to recognize and nurture good contract seed producer groups.

1. Introduction

1.1 Background to the evaluation

The evaluation of FAO's programmes and cooperation in Ethiopia in 2010 continues a series of national level evaluations of FAO's programmes that started in 2006. Country-focused evaluations examine all of FAO's work, including national projects, country participation in regional and global projects, the use made of normative products, and the performance of the FAO country representation. The key considerations in these strategic evaluations are the utility of the Organization's work to the Member Country and the extent to which this draws on FAO's comparative advantages.

In countries which have large portfolios of emergency and rehabilitation activities, programmatic evaluations are indicated¹ and in these cases the evaluations are often broadened to provide a country-wide perspective of FAO's contributions, including non-emergency activities. Since 2006 some eight country evaluations have been undertaken, which have included countries with large emergency programmes such as the Democratic Republic of Congo, Tajikistan and Sudan².

The Ethiopia programme was selected for a country evaluation based on the overall size of the programme (> US\$55 million) and the fact that a large proportion of these activities are categorized as emergency-related and framed within a programmatic approach. Additionally, experience has shown that the usefulness of country evaluations are greatly enhanced when they are conducted at the time of a change in the FAO Representative, and when the National Medium Term Priority Framework (NMTPF)³, is under development. Both of these conditions apply in the case of Ethiopia. Based on all of the above considerations, Ethiopia was selected for a country evaluation during 2010, and the evaluation covered the 5-year period of 2005 – 2010. The original terms of reference are presented in Appendix 1.

1.2 Purpose and scope of the evaluation

The Ethiopia Country Evaluation has been an independent and forward looking process. It aims to improve the relevance and performance of FAO's interventions in the country, provide accountability, and advise on better formulation and implementation of future policies, strategies and activities. It provides FAO's stakeholders with a systematic and objective assessment of the relevance, efficiency, effectiveness, impacts and sustainability of the programmes and activities undertaken by FAO in Ethiopia, as well as of their performance in relation to cross-cutting issues such as gender mainstreaming, social inclusion, partnership and environmental conservation.

The evaluation considered all of FAO's work in Ethiopia during the period 2005- 2010, irrespective of the source of funding (regular programme or extra budgetary resources) or the location of project management (HQ, Regional Office or the FAOR). The evaluation also included an assessment of the

¹ Criteria: country programmes > US\$ 5 million

² <http://www.fao.org/pbe/pbee/common/ecg/380/en/SynthesisCountryEvaluations.pdf>

³ The NMTPF has been renamed the Country Planning Framework (CPF)

activities of the FAO representation which are not necessarily carried out through projects, as well as an examination of its capacity to perform efficiently and effectively.

1.3 Evaluation process

Given the significant investments by FAO in Ethiopia, and the large number of diverse projects and programmes undertaken over the period under review, the evaluation started with an in-depth preparatory phase during the first quarter of 2010, involving scoping interviews, documentation reviews, the creation of a project database and a portfolio analysis. The inception phase began with the recruitment of the independent team leader Brian Perry (BP). Documents prepared during the first phase were reviewed by BP, who undertook (accompanied by the evaluation manager Lori Bell) a one week inception mission to Ethiopia to brief staff and stakeholders on the evaluation, collect contextual documentation, and seek feedback from national stakeholders on key candidate issues for the attention of the evaluation team. Initial preparations were also made for launching two impacts assessments (Improving Nutrition and Household Security in Northern Shoa and Southern Tigray; and Improving Emergency Livestock Interventions in Pastoralist Areas).

An inception report was prepared by BP following the mission, which served to further refine the scope and methodologies for the evaluation. This document became the primary guidance for planning the work of the evaluation team (Appendix 3).

In the three months leading up to the evaluation mission, several specific data gathering and analysis activities were undertaken:

- An expert undertook a critical desk review of FAO's work in the management and disposal of pesticides. This was complemented by field verification during the main evaluation mission.
- Desk reviews of OED independent evaluations that have included Ethiopia were carried out to synthesize the main findings, conclusions and recommendations.
- Each team member prepared a 5-page desk review prior to the mission examining key opportunities and challenges in Ethiopia and FAO work within their specific sector or field of expertise; these contributed to the final evaluation framework.
- Impact assessments (IA) on the effectiveness of food security and nutrition (Tigray/Amhara regions) and livestock (Afar and Oromia regions) interventions using both qualitative and quantitative methods were completed (Appendices 8 & 9).

The main evaluation mission took place during the month of September 2010. This included interviews with programme stakeholders in FAO Rome, internal teamwork to discuss and further refine the evaluation framework, and interviews in Ethiopia over a 3 week period with a wide range of internal and external stakeholders in Addis Ababa and at multiple field sites. The field visits were undertaken to verify information collected through other channels as well as to obtain the views of primary beneficiaries and other stakeholders. A full programming for field visits is presented in Appendix 4.

At the end of the field mission, the team debriefed with both FAO and external stakeholders in Addis Ababa, and BP made a presentation of initial findings at FAO HQ. All team members contributed

information and analysis to this report, which has been compiled and edited by the Team Leader. A presentation of the final report will be made to the Consultative Group and to FAO at country level in January 2011 to allow for maximum dissemination and utilization of the information, analysis and recommendations made.

- *Evaluation criteria and framework for evaluation*

The team developed an evaluation framework that was progressively refined prior to the evaluation process in-country. This is presented in Appendix 5. In broad terms, FAO's performance was evaluated against the FAO strategic objectives⁴, the draft National Medium Term Priority Framework (NMTPF)⁵, the draft FAO Disaster Risk Management Plan of Action (PoA), and by review of projects implemented in the country.

⁴ A full listing of definitions, including FAO's strategic objectives and core functions, appears in Appendix 2.

⁵ The 4 strategic pillars of the draft NMTPF include: Policy advocacy for balanced developmental interventions and for accelerated production and productivity enhancement; Sustainable natural resources management; Enhancing public and private investment in agriculture and rural development; Seeking early and sustainable exit from persistent dependence of food security on emergency assistance).

2. The Ethiopia setting

2.1 *The enigma of a unique environment encompassing history, culture, independence and potential while embraced by poverty*

Ethiopia presents a unique environment with a history going back at least 3.2 million years when the Australopithecine lady Lucy inhabited the Awash Valley. Christianity arrived in the northern Axumite kingdom in the 4th Century, the written language of Geez dates back to the same era, and Islam has been present in Ethiopia since the early 7th Century. In more recent times, Ethiopia remained independent⁶ during the European scramble for Africa in the late 19th Century (save 6 years of occupation by the Italy from 1936 – 42).

The country was thrust into the world's gaze in 1973 with a dramatic famine, a situation which recurred in 1984 – 85 when the estimated death toll, questioned by some, was put at 1 million people. And there have been more famines, which have been widely reported, sustaining the unfortunate image of Ethiopia as the epitome of the African basket case country. But famines are not a 20th century phenomenon in Ethiopia; Brian Perry⁷ (1986) emphasised that there had been some 23 major famines between 1540 and 1800, and the most devastating famine of 1888 – 92 reputedly killed one third of the Ethiopian population. The country, and indeed the region, is prone to dramatic fluctuations in rainfall which, when combined with a growing and extremely poor population, have dramatic consequences.

But there is of course another side to Ethiopia. The country has a diverse set of agro-ecologies suitable for the production of staple crops, livestock, fruit, coffee, among many other commodities, and a historical and cultural heritage ideal for tourism. It is enjoying a period of political stability and economic growth, and there is a “wind of change” in both government and donor communities from a “coalition for food security” which followed the 2003 drought to a newly established “coalition for growth”. This is being accompanied by a new wave of initiatives for development and investment, in which agriculture is central.

2.2 *Seeking the balance between food security and economic development*

Ethiopia has a population of over 80 million people⁸, and a GDP *per capita* currently estimated at around US\$ 360⁹. The agriculture-based economy accounts for about half of GDP, 80% of exports¹⁰, and 80% of total employment. Within the agricultural sector, crops comprise 30% of GDP, livestock 40%¹¹ and forestry 4%. Production remains mainly rainfed at a peasant, smallholder producer level.

⁶ Liberia also remained independent, although the country had only been founded and colonized by freed American slaves 1821-1822.

⁷ Perry, B.D. (1986). The real cause of Ethiopia's problems. *Nature*, 319, 183.

⁸ <http://data.un.org/CountryProfile.aspx?crName=Ethiopia>

⁹

<http://www.imf.org/external/pubs/ft/weo/2010/02/weodata/weorept.aspx?sy=2008&ey=2015&scsm=1&ssd=1&sort=country&ds=.&br=1&c=644&s=NGDPDPC%2CPPPGDP%2CPPPPC&grp=0&a=&pr.x=65&pr.y=4>

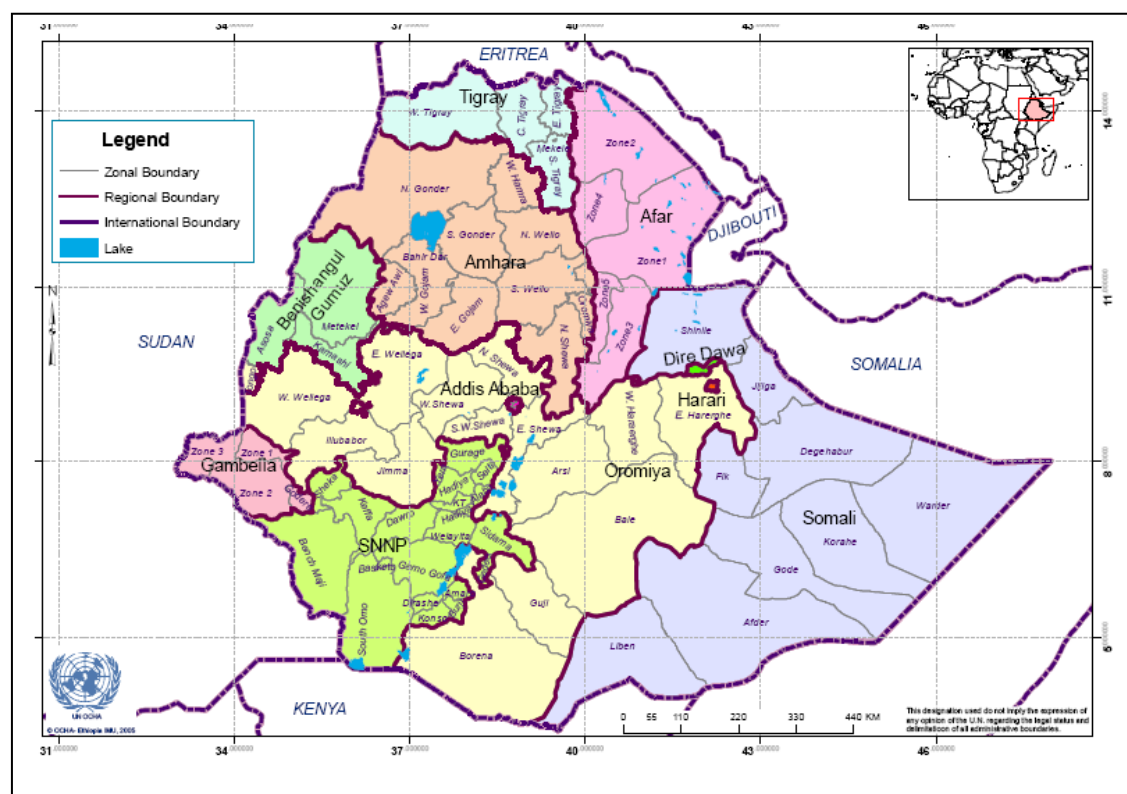
¹⁰ <http://www.nationsencyclopedia.com/economies/Africa/Ethiopia-AGRICULTURE.html>

¹¹ http://www.igad-lpi.org/publication/docs/policybriefs/IGADLPI_Brief_7.pdf

The principal crops include coffee, pulses, oilseeds, cereals, potatoes, sugarcane, and vegetables. Exports are almost entirely agricultural commodities, and coffee is the largest foreign exchange earner; there is also an increasingly important formal export of meat and to a lesser extent, live animals from Ethiopia. Ethiopia's relatively new flower industry is becoming an additional source of revenue. For 2005/2006 Ethiopia's coffee exports represented 0.9% of the world exports, while oilseeds and flowers each contributing 0.5% to the world market.

Despite Ethiopia's agricultural enterprises, a high and growing human population¹², recurrent droughts and periodic floods, complicated by climate change and accompanied by severe soil and landscape degradation in some regions, all contribute to a situation of national food insecurity. Most of the food-insecure areas are found in the marginal cropping zones of eastern and southern Tigray, eastern Amhara, lowland areas of eastern Oromia, the pastoral zones of Afar, the northern and south-eastern Somali region, the Gambela region and most of the low-lying zones of southern and central Southern nations, Nationalities and People's Region (SNNPR; see map of administrative regions of Ethiopia below).

Figure 1. Administrative regions of Ethiopia



With such a large population to feed, Ethiopia suffers from a structural or chronic food deficit. Ethiopia's Food Security Programme (FSP) combines a system of safety-nets, designed to close household food gaps and eliminate distressing asset sales, with food security interventions aimed at building household assets as a mechanism to pull households out of chronic food insecurity. On

¹² The human population is estimated at over 80 million, population growth is $\geq 2.6\%$ and population the estimated density is 73 persons/km².

average 10% of the population are benefiting from social assistance at any time, and Ethiopia has been the focus of a national safety-net experiment in which over 7 million people per year receive a combination of cash and or food assistance as direct support, or in exchange for labour in public works. The country has more than 80 ethnic groups, and diverse agro-ecologies ranging from temperate highlands to the below sea level environments of the Danakil depression. This diversity, and the contrasting challenges it poses, has led the GoE to adopt the valuable conceptualisation of “Three Ethiopias”; these are: Productive Ethiopia, Pastoral Ethiopia and Hungry Ethiopia¹³. The classification is an expression of differing household livelihood capacities, each of which may contribute to growth and development in different ways, and each of which must be addressed accordingly. “Productive Ethiopia” (estimated to be 45 million people) has the potential to increase food availability and thus reduce prices. The challenge of “Pastoral Ethiopia” (estimated at 12-14 million) is to maximize productivity and increase resilience to shock (mainly drought) without upsetting the environmental equilibrium so essential to food security in pastoral areas. “Hungry Ethiopia” (estimated at 15-20 million) includes households with small farms on degraded soils and limited means of production. Some households in this latter group can likely achieve sustainable food security through integrated and diversified agricultural enterprises alone. Others require a combination of on- and off-farm activities to survive. Exclusively off-farm activities present the main opportunity to achieve food security for the remainder.

The strategic planning framework for Ethiopia has been in place for the past five years; the Plan for Accelerated and Sustained Development to End Poverty (PASDEP)¹⁴, runs from 2006/07 to 2010/11. The updated PASDEP, renamed the 5 year Growth and Transformation Plan (GTP), was released in draft form in September 2010. Linked to the PASDEP and GTP, the UNDAF 2007-2011 was developed with the participation of FAO, with FAO contributing specifically to defining the cooperation strategy for enhanced economic growth. An important civil service reform programme, linked to the Government’s strategy for decentralization and to a GoE-donor programme to build public sector capacity¹⁵, has been in operation over the last decade. Other key strategies in the area of food security and rural development include the recently approved Ethiopia Strategic Investment Framework (ESIF) for sustainable land management and the Agricultural Development Lead Industrialization (ADLI) Strategy.

2.3 Development and trade aspirations

The GoE has overseen the emergence of several key development initiatives, covering agriculture, rural development and industrialisation. The ADLI strategy is the GoE’s overarching policy response to Ethiopia’s food security and agricultural productivity challenge. Its distinctive features include:

¹³ http://www.feedthefuture.gov/documents/FTF_2010_Implementation_Plan_Ethiopia.pdf

¹⁴ <http://www.eap.gov.et/About-MoARD/Strategy.asp>

¹⁵ Public Sector Capacity Building Programme: PSCAP Mid-term Evaluation Inception Report Final draft – 18th November 2007. The objective of the Public Sector Capacity Building Program (PSCAP) Support Project for Ethiopia is to improve the scale, efficiency, and responsiveness of public service delivery at the federal, regional, and local level; to empower citizens to participate more effectively in shaping their own development; and to promote good governance and accountability.

- commercialization of smallholder agriculture through product diversification;
- a shift to higher-value crops;
- promotion of niche high-value export crops;
- support for the development of large-scale commercial agriculture;
- effective integration of farmers with domestic and external markets; and
- tailoring of interventions to address the specific needs of the country's varied agro-ecological zones.

The strategy promotes the use of labour-intensive methods to increase output and productivity by applying chemical inputs, diversifying production, and utilizing improved agricultural technologies. ADLI also emphasizes the importance of distinguishing agro-ecological zones and tailoring strategies as well as interventions for optimal development outcomes. This distinction guides the differentiated interventions needed to promote cross-sectoral and integrated growth.

2.4 Investments in agricultural growth and food security

2.4.1 International donor cooperation. Over the past five years, net international donor assistance to Ethiopia has steadily grown. In the agriculture, food security and rural development sector, an estimated USD 3.7 billion¹⁶ has been made available annually through both national programmes and individual projects¹⁷. Five donors have provided 80% of this aid (USAID, WB, WFP, DFID, CIDA). Roughly two-thirds of this funding is made available through GoE, with NGOs being the next largest category of recipients. Multi-lateral agencies receive only an estimated 3% of the envelope. At present only 12% of the funding is allocated for the agricultural production area (agricultural growth and sustainable land management), with the vast majority of funds being provided to support the national FSP (in particular the PSNP component).

However, the balance of funding is shifting. Significant donor commitments have been made against the GoE National Agricultural Growth Programme (AGP - the total programme is estimated to be US\$ 253 million). The Global Agriculture and Food Security Programme (GAFSP) Trust Fund¹⁸, a multilateral financing mechanism administered by the World Bank to assist in the implementation of pledges made by the G8+ leaders at the L'Aquila Summit in July 2009, has committed US\$ 51 million to the AGP. In addition, in September 2010, WB committed an additional US\$ 150 million in credit (75%) and grant (25%) from IDA funds for the AGP¹⁹.

2.4.2 Other international development investments. One of the arms of Ethiopia's growth programme is opening the door to larger scale investment in agriculture, both domestic, diasporan and international. Ethiopia has already committed to providing some 1.7 million hectares of arable

¹⁶ Representing 12% of total ODA

¹⁷ REDFS Presentation - August 2010

¹⁸

¹⁹ <http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTARD/0,,contentMDK:22598008~pagePK:148956~piPK:216618~theSitePK:336682,00.html>

¹⁹ <http://www.gafspfund.org/gafsp/content/ethiopia>

land (of the 2.7 million hectares designated as available) to foreign investors²⁰. Countries such as Saudi Arabia, India, and China has already invested in sub-sectors such as floriculture, meat, biofuel production, rice cultivation, tea, sugarcane, cotton and oil production.

2.4.3 Coordination of development assistance. Donor partnership with, and investment in, Ethiopia continues to play a hugely important role in the country's development and emergency response, and FAO is one of many players in this arena. It is important to recognise however that GoE positions itself very squarely in the driving seat, ensuring that it leads from the front on policy and strategy development. While this is understandable and admirable, it means that all engaged in Ethiopia's development must play by the GoE rules.

The donors have a long established tradition of intra-donor information sharing, having established in 2001 the Donor Assistance Group (DAG)²¹. The DAG has established a number of thematic sectoral working groups. While there has been a multi-donor programme and coordination mechanism for food security for some time now (in particular the PSNP), it was only in 2008 that a broader agriculture working group was established, the Rural Economic Development and Food Security (REDFS) sectoral working group. The REDFS SWG includes three technical committees: agricultural growth, sustainable land management, and disaster risk management and food security. The REDFS secretariat includes one GoE and one donor representative. Until recently the donor representative was provided by FAO and housed in the FAO office; with the recent departure of the FAO staff member, the donors have decided to recruit the new representative directly under a World Bank contract, and to be housed at the World Bank in Addis Ababa.

2.4.4 Funding of humanitarian aid. Humanitarian aid is financed through separate funding mechanisms. The EC/ECHO and USAID/OFDA are the largest donors to emergency responses. While most donors fund implementing agencies directly, there has also been the establishment of a response funding pool called the "Humanitarian Response Fund (HRF)". The process for replenishment of this fund is through semi-annual needs assessments which result in the development of a Humanitarian Requirements Document (HRD); this is a joint GoE and partner appeal for food and non-food aid financing. The HRD developed for 2010, for example, identified the need of food and non-food emergency assistance for over 5 million people, and made a funding requested for USD 340 million. However the GoE has indicated in the new GTP that reducing food aid is an important priority; the DRMFS announced in November 2009 that only people in the 'survival' deficit category would be targeted with emergency food assistance.

2.4.5 The United Nations Development Assistance Framework (UNDAF). In alignment with the GoE's PASDEP, the UN agencies formulated a four-year (2007-2011) UNDAF. Five inter-related areas of cooperation emerged as of particular importance for UN support. These are:

- Humanitarian Response, Recovery and Food Security
- Basic Social Services and Human Resources

²⁰ Weissleder, L. (2009). Foreign Direct Investment in the Agricultural Sector in Ethiopia in ECOFAIR TRADE DIALOGUE, Discussion Papers, No.12/October 2009 http://www.ecofair-trade.org/pics/en/FDIs_Ethiopia_15_10_09_c.pdf

²¹ DAG includes 26 bilateral and multilateral donors to Ethiopia. UNDP acts as secretariat to the DAG.

- HIV/AIDS
- Good Governance
- Enhanced Economic Growth (FAO lead agency)

An important approach consistent with the principles of alignment and harmonization is the use of National Execution as the main modality for GoE/UN cooperation under the UNDAF. Interviews with FAO and UN agencies in Addis Ababa indicate that FAO administrative rules are not flexible enough to allow FAO to comply with NEX guiding operational principles. Under the UNDAF, several joint programmes have been formulated. The UN in Ethiopia does not lead in the area of humanitarian aid coordination (such as using the Cluster approach²²), unlike the situation in many other countries that experience recurrent emergencies. Instead UN agencies support the DRMFS early warning, safety net, and other preparedness and response capacities.

2.5 *The food security dilemma*

Although there has been significant economic growth in Ethiopia since the end of the civil conflict almost 20 years ago, the country is still not self sufficient in staple food production. This is due in part to the high and growing human population, poor soil fertility, environmental degradation in some regions, and inadequate investment in agriculture. Recurrent shocks such as drought and sometimes flooding also regularly affect food production.

GDP is increasing and there is domestic commercial expansion due to significant GoE investments in rural infrastructure. Nevertheless the purchasing power (effective demand) of rural households remains weak with almost 40% of the rural population living in poverty. Urban areas are somewhat better off and food balance sheet gaps are filled in part by commercial imports of staple foods, in particular wheat (0.5 million tonnes imported/year). However, a large part of the food gap has been filled historically by food aid imports. Ethiopia is WFP's largest country programme globally (600-800 million US\$/year) and they currently provide food assistance to over 9 million people²³ (approximately 10% of the population) through relief distributions to households affected by disasters such as droughts and floods, and as support to chronically food insecure households assisted by the national PSNP. Even when there is enough food produced and/or the population has sufficient income to purchase food, there are other important factors that affect food consumption and nutritional status that are related to food habits and health status. Lack of diversity in food consumption contributes to the high prevalence of micro-nutrient deficiencies, in particular iodine, vitamin A and iron/folic acid, which result in conditions such as goitre, night blindness and anaemia and adversely affect child development. Almost half of Ethiopian children²⁴ suffer from stunting and/or are underweight for their age due to a combination of the above factors.

²² <http://ochaonline.un.org/roap/WhatWeDo/HumanitarianReform/tabid/4487/Default.aspx>

²³ www.wfp.org/countries/ethiopia

²⁴ Protein energy malnutrition in boys is more common than in girls, is more frequent amongst rural households, and exhibits regional variation with highest rates being found in Tigray and Amhara. (World Bank, 2001).

Table 1. Ethiopia: Grain supply/demand balance, 2009 (1,000 tonnes)

	Teff	Wheat	Barley	Maize	Sorghum	Finger Millet	Others	Total cereals	Pulses	Cereals & Pulses
Total production	3 058	2 654	1 642	4 398	2 955	536	129	15 373	2 012	17 385
<i>Meher (long rains)</i>	3 028	2 589	1 522	4 098	2 934	533	114	14 819	1 966	16 785
<i>Belg (short rains)</i>	30	65	120	300	21	3	15	554	46	600
Total utilization (needs for food, seed, feed, losses and export)	3 080	3 142	1 672	4 555	3 065	536	141	16 191	2 067	18 258

Source: GIEWS-CFSAM 2009

In 2004 the GoE, together with development partners, launched a large scale consultation process called the New Coalition for Food Security. Debates at the time sought to differentiate better between the underlying causes of food insecurity and malnutrition. This led to the development of the national FSP 2005-2009. The core objectives of the FSP were (a) to assist 5 million *chronically* food insecure people attain food security, and (b) to improve significantly the food security of up to 10 million additional food insecure people within five years. This programme had three main elements (all coordinated by DRMFSS section, MoARD):

- **Productive Safety Net Programme (PSNP)**, involving cash and/or food transfers during the hungry season to approximately 5 million chronically food insecure households, either through direct assistance or through public works projects in 263 chronically food insecure *woredas* in eight regions.
- **Voluntary Resettlement** of chronically food insecure households to areas where there are availability of land, some inputs and service provision (i.e. water, roads, public services). To date approximately 150,000 households have been resettled.
- **Other food security projects (OFSP)**, which include credit and extension services to build household assets for another 10 million chronically food insecure households.

In its implementation, much focus was placed on the PSNP component and the target of 5 million beneficiaries was eventually surpassed (today an estimated 7.8 million households receive PSNP assistance). Unfortunately, evaluations and reviews of the PSNP carried out in 2009 indicated that there had been no significant “graduation” of PSNP beneficiaries; while there has been a shift away

from a dependence on emergency relief, there now seems to be a dependency on the institutionalized safety net assistance²⁵. This is said to be due in part to a lack of focus on OFSP/HAB support for PSNP beneficiaries.

In terms of disaster risk reduction and management, the GoE has focussed on strengthening the early warning, surveillance and monitoring system, and on response mechanisms (such as the management of the Ethiopian Strategic Food Reserve, and the coordination of food and relief distributions for the *acutely* food insecure). The main GoE entity responsible for addressing emergencies has been restructured several times over the past 10 years, and is today housed within the Disaster Risk Management and Food Security Sector (DRMFSS) of the MoARD.

A draft National Policy and Strategy on Disaster Risk Management (NPDRM) was prepared at the end of 2009 and is currently pending approval. The main objectives of the NPDRM²⁶ are:

- Reduce disaster risks and vulnerability that hinder development. This will be achieved by focusing on proactive measures, establishing a culture of risk reduction in regular development programmes, and by addressing the underlying causes of recurrent disasters.
- Save lives and protect livelihoods in the event of disasters, and ensure the recovery and rehabilitation of all disaster-affected populations.
- Promote the resilience of people vulnerable to disasters and thereby combat dependency on relief resources.
- Ensure that institutions and activities for DRM are mainstreamed to all sectors, coordinated, integrated in regular development programmes and implemented at all levels

Over the last few years, both GoE and donors have adjusted their position away from food security (with its focus on vulnerability) towards economic growth. The new GTP 2010-2015 promotes a vision of agricultural modernization and large scale commercial farming as a means of increasing household income and safeguarding food security. The new programme envisions an expansion of extension services to support HAB as a strategy for “graduating” as many households as possible from the PSNP (the target is to reduce PSNP beneficiaries from 7.8 million to 1.3 million by the end of the period). This phasing out of direct assistance will require careful monitoring of household vulnerability. The draft GTP has an indicative list of macro-economic and social indicators within its monitoring framework within which many of the MDG targets have been incorporated. Unfortunately key indicators of food insecurity, hunger and malnutrition (MDG1), have not yet been included²⁷.

²⁵ 56,895 households have been graduated off the PSNP. The concept and benchmarks (asset based) for graduation are not clear and the new FSP states that a new approach needs to be considered. Food Security Programme 2010-2014. Ministry of Agriculture and Rural Development. August 2009.

²⁶ Federal Democratic Republic of Ethiopia. National Policy and Strategy on Disaster Risk Management (Draft Document; Version 8). December 2009

²⁷ The new FSP does, however, include food access and malnutrition, i.e. by 2015, 80% of all households in rural Ethiopia access sufficient food at all times for an active and healthy life in the absence of PSNP transfers [food security]; by 2015 malnutrition among children under 2 years of age decreases by 1.5% per year on average.

2.6 The crop sector

Agriculture represents over 40% of Ethiopia's GDP and provides more than 80% of employment. Cereals alone account for 75% of cropped area and average land holding is very small, with half the farms under 1 hectare (and a third of them less than 0.5 ha). Ethiopia has been following the ADLI strategy for nearly two decades, and the new GTP for 2011-15 still sees the agricultural sector as the principal engine of growth.

An example of the government's commitment to agriculture is the very high investment in agricultural extension, with the assignment of development agents (DAs) to every *kebele*. The extension services face many challenges, including resource constraints and a wide range of technical and administrative responsibilities that leave little time for actual technology transfer. The GTP envisions that the number of extension beneficiaries will nearly triple in the next five years and that agricultural research-extension linkages will be strengthened substantially.

Although the GTP promotes market-orientated agricultural production, much of the emphasis is on private-sector investment in large-scale agribusiness through land leasing or similar arrangements, with smallholder participation through modalities such as contract farming. The place of small- and medium-scale agribusiness is not well articulated in the GTP, and the cooperative system remains the backbone of government aspirations for a "transparent and efficient agricultural marketing system" for smallholder output. Currently less than 20% of staple crop production is marketed, and surveys show that autarky (neither buying nor selling) characterizes the position of about half of grain-growing households²⁸.

Irrigation and water management for agriculture also receive attention in the GTP. Currently there is little more than 1% of cropped land under conventional irrigation, and a slightly larger area under what is called "traditional irrigation"²⁹. There are plans to bring more land under conventional irrigation schemes as well as support for small-scale irrigation methods.

The use of commercial seed is quite low, except for hybrid maize, and although the proportion of fields using modern varieties (MVs) is relatively high for a few crops, including bread wheat and maize, most of the varieties are quite old. Fertilizer use is also quite low³⁰. Seed and fertilizer are marketed almost exclusively through primary cooperatives. Most credit for inputs is provided in kind, managed through cooperatives, local government offices and microfinance institutions, but it is in short supply.

The government maintains considerable control over seed production and marketing and even the few private seed producers must provide their production data and submit to government seed allocation directives. There are several emerging regional seed enterprises and the well established

²⁸ J. Pender and D. Alemu (2007) *Determinants of Smallholder Commercialization of Food Crops: Theory and Evidence from Ethiopia*, Washington, DC: IFPRI.

²⁹ S. Awulachew, D. Merrey, B. van Koopen., A. Kamara,, F. Penning de Vries, E. Boelee (n.d.) *Roles, Constraints and Opportunities of Small Scale Irrigation and Water Harvesting in Ethiopian Agricultural Development: Assessment of Existing Situation*, IWMI.

³⁰ D. Byerlee, D. Spielman, D. Alemu, M. Gautam (2007) *Policies to Promote Cereal Intensification in Ethiopia*, Washington, DC: IFPRI.

national Ethiopian Seed Enterprise (ESE), but there is an emphasis on local seed production organized by cooperatives or agricultural bureaus and the GTP emphasizes that “as much as possible the necessary inputs will be produced by the farmers themselves”.

2.7 *The livestock sector*

Within agriculture, livestock comprises an extremely important sector of the Ethiopian economy, contributing an estimated 18.8% to the national GDP and 40% to the agricultural GDP³¹, supporting the livelihoods of up to 70% of the country’s population. Ethiopia has a wide ranging livestock resource comprising multiple species kept under several different and often contrasting production systems and environments. These differences are driven mainly by agro-ecology, socioeconomic circumstances and market access. The estimated livestock population is approximately 43 million cattle, 23 million sheep, 18 million goats, 1.7 million camels, 34 million chickens, 4.8 million beehives, 6.5 million equines and 40,000 t of annually harvestable fish (CSA, 2008).

In general terms highland areas are dominated by smallholder production systems with relatively small herd and flock sizes, often at a subsistence level, while the lowlands are characterized by larger multi-species herds kept under pastoral and agro-pastoral systems. Livestock productivity in both highland and pastoralist production systems are low and severely constrained by complex interacting factors of poor nutrition and health care, low genetic potential of the indigenous breeds, under-developed infrastructure, subsistent production mode and poor market linkages for value addition. The absence of a clear policy and strategy, to turn the huge resource into a viable economic industry, has also hampered the development of the livestock subsector.

Ethiopia had been exporting live animals, animal products, and various bi-products (including leather goods) since the 1950’s to many countries. The country currently exports live animals to Yemen, Sudan and Djibouti, and chilled sheep and goat carcasses to Saudi Arabia, the United Arab Emirates, Yemen, Djibouti and Congo Brazzaville.

Both highland and pastoral systems are constrained by many infectious and vector-borne infectious diseases, and characterised by weak animal health services to address these. However, Ethiopia has made substantial progress in boosting its veterinary service capacity over the last few decades. At the time of the fall of Haile Selassie there were 28 vets in the country³², all trained overseas; there will apparently soon be 11 veterinary schools in Ethiopia (which brings a different set of challenges) and Ethiopia has taken a leading role internationally in recognising and setting standards for a diversified animal health service that includes Community Animal Health Workers (CAHW).

Over the last 50 years, various national livestock development projects have been carried out. The First Livestock Development Project (F1LDP), known as the Addis Ababa Dairy Development Project, was started in 1972 with loan from the World Bank. It was designed to set up small and medium sized individual dairy farms in *woredas* around Addis Ababa. More recently, the National Livestock Development Project (NLDP), the Pan-African Programme for the Control of Epizootics (PACE), and Farming in Tsetse Infested areas (FITCA) have been operational at the national level. NLDP is now

³¹ http://www.igad-lpi.org/publication/docs/policybriefs/IGADLPI_Brief_7.pdf

³² The independent evaluation team leader was one of them

being implemented throughout the country in both highlands and pastoral areas. With a soft loan from the African Development Fund, it has three main components: animal health improvement; strengthening of artificial insemination services to develop the cattle improvement programme; and forage development. Several other livestock development projects are also underway currently with support from various sources³³. These include the Integrated Livestock Development Project (ILDP) in North Gondar financed by the Austrian Government; various USAID supported projects (such as the Ethiopian Dairy Development Project implemented by Land O' Lakes; the Sanitary and Phytosanitary Livestock Meat Marketing Project led by Texas A&M University; and the Ethiopian Sheep and Goat Productivity Improvement project implemented by Prairie View A&M University in Texas and the American Institute for Goat Research of Langston University, Oklahoma). In addition, there is the Pastoralist Livelihood project (PLI) supported by the World Bank, and various projects implemented by NGOs.

Animal health status. Ethiopia has many infectious and other diseases of livestock, constraining livelihoods, productivity, market access and international trade in livestock and livestock products. Until quite recently this included rinderpest, which entered Africa from India in what is now Eritrea in the late 1880s, spreading south to Cape Town and devastating the African cattle and wildlife populations. Rinderpest was last observed in Ethiopia in 1995, and the country Ethiopia has been certified free of the disease since May 2005. The Pan African efforts to control rinderpest provided substantial support and impetus to the development of veterinary services in the country

Other major diseases endemic in the country include contagious bovine and caprine pleuropneumonia (CBPP; CCPP), foot-and-mouth disease (FMD), Peste des Petits Ruminants (PPR), sheep and pox, anthrax, blackleg, haemorrhagic septicaemia, brucellosis, bovine cysticercosis and bovine tuberculosis. The tick-borne diseases of babesiosis, anaplasmosis and heartwater are widely distributed, but East Coast fever (*Theileria parva* infection) does not occur despite the apparent suitability for its vector the brown ear tick. Tsetse-transmitted trypanosomiasis is endemic in certain western parts of the country. Rabies is endemic in much of Ethiopia, where it has another dimension as causing the decline in the endangered Ethiopian wolf populations of the Bale Mountains.

Other animal health constraints in Ethiopia include the erratic availability of therapeutic drugs, the widespread misuse of drugs, and the difficulties in controlling the use of inefficacious generic drugs. Often difficult to measure, one of the indicators of this is the widespread resistance to acaricides, antibiotics and chemotherapeutics.

The country's veterinary services have elements at federal, region, woreda and kebele level. These include various institutions under the control of the veterinary department such as the National Animal Health Research Centre at Sebeta, and the National Veterinary Institute in Debre Zeit, responsible for producing vaccines for a number of livestock diseases. Under the Quarantine, Inspection and Veterinary Public Health office are 5 export abattoirs (Debre Zeit, Mojo, Metahara),

³³ Source: Tegegne, A., Gebremedin, B., Hoekstra, D. (2010). Livestock input supply and service provision in Ethiopia: challenges and opportunities for market oriented development.
<http://mahider.ilri.org/bitstream/10568/1988/1/WP%2020.pdf>

abattoirs under construction (Bahr Dar, Jimma, Mekelle), 3 operational quarantine stations (Adama, Dire Dawa, Metema) and 3 border check posts (Jigjiga, Moyale and Bole Airport).

2.8 *Natural Resource management*

2.8.1 Land, land tenure and land management in Ethiopia.

Constitutionally, land belongs to the state. The on-going land reform aims to improve access to land and strengthen the security of land tenure through the issuance of land-use or lease certificates. This process has started in rural areas. A Federal Rural Land Proclamation was enacted in 2005 to consolidate the process of land certification. However the process is currently based largely on informal demarcation of land in the absence of cadastral surveys for permanent certification. The right to sale, mortgage or exchange is prohibited, which may make banks reluctant to provide credit to farmers.

As far as land management is concerned, the problems facing Ethiopia are mainly due to rapid population growth³⁴ and inappropriate land management practices, soil erosion, deforestation, water resource depletion, loss of biodiversity, and degradation of fisheries resources³⁵.

With regard to the administration of natural resources, the federal government structure, involving decentralization of political power, provides a good framework for participatory natural resource management. However, there are overlaps and gaps in responsibility (federal, regions, *woreda*) in deciding the management, conservation and use of state owned natural resources such as forests, and enforcing protection and conservation laws. On the political level (federal, regions, *woredas*, *kebeles*) there is a good understanding of land degradation and environmental scarcity issues.

2.8.2 Forestry

Ethiopia's forests cover only about 13 million ha (11.9% of its land). Another 44.6 million ha are under "other wooded land". The estimated rate of annual deforestation is 1.1%. The net annual decrease in forests between 1990 and 2005 was 141,000 ha. The drivers of deforestation include:

- Demographic pressure and socio-economic conditions in the rural areas;
- Bushfire particularly in the drier parts of the country;
- Conversion to agriculture by encroachment and resettlement, especially in the south and east;
- Cutting for firewood and rural house construction;
- Poor management and illegal cutting;
- Livestock overgrazing³⁶.

³⁴ 524 inhabitants per square km of arable land

³⁵ The main instrument for financing SLM over the period under review has been the PSNP (watershed protection). More recently GoE has developed a new ESIF for SLM (March 2010) to which FAO contributed.

³⁶ About 25% of Ethiopia's livestock populations graze in the rangelands that are found in the dry lowlands of the east, southeast, and south, while the remaining 75% are kept in the highlands, leading to serious overgrazing in areas already under high agrarian pressure.

Existing information indicates that in 2006 forests contribute 5.2% of the country's GDP³⁷. The GoE is planning to develop a new National Programme in collaboration with FAO based on the review of the previous action programme for forestry. In December 2007, the Government established a partnership agreement with the National Forest Programme (NFP) facility.

2.8.3 Water

The rainfall in Ethiopian highlands is high and adequate for food crop production and pasture. The estimated annual surface runoff is close to 122 billion m³. The potential for irrigation is high and it is believed that irrigation can help reverse the diminishing productivity of these highlands where it is estimated that irrigated areas cover no more than 3-5%.

The geographical and temporal distribution of these water resources is uneven. Between 80-90% of the country's surface water resources are found within four major river basins. The GoE policy is aimed at achieving higher water contribution to the national economy through the development of the country's water resources and expansion of irrigation schemes so that agriculture production is improved. In the MoARD strategic planning framework³⁸, there is a sub-component on community-based participatory development of water resources for irrigation and aquaculture, with a focus on those areas where soil and water resources have the potential to support sustainable rural livelihoods based on medium to large scale (100-200 ha).

2.8.4 Fisheries

Even though Ethiopia is a land locked country, it has several lakes and rivers with the potential for fisheries; these are becoming a valuable asset and contribute to the national economy. Annual catches are still below the estimated potential yields, although some lakes are known to be heavily exploited due to weak enforcement of the existing regulations.

Ethiopian fisheries specialists recognize the potential to integrate fish farming with agriculture, animal husbandry and irrigation practices. This integration can lead to better utilization of water resources, improve livelihoods and contribute to food security. An additional advantage would be the reduction of pressure on the land; and a contribution to the reduction of land degradation.

The fisheries and aquaculture strategy is spelled out in the Government's strategy as follows (Ministry of Water Resources, 2001): Undertake proper assessment, preservation and enrichment of aquatic resources in rivers and lakes; and incorporate aquatic resources development in large scale water resources master plan studies.

2.8.6 The problem of obsolete agricultural pesticides

Lack of pesticide management capacities in Ethiopia has resulted in the accumulation of large stocks of obsolete pesticides³⁹, giving the potential for heavy soil contamination with direct impact on

³⁷ Information from a note prepared by the Forestry Department of FAO in January 2010 under the title "Summary Brief on the Forestry Sector in Ethiopia".

³⁸ Ethiopian Strategic Investment Framework for Sustainable Land Management, MOARD, March 2010

³⁹ Estimates of hazardous pesticide stockpiles targeted for disposal are approximately 5,000 MT.

public health and side effects on biodiversity and natural ecosystems. Furthermore, there has been a steady increase in the volume of pesticides that Ethiopia imports to address the problem of low productivity of its agricultural sector. In spite of the increasing pesticides imports, the registration and post registration schemes lacked efficiency and this results in substandard and hazardous pesticides continuing to circulate in the country, and being exported. The high level of pesticide residues not only jeopardize external trade, but also constitute a food safety threat to consumers.

2.9 NRM in Ethiopia's development context

The PASDEP defined an overall strategic frame that can guide programmes for sustainably using and managing the country's natural resources in these overarching directions:

- Ensuring prudent allocation and use of existing land;
- Integrating development activities with other sectors;
- Pursuing a geographically differentiated strategy.

In watershed development, major activities in the areas of natural resource management include sustainable land use and forests development, soil and water conservation, and water management for irrigation development. In soil and water conservation, conservation-based resource management is to be pursued to control soil erosion losses from cultivated lands with varying slopes.

In forest resource management, the plan aimed to introduce tree cover to about 4.7 million hectares of degraded areas (about 5% of the total area) during the 5 years of its duration. It also intended to survey and map 1.44 million ha to better understand the extent and spatial distribution of dense forests, as well as to determine their capacity and implement a sustainable management plan.

In water management for irrigation, the plan calls for an effort to promote and strengthen small-scale irrigation schemes, and improved water use efficiency, including strengthening water harvesting and utilization practices through provision of appropriate technologies. An area of 487,000 hectares of land are planned to be cultivated by the use of irrigation.

In sustainable land management, the aim has been to develop and strengthen the natural resource information system, with a database established at *woreda* level in 550 *woredas*. To utilize natural resources in a sustainable manner, the preparation of land-use plans has analysed the suitability of land in 18 watersheds. In the period of the Plan, the 6,783,181 households without a first level land certificate are designated to receive it in four regions (Amhara, Oromia, SNNPR and Tigray).

In fisheries development, the activities to be undertaken revolve around the introduction of appropriate technology that provides for proper care of existing lakes, as well as produce fish without damaging the natural balance of the fish population. Fisheries development will be undertaken in water bodies where the potential is not fully exploited.

In pastoral areas, the plan mentions interventions aimed at pastoral development, such as the provision of water supplies for the community and their livestock. It considers that the provision of drinking water and grazing land and extension services for livestock production are an essential component of support to the pastoral communities.

3. FAO in Ethiopia: Programmes and management

3.1 Strategic Framework and Priority Setting for FAO Ethiopia

During the period under review the FAO governing bodies undertook a vigorous, extensive and far-reaching reform of FAO, the implementation of which still continues. This is aimed at making FAO as a whole closer and more relevant to its stakeholders, and more efficient and effective in delivering its mandate and services to the international community of agriculture. One aspect of the FAO reform has been to accelerate decentralization, in theory transferring greater authority and resources to the regional, sub-regional and country offices. Country level strategic planning has been promoted as an important tool for designing the FAO cooperation framework.

In Ethiopia, the FAOR initiated the preparation of a draft NMTPF, setting forth the vision and priorities of FAO Ethiopia for the next five years. Although the draft NMTPF was prepared almost two years ago, the process of finalization has been discontinued as the FAOR felt that he could not accommodate the diverse internal views, and felt that the quality of the resulting draft was poor⁴⁰. It has been neither approved by HQs nor by the relevant authorities of the GoE. The evaluation team was told by one FAO source that the GoE had advised FAOR to delay finalization of the NMTPF so it could be done in alignment with the new medium-term strategic framework of the GoE⁴¹ (which was made public in September 2010 during the visit of the Evaluation Mission). Although such advice from the GoE is understandable, it is difficult to accept this as the only and true reason to halt the NMTPF process in view of the fact that other UN agencies, including UNDP, have developed their own sectoral strategic frameworks with the due endorsement of the relevant authorities of GoE. Furthermore, the MoARD expressed to the mission their keen interest in discussing with FAO their strategy in Ethiopia. Importantly, a meeting between the two institutions was held in March 2010 at which the MoARD expressed concerns about the large number of small and apparently fragmented emergency projects of FAO. The conclusions and recommendations of the meeting were published in the MoARD newsletter. Although this high level meeting ended with an agreement to continue a dialogue on the ways forward for better partnership, the mission was advised that FAO had not followed up on this, and no subsequent meetings or discussions had taken place.

The Evaluation Mission reviewed the draft NMTPF. The document is indeed in a draft form and incomplete; not only is the opening statement (preface) of FAO not formulated, but certain figures are blank and the indicators and resources required are not provided, among many other inadequacies. According to the guidelines for the preparations of NMTPFs issued by HQs, it should be prepared in consultation with a broad group of stakeholders in the country and with the inputs of relevant technical units of HQs and the Regional Office. However, the Evaluation Mission found little evidence of seriousness in FAO as a whole in jointly supporting and launching the NMTPF for Ethiopia; the relevant technical units of HQs and RAF do not appear to have offered any significant contributions to the draft document. The TC led 'country focus team' in Rome has not formally reviewed the document or provided feedback. It does not appear that adequate consultation with the relevant government entities, UN sister agencies and donor and NGO partners have taken place. The government officials and partners whom the Mission interviewed were not aware of FAO's

⁴⁰ *Ipsa dixit*, Mafa Chipeta, at the mission debriefing in FAO HQ on 4th October 2010.

⁴¹ "Growth and Transformation Plan (GTP) 2010/11-2014/15"

intention to launch its NMTPF, including the Director of UN Agencies & Regional Economic Cooperation Directorate, Ministry Finance and Economic Development (MoFED).

The evaluation team heard a view from the UN Resident Coordinator that FAO could amply elaborate its strategic visions and priority programmes within the UNDAF without the need for a separate document. As the new UNDAF for the next five years (2011-2015) is currently being formulated, FAO can indeed take this opportunity to advance its priorities for the next five years in the UNDAF. Nevertheless, it is the view of the Evaluation Mission that FAO should endeavour to clarify, establish and confirm its comparative advantages, visions and priorities through a clear Road Map (in the form of the CPF), which should support the GTP of the GoE and specific agriculture strategies and national programmes (AGP, FSP, ADLI, SLMP) and be in line with the new UNDAF. Its importance in promoting the image and comparative advantage of FAO for the purpose of securing its role at the policy table and leveraging development resources should not be underestimated.

The mission also reviewed the DRM Plan of Action (PoA). Similarly to the NMTPF, the PoA has been a document in progress for some time. Formulated in 2009, it was still only in draft form during the mission in October 2010 (albeit in much more advanced form than the NMTPF). Interviews with staff indicate that there has been considerable tension created by the development of this planning and programming tool. Originally understood to be a TCE Ethiopia emergency plan, the FAOR reportedly saw this as contrary to the One FAO image and approach that he was endeavouring to create. In the latest draft version of the document, it more clearly reflects FAO Ethiopia's approach to disaster risk management (and the FAO corporate guidance related to TCE's role in coordinating, but not necessarily managing, emergency prevention, preparedness, response and recovery work under Strategic Objective I⁴²).

3.2 Technical focus of FAO in Ethiopia

The FAO programme in Ethiopia has amounted to approximately US \$ 80 million over the past five years, channelled through 100 mostly short term extra-budgetary projects. These provided technical support, capacity building, information and statistics, policy advice and direct inputs at the household level. In addition, FAO has provided technical support for the development of investment projects in the areas of irrigation and drainage, pastoral community development, strategic food security planning, crop diversification and marketing development, agricultural productivity, participatory forestry management and rural capacity building. This support has contributed to resource mobilization by the GoE, and increased external investment to the country of more than three quarters of a billion dollars (Appendix 10).

⁴² See Appendix 2 for FAO's Strategic Objectives

Table 2. Ethiopia Portfolio Analysis

Extra budgetary country projects

Project Type	Total Budget
OSRO	\$ 41,056,765
GCP	\$ 18,783,641
UTF	\$ 5,067,385
TCP	\$ 3,919,743
UNJP	\$ 3,090,122
GTFS	\$ 2,999,998
GCSP	\$ 1,866,123
MTF	\$ 1,007,100
UNDP	\$ 957,000
SPFS	\$ 613,388
GDCP	\$ 345,318
Telefood	\$ 215,894
Grand Total	\$ 79,922,477

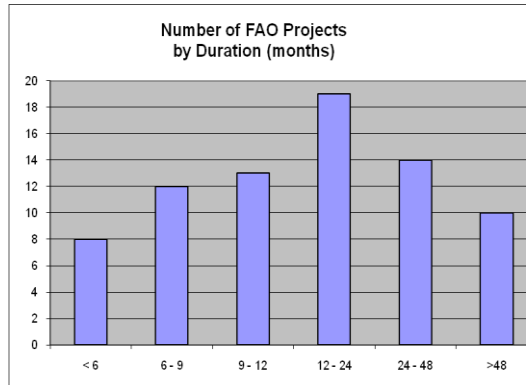
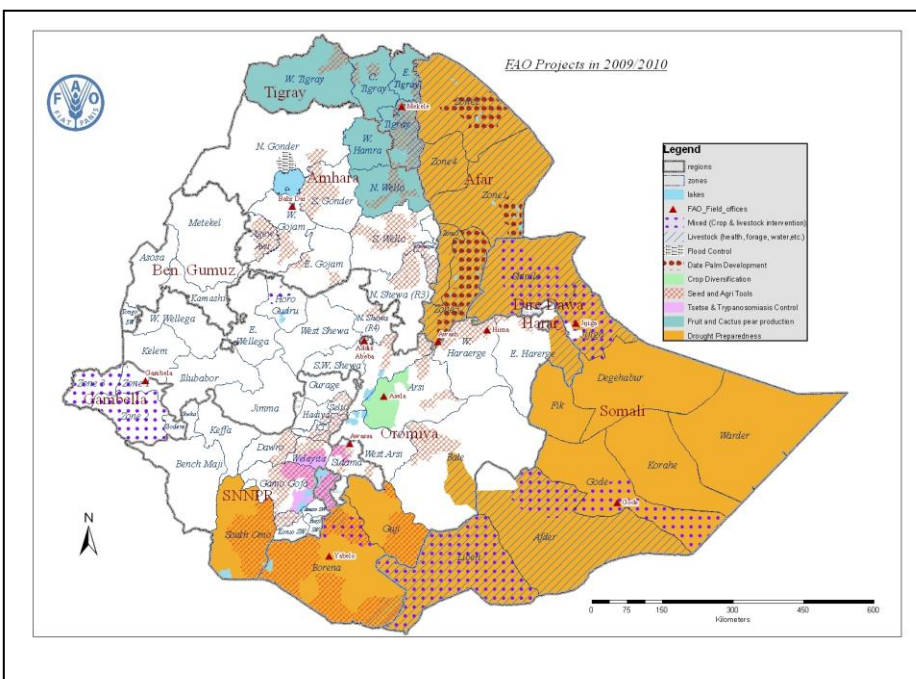


Figure 2. The number of projects by different categories of project length

The main technical areas of activity for FAO Ethiopia include plant production and protection (including desert locust), irrigation, animal production and health, household asset building and nutrition, and food security information and agricultural statistics (including early warning for HPAI and other hazards). Other important areas of intervention have included environment/natural resource management (including land tenure, forestry and management and disposal of obsolete pesticides) and support for policy and programme formulation and agricultural investment. There are no dedicated fisheries or forestry projects.

Overall there has been a high level of geographic dispersion of the programme; however areas of agricultural potential (the so-called “productive Ethiopia”) have received relatively less support attention (see Figure 3 below). Apart from 3 projects that have a national scope, most efforts have been concentrated in vulnerable areas in 4 regions: Amhara, Oromya, SNNPR and Tigray.



As with many of the technical agencies operating in Ethiopia, FAO's activities in recent years have been influenced by a continuing series of crises in the country, brought on by climatic stresses exacerbating underlying poverty and food insecurity. There has developed an emergency response mentality, aided by the attention of the international media on the humanitarian crisis faced by many in the population (see for example Gill, 2010⁴³). While on the one hand this has attracted substantial international financial and technical support, it has arguably detracted somewhat from the longer term development needs and aspirations of Ethiopia.

The most important donors to the FAO Ethiopia programme over the past five years have been Norway, OCHA/HRF (emergency), Italy, Spain, USA (emergency), Belgium, the European Union (emergency & development), and the Netherlands.

3.3 Structural and organizational aspects of FAO in Ethiopia

3.3.1 Sub Regional Office for Eastern Africa. As part of the decentralization process, eleven sub-regional offices were established, including the Sub-regional Office for Eastern Africa (SFE) in Addis Ababa in 2007. As a result of the establishment of the SFE, the member countries of eastern Africa, including Ethiopia, can now draw on FAO's technical advice and support from Addis Ababa, without having to seek these from FAO HQs in Rome or from the Regional Office in Accra. The SFE office has responsibility for 8 countries namely Ethiopia, Sudan, Kenya, Somalia, Uganda, Djibouti, Rwanda and Burundi. The SFE office includes 19 officers within the multi-disciplinary team and support staff plus 7 regional project staff.

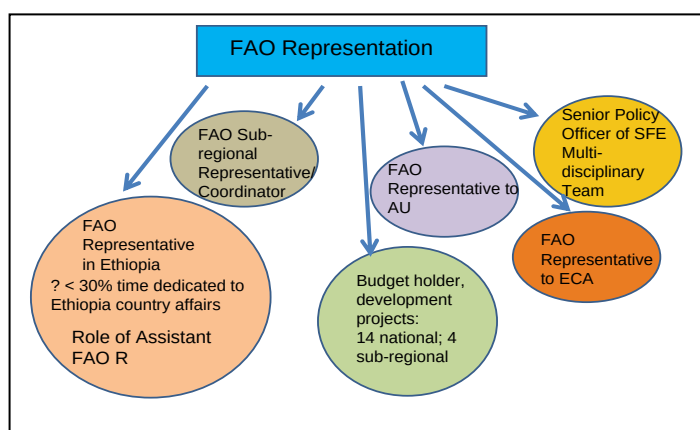
3.3.2 FAO Ethiopia. The FAO Representation in Ethiopia includes a Representative⁴⁴ (who is also the Coordinator of the SFE, and the outgoing FAOR was the policy officer within the MDT), and an Assistant FAO Representative (who is a national of Ethiopia). The FAOR/SRC is currently responsible for the implementation of 14 national projects (total value of US \$19 million) and 4 sub-regional projects (valued at US \$5 million). In addition, the FAOR is responsible for the implementation of a dozen or so micro-projects (so-called TeleFood projects) which also require a significant amount of staff time. The country representation in Addis Ababa has few permanent support staff. These are complemented by a dozen posts which are cost-shared with the SFE office (which is co-located in the same premises). The regular programme budget allocated for the running of the FAO Representation are very modest – varying by year but never more than US\$250,000 annually.

There is clearly a legitimate question as to whether FAOR can fulfil all of his different and wide-ranging regional and national responsibilities, and concerns in this regard were expressed to the evaluation team by many of those interviewed. It is estimated that less than 30% of the FAOR's time is dedicated to Ethiopian affairs.

⁴³ Gill, P. 2010. *Famine and Foreigners: Ethiopia since Live Aid*. Oxford University Press, 280 pp.

⁴⁴ Until recently the FAOR/SRC is also been acting as the FAO Representative to the African Union (AU) and to the United Nations Economic Commission for Africa (UN/ECA).

Figure 4. Divisions of labour of the FAO representative in Ethiopia



In practice, the supervision and coordination of the national (non-emergency) projects are largely entrusted to the A-FAOR, supported by two national Programme Clerks. Some donors expressed concern and doubt as to the programming and delivery capacity of the Representation with the present human resources. Donor views in this regard may be indicated by the low level of development programme funding that FAO Ethiopia is receiving. Of the 12 extra-budgetary development projects that are currently under implementation in Ethiopia, only 1 is under the direct budgetary and management supervision of the FAOR.

Box 1. A missed opportunity in strengthening Monitoring and Evaluation

The mission was briefed on a US\$1 mil UNDP funded project entitled “Strengthening Local Capacity for the Achievement of the MDGs” (Aug07-Dec08) managed by the FAOR. At the time of the evaluation mission, 20 months after the envisioned end date, only half of the funds had been expended (largely on IT equipment and a vehicle). While the project document is quite vague, what became clear to the evaluation mission from interviews conducted is that while a number of activities have taken place, this project to strengthen the M&E system of MoARD has achieved very little due in large part to a lack of oversight and technical input. The team reviewed a very large “training manual” which was more about software than the essentials of setting up a comprehensive M&E system. No demonstration of the software developed could be made by FAO staff. No linkages had been made with other FAO information system work. The mission concludes that there is no sign that the objective of establishing a functional MoARD M&E system will be reached through this project.

The FAO Office also hosts an emergency coordination unit (ECU), which is now renamed the Disaster Response and Rehabilitation Unit (DRRU). The name change reflects the discomfort of the GoE with long-standing “emergency” programmes, and an ensuing dialogue between FAO and GoE on revising its nomenclature. The present portfolio of the on-going DRRU projects in Ethiopia comprises 13 projects with a total value of \$14.6 million. This portfolio is implemented by a staff of some 65-70 people under the supervision of the DRRU Coordinator. The emergency operations team currently includes 5 international staff with expertise in crops, livestock, food security and many other related disciplines. All of these staff are employed on a short-term contractual basis, of generally not more than 6 months. The DRRU Coordinator has changed 3 times during the period under review; the new coordinator has been in place for a little over 6 months.

Ideally and logically, the tripartite structure is designed to ensure delivery to Ethiopia of FAO’s quality services as “One FAO”. The FAO Representation can draw on the multi-disciplinary technical expertise of the SFE for programme support and backstopping. FAO’s emergency and recovery

interventions should be linked to the Representation's national strategy and priorities, supported by technical expertise of the SFE, ensuring that FAO's emergency interventions in Ethiopia have a strategic transition to rehabilitation and sustainable development. However, the evaluation mission gained the impression that that FAO Ethiopia struggles to put this value chain into practice, and to obtain optimal synergy of the three units in the FAO structure. This is strongly dependent on the three different funding source drivers, namely regular FAO programme funding (supporting the office of the FAOR and the SFE); extra-budgetary funding for development projects; and the predominant extra-budgetary funding for emergency response operations⁴⁵.

While the evaluation mission recognises attempts by the outgoing FAOR to unify the activities of FAO in Ethiopia, the mission finds that there remains an overwhelmingly strong line management function between the DRRU and TCE in HQ. As found in previous evaluations, including the Independent External Evaluation of FAO, country ECU units frequently act independently of the FAO Representation. With respect to reporting, the DRRU maintains a direct line of command with TCE, while also reporting to FAOR routinely. As TCE is the Budget Holder for most of the emergency projects, DRRU directly consults with, and receives relevant instructions from, TCE as regards operational aspects. In reviewing the process of preparation of the NMTPF and PoA, the mission finds a lack of collaboration and common vision evident. The FAOR indicated that he is only perfunctorily consulted on recruitment decisions for DRRU international staff appointments. These findings *de facto* establish a dichotomy of authority in the FAO office in Ethiopia.

The mission recognizes, however, that efforts have been made both at a corporate and country level to address this issue. The standard job description of the ECU Coordination now states that s/he is under the overall supervision of TCE HQ but the direct supervision of the FAOR. In Ethiopia, the mission notes recent efforts by both the FAOR/SRC and the DRRU/ECU Coordinator to improve working relations between them, and the mission recognises that the situation is much better than it was before the arrival of Mafa Chipeta. For example, as mentioned above, most administrative and financial transactions, including local procurement, contracts, payments, etc. of emergency operations, are now processed by the administration unit of FRETH/SFE and approved by the FAOR/SRC, within the limitation of his delegated authority. The DRM PoA⁴⁶ has been reformulated in 2010 to reflect an FAO Ethiopia approach to disaster risk management. The outgoing FAOR appears to have successfully established a senior management team comprising the head of Administration, Programme and the ECU Coordinator.

The evaluation team has been faced with a question as to the value of the SFE to Ethiopia, and this is seen as a very important issue to the GoE, which hosts the SFE in Addis Ababa. Although the team was not able to identify the exact financial burden born by the GoE in hosting the SFE, the host government is clearly paying a significant amount of the tax payers' money for FAO. Through the

⁴⁵ "A fundamental issue is the incentives FAO offers to donors: its TCE-led programme is easier for them to deal with, is less bureaucratic, faster on delivery, charges far less overheads. For the long-term programme, the opposite is true in all three aspects. FAO should not be surprised that donors prefer to fund emergencies and not its long-term work". Mafa Chipeta, Terminal Report, 2010.

⁴⁶ DRM PoA June 2009: "The Plan of Action (PoA) is a planning and management tool conceived to concretely and efficiently set an appropriate framework for interventions by the FAO Emergency and Rehabilitation Coordination Unit (ECU) in Ethiopia for the period 2008/09"

many interviews with stakeholders, the team was frequently informed that the SFE Technical Officers are invariably not available to assist the programming and backstopping for Ethiopian projects on the grounds that they are not exclusively for Ethiopian affairs, and/or that they are frequently out of the country on mission. The team also observed that the technical profile of the SFE Technical Officers is not specific to the needs of Ethiopia (nor necessarily to individual needs of other countries of the sub-region), lacking the technical expertise in certain sub-sectors such as fisheries, farming systems, nutrition and food security, land tenure, etc., all of which are of critical interest to Ethiopia (and indeed to other countries of eastern Africa)⁴⁷. Overall, there is a substantial gap between the expectations of the Ethiopian stakeholders (government, FAO colleagues, development partners, etc.) and the capacity of the SFE Technical Officers to fill the needs of Ethiopia. This is also a dilemma for the SFE Technical Officers, who wish to be able to assist Ethiopian affairs as demanded, while also meeting their duties and responsibilities to the other countries of the sub-region.

3.3.3 Sub national offices of FAO. There are currently nine sub-national offices within Ethiopia established and maintained by DRRU (usually within BoARDS); the number of the regional offices varies according to the range and scope of emergency operations. The role of these offices is to liaise with regional stakeholders (in particular BoARD, FAO's main implementing partner), provide technical assistance, monitor implementation of projects, and support regional coordination in the agriculture and livelihoods sector. The extent to which the sub-national offices can fulfil these roles is dependent on their capacities: in most of these offices, there is only one officer (a National Field Monitor). The mission observed contrasting performance in the country. In Bahir Dar the office was appropriately located within BoARD, and effectively coordinated both development and emergency projects (presenting a unified image of FAO). In Mekele there was no overall coordination of FAO activities, and for the two large development projects, one Project Manager was based in Mekele and the other in Addis Ababa. In addition, some of the development projects have staff based in the project sites rather in the regional capital. The mission felt that these structures were not conducive to creating synergies between projects managed by DRRU and those managed by the FAOR/A-FAOR – or to maximizing resources for representation at regional levels⁴⁸.

3.4 Functions of the FAOR

3.4.1 Representing the Organization, Policy Positions and Advocacy

The former FAOR (Mafa Chipeta) was recognized as a visionary representative, with strong analytical skills, and substantial expertise in policy matters with regard to Ethiopia's long term development. He had taken strong positions on several important issues, such food importation prices and fertilizer subsidies, and had been an important contributor to policy debates on economic growth in the country. He was not seen as such a strong advocate for humanitarian assistance, a position

⁴⁷ The outgoing FAOR noted in his Terminal Report that the "socio-economic characteristics of the sub-region were not fully reflected in the combination of SFE staff profiles, and this has not been corrected; in fact, with some staff erosion, the inadequacy and imbalance has worsened".

⁴⁸ The mission found, for example, that the O60/BEL project, which is implemented in two districts in Tigray and two in Amhara, has not been able to systematically engage regional authorities in the project; important gaps remain in translating lessons learned from project level to inform national initiatives.

reflected in the draft NMTF and SFE strategies. His contributions were almost universally recognised and praised by GoE leaders and staff whom he had interacted.

FAO has been instrumental in supporting Ethiopia's strategic development policies such as PASDEP, the SLM Investment Framework, UNDAF and FSP. The FAO/SFE policy dialogue has influenced Ethiopia's agricultural investment, helping to shift the disproportionate share of funding in degraded low potential areas towards areas with high potential for agricultural development. This dialogue, extended to the donor communities, has started bearing fruits with the procurement of some US\$ 300 million from donors for the new Agricultural Growth Program (AGP). FAO has also been actively involved in the UN country team's preparation of concept notes on prioritized development of Agriculture-led Economic Growth Corridors (assuming a leadership role), and in the formulation of a support mechanism from the UN through the new UNDAF.

On a less positive note, however, GoE, UN agencies and donor partners indicated that FAO is often absent from important policy forums such as UN consultative and donor coordination meetings; furthermore the quality and regularity of FAO's representation to the meetings varied, reducing the relevance and effectiveness of FAO's contributions. The Evaluation Mission concludes that this unfortunate situation is due to various factors, including: the frequent absences due to travel of the FAOR; the large number of meetings at the technical and working level, all of which the A-FAOR alone cannot cover; and a lack of willingness/ability/time of technical officers of SFE and those of DRRU to attend these meetings.

The principle responsibility for representing FAO after the FAOR himself is seen to be the A-FAOR. The team observed that the A-FAOR plays a key role in maintaining the functionality of the Representation, being involved in negotiations and consultations with the concerned government authorities, supervision of project implementation, UN Country Team affairs such as attending thematic groups and UNDAF working groups, donor coordination meetings, publicity and attending to media relations, etc. Like the FAOR, the mission found that the A-FAOR is also overstretched.

The A-FAOR was appointed in June 2008. It was observed that he has not been given adequate time and opportunities to learn about the rules and regulations of FAO, the corporate structure (which has drastically changed over the past year or two), nor the workings of the UN and other development partners. He had not benefited from a FAO corporate induction⁴⁹ or been invited to training/learning opportunities such as periodic meetings of A-FAORs or regional exchanges where he might exchange experiences and visions with colleagues in the region. The mission finds that, given the above, the A-FAORs ability to play a strategic role, shaping of views and representing FAO at a policy level during the frequent absences of the FAOR is limited.

3.4.2 Partnerships and Coordination

The team was pleased to observe that FAO Ethiopia generally maintains strong and interactive relations with the GoE. The team also acknowledges the commitment of the GoE in hosting FAO

⁴⁹ Note: at the time of the preparation of this report, 30 months after recruitment, the A-FAOR participated in a two week HQ orientation seminar.

Ethiopia, including the bearing of some financial costs, such as the payment for the rent of the FAO office in Addis Ababa. The GoE, more precisely the MoARD, has fulfilled its obligations to provide FAO with rent-free office premises. They have not, however, fulfilled the requirement to provide furniture, office equipment, security, IT requirements, etc., the costs of which have been largely borne by FAO.

As for the participation in and contribution to the UN Country Team, the team heard mixed comments. FAO's technical competencies are well acknowledged in the UN Country Team. These include FAO's facilitating role in the preparatory process of UNDAF, and to some extent in the joint programming of proposals for Spanish funding. On the other hand, it is understood that FAO is not always present at meetings at which FAO participation is expected. The team also heard that FAO is excluded from certain joint activities, which are undertaken by the participating agencies on a cost-sharing basis, as FAO does not have flexible financial resources. Other than in the area of food security information (e.g. CFSAM, support for DRMFSS needs assessments and CSA production statistics), there is very little evidence of collaboration between FAO and other UN agencies at the programme activity level.

FAO has strengths in many technical areas, and part of its responsibilities lie in the field of capacity development. While the evaluation mission acknowledges the multiple contributions of FAO staff to this area, it is something that demands substantially greater attention in the future. Indeed the recent independent evaluation of FAO's activities in this area in Africa concluded "FAO's performance in Africa has been mixed. Most interventions are relevant, many have been effective, but few have been sustainable". It also stated "the promotion of capacity development should be integrated into all staff job descriptions". The evaluation mission believes that this is particularly relevant for DRRU staff in the promotion of developmental approaches.

3.4.3 FAO interaction with donors

The FAO office has interactions with bilateral and multilateral donors at various levels, including FAO HQ (notably the Investment Centre), at the level of FAOR, the DRRU and individual staff member level. Worthy of particular mention has been the work of the Investment Centre in contributing substantially to the development of Ethiopia's Agricultural Sector Policy and Investment Framework (PIF), 2010 – 2020, the last draft of which was presented in September 2010.

At the country level, the FAOR/SRC took the decision to allocate a staff member of SFE to a donor coordination role, working particularly with the office of the World Bank in Addis Ababa. This position not only contributed to the preparation of funding proposals, but also played a key role in the conceptualisation and management of the Rural Economic Development and Food Security Sector Working Group (REDFS SWG) under the auspices of the Donor Assistance Group (DAG) of MoARD. Unfortunately, this strategic position has been relinquished with the recent departure of the staff member, and donors have chosen to recruit her replacement directly rather than to work through FAO.

3.5 Programme Management and Resource Mobilization

At the time of the mission, FAO Ethiopia was preparing for another office move. The three units (FRETH, SFE, DRRU) had been accommodated in a privately owned building, rented by the MoARD of the GoE. This will be the third time that the office moves in five years and significant relocation and instalment costs have been incurred each time.

With respect to fundraising for the country programme, the evaluation team was pleased to observe that the DRRU is actively engaging in donor consultations with a view to mobilizing financial assistance to emergency and recovery interventions. They appear to see the PoA as both a programming framework and a fundraising tool, particularly to facilitate dialogue with donors with decentralized/country level decision making authority.

However, the team considers that the FAOR in Ethiopia has not fully exploited his delegated authority with respect to mobilizing resources at the country level. Part of the reason for this is considered to be the deficiency in fund raising expertise within the FAO Representation. A review of existing job descriptions reveals that staff performance of the FAOR (and A-FAOR) is not measured by their ability to secure programme resources. Another dimension of the problem relates to the issue of incentives. While TCE staff personally depend on new projects to finance both interventions and operating costs (that include their salaries) at field and HQ levels, the same is not true for the staff in the FAO Representation, who are paid from regular programme budget resources. In the absence of capacity within the FAOR, the mission did not see any evidence that the fundraising expertise existing within TCE and the DRRU team was being utilized for securing longer term funding to facilitate transitioning to development. Nor did the SFE MDT seem to be active in this area; the only development project in the pipeline appearing to be the CSA project extension, which is actively backstopped by ESTG in HQ.

Another reason for low levels of resource mobilization for FAO policy, capacity building and technical assistance is considered by some to be an inadequate dialogue between the FAO Investment Centre and the FAOR. While officers from the investment centre are playing an important role in resource mobilization by facilitating the formulation of investable and bankable project proposals for the relevant government authorities (which was highly appreciated by a number of stakeholders interviewed), it appears that the investment centre is sometimes seen as acting independently from FAO Ethiopia in its interactions with GoE, and there seems to be a lack of recognition of FAO's comparative advantage and potential for local level contribution to large investment programmes under development.

The Mission also believes that, in addition to financial resources, there is a good chance of receiving human resource support from interested donor governments through the secondment of experts under modalities such as south-south cooperation, national volunteers and APO/JPO programmes. These could go far towards filling some of the staffing gaps within the FAO Representation as well as enhancing FAO's capacity to deliver technical services.

3.6 Monitoring, Evaluation and Reporting

It is observed that a monitoring and evaluation mechanism is built in and budgeted for in most development projects with a relatively large budget. The evaluations (mid-term and final) are conducted as required in the respective project documents.

In the recent past, FAO has undertaken a number of evaluations (thematic and project specific) as well as an audit in Ethiopia⁵⁰. The subsequent recommendations, as relevant, have generally been respected and acted upon by FAO Ethiopia. Some follow-up actions are still continuing. Notable improvements in the administrative sector, in compliance with the relevant recommendations, have been achieved.

However, in terms of monitoring systems, the FAO Ethiopia functions at a rudimentary level, and has rarely attempted to measure results beyond the delivery of outputs. With the exception of the BSF and the GTFS/067/ITA projects, baseline studies have not been undertaken and no follow-up beneficiary assessments have occurred in order to determine what changes have occurred as a result of FAO/partner interventions. This is explained in part by the lack of dedicated M&E staff: neither the FAOR nor DRRU have any dedicated M&E staff. This compares unfavourably with other FAO country programmes of comparable size. The only human resources available are provided on a part time basis by the Field Program Support and Monitoring Officer within the SFE/MDT.

On a positive note, however, the DRRU has developed an extensive database and reporting system on the emergency projects for which they are responsible. The system allows the generation of historical and current information on past, current and pipe-line projects as to their status, including the schedule of activities and budget information. However, we observe that FAO Ethiopia is not yet fully utilizing these databases and information on projects in such a way as to disseminate the relevant reports to the concerned stakeholders, particularly the donors and the relevant authorities of the government of Ethiopia.

⁵⁰ OFFICE OF THE INSPECTOR GENERAL, AUD 1510, Effectiveness of Addressing Subregional Priorities: Subregional Office for Eastern Africa (SFE). March 2010
OFFICE OF THE INSPECTOR GENERAL, AUD 1310, Review of FAO Ethiopia. February 2010

4. Food security and nutrition

4.1 FAO's work in food security and nutrition

In principle, most of FAO's current activities in Ethiopia can be considered to contribute to food security and nutrition because they address issues of food availability, and the access to, or utilization of, food, all usually in food deficit regions. A number of projects (18) explicitly mention improving food security and/nutrition as an objective. These fall broadly under the headings of a) information systems for food security (institutional capacity development, technical assistance and tools and methods); and b) interventions that support chronically and acutely food insecure households (direct support, development of models of good practice, household asset building and support for improved coordination).

Over the past five years FAO has implemented several activities that relate to generating information on food security. This includes a three year technical assistance project (071/EC) to build GoE capacity (CSA and MoARD) to collect, analyze and interpret food security information to better inform policies and programmes, and two ensuing TCPs, designed to allow for continuation of FAO assistance (ETH/3303), as well as for the formulation of a new technical assistance project (ETH/3202). Another project entitled "Strengthening Local Capacity for the Achievement of the MDGs" (ETH/07/001/01/99) aspired to support MoARD in the establishment of a full sectoral M&E system. Finally, FAO has supported the collection and dissemination of information on both the food security situation and the responses to them through activities such as:

- Annual FAO/WFP Crop and Food Supply Assessment Missions (CFSAMs)
- Participation in DRMFSS semi-annual situation analysis and needs assessments.
- Support for information sharing under the DRMFSS agriculture sector task force (FAO acts as the secretariat) and creation of a database of emergency interventions in the food security and agriculture sector.
- Capacity building of local community, Southern Range Land Development Unit (SORDU), and local disaster management offices in livestock early warning information systems in Oromia.
- Support for the creation of a REDFS database of donor investments in rural development and food security.

In terms of support for the chronically food insecure, FAO has been involved in a long-term household asset building (HAB) pilot project (060/BEL) in northern Ethiopia that seeks to improve food availability, household income, access to public services and to support environmental rehabilitation. The project has included a number of education, health, nutrition and HIV-AIDS related activities, including for example the promotion of iodized salt, latrines and good child care practices. The intervention began in 2001 and entered a second phase in 2007. The main target groups for this project have been households identified as vulnerable and receiving PSNP support, but with a special focus on female headed households and the landless/oxen-less. To date 26,000 households have participated in six *woredas* (four in Amhara and two on Tigray).

Assistance to households facing acute food insecurity resulting from shocks such as drought, floods and price shocks has been an important component of the FAO Ethiopia programme. A number of large donor funded projects have been developed, often covering multiple regions and multiple

intervention types. These include the distribution of planting materials, training in conservation agriculture, provision of vaccines and medicines for animal health responses, rehabilitation of animal water points, rehabilitation of grazing lands, reforestation and watershed management.

4.2 Relevance:

Despite the fact that almost half of the portfolio of projects under implementation is managed by DRRU, the nature of the activities suggests a considerable investment in emergency preparedness and prevention, with much less focus than implied on responses to shocks. As observed by the mission and confirmed by DRRU staff, up to 75% of the beneficiaries of DRRU-managed projects are chronically food insecure (i.e. their selection was based on their poverty profile).

In terms of approaches, food security interventions frequently include individual and organizational capacity development. Partnership with the regional, zone and *woreda* GoE offices is evident and most projects are implemented by these partners through MoU agreements. Partnerships with local cooperatives/farmers unions are also evident and, while inputs are sometimes distributed free of charge, there is often an expectation of at least partial repayment in kind which allows for further distributions within the same communities.

Overall the food security activities undertaken, while often developmental in nature, are seen to be aimed at reducing vulnerability and increasing resilience, rather than increasing wealth *per se*. While some activities have been undertaken in higher potential areas for agriculture, the vast majority occurred in food deficit areas of the country.

Despite the recent GoE trend towards a greater focus on economic growth and the high potential areas, there remain serious food security and nutrition challenges in Ethiopia, with high rates of malnutrition and many households facing a 3-6 month food gap every year. The mission noted visible signs of micronutrient malnutrition; the team who travelled to SNNP region observed a high prevalence of goitre (iodine deficiency) amongst women met. The evaluation concludes that FAO's continuing attention to addressing acute and chronic food insecurity in Ethiopia is very relevant to the needs of a significant proportion of the population.

However FAO's NMTPF does not adequately reflect FAO's global strategic objectives in terms of emergencies, food security and nutrition. With respect to food security and nutrition, the NMTPF limits itself to direct assistance, and there is little analysis of how FAO might contribute to the core functions of knowledge generation, policy formulation or institutional capacity development. There is no indication of how FAO will support emergency preparedness, or of FAO's vision on how the much discussed transition from relief to development will take place.

In terms of FAO's contribution to the implementation of the national FSP, FAO arguably has a comparative advantage in the area of natural resource management and the organization might conceivably have made important contributions to the watershed management and reforestation work that has been undertaken as public work under the PSNP. However, as WFP has been implementing food for work activities in watershed management⁵¹ in Ethiopia for over 30 years, it is

⁵¹ WFP Merit Programme includes terracing, reforestation and other environmental rehabilitation activities.

perhaps understandable that FAO elected to not engage in this large scale safety net programme. At this point, with the GoE committed to scaling down the PSNP over the next 5 years,

FAO's engagement in the household asset building (HAB) component of the NFSP through the 060/BSF project is seen as having been appropriate. The redesign of the targeting strategy to focus on PSNP beneficiaries in 2007, in response to the mid term evaluation recommendations was highly responsive to emerging analysis. However the project conceptualization did not effectively address scaling-up and exit strategies, or consider wider opportunities for feeding experiences and good practices into the redesign of the national HAB component.

With respect to the large number of activities undertaken by the DRRU, the mission finds that many could be seen as HAB for the chronically food insecure. DRRU operational areas overlap significantly with PSNP target *woredas*. However, unlike the 060/BEL project, DRRU activities have deliberately sought to avoid targeting the PSNP beneficiaries in an effort to reach other needy or "those people who are just a little bit less poor"⁵². Most activities have aimed at strengthening food production capacity with much less emphasis on other food security domains such as access to food (including markets) and utilization. Interviews with MoARD (Agriculture Development Directorate) revealed dissatisfaction with FAO DRRU work; some senior officials see the work as comprising too many small, short term interventions that do not address development needs. Indeed the mission found that the overall design of DRRU interventions results in highly dispersed activities for relatively small beneficiary groups often spread over large areas, in which complex food security issues are approached generically in a manner that may not respond to the specific challenges faced by different segments of the population. Differential analysis of household vulnerability to food insecurity and its underlying causes and an evidence of an understanding of male and female livelihoods are almost completely absent. The DRM PoA and project documents provide only very generalised analysis of risks, vulnerabilities, hazards and response options available with respect to food insecurity and malnutrition, which give the (false) impression that the food security situation in the country is homogenous.

Interviews with other parts of MoARD (in particular with DRMFSS) and with certain other stakeholders, however, indicate that FAO's role in supporting emergency coordination in the agriculture sector has been very useful; food security information system activities have been viewed as highly relevant to GoE DRM priorities and donor needs. FAO and other partners have sought to strengthen the Governments' own capacities to plan for and respond to disasters⁵³. The new *FAO Ethiopia Plan of Action: Focus on DRM 2010-2012* could arguably be more analytical in

⁵² Selection criteria in some cases explicitly exclude the most vulnerable, for example by stipulating that beneficiaries must have a certain amount of land. While it is recognised that cereal production requires significant land holding, other types of agriculture related enterprises can be undertaken on relatively little land, and female headed households, youth and other marginalized groups are often disadvantaged when it comes to land tenure.

⁵³ In a number of countries subject to recurrent shocks, the humanitarian community (under the overall coordination of OCHA) have set up what is called a 'cluster coordination system'. In Ethiopia, the creation of this separate structure and system has not been necessary due to the capacity and ownership within Government to lead and manage emergency response. See <http://oneresponse.info/Coordination/ClusterApproach/Pages/Ethiopia.aspx>

terms of reflecting FAO's experiences and lessons learned from other emergency contexts, and in particular in helping to articulate FAO's comparative advantage in emergency responses.

4.4 Effectiveness

In terms of policy advice, the mission found that there is evidence to suggest that the BSF project experience, which was shared with national level stakeholders (FSP working groups) through the publication and dissemination of a best practices document, had some influence on the recently revised 2009-2014 national food security programme. This influence was diluted by the lack of continuity in FAO participation in the working group during the critical FSP formulation phase. FAO was not invited to participate in the formulation of the national DRM Policy (which appears to have been largely supported by external USAID consultancies).

FAO's support for improving information and statistics for agriculture and food security has had mixed results to date. The technical assistance provided to the CSA and MoARD has effectively brought together key stakeholders, and both evaluations conducted⁵⁴ and interviews held during this mission confirm that the FAO project has helped to understand better the data discrepancies between the different data producers, and to foster a dialogue on maximizing the comparative advantages of the CSA and MoARD. Crop production estimation divergence between the two agencies is no longer increasing, but the reliability of agricultural statistics remains of concern. There is no doubt that individual and organizational capacity has been developed, and that some of the tools introduced under the project⁵⁵, will improve the quality of the data when put into general use. There is clear scope for expanding FAO technical assistance beyond crop production statistics.

Both CFSAM reports and GoE lead bi-annual assessment missions⁵⁶ are being used for decision making by implementing agencies and partners. The mission notes however that two other data related activities have met with less success.

- FAO efforts to build interest and capacity amongst GoE and international partners in using the Integrated Food Security and Humanitarian Phase Classification (IPC) have not met with major success, in part because other analytical frameworks already exist in Ethiopia (IPC Mid Term Review, Central and Eastern Africa 2008).
- Attempts to develop an ambitious sectoral database system for MoARD have largely failed due to inadequate FAO technical support, and in particular a lack of synergy with other FAO food security information system work.

How have FAO activities changed household level knowledge, attitudes and practices? With one exception this is a very difficult question to answer as there are very poor tracking mechanisms of results in place. However the 060/BEL food security and nutrition project has been very well monitored throughout its 10 year implementation, and while all results are not yet in from the

⁵⁴ The CSA project was independently evaluated twice: in 2008 (OED: mid term) and in 2010 (EC: final)

⁵⁵ Tools introduced include using GPS technology to estimate area under cultivation and the use of GIS, small area estimation techniques, area based sampling frames, etc

⁵⁶ The mission learned that FAO participation in these assessments has been erratic, particularly at regional level where presumably human resource constraints are a factor.

commissioned impact assessment, there is considerable evidence to suggest that both community and household practices have changed for the better. The mission also confirmed that working through regional and *woreda* level GoE agriculture offices has aided the transfer of skills, and increased the capacity to deliver extension services to rural households.

With respect to improving the quality of interventions in the area of food security and nutrition, FAO (often SFE) has produced a number of normative guidelines (Appendix 6). However a review of Agriculture Task Force meeting minutes and feedback from some stakeholders suggest that FAO could play a much stronger technical coordination role. Technical backstopping from Rome (with the important exception of headquarters support for the CSA project) has been insufficient, particularly given that there are no food security or nutrition specialists in the SFE team⁵⁷. Moreover there appears to be a lack of forums for sharing ideas and lessons learned between FAO staff working on food security and nutrition. The 060/BEL food security and nutrition project reached vulnerable female headed households through a combination of an in depth vulnerability analysis at household level combined with a flexible approach to asset building support. Female participants in the project are reportedly more confident and more able to meet their household needs due to the diversification in their livelihood strategies. Key to this success has been the extension of credit and training to women and the regular involvement of the *woreda* women's affairs offices. Unfortunately the mission did not find other examples within the FAO programme of female empowerment or even clear evidence that vulnerable female headed households were being specifically targeted.

Partnership in the area of food security has been mainly with GoE agencies (MoARD, CSA). FAO has an MOU with WFP on the Purchase for Progress (P4P) programme, and there is a dialogue with WFP, but there is much less interface with UNICEF. As food security depends not only on food availability but also access and utilization, it is disappointing to see the lack of effective partnerships with agencies with comparative advantage in addressing non-agricultural elements of food insecurity (in particular WFP and UNICEF). The exceptions to this are the BSF project, which has engaged systematically with the Ministry of Health, and the food security information work, which has involved both WFP and FAO.

4.5 Efficiency

As indicated earlier, there is significant geographic dispersion of the food security and nutrition activities. This reduces the possibility of sharing resources more systematically across activities, such as office space, transportation and technical staff. The BSF has relied since 2007 on the PSNP criteria and selection processes as the means for identifying their beneficiaries⁵⁸ which is both efficient and effective in terms of building complementary activities around a vulnerable population. The beneficiary criteria of the DRRU household level food security and nutrition projects are less evident. Households are targeted based on poverty criteria, including the extent to which they suffered from a shock, their suitability to act as model farmers, and sometimes on their proximity to water sources and demonstration sites. Targeting has not been systematically monitored, and while the mission

⁵⁷ The FAOR End of Assignment report identified the need for nutrition expertise in the SFE team given priorities in the sub-region.

⁵⁸ This was a recommendation from the independent evaluation at the end of the pilot phase project.

found no evidence of exclusion of any particular socio-economic group, better monitoring of the application of targeting criteria is needed.

FAO's involvement in food security information (CSA, and also the DRMFSS-lead information gathering, needs assessments and analysis) clearly contributes to better coordination between partners. In particular FAO support for the development of two response databases (one under REDFS, the other under DRMFSS) which map out who is doing what and where in food security, is to be commended.

4.6 Impact

In terms of improved reliability and accessibility of food security and nutrition information and analysis, the mission finds that FAO's work has had an impact on decision making. This has been the case in particular with the CFSAM data, which has been reportedly used both for PSN programming and for emergency resource allocations. The independent evaluation of the CSA project indicates that while the support to the reconciling and improving of crop production statistics has not yet had the desired impacts, there have been important institutional changes. The report also suggests that the potential impact of FAO's support to the CSA goes far beyond supporting food security related decision-making, but could "improve the quality of macroeconomic management and facilitate the Government's interaction with international financial institutions, especially the International Monetary Fund (IMF)". A key challenge identified by a number of stakeholders will be in promoting the collection and reporting of objective and verifiable data.

An impact assessment of the 060/BEL food security and nutrition project is currently underway which includes the collection of both quantitative and qualitative data. The household survey is in progress; initial qualitative results indicate that the project has made a positive impact on community capacity to plan and manage their own development processes, increasing the voice and participation of marginalized groups (female headed households, youth, disabled, people living with HIV/AIDS) and on household level skills and productive assets. During the drought of 2009, households which were supported with credit and technical advice in order to establish irrigation systems and to cultivate potatoes showed increased resilience to the shock and greater self-sufficiency. While phase II of the BSF project reduced the environmental rehabilitation features⁵⁹, the production and promotion of fuel-efficient stoves has been seen as relieving stress on the environment, as well as resulting in saved time for women (the gatherers of fire wood). Two factors which have limited the impact of 060/BEL have been: a) insufficient attention given to value chain analysis, resulting in the reduced viability of some of the income generating activities; and b) insufficient attention given to scaling up project experiences to the national level.

Anecdotal evidence suggests that FAO support through other projects has contributed to increased food production, agricultural diversification and the protection of productive assets. However no systematic beneficiary assessments have been done to measure changes at the household level.

⁵⁹ This was done in response to the start up in 2006/7 of the very large environmental programme being implemented at a national scale under the PSNP.

Given the lack of intensity and duration of interventions for any individual beneficiary household, however, the visibility and sustainability of changes at household level is likely to be low.

4.7 Sustainability

The independent evaluation of 071/EC judged that the “project’s successful support to improve CSA’s efficiency will be sustainable provided that CSA’s future budgets cover the training of new staff, periodic refresher training of existing staff, the replacement of depreciating hardware and the upgrading of software.” It is recognized that a three year technical assistance project was insufficient to bring about some of the technical, organizational and political changes needed across key data producing institutions. To ensure continuity, FAO has invested some of its own funds in ongoing activities since the project closure. Long term sustainability will depend on the mobilization of additional resources for further development of agricultural and food security statistics.

Initial results from the 060/BEL assessment suggest that the food security and nutrition project approaches and services enjoy a high level of local (*woreda* and *kebele*) ownership and that local government capacities to deliver credit and extension services (in agriculture, health, and other sectors) have been enhanced through the project. Technologies introduced have been simple and appropriate and can be easily adopted and replicated by beneficiaries. There is a great demand for credit (particularly amongst women) which has not been fully met due to lack of timely loan reimbursement; this negatively affects the “revolving” nature of the credit and the continuation of the benefits of the credit funds.

At the regional level, the mission found that authorities expressed much less familiarity with the project, although numerous visits and workshops have been organized by the project to share experiences. In Amhara region, the Agriculture Bureau has incorporated good practices on HAB approaches identified under the 060/BEL project within their regional guidelines, which will help to widen and sustain the benefits.

While rural credit has not been a key feature of other FAO food security and nutrition related interventions, GoE policy has been adhered to and recovery of certain portions of assistance provided has served to extend benefits to new households. This represents a change. Several years ago the Horn of Africa evaluation commented on the high use of free inputs. In the area of animal health, however, FAO was accused by some partners of reversing progress substantial on cost recovery through the distribution of free vaccines under emergency mass vaccination campaigns

5. Crop Production and Marketing

5.1 FAO's activities in the crop sector

There are several types of projects that cover crop production and marketing. They include projects in an emergency context that distribute seed or planting material (and sometimes fertilizer); those that encourage local seed production; complex projects that may include various elements of input distribution, seed production, crop management, and market development; several (now closed) irrigation projects implemented under the SPFS; and various projects dealing with crop production information, trans-boundary pests or diseases, and policy related to crop production.

For ease of discussion, this chapter will focus on the following types of activities (several of which may be present in a single project):

- *Technology transfer.* This includes the promotion of conservation agriculture, home gardens, and drip irrigation (and, in one case, construction or rehabilitation of small-scale irrigation schemes); and the introduction of new crops or varieties to promote diversification or increase resilience to environmental stress. These types of technology transfer are common elements of a number of projects, including those supported with emergency funding.
- *Value chains.* This includes work on traditional or introduced crops and the promotion of crop marketing capacities. The common strategy is to support production of the commodity as well as to organize or support already-existing farmer groups or cooperatives to market the commodity.
- *Seed and planting material production.* A number of projects include the development of local, small seed enterprises through farmer groups or cooperatives. The usual strategy is to train and organize farmers to produce seed which is then conditioned and sold by an agency, usually a local cooperative or public seed company. Projects promoting fruit species may develop or rehabilitate government nurseries and/or promote the concept of private (small-farmer) nurseries.
- *Seed and other input distribution.* Seed (and sometimes fertilizer) is distributed in various projects, in response to disaster or as a part of longer-term projects; the latter is often, but not always, provided under some sort of credit scheme. In 2008-09 FAO distributed nearly 6,000mt of seed, equivalent to about one-third the annual production of Ethiopian Seed Enterprise (although only a minority of this seed was acquired from ESE, which frequently does not produce sufficient quantities of the type of seed in demand for such projects).
- *Other crop-related activities.* FAO has contributed to various national and regional policy discussions, related to areas including agricultural investment priorities, agro-industry strategy, natural resource management and the future of the Nile Basin. FAO's Statistics Division has a long-standing relationship with the Central Statistics Agency (CSA) and recent collaboration has included work to resolve discrepancies in data related to assessing food security. There has also been recent FAO work in Ethiopia on pest control, including desert locusts and Cypress aphid.

5.2 Relevance

Given the relatively modest resources currently available for FAO crop-related projects in Ethiopia, the range of activities supported is very broad. While this breadth indicates a commitment on the part of FAO to support Ethiopia, and in part represents the range of expertise and mandates in the organization, it does not reflect a clear strategy or set of priorities. This absence of strategic focus is partly explained by the variety of project origins, including those initiated in headquarters for Ethiopia, projects that include Ethiopia as part of a regional effort, and locally-conceived projects from the national or sub-regional representation or from DRRU (the latter including short-term emergency response and slightly longer-term actions related to the transition to development).

Although some individual projects have a quite specific focus, others include a wider range of activities than their budgets and management can adequately accommodate. In addition, many of the crop-related projects from DRRU are small and geographically dispersed, working in one or a few *woredas*, and a few *kebeles* in each *woreda*, often scattered across several regions (in some cases due to funding limitations). The organization of the projects in this way does not allow for the work to be managed efficiently or to reach a critical mass where it could serve as a pilot or as a clear nucleus for scaling up.

Many of the themes addressed by FAO crop-related projects in Ethiopia are highly relevant to the country's needs (introduction of new technologies, promotion of marketing innovations, etc.) Both the extension service and the crop marketing system are badly in need of sound technical support. The continuing role of FAO in emergency seed distribution is more problematic. Many questions have been raised about the relevance of this activity, including the extent to which target populations are actually unable to acquire seed, the adequacy of some of the crop varieties provided, the wisdom or necessity of supplying seed season after season in certain locations, and the failure to incorporate longer-term strategies to build resilience. FAO is still not in a position to address those issues⁶⁰.

Much of the funding available for improving crop production is through short-term emergency projects related both to the distribution of inputs and to various types of technology promotion. The current draft Plan of Action for the FAO DRRU elaborates a more sensible programme to support crop development than that proposed in the draft NMPTF, but the long-term requirements of developing capacity for crop development are not compatible with the short-term funding of DRRU and they require a wider range of skills than currently available to the unit.

Although there is widespread concern (within FAO and GoE) to move away from multiple emergency towards longer-term development programmes for supporting crop production and marketing, there has apparently been little thought given to what a comprehensive development strategy might entail. Talking of a transition from emergency to development is ineffectual, and bringing it to reality

⁶⁰ L. Sperling., Aberra Deressa, Solomon Assefa, Teshale Assefa, S.J. McGuire, Berhanu Amsalu, Gebremichael Negusse, Asrat Asfaw, Wendafrash Mulugeta, Belete Dagne, Gebrehiwot Hailemariam, Anbes Tenaye, Beneberu Teferre, Chimdo Anchala, Habtamu Admassu, Hadush Tsehay, Endrias Geta, Daniel Dauro and Yealembirhan Molla (2007) *Long-Term Seed Aid in Ethiopia: Past, present and future perspectives*. Addis Ababa and Rome: EIAR, CIAT, ODG.

has several obstacles: many of the resources available come from donor funds that are ear-marked for short-term use; the transition process attracts relatively little technical oversight from FAO or its donors; and the short-term projects are largely evaluated by FAO, donors and government agencies in terms of “outputs delivered” rather than “outcomes” and “capacities built”.

The relevance of the models pursued in some of the projects is questionable:

- In a number of cases FAO is pursuing a small seed enterprise model which assumes that groups or cooperatives of small farmers will be able to develop independent seed businesses. This is an approach which is favoured by GoE policy but has no track record elsewhere in the world. Building farmer capacity as contractors to public seed enterprises (and to a few selected cooperatives with adequate capacity) would still be compatible with current policy and likely be much more cost effective.
- There are similar problems in promoting small farmers to establish private nurseries. The basic concept is logical, but there is no evidence of any analysis of the scale necessary to achieve viability or to resolve potential conflicts and interactions with public nurseries.
- In the cases of seed production and nurseries, the viability of the businesses being promoted largely depends on their ability to manage links with germplasm suppliers, contact quality control agencies, and handle the complexities of marketing. The projects tend to pay all of these transaction costs and then expect the entities to survive after project closure, which is very unlikely.
- Farmers face serious marketing constraints, in part because Ethiopia has relatively poorly developed agricultural marketing infrastructure and experience. Marketing cooperatives can offer significant benefits in some cases, but the institutions of cooperatives seems to be the default response to any marketing issue, rather than seeking a solution identified after a broader examination of the particular commodity sector.
- There is no opportunity within the projects to test whether activities such as focussing on model farmers (who are expected to share methods and materials with others) or various types of demonstrations and field days are in fact cost-effective ways of diffusing technology.

Despite the apparent relevance of many of the projects, only a few FAO core functions are evident in the crop-related work.

- Information provision has been supported by the strengthening of links between MoARD and CSA. There are some publications produced by country projects and SFE on crop production, extension and marketing, but these are generally of limited relevance and quality. A large rural development project produced a useful manual on onion seed production that could have general application, but other ‘glossy’ publications are focused on the specific project site and make few methodological contributions. A series of extension documents that described experiences in other countries has been produced by the sub-regional office, but these seem to be simply commissioned papers rather than being part of any long-term strategy.

- Policy options and advice are not particularly in evidence, the major exception being FAO's recommendation to concentrate investment in favoured production areas, which is apparent in the new GTP and is a cornerstone of the multi-donor Agricultural Growth Programme (AGP). The former FAOR was anxious that Malawi's experience with fertilizer subsidies was communicated to Ethiopian policy makers and several documents were produced, although there is no evidence of a response to date. FAO's participation with other development partners in efforts to review emergency seed procedures and to promote conservation agriculture in Ethiopia are of course valuable, but hardly represent leadership in policy facilitation.
- Technical support to promote technology transfer and build technical capacity is certainly an important element of several projects, but the effective use of, or contribution to, FAO normative products in crop production technology and extension is lacking. The review fieldwork (admittedly brief) found few examples of FAO normative products in general use. Support to efforts such as farmer business schools and farmer field schools for conservation tillage seem to be often in the hands of consultants rather than part of a coherent institutional strategy for developing, and learning from, such innovations.

5.3 Effectiveness

The generally short duration of the projects, the wide range of topics covered and wide geographical dispersal involved in many, limit the critical mass necessary for lesson-learning or scaling up. The current organization and priorities of regional agricultural bureaus favour the short-term provision of infrastructure and inputs to local populations rather than testing and development of operating procedures for effective, demand-led agricultural extension, so FAO faces a stiff challenge if it wishes to leave behind more general models and build capacities. In many cases it is difficult to envision how national partners will take over the work once a project is finished.

There has been considerable capacity building undertaken in many of the projects and this is highly appreciated by BoARDS and farmers. It is very difficult to tell how effective this training is, and the short-term nature of the projects does not encourage FAO to follow-up or assess outcomes through any type of effective M&E strategy. Training for BoARD staff faces the problem that the selection of trainees is usually in the hands of BoARD authorities (so the most appropriate people may not always attend) and high staff turnover lowers the possibility of building a reliable supply of expertise in a specific location.

There is little evidence that project design or execution takes advantage of, or attempts to link to, the work of others in the same field. For instance, before supporting activities such as seed potato production or the promotion of conservation tillage, it would be valuable to understand the experience of others in Ethiopia who are working on the same themes. Similarly, marketing efforts would be usefully informed by a sectoral overview that would allow an understanding of the nature of the market in which value chain work is being promoted (e.g. the markets for vegetables or fruits).

It is difficult to judge, particularly in the cases of on-going projects, if objectives are being reached:

- “Crop diversification”. On the positive side, projects provide access to new cultivars (particularly fruits and vegetables) that farmers can experiment with. Several projects have also introduced farmers to new varieties of staple crops (or at least varieties with which the farmers were unfamiliar). On the negative side, there is little opportunity to follow farmers’ experiences and understand which options are most attractive and deserve further support from the government or future projects.
- “Crop intensification” or “crop husbandry”. These terms are used by projects to describe activities that extend access (often with credit) to seeds and fertilizer. This may indeed be useful, although current GoE strategies do not put sufficient emphasis on producing seed of the most recently released varieties, and there is evidence of inefficiency in current fertilizer recommendations⁶¹, so the productivity gains from the current “production packages” are questionable.

There has been only sporadic activity related to policy dialogue on crop-related issues. For emergency seed distribution, there are normative documents and a draft policy guideline developed by FAO that recommend significant changes in emergency seed conceptualization, organization and analysis, but FAO practice does not follow these guidelines⁶². A local consultancy produced draft recommendations on crop variety release procedures (in order to accommodate the range of domestic and foreign research institutes and companies that might wish to offer crop varieties in Ethiopia), but neither the government nor FAO have taken these forward. In many cases there seems to be the belief that demonstrations of new crop species or crop management techniques by FAO projects, without accompanying analysis and dialogue, are equivalent to a policy initiative.

The main partners for crop production and marketing are the BoARDs, and relations with FAO seem to be very good in on-going projects. FAO also sub-contracts some NGOs in certain cases (to undertake seed procurement, home garden training, etc.). FAO acts as secretariat for Agriculture and Food Security Task Forces in Afar and Somali Regions that coordinate the actions of NGOs, and the role is appreciated. In other regions (e.g. SNNPR) such coordination mechanisms have become defunct. There is relatively little interaction of FAO projects with research institutes, which would be very useful such as in the promotion of conservation tillage or new crop varieties; one exception is the collaboration with Mekele University in a fruit promotion project.

Many crop projects are not of the size or duration to allow the full utilization or development of best practices to emerge. There is use of FAO’s “Farmer Business School” methodology in a crop diversification and marketing project, but it is unclear how closely this experience has been followed by headquarters. Work in conservation agriculture takes only partial advantage of FAO’s considerable experience in this field, and much more rigour and long-term commitment would be required to achieve meaningful results.

⁶¹ D. Byerlee, D. Spielman, D. Alemu, M. Gautam (2007) *Policies to Promote Cereal Intensification in Ethiopia*, Washington, DC: IFPRI.

⁶² “Emergency Seed Aid Guidelines for Ethiopia” draft document produced for MOARD, March 2009, Addis Ababa FAO office; L. Sperling, T. Osborn and D. Cooper (2004) *Towards Effective and Sustainable Seed Relief Activities*, Rome:FAO

For monitoring and evaluation, basic quantitative parameters are collected and reported in most cases (number of people trained, equipment distributed, yields, etc.), but there is little analytical documentation available for the projects.

The crop production projects appear to vary in their targeting; some target vulnerable households and some target relatively well-off households (“model farmers”) who are assumed to be able to demonstrate new crops and techniques to their neighbours. There is no explicit strategy regarding the balance between these, and some projects seem to adopt an approach that simply divides attention between the two ends of the spectrum. The selection of beneficiaries is apparently entirely in the hands of the local authorities, who serve as gatekeepers in the distribution of project resources, particularly for model farmers.

There is little evidence of gender-related targeting nor is there a specific focus on gender issues in crop production (women’s crops, responsibilities, etc.) or on women’s access to leadership (in community committees, places in BoARD, etc). One exception is in the donation of drip irrigation equipment exclusively to female-headed households in one project, with the aim of encouraging recipients to engage in vegetable production.

5.4 Efficiency

Most projects are too small, and if of any size try to do too much at the same time (e.g. a seed production project that also includes HIV/AIDS awareness, or a market development project that also devotes very significant resources to irrigation schemes and watershed rehabilitation).

The projects appear to be managed adequately by local staff who operate in very difficult environments, characterized by poor infrastructure, logistic limitations and exceptional levels of rural poverty that lower capacities for farmer involvement in extension activities. Staff have no job security, nor do they have any incentive to place their projects in a broader context.

In many cases the technical implementation has been good (e.g. developing seed production, farmer business schools, promoting new fruit species). In the case of conservation agriculture, however, there is simply insufficient time or oversight to provide any meaningful input to the development and promotion of these complex technologies, and there is a danger that the hasty demonstration of techniques drawn from elsewhere, whose short-term results may be disappointing, could even turn farmers away from future efforts that are better planned and executed.

It is sometimes difficult to understand why investments in equipment or infrastructure are made in particular projects, such as those listed below:

- \$0.5m for 100 ha of irrigation in the hope that the beneficiaries will become seed potato producers.
- Large, expensive seed cleaners provided to small seed producer cooperatives.
- Donations of equipment to regional seed labs when the major limitations are personnel and transport⁶³.

⁶³ This refers to GCP/ETH/077/AUS, which has provided equipment (ovens, microscopes, etc) to the government laboratory at Asela

5.5 Impacts

Assessment of actual impacts is difficult in an evaluation such as this, and the project documentation does not help. Final project reports often appear to be produced in a mechanical fashion and are not analytical.

- In the case of emergency seed distribution, some reports state the precise number of hectares planted with relief seed and even the yields obtained (when only a rough estimate would be possible).
- In the case of the final report on a large seed security project, the conclusion that “the CCBSE [cooperative community-based seed enterprise] model...proved to be economically and technically feasible, and suitable for catering to the seed security interests of rural communities”⁶⁴ is not supported by any quantification of production or costs (or by results on the ground).

As stated earlier, the impacts of emergency seed programmes are unclear and little is being done to find out what they are. The requests for seed are made by *woreda* officials who have some idea of which varieties are appropriate for their areas, but with last-minute tenders and a limited supply of seed of the varieties appropriate for marginal areas, there is no comprehensive analysis of situations of acute and chronic seed “requirements” or outcomes. A 2004 FAO publication says, “FAO implements seed aid...yet has little capacity to assess such interventions.”⁶⁵ That judgment is still valid.

Many of the projects contribute significant quantities of training, equipment, and germplasm to farmers and farmer groups. In the vast majority of cases these are highly appreciated by the recipients. Whether these are the most appropriate inputs is difficult to determine.

In non-emergency project cases, the distribution of basic inputs (seed and fertilizer) is usually done with the understanding that *woreda* officials will manage some type of repayment scheme. In the case of seedlings, some projects sell these, while others distribute them free of charge.

FAO appears to put little emphasis on quantitative impact assessment. The focus (in presentations and discussions) is on inputs distributed. This is complemented by a case study approach that focuses on individual success stories (confounding legitimate publicity efforts with equally important M&E responsibilities). The emphasis on “things distributed” is, not surprisingly, echoed in BoARD assessments of FAO; they look to FAO for equipment, seedlings, operational expenses, etc, rather than capacity building or strategic or policy advice.

⁶⁴ FAO (2008) *Strengthening Seed Supply System at the Local Level. Ethiopia. Project Findings and Recommendations*, Rome: FAO.

⁶⁵ L. Sperling, T. Osborn and D. Cooper (2004) *Towards Effective and Sustainable Seed Relief Activities*, Rome:FAO.

5.6 Sustainability

Training is an important part of many projects and almost certainly has impact. But given the high staff turnover, particularly at lower levels of BoARDS, and the geographical dispersion of many projects, sustainability would likely be increased by targeting training strategies at higher levels (such as Agricultural TVETS) where TOT would have a more lasting effect.

Some of the crop management techniques demonstrated (especially in conservation agriculture) require a much more concerted effort for any hope of impact. Home gardening and crop diversification efforts provide farmers with access to new species and they may be able to make use of some of these to modify their cropping patterns, but project design leaves most of this to chance. Although some of the projects have introduced farmers to new crop varieties, there is little effort at on-farm testing that would provide farmers with information about new varieties (particularly drought-tolerant ones that are frequently mentioned in reports) of basic grains and legumes.

The distribution of equipment through projects is always problematic. Motorcycles distributed to BoARD offices in one project are followed by requests for assistance in their maintenance. The distribution of complex equipment to BoARDS (such as ox-drawn seeders for conservation agriculture) with little testing or adaptation provide little chance of sustainable use. Leaving expensive and complex equipment such as large seed cleaners in the hands of inexperienced farmer groups also offers low probability of sustainability.

Group and cooperative formation is often useful. The seed producer groups in some of the more productive areas of the country have a good chance of survival because the demand for seed by public seed agencies means it is a seller's market for people who are reliable seed producers. It is likely that these groups will survive as contract growers for the regional seed enterprises or better-resourced cooperatives; whether they continue to use the business cycle planning and logos the project provides is more doubtful.

The refurbishment or support of government nurseries by projects helps produce and deliver seedlings to beneficiaries but there is often no indication that the BoARD can maintain these after the project closes.

Projects that have built capacities in CSA help to strengthen the links with FAO's Statistics Division and to strengthen the agency on which the GOE depends for providing statistics of crop production (MoARD).

6. Livestock production and marketing

6.1 FAO's activities in the livestock sector

Between 2005 and 2010 FAO was involved in 18 livestock related projects in Ethiopia worth US\$ 17,313, 180. While 13 of these projects are specifically on livestock, five had both crop and livestock production activities. Livestock projects have been predominantly targeted at pastoralist and vulnerable households and are concentrated in Afar, Oromyia and Somali regions.

Livestock projects have been largely undertaken under the DRRU to address humanitarian objectives, aiming to respond to agricultural threats and emergencies. Some of these have provided technical support, promoted technology transfer and built capacity; others assembled and provided information, knowledge and statistics. A quarter of the projects appear to have responded purely to relief needs and involved simply the distribution of materials and financial resources.

The Livestock Emergency Guidelines and Standards (LEGS), linked to the Sphere project and the Humanitarian Charter and Minimum Standards in Disaster Response (the Sphere handbook), was developed in Ethiopia to improve the design, quality and impact of livestock interventions; it was launched in 2009. Its development involved the participation of a number of organizations, including FAO.

FAO has invested considerably in the area of animal health. The most prominent of these has been the strong support given to Ethiopia for support to preparedness for Highly Pathogenic Avian Influenza (HPAI). This came from both country-specific projects, and regional projects operated by the regional ECTAD Office in Nairobi with project elements in Ethiopia. Support provided by FAO included building laboratory capacity to HPAI diagnosis, training in awareness and surveillance, and the development of awareness and response procedures in many different media, including cds. These are summarized in Appendix 7.

There has also been important work in livestock asset protection. In 2008-09 FAO distributed 1058 tonnes of concentrate feed and 155 tonnes of grass pellets, 77,511 bales of hay and 32, 000 multi-nutrient blocks (MNB). FAO reported that as a result some 4,970 breeding stock (cattle and goats) have been saved from the calamity of drought, although the evidence for this claim is unclear. Thirty-four community representatives and 66 DAs were trained in the production of multi-nutrient blocks (MNB).

Very little work has been undertaken by FAO Ethiopia on improving animal production *per se*. Of the 18 livestock related projects only one addressed long-term livestock development issues such as milk and meat production and marketing (GTFS/ETH/067/ITA), despite the widespread call for more attention to these areas.

Visits by the Evaluation Mission to various project sites in pastoral areas revealed that FAO has played a significant role in the need assessment tasks and in the coordination of planned project activities among stakeholders. However, long term community needs are beyond the capacity of emergency interventions. The limited availability of resources for these has restricted the scale of interventions, and FAO and other implementers have operated on priority basis. The Mission was

surprised by the level of expectations of regional and zonal bureaus of agriculture of FAO's engagement in responding to their development agenda.

6.2 Relevance

FAO's livestock activities in Ethiopia are highly skewed towards emergency responses. Seventeen out of the 18 projects executed over the last six years addressed food security, livestock health and supplementary feeding in drought affected parts of the country as emergency response activities. For Ethiopia with a potent livestock resource yet to be adequately tapped for its contributions to economic development, this does not represent an appropriate balance. FAO's role in enabling the country to exploit the livestock resources for enhanced poverty reduction and economic growth needs to place livestock on a significantly higher plane than its present position.

Project duration for livestock interventions ranged between 4-36 months, with half of the livestock-specific projects having a duration of less than 10 months. Given the long gestation period required for getting emergency livestock interventions up and running, this short-term intervention pattern is unlikely to allow adequate time for effective contributions to be made. What is of more concern is that while the sheer volume of projects and the consequent repeated engagement with communities and local authorities offers the potential for relevance, such short funding cycles may not allow time for important outputs derived from emergency interventions to be captured and promoted for scaling up for a wider user group.

These emergency interventions are seen as a positive step towards protecting the depletion of productive assets of households and reducing vulnerability. But when the scale of this intervention is viewed in the context of the population of 15 million cattle and goats owned by the pastoral communities in Ethiopia, saving 4,970 animals is but a drop in the ocean. Such operations may also encourage a dependency syndrome and may fail to create sufficient conditions for sustainably mitigating climate induced-problems, unless executed in a manner carefully planned to enhance the participation of local communities (and indeed all stakeholders) to build capacity to withstand future challenges.

Among the several challenges facing the Ethiopian livestock industry, the most outstanding problems are; low genetic potential, poor feeding practices, poor health condition, water shortage (particularly in the pastoral areas) and underdeveloped market structure and value chain. Efforts geared towards commercialization of this industry and to enhancing its economic contribution need to address these priority constraints. FAO's involvement in confronting the industry's top challenges has largely been emergency response based, and confined to health and feed interventions. Only one project addressed the broader issues of genetic improvement and value chain actors under a project label of crop diversification (GTFS/ETH/067/ITA). The mission recognises the initiative on diversification and marketing in dairy and beef fattening, and the regional IGAD LPI initiative that maps emerging actors and prepare training packages on agribusiness and quality standards. However while highly commendable, these hardly represent a structured programme on livestock commodity value chains. Only two projects dealt with water development issues in the pastoral areas and FAO commissioned a pastoral market study under the EU supported Livestock Policy Initiative of IGAD LPI. Small and medium commercial dairy and beef fattening businesses are emerging in and around market centres such as Addis Ababa, Adama and other regional towns.

These are all constrained by the challenges of breed, feed, health, environmental issues, business planning, market and other value chain issues. The country could benefit by drawing much more on FAO's technical expertise and experiences on other countries in these technical areas. As for the crop sector, there is no long-term livestock development strategy within FAO Ethiopia, or a 'pastoral development' strategy.

Using its comparative advantages of high technical and international networking capacity, the organization should focus more on resource mobilization, local technical capacity building, information networking and national/regional agricultural policy dialogue. Undertaking emergency-related small projects scattered over regions has not enabled FAO to make substantial strategic investments in Ethiopia's livestock enterprises, particularly when these have lacked *ex post* impact assessments of emergency interventions from which key lessons could be learnt to lay foundation for future development pathways.

In none of the livestock projects under consideration has gender been given the attention it deserves. Nevertheless, as the handling of milk and small ruminants is in the domain of the women in the pastoral communities of the country, certain benefits from interventions targeting improvements in milk production and small ruminants are expected to trickle down to them, one way or another.

6.3 Effectiveness

The engagement of FAO in scaling up results from emergency projects to support sustainable development has been weak. FAO is not, of course, expected to become involved in every national livestock development agenda. However, it needs to have a better articulated strategy for promoting best practices to impact development programmes.

The engagement of the IGAD LPI project in the process of a livestock policy dialogue of Ethiopia has positively influenced decisions to give the livestock industry greater prominence and attention in the proposed re-organization of MoARD's internal structures for agricultural transformation. As a consequence it is expected that livestock will emerge better positioned and at a higher level than the current situation. The FAO DRRU currently maintains a strong working relationship with the IGAD LPI project, whereas FAO's development programme connection with this body appears weak. Extending the partnership with the development arm of FAO would improve the synergy for the livestock policy dialogue campaign.

LEGS, developed via a grant from USAID to Tufts, is one of the significant normative products in which FAO Rome has played a part, sitting on the LEGS Steering Group. This initiative has a global stature. In Ethiopia there has been a national-level adaptation of LEGS in the form of the MoARD guidelines for emergency livestock projects in pastoralist areas, to which FAO Ethiopia staff contributed. It is anticipated that the application of these emergency intervention codes of conduct will improve the effectiveness and efficiency of emergency projects. Results from an impact assessment of emergency livestock interventions in Oromiya pastoral interventions have shown adequate application of good practices as promoted by LEGS within FAO supported livestock projects (Appendix 9).

National capacity has been built in disease surveillance, diagnosis and reporting both at regional and federal levels through training and establishment of laboratories. But effectiveness particularly at regions has been affected by frequent staff turnover and lack of reagents and chemicals for diagnostic purposes.

FAO supported the establishment of MNB producing cooperatives which employed 60 resource-poor pastoralists (48 male + 12 female) in four *woredas* of Afar region; this allowed a sustained supply of MNBs to be produced. The cooperatives produced and distributed some 180, 000 MNBs, each weighing 7.5 kg in 2009 and 2010. Ingredients used in the preparation of MNBs were molasses, wheat bran, oilseed cake, urea, mineral, salt and cement in a proportion of 34, 25, 13, 10, 3, 3, and 12 %, respectively). FAO provided the cooperatives with start up ingredients including training and a manually operated block making machine.

At one stage it was standard for emergency projects to mount livestock vaccination campaigns in the pastoral areas during droughts, as one of the many emergency response tools, justified more by being seen to do something than by the contribution of vaccination to humanitarian considerations. Vaccination of livestock at times of nutritional and other stress did therefore attract some criticism⁶⁶, and it is understood that FAO no longer advocates vaccinations at times of extreme drought, but rather more strategic vaccination, particularly of small ruminants against PPR, when animals are in good condition (following the rainy season and prior to major seasonal movements).

Execution of many of the emergency interventions in the Somali region is more prevalent in the northern regions around Jijiga. The mission was informed that for security reasons, projects in the southern lowland areas of the region are either not executed at all or if there is any activity it has been done under a severe security threat for project staff, so constraining the effectiveness of interventions in the larger Ogaden area. The FAO coordination office at Jijiga often faces communication problems with project sites for data collection and report compilation.

6.4 Efficiency

In general FAO's livestock projects were seen to be reasonably efficiently run. There was some evidence from site visits of delays in procurement and delivery of project materials.

The coordination and synergy between stakeholders at project sites visited appeared good. However there is no evidence to indicate that this is true at a national level. Even at regional level, efficiency of the tasks performed largely depended on the ability of the individuals in charge of FAO's coordination office and BoARD. In most cases, FAO serves as secretary to the Technical Task Force headed by the regional or zonal bureau of agriculture; the preparedness of bureau heads to make the best use of FAO's presence differed from region to region. For instance, the efficiency in Jijiga zone of the Task Force appeared better than in the Arsi zone of Oromiya in conducting regular monthly coordination meetings, formulating agenda for such meetings, sharing of responsibilities among stakeholders and follow up mechanisms for implementation of taskforce decisions.

⁶⁶ Catley, A. *et al.*, (2009). Impact of drought related vaccination on livestock mortality in pastoralist areas of Ethiopia. *Disaster*, 33, 665 – 685.

As far as timeliness is concerned, the communication linkage between the FAO Addis Office and its regional and zonal Offices concerning the timely delivery of services was seen to be good, except in the procurement of goods. But viewed from the emergency project planning and implementation perspective, there were reports of delays between the undertaking of the needs assessment and the initiation of emergency activities. The processes of needs assessment, fund raising, recruiting of staff and office establishment is long and by the time it is completed and the project put in place, there has been significant loss of human and livestock lives.

In terms of partnerships, FAO engages with several NGOs in the implementation of its projects. The mission notes that FAO has developed some MoUs with different organisations to strengthen its capacity to implement, to monitor impacts and to engage a wider community⁶⁷. However, it is felt that a broader set of partnerships, particularly with national and regional research and development organisations would strengthen this capacity.

The HPAI projects, having been handled entirely by FAO, were rather abruptly interrupted at the end of their first year, despite the well acknowledged success of the project with regards to both outputs and outcomes. USAID decided to remove FAO from project management and divert the funds to the USAID sponsored and Texas A&M supervised SPSS-LMM project. It appears that USAID wished to consolidate the animal health projects it was funding under one umbrella.

The IGAD LPI project is housed separately to other activities of the SFE, and tends to operate in relative isolation from the rest of FAO in Ethiopia and the SFE. Given that it plays a key regional role in policy matters, its efficiency would undoubtedly be enhanced if it better integrated with the SFE programme.

6.5 Impacts

Impact assessments take time following project completion, and the outcomes are clearly influenced by a number of factors other than the project activities alone. Discussions made by the evaluation team with beneficiary communities, regional BoARDS and FAO staff in Addis Ababa and regional field offices, indicate that some of the animal nutritional emergency interventions and laboratory capacity building efforts made by FAO have had fruitful results. Beneficiary pastoralist households indicated that the use of MNBs increased the survival rate of drought affected animals. They also reported that this feeding intervention has doubled milk yields from lactating animals, especially goats, and enhanced the food security of vulnerable household members such as pregnant women, children and the elderly in Afar region. It has reportedly enhanced the reproductive cycle and milking frequency of goats. Another unintended impact might be the development of small business activities by cooperatives that produce MNBs. Nevertheless, benefits have been limited to a few households and there is a need for scaling up to larger groups through strong stakeholder partnerships.

⁶⁷ Examples include LoAs with the Assela Regional Animal Health laboratory on brucellosis and tuberculosis diagnosis, with the Jimma University College of Agriculture and Veterinary Medicine on hay box brooders, and Hawassa University on milk science.

Capacities have been developed for regional laboratories in animal disease surveillance, reporting and disease control both in facility and human resource development. This has strengthened Ethiopia's capacity in the control of transboundary livestock diseases, contributing towards improving livestock and livestock products markets, including for export. The potential for wider market exploitation in the Horn of Africa has created a broader understanding among pastoralist groups, opening up a new window for livestock market policy interventions.

The FAO projects on HPAI provided substantial input into the MoARD-coordinated preparedness and response programmes. This has undoubtedly improved the communication between ministries, and indeed between all partners engaged in zoonotic disease preparedness, through the establishment of committees, and of communications and emergency management protocols.

6.6 Sustainability

There are some valuable outputs from FAO's livestock interventions that require additional effort to ensure long-term sustainability. The MNB used as an emergency response proved an important dry season supplementary feed as well as a survival and productivity-enhancing intervention. Its ease of transportation and storage and usefulness in supporting the survival and productivity of animals during emergency periods has reportedly increased the demand among pastoral communities, and necessitated the creation of local supply.

FAO and some NGOs purchased MNBs from the cooperatives and distributed them to the communities. Cooperatives not only serve as reliable and sustained domestic sources for the supply of MNBs but also ran a viable income generating business. The production costs were Birr 19.00 per MNB, which they then sell at an average of Birr 26.00⁶⁸. Since market outlets are currently ensured for the cooperatives through the continued involvement of FAO and NGOs, the business looks healthy for the time being. The cooperatives have not yet developed a marketing capacity of their own, and the continued existence of these cooperatives beyond the life of the emergency projects is questionable. Production seems to continue without constraints due to the training offered to the cooperative members and the linking to sources of required ingredients.

A sustainability issue from the newly constructed regional laboratory capacities built is that their long term functionality depends on the continual availability of supplies and reagents; however following the completion of FAO projects these require hard currency from local authority budgets. In combination with the frequent staff turnover, this has frustrated the capacity of the laboratories to function effectively, meaning that some of these facilities are under utilized.

One of the critical limitations to improved livestock productivity in Ethiopia is the dominance of indigenous breeds in the national herd, of low genetic potential for production. This has been a condition created by a shortage of improved genotypes in the country and a poor national artificial insemination (AI) service to produce them adequately. The innovative idea of engaging farmer artificial inseminator technicians, similar to the CAHWs in animal health delivery, which has emerged from FAO's project GTFS/ETH/067/ITA in Arsi zone, appears to be a constructive innovation in improving the availability of dairy animals.

⁶⁸ Selling price per piece of MNB to; FAO is Birr 20.00, SC-UK is Birr 25.00 and other NGOs is Birr 32.00

Farmer AI technicians were trained for one month and given the responsibility of breeding community animals. However, the one month training is unlikely to equip the technicians with the necessary skills and knowledge, and further endeavours in this area will be necessary. There is need for FAO to proactively engage the regional, zonal and *woreda* bureaus of Oromiya for preparation to scale up this approach to other potential dairy areas. AI technicians are currently provided with semen and liquid nitrogen at a subsidized price. If they have to purchase these at market price and render services to farmers, there will be a need to consider mechanisms for cost recovery; otherwise they would operate at a loss.

The same project in Arsi Zone established 13 milk collection and processing cooperatives, thereby increasing the number operating in the zone to 34. Tasks of these dairy cooperatives are confined to milk collection from members and non-members, and processing into butter, cottage cheese and curd for the local market. The distribution of liquid milk to potential market centres is constrained by a lack of appropriate transportation and handling facilities, and the small volumes of milk collected daily. Opportunities for these cooperatives to stay in business depend on integration with market centres through the establishment of milk marketing unions with sufficient capacity.

In all the MNB producing cooperatives, the milk marketing cooperatives and the farmer AI technicians, FAO needs to ensure that these results are anchored in institutions that have the will and capacity to sustain them and scale them up. More active engagement of FAO with regional governments, the private sector, beneficiary communities and other stakeholders is needed to develop an enabling environment to scale up emergency results with the potential to support long term development programmes.

Important published normative products associated with FAO livestock projects include; a) Improving smallholders' marketed supply and market access for dairy and dairy products in the Arsi Zone⁶⁹; b) Proceedings of sub-regional workshop on managing East African rangelands for better response to feed crises⁷⁰; c) Livestock exports from the horn of Africa: an analysis of benefits by pastoralist wealth group and policy implications⁷¹; and d) Effects of climatic change on livestock production and livelihood of pastoralists in selected pastoral areas of Borena, Ethiopia⁷². These are valuable outputs which share experiences and lessons learned from past interventions that will be useful contributions to future initiatives.

⁶⁹ Asfaw Negassa, Zelalem Yilma, Aynalem Haile and Emmanuelle GuerneBleich. 2009. FAO, SFE.

⁷⁰ 9-12 November 2008, Addis Ababa, Ethiopia, SFE and European Commission

⁷¹ Yacob Aklilu and Andy Catley. 2009. Feinstein International Center, Tufts University.

⁷² Zelalem Yilma, Aynalem Haile and Emmanuelle GuernBleich. 2009. FAO, Addis Ababa, Ethiopia.

7. Natural resource management

7.1 FAO's activities in natural resource management

One of FAO's more significant investments in Ethiopia's natural resource management has been the project OSRO/ETH/604/NET "Sustainable Land Management Project in Kafa zone, SNNPR" which started in June 2006 and was completed in December 2008. Its goal was supporting efforts for poverty reduction through integrated management, use and conservation of natural resources, including sustainable management of the Kafa forest. Some of the main areas of effort included assessment and management of forests and wetlands, integrated watershed management and helping to secure access to land and natural resources. The project was implemented by FAO's DRRU in collaboration with MoARD, and with financial support from the Government of the Netherlands: It built on previous activities funded by the Netherlands in Kafa zone, and used existing Ethiopian guidelines and experience on Integrated Watershed Management and Participatory Forest Management (PFM) which adapted to the circumstances in Kafa. The aim was to set up a pilot scheme to develop and refine methodologies around land registration, administration, and management of both farmlands and public lands.

In relation to water management, FAO has implemented a number of regional and trans-regional projects, within which activities in Ethiopia were included. These have included support for training in manual well drilling (MTF/INT/195/IWM), drought mitigation support for the rehabilitation of water points in pastoral areas in Oromia (OSRO/RAF/614/SWE), and the development of information system tools for the collection and analysis of water and hydro-meteorological data in support of decision-making (GCP/INT/945/ITA and GCP /INT/969/ITA).

In its country project portfolio, FAO has not implemented any specific forestry related projects. On a regional level Ethiopia has benefited from a TCP in support of capacity building of AU member states to develop good strategies, plans and project proposals for the successful implementation of the Great Green Wall for the Sahara and Sahel Initiative. There have been a number of other regional forestry initiatives carried out by FAO that have benefited Ethiopia. One of them is the initiation of the NFP process with the support of the NFP facility in Ethiopia. This facility was created in 2002 in response to the need to promote dialogue between forestry stakeholders (government, research, civil society, private sector, and media). An NFP facility agreement was signed between the Ministry of Finance of Ethiopia and FAO in December 2007 and since then a workshop has been held, a Stakeholders Committee formed and a fund established for forestry focussed civil society initiatives.

An emergency intervention was mounted in response to cypress aphid attack in 2008 in which FAO recruited a consultant to raise and initiate release of parasitoids in northern Ethiopia.

An SFE study was undertaken on the status and proposals related to Forest Policy in Ethiopia. The report was completed in 2007 and shared with MoARD and other stakeholders.

In response to a GoE request, FAO has implemented five projects concerning pesticide management for a total budget of US\$ 6.5 million. The projects have focused mainly on the disposal of obsolete pesticide activities. They are almost equally split between capacity building and mere disposal, and have targeted the entire country (policy makers, national institutions and their staff, in particular the

Environmental Protection Agency, the Ministry of Health, and the Drug and Control Administration Authority). Their average duration is 3.3 years.

With respect to aquaculture and fisheries, small scale activities were included under the 060/BEL BSF project which promoted pond development and stocking with common carp and provided 8 development agents with training in aquaculture at Ambo University and in Israel. FAO facilitated the development of a national aquaculture development strategy (NADS) of Ethiopia. Data collection and analysis on the status of fisheries and aquaculture was carried out and a stakeholder workshop undertaken. The NADS document was endorsed by the State Minister of MoARD. The concept note for a project entitled “Bridging the gap of fish seed demand through hatchery establishment and village based extension” was prepared and presented by SFE and is under consideration for funding.

FAO assisted the University to establish Aquaculture Training Centre and also to start an MSc programme in Aquaculture and Fisheries. The centre and the graduate programme are now operational. In 2008 a Pan African Fisheries Association conference was held in Addis Ababa University for which FAO provided financial and technical support. Strengthening Ethiopian Fisheries and Aquatic Science Association (EFASA) was officially inaugurated at the same time and FAO has subsequently supported two EFASA conferences

7.2 Relevance

Many development activities of natural resource management areas such as OSRO/ETH/604/NET “Sustainable Land Management Project in Kafa zone, SNNPR” were funded with emergency resources. This is one case only of many situations of opportunistic funding in the FAO’s Ethiopia projects portfolio. It becomes difficult to find any kind of balance as many cases of emergencies result from lack of development initiatives.

The activities carried out by FAO’s projects in Ethiopia in relation to SLM were found to be relevant to the needs of the primary beneficiaries. Furthermore, analysis of the country’s policy documents and the discussion with the government partners indicate that project activities were aligned to government policies and priorities, particularly as they are expressed in PASDEP. No similar effort was made by FAO for consultation with WFP in relation with the MERIT watershed activities. This is a missed opportunity because FAO technical input could have been relevant.

However, in many cases the interventions were built from scratch without adequate prior beneficiary needs studies. There were no relevant studies to establish typologies of farmers and farming systems in order to have a differentiated approach in delivery during the implementation phases. Although many projects mention supporting the improvement of the beneficiaries’ livelihood, there were no livelihoods scoping studies, and there was lack of rigor in implementing a Sustainable Livelihoods Approach (SLA). The way the livelihood interventions are chosen and executed outside the SLA framework gives the impression of a dispersion of effort in activities instead of aiming at outcomes at beneficiary wellbeing level.

While the SLM approach has been relevant, the complexity of the farming systems in the high rainfall area of the south west, with a diversity of annual and perennial crops, trees and livestock, could have been further considered in the design of the activities. A prior analysis of these farming

systems would have justified an integrative approach linking the main three production components to optimize their contribution to the farmers' wellbeing in an SLM framework. For the cultivated steep slopes, although there was an effort to introduce watershed management techniques in some projects, there was no adequate approach to solving land degradation or to take into account the link between this degradation and the human environmental pathology such as iodine deficiency which is endemic in many areas.

There are also thematic needs of direct or indirect relevance to SLM, including to food security, nutrition and gender equity. These include the problems of firewood scarcity and goitre that affect mostly women and children. The necessity to address the firewood problem is obvious. As for goitre, it should be noted that the problem is linked to iodine deficiency which is frequently associated with eroded soils in mountainous areas. Soil and water conservation measures addressing this problem could therefore be featured in the SLM framework.

With regard to the disposal of obsolete pesticides, these activities were relevant because they addressed an important problem of the presence of important stockpiles of dangerous pesticides in Ethiopia, and the corresponding need to build capacity to manage them.

In relation to the natural resource management, FAO's draft NMTPF pays adequate attention to sustainable management of natural resource management and development. The importance given to scaling up SLM by investing in field-based projects responds to the GoE wish to see more concrete involvement of FAO development. However, the mission did not find that FAO had paid sufficient attention to the mainstreaming of SLM. Similarly, the interventions proposed in the NMTPF for forestry are in line with government strategies and current plans and activities. But they do not propose innovative approaches of how FAO and the government can maximize the contribution of forestry to slowing down land degradation, solving the fuel wood crisis, alleviating the burden for women of gathering scarce firewood, and reducing the degradation of soil and water in watersheds. For fisheries, the proposed interventions are conservative. FAO could innovate in exploring with concrete field interventions how to integrate fisheries and aquaculture in local community livelihoods and needs and in the farming systems, as well as the regional and national economies.

In Kafa, the Netherlands precipitously withdrew funding due to a change in their strategy from a regional to a national policy focused programme. Before this, FAO had made an effort to link sustainable management of natural resources with tenure security. Linking intensification of farming with improving the productivity of forested land for livelihoods and local development needs similar attention. Local people and institutions can develop appropriate management plans and sign an agreement with local government. However, a progressive move towards communal land certification is required in Kafa to protect and improve livelihoods and sustainable natural resource use. In addition the strengthening of local government capacity in land use planning and informed decision making on land allocation is required. This needs to be accompanied by the enforcement of protected areas and Participatory Forest Management (PFM) sites.

Box 2. Participatory Forest Management

Kafa people have developed local tenure rights institutions¹. These customary forest management arrangements are generally not respected by new actors like settlers and investors. The PFM process promoted by FAO has facilitated collective action by the users of a given forested area to regulate resource use and prevent encroaching, poaching, illegal harvest of immature products, and the use of destructive harvest methods. By approving the PFM, the *woreda* recognizes the user group rights. A total of 35 PFM have been developed and approved in 18 months, all facilitated by government staff. The SLM approach is appreciated locally, as demonstrated by requests of neighbouring communities to start a PFM process.

7.3 Effectiveness

With regard to structure of support, FAO acted through partnership with government partners for implementation. Effectiveness is therefore dependent on the effectiveness of government at federal and regional level, depending on the level at which implementation is taking place. FAO's effectiveness is therefore influenced by the effectiveness of the partners. This partnership has been invariably effective with all the ministries concerned.

With regard to the projects, the effectiveness was found satisfactory. The overall contribution of projects is generally appreciated by the partners and by the primary beneficiaries. Effectiveness has been found as being moderately satisfactory for watershed management and not satisfactory for crop/livestock/trees integration in the farming systems.

To achieve effectiveness, it is important to consider that sufficient project duration is needed for social processes to become established, for developing adequate approaches, and to ensure their ownership by the beneficiaries and partners. In this regard for example, the duration of 18 months for Kafa project was too short. Such a limited duration does not allow the design of a flexible and open system of collaboration with primary stakeholders.

However, the experiences from the SLM project implemented in Kafa were used by the government and its partners to plan and implement other SLM projects and programmes. Recently this alignment reached a higher stage with FAO leading the elaboration of the "Ethiopian Strategic Investment Framework for Sustainable Land Management" on request of the GoE.

In the area of disposal of obsolete pesticides, FAO's projects were effective in meeting the assigned objectives of cleaning up of the storage sites and destruction of a large proportion of the stocks. Furthermore, the projects built capacity through a comprehensive training programme, and drafted new legislation for pesticide management which has been approved by the Parliament. A Pilot programme on Integrated Pesticide Management on cotton was effective in improving farmer knowledge and practices. Some elements of the prevention component, including developing policy for pesticide purchase, construction of storage network of pesticide storage sites, were not completed.

7.4 Efficiency

FAO has achieved a number of outputs in the area of SLM related to training of a large number of local government officials at the zone, the *woredas* and *kebele* level and watershed committee members on topics such as land classification, land use planning, monitoring and policy dialogue and most *woredas* have included SLM in their Action Plans for the Millennium. Guidelines have been developed and the project has helped speed up GoE land certification and registry efforts. Over 13,500 households have been issued certificates.

Using national guidelines a number of pilot watershed management interventions (sub-watershed level) were undertaken and community watershed management plans have been developed in a dozen communities. There is a systematic inclusion of women and representatives of marginalized groups, such as the Menja. Concurrently support has been provided for agroforestry through the

distribution of 142,325 coffee seedlings, 12,000 cardamom plants, 40,000 farm trees and 32,000 ensete trees. Over 50 km of terraces have been established under the Kafa project.

Watershed management takes into account the wetlands which play a key role in the livelihoods of local communities as the source of income, food, animal feed and materials for construction and thatching. Government has selected wetlands as areas to be certified under communal lands. The project identified and mapped wetland areas to be registered under communal land, and conducted a survey of the rights, the routes of cattle movements and modes of regulations.

Some of the key outputs from the disposal of obsolete pesticides project include initial assessments of OP stocks in-country, training of regional ministry staff; shipment of OP abroad for incineration, a review of IPM in Ethiopia including a review of regulation and laws on pesticides; and the development of a National strategy for storage and stock management.

Partnership has been an important element of these and other NRM related activities undertaken by FAO which has enhanced efficiency. At the federal level, there is a solid partnership between FAO and the Government, especially the Ministry of Natural Resources in the effort to streamline SLM. At the regional and *woreda* levels, there is equally a solid partnership with the Ministry of Agriculture and Rural Development in the implementation of the SLM practices at household levels.

7.5 Impacts

Sustainable development of Ethiopia's rural areas that depend on the use of natural resources is conditioned on the country's capacity to realize the productive potentials of the farmers through the creation of the opportunities for changes in production practices, social organization and access to technologies and markets. These conditions require the accumulation of human, physical, natural, financial and social assets⁷³ in order to improve the capacity of the farmers to engage in activities with higher human and land productivity, and to build shock resistance mechanisms. Human assets refer to beneficiaries' skills, education, experiences and capacity for work and participation in social networks, including their health and nutritional status. Financial assets include the financial resources that the beneficiaries use to achieve their livelihoods objectives, and include savings as well as income from their activities. Physical assets encompass all of the structures, infrastructure and equipment used for production. Natural assets include for example, forests, trees, fruit trees, and the functions these resources provide, such as watersheds, erosion control, grazing lands. Social assets can be thought of as membership in groups or voluntary associations, and other social relationships and that shape the quality and quantity of a community or society's social interactions.

Human assets. The training activities and capacity building provided to beneficiaries and government partners services helped strengthen human assets in project areas.

Physical and financial assets. In some FAO project areas, beneficiaries are acquiring income from natural resources management, such as flooded area management and fruit tree growing. Beneficiaries may use surplus for the acquisition of productive assets, the purchase of household equipment or for home improvement.

⁷³ This is referred to as the Sustainable Livelihoods Approach (SLA)

Concerning natural assets, in the Kafa project, the most significant contribution to household assets has been the support to the process of land certification. This operation made a significant contribution to poverty reduction in Kafa by reaching most of its population equally, and giving access to land ownership.

Concerning wider environmental changes, Elizabeth Dresen (<http://www.geosysnet.de>) documented with satellite imagery the regeneration of some degraded areas Kafa Forest attributable to PFM. However, in discussion of these results with Julien Dupuy (SLM Expert and former FAO Kafa project staff member), these observations are very localized and do not yet reflect a wider impact.

Some changes are beginning to be seen in soil conservation by the formation of anti-erosion terraces. However the impact of terracing interventions on human assets, in the form of the development of skills and knowledge, has been limited by the poor quality of extension work, which has not sufficiently introduced the tree component in the agricultural landscape. There has not been an imaginative integration of the crop, livestock and tree components on the farm. Furthermore, capacity-building efforts have largely ignored the importance of changing people's attitudes towards improving home management. The homes of many of the beneficiaries of FAO remain tangles of misery in which the family share the same home as cows and donkeys.

There is no evidence that the project has had an impact in reducing overgrazing. Although the project distributed forage seeds to farmers there was no effort to promote zero grazing practices in areas where this is feasible..

Social assets. The most significant contribution made in this domain has come from the PFM process. Communities have been empowered through the effective use of participatory forest management plans. Generally, the project did not have a strategy for the formation of social assets through support to creation and functioning of beneficiaries organizations.

Impact on women. Since there is no gender strategy included in the project documents, or any systematic monitoring information system of participation by men and women in the various FAO's NRM interventions, the gender impact of the project is not clear, and probably minimal. Land certification in Kafa has helped to women to be co-owners of land with their husbands. This has probably contributed to improving women's self-esteem, improved their position within the family and society, and reduced their vulnerability.

Impacts of the activities of disposal of obsolete pesticides. The overall impact of these activities is considerable and consists mainly in the reduction of risks to human health and the protection of the environment. Another important area of impact is the national capacity that was built and the legislation that was passed by parliament so that management of pesticides can be improved.

7.6 Sustainability

The approaches and tools that worked in Kafa can be used in areas with comparable ecological contexts and challenges. There are, for example, strong similarities with western and south central parts of Ethiopia that also have a substantial natural resources potential, a mixture of communal lands and fields, presence of resettlement schemes, refugees camps, and investment scheme. The institutional sustainability of PFMs has been strengthened by their integrating in the overall NRM

strategy of the Kafa Zone. Instead of a patchwork, the strategy of GoE is now to work towards a coherent corridor of PFMs covering large areas. Such a strategy will contribute to sustain forest-based livelihoods and protect valuable non timber forest products such as wild coffee. This strategy may also prevent frustration and even potential conflicts with adjacent communities of a PFM, which are not yet organized. With regard to the management of obsolete pesticides, a factor of sustainability, in addition to capacity building, is the new legislation that was passed by the parliament to control pesticides. However, sustainability may not be achieved without the development of measures to enforce the law.

8. Gender

8.1 The Ethiopia context

Despite women constituting about half of the total Ethiopian population, they are at a severely disadvantaged position and possess a low status in society. Gender inequality is a pervasive feature of rural livelihoods in Ethiopia. Women have unequal ownership of, or access to, productive resources, their decision making responsibilities and resource uses are severely restricted, and they shoulder unequal roles and responsibilities when compared to men. As a result women are poorer, have fewer years of school, are poorly educated, have a lower health status and heavier workloads. Despite these inequalities, women account for some 70% of household food production in Ethiopia⁷⁴.

In recognition of this substantial gender gap, GoE has shown a commitment to fostering gender equality by signing and ratifying international and regional human and women's rights conventions, such as the UN Convention on the Elimination of all Forms of Discrimination against Women (CEDAW). Ethiopia has a national women's policy, and has a full-fledged Ministry of Women's Affairs at federal level, women affairs departments in different sectors offices and at regional level, Women's Affairs offices at *woreda* level, and Women's Associations at PA level.

In the PASDEP, a target for participation in rural development initiatives was set of 30% for women farmers in male-headed households, and 100% of female-headed households by 2010. Although the GoE has not supported these targets with earmarked budgets, it has developed a detailed national plan of action titled: "National Plan of Action for Gender Equality" (NAP-GE) for 2006-2010, to enhance gender equality and promote the empowerment of women, corresponding with PASDEP aspirations. Furthermore, the GoE has developed in 2006 a special development package entitled "Women's Development and Change Package" to be used as development strategy to enhance women's equal participation and equitable benefits from development interventions. The package emphasises the importance of women being organized in such a way as to have collective power, and to have better access to development resources such as credit. There are special challenges in the agriculture sector in particular with respect to traditional livelihood roles and as concerns control over household economic resources. A recent SIDA Ethiopia study found that there are very few women extension agents in Ethiopia, and extension packages frequently lack gender sensitivity in that they fail to recognize the different roles and responsibilities of women and men in farming⁷⁵. The same report laments the lack of gender disaggregated data on which to analyze gender equity in Ethiopia. The combination of these two factors make a judgment on the extent to which equity targets within the PASDEP have been met as indeterminable.

8.2 FAO's approach to gender equity

FAO has a global organizational commitment and a political will to seek greater gender equality and women's empowerment through mainstreaming gender issues as one of its strategic objective (K),

⁷⁴ IPMS Ethiopia 2007. Toolkit for gender analysis of crop and livestock production technologies and services provision. MOARD, ILRI, CIDA.

⁷⁵ Gender Aware Approaches in Agricultural Programmes – Ethiopia Country Report. SIDA. May 2010

introduced in the recent organizational transformation. However at present FAO has no global or national policy that guides its organizational system and programming in terms of gender and women's empowerment. FAO's former Global Strategy and Plan of Action for Gender are no longer being pursued. In the past, FAO used to develop gender operational plans as a corporate good practice, and reported progress accordingly, submitting outputs to the Program Steering Committee. There is no such practice in existence now, and no mechanism has been introduced to replace it.

The evaluation mission noted a number of areas in which FAO performs positively in Ethiopia:

- i) There are some constructive normative products on gender. For example FAO and WFP have developed a gender-training manual⁷⁶. Gender training for WFP and FAO staff, based on this material, was underway at the time of the mission, and other courses were reported. It is however noted that this important product has not been used in developing or managing the different TCE programmes.
- ii) In some projects, for example the BSF project, there is deliberate targeting of women and the vulnerable groups in project design. Interventions that target women's livelihoods such as husbandry of small ruminants, milk production, and home gardens have been promoted.
- iii) FAO support for land registration in SNNPR has been positive in terms of promoting equity, ensuring that female headed households are able to register land and promoting land registration in both the name of husband and wife.
- iv) A global gender evaluation and gender audit have been initiated by FAO headquarters in order to chart future directions for the organisation.

Strategic focus: With regard to gender equality the draft NMTPF is remarkably silent with respect to FAO's commitment to gender equality and women's empowerment, at strategic (policy), technical and operational levels. FAO's draft NMTPF has not considered gender, either at the level of analysis, nor in charting future policies and strategies. Similarly the DRM PoA includes only one paragraph on gender, which focuses on the need for women to participate in projects and in particular community beneficiary identification committees.

Intervention approach: There is a tendency to engage with women in building skills for livelihood activities reflecting their traditional roles, such as embroidery, tailoring, etc., rather than engaging and promoting women in mainstream activities. Opportunities for including women in lucrative non-traditional livelihoods exist and need to be fully exploited. For example honey gathering from tree hives high up in the forests were previously male domains, but recent efforts to put hives around the homestead make this livelihood more accessible to both males and females.

In addition to supporting livelihoods, FAO's work has the opportunity to support equity in other ways such as reducing the heavy work burden of wood gathering for women through the promotion of fuel efficient stoves (the BSF project) or through development of water sources for human, animal

⁷⁶ Socio-Economic and Gender Analysis (SEAGA) for Emergency and Rehabilitation Programmes. FAO and WFP, 2008.

and garden uses. No concerted effort has been put into the strategic support required to organize and strengthen women's organizations so that they develop their leadership, organizational and institutional capacities to ensure adequate access to programme resources, and sustain positive results obtained from programmes.

As previously mentioned, the evaluation mission noted in some cases the deliberate targeting of female headed households as vulnerable groups, for example in the BSF project. However, even in such a successful programme, efforts had not been geared towards bringing about transformation in relation to women's organizational capacity building, even if the GoE women's development and transformation was geared towards it. The number of women in various youth organizations and rural associations, cooperatives and unions supported by FAO are minimal.

Staffing. Ensuring the accountability of all staff is critical for effective gender mainstreaming in human resource management. Review of some of the vacancy announcements indicates that gender knowledge and understanding has not been included as an important skill, and there is no statement encouraging females to apply. There is no affirmative action in the recruitment process. The evaluation mission also noted that gender awareness is not included in the job description of programme and support staff. Similarly gender awareness is not included in the performance review criteria as a standard procedure of the organization.

Deliberate actions have not been put into place to transform the unequal gender relations at organizational or programmatic levels. The majority of FAO Ethiopia staff is male and there is a lack of female field staff.

FAO Ethiopia currently has no structure (such as a focal person or gender expert) to facilitate its gender commitment as part of an accountability system at the organizational level which ensures that gender equality objectives are translated into action. Reviewing FAO's structure in relation to how responsibilities and tasks are shared among its own staff, and in overall project management, it was found that FAO's structure is very hierarchical, cross learning is very limited, and is a male dominated organization in which the key positions from mid-to high levels are occupied by men.

Table 2. Staff profile of all projects

Descriptions	Male	Female	Total	% of females
International staff/experts	8	0	8	0.00
National consultants/managers/experts	52	7	59	11.86
General services/administration and programme support	38	11	49	22.45
Total	98	18	116	15.52

Source: The team analysis from the human resource data provided during the mission, Oct. 2010.

Women constitute only 15.5% of total project staff. The percentage of women is much lower as one goes to the higher categories of employment. The proportion of women increases among the general services and programme support level. There is no woman at the international advisor/consultant level. Women constitute 11% of the national consultants, programme/project managers/ experts (Table 2). The profile of the programme staff of the SFE is not significantly different, in which the proportion of women was found to be 20 percent. There is no representation of women in senior management positions. The evaluation mission noted the absence of proactive strategies implemented to recruit or promote women into senior management positions.

Gender in Programme Cycle Management (PCM)

Gender has not been systematically reflected in different project/programme cycle management processes. Assessing the project documents through a gender lens indicates that no gender disaggregated data has been generated nor any gender analysis been made for use in project design. This holds true for both DRRU and development programmes. Similarly, the project log frames have not reflected the gender perspective adequately. As a result, the differential impacts of projects on women and men have not been reflected.

9. The importance of linking relief, recovery and development

All parties engaged in Ethiopia's development, whether GoE or international donors, are frustrated by the "basket case" label that Ethiopia has attracted over many years in the international media. GoE is now more determined than ever to put over the case that says "those days are over; Ethiopia is now on the road to becoming a middle income country; famine is behind us". The problem is that while Ethiopia undoubtedly does have such development potential, it remains food insecure, and will likely remain so for the foreseeable future. New crises will occur, whether famine or flood, and Ethiopia must do much better in coping with these, as well as be seen to be doing better by the international community. At the same time, the country must make its agricultural systems stronger and more efficient, as well as diversify livelihood enterprise opportunities so that for the huge and growing rural population, all the eggs are not in the agriculture basket.

FAO can and must play a key role in helping Ethiopia to bring these diverse opportunities and challenges together under one umbrella, which cover the distinct - but integrally linked - processes of development, emergency response, recovery and resilience building. But to do this, FAO must first get its own house in order so that policies, strategies and technical support interventions that it advocates and practices are themselves interlinked, cohesive and relevant, something that is demonstrably inadequate in the FAO of Ethiopia today.

In several sections of this report, the Evaluation Mission has drawn attention to the lack of effective integration of the elements of the tripartite system comprising FAO Ethiopia, DRRU Ethiopia and the SFE Ethiopia, despite the efforts to forge a "One FAO" by the former FAOR. In many ways the system was his worst enemy in translating this noble aspiration into reality. This is derived from the inherent division in fund raising and executive responsibilities between the FAOETH and the DRRU, which actually promotes the concept of two separate institutions; one (quite successfully) chasing new short-term emergency projects to ensure its survival, and reporting to Rome; and the other (rather unsuccessfully) surviving on a mere handful of nominal longer term and inadequately strategic development projects, but yet still seen by the GoE as the engine room (albeit somewhat ineffectual) of FAO in the country. This situation must change if FAO is to play its role in Ethiopia.

Having a Road Map for FAO in Ethiopia is clearly the first step. Some elements of FAO, particularly the quiet diplomacy of the former FAOR, have influenced the GoE's new GTP, which lays out the background landscape for the Road Map. The GTP is ambitious, and puts emphasis on striving for self sufficiency in food, though a combination of enhancing efficiency in small scale rural enterprises, strengthening extension services to them, encouraging the engagement of the private sector, and opening the doors wider to investment in large scale farming. FAO has capacity in many of these areas, but it needs to be much clearer as to where it can really contribute, and focus on these areas.

Critical to the functionality of a new Road Map will be to secure adequate funding. Encouragingly, the FAO Investment Centre has played a significant role in developing the Policy Investment Framework (PIF), which is a 10-year road map for development in Ethiopia that identifies priority areas for investment and estimates the financing needs to be provided by Government and its development partners. It is anchored to, and aligned with, Ethiopia's vision of becoming a middle income country by 2025 together with a number of key policy and strategic statements. Within the PIF, four strategic objectives have been identified (see Table 3 below).

Thematic Area	Strategic Objectives (SOs)
• Productivity and Production	• SO1: To achieve a sustainable increase in agricultural productivity and production.
• Rural Commercialisation	• SO2: To accelerate agricultural commercialisation and agro-industrial development.
• Natural Resource Management	• SO3: To reduce degradation and improve productivity of natural resources.
• Disaster Risk Management and Food Security	• SO4: To achieve universal food security and protect vulnerable households from natural disasters.

Table 3. Strategic objectives in each Thematic Area of the Policy Investment Framework

The total budget over the ten-year PIF is in the vicinity of USD 12.5 billion, of which around USD 2.5 billion is already committed under existing programmes and projects. Most of the additional USD 10.0 billion of funding will be required during the second half of the PIF period. Priority investments have been identified under each of the four SOs, to be financed jointly by the Government and its development partners. On the basis of Government funding 60% of investment costs and 100% of recurrent costs; and donors funding 40% of investment costs, this indicates a contribution of around USD 6.8 billion from Government and USD 3.2 billion from donors. The recent announcement of US\$ 51 million from the GAFSP is an encouraging contribution to the identified needs.

But there are other options for funding, and the evaluation mission has proposed that resource mobilisation skills should be included in the terms of reference for both FAOR and A-FAOR. Beyond this, greater linkages are proposed between FAO Ethiopia and the Investment Centre, drawing on the exceptional fund raising skills and expertise in this latter entity, and the opportunity for more fund raising at the country level.

The new Road Map for FAO, developed as a CPF, should spell out clearly where it can make key contributions to the identified strategic objectives. These must be developed in a constructive dialogue, initially within FAO as a whole (including all components in Ethiopia), as well as the regional office in Accra, and key elements of FAO in Rome (in particular the Investment Centre), before being tabled with GoE and other development partners in Ethiopia. The Evaluation Mission is not arguing that FAO should regain its former glory; the days of liberal funding of infrastructure development with UNDP support are in the past. But the Evaluation Mission is arguing that FAO should play a much more strategic and clearly identifiable role in Ethiopia's development plans, carefully aligned to its comparative advantage.

From discussions with multiple stakeholders, the Evaluation Mission suggests that key areas that stand out as potential strengths for FAO to consider in the CPF process include:

- Support to Ethiopia's agricultural development and natural resource management policy agenda

- Enhancement of crop and livestock production and marketing enterprises through sound value chain analysis
- Support to developing the seed and fertiliser industries through innovative public private partnerships
- Support to land use and natural resource management
- Support for PSNP graduation through the promotion of effective household asset building interventions
- Developing a sound conceptual framework that effectively links the processes of development, emergency response, recovery and resilience building, and spells out clear action points for the appropriate engagement of FAO. A critical entry point for this is the HAB pillar within the FSP, where FAO intervention at policy, normative and capacity building levels can aptly build on its own experience in resilience building of vulnerable households, making them more robust to shocks and able to build solid livelihoods.

As mentioned, this will not only require the process of Road Map development, but also an overhaul of how FAO manages its operations in Ethiopia, ensuring a seamless communication between groups and projects, irrespective of their different funding sources. In building up FAO's performance, the incoming FAOR is challenged with being both a composer and conductor.

10. Conclusions and recommendations

Conclusions

- ***The global importance of Ethiopia.*** Ethiopia continues to hold its place in the global spotlight as a food insecure country, but one with the potential for agriculture to play a much more demonstrable role in development, food security and poverty reduction; FAO has a key role to play in helping Ethiopia to realise this potential
- ***FAO's achievements in Ethiopia.*** There have been some key milestones in FAO's recent achievements, evidence of the talent and institutional strengths existing in Ethiopia and elsewhere in FAO. These have been particularly in the areas of food security and asset building, infectious disease control, sustainable land use management, contributions to the Livestock Emergency Guidelines and Standards (LEGS), and resource planning and mobilisation. The visionary attributes of the outgoing FAOR and his contributions to the development policy debate are well recognised by all partners; regrettably these visionary attributes have not permeated FAO's programmes in Ethiopia
- ***The urgent need for a Road Map for FAO in Ethiopia.*** The Mission finds the absence of a shared vision for FAO's engagement in Ethiopia; this directly affects the effectiveness and efficiency of its contributions, and the image of FAO in the country. The draft NMTPF does not address key issues of mainstreaming disaster risk management (DRM), natural resource management (NRM) and gender; and the delays in developing the NMTPF are inexcusable. There is now an urgent need to pick up on this process, and develop a well articulated Road Map for FAO as a whole in Ethiopia, with clear priorities, action points, funding strategy and outcomes, developed through a structured dialogue with partners. The Road Map will demand time, extraordinary commitment, and above all engagement of key partners in the process. This will be a primary task for the incoming FAOR and his team.
- ***There is a disharmony between FAO's diverse contributions in Ethiopia.*** Notwithstanding the lack of a CPF built on a shared vision of FAO's role in Ethiopia, the Evaluation Mission concludes that inadequate attention has been given to harmonising the sometimes disparate contributions of the emergency and development arms of FAO in Ethiopia in order to capture more effectively FAO's comparative advantage. This reflects on the inadequate cohesion and management of FAO's programmes in the country. Programmes are too dispersed and often undertaken in a piecemeal fashion, causing inefficiencies, reducing synergies and constraining the potential for demonstrable impacts.
- ***The role of the SFE in supporting national programmes in Ethiopia.*** The SFE is still searching for the appropriate balance in its national and regional responsibilities as it seeks to please its multiple clients and host country government. This apparent inadequacy in the mechanisms for prioritisation results in a lack of clarity in the roles and responsibilities of its contributions to the Ethiopia programme, .
- ***The unrealistic division of labour of the FAO Representative.*** The FAOR has six different positions, most of them beyond the role of head of FAO's country mission to Ethiopia. The

overburdening of the FAOR, under the auspices of the decentralisation of FAO, places unrealistic demands on the bearer of this office, and at the same time reduces the credibility and effectiveness of FAO's representation to Ethiopia.

- ***Competiveness and achievement in resource mobilisation.*** The Evaluation Mission concludes that there has been insufficient effort by, and capacity of, the FAOR and A-FAOR in fundraising. This has been compounded by an inadequate dialogue between FAO Ethiopia and the Investment Centre in Rome. While the DRRU has been successful in raising funds for emergency operations, some of which have had a strong development flavour, the development programme has not had the same success. Moreover, repeated short term funding is not appropriate for resourcing these types of capacity building interventions required for longer-term development & NRM issues. Key to this will be a visionary Road Map.
- ***Recognition of the strength of a sound evidence base to policies and strategies.*** The CSA project has contributed to improvements in institutional capacity to collect and analyse crop production statistics, a national resource in planning and evaluation. However, FAO needs to give greater consideration to a sound evidence-base of the multiple risks to which Ethiopians in different environments are exposed, and the use of such understanding in poverty reduction and food security planning processes. Sound data and well structured monitoring and evaluation systems are central to this. Furthermore, FAO's own system and capacity for monitoring, evaluation and analysis leaves much to be desired.
- ***The capacity to respond to market opportunities.*** FAO has concentrated in its emergency activities on the distribution of seeds, fertilizer, feeds, MNBs, etc, and in its development activities on diversification of livelihoods into fruit trees, etc. It is important that much greater attention is given to the sustainable production and marketing of input and output commodities of crop and livestock enterprises through a sound understanding of current and emerging rural value chains, and the appropriate engagement of private sector and/or cooperative actors.

Recommendations

1. ***Develop a Road Map for FAO in Ethiopia.*** FAO must urgently reignite the process of dialogue, both internal and with the GoE, to develop the CPF which will serve as a Road Map for the strategy FAO in its entirety in Ethiopia for the next 5 years aligned with priorities identified within the GTP. While the content of the Road Map will be developed through constructive dialogue on priorities and strategies, the Evaluation Mission identifies certain key areas which deserve consideration.
 - ***Restructure the national portfolio.*** A restructuring of the portfolio is necessary to feature a much stronger emphasis on longer-term development activities, while ensuring these are based on a sound conceptual framework comprising integrally linked processes of development, emergency response, recovery, rehabilitation and resilience building.

- **Draw on key policy documents.** The Road Map should draw strongly on the GoE's new GTP, on the PIF, the FAO's strategic objectives, and on the TCE Operational Strategy for 2010 – 2013.
- **Develop pillar-specific strategies.** FAO should have differentiated strategies within the CPF for addressing the three pillars of chronic food insecurity, acute food insecurity and economic growth. A resource mobilisation strategy for each pillar should be articulated based on the CPF.
- **Strengthen market perspectives and commercial partnerships.** It is important that much greater attention is given to the sustainable production and marketing of input and output commodities of crop and livestock enterprises through a sound understanding of current and emerging rural value chains, and the appropriate engagement of private sector and/or cooperative actors.
- **Include gender indicators.** Include gender indicators in all household level information gathering activities. Invest in gender analysis of the different livelihoods of, and roles played within those livelihoods, by males and females. Use this analysis in the design of interventions to promote improved gender equity.

From discussions with multiple stakeholders, the Evaluation Mission suggests that key technical areas that stand out as potential strengths for FAO to consider in the CPF process include:

- Support to Ethiopia's agricultural development and natural resource management policy agenda
 - Enhancement of crop and livestock production and marketing enterprises through sound value chain analysis
 - Support to developing the seed and fertiliser industries through innovative public private partnerships
 - Support to land use and natural resource management
 - Support for PSNP graduation through the promotion of effective household asset building interventions.
 - Developing a sound conceptual framework that effectively links the processes of development, emergency response, recovery and resilience building, and spells out clear action points for the appropriate engagement of FAO.
2. **Engage proactively in programmatic resource mobilisation.** FAO should utilize its Road Map, and its international reputation, technical capacity, global networking and information capabilities and other attributes to better mobilize longer term resources for integrated risk reduction, resilience building and development interventions.
- **Strengthen links between TCI and FAO Ethiopia.** Much success has been achieved by the Investment Centre (TCI) with and on behalf of the GoE. A continuing dialogue between TCI and FAO Ethiopia should be established to ensure a mutual understanding of opportunities and modalities for increased funding to emerging Road Map priorities.

- **Establish fund raising forum.** The country focus team (led by the Policy and Programme Development Support Division-TCS) and the relevant technical units of FAO should establish a forum to discuss fundraising for development in Ethiopia, and how the capacity for local fund mobilization by the FAOR/SRC and A-FAOR could be strengthened. This is particularly relevant in the context of increasing levels of decision making within donor organizations being delegated to the country level. Joint and collaborative efforts should be pursued by FAOR, DRRU and the multi-disciplinary team of SFE.
 - **Mobilize regular budget resources for the deployment of a FSN expert within the SFE MDT.** Given widespread food security issues in Ethiopia and the broader region, the SFE multi-disciplinary team should include a food security and nutrition expert, working in close collaboration with the REOA in Nairobi and with TC AGN, and ES in HQ. Funding for this position should come from regular programme resources to ensure sustainability.
 - **Engage with NFSP forums.** FAO should engage in NFSP forums and programmes, in particular HAB, advocating a broader package of support to chronically vulnerable households. This would exploit the increased interest by GoE and donors in HAB and potential resources available for interventions that promote PSNP graduation strategies.
3. ***Unify FAO in Ethiopia.*** The new incoming FAOR must use the Road Map to create a common vision within the FAO country team, complemented by management structures and systems for sectoral and thematic teamwork for planning, implementation, monitoring and evaluation of FAO interventions. This will include:
- **Institutionalise information sharing.** Greater transparency should be established in the FAO Ethiopia by institutionalizing information sharing among the staff of FAOR, DRRU and SFE. An annual retreat should be established with the participation of all the staff for jointly reviewing collaboration and performance and identifying a common workplan and priorities for the coming year.
 - **Develop clear guidelines for the engagement of SFE staff in Ethiopia issues.** All engagement of SFE staff in Ethiopia-specific programming and planning (rather than purely technical) activities should be undertaken under a clear set of operational guidelines and monitored by the FAOR, to ensure engagement at the right level, and appropriate commitment and follow-through.
 - **Establish a food security team.** Establish a food security and nutrition (FSN) thematic team within FAO Ethiopia to work on FAO's country level FSN analysis, strategy, approaches and key messages, and to provide a much more structured interface with WFP and UNICEF. Good practice in prevention, mitigation & response and recovery (DRM) should constitute the main thrust of FAO's strategy for tackling acute food insecurity. Good practice and lessons learned in household asset building should constitute the main thrust of FAO's strategy for tackling chronic food insecurity.

- **Establish an agricultural development and economic growth team.** Within the FAO Ethiopia a team should be set up to follow up on the agricultural development and economic growth components of the new CPF. This team should establish regular dialogue with the food security team to ensure compliance with the development, emergency response, recovery and resilience building continuum.
 - **Establish a natural resource management team.** Within FAO Ethiopia a focal point should be established to ensure that crop and livestock development and emergency response initiatives are carefully shaped within a sustainable NRM framework.
 - **Integrate the IGAD-LPI programme into SFE.**
 - **Promote gender equity.** Proactively seek to promote gender equity within FAO human resources through the preferential recruitment of qualified female staff (in particular for field positions), the inclusion of gender training as a desirable qualification skill within job descriptions, and the establishment of a gender focal point within the country team with a clear mandate to mainstream gender equity within the programme.
4. ***Strengthen FAO's visibility in, and relevance to, Ethiopia.*** Given the multiple functions of the FAO representation, and the deleterious effect this has on the country representation to Ethiopia, and with a view to further strengthening the principles of the decentralisation of FAO's activities, FAO should consider options that would give greater strength to the FAO Ethiopia country office, and minimise the negative effects on Ethiopia of the double accreditation currently in place. These might include:
- The appointment of an internationally recruited A-FAOR and/or the assignment of a senior programme officer.
 - Soliciting donor support to appoint Junior Professional Officers to augment FAO representation professional staffing.
 - Recruitment of national volunteers. Similarly, efforts should continue to seek the appointment of five technical counterpart officers in SFE on a secondment basis by the GoE.
 - Provide additional training opportunities to the A-FAOR by institutionalizing his participation in periodic meetings of A-FAORs and/or by allowing his participation in the periodic meetings of the FAORs in the region.
 - Identify specific senior professional staff within both the FAO regular programme and DRRU to systematically cover designated external policy and technical forums.
5. ***Increase the depth and moderate the breadth of FAO field activities.*** This recommendation centres on prioritization, to ensure greater relevance and impact. FAO should devote less effort to fund management of relatively small projects implemented by NGO and GoE partners. FAO should give greater attention to promoting innovative approaches in the areas of food security and rural development that can be scaled up through national programmes and widely

disseminated as good practice guidance. Greater emphasis on capacity building, networking and technical backstopping to the emergency response and development interface would be much more conducive to FAO's comparative advantage.

- Seek funds for providing technical support and coordination to food security and economic development forums, such as the REDFS, DRMFSS Ag WG, HAB working group, etc.
 - Reduce efforts to raise funds for micro-projects; concentrate more on the design of field based activities for testing and documenting innovative approaches in a reduced number of locations.
 - With regard to seeds and crop diversification, change from a “distribution” mode to strategies that place greater emphasis on testing and demonstration, building extension and farmer capacities to recognize advantages and disadvantages of particular options and ensuring that there is widespread access to information on the various alternatives.
6. **Strengthen the evidence base.** Lack of reliable data remains a challenge in Ethiopia. FAO should review information system work completed to date and develop a clear plan for strategic support for capacity development in the area of food security and development statistics for the purpose of knowledge generation, sectoral M&E and policy support.
- **Strengthen FAO accountability.** FAO Ethiopia should investigate options for making FAO Ethiopia in general, and the DRRU in particular, more accountable in terms of synthesising results, substantiating impacts, assembling lessons learned, rather than merely enumerating delivered seeds and feeds. This will be to ensure greater long-term relevance of short-term funded emergency projects. Ideally each development project and programme should have an M & E system allowing for the systematic characterisation of available information on evolving good practices and summarizing lessons learnt.
 - **Enhance the food security information system.** Support for food security information system development should continue; this will be highly relevant to the M & E framework for the new GTP, as well as NFSP. A particular contribution can be made in the re-analysis of chronically food insecure areas (the current criteria is a static analysis based on food aid history). To be more effective FAO should support ISFS data gathering in all of the key domains (not just production) and take full advantage of the recently updated livelihood atlas for Ethiopia.
 - **Include MDG hunger indicators.** FAO, together with UN partners, should advocate for the inclusion of the MDG hunger indicators (not just the poverty indicators) in the new macro-economic M&E framework (GTP).
7. **Raise the profile of SLM, forestry, pasturelands and fisheries management.** Due probably to the weight of emergency funding in FAO's project portfolio, attention to sectors other than crops is dramatically dwarfed, in spite of their importance in sustainable development and food

security. Sustainable land and water management need to be streamlined in land-based development projects. Innovative methods to promote community-based natural resource management, including agro-forestry, soil and water conservation and land management with *kebele*, *woreda* and region involvement, should be promoted.

8. **Place greater emphasis on capacity building.** FAO needs to broaden its horizons in capacity building in Ethiopia, in line with FAO's core functions. Of particular relevance is capacity development in the areas of quality data assembly and synthesis, policy analysis and policy development. There is also a need for wider engagement with national (and regional) research institutes to both strengthen the evidence base of interventions, to engage a wider constituency, and to make a greater contribution to the rapidly expanding range of academic institutions in Ethiopia.
 - Provide training (and with improved training materials) related to extension and agricultural technology, drawing on FAO's experience and normative products which target higher levels (such as ATVETs), so that the impact is broader and more sustainable.

In terms of seed production, recognize that many farmer seed producer groups have difficulty to emerge as independent commercial entities, but could have good prospects for becoming contract growers for regional or national seed enterprises, a few well-resourced cooperatives, or the private sector under the umbrella of bodies with the requisite skills, equipment and organization to market seed.

- Begin to work with appropriate seed enterprises to build their capacity to recognize and nurture good contract seed producer groups.

COUNTRY EVALUATION – FAO ETHIOPIA COOPERATION TERMS OF REFERENCE

Introduction

The evaluation of FAO's Cooperation in Ethiopia is part of a series of country evaluation that started in 2006. Since then eight country evaluations have been carried out and two synthesis reports drawing common conclusions and lessons from like-type country evaluations have been presented to the Programme Committee. Country-focused evaluation examines the totality of FAO's work, including national projects, country participation in regional and global projects, use made of normative products and performance of the FAO country representation. The key considerations in these evaluations are the utility of the Organization's work to the Member Country and the extent to which this draws on FAO's comparative advantages.

Ethiopia has been selected as the focus of a country evaluation during 2010. The terms of reference have been prepared after an initial review of the country context and portfolio of FAO projects in Ethiopia over the period 2005-2009 and following exploratory discussions with key internal stakeholders including the FAOR, TCEO and some of the main technical units who provide backstopping to the Ethiopia programme. The purpose of the terms of reference is to describe the Ethiopia programme and identify some of the key areas of work undertaken over the last five years, to table the scope of the evaluation, and to define an initial evaluation workplan. The terms of reference are preparatory to the inception mission – which will result in a report which will further elaborate the scope and key issues, tools and methods to be employed and resource requirements.

Subject of the Evaluation

Ethiopia has a population of just over 80 million people, approximately 80% of which gain their livelihoods directly or indirectly from agriculture (including livestock). Within agriculture, crops comprised 30% of GDP, livestock 9% and forestry 4%. Production remains mainly rainfed at a peasant, smallholding level. While agriculture accounts for almost half of the national GDP and economic growth in Ethiopia is higher than other countries in the region, recurrent droughts/ climate change, soil degradation and land tenure barriers negatively affect food security. Most food-insecure areas are found in the eastern marginal cropping zones of eastern and southern Tigray, eastern Amhara and lowland areas of eastern Oromia, pastoral zones of Afar, northern and southeastern Somali region, Gambela region and most low-lying zones of southern and central SNNPR. With a large population to feed, Ethiopia suffers from a structural food deficit. On average 10% of the population are benefiting from social assistance and Ethiopia has been the site of a major national safety net experiment in which 5 million people per year now receive a mix of cash and food assistance. In addition the safety net programme is building a portfolio of drought-financing instruments, including an Ethiopia-specific contingency fund, a contingency credit with the World Bank/IMF, and weather-based insurance schemes. It is hoped that a combination of all of these will limit the need for annual emergency appeals to extreme circumstances only (EIU report).

The strategic framework for Ethiopia has been in place for the past five years; the Plan for Accelerated and Sustained Development to End Poverty (PASDEP), runs from 2006/07 to 2010/11. Donor ODA to Ethiopia totals approximately US\$ 1 billion/year. Elections in Ethiopia will be held in April 2010; most forecast predict

that the results will maintain the status quo. Linked to the PASDEP, the UNDAF 2007-2011 was developed with participation of FAO - with FAO contributing specifically in the definition of the cooperation strategy for enhanced economic growth. The Government has also formulated a National Food Security Programme covering the period 2005-9 which includes productive safety nets, household asset building, and voluntary resettlement components. The World Bank is commissioning an independent evaluation of the NFSP in 2010 and a new NFSP is currently under formulation.

The FAO programme in Ethiopia consists of a full representation housed within the sub-regional office (SFE). There are approximately 100 staff dedicated to the implementation of the Ethiopia programme based in the FAOR or field locations of which over half are TCE recruited and managed under the emergency coordination unit. In addition, a dozen posts are cost-shared with the SFE office. The SFE office also includes 19 officers within the multi-disciplinary team and support staff plus 7 regional project staff which can be drawn upon by the FAO Ethiopia programme for technical backstopping and support. The current FAOR has been in post for three years and is also the Coordinator for SFE as well as representative to a number of regional bodies with headquarters in Addis Ababa (such as ECA, African Union). The NMTPF was drafted in 2009 and, at the time of this report is with the government for ratification. The current FAOR is due to retire in August 2010 and at the time of writing of the TOR, it appears unlikely that there will be a new FAOR in place during the field mission of the evaluation.

The Ethiopia programme total delivery over last five years includes just under US\$ 1 million of regular programme funding principally used for covering the FAOR costs and US\$ 65 million worth of extra-budgetary project funding (94 Ethiopia dedicated projects¹). Additional support has been provided through 49 regional/global projects which have included Ethiopia as a recipient country. It appears from an analysis of project expenditure, that roughly half of the programme is managed by TCE and covers the more vulnerable lowland areas – while the other half are more developmentally focussed interventions in the highlands, managed either by the FAOR or a relevant technical division. Emergency relief activities have responded to natural disasters (floods and droughts) and have often consisted of distribution of agricultural inputs.

Of the 94 projects implemented exclusively in Ethiopia over the past 5 years (Annex 1), projects totalling over US\$ 2 million include: (those still operationally active are indicated in bold).

- **GCP/ETH/060/BEL** – Improving Nutrition and Household Food Security in Northern Shoa & Southern Zone of Tigray (Phase II GCP/ETH/056/BEL)
- UTF /ETH/066/ETH – Coordination and Management of Services for the Disposal of Obsolete Pesticides in Ethiopia - Phase II (a Nationally Executed Project)
- GCP /ETH/062/NOR – Strengthening Seed Supply System at the Local Level
- **GTFS/ETH/067/ITA** – Crop Diversification and Marketing Development Project (TF Component: Food Security)
- GCP /ETH/069/NOR (FAO-Seed Security Project (Phase II) - Strengthening Seed Supply Systems at the Local Level),
- OSRO/ETH/813/EC – Improved availability and use of suitable seed varieties and other agricultural inputs for smallholder farmers in Ethiopia.

¹ Including a dozen national TCPs.

- GCP /ETH/071/EC – Support to Food Security Information System in Ethiopia
- OSRO/ETH/402/NET – FAO programme for emergency and smooth recovery assistance to drought affected farmers in Ethiopia
- **OSRO/ETH/601/MUL** – Urgent Intervention for the Early Detection, Prevention, and Control of Avian Influenza in Ethiopia

Of these projects, two projects (071/EC and 060/BEL) have had independent evaluations – although the second project has been extended and the original budget increased to US\$ 5.4 million since the evaluation of phase 1. A number of other important thematic evaluations have also included Ethiopia, including the 2009 evaluation of FAO's work in Capacity Development, the 2007 Evaluation of FAO's Emergency & Rehabilitation Assistance in the Greater Horn of Africa, the real-time evaluation of FAO's HPAI interventions, and two evaluations covering plant and animal disease (EMPRESS) and livestock in 2005. Finally, Ethiopia has been selected as a case study country for the upcoming evaluation of FAO Country Programming, including the NMTPF Mechanism.

Some of the main technical areas of focus for FAO Ethiopia include plant production and protection (including desert locust), irrigation, animal production and health, nutrition, food security information and agricultural statistics (including early warning for HPAI). Other important areas of intervention have been the environment/natural resource management (including land tenure, forestry and disposal of obsolete pesticides) and support for policy formulation and agricultural investment. (source: FPMIS)

In terms of regional projects, Ethiopia has been the technical nucleus for the development of the Livestock Emergency Guidelines (LEGS) which have been developed by FAO together with a range of partners (in particular Tufts University). The IGAD livestock policy initiative (GCP/INT/963/EC) is based in the FRETH/SFE office. Amongst the 49 regional projects, other activities that appear to have had a particular focus on Ethiopia² include the wheat rust programme (GCP /GLO/216/SPA), ECTAD/HPAI work (OSRO/RAF/722/SWE, OSRO/RAF/718 /USA, OSRO/GLO/605/OPF, TCP/RAF/3017, OSRO/GLO/504/MUL), the World Bank African Stockpiles Programme (GCP /INT/977/WBK), regional initiatives to tackle regional water resource management issues (GCP /INT/945/ITA, MTF /INT/195/IWM), several regional disaster risk management/risk reduction related projects (OSRO/RAF/913/EC, OSRO/RAF/614/SWE, OSRO/RAF/801/EC) and early warning/surveillance/food security information system activities (OSRO/RAF/706/USA, OSRO/RAF/907/EC) and regional work with the AU/NEPAD on country CAADP development (TCP/RAF/3107, TCP/RAF/2924, TCP/RAF/2917)

The main donors to FAO's work in Ethiopia have been the Government of Ethiopia, Norway, OCHA, Italy, Spain, USA/OFDA, Ethiopia, Belgium, the European Union and the Netherlands. In addition, FAO has engaged in strategic dialogue with a number of these donors in particular the Netherlands, USA and Japan.

² Regional/global projects still under analysis.

Purpose of the Evaluation

The Ethiopia Country Evaluation aims at improving the relevance and performance of FAO interventions, providing accountability and deriving lessons for better formulation and implementation in future. It must provide stakeholders with a systematic and objective assessment of the relevance, efficiency, effectiveness, impact and sustainability of the interventions, as well as of their performance in relation to gender mainstreaming and social inclusion.

Key Stakeholders to the Evaluation

This list will need to be more fully developed during the inception mission. The incoming FAOR, management within the Emergency and Rehabilitation Division (TCE) and the new Government will be key target audiences for the evaluation report.. Ethiopia is a federal state and regional governments enjoy a high level of autonomy. FAO has worked extensively at regional level and thus regional government is considered a key stakeholder. The main donors to the FAO Ethiopia programme (listed above) will be important stakeholders.

Sister UN agencies (including in WB, WFP, OCHA and IFAD) and in particular those with whom strategic interventions were identified in the context of the UNDAF will need to be consulted.

Scope of the Evaluation

The evaluation will cover the totality of FAO's work in Ethiopia encompassing all activities providing direct support to the country, irrespective of the source of funding (Regular Programme or extra budgetary resources) or from where they are managed (HQs, Regional Office or the FAOR) during the period 2005- 2009. The evaluation will also include an assessment of the activities of the FAO representation which are not necessarily carried out through projects, as well as an examination of its capacity to perform efficiently and effectively.

Evaluability/Logic Model

At the preparation stage of this evaluation, evaluability assessment is identified as problematic due to the lack of an operational NMTPF, which would normally act as a framework against which to evaluate FAO performance. Discussion with the FAOR suggests that the UNDAF may serve to some extent as a substitute at a macro/strategic level. Generic logframes will need to be extracted/developed from some of the main sectoral areas of intervention through a review of project documentation. The existence of a number of independent evaluations that have covered aspects of FAO's work in Ethiopia is considered positive and enhances evaluability – as does the existence of substantial monitoring data for some of the food security related interventions.

Constraints Identified

- Elections in May 2010 and potential changes in Government.
- Imminent departure of FAOR (retiring) in August 2010

Evaluation Questions

The evaluation will consider the extent to which FAO's cooperation with Ethiopia over the past five years has been relevant, effective, and efficient, the extent to which impacts on households and institutions is evident, and whether such benefits are likely to be enduring. In addition, some specific questions which have arisen from initial scoping interviews include the following:

1. Relevance: Are the components of FAO's Cooperation with Ethiopia addressing beneficiaries' needs, Government's priorities and donors' policies that motivated it? Which beneficiaries? In particular, how effective has FAO's involvement been in the PASDEP and NFSP³.
2. Relevance: How coherent is the FAO's strategy internally? Is the new NMTPF coherent with FAO's new corporate strategy?
3. Relevance: What is the quality of FAO intervention designs – is the internal logic sound enough to allow for the achievement of the desired results?
4. Effectiveness: What has been the performance of the FAO representation office in Ethiopia? The FAOR plays multiple roles including acting as FAO's representative to the African Union, heading the sub-regional office inter-disciplinary team, and providing technical support to country programmes in the region in his capacity as senior policy officer within the team. How have these multiple roles affected his ability to provide strategic guidance, advice and oversight to the country programme and member state?
5. Effectiveness: How has the proximity of the Ethiopia representation to the SFE office affected the performance of the Ethiopia programme? What role have HQ technical units played? Have synergies been created between FAO interventions development and emergency interventions at country level?
6. How effective has advocacy by the FAO Representation been, both with the Government and with other development partners in influencing national strategy, policy and prioritization in favour of rural development and food security? To what extent has FAO played a facilitating or leadership role (NGO-UN-Govt-Donor-Investors) at national and regional level. Within communities of practice, how effective has FAO been in networking and bringing their corporate comparative advantage to bear?
7. Effectiveness: How effective have FAO partnerships been? In particular, what has FAO's contribution been to the UNDAF process? How has FAO built on partnerships and experiences and expertise in Ethiopia in the development of the Livestock Emergency Guidelines (LEGS)? What lessons have been learned from FAO's efforts in sustainable land management? How has partnership with the World Bank contributed to the consolidation of FAO efforts in the area of disposal of obsolete pesticides?
8. Effectiveness: How effective is the existing monitoring system? What innovations and good practices have been identified? To what extent have these been disseminated and scaled up? How has FAO information, analysis and technical support influenced strategy, policy and programming in Ethiopia?

³ The PASDEP is the national strategic development framework. The National Food Security Programme (NFSP) has three components: the productive safety net programme/PNSP, other food security programme/OFSP, and resettlement programme/RP.

9. Coverage: How great has the coverage of the benefit been compared to the overall needs? Who has benefited? In particular, how have females participated in and benefited from the FAO programme?
10. Efficiency: To what extent are programme inputs (materials, funds, advice and staff) delivered in a timely and cost efficient way? Are management systems optimal for delivering the desired outputs? How have partnerships impacted on programme delivery and efficiency?
11. Impact: What have been the impacts of the programme on households, institutions and organizations in terms of food security, poverty/income and capacity development? Have there been any unintended impacts of the programme?
12. Relevance: Have FAO interventions transitioned appropriately from emergency to development?
13. Sustainability: To what extent will interventions result in benefits that will continue after the interventions cease? What is the extent of national participation and ownership in the interventions? Are the interventions financially and technically sustainable?
14. Sustainability: What contributions is the Government of Ethiopia making to the programme? Is their contribution in line with agreed co-participation arrangements?
15. In what ways has FAO contributed to strengthened capacity at decentralized levels (regional, community) to plan, coordinate and deliver agricultural and livestock services and create livelihood opportunities for rural families? To what extent and in what capacity have direct beneficiaries been involved in FAO interventions?

The inception mission (June 14-18, 2010) will further define key issues and questions which will be incorporated within final version of the TOR and the evaluation matrix which will guide the work of the independent evaluation team. While it is not necessary that FAO's work in Ethiopia responds to all of the corporate objectives and core functions of the organization, the evaluation will examine the relative balance within the portfolio and the extent to which the organizations comparative advantage has been brought to bear at country level.

Evaluation Methodology and Organization

The evaluation will draw its conclusions and recommendations based on the evidence found and make its independent assessment of the relevance, efficiency, effectiveness and impact of FAO cooperation with Ethiopia as a whole, in each area of focus and on key services provided by FAO, including capacity building, applying and sharing knowledge, partnership building and resource mobilization.

The evaluation will use a range of tools and methods, including stakeholder consultations through workshops and semi-structured interviews with check lists, desk studies and field visits, among others.

The evaluation will adopt a consultative approach whenever possible, seeking and sharing opinions with stakeholders. Triangulation of information across stakeholders will be a key tool for gathering and validation of evidence. Stakeholders include:

- FAO staff in HQ, at the Regional Office for Africa in Accra and the sub-regional office for the Horn of Africa in Addis Ababa who have been involved with support to FAO activities in Ethiopia;
- FAO regional emergency office for Africa in Nairobi (REOA)
- FAO programme/project staff in Ethiopia;

- Government staff at policy and implementation level;
- UNCT members;
- Donors; and
- NGOs and civil society organisations, and ultimate beneficiaries.

Prior to the main mission, an expert will be recruited to undertake a critical desk review of FAO's work in disposal of obsolete pesticides. This will be complemented by field verification during the main evaluation mission.

Impact assessments (IA) on food security (Tigray) and livestock (Afar/Somali region) interventions will provide the evaluation team with information on any livelihood changes for the beneficiary population which FAO work has contributed to (the methodology of the impact assessments will be included as an annex to the report).

Desk reviews of OED independent evaluations that have included Ethiopia will be carried out to synthesize the main findings, conclusions and recommendations. This will be complemented by a literature review of project documentation including progress and final project reports, and of documented project outputs.

At the beginning of the mission, an internal briefing session in Rome will allow all team members to have access to information on FAO as a global organization, on evaluation methods and approaches and on respective tasks of team members in the mission. A briefing will also be organized in Addis Ababa with the FAOR and senior programme and project staff, to inform team members of the overall programme of FAO in Ethiopia.

An evaluation mission, involving the entire team, will take place over a 3 week period in September 2009. Field visits at regional levels will be undertaken to verify information collected through other channels as well as to obtain the views of primary beneficiaries. Locations for field visits will be selected based on a desire to review a broad cross section of FAO current activity across core functions,

At the end of the mission, the team will give its preliminary overall results and recommendations in a debriefing session with the FAOR, senior programme/project staff, key Government counterparts and interested partner representatives. This will be an occasion to obtain feedback from stakeholders on the findings and recommendations of the evaluation, although the final draft report will also be circulated for comments and suggestions.

Sources of Data:

- portfolio analysis and review of project documentation, progress reports and terminal reports, budgets and financial reports for the regular and extra budgetary activities, procurement reports, the FAOR annual report. Back to officer reports from FAO backstopping missions.
- interviews with internal stakeholders at FAO HQ, RAF, SFE and country level.
- interviews with external stakeholders at regional (Nairobi) and country level (government, donors, direct and indirect project beneficiaries, civil society partners, UN partners, other organizations offering similar types of support/engaged in the sector).
- documentation related to contextual analysis (EIU, needs assessments, national surveys and studies related to FS, rural development and agriculture, MDG reports).

- Government policies and strategies.
- household surveys, focus groups and key informant interviews at community level.
- expert observation

The Evaluation Report

The report will be as concise as possible, focusing on findings, conclusions and recommendations and include an executive summary.

The Evaluation team will decide the precise outline of its report. However, the report will include:

- the overall evaluation of FAO cooperation in Ethiopia;
- the assessment of effectiveness and impact in each area of focus;
- the assessment of the performance of the FAOR Office;
- the overall assessment of the TCP programme including its role in the cooperation programme, based on the analysis of each national TCP project; and
- recommendations to enhance the effectiveness of collaboration between FAO and Ethiopia.

Impact assessments will be provided as Annexes to the main report. The report should not be more than 70 pages excluding annexes and will be delivered to OED by the Team Leader according to the deadlines indicated in the timetable below.

Composition of the Evaluation Team

The evaluation team will be lead by an independent expert evaluator with international experience leading complex strategic evaluations and technical experience in one of the substantive domains to be examined by the evaluation.

Team members (7) will be national and international experts (external consultants and staff members of the FAO Office of Evaluation) with broad sectoral experience, demonstrating an ability to collect and analyze information at both technical and strategic levels and to function effectively in a multi-disciplinary team. Sectoral areas requiring full time team participation include plant production and protection, animal production and health, human nutrition, food security information and agricultural statistics. One team member will be recruited to cover FAO management and operations and the role and functioning of the FAO representation. All experts must be able to undertake gender analysis. Additional resources may be required on a short term basis to examine specific areas of intervention such disposal of obsolete pesticides, fruit tree production, and seed security.

Specific ToRs will be prepared for each team member. All team members must be fluent in English (written and oral).

Roles and Responsibilities

The FAO Representation and key Technical Unit of the Ethiopia programme are responsible for contributing to the draft Terms of Reference and for supporting the evaluation preparation and field work during the mission. They are required to participate in meetings with the team, to make available information and documentation as necessary, and to comment on the final draft report. The FAOR is also responsible for leading and coordinating the preparation of the FAO Management Response to the evaluation, in which it expresses its overall judgment of the evaluation process and report and accepts, partially accepts or rejects each recommendation. For accepted recommendations, responsibilities and timetable for implementation will also be indicated; for rejected recommendations, a justification should be provided. One year after the MR is issued, the BH will prepare the Follow-up report to the MR, to inform on progress in the implementation of the recommendations.

FAO Office of Evaluation, after a careful portfolio analysis and scoping interviews with key stakeholders drafts and finalizes the ToR, identifies independent experts and sets-up the evaluation team, and organizes the evaluation work. It is responsible for the clearance of the ToR and of the team composition and briefs the evaluation team on the evaluation methodology and process. The Office has a quality assurance role on the final report, in terms of presentation, compliance with the ToR, timely delivery, quality of the evidence and analysis done. The Office of Evaluation has also a responsibility for following up with the FAOR on the timely preparation of the Management Response and the Follow-up to the evaluation management response.

The Evaluation Team is responsible vis-à-vis FAO for conducting the evaluation, applying the methodology as appropriate and for producing the evaluation report. All team members, including the Team Leader, will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs for the final draft and final report.

The Team Leader guides and coordinates the team members in their specific work, discusses their findings, conclusions and recommendations and prepares the final draft and the final report, consolidating the inputs from the team members with his/her own. The mission is fully responsible for its independent report which may not necessarily reflect the views of the Government or of FAO. FAO is not entitled to modify the contents of any evaluation report, although it can require modifications to the report to improve its quality of, nor is an evaluation report subject to technical clearance, beside the quality assurance control by the Office of Evaluation.

Evaluation Timetable

Preparation Phase (Feb-May/2010)	Tentative Dates
Initial informal consultations with internal stakeholders, scoping of evaluation and definition of an initial set of key issues	Feb/Mar
Collection of key project documents, review of existing evaluations and related Ethiopia literature. Portfolio analysis.	Feb/Mar
Draft Terms of Reference and budget prepared. Design of protocol for impact assessment.	April

Advertise/head hunt for evaluation team member candidates	April
Inception Mission to Ethiopia	June 14-18
Evaluation Phase - (Jun-Sept 2010)	
Desk review and analysis (budget overviews, budget summaries, review of relevant literature, summary of existing relevant evaluation findings, inventory of related projects and outputs, etc)	June
Team Leader Inception Report Written and circulation to key stakeholders. Preparation of the evaluation matrix and evaluation tools/instruments. Selection and contracting of team.	June
Implementation of Impact Assessments and Expert desk review (Pesticides)	July-Aug
Briefing of the evaluation team (desk and in HQ)	23 Aug-7 Sept
Evaluation mission to Ethiopia	8-31 Sept
Report Writing and Dissemination Phase – (Oct-Dec 2010)	
Prepare draft report, circulation and review by team members	Oct
Review and Comments by stakeholders	Nov
Final Report and dissemination activities	Dec
Management Response	Jan 2011

Budget

* see separate annex.

Tentative Programme
Ethiopia Country Evaluation Inception Mission
14 – 18 June, 2010

Date	Time	Activities	Place	Remark
Sunday 13 June, 2010	15:00	Informal gathering with M.Chipeta and senior staff	FAOR Residence	Confirmed
	19:00	Dinner with Abebe Gobeziegoshu (ex-BSF Coord)	??	Confirmed
Monday 14 June, 2010	09:30 – 11:00	Briefing FAO Ethiopia / DRRU Staff	FAOR Conference Room (Ground Floor)	Confirmed
	11:30 - 12:30	Briefing/ Interview SFE Staff	FAOR Conference Room	
	13:00	Interview: Alemayehu Gebrehiwot Merkorios	FAO Office	requested
	15:30	Dill Peeling, Regional LPI project	ILRI	
	17:00	Interview: MULUGETA Tefera	ILRI	Confirmed
Tuesday 15 June 2010	08:00 –08:30	Meeting with Mr. Wondirad Mandefro, Agriculture Extension Directorate	MOARD	Confirmed
	9:00-9:30	Request Meeting with Dr. Berhe, Animal and Plant Production	MOARD	
	10:00 - 10:30	Meeting with Mr. Hailu Hankiso, Safetynet & Household Asset Building Prog. Coordinator, Food Security Directorate (In place of Mr. Berhanu W/ Michael, Food Security Directorate	MOARD	Confirmed
	10:45 - 11:15	Meeting with Mr. Tadesse Bekele, Director of Early Warning & Response Directorate, a.i. (In place of Mr. Mathewos Hunde, Early Warning & Response Director	MOARD	Tentative Will confirm on Monday
	11:30 - 12:15	Meeting with Dr. Abera Deressa, State Minister of Ministry of Agriculture & Rural Development	MOARD	Will confirm on Monday as he gets back from the field
	afternoon	BSF Impact Assessment Working Group – Lori	MoARD	Confirmed
	2.00 – 3.30	CGIAR Centres (IFPRI, IWMI, CIMMYT and CIP) – Brian	ILRI	Confirmed
	3.30 – 5.00	Andy Catley, Behanu Admassu, Yacob Aklilu	Their office	suggested
	17:00	Interview” Azage Tegegne	ILRI	Requested
	Dinner			

Wednesday 16 June 2010	9.00 – 10:00	Donor Meeting with Andrew Spezowka, CIDA.	FAO – 4 th Floor Meeting Room	Cancelled
	09:30 – 10:00	Jhon Weathreson	FAO	Confirmed
	11:00	Belachew & Wondewassan	near the airport	Confirmed
	12:00-13:00	Interview?		
	02:00 -02:45	Meeting with Ms. Margot Skarpeterg, Embassy Secretary dealing with humanitarian issues (In place of Ms. Bente Nilson, Counsellor/ Head of Development Cooperation)	Norwegian Embassy	Confirmed
	4.00 pm-5.00 pm	Amy Martin who is the Deputy Head of Office at OCHA	OCHA Offices	Confirmed
	17:30	Interviews: Getahun Tafesse	ILRI	Confirmed
Thurs 17th June 2010	09:00 – 10:00	Yohannes Regassa – ECHO Programme Officer	ECHO Offices	Confirmed
	10.30 am	Donor Meeting	FAO	To be requested
	Lunch	Emmanuelle	FAO	Confirmed
	Afternoon 2.30 – 3.30 pm	Joint mtg with NGO ECU partners: ▪ SelfHelp Africa Country Director – Dr. Wubshet Berhanu, ▪ FarmAfrica Country Director – Mr. Jonathan Napier, ▪ SC USA ▪ SC UK - Maria Ruiz-Bascaran and Matebie Fentie	FAO – 4 th Floor Meeting Room	Confirmed
	4.00 – 5.00 pm	UNDP Deputy Country Director - Ms. Cristin Musisi : UNDAF	UNDP	Confirmed
	5:30	Interview : Azage	ILRI	

Fri 18 th June 2010	8:30	Interview Admasu Shibru	ILRI	confirmed
	10:00	John Graham, USAID	USAID	Requested
	11.30 am to 12.30 pm	Felix Gomez – WFP Senior Deputy Country Director	WFP Office	Confirmed
	1.30 pm	Mafa Chipeta (debrief)	FAO	Confirmed
	2:00	Lori – BSF meeting	FAO	Confirmed
	evening	departure Lori Bell		
Saturday 19 th June 2010	morning	departure Dr. Brian Perry		

Inception Report

Evaluation of FAO's Programmes and Cooperation in Ethiopia

1. Background to the evaluation

The evaluation of FAO's Cooperation in Ethiopia in 2010 continues a series of national level evaluations of FAO's programmes that started in 2006. Country-focused evaluations examine all of FAO's work, including national projects, country participation in regional and global projects, the use made of normative products, and the performance of the FAO country representation. The key considerations in these evaluations are the utility of the Organization's work to the Member Country and the extent to which this draws on FAO's comparative advantages.

In countries which have large portfolios of emergency and rehabilitation activities, programmatic evaluations are indicated¹ and in these cases the evaluations are broadened to provide a country-wide perspective of FAO's contributions, including non-emergency activities. Since 2006 some eight country evaluations have been undertaken, which have included countries with large emergency programmes such as the Democratic Republic of Congo, Tajikistan and Sudan.

Based on these criteria, Ethiopia has been selected for a country evaluation during 2010, and the evaluation will cover the 5-year period of 2005 – 2010. The original terms of reference are presented in Appendix 1.

This Inception Report has been prepared by the independent Team Leader of the evaluation and the designated Evaluation Manager from FAO's Office of Evaluation. It draws on the Terms of Reference, amplifies some of the issues to be considered, and outlines the draft process to be followed during the evaluation.

2. Purpose and scope of the evaluation

The Ethiopia Country Evaluation will be an independent and forward looking process. It aims to improve the relevance and performance of FAO's interventions in the country, provide accountability, and derive lessons for better formulation and implementation of policies, strategies and activities in the future. It will provide FAO's stakeholders with a systematic and objective assessment of the relevance, efficiency, effectiveness, impacts and sustainability of the programmes and activities undertaken by FAO in Ethiopia, as well as of their performance in relation to cross-cutting issues such as gender mainstreaming, social inclusion, partnership and environmental conservation.

The evaluation will consider all of FAO's work in Ethiopia providing direct support to the country during the period 2005- 2010, irrespective of the source of funding (Regular Programme or extra budgetary resources) or the location of project management (HQ, Regional Office or the FAOR). The evaluation will also include an assessment of the activities of the FAO representation which are not necessarily carried out through projects, as well as an examination of its capacity to perform efficiently and effectively. An outline of the approach to be taken can be found under section 5 below.

¹ Criteria: country programmes > US\$ 5 million

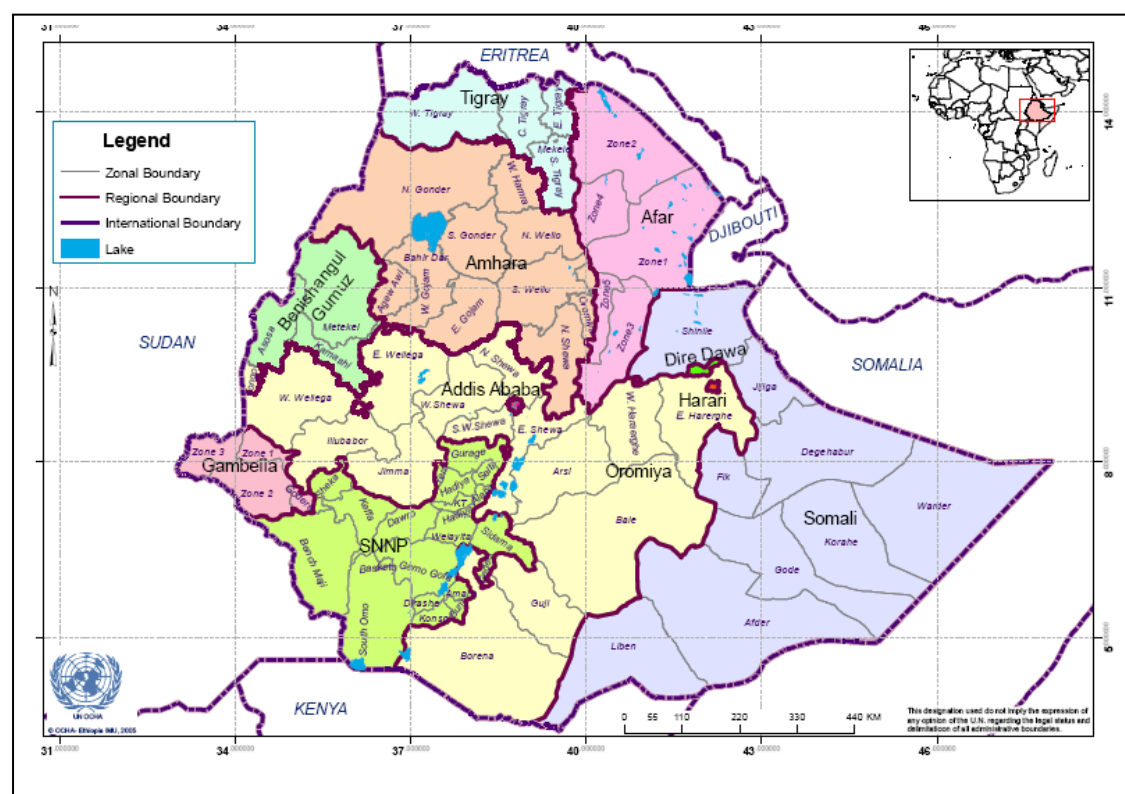
3. FAO's programmes in Ethiopia

3.1 Ethiopia²

Ethiopia has a population of approximately 80 million people, and a GDP *per capita* currently estimated at around US\$ 400. The agriculture-based economy accounts for about half of GDP, 60% of exports, and 80% of total employment. Within the agricultural sector, crops comprise 30% of GDP, livestock 9% and forestry 4%. Production remains mainly rainfed at a peasant, smallholder producer level. The principal crops include coffee, pulses, oilseeds, cereals, potatoes, sugarcane, and vegetables. Exports are almost entirely agricultural commodities, and coffee is the largest foreign exchange earner; Ethiopia's relatively new flower industry is becoming an additional source of revenue: for 2005/2006 Ethiopia's coffee exports represented 0.9% of the world exports, and oilseeds and flowers each representing 0.5%.

Despite Ethiopia's agricultural enterprises, high population³, recurrent droughts and periodic floods, complicated by climate change and accompanied by severe soil and landscape degradation in some regions, all contribute to a situation of national food insecurity. Most of the food-insecure areas are found in the marginal cropping zones of eastern and southern Tigray, eastern Amhara, lowland areas of eastern Oromia, the pastoral zones of Afar, the northern and southeastern Somali region, the Gambela region and most of the low-lying zones of southern and central Southern nations, Nationalities and People's Region (SNNPR; see map of administrative regions of Ethiopia below).

Figure 1. Administrative regions of Ethiopia



² A significant number of contextual documents on Ethiopia, including maps, reports and data have been assembled, including Government of Ethiopia and donor country strategies, all of which are available to the team.

³ The human population is estimated at over 80 million, population growth is $\geq 2.6\%$ and population the estimated density is 73 persons/km².

Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

With such a large population to feed, Ethiopia suffers from a structural food deficit. On average 10% of the population are benefiting from social assistance and Ethiopia has been the focus of a national safety net experiment in which approximately 5 million people per year now receive a mix of cash and food assistance. Ethiopia's Food Security Programme (FSP) combines a safety-net aimed at closing household food gaps and eliminating distress asset sales, with food security interventions aimed at building household assets as a mechanism to pull households out of chronic food insecurity. The safety net component, called the Productive Safety Nets Programme (PSNP), includes the provision of food- or cash-for-work as well as direct support to poor households who are unable to participate in public works. In addition the PSNP is building a portfolio of drought-financing instruments, including an Ethiopia-specific contingency fund, a contingency credit with the World Bank/IMF, and weather-based insurance schemes.

These contrasting challenges and opportunities in Ethiopia highlight the extraordinary diversity in the country. The country has some 80 different ethnic groups, and has diverse agro-ecologies ranging from temperate highlands to the below sea level environments of the Danakil depression. This diversity, and the contrasting challenges it poses, has led the GoE to use a terminology of "Three Ethiopias: Productive Ethiopia, Pastoral Ethiopia and Hungry Ethiopia"⁴. The GoE's concept of the "Three Ethiopias," is a classification in terms of households of different capacities, each of which may contribute to growth and development in different ways, and each of which must be addressed accordingly. "Productive Ethiopia" (estimated to be 45 million people) will increase food availability and thus reduce prices. "Pastoral Ethiopia" (estimated at 12-14 million) must maximize productivity and increase resilience to shock (mainly drought) without upsetting the environmental equilibrium so essential to food security in pastoral areas. "Hungry Ethiopia" (estimated at 15-20 million) includes small farms on degraded soils, with limited means of production. Some households in this area can be assisted to achieve sustainable food security through integrated and diversified agricultural enterprises alone. Others will require a combination of on- and off-farm activities to survive. The remainder must adopt exclusively off-farm activities to achieve food security.

The strategic planning framework for Ethiopia has been in place for the past five years; the Plan for Accelerated and Sustained Development to End Poverty (PASDEP)⁵, runs from 2006/07 to 2010/11. An updated PASDEP, the Ethiopian 5 Year Development Plan, is apparently in draft form, but is yet to be made available to FAO. Linked to the PASDEP, the UNDAF 2007-2011 was developed with participation of FAO - with FAO contributing specifically in the definition of the cooperation strategy for enhanced economic growth. An important civil service reform programme, linked to the Government's strategy for decentralization and to a Government-donor programme (SWAP) to build public sector capacity⁶, has been in operation over the last decade. The Government has also formulated a National Food Security Programme (mentioned above) covering the period 2005-9 which included productive safety nets, household asset building, and voluntary resettlement components. A series of reviews of this programme in 2009 has led to the preparation and recent

⁴ http://www.feedthefuture.gov/documents/FTF_2010_Implementation_Plan_Ethiopia.pdf

⁵ <http://www.eap.gov.et/About-MoARD/Strategy.asp>

⁶ Public Sector Capacity Building Programme: PSCAP Mid-term Evaluation Inception Report Final draft – 18th November 2007. The objective of the Public Sector Capacity Building Program (PSCAP) Support Project for Ethiopia is to improve the scale, efficiency, and responsiveness of public service delivery at the federal, regional, and local level; to empower citizens to participate more effectively in shaping their own development; and to promote good governance and accountability.

Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

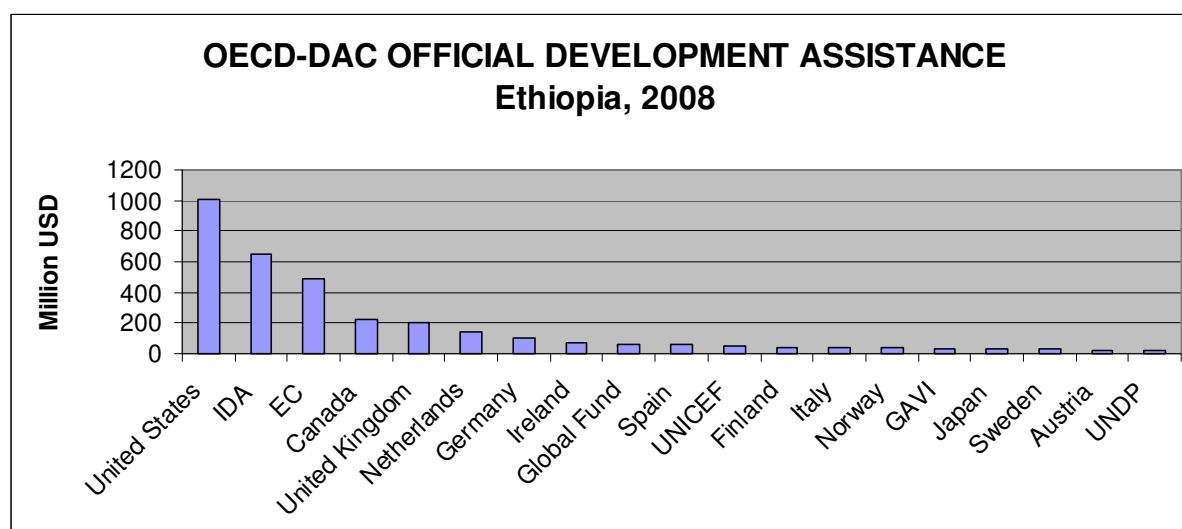
approval of a new national Food Security Programme 2009-2014. Other key strategies in the area of food security and rural development include the recently approved Ethiopia Strategic Investment Framework for Sustainable Land Management and the Agricultural Development Lead Industrialization (ADLI) Strategy.

Elections were held in Ethiopia in May 2010, and the new government will present its programmes in September.

There are several other key areas of importance to fulfilling the aspirations of the GoE and other stakeholders in the field of agriculture. One key issue is that of land tenure and land lease. Access to land is an important issue for the majority of Ethiopian people who, one way or the other, depend on agricultural production for their income and subsistence. Land tenure issues therefore continue to be of central political and economic importance, as they have been at several junctures in Ethiopia's history.

3.2 Development and Emergency Assistance to Ethiopia

Donor assistance to Ethiopia totals approximately US\$ 2 billion/year, and the FAO is one of many international actors in the active development arena in the country. Many international donors have been scaling up their assistance given to enhancing food security in a number of African countries, and Ethiopia is no exception. New investments targeting increases in agricultural productivity are reported by a number of donors.



On the humanitarian side, WFP has an enormous programme (US \$ 600-800 million/year - their largest country budget), assisting over 8 million acutely food insecure households through relief distributions and providing inputs in the PSNP food for work scheme for assisting the chronically vulnerable.

External aid has undoubtedly played a significant role in contributing to development and economic growth, reducing mortality and improving livelihoods. These indicators are used by donors to assess the overall effectiveness of their support to Ethiopia. However there have been recent allegations of some distortion in donor-supported development programmes, with allegations made that aid is

Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

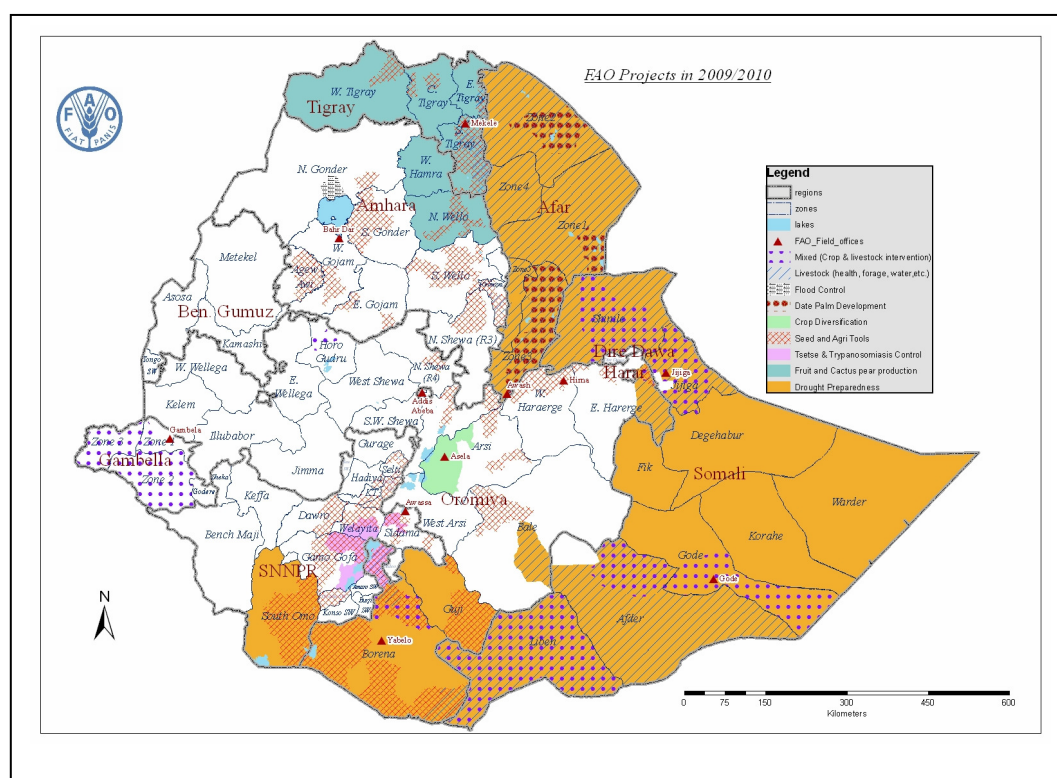
being allocated according to political affiliation rather than solely based on need⁷. A study was commissioned by the Donor Assistance Group (DAG) which found that while aid programmes have accountability systems in place that provide checks on distortions, including distortion for political gain, programmes should be further strengthened by paying more attention to transparency (through the generation and dissemination of information), independent monitoring, and the incentives which drive performance (see reference to the full report in footnote 7).

3.2 The FAO Programme in Ethiopia

The FAO programme in Ethiopia has totalled roughly US \$ 55 million over the past five years, channelled through almost 100 extra-budgetary projects which provided technical support, capacity building, information and statistics, policy advice and direct inputs at household level.⁸

Some of the main technical areas of focus for FAO Ethiopia include plant production and protection (including desert locust), irrigation, animal production and health, nutrition, food security information and agricultural statistics (including early warning for HPAI and other hazards). Other important areas of intervention have been the environment/natural resource management (including land tenure, forestry and management and disposal of obsolete pesticides) and support for programme formulation and agricultural investment.

Figure 2. Map of the geographical distribution of FAO's projects in Ethiopia for 2009/10



⁷ Aid Management and Utilisation in Ethiopia: A study in response to allegations of distortion in donor-supported development programmes. July 2010.

http://www.dagethiopia.org/index.php?option=com_content&view=category&layout=blog&id=77&Itemid=7

⁸ A portfolio analysis of country-focussed and regional/global projects has been prepared and a database of all projects is available to the team.

Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

The FAO programme in Ethiopia consists of a full country representation housed within the sub-regional office (SFE). The country office in Addis Ababa has a rather small staff, but there are approximately 100 staff dedicated to the implementation of the Ethiopia programme, most based in field locations, of which over half are TCE-recruited and managed under the emergency coordination unit. In addition, some 12 posts are cost-shared with the SFE office.

The SFE office has responsibility for 7 countries (namely Ethiopia, Sudan, Kenya, Somalia, Uganda, Djibouti, Rwanda and Burundi); Eritrea is covered from the regional FAO Office in Harare. The SFE office includes 19 officers within the multi-disciplinary team and support staff plus 7 regional project staff which can be drawn upon by the FAO Ethiopia programme for technical backstopping and support.⁹

The current FAOR has been in post for three years and is also the Coordinator for SFE as well as representative to a number of regional bodies with headquarters in Addis Ababa (such as ECA, African Union). The NMTPF was drafted in 2009 and, at the time of this inception report is with the government for review. The current FAOR is due to retire in August 2010 and it appears unlikely that there will be a new FAOR in place during the field mission of the evaluation.

As with many of the technical agencies operating in Ethiopia, FAO's activities in recent years have been influenced by a continuing series of crises in the country, brought on by climatic stresses exacerbating underlying poverty and food insecurity. From an analysis of project expenditure it appears that roughly half of the programme is managed by TCE and covers the more vulnerable lowland areas – while the other half are more developmentally focussed interventions in the highlands, managed either by the FAOR or an appropriate technical division. Emergency relief activities have responded to natural disasters (floods and droughts) and have often comprised the distribution of agricultural inputs such as seeds and vaccines.

There has developed an ongoing emergency response mentality, aided by the attention of the international media on the humanitarian crisis faced by many in the population (see for example Gill, 2010¹⁰). While on the one hand this has attracted substantial international financial and technical support, it has arguably detracted somewhat from the longer term development needs and aspirations of Ethiopia. This appears to be changing. The severe drought and associated famine in 2004 was said to have fostered a “coalition for food security” among donors and government, but from the valuable responses to that, and the recent good rains, a “coalition for growth” is now said to be emerging. This evaluation will consider FAO's contributions to these coalitions, both in terms of policies and interventions.

Sustainable increase of livestock production is an objective for 22% of projects and 16% of the total original budget. These projects last an average of one year and are evenly split into capacity building and humanitarian interventions. The vast majority target vulnerable households affected by drought and to some extent benefit community animal health workers and veterinary staff. They are almost equally split among 3 regions: Afar, Oromyia and Somali.

⁹ Full staff lists for the FAO Ethiopia and the SFE office, including job titles, locations and duration of contracts are available to the team.

¹⁰ Gill, P. 2010. *Famine and Foreigners: Ethiopia since Live Aid*. Oxford University Press, 280 pp.

Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

With reference to the 11 of FAO's global strategic objectives, a preliminary portfolio analysis (still ongoing) suggests that thirty-five percent of Ethiopia-dedicated projects (and 44% of total original budget) aim at achieving, exclusively or partly, sustainable intensification of crop production. Apart from 3 projects that have a national scope, most of these efforts are concentrated in 4 regions: Amhara, Oromyia, SNNPR and Tigray.

There are no dedicated fisheries or forestry projects. A handful of projects cover management of land, water and genetic resources and global environmental challenges; another set of projects (two of which quite big) focus on markets and rural development, and there are several consecutive projects covering nutrition and food security. These latter are concentrated in northern Amhara and Tigray regions and combined have lasted over nine years, the second of which is still operationally active and coming to an end in 2010.

Of the 102 projects implemented exclusively in Ethiopia over the past 5 years (Appendix 2), larger projects totalling over US\$ 2 million include: (those still operationally active are indicated in bold)¹¹.

Project Symbol	Project Title	Project Status	Actual EOD	Actual NTE	Total Budget (DWH)
GCP /ETH/060/BEL	Improving Nutrition and Household Food Security in Northern Shoa & Southern Zone of Tigray (Phase II GCP/ETH/056/BEL)	Operationally Active	2001-11	2011-02	\$6,832,050
GTFS/ETH/067/ITA	Crop Diversification and Marketing Development Project (TF Component: Food Security)	Operationally Active	2005-08	2010-10	\$2,999,998
OSRO/ETH/813/EC	Improved availability and use of suitable seed varieties and other agricultural inputs for smallholder farmers in Ethiopia.	Operationally Closed	2008-09	2009-04	\$2,928,257
UTF /ETH/066/ETH	Coordination and Management of Services for the Disposal of Obsolete Pesticides in Ethiopia - Phase II (a Nationally Executed Project)	Financially Closed	2004-01	2007-12	\$2,734,001
GCP /ETH/071/EC	Support to Food Security Information System in Ethiopia	Activities Completed	2006-11	2009-11	\$2,640,799
OSRO/ETH/002/EC	Livelihood support to drought affected communities in the selected regions of Ethiopia	Operationally Active	2010-02	2010-11	\$2,599,998
GCP /ETH/073/ITA	Strengthening of fruit and cactus pear production in Tigray and North Wollo	Operationally Active	2007-07	2011-12	\$2,249,999
OSRO/ETH/402/NET	FAO programme for emergency and smooth recovery assistance to drought affected farmers in Ethiopia	Financially Closed	2004-07	2005-12	\$2,220,000
GCP /ETH/062/NOR	Strengthening Seed Supply System at the Local Level	Operationally Closed	2005-03	2007-03	\$2,180,482

¹¹ Project briefs have been prepared for each of these larger projects and are available to the team.

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OSRO/ETH/601/MUL	Urgent Intervention for the Early Detection, Prevention, and Control of Avian Influenza in Ethiopia	Operationally Active	2006-03	2010-04	\$2,163,231
UNJP/ETH/075/SPA	Enabling pastoral communities to adapt to climate change and restoring rangeland environments (MDGF-1679)	Operationally Active	2010-06	2012-06	\$2,029,060

Of these, two projects (071/EC and 060/BEL) have undergone independent evaluations – although the second project has been extended and the original budget increased to US\$ 5.4 million since the evaluation of phase 1.

A number of other important thematic evaluations have also included Ethiopia¹². These are:

- The 2009 evaluation of FAO's work in Capacity Development
- The 2007 Evaluation of FAO's Emergency & Rehabilitation Assistance in the Greater Horn of Africa
- Evaluation of FAO Operational Capacity in Emergencies, 2009
- The second real-time evaluation of FAO's Highly Pathogenic Avian Influenza (HPAI) interventions
- Two evaluations covering plant and animal disease (EMPRESS) and livestock in 2005
- Ethiopia was a case study country for the evaluation of FAO Country Programming, including the NMTPF Mechanism.

In terms of regional projects (annex 3), Ethiopia has been the technical nucleus for the development of the Livestock Emergency Guidelines (LEGS) which have been developed by FAO together with a range of partners (in particular Tufts University). The IGAD livestock policy initiative (GCP/INT/963/EC) is based in the FRET/SAFE office. Amongst the 45 regional projects, other activities that appear to have had a particular focus on Ethiopia¹³ include:

Project Code	Project Title
GCP /INT/945/ITA GCP MTF /INT/195/IWM	Information Products for Decisions on Water Policy and Water Resources Management in the Nile Basin - Follow-up to GCP/INT/752/ITA
OSRO/RAF/801/EC	Regional Support Programme for the coordination and capacity strengthening for disaster and drought preparedness in the Horn of Africa.
OSRO/RAF/915/RRF	Livelihood support to Eastern African populations affected by the dual shocks of drought and the global economic crisis (2009 ORC 304)
OSRO/INT/703/JPN	Emergency response to control a Desert Locust outbreak in the Central Region

¹² A desk review/synthesis of thematic evaluations that are relevant to Ethiopia has been prepared and is available to the team.

¹³ Regional/global projects still under analysis.

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OSRO/RAF/614/SWE	Immediate support to agro-pastoral communities as a drought mitigation response & Strengthening Emergency Preparedness and Response Information Systems Phase II
TCP/RAF/3013	Regional and subregional capacity building for the exchange of official phytosanitary information under the New Revised Text of the IPPC
OSRO/RAF/913/EC	Regional Support Programme for the coordination and technical supervision of disaster and drought risk reduction in the Horn of Africa.
MTF /INT/195/IWM	Agricultural Water Management Landscape Analysis
MTF /RAF/434/CFC	Wealth Creation through Integrated Development of the Potato Production and Marketing Sector in Kenya, Uganda and Ethiopia - CFC/FIGG/39 (Supervision of CFC/FIGG/39 potato project in East Africa)
MTF /INT/074/AU	Somali Ecosystem Rinderpest Eradication Coordination Unit (SERECU) Project II
TCP/RAF/3302	Implementation of the Great Green Wall for the Sahara and Sahel Initiative
TCP/RAF/3301	Support to capacity building to promote formal marketing and trade of livestock and livestock products from the Horn of Africa
GCP /GLO/216/SPA BABY06	FAO Initiative on Soaring Food Prices (ISFP) - Wheat Rust Response
OSRO/RAF/722/SWE , OSRO/RAF/718 /USA, OSRO/GLO/605/OPF, TCP/RAF/3017, OSRO/GLO/504/MUL	ECTAD/HPAI work
GCP /INT/977/WBK, (OSRO/RAF/913/EC, OSRO/RAF/614/SWE , OSRO/RAF/801/EC	Management of Pesticides
OSRO/ RAF/706/USA, OSRO/RAF/907/EC	Warning/surveillance/food security information system
TCP/RAF/3107, TCP/RAF/2924, TCP/RAF/2917	AU/NEPAD on country CAADP development

The main donors to FAO's work in Ethiopia have been the Government of Ethiopia, Norway, OCHA, Italy, Spain, USA/OFDA, Ethiopia, Belgium, the European Union and the Netherlands. In addition, FAO has engaged in strategic dialogue with a number of these donors in particular the Netherlands, USA and Japan.

4. Key evaluation areas and questions

The independent evaluation will follow standard procedures for exhaustive evaluations by considering the broad areas of relevance, effectiveness, efficiency, impacts (where possible), and the

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sustainability of these. In addition the broad issues of gender mainstreaming, social inclusion and coverage, partnership and coordination and environmental conservation will be included.

These key themes of the evaluation will be considered at the overall programmatic level, as well as at project level in as many cases as possible.

Specific impact assessments will be conducted in two broad areas, notably for the Belgian-supported project on Improving Nutrition and Household Food Security (Phase II GCP/ETH/056/BEL), and the livestock emergency interventions in the pastoralist Afar and Oromia regions (see annex X for specific TORs).

Below are some candidate areas that will be of particular concern to the evaluation team.

a. Relevance

- i. Are the components of FAO's Cooperation with Ethiopia addressing beneficiaries' needs, Government's priorities and donors' policies that motivated it? Which beneficiaries? How coherent is FAO with the PASDEP? How has FAO positioned itself vis-à-vis Government, donors, civil society and private sector in terms of its comparative advantage?
- ii. How coherent is the FAO's strategy internally? Is the new NMTPF coherent with FAO's new corporate strategy?
- iii. Have FAO interventions been designed to ensure optimal synergy between emergency and development work? To what extent has a disaster risk management approach influenced the country programme design? How balanced has FAO analysis been in terms of addressing both food insecurity and economic growth needs?
- iv. What is the quality of FAO intervention designs – is the internal logic sound enough to allow for the achievement of the desired results?
- v. To what extent has FAO analysed the needs and priorities of different groups (including males/females) and to what extent is this reflected in a differentiated strategy to respond appropriately?

b. Effectiveness

- i. What has been the performance of the FAO representation office in Ethiopia? The FAOR plays multiple roles including acting as FAO's representative to the African Union (responsibility now transferred to Accra), heading the sub-regional office inter-disciplinary team, and providing technical support to country programmes in the region in his capacity as senior policy officer within the team. How have these multiple roles affected the ability to provide strategic guidance, advice and oversight to the country programme and member state?

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- ii. How has the proximity of the Ethiopia representation to the SFE office affected the performance of the Ethiopia programme? What role have HQ technical units played?
- iii. Have synergies been created between FAO development and emergency interventions at country level?
- iv. How effective has advocacy by the FAO Representation been, both with the Government and with other development partners in influencing national strategy, policy and prioritization in favour of rural development and food security? In particular, how effective has FAO's involvement been in the PASDEP, national Food Security Programme, Ethiopia Strategic Investment Framework for Sustainable Land Management and the Agriculture Development Lead Industrialization (ADLI) Strategy?
- v. To what extent has FAO played a facilitating or leadership role (NGO-UN-Govt-Donor-Investors) at national and regional level? Within communities of practice, how effective has FAO been in networking and bringing their corporate comparative advantage to bear?
- vi. How effective have FAO partnerships been? In particular, what has FAO's contribution been to the UNDAF process? How has FAO built on partnerships and experiences and expertise in Ethiopia in the development of the Livestock Emergency Guidelines (LEGS)? How effective are FAOs partnerships with WFP in addressing acute and chronic food insecurity? What lessons have been learned from FAO's efforts in sustainable land management? How has partnership with the World Bank contributed to the consolidation of FAO efforts in the area of disposal of obsolete pesticides?
- vii. What outcomes (changes in knowledge, attitudes and practices) are visible as a result of FAO's work?
- viii. How has FAO information, analysis and technical support influenced strategy, policy and programming in Ethiopia?
- ix. How effective is the existing monitoring system? What innovations and good practices have been identified? To what extent have these been disseminated and scaled up?
- x. What change has FAO contributed to in terms of gender and social equality, including participation in project design and activities, access to project resources and benefits, and more broadly visibility of women's and minority groups' in development processes;
- xi. How effective was FAO's advocacy and fundraising in attracting investment (both for FAO and for the country as a whole) for priority food security and agricultural investment needs?

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- xii. Is FAO communicating effectively with the Ethiopian stakeholders, with donors and with its ultimate beneficiaries?
- c. Efficiency
 - i. To what extent are programme inputs (materials, funds, advice and staff) delivered in a timely and cost efficient way? Are management systems optimal for delivering the desired outputs? Is FAO staffing appropriate for delivering on the programme?
 - ii. How efficient are FAO partnerships (with GoE, with NGOs, under the UNDAF and One UN initiatives)?
 - iii. Has FAO engaged with the best and most appropriate partners in order to operate effectively in its field of comparative advantage?
 - iv. What programme tools and funding mechanisms are in place to efficiently manage the large portfolio of work underway? Is the NMTPF an effective and appropriate planning tool? What linkages exist between the NMTPF, TCE Plan of Action and individual project plans?
 - v. Are current Ethiopia country and SFE sub regional office arrangements satisfactory and favour greater efficiencies in FAO?
- d. Impacts
 - i. What have been the impacts of the programme on households, institutions and organizations in terms of food security, poverty/income and capacity development? Have there been any unintended impacts of the programme?
- e. Sustainability
 - i. To what extent will interventions result in benefits that will continue after the interventions cease? What is the extent of national participation and ownership in the interventions? Are the interventions financially and technically sustainable?
 - ii. What contributions is the Government of Ethiopia making to the programme? Is their contribution in line with agreed co-participation arrangements?

5. Evaluation Team

The evaluation team comprises the following membership:

Name	Nationality	Specialty	Role in the Team
Brian Perry	British (Kenya resident)	Programme evaluation, processes of poverty reduction,	Team Leader. Animal health interventions of FAO in Ethiopia. Gender in FAO animal health related work Supervision of the impact assessment of FAO's

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		epidemiology. Animal Health	humanitarian livestock sector responses in pastoral regions.
James Gasana	Rwanda	Policy, Development and Forestry. Conflict resolution. Evaluation	Natural resource management (forestry, environment, water management, rangeland management, disposal of obsolete pesticides) policy, normative and operational support. Policy Assistance. Gender in FAO NRM related work.
Robert Tripp	American	Applied agricultural anthropology and economics. Farming systems. Seed systems.	Crop production (productivity enhancement) and protection, seeds systems work. Public-private interface. Crop marketing. Gender in FAO crop production sector work. Policy, normative and operational support.
Tesfaye Kumsa	Ethiopian	Livestock Production.	Animal Production (productivity enhancement), marketing and trade. Public-private interface. Policy, normative and operational support. Gender in FAO livestock sector work.
Yewubdar Kassa	Ethiopian	Policy and economics	Relevance of FAO work with respect to national priorities. FAO support for investment in economic growth. Gender analysis
Tsukasa Kimoto	Japanese	Management and Operations. UN system.	Operational Capacity of FAOR and sub offices. Effectiveness and efficiency of operational support from SFE and HQ. Cost effectiveness of inputs and procurement systems. Human resources. Efficiency and effectiveness of partnerships. Optimization of resources across the programme.
Lori Bell	Canadian	Evaluation tools and methods, epidemiology & biostatistics. Food security information systems.	OED Evaluation Manager responsible for planning/preparation and quality control of the independent evaluation exercise. Food Security and Nutrition programming. Supervision of BSF impact assessment. Analysis of preparedness, emergency response and recovery/development transitioning.

6. Approach to be taken

The evaluation will draw its conclusions and make its recommendations based the evidence presented, and will make an independent assessment of the relevance, efficiency, effectiveness, impacts and sustainability of FAO programmes in, and cooperation with, Ethiopia. The evaluation will use a range of tools and methods, including wide stakeholder consultations, key informant interviews, focus group interviews, household surveys, desk studies and interactive visits to field sites in which FAO and its partners are active. The team will adopt a consultative approach, seeking and sharing opinions with stakeholders. The triangulation of information across stakeholders will be a key tool for gathering and validation of evidence.

Anticipated challenges and opportunities:

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- The current FAO R retires from his position in August. The Team Leader and Evaluation have held meetings with the outgoing FAO R, and discussed strengths and weakness of FAO's programmes. The FAO R is preparing a terminal report which will be of benefit to the team.
- The opportunity presented by this is that the incoming FAO R will have the evaluation team report to allow him/her to adjust and strengthen FAO's contributions as appropriate on assuming the new role.

Phase 1. Preparation

Given the significant investment in Ethiopia, and the large number of different projects and programmes in operation over the period 2005 – 20010, an in-depth preparatory phase has been undertaken.

The first phase has involved:

- i. A review of key documentation and materials available on the FAO's Field Programme Management Information System and FAO technical websites;
- ii. Wide ranging discussions with FAO Staff, both at HQ and in Ethiopia;
- iii. Desk reviews of projects and programmes;
- iv. Recruitment of team members;
- v. Preliminary visits to Ethiopia

The Evaluation Manager Lori Bell paid two short visits to Ethiopia in March and May 2010 to make contact with FAO officials, and to interview potential collaborators on the Nutrition and Food Security project impact assessment.

Phase 2. Inception

During this period the Team leader was recruited and began to review evaluation and related FAO Ethiopia programme documentation. An inception mission to Ethiopia by the Team Leader and the Evaluation Manager took place on 12 – 19 June 2010. The objectives of the inception mission were:

- To brief the FAO R, FAO country and regional office staff, Ethiopia government officials (particularly in the MOARD), UN partners, donors, NGOs, collaborating projects and other key stakeholders on the impending country evaluation, and to seek feedback on key issues that deserve the attention of the evaluation team
- To discuss two candidate impacts assessments to be undertaken prior to the evaluation (of Improving Nutrition and Household Security in Northern Shoa and Southern Tigray; and of selected livestock emergency interventions in the pastoralist areas of the Afar and Oromia regions.
- To start planning the timetable for the evaluation mission in September including the identification of potential national experts for the team.

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- To gather key documentation and additional perspectives of country level stakeholders to further refine the scope and focus of the evaluation.

A full itinerary of the meetings arranged, and listing of people met can be found in Appendix 5.

Phase 3. Pre-Studies/Analysis

- Prior to the main mission, an expert will undertake a critical desk review of FAO's work in management and disposal of pesticides. This will be complemented by field verification during the main evaluation mission.
- Desk reviews of OED independent evaluations that have included Ethiopia will be carried out to synthesize the main findings, conclusions and recommendations.
- All project documentation, including progress and final project reports, and documented project outputs, will be compiled and made available to team members.
- Each team member will prepare a 5-page desk review summary in the weeks prior to the mission which will examine key opportunities and challenges in Ethiopia and FAO work within their specific sector or field of expertise that will contribute to the final evaluation framework.
- Impact assessments (IA) on the effectiveness of food security (Tigray/Amhara regions) and livestock (Afar and Oromia regions) interventions using both qualitative and quantitative methods will provide the evaluation team with information on sustainable livelihood and institution building outcomes.

Phase 4. Main Field Mission

The approach to the evaluation will include the following:

- *Interviews with Programme Stakeholders in Rome*

The team will travel to Rome during the week of 6th September to interview FAO staff involved in the Programme. At the same time, the team will further elaborate the evaluation framework.

- *Team briefing in Addis Ababa*

The full team will meet on 11th and 12th September for a briefing on the mission, and to further elaborate the evaluation framework.

- *Documentation review*

The team will continue reviewing the extensive documentation available, and assembling a structured inventory of documents covering the different facets of FAO's programmes in Ethiopia.

- *Interviews and Field visits*

The evaluation mission, involving the entire team, will take place over a 3 week period in September 2010. Field visits will be undertaken to verify information collected through other channels as well as

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to obtain the views of primary beneficiaries. Locations for field visits will be selected based on a desire to review a broad cross section of FAO current activity across core functions. A tentative programming for field visits is presented in a separate attachment.

- *End of mission de-briefing*

At the end of the mission, the team will present its preliminary observations in a debriefing session with the FAOR, senior programme/project staff, key Government counterparts and interested partner representatives. This will be used to obtain feedback from stakeholders on the findings of the evaluation. The team leader will make a similar presentation to FAO headquarters stakeholders immediately following the mission.

- *Final evaluation report*

A final report will be prepared by the evaluation team. The team leader is responsible for consolidating and finalizing the report. A draft outline of the final report is provided in Appendix 6. The draft final report will be shared with FAO for comments and clarifications before finalisation.

- *Dialogue with the Consultative Group*

A Consultative Group (CG) composed of representatives nominated by FAO, donor and affected countries and major partners has been established. During the initial visit of the Team Leader to FAO headquarters in June, a meeting of the consultative group was convened, at which the team leader and evaluation manager presented the plan for the evaluation, and discussed and responded to issues made by the CG membership. A meeting of the CG will be held after the mission during the finalisation of the report.

- *Evaluation criteria and framework for evaluation*

The team will develop an evaluation framework that will be progressively refined prior to the evaluation process in-country. A draft matrix summarizing this framework is presented in Appendix 4.

In broad terms, FAO's performance will be evaluated against the FAO corporate objectives, the draft NMTPF, and the 4 Strategic Pillars developed by FAO in Ethiopia under the new NMTPF (1: Policy advocacy for balanced developmental interventions and for accelerated production and productivity enhancement; 2: Sustainable natural resources management; 3: Enhancing public and private investment in agriculture and rural development; 4: Seeking early and sustainable exit from persistent dependence of food security on emergency assistance).

- *Key Stakeholders in the Evaluation*

The incoming FAOR, management within the Emergency and Rehabilitation Division (TCE) and the new Ethiopian government will be key target audiences for the evaluation report. Ethiopia is a federal state and regional governments enjoy a high level of autonomy. FAO has worked extensively at regional levels and so regional governments will be key stakeholders. The main donors to the FAO Ethiopia programme will also be important stakeholders. The ultimate stakeholders and beneficiaries of the evaluation are rural farmers in Ethiopia – and in particular smallholders, marginalized pastoralists, and food insecure groups.

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Sister UN agencies (including in WB, WFP, OCHA, and IFAD), in particular those with which strategic interventions in the area of food security and agricultural growth are deemed important. WFP as co-chair with FAO of the humanitarian food security cluster and because of their significant presence in the national safety net programme, land management and market interventions in agriculture¹⁴ is a particularly important external stakeholder to this evaluation.

The different categories of stakeholders to be consulted are listed below:

- ❖ FAO staff in HQ (in particular the TC Country Focus Team), at the Regional Office for Africa in Accra and the sub-regional office for the Horn of Africa in Addis Ababa who have been involved with support to FAO activities in Ethiopia;
- ❖ FAO regional emergency office for Africa (REOA) and ECTAD Regional Unit in Nairobi
- ❖ Ministry of Agriculture and Rural Development
 - Agricultural Development
 - Agricultural marketing
 - Natural Resource Management
 - Early Warning, Response and Food Security
- ❖ Affiliated institutions (Biodiversity, Grain trade, seed enterprises, etc.)
- ❖ Central Statistics Agency
- ❖ Regional administrations
- ❖ Ministry of Finance and Economic Development
- ❖ Ministry of Water Resources
- ❖ Ministry of Federal Affairs
- ❖ UN Agencies
 - UNDP, OCHA, WFP, UNICEF, WHO, etc.¹⁵
- ❖ NGOs
 - Farm Africa, Save the Children UK and USA, etc. There are over 700 NGOs operating in Ethiopia¹⁶, key partners with FAO programmes will be interviewed during the evaluation mission.
- ❖ Foreign governments and bilateral donor agencies
 - Norway/NORAD, the Netherlands, DFID, EU, Italy, Belgium, USAID, CIDA, SIDA

¹⁴ MERIT programme, Purchase for Progress, weather based farmer indexes, etc.

¹⁵ http://www.unethiopia.org/UN_Agencies.aspx

¹⁶ <http://ethiopiabook.com/particular-services/nongovernmental-organization-ngo/>

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- ❖ Other organisations and projects
 - Tufts University, Texas A&M University SPS-LMM Project, etc.
 - CGIAR Institutes operating in Ethiopia (such as IFPRI, CIMMYT, etc.).
 - EHNRI, EIAR
- ❖ Ultimate beneficiaries (farmers/pastoralists, consumers, value chain stakeholders, public and private sector actors and their organizations)
- **Key sources of Data:**
 - ❖ A portfolio analysis and review of project documentation, progress reports and terminal reports, budgets and financial reports for the regular and extra budgetary activities, procurement reports, the FAOR annual report. Back to office reports from FAO backstopping missions. Independent evaluation reports.
 - ❖ Interviews with internal stakeholders at FAO HQ, RAF, SFE and country level.
 - ❖ Interviews with external stakeholders at regional (Nairobi) and country level (government, donors, direct and indirect project beneficiaries, civil society partners, UN partners, other organizations offering similar types of support/engaged in the sector).
 - ❖ Documentation related to contextual analysis (EIU, needs assessments, national surveys and studies related to FS, rural development and agriculture, MDG reports).
 - ❖ Government policies and strategies.
 - ❖ Household surveys, focus groups and key informant interviews at community level.
 - ❖ Expert observations
- **Evaluation Timetable**

<i>Preparation Phase (Feb-May/2010)</i>	<i>Dates (2010)</i>
<i>Initial informal consultations with internal stakeholders, scoping of evaluation and definition of an initial set of key issues</i>	<i>Feb/Mar</i>
<i>Collection of key project documents, review of existing evaluations and related Ethiopia literature. Portfolio analysis.</i>	<i>Feb/Mar</i>
<i>Draft Terms of Reference and budget prepared. Design of protocol for impact assessment.</i>	<i>April</i>
<i>Advertise/head hunt for evaluation team member candidates</i>	<i>April</i>
<i>Inception Mission to Ethiopia</i>	<i>June 14-18</i>
<i>Evaluation Phase - (Jun-Sept 2010)</i>	

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<i>Desk review and analysis (budget overviews, budget summaries, review of relevant literature, summary of existing relevant evaluation findings, inventory of related projects and outputs, etc)</i>	<i>June</i>
<i>Team Leader Inception Report written and circulation to key stakeholders. Preparation of the evaluation matrix and evaluation tools/instruments. Selection and contracting of team.</i>	<i>July</i>
<i>Implementation of Impact Assessments and Expert desk review (Pesticides)</i>	<i>Aug-Sept</i>
<i>Briefing of the evaluation team (desk and in HQ)</i>	<i>23 Aug-</i>
<i>- all team members to be in Rome by 7th Sept for meetings beginning 8th.</i>	<i>10 Sept</i>
<i>Evaluation mission to Ethiopia</i>	<i>11 Sept to 1 Oct</i>
<i>Report Writing and Dissemination Phase – (Oct-Dec 2010)</i>	
<i>Prepare draft report, circulation and review by team members</i>	<i>Oct</i>
<i>Review and Comments by stakeholders</i>	<i>Nov</i>
<i>Final Report and dissemination activities</i>	<i>Dec</i>
<i>Management Response</i>	<i>Jan 2011</i>

05/04/2011

Appendix 1. Terms of Reference

Appendix 2. Country and Global/Regional Portfolio analysis and tables.

Appendix 3. Evaluation team

Appendix 4. Inception Mission Programme and Persons Met

Appendix 5. Matrix of the evaluation framework

Appendix 6. Terms of reference for the impact assessment of emergency livestock interventions

Appendix 7. Draft outline of the final report to FAO

Appendix 1: Terms of Reference

COUNTRY EVALUATION – FAO ETHIOPIA COOPERATION

TERMS OF REFERENCE

Introduction

The evaluation of FAO's Cooperation in Ethiopia is part of a series of country evaluation that started in 2006. Since then eight country evaluations have been carried out and two synthesis reports drawing common conclusions and lessons from like-type country evaluations have been presented to the Programme Committee. Country-focused evaluation examines the totality of FAO's work, including national projects, country participation in regional and global projects, use made of normative products and performance of the FAO country representation. The key considerations in these evaluations are the utility of the Organization's work to the Member Country and the extent to which this draws on FAO's comparative advantages.

Ethiopia has been selected as the focus of a country evaluation during 2010. The terms of reference have been prepared after an initial review of the country context and portfolio of FAO projects in Ethiopia over the period 2005-2009 and following exploratory discussions with key internal stakeholders including the FAOR, TCEO and some of the main technical units who provide backstopping to the Ethiopia programme. The purpose of the terms of reference is to describe the Ethiopia programme and identify some of the key areas of work undertaken over the last five years, to table the scope of the evaluation, and to define an initial evaluation workplan. The terms of reference are preparatory to the inception mission – which will result in a report which will further elaborate the scope and key issues, tools and methods to be employed and resource requirements.

Subject of the Evaluation

Ethiopia has a population of just over 80 million people, approximately 80% of which gain their livelihoods directly or indirectly from agriculture (including livestock). Within agriculture, crops comprised 30% of GDP, livestock 9% and forestry 4%. Production remains mainly rainfed at a peasant, smallholding level. While agriculture accounts for almost half of the national GDP and economic growth in Ethiopia is higher than other countries in the region, recurrent droughts/ climate change, soil degradation and land tenure barriers negatively affect food security. Most food-insecure areas are found in the eastern marginal cropping zones of eastern and southern Tigray, eastern Amhara and lowland areas of eastern Oromia, pastoral zones of Afar, northern and southeastern Somali region, Gambela region and most low-lying zones of southern and central SNNPR. With a large population to feed, Ethiopia suffers from a structural food deficit. On average 10% of the population are benefiting from social assistance and Ethiopia has been the site of a major national safety net experiment in which 5 million people per year now receive a mix of cash and food assistance. In addition the safety net programme is building a portfolio of drought-financing instruments, including an Ethiopia-specific contingency fund, a contingency credit with the World Bank/IMF, and weather-based insurance schemes. It is hoped that a combination of all of these will limit the need for annual emergency appeals to extreme circumstances only (EIU report).

The strategic framework for Ethiopia has been in place for the past five years; the Plan for Accelerated and Sustained Development to End Poverty (PASDEP), runs from 2006/07 to 2010/11. Donor ODA to Ethiopia totals approximately US\$ 1 billion/year. Elections in Ethiopia will be held in April 2010; most forecast predict that the results will maintain the status quo. Linked to the PASDEP, the UNDAF 2007-2011 was developed with participation of FAO - with FAO contributing specifically in the definition of the cooperation strategy for enhanced economic growth. The Government has also formulated a National Food Security Programme covering the period 2005-9 which includes productive safety nets, household asset building, and voluntary resettlement components. The World Bank is commissioning an independent evaluation of the NFSP in 2010 and a new NFSP is currently under formulation.

The FAO programme in Ethiopia consists of a full representation housed within the sub-regional office (SFE). There are approximately 100 staff dedicated to the implementation of the Ethiopia programme based in the FAOR or field locations of which over half are TCE recruited and managed under the emergency coordination unit. In addition, a dozen posts are cost-shared with the SFE office. The SFE office also includes 19 officers within the multi-disciplinary team and support staff plus 7 regional project staff which can be drawn upon by the FAO Ethiopia programme for technical backstopping and support. The current FAOR has been in post for three years and is also the Coordinator for SFE as well as representative to a number of regional bodies with headquarters in Addis Ababa (such as ECA, African Union). The NMTPF was drafted in 2009 and, at the time of this report is with the government for ratification. The current FAOR is due to retire in August 2010 and at the time of writing of the TOR, it appears unlikely that there will be a new FAOR in place during the field mission of the evaluation.

The Ethiopia programme total delivery over last five years includes just under US\$ 1 million of regular programme funding principally used for covering the FAOR costs and US\$ 65 million worth of extra-budgetary project funding (94 Ethiopia dedicated projects¹⁷). Additional support has been provided through 49 regional/global projects which have included Ethiopia as a recipient country. It appears from an analysis of project expenditure, that roughly half of the programme is managed by TCE and covers the more vulnerable lowland areas – while the other half are more developmentally focussed interventions in the highlands, managed either by the FAOR or a relevant technical division. Emergency relief activities have responded to natural disasters (floods and droughts) and have often consisted of distribution of agricultural inputs.

Of the 94 projects implemented exclusively in Ethiopia over the past 5 years (Annex 1), projects totalling over US\$ 2 million include: (those still operationally active are indicated in bold).

- GCP/ETH/060/BEL – Improving Nutrition and Household Food Security in Northern Shoa & Southern Zone of Tigray (Phase II GCP/ETH/056/BEL)
- UTF /ETH/066/ETH – Coordination and Management of Services for the Disposal of Obsolete Pesticides in Ethiopia - Phase II (a Nationally Executed Project)
- GCP /ETH/062/NOR – Strengthening Seed Supply System at the Local Level

¹⁷ Including a dozen national TCPs.

- GTFS/ETH/067/ITA – Crop Diversification and Marketing Development Project (TF Component: Food Security)
- GCP /ETH/069/NOR (FAO-Seed Security Project (Phase II) - Strengthening Seed Supply Systems at the Local Level),
- OSRO/ETH/813/EC – Improved availability and use of suitable seed varieties and other agricultural inputs for smallholder farmers in Ethiopia.
- GCP /ETH/071/EC – Support to Food Security Information System in Ethiopia
- OSRO/ETH/402/NET – FAO programme for emergency and smooth recovery assistance to drought affected farmers in Ethiopia
- OSRO/ETH/601/MUL – Urgent Intervention for the Early Detection, Prevention, and Control of Avian Influenza in Ethiopia

Of these projects, two projects (071/EC and 060/BEL) have had independent evaluations – although the second project has been extended and the original budget increased to US\$ 5.4 million since the evaluation of phase 1. A number of other important thematic evaluations have also included Ethiopia, including the 2009 evaluation of FAO's work in Capacity Development, the 2007 Evaluation of FAO's Emergency & Rehabilitation Assistance in the Greater Horn of Africa, the real-time evaluation of FAO's HPAI interventions, and two evaluations covering plant and animal disease (EMPRESS) and livestock in 2005. Finally, Ethiopia has been selected as a case study country for the upcoming evaluation of FAO Country Programming, including the NMTPF Mechanism.

Some of the main technical areas of focus for FAO Ethiopia include plant production and protection (including desert locust), irrigation, animal production and health, nutrition, food security information and agricultural statistics (including early warning for HPAI). Other important areas of intervention have been the environment/natural resource management (including land tenure, forestry and disposal of obsolete pesticides) and support for policy formulation and agricultural investment. (source: FPMIS)

In terms of regional projects, Ethiopia has been the technical nucleus for the development of the Livestock Emergency Guidelines (LEGS) which have been developed by FAO together with a range of partners (in particular Tufts University). The IGAD livestock policy initiative (GCP/INT/963/EC) is based in the FRETH/SFE office. Amongst the 49 regional projects, other activities that appear to have had a particular focus on Ethiopia¹⁸ include the wheat rust programme (GCP /GLO/216/SPA), ECTAD/HPAI work (OSRO/RAF/722/SWE, OSRO/RAF/718 /USA, OSRO/GLO/605/OPF, TCP/RAF/3017, OSRO/GLO/504/MUL), the World Bank African Stockpiles Programme (GCP /INT/977/WBK), regional initiatives to tackle regional water resource management issues (GCP /INT/945/ITA, MTF /INT/195/IWM), several regional disaster risk management/risk reduction related projects (OSRO/RAF/913/EC, OSRO/RAF/614/SWE, OSRO/RAF/801/EC) and early warning/surveillance/food security information system activities (OSRO/ RAF/706/USA, OSRO/RAF/907/EC) and regional work with the AU/NEPAD on country CAADP development (TCP/RAF/3107, TCP/RAF/2924, TCP/RAF/2917)

¹⁸ Regional/global projects still under analysis.

The main donors to FAO's work in Ethiopia have been the Government of Ethiopia, Norway, OCHA, Italy, Spain, USA/OFDA, Ethiopia, Belgium, the European Union and the Netherlands. In addition, FAO has engaged in strategic dialogue with a number of these donors in particular the Netherlands, USA and Japan.

Purpose of the Evaluation

The Ethiopia Country Evaluation aims at improving the relevance and performance of FAO interventions, providing accountability and deriving lessons for better formulation and implementation in future. It must provide stakeholders with a systematic and objective assessment of the relevance, efficiency, effectiveness, impact and sustainability of the interventions, as well as of their performance in relation to gender mainstreaming and social inclusion.

Key Stakeholders to the Evaluation

This list will need to be more fully developed during the inception mission. The incoming FAOR, management within the Emergency and Rehabilitation Division (TCE) and the new Government will be key target audiences for the evaluation report.. Ethiopia is a federal state and regional governments enjoy a high level of autonomy. FAO has worked extensively at regional level and thus regional government is considered a key stakeholder. The main donors to the FAO Ethiopia programme (listed above) will be important stakeholders.

Sister UN agencies (including in WB, WFP, OCHA and IFAD) and in particular those with whom strategic interventions were identified in the context of the UNDAF will need to be consulted.

Scope of the Evaluation

The evaluation will cover the totality of FAO's work in Ethiopia encompassing all activities providing direct support to the country, irrespective of the source of funding (Regular Programme or extra budgetary resources) or from where they are managed (HQs, Regional Office or the FAOR) during the period 2005- 2009. The evaluation will also include an assessment of the activities of the FAO representation which are not necessarily carried out through projects, as well as an examination of its capacity to perform efficiently and effectively.

Evaluability/Logic Model

At the preparation stage of this evaluation, evaluability assessment is identified as problematic due to the lack of an operational NMTPF, which would normally act as a framework against which to evaluate FAO performance. Discussion with the FAOR suggests that the UNDAF may serve to some extent as a substitute at a macro/strategic level. Generic logframes will need to be extracted/developed from some of the main sectoral areas of intervention through a review of project documentation. The existence of a number of independent evaluations that have covered aspects of FAO's work in Ethiopia is considered positive and enhances evaluability – as does the existence of substantial monitoring data for some of the food security related interventions.

Constraints Identified

- Elections in May 2010 and potential changes in Government.

- Imminent departure of FAOR (retiring) in August 2010

Evaluation Questions

The evaluation will consider the extent to which FAO's cooperation with Ethiopia over the past five years has been relevant, effective, and efficient, the extent to which impacts on households and institutions is evident, and whether such benefits are likely to be enduring. In addition, some specific questions which have arisen from initial scoping interviews include the following:

1. Relevance: Are the components of FAO's Cooperation with Ethiopia addressing beneficiaries' needs, Government's priorities and donors' policies that motivated it? Which beneficiaries? In particular, how effective has FAO's involvement been in the PASDEP and NFSP¹⁹.
2. Relevance: How coherent is the FAO's strategy internally? Is the new NMTPF coherent with FAO's new corporate strategy?
3. Relevance: What is the quality of FAO intervention designs – is the internal logic sound enough to allow for the achievement of the desired results?
4. Effectiveness: What has been the performance of the FAO representation office in Ethiopia? The FAOR plays multiple roles including acting as FAO's representative to the African Union, heading the sub-regional office inter-disciplinary team, and providing technical support to country programmes in the region in his capacity as senior policy officer within the team. How have these multiple roles affected his ability to provide strategic guidance, advice and oversight to the country programme and member state?
5. Effectiveness: How has the proximity of the Ethiopia representation to the SFE office affected the performance of the Ethiopia programme? What role have HQ technical units played? Have synergies been created between FAO interventions development and emergency interventions at country level?
6. How effective has advocacy by the FAO Representation been, both with the Government and with other development partners in influencing national strategy, policy and prioritization in favour of rural development and food security? To what extent has FAO played a facilitating or leadership role (NGO-UN-Govt-Donor-Investors) at national and regional level. Within communities of practice, how effective has FAO been in networking and bringing their corporate comparative advantage to bear?
7. Effectiveness: How effective have FAO partnerships been? In particular, what has FAO's contribution been to the UNDAF process? How has FAO built on partnerships and experiences and expertise in Ethiopia in the development of the Livestock Emergency Guidelines (LEGS)? What lessons have been learned from FAO's efforts in sustainable land management? How has partnership with the World Bank contributed to the consolidation of FAO efforts in the area of disposal of obsolete pesticides?

¹⁹ The PASDEP is the national strategic development framework. The National Food Security Programme (NFSP) has three components: the productive safety net programme/PNSP, other food security programme/OFSP, and resettlement programme/RP.

8. Effectiveness: How effective is the existing monitoring system? What innovations and good practices have been identified? To what extent have these been disseminated and scaled up? How has FAO information, analysis and technical support influenced strategy, policy and programming in Ethiopia?
9. Coverage: How great has the coverage of the benefit been compared to the overall needs? Who has benefited? In particular, how have females participated in and benefited from the FAO programme?
10. Efficiency: To what extent are programme inputs (materials, funds, advice and staff) delivered in a timely and cost efficient way? Are management systems optimal for delivering the desired outputs? How have partnerships impacted on programme delivery and efficiency?
11. Impact: What have been the impacts of the programme on households, institutions and organizations in terms of food security, poverty/income and capacity development? Have there been any unintended impacts of the programme?
12. Relevance: Have FAO interventions transitioned appropriately from emergency to development?
13. Sustainability: To what extent will interventions result in benefits that will continue after the interventions cease? What is the extent of national participation and ownership in the interventions? Are the interventions financially and technically sustainable?
14. Sustainability: What contributions is the Government of Ethiopia making to the programme? Is their contribution in line with agreed co-participation arrangements?
15. In what ways has FAO contributed to strengthened capacity at decentralized levels (regional, community) to plan, coordinate and deliver agricultural and livestock services and create livelihood opportunities for rural families? To what extent and in what capacity have direct beneficiaries been involved in FAO interventions?

The inception mission (June 14-18, 2010) will further define key issues and questions which will be incorporated within final version of the TOR and the evaluation matrix which will guide the work of the independent evaluation team. While it is not necessary that FAO's work in Ethiopia responds to all of the corporate objectives and core functions of the organization, the evaluation will examine the relative balance within the portfolio and the extent to which the organizations comparative advantage has been brought to bear at country level.

Evaluation Methodology and Organization

The evaluation will draw its conclusions and recommendations based on the evidence found and make its independent assessment of the relevance, efficiency, effectiveness and impact of FAO cooperation with Ethiopia as a whole, in each area of focus and on key services provided by FAO, including capacity building, applying and sharing knowledge, partnership building and resource mobilization.

The evaluation will use a range of tools and methods, including stakeholder consultations through workshops and semi-structured interviews with check lists, desk studies and field visits, among others.

The evaluation will adopt a consultative approach whenever possible, seeking and sharing opinions with stakeholders. Triangulation of information across stakeholders will be a key tool for gathering and validation of evidence. Stakeholders include:

- FAO staff in HQ, at the Regional Office for Africa in Accra and the sub-regional office for the Horn of Africa in Addis Ababa who have been involved with support to FAO activities in Ethiopia;
- FAO regional emergency office for Africa in Nairobi (REOA)
- FAO programme/project staff in Ethiopia;
- Government staff at policy and implementation level;
- UNCT members;
- Donors; and
- NGOs and civil society organisations, and ultimate beneficiaries.

Prior to the main mission, an expert will be recruited to undertake a critical desk review of FAO's work in disposal of obsolete pesticides. This will be complemented by field verification during the main evaluation mission.

Impact assessments (IA) on food security (Tigray) and livestock (Afar/Somali region) interventions will provide the evaluation team with information on any livelihood changes for the beneficiary population which FAO work has contributed to (the methodology of the impact assessments will be included as an annex to the report).

Desk reviews of OED independent evaluations that have included Ethiopia will be carried out to synthesize the main findings, conclusions and recommendations. This will be complemented by a literature review of project documentation including progress and final project reports, and of documented project outputs.

At the beginning of the mission, an internal briefing session in Rome will allow all team members to have access to information on FAO as a global organization, on evaluation methods and approaches and on respective tasks of team members in the mission. A briefing will also be organized in Addis Ababa with the FAOR and senior programme and project staff, to inform team members of the overall programme of FAO in Ethiopia.

An evaluation mission, involving the entire team, will take place over a 3 week period in September 2009. Field visits at regional levels will be undertaken to verify information collected through other channels as well as to obtain the views of primary beneficiaries. Locations for field visits will be

selected based on a desire to review a broad cross section of FAO current activity across core functions,

At the end of the mission, the team will give its preliminary overall results and recommendations in a debriefing session with the FAOR, senior programme/project staff, key Government counterparts and interested partner representatives. This will be an occasion to obtain feedback from stakeholders on the findings and recommendations of the evaluation, although the final draft report will also be circulated for comments and suggestions.

Sources of Data:

- portfolio analysis and review of project documentation, progress reports and terminal reports, budgets and financial reports for the regular and extra budgetary activities, procurement reports, the FAOR annual report. Back to officer reports from FAO backstopping missions.
- interviews with internal stakeholders at FAO HQ, RAF, SFE and country level.
- interviews with external stakeholders at regional (Nairobi) and country level (government, donors, direct and indirect project beneficiaries, civil society partners, UN partners, other organizations offering similar types of support/engaged in the sector).
- documentation related to contextual analysis (EIU, needs assessments, national surveys and studies related to FS, rural development and agriculture, MDG reports).
- Government policies and strategies.
- household surveys, focus groups and key informant interviews at community level.
- expert observation

The Evaluation Report

The report will be as concise as possible, focusing on findings, conclusions and recommendations and include an executive summary.

The Evaluation team will decide the precise outline of its report. However, the report will include:

- the overall evaluation of FAO cooperation in Ethiopia;
- the assessment of effectiveness and impact in each area of focus;
- the assessment of the performance of the FAOR Office;
- the overall assessment of the TCP programme including its role in the cooperation programme, based on the analysis of each national TCP project; and
- recommendations to enhance the effectiveness of collaboration between FAO and Ethiopia.

Impact assessments will be provided as Annexes to the main report. The report should not be more than 70 pages excluding annexes and will be delivered to OED by the Team Leader according to the deadlines indicated in the timetable below.

Composition of the Evaluation Team

The evaluation team will be lead by an independent expert evaluator with international experience leading complex strategic evaluations and technical experience in one of the substantive domains to be examined by the evaluation.

Team members (7) will be national and international experts (external consultants and staff members of the FAO Office of Evaluation) with broad sectoral experience, demonstrating an ability to collect and analyze information at both technical and strategic levels and to function effectively in a multi-disciplinary team. Sectoral areas requiring full time team participation include plant production and protection, animal production and health, human nutrition, food security information and agricultural statistics. One team member will be recruited to cover FAO management and operations and the role and functioning of the FAO representation. All experts must be able to undertake gender analysis. Additional resources may be required on a short term basis to examine specific areas of intervention such disposal of obsolete pesticides, fruit tree production, and seed security.

Specific ToRs will be prepared for each team member. All team members must be fluent in English (written and oral).

Roles and Responsibilities

The FAO Representation and key Technical Unit of the Ethiopia programme are responsible for contributing to the draft Terms of Reference and for supporting the evaluation preparation and field work during the mission. They are required to participate in meetings with the team, to make available information and documentation as necessary, and to comment on the final draft report. The FAOR is also responsible for leading and coordinating the preparation of the FAO Management Response to the evaluation, in which it expresses its overall judgment of the evaluation process and report and accepts, partially accepts or rejects each recommendation. For accepted recommendations, responsibilities and timetable for implementation will also be indicated; for rejected recommendations, a justification should be provided. One year after the MR is issued, the BH will prepare the Follow-up report to the MR, to inform on progress in the implementation of the recommendations.

FAO Office of Evaluation, after a careful portfolio analysis and scoping interviews with key stakeholders drafts and finalizes the ToR, identifies independent experts and sets-up the evaluation team, and organizes the evaluation work. It is responsible for the clearance of the ToR and of the team composition and briefs the evaluation team on the evaluation methodology and process. The Office has a quality assurance role on the final report, in terms of presentation, compliance with the ToR, timely delivery, quality of the evidence and analysis done. The Office of Evaluation has also a responsibility for following up with the FAOR on the timely preparation of the Management Response and the Follow-up to the evaluation management response.

The Evaluation Team is responsible vis-à-vis FAO for conducting the evaluation, applying the methodology as appropriate and for producing the evaluation report. All team members, including the Team Leader, will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs for the final draft and final report.

The Team Leader guides and coordinates the team members in their specific work, discusses their findings, conclusions and recommendations and prepares the final draft and the final report, consolidating the inputs from the team members with his/her own. The mission is fully responsible for its independent report which may not necessarily reflect the views of the Government or of FAO. FAO is not entitled to modify the contents of any evaluation report, although it can require modifications to the report to improve its quality of, nor is an evaluation report subject to technical clearance, beside the quality assurance control by the Office of Evaluation.

Evaluation Timetable

Preparation Phase (Feb-May/2010)	Tentative Dates
Initial informal consultations with internal stakeholders, scoping of evaluation and definition of an initial set of key issues	Feb/Mar
Collection of key project documents, review of existing evaluations and related Ethiopia literature. Portfolio analysis.	Feb/Mar
Draft Terms of Reference and budget prepared. Design of protocol for impact assessment.	April
Advertise/head hunt for evaluation team member candidates	April
Inception Mission to Ethiopia	June 14-18
Evaluation Phase - (Jun-Sept 2010)	
Desk review and analysis (budget overviews, budget summaries, review of relevant literature, summary of existing relevant evaluation findings, inventory of related projects and outputs, etc)	June
Team Leader Inception Report Written and circulation to key stakeholders. Preparation of the evaluation matrix and evaluation tools/instruments. Selection and contracting of team.	June
Implementation of Impact Assessments and Expert desk review (Pesticides)	July-Aug
Briefing of the evaluation team (desk and in HQ)	23 Aug-7 Sept
Evaluation mission to Ethiopia	8-31 Sept

05/04/2011

Report Writing and Dissemination Phase – (Oct-Dec 2010)	
Prepare draft report, circulation and review by team members	Oct
Review and Comments by stakeholders	Nov
Final Report and dissemination activities	Dec
Management Response	Jan 2011

FAO Ethiopia Country Evaluation

Ethiopia (dedicated) Projects – portfolio analysis²⁰

2005-July 2010

FINANCIAL DATA

Over the past five years, FAO has spent over 55.6 million USD on 102 Ethiopia-focused projects; for which almost 74 million USD have been originally budgeted. The total budget (DWH) for the same periods amounts at almost 80 million USD²¹. Out of these 102 projects, 26 projects were Telefood (microprojects) or TCP with a small budget (below 40 thousand USD) and are not included in the analysis below. Thus 76 projects are included here for a detailed analysis. These 76 projects account for 99.6% of the total original budget and for 99.2% of the Total Actual Expenditure.

In addition to extra-budgetary projects which focus exclusively on Ethiopia, a number of other global and regional projects (N=45) have nominally included Ethiopia as a beneficiary country amongst others. The analysis of this portfolio of projects has been done separately and is not included here. Similarly, although larger TCP projects are included in the analysis below, because of their specificity²², a separate TCP analysis has been completed.

Description	Number of Projects	Total Budget DWH	% on 151 projects	Original Budget (USD)	% on 151 projects	Total Actual Expenditure (USD)	% on 151 projects
Ethiopia-focused	151				-		-
Ethiopia-focused, non-zero budget	102	\$79,922,477	100%	\$73,912,615	100 %	\$55,630,845	100 %

²⁰ Project Data are December 2009, 2010 projects have been added in July 2010 and the variable total budget DWH is August 2010. Projects with actual end date prior to Jan 2005 are not considered. Deleted projects with missing country code (most of the other data was missing as well). The boxes "Main Partners" are not updated with information contained in projects approved after December 2009.

²¹ A budget is a plan in financial terms for the implementation of a programme of activities in a specific period. A project budget is normally laid out in an annualized form. The total budget (DWH) represents the sum of all annualized budgets inclusive of future years. Instead, the original budget is the budget as per the official project document before any budget revision has been undertaken.

²² "The TCP was launched in 1976 as a means to make FAO's technical competence rapidly available to member countries **at their request**, in order to contribute to solving their most pressing development problems in the agriculture, fisheries and forestry sectors and in related rural development and socio-economic issues. The TCP is part of FAO's Regular Programme, financed from member countries' contributions." FAO Technical Cooperation Programme: Guidelines for National Stakeholders. FAO 2007.

Ethiopia-focused, original budget > 38,199 USD (detailed analysis)	76	\$79,288,369	99.2%	\$73,594,362	99.6%	\$55,162,609	99.2%

The 76 projects selected for the analysis have an average value of 1,043,268 USD (total budget DWH); but budgets vary considerably, as attested by a standard deviation of more than 1 million USD.

The biggest project has a total budget (DWH) of almost 7 million USD, and as many as 11 projects are over 2 million; however, most projects (62%) are under one million.

Expectedly, the total actual expenditure is normally lower than the original budget, because many projects are still ongoing: only 22 have been financially closed (see project status below). However, in some cases the projects get an extension and draw from a higher budget than the original. In these cases the total actual expenditure might be higher than the original budget. In three projects the former amounts to more than double the latter. One project (GCP /ETH/060/BEL) is particularly noteworthy in this respect, going from 2.3 mln to 5.4 mln USD due to the extension of the project for an additional four years (exit phase)

Overall, 1 project in every 5 has a higher actual expenditure (TAE) than original budget; it is often a capacity building project (in 73% of cases) and has a long average duration (4 years). The odds of it being a country-level project (1 in 3) are also higher than for any project (about 1 in 7). This data lead to a hypothesis ***that capacity building projects, particularly if they are targeted at the country as a whole, are difficult to implement; or encounter unexpected obstacles, which lead to the extension.***

Projects with a total actual expenditure higher than original budget, by subtheme

	Projects		Original Budget	
	#	%	USD	%
Capacity Building	11	73.3	9,972,763	56.4
Humanitarian Aid	1	6.7	2,200,000	12.4
Pesticides	1	6.7	2,600,845	14.7
Natural Resources, Nutrition and Health, Income Generation	1	6.7	2,281,323	12.9
	1	6.7	624,777	3.5
Total	15	100.0	17,679,708	100.0

THEMES

The projects addressed many different themes: Avian Flu, Desert Locusts, Flood Mitigation, Food Production, Food Security, Information Systems, Irrigation Techniques & Systems, Land Tenure, Livestock, Pesticides, Seeds, Strategic (Policy), Training of Disabled Persons, Land Leasing and Value Chain Enhancement.

As table 1 shows, the main topics are Livestock, Food Security and Seeds: these categories comprise 41 projects and account for 58% of the total actual expenditure).

Table 1

THEME	n. projects	Original Budget		Total Actual Expenditure	
Avian Flu	3	3,316,450	4.5%	4,069,062	7.4%
Desert Locusts	1	433,000	0.6%	360,569	0.7%
Flood Mitigation	4	1,975,034	2.7%	1,536,564	2.8%
Food Production	5	4,344,500	5.9%	1,706,305	3.1%
Food Security	16	18,976,508	25.8%	13,751,208	24.9%
Information Systems	3	2,935,800	4.0%	2,848,524	5.2%
Irrigation Techniques & Systems	2	2,314,720	3.1%	2,853,636	5.2%
Land Tenure	1	1,731,423	2.4%	1,649,853	3.0%
Land Leasing	1	473,000	0.6%	1,241	0.0%
Livestock	18	13,068,373	17.8%	8,361,516	15.2%
Pesticides	5	6,228,595	8.5%	5,971,307	10.8%
Seeds	11	15,343,837	20.8%	10,424,633	18.9%
Strategic (Policy) Advice	1	120,000	0.2%	111,438	0.2%
Training of Disabled Persons	1	299,560	0.4%	295,747	0.5%
Value Chain Enhancement	1	1,061,012	1.4%	0	0.0%
Other	3	972,550	1.3%	1,221,006	2.2%
Total	68	73,594,362	100.0%	55,162,609	100.0%

Food Security projects are quite evenly distributed among humanitarian aid, capacity building, interventions with an important market development component, and a vast, multi-project Nutrition

and Food Security initiative worth over 6 million USD (which will be probably be studied separately during the impact assessment). They aim to reach several strategic objectives and fulfil many core functions; and target farmers, pastoralists and vulnerable households (in only one of them the main beneficiary is the Ministry of Agriculture and Rural Development). Their average duration is quite high (2.1 years; but that figure is influenced by two very long-lasting projects: the Nutrition and Health, Belgian funded GCP /ETH/060/BEL, which has lasted over 9 years so far and is still operationally active; and an Italian-funded Crop Diversification and Marketing intervention (GTFS/ETH/067/ITA), which has lasted over 5 years and is also still operationally active. Many Food Security projects concern the Somali, Oromyia and Amhara regions, and many (11) are still operationally active.

Main partners²³ in **Food Security** projects²⁴ (in order of importance):

Government:

1. Federal Ministry and Regional Bureaus of Agricultural and Rural Development;
2. Food Security Offices;
3. Federal Ministry and Regional Bureaus of Finance and Economic Development;
4. Regional Agricultural and Rural Development Bureaus;
5. the Early Warning and Response Process office of the MoARD.;
6. Ministries of Health, Education, and Water Resources;
7. Regional Emergency Office for Africa (REOA);
8. Livestock Crop and Natural Resource Development bureau (LCNRD).

Research Institutes / government agencies:

1. International Livestock Research Institute (ILRI)
2. Agency for Cooperation and Research Development (ACORD)
3. Ethiopian Research Institute (ERI)
4. Ethiopian Agricultural Research Organization (EARO)

other NGOs:

1. CARE
2. Belgian Survival Fund
3. SCF-UK
4. Farm Africa
5. SCF-USA
6. World Vision
7. Oxfam Great Britain
8. Food for the Hungry International (FHI)
9. GTZ
10. Women's Action Groups

International Organizations:

1. WFP

²³ Some partners are only potential as reported in the project documents

²⁴ Within FAO, see the Emergency Coordination Unit (ECU). The most important budget holders for Food Security projects are M. Chipeta and J. Scaglia

2. International Atomic Energy Agency (IAEA)
3. UNICEF
4. UNAIDS, UNFPA, UNIDO

Livestock projects, on the other hand, are almost evenly distributed among capacity building and humanitarian efforts. They aim to achieve sustainable livestock production (strategic objective B) and respond to agricultural threats and emergencies (strategic objective I). Some of these projects provide technical support, promote technology transfer and build capacity (core function e); others assemble and provide information, knowledge and statistics (core function b). However, 5 out of 18 projects do not fulfil any FAO core function, and resemble a mere distribution of resources.

Livestock projects tend to last a short time (an average of 11 months), be targeted to pastoralist and vulnerable households and are concentrated in Afar (10 projects), Oromyia (6) and Somali (4). Not many livestock projects are still operationally active (5).

Main partners²⁵ in **Livestock**²⁶ projects (in order of importance):

Government:

1. Federal Ministry of Agricultural and Rural Development (MoARD);
2. Pastoral, Agriculture and Rural Development (Coordination) Bureaus;
3. Region Disaster Prevention and Food Security Bureaus;
4. Water Resource Development bureaus and offices;
5. The Livestock, Crop production, and Natural Resource Development Bureaus (LCNRDB);
6. Disaster Prevention and Preparedness Agencies
7. Disaster Prevention and Preparedness Bureaus;
8. Irrigation Development and Water Construction Authority of Afar Regional State;
9. Somali livestock, crops & Natural Resources Development Bureau;
10. Oromia Pastoral Areas Development Commission;

Research Institutes / government agencies:

1. Melkawere Research Centre (MRC);
2. Gewane Agricultural Technical and Vocational Training Centre (GATVTC);
3. National Animal Health Research Centre (NAHRC);
4. National Veterinary Institute (NVI);
5. Somali Regional Veterinary Laboratory.

other NGOs:

1. Multi-Nutrient Block (MNB) Producer Cooperative;
2. SCF-USA
3. CARE
4. German Agro-Action
5. Relief Society of Tigray (REST)
6. Farm Africa

²⁵ Some partners are only potential as reported in the project documents

²⁶ The budget holder for 15 out of 16 projects is J. Scaglia

International Organizations:

1. UNDAF

Other:

1. Community-based organizations (CBOs)
2. Community Animal Health Workers (CAHWs);

Most **seeds**-related projects are humanitarian efforts aimed at distributing planting material. However, the 3 projects aiming at strengthening the seed supply system at the community and local level (two of which are funded by Norway) are quite big, having a total budget DWH of almost 2.5 million USD (GCP/ETH/062/NOR, TCP/ETH/3102 and GCP/ETH/069/NOR)²⁷. Mainly they aim to achieve sustainable intensification of crop production (Strategic Objective A) but also to respond to emergencies (SO I). Some of these projects provide technical support, promote technology transfer and build capacity (core function e), but some do not fulfil any FAO Core function (i.e. are simply distribution of inputs).

Seed related projects mainly address the most vulnerable households, either women-headed or drought-affected. Seeds projects are strongly concentrated in 3 regions: Oromyia (6), Amhara (5) and SNNPR (5). No other region is concerned, except Tigray (by 2 projects). They also tend to have a short duration (11.3 months). Only one seeds project is operationally active.

Main partners in **Seeds**-related projects (in order of importance):

Government:

1. Federal Ministry of Agricultural and Rural Development (MoARD);
2. Regional and Woreda Bureaus of Agriculture and Rural Development;

Research Institutes / government agencies:

1. The National Seed Industry Agency (NSIA);
2. Universities (Alemaya, Debub and Mekele);
3. Ethiopian Agricultural Research Organization (EARO)
4. Ethiopian Seed Enterprises (ESE)

other NGOs:

1. World Vision (WVE and WVI)
1. CARE
2. Catholic Relief Services (CRS)
3. REST, German Agro Action, Food for the Hungry International (FHI), USAID / OFDA

International Organizations:

5. WFP

²⁷ Project GCP/ETH/069/NOR, financed by Norway, had an original budget of almost 4 million USD. However, it was closed due to diplomatic problems between the Government of Ethiopia and the Government of Norway. As a consequence, the total actual expenditure was of only 103.206 USD.

Five projects concern **pesticides** (one of which lasted only one month, though) for a total budget DWH of 6.5 million. They mainly focus on disposal of obsolete pesticide activities. They are almost equally split between capacity building and mere disposal, and target the entire country (policy makers, national institutions and their staff: in particular the Environmental Protection Agency (EPA), the Ministry of Health and the Drug and Control Administration Authority). Their average duration is quite high (3.3 years). Only one of the Ethiopia dedicated pesticides projects is operationally active.

Main partners in **Disposal of Obsolete Pesticides** projects (in order of importance):

Government:

1. Federal Ministry and Regional Bureaus of Agricultural and Rural Development (MoARD);
2. Crop Production, Protection, Technology and Regulatory Department of MoARD (CPPTR);
3. Federal Ministry of Finance and Economic Development;
4. Federal Ministry of Foreign Affairs.

Research Institutes / government agencies:

1. Environmental Protection Agency (EPA)
2. Ethiopia Agrochemicals Association (EACA)
3. International Centre of Insect Physiology and Ecology (ICIPE).

other NGOs:

1. CropLife International;
2. African Union;
3. Economic Commission for Africa (ECA)
4. Safe Environment Association
5. Pesticide Action Network UK
6. USAID

International Organizations:

1. UNIDO
2. UNEP
3. WHO
4. UNDP

Other:

1. Belgium Technical Cooperation (BTC)
2. Africa Stockpiles Program (ASP)
3. the Japan International Cooperation Agency (JICA)
4. EKOKEM OY AB

Food production projects are split between technical assistance and capacity building. They mainly aim to achieve sustainable intensification of crop production (S.O. A) through the provision of technical support, the promotion of technology transfer and capacity building (Core Function e).

They are targeted at poor farmers, agropastoralists and fruit growers, and more indirectly at students, researchers, local communities and retailers, and (technical) staff from the BoARDs. They are almost equally distributed among the four regions of Amhara, Tigray, Oromyia and SNNPR; and have an average duration of 2.2 years. All 5 Food Production projects are operationally active.

Three out of four **Flood Mitigation** projects are humanitarian relief efforts involving distribution of inputs (and thus do not fulfil any FAO Core Function), while one is focused on capacity building activities. However, all are targeted at the most vulnerable, flood-affected segments of the population, and have an average duration of 7 months. Three regions are concerned by these projects: Amhara, SNNPR and Somali. Only one of these projects is still operationally active.

Avian Flu projects aim at building capacity within national and regional administrations, veterinary staff, para-veterinary field workers, and poultry holders – with women given priority – in order to form the basis of an effective disease prevention and early warning network. They aim responding to emergency and agricultural threats (S.O. I) through the fulfilment of several different Core Functions. They have a national scope and are implemented in all Ethiopia regions for a relatively long time (3.3 years on average). Two of these projects are operationally active (OSRO/ETH/601/MUL and OSRO/ETH/601/MUL BABY01).

Main partners in Avian Flu-related projects (in order of importance):

Government:

1. Federal Ministry of Agricultural and Rural Development (MoARD);
2. Federal Ministry of Health;

Research Institutes / government agencies:

1. the Ethiopian Veterinary Association;
2. the National Animal Health Research Center (NAHRC) in Sebeta (just outside Addis Ababa
3. National Animal Health Diagnostic and Investigation Centre (NAHDIC)

other NGOs:

1. USAID

International Organizations:

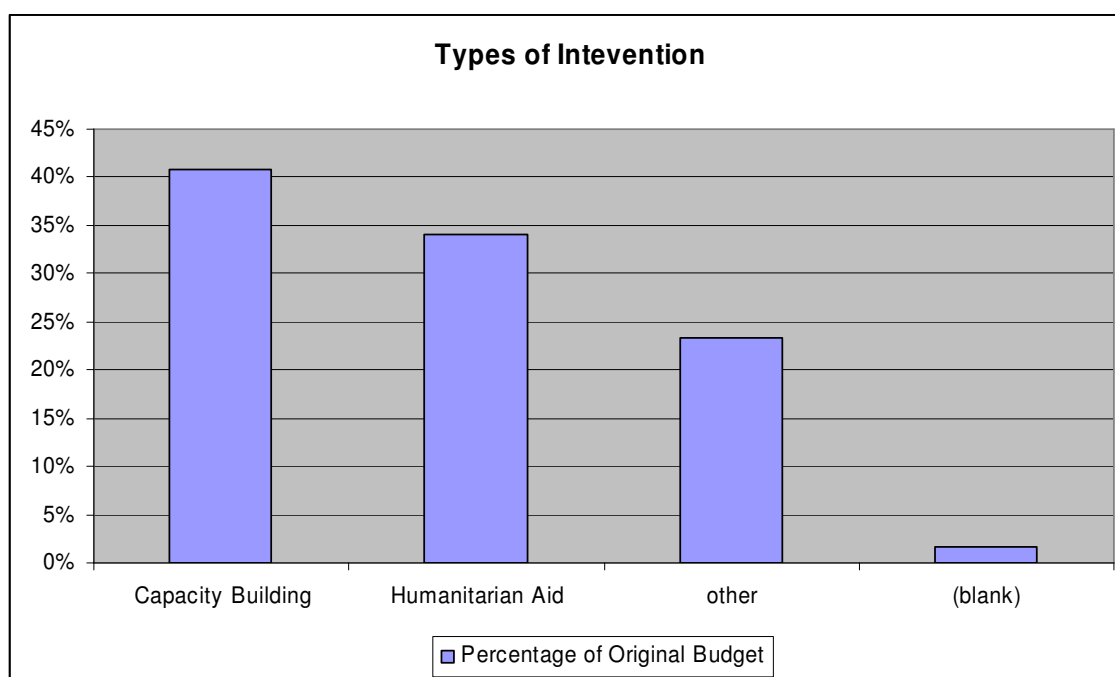
1. WHO

Other:

1. Japan International Cooperation Agency (JICA)
2. UK Department for International Development (DFID)
3. animal-human influenza (AHI) coordination committees (CCs), technical committees (TCs), national coordination committees (NCC), national technical committees (NTC), regional state committees, and regional technical committees (RCCs).

TYPES OF INTERVENTION (SUBTHEME)

A thematic sub-typology of projects was created mainly to distinguish between humanitarian aid and capacity building projects, which account together for 75% of total original budget. For those projects not included in either of these two subcategories, a number of subcategories were devised consistently with their primary theme: for example, “Market Development” and “Nutrition and Health” as sub-themes for “Food Security”; “Technical Assistance” and “Date Palm Production” as sub-themes for “Food Production”, etc.



Capacity Building Projects

Most of the projects are aimed at building some kind of capacity within a considerable variety of stakeholders. The 33 projects categorized as having a main “Capacity Building” component are worth about 41% of the total original budget and concern many different themes. Many of them aim at responding to agricultural threats and emergencies (S.O. I), to achieve a sustainable intensification of crop production (S.O. A) and a sustainable increase in livestock production (S.O. B). They do this through technical support and the promotion of technology transfer, and the provision of information, knowledge, statistics, policy and strategy options and advice.

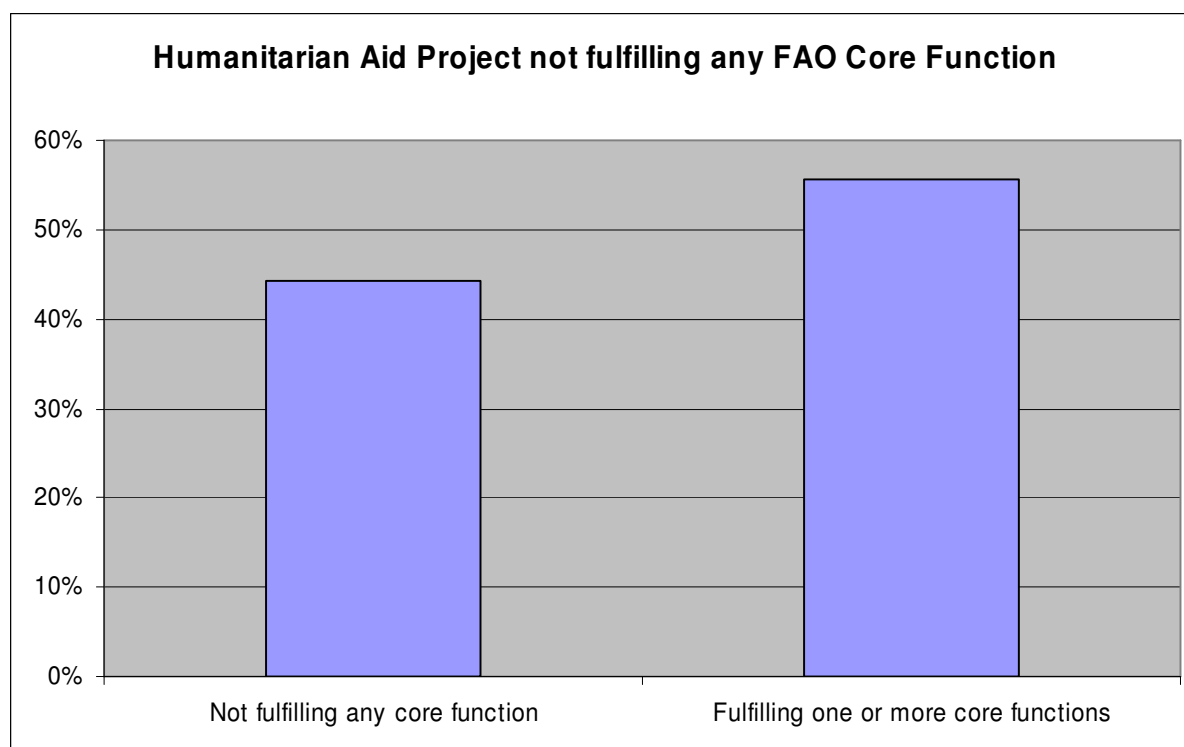
Nine of the Capacity Building projects are targeted at the national level; while the others are concentrated in the biggest regions: Afar, Oromyia, Somali and Amhara.

Humanitarian Assistance

Twenty-six projects mainly aim at providing distribution of inputs to some vulnerable segment of the population. They tend to be short (an average of 9.3 months), account for 34% of the total original budget and are split into 5 themes:

1. Seeds
 - a. 8 projects,
 - b. almost 39% of the Humanitarian Aid original budget;
2. Livestock
 - a. 8 projects
 - b. 19% of the Humanitarian Aid original budget;
3. Food Security
 - a. 6 projects
 - b. 36% of the Humanitarian Aid original budget;
4. Flood Mitigation
 - a. 3 projects
 - b. 5% of the Humanitarian Aid original budget
5. Desert Locusts
 - a. 1 project
 - b. 2% of the Humanitarian Aid original budget.

Many of these projects aim at responding to agricultural threats and emergencies (S.O. I), and to achieve a sustainable intensification of crop production (S.O. A) and a sustainable increase in livestock production (S.O. B). Some include components of technical support and technology transfer, aiming at the increase of livestock production; however, the majority (16) do not fulfil any core function at all. This means that 16 projects, accounting for 44% of the total humanitarian original budget and over 21% of all the projects included in the sample, fall outside the domain of FAO Core Functions.



The majority of these projects (18, accounting for 77.3% of total humanitarian original budget) target the most vulnerable households and communities. The reason for the vulnerability is most often drought, but flood is also an important cause.

The majority of humanitarian projects are concentrated in a vast central-western area constituted by Afar, Amhara, Oromyia and SNNPR; while Somali, Gambella and Tigray have been the location for a smaller, though substantial, group of projects.

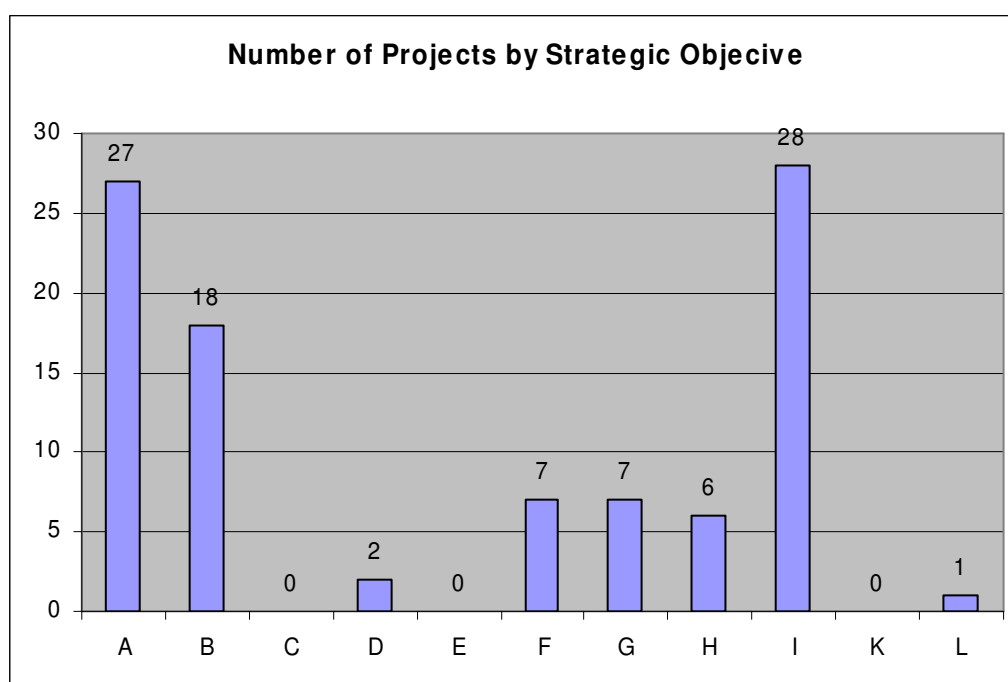
STRATEGIC OBJECTIVES AND CORE FUNCTIONS

The new FAO corporate strategy is framed around 11 strategic objectives and 8 core functions (annex 1). While we cannot evaluate the programme against the new strategy, as a forward looking exercise the analysis below can help to understand the extent to which the FAO Ethiopia programme is coherent within the new framework.

Strategic Objectives

Thirty-six percent of Ethiopia-dedicated projects (and 45% of total original budget) aim at achieving, exclusively or partly, sustainable intensification of crop production. Apart from 4 projects that have a national scope, most of these efforts are concentrated in 4 regions: Amhara , Oromyia, SNNPR and Tigray.

Sustainable increase of livestock production is an objective for 24% of projects and 21% of the total original budget. These projects last an average of one year and are almost evenly split into capacity building (7) and humanitarian interventions (10). The vast majority target vulnerable households affected by drought and to some extent benefit community animal health workers and veterinary staff. They are concentrated in 3 regions: Afar, Oromyia and Somali.



- A - Sustainable intensification of crop production
- B - Increased sustainable livestock production
- C - Sustainable management and use of fisheries and aquaculture resources
- D - Improved quality and safety of foods at all stages of the food chain
- E - Sustainable management of forests and trees
- F - Sustainable management of land, water and genetic resources and improved responses
to global environmental challenges affecting food and agriculture
- G - Enabling environment for markets to improve livelihoods and rural development
- H - Improved food security and better nutrition
- I - Improved preparedness for, and effective response to, food and agricultural threats and
emergencies
- K - Gender equity in access to resources, goods, services and decision-making in the rural areas
- L - Increased and more effective public and private investment in agriculture and rural development

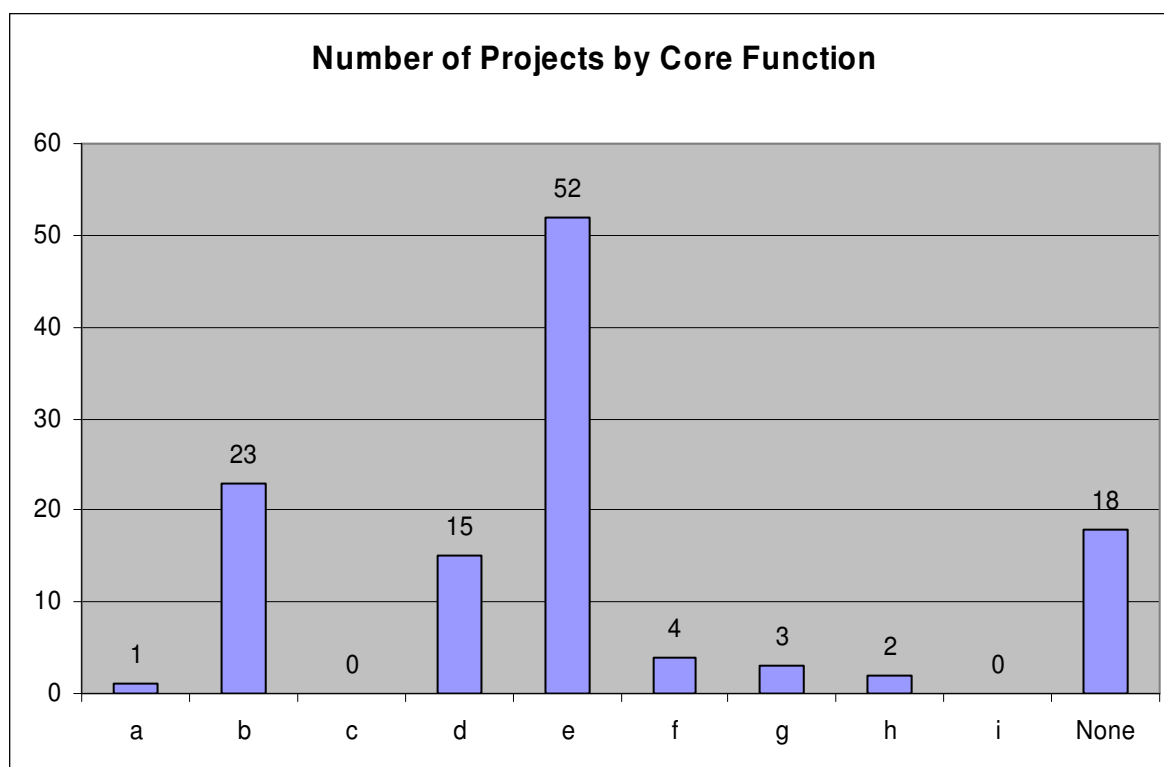
There are no dedicated fisheries or forestry projects. Only two projects cover quality and safety of foods. A handful of projects cover management of land, water and genetic resources and global environmental challenges; another set of projects (two of which quite big) focus on markets and rural development, and there are several consecutive projects covering nutrition and food security. These latter concentrate in northern Amhara and Tigray regions and combined have lasted over nine years each, the second of which is still operationally active and coming to an end in 2010.

A substantial number of assorted projects, covering several themes, core functions and regions, aim at improving preparedness for, and responding effectively to, food and agricultural threats and emergencies. They are 28 projects (37% of total), absorbing 41% of the total original budget, and last an average 1.5 years.

Core Functions

Ethiopia-focused interventions cover mainly 3 core functions: assembly and provision of information, knowledge and statistics; policy and strategy options and advice; and technical support to promote technology transfer and build capacity. One function (development of international instruments, norms and standards) is not covered at all, while “monitoring and assessment of long-term and medium-term trends and perspectives” is covered by 1 project; “advocacy and communication” by 4 (two of which are Avian Flu projects); “inter-disciplinarity and innovation” by 3; and “partnerships and alliances” by 2.

Twenty-three projects, equivalent to 24% of the original budget, include project components for the assembly and/or provision of information, knowledge and statistics. The vast majority of these projects are capacity-building interventions, targeted at many different stakeholders in several regions. They tend to last a relatively long time (an average of 2.2 years).



a - Monitoring and assessment of long-term and medium-term trends and perspectives

b - Assembly and provision of information, knowledge and statistics

c - Development of international instruments, norms and standards

d - Policy and strategy options and advice

e - Technical support to promote technology transfer and build capacity

f - Advocacy and communication

g - Inter-disciplinarity and innovation

h - Partnerships and alliances

None

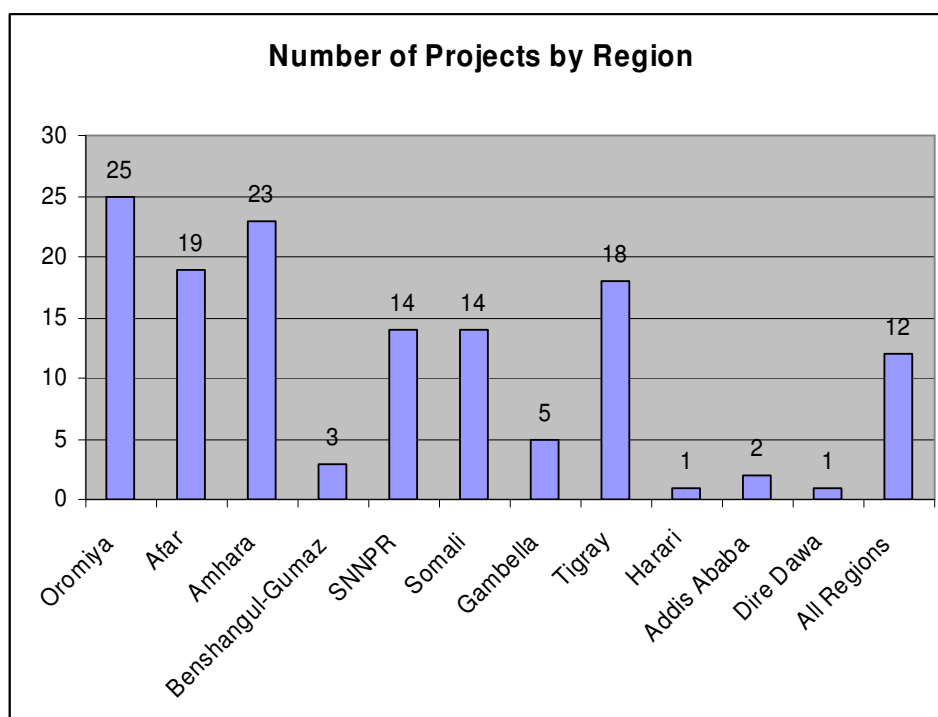
Fifteen projects include at least a policy and strategy options / advice component, accounting for 21% of the total original budget. It is to be remarked, however, that only **one** project fulfils this function *exclusively*, being targeted exclusively at the government. Understandably, many of these projects (53%) have a national scope and a quite long duration (3.1 years on average).

“Technical support to promote technology transfer and build capacity” is by far the most important core function fulfilled by Ethiopia-dedicated projects, concerning 68% of projects and worth 76% of the total original budget. On average, projects covering this function last 2.1 years. Many regions are covered extensively, with Oromyia, Amhara, Tigray and Afar being the most popular ones.

It is interesting to reiterate that almost one fourth of the projects, covering 18% of the total original budget, do not fulfil **any** of the Core Functions. They are almost all humanitarian projects involving distribution of inputs through partners (with the exception of two projects, one regarding the disposal of obsolete pesticides and one regarding the establishment of a Zone-Free of the Tsetse and Trypanosomosis Problem in the Southern Rift Valley, Ethiopia and Assisting Rural Communities in Agricultural and Livestock Development); and target drought-affected and flood-affected households and communities mainly over 4 regions: Oromyia, Afar, Amhara, SNNPR and Somali. They tend to last a relatively short time (an average of 9.6 months), and 4 of them are operationally active.

GEOGRAPHICAL INFORMATION

Ethiopia-dedicated projects cover mostly 6 regions: Amhara, Oromyia, Afar, Tigray, SNNPR and Somali. The remaining regions (Gambella, Benshangul-Gumaz, Harari, Addis Ababa and Dire Dawa) are involved in only few, at most 5 projects. There are considerable regional differences in terms of project themes, budgets, target groups, duration and project status. What follows is a region-by-region analysis for the 6 most important areas.



Twenty-five projects, accounting for **37%** of the total original budget, cover the **Oromyia** region partly or exclusively. They last an average of 1.4 years and are very diversified in terms of themes and target beneficiaries. Many of them (52%) are operationally active.

Afar is covered by 19 projects, accounting for **23%** of the total original budget. 58% are livestock projects, while the remaining cover many different topics. Nine are capacity building projects while eight are humanitarian. Not surprisingly, the most popular specific objective is sustainable increased livestock production. An extreme variety of stakeholders are involved in Afar projects, which have an average duration of 1.3 years. Almost half of the projects are still operationally active.

Amhara is covered by 23 projects amounting to **38%** of the total original budget. Interestingly, none of these concern livestock. Almost two thirds of Amhara projects are still operationally active. Many are targeted at farmers and particularly the most vulnerable households. Women are considered a priority in a relative high number of projects (7). Their average duration is 2.4 years.

Fourteen projects, amounting to **25%** of the total original budget, concern the **SNNPR** region. Many of them are humanitarian efforts mainly aimed at distributing seeds (5 projects, equivalent to 43% of the total original budget). 4 of the projects are targeted at the most vulnerable households / farms, where the reason for the vulnerability is mainly drought, but also flood, desert locusts, and poverty. The projects concerning SNNPR last an average of 1.5 years and 57% are still operationally active.

The **Somali** region is covered by 14 projects (worth **16.5%** of the total original budget), six of which are operationally active. Half are capacity building projects, focused either on livestock or food security, targeted at pastoralists, agropastoralists, and vulnerable households. They have an average duration of 1.2 years.

18 projects of many different kinds, worth **29%** of the total original budget, cover **Tigray**. Both seeds (2) and livestock projects (1) are under-represented in this region, which is involved in Food Security, Avian Flu, Desert Locusts, Food Production, Information Systems and Irrigation Techniques and Systems projects. The target groups are also assorted, comprising National and Regional Institutions, poultry owners and fruit growers, besides farmers and vulnerable groups (about which women are mentioned very often). Not so diversified are the Strategic Objectives [mainly crop production, emergencies and food security / nutrition] nor the Core Functions [mainly technical support and technology transfer, plus information and knowledge]. Projects involving Tigray seem to last quite long. The average duration is 2.8 years per project.

The projects relevant at the **country level** are targeted at national and regional administrations and institutions: MoARD, BoARDs, government and policy makers, and national staff. Sometimes special agencies are directly involved like the Environmental Protection Agency (EPA), the Ministry of Health, the Drug and Control Administration Authority, or the National Meteorological Service Agency (NMSA). They are all capacity building projects (except two on disposal of obsolete pesticides), and cut across many different themes. A total of 12 projects, they draw on an original budget of \$10,997,745 (**15%** of total) and tend to last quite long (2.7 years on average). The vast majority are aimed at providing policy and strategy options and advice; and almost half aim at sustainable intensification of crop production but none is associated livestock production.

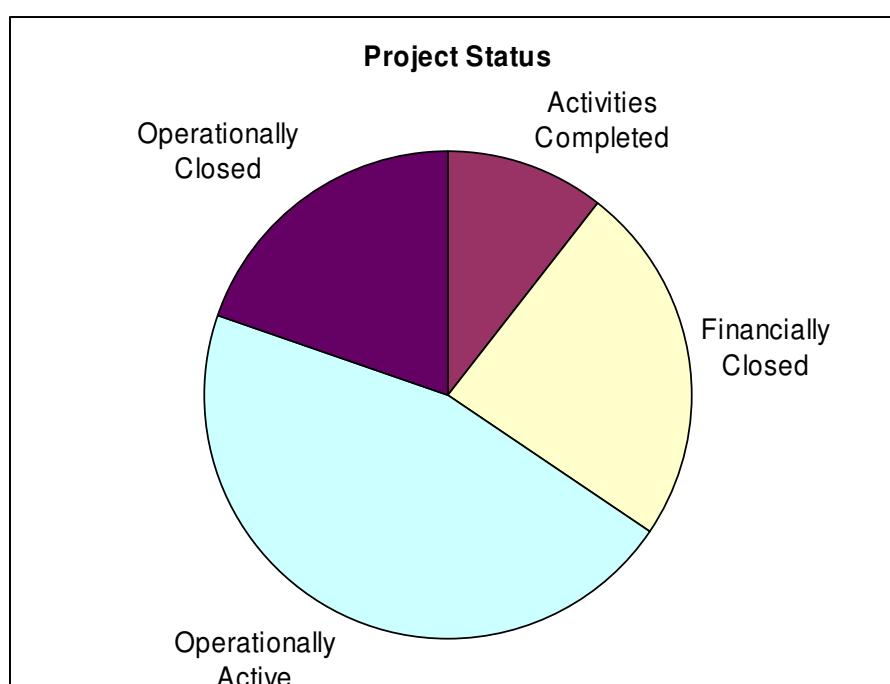
TARGET GROUPS

The vast majority of Ethiopia-dedicated projects address farmers, pastoralists, agropastoralists and the most vulnerable groups (mainly drought-affected and flood-affected households, often with priority to women-headed ones). Many are also targeted at National and Regional Institutions, National and Regional Administrations, the Government of Ethiopia.

PROJECT STATUS

Twenty-four projects (equivalent to a total original budget of \$33,831,823) are **operationally active**, mainly in the Food Production (5) and Food Security sector (11). The active projects are aimed at achieving Strategic Objectives I (17) and A (11) and target all the groups targeted by the entire sample. The majority of active projects concern Ahmara (15), Tigray (13) and Oromyia (13) and have an average duration of 2 years.

Ten projects (with an original budget of \$7,820,265) have **completed** their **activities** but are not operationally closed as of yet. They are quite diverse in terms of theme and targeted groups; many of them concern the Afar region (4). On average, they last 1.9 years.

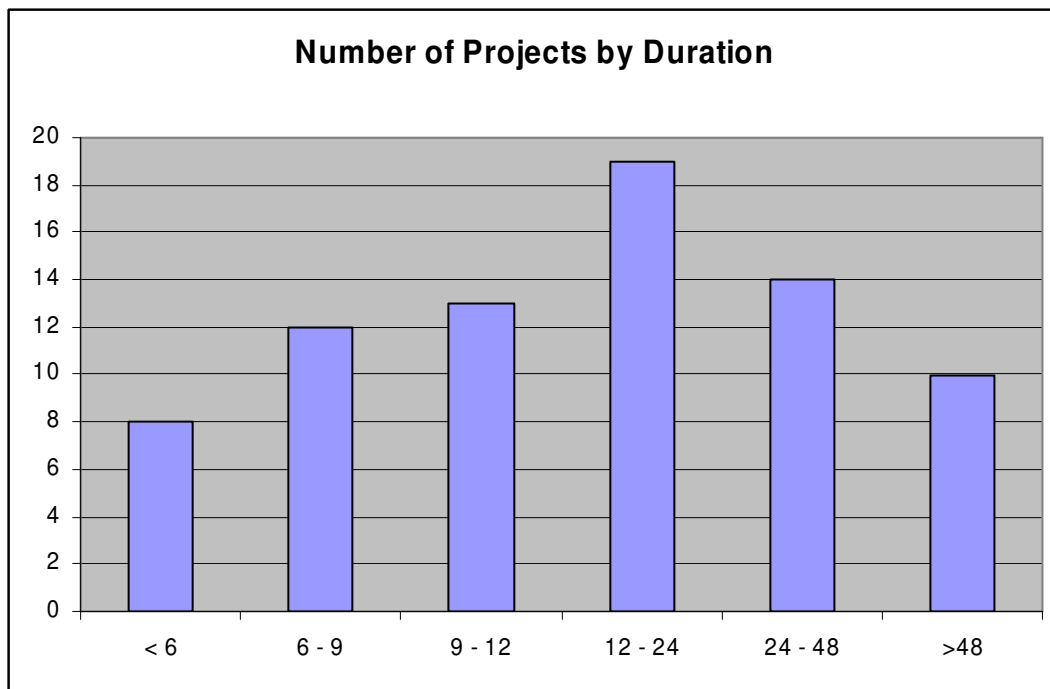


Twelve projects (worth a total \$14,431,758) are **operationally closed**. They are mostly seeds related projects, either humanitarian or capacity building; many of them focused on Strategic Objective A and located, at least in part, in Oromyia (5). On average, they have lasted 1.4 years.

Finally, 22 projects (equivalent to a total original budget of \$17,510,516) are **financially closed**. Many of them focus on livestock (8); and are almost equally split between capacity building and humanitarian assistance. They aim at achieving SOs B (9) and A (5), and at reaching a variety of stakeholders concentrated in 4 regions: Afar (6), Somali (6), Oromyia (5) and Amhara (4). They had an average duration of 2 years.

DURATION

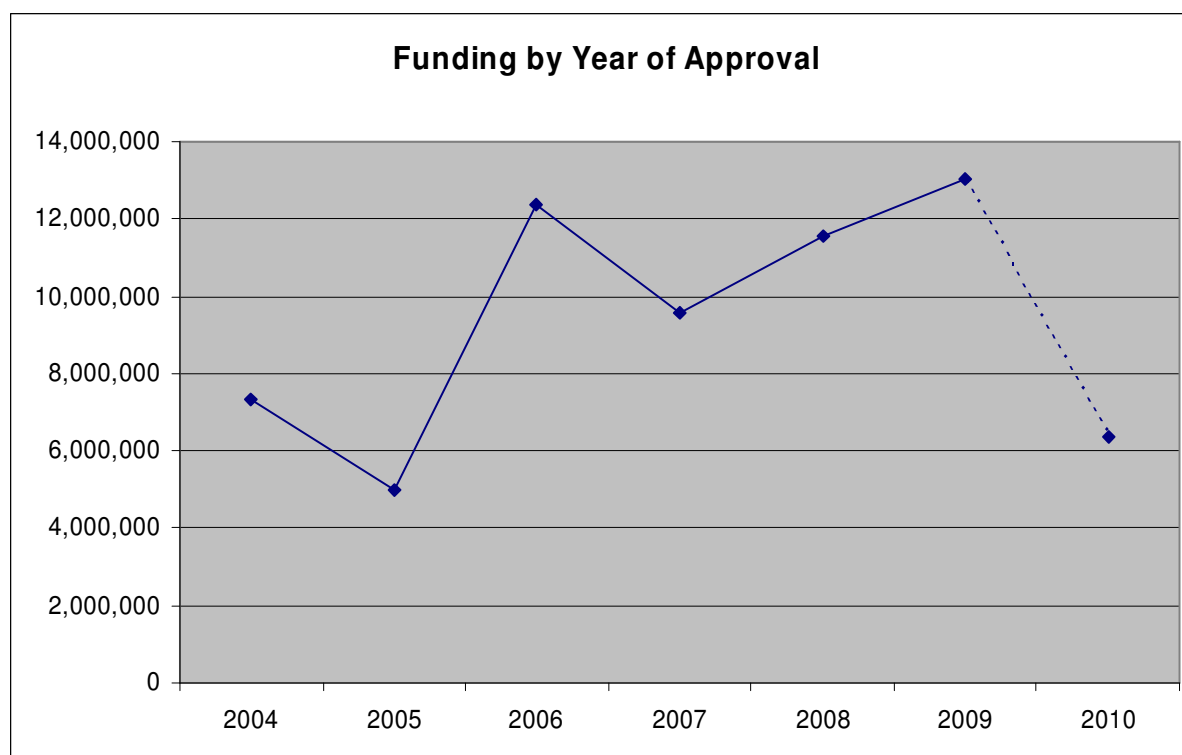
Ethiopia-dedicated projects last an average of 23 months. Project duration is quite variable, the standard deviation being 25 months; and projects last anything between 1 month and over 10 years. The average is duration is increased by a high number of big, long-lasting projects; the median duration is in fact quite lower than the average (14 months as opposed to 23); and almost a third of the projects (26) last 9 months or less.



FUNDING BY YEAR OF APPROVAL

Funding, concentrated in the “even” years, shows a positive trend, particularly in the last two biennia and compared to the biennium 2004-2005. Data prior to 2003 are not significant because most projects might have ended before 2005. The amount for 2010 is lower compared to previous years because the year is not finished yet.

Year of Approval	Original Budget
2004	7,315,197
2005	4,993,992
2006	12,381,202
2007	9,575,010
2008	11,534,598
2009	13,024,176
2010 July	6,368,367



ADMINISTRATIVE INFORMATION

For the 76 country focused projects that have been included in this analysis, Total Actual Expenditure is almost equally divided between Emergency Projects (52%) and Non-Emergency Projects (48%). There are 11 projects with Total Budget (DWH) above 2 million USD. These are reported in the following table.

Project Symbol	Project Title	Actual EOD	Actual NTE	Total Budget (DWH)
GCP /ETH/060/BEL	Improving Nutrition and Household Food Security in Northern Shoa & Southern Zone of Tigray (Phase II GCP/ETH/056/BEL)	2001-11	2011-02	\$6,832,050
GTFS/ETH/067/ITA	Crop Diversification and Marketing Development Project (TF Component: Food Security)	2005-08	2010-10	\$2,999,998
OSRO/ETH/813/EC	Improved availability and use of suitable seed varieties and other agricultural inputs for smallholder farmers in Ethiopia.	2008-09	2009-04	\$2,928,257
UTF /ETH/066/ETH	Coordination and Management of Services for the Disposal of Obsolete Pesticides in Ethiopia - Phase II (a Nationally Executed Project)	2004-01	2007-12	\$2,734,001
GCP /ETH/071/EC	Support to Food Security Information System in Ethiopia	2006-11	2009-11	\$2,640,799
OSRO/ETH/002/EC	Livelihood support to drought affected communities in the	2010-02	2010-11	\$2,599,998

	selected regions of Ethiopia			
GCP /ETH/073/ITA	Strengthening of fruit and cactus pear production in Tigray and North Wollo	2007-07	2011-12	\$2,249,999
OSRO/ETH/402/NET	FAO programme for emergency and smooth recovery assistance to drought affected farmers in Ethiopia	2004-07	2005-12	\$2,220,000
GCP /ETH/062/NOR	Strengthening Seed Supply System at the Local Level	2005-03	2007-03	\$2,180,482
OSRO/ETH/601/MUL	Urgent Intervention for the Early Detection, Prevention, and Control of Avian Influenza in Ethiopia	2006-03	2010-04	\$2,163,231
UNJP/ETH/075/SPA	Enabling pastoral communities to adapt to climate change and restoring rangeland environments (MDGF-1679)	2010-06	2012-06	\$2,029,060

LTO and Operating Departments, Divisions and Units

The most important LTO Department is Agriculture and Consumer Protection (54 projects and 70% of DHW Total Actual Expenditure); followed by Technical Cooperation (11 projects). In terms of DHW TAE, FAO Rep offices are more important than the latter (10% against 8%).

The Plant Production and Protection and the Animal Production and Health Divisions, are the most important both in terms of number of projects (27 and 24 respectively), and DWH TAE (38% and 29%). FAO Rep Offices are the LTO for 1 projects, accounting for 10% of DWH TAE.

Most important LTO Units in terms of number of projects:

- AGPS (18)
- AGAH (15)
- AGAP (7)
- AGPP (6)
- AGPC (3)
- SFE (3)
- TCEOA (3)
- TCOS (3)
- NRLW (2)

Most important LTO Units in terms of DHW TAE

- AGPS (22%)
- AGAH (17%)
- AGPP (11%)
- FRETH (10%)
- AGAP (7%)
- AGPC (6%)
- ESTGD (4%)

The most important Operating Unit by DWH TAE is the Technical Cooperation Department; in particular the Emergency operations and Rehabilitation division (52% of DWH TAE) and within this the TCEO unit (39% of DWH TAE). FAO Rep Office (FRETH) comes in second (34%). AGPP is the next most important unit, implementing 11% of DWH TAE.

Donors

The most important donors are Norway and UNOCHA²⁸. FAO is the second most important donor in terms of number of projects²⁹ (12), while Italy is the third most important in terms of original budget (9.5%).

Other important donors include: Spain (6 projects and 7% of o.b.), USA (6 projects and 6% of o.b.), Ethiopia (3 and 6% of o.b.), Belgium (3 projects and 5% of o.b.), the European Union (4 projects and 8% of o.b.), and the Netherlands (2 projects and 5% of o.b.).

Staff

The most important "Idea Originators" of Ethiopia in terms of dedicated projects have been the following: Pasini, A., Charters, R., Chipeta, M. and Scaglia, J.

Chipeta and Scaglia are also key budget holders, together they are budget holders for projects accounting for 86% of Ethiopia country focused TAE. Gascon, J. and Seid, F. are instead the most important Alternate Budget Holders (25% of Ethiopia country focused TAE together).

Another important contact seem to be Latimer, D. who is the Emergency Operation Officer for 46% of Ethiopia country focused TAE. Among the Emergency Operations Desk Supervisors, Amaral, C., Scaglia, J. and Tceo, O. account for 35% of Ethiopia country focused TAE. Gomez Fernandez, P. seems to be the favourite choice for Alternate Emergency Operating Officer (23% of Ethiopia country focused TAE).

The key LTU officers are Callens, K. Helps, K. Ahmed; the main funding officers are Rispoli, D. Kharas, P. & Van Gilst, D.

FAO Strategic Framework 2010-2019

Global Goals of Members

To foster the achievement of this vision and of the Millennium Development Goals, FAO

will promote the continuing contribution of food and sustainable agriculture to the attainment of **three global goals:**

- a) reduction of the absolute number of people suffering from hunger, progressively ensuring a world in which all people at all times have sufficient safe and nutritious food that meets their dietary needs and food preferences for an active and healthy

²⁸ accounting for, respectively, 10 projects (15.9% of original budget) and 16 projects (16.2% of original budget).

²⁹ TeleFood Projects are not counted.

life;

b) elimination of poverty and the driving forward of economic and social progress for all with increased food production, enhanced rural development and sustainable livelihoods;

c) sustainable management and utilisation of natural resources, including land, water, air, climate and genetic resources, for the benefit of present and future generations.

FAO Strategic Objectives:

A. Sustainable intensification of crop production.

B. Increased sustainable livestock production.

C. Sustainable management and use of fisheries and aquaculture resources.

D. Improved quality and safety of food at all stages of the food chain.

E. Sustainable management of forests and trees.

F. Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture.

G. Enabling environment for markets to improve livelihoods and rural development.

H. Improved food security and better nutrition.

I. Improved preparedness for, and effective response to, food and agricultural threats and emergencies.

K. Gender equity in access to resources, goods, services and decision-making in the rural areas.

L. Increased and more effective public and private investment in agriculture and rural development.

FAO Core Functions

- a) Providing long-term perspectives and leadership in monitoring and assessing trends in food security and agriculture, fisheries and forestry.
- b) Stimulating the generation, dissemination and application of information and knowledge, including statistics.
- c) Negotiating international instruments, setting norms, standards and voluntary guidelines, supporting the development of national legal instruments and promoting their implementation.
- d) Articulating policy and strategy options and advice.
- e) Providing technical support to: promote technology transfer; catalyse change; and build capacity, particularly for rural institutions.

05/04/2011

- f) Undertaking advocacy and communication, to mobilise political will and promote global recognition of required actions in areas of FAO's mandate.
- g) Bringing integrated interdisciplinary and innovative approaches to bear on the Organization's technical work and support services.
- h)** Working through strong partnerships and alliances where joint action is needed.

Appendix 2b. Global/Regional Projects Involving Ethiopia

FAO's work in Ethiopia: Portfolio Analysis of Global, Inter-Regional and Regional Extrabudgetary Projects

Introduction

FAO extrabudgetary projects involving Ethiopia in the period 2005-2010 have not always focused only on one country: several have concerned the whole African Region, or a number of African countries, or a number of regional areas, or in some cases all FAO countries. Of a total of 45 projects that have somehow involved Ethiopia, 7 are global, 12 are inter-regional, and 26 concern the Region Africa.

The budget holders of the 45 projects have been asked to "rate" each project on a scale of 1 to 5, according to how much the project was important for Ethiopia, meaning that it was either particularly focused on the country as opposed to other countries, or particularly effective in the country independently of its overall focus. The table below illustrates the grades assigned to each project.

Project Code	Project Title	Grade
GCP /GLO/162/EC	EC/FAO Food Security Programme Phase II (Year 2 and 3) - Account 3 - Main Programme	-
OSRO/RAF/722/SWE	Support for the control and prevention of Highly Pathogenic Influenza (HPAI) in Sub-Saharan Africa. Extension of Cooperation Agreement: Second Amendment to Sida A0000174 and Sida A0000180	2
GCP /INT/945/ITA	Information Products for Decisions on Water Policy and Water Resources Management in the Nile Basin - Follow-up to GCP/INT/752/ITA	5
OSRO/RAF/801/EC	Regional Support Programme for the coordination and capacity strengthening for disaster and drought preparedness in the Horn of Africa.	5
OSRO/GLO/601/SWE BABY02	Emergency assistance for the control and prevention of avian influenza - AI activities in Africa South of Sahara	2
GCP /GLO/208/BMG	CountrySTAT for Sub-Saharan Africa – Improved access to nationally owned, quality statistics on food and agriculture in 17 Sub-Saharan Africa Countries	1
GCP /INT/979/GFF	Technical Support Unit to the Africa Stockpiles Programme (ASP)	2
OSRO/RAF/704/WBK	Rapid Assessment of Avian and Human Influenza in Sub-Saharan Africa	2
OSRO/RAF/915/RRF	Livelihood support to Eastern African populations affected by the dual shocks of drought and the global economic crisis (2009 ORC 304)	5
GCP /INT/959/NET	Africa Stockpiles Programme - Netherlands Contribution	2
FMPP/GLO/001/MUL	FAO/Multi-donor Partnership Programme (FMPP) - Sustainable Rural Livelihoods and More Equitable Access to Resources	1

OSRO/INT/703/JPN	Emergency response to control a Desert Locust outbreak in the Central Region	4
OSRO/RAF/614/SWE	Immediate support to agro-pastoral communities as a drought mitigation response & Strengthening Emergency Preparedness and Response Information Systems Phase II	4
GCP /GLO/162/EC	EC/FAO Food Security Programme Phase II (Year 2 and 3) - Account 1 - Facility for Global Donor Platform Rural Development	-
OSRO/RAF/706/USA	Rift Valley fever and climate related diseases control in Eastern Africa	3
GCP /GLO/162/EC	EC/FAO Food Security Programme Phase II (Year 2 and 3) - Account 2 - Facility for Consultancy Service	-
OSRO/RAF/718/USA	Strengthening capacity of the Eastern Africa Sub-region to prevent and control HPAI	2
OSRO/RAF/907/EC	Consolidation of the Integrated Food Security Phase Classification (IPC) in the Volatile Humanitarian Context of the Central and Eastern African Region. - (ECHO/THM/BUD/2009/01006)	3
OSRO/GLO/605/OPF	Socio-economic support to livelihoods of smallholder farmers by strengthening avian influenza control strategies and capacities in East Africa	2
GCP /INT/977/WBK	Africa Stockpiles Programme (ASP) DGF Project Proposal Obsolete Pesticides Prevention and Disposal - Preliminary Activities	1
GCP /GLO/216/SPA BABY06	FAO Initiative on Soaring Food Prices (ISFP) - Wheat Rust Response	-
TCP/INT/3004	Training on Orobancha management in leguminous crops	-
TCP/RAF/3017	Emergency assistance for early detection and prevention of avian influenza in eastern and southern Africa	2
GCP /INT/969/ITA	Development of a methodology to monitor water policies (Phase 1)	2
TCP/RAF/2914	Strengthening the Production and Quality Control of Gums and Resins in Africa	1
TCP/RAF/2917	Advisory Support to the NEPAD Secretariat	-
TCP/RAF/3107	Assistance for the implementation of the integrated plan of the Comprehensive Africa Agriculture Development Programme (CAADP) and the Sirte Declaration	-
TCP/RAF/3104	Assistance for the establishment of the African Common Market for basic food products - Phase II of TCP/RAF/3007	-
TCP/RAF/3013	Regional and subregional capacity building for the exchange of official phytosanitary information under the New Revised Text of the IPPC	4
OSRO/RAF/506/USA	FAO/OFDA cooperative agreement for Africa Region: Support to regional (Africa) coordination	2
TCP/RAF/3108	Assistance to the formulation and initiation of the African Seed and Biotechnology Programme and Action Plan for its implementation	-

TCP/RAF/2924	Incorporating Forestry, Fisheries and Livestock Sectors in the NEPAD - Comprehensive Africa Agriculture Development Programme (CAADP)	-
OSRO/RAF/913/EC	Regional Support Programme for the coordination and technical supervision of disaster and drought risk reduction in the Horn of Africa.	4
OSRO/RAF/505/SWE	Support to the office of the FAO Emergency Coordination Unit for the Horn of Africa in Nairobi	2
TCP/RAF/3105	Support to the implementation of major African Union policy and strategic initiatives on fisheries	1
MTF /INT/034/STB	Set up of child centres "We are the Future" (WAF) to deliver an effective urban gardening and nutrition and health education programme for children and youth, especially of orphans and vulnerable children (OVCs)	-
GCP /INT/978/UK	Increased Stakeholder Involvement in Exchange, Sustainable Use and Conservation of Farm Animal Genetic Resources	
MTF /INT/195/IWM	Agricultural Water Management Landscape Analysis	5
TCP/RAF/2915	Harmonizing the Curricula of Veterinary Schools in East and Southern Africa	-
MTF /RAF/434/CFC	Wealth Creation through Integrated Development of the Potato Production and Marketing Sector in Kenya, Uganda and Ethiopia - CFC/FIGG/39 (Supervision of CFC/FIGG/39 potato project in East Africa)	5
TCP/RAF/3007	Assistance for the Establishment of the African Common Market for Basic Food Products	-
MTF /INT/074/AU	Somali Ecosystem Rinderpest Eradication Coordination Unit (SERECU) Project II	5
TCP/RAF/3302	Implementation of the Great Green Wall for the Sahara and Sahel Initiative	5
TCP/RAF/3301	Support to capacity building to promote formal marketing and trade of livestock and livestock products from the Horn of Africa	4
GCP /INT/100/ITA	Support to the implementation process of the NEPAD Comprehensive Africa Agriculture Development Programme (CAADP)	3

In summary, 31 answers have been received: 7 projects have been rated "5", 5 projects have been rated "4", 3 projects "3", 11 projects "2" and 5 projects "1".

In order to concentrate on the country dimension, the analysis has focused on the 12 projects rated 4 or higher (4 and 5).

Projects selected for the analysis

Project Code	Project Title	Grade
GCP /INT/945/ITA	Information Products for Decisions on Water Policy and Water Resources Management in the Nile Basin - Follow-up to GCP/INT/752/ITA	5
OSRO/RAF/801/EC	Regional Support Programme for the coordination and capacity strengthening for disaster and drought preparedness in the Horn of Africa.	5

OSRO/RAF/915/RRF	Livelihood support to Eastern African populations affected by the dual shocks of drought and the global economic crisis (2009 ORC 304)	5
OSRO/INT/703/JPN	Emergency response to control a Desert Locust outbreak in the Central Region	4
OSRO/RAF/614/SWE	Immediate support to agro-pastoral communities as a drought mitigation response & Strengthening Emergency Preparedness and Response Information Systems Phase II	4
TCP/RAF/3013	Regional and subregional capacity building for the exchange of official phytosanitary information under the New Revised Text of the IPPC	4
OSRO/RAF/913/EC	Regional Support Programme for the coordination and technical supervision of disaster and drought risk reduction in the Horn of Africa.	4
MTF /INT/195/IWM	Agricultural Water Management Landscape Analysis	5
MTF /RAF/434/CFC	Wealth Creation through Integrated Development of the Potato Production and Marketing Sector in Kenya, Uganda and Ethiopia - CFC/FIGG/39 (Supervision of CFC/FIGG/39 potato project in East Africa)	5
MTF /INT/074/AU	Somali Ecosystem Rinderpest Eradication Coordination Unit (SERECU) Project II	5
TCP/RAF/3302	Implementation of the Great Green Wall for the Sahara and Sahel Initiative	5
TCP/RAF/3301	Support to capacity building to promote formal marketing and trade of livestock and livestock products from the Horn of Africa	4

Characteristics of selected projects

This section analyzes the characteristics of the 12 most important projects for Ethiopia according to the selection criteria illustrated above.

The average original budget of the projects amounts to 1,459,988 USD, with two big projects of over 4 million USD and 3 small projects of under 260,000 USD.

None of them is a global project, 4 being Inter-Regional and 8 Regional (Africa). The specific amount invested / spent for Ethiopia is not known as several other countries were involved in the projects. In particular, Kenya participates along Ethiopia in 9 of these projects; Uganda in 7; Somalia and Djibouti in 5; Eritrea and Sudan 4, Congo and Tanzania in 3; and Burkina Faso, Burundi, Chad, Egypt, Ghana, Mali, Niger, Rwanda and Zambia in 2³⁰.

Not all areas of Ethiopia are involved to the same extent in the regional projects; although 6 projects concern the country as a whole, others are locally focused, in particular on the Oromyia region (4 projects), Somali (3) and SNNPR (2).

³⁰ The following countries were involved in one project along Ethiopia and other countries: Algeria, Angola, Benin, Botswana, Cape Verde, Central African Republic, Cameroon, Comoros, Côte d'Ivoire, Equatorial Guinea, Gambia, Gabon, Guinea, Guinea-Bissau, India, Lesotho, Liberia, Libyan Arab Jamahiriya, Malawi, Mauritania, Mauritius, Mozambique, Namibia, Nigeria, Sao Tome & Principe, Senegal, Seychelles, Sierra Leone, South Africa, Swaziland, Togo, Tunisia, Yemen, Zimbabwe

The projects have an average duration of 22 months; most were still operationally active in December 2009 (8), while 3 were financially closed.

Many projects (4) aim at improving preparedness for, and effective response to, food and agricultural threats and emergencies (strategic objective I); 3 fall under S.O. F (Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture); other 2 under S.O. A (Sustainable intensification of crop production) and 3 under S.O. B (Increased sustainable livestock production).

The vast majority of projects fulfil FAO Core Function e “Technical support to promote technology transfer and build capacity”.

Themes, subthemes and Target Groups

4 out of 12 projects aim at improving disaster and drought preparedness or at mitigating their effects; 2 concern the management of water resources while other themes are the development of potato production and marketing, Rinderpest eradication, the exchange of phytosanitary information, Food Security, land degradation and desertification control and livestock marketing.

The majority of projects (9 out of 12) aim at building capacity; 2 provide some form of humanitarian aid and one concerns market development.

The projects target the following groups:

- policy makers;
- human resources in the government sector (staff responsible for water development and management, agricultural departments);
- the Inter-African Phytosanitary Council (IAPSC) and Plant Protection Organizations (PPOs);
- the African Union Inter African Bureau for Animal Resources;
- National Veterinary Services;
- public and private sector animal health service providers, community-based organizations and other relevant civil society organizations (NGOs);
- pastoral associations, livestock traders, and investors;
- Livestock commodity chain actors (Chambers of Commerce, pastoralist and traders associations and public service providers such as the ministries/departments of Agriculture and Livestock Development/ trade departments/rural development)
- several national and regional partners, including: CARE, ACCORD, Save the Children US, Save The Children UK, FAO, ACF France, CARE, Cordaid, SOS-Sahel, FARM Africa, WASDA, GAA, COOPI, LVIA, Agri-Service Ethiopia, and AFD;
- AU Commission
- the ultimate beneficiaries, like:
 - vulnerable households
 - drought affected pastoralists
 - farmers
 - smallholder potato producers
 - other rural populations in areas prone to be impacted, in one way or another, by water development projects in the Nile Basin.

Individual Projects

1. GCP /INT/945/ITA: Information Products for Decisions on Water Policy and Water Resources Management in the Nile Basin - Follow-up to GCP/INT/752/ITA (rated 5)

Original Budget: US\$ 5,000,000

Total Actual Expenditure: US\$ 5,153,635

Duration: 60 months (from December 2004 to November 2009)

Other countries involved: Burundi, Egypt, Eritrea, Kenya, Rwanda, Sudan, Tanzania, Uganda, Congo

Project Status (in December 2009): Operationally Active

Theme / Subtheme: Water Resources Management / Capacity Building

Project Objective: The project is intended to strengthen the ability of the governments of the Nile Basin states to take informed decisions with regard to water resources policy and management in the Nile Basin. This objective will be achieved through the development of information products that integrate technical water resources and water use data with other relevant data, including in particular demographic, socio-economic and environmental data. To this effect, measured or otherwise assessed data, and their derived parameters and indicators, will be assembled in a meaningful way and presented as graphical and cartographic products, widely using geographical information system (GIS) technology already established in the region. The information products will be inserted in the Nile Basin Initiative (NBI) process in order to facilitate analysis of development scenarios and assessment of the consequences of various possible policies. Ultimately, the project contributes to achieve sustainable socio-economic development through the equitable utilization of, and benefit from, the common Nile Basin water resources, as agreed in 1999 by the Council of Ministers of Water Affairs of the Nile Basin States. The project will be carried out under the umbrella of the NBI and its institutions, and in close coordination and cooperation with other NBI projects under the Shared Vision and the Subsidiary Action Programmes.

Strategic Objective(s): F. Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture

Core Function(s): e. Technical support to promote technology transfer and build capacity

Target Groups: Direct recipients of project benefits are human resources in the government sector responsible for water development and management. The ultimate beneficiaries are as yet unidentified rural populations in areas prone to be impacted, in one way or another, by water development projects in the Nile Basin, either because the benefits of investment are geared to improve their situation, or because negative externalities of such investments are averted.

Geographical Focus: the project focuses on the following Ethiopian regions: Benshangul-Gumaz, SNNPR, Gambella, Tigray, Addis Ababa

2. OSRO/RAF/801/EC: Regional Support Programme for the coordination and capacity strengthening for disaster and drought preparedness in the Horn of Africa (rated 5)

Original Budget: US\$ 4,066,236

Total Actual Expenditure: US\$ 3,750,497

Duration: 17 months (from January 2008 to June 2009)

Other countries involved: Djibouti, Kenya, Somalia, Uganda

Project Status (in December 2009): Activities Completed

Theme / Subtheme: Disaster and drought preparedness / Capacity Building

Project Objective: Reduced vulnerability of (agro)-pastoralist communities in the Horn of Africa through strengthening their capacity to withstand drought, and enhance their livelihood and drought-related animal productions systems.

Strategic Objective(s): I. Improved preparedness for, and effective response to, food and agricultural threats and emergencies

Core Function(s): b. Assembly and provision of information, knowledge and statistics; h. Partnerships and alliances

Target Groups: 13 national and regional partners, including CARE, ACCORD, Save the Children US, Save The Children UK, FAO, ACF France, CARE, Cordaid, SOS-Sahel, FARM Africa, WASDA, GAA, COOPI, LVIA, Agri-Service Ethiopia, and AFD. The main objectives of the project were to come up with a design for the next phase of the ECHO drought preparedness programme.

Geographical Focus: the project focuses on the following Ethiopian regions: Oromyia, Somali, Harari, Dire Dawa

3. OSRO/RAF/915/RRF: Livelihood support to Eastern African populations affected by the dual shocks of drought and the global economic crisis (2009 ORC 304) (rated 5)

Original Budget: US\$ 1,500,000

Duration: 11 months (from November 2009 to October 2010)

Other countries involved: Kenya, Uganda

Project Status (in December 2009): Operationally Active

Theme / Subtheme: Food Security / Humanitarian Aid

Project Objective: The main objectives of this project are: i) Crop production recovery strengthened, ii) Depletion of pastoral assets reduced, iii) Pastoralists own Recovery Strategies strengthened.

Strategic Objective(s): B. Increased sustainable livestock production; I. Improved preparedness for, and effective response to, food and agricultural threats and emergencies

05/04/2011

Target Group(s): vulnerable households

Geographical Focus: the project focuses on the following Ethiopian regions: Oromyia, SNNPR, Somali

4. MTF /INT/195/IWM: Agricultural Water Management Landscape Analysis (rated 5)

Original Budget: US\$ 926,300

Total Actual Expenditure: US\$ 71,765

Duration: 36 months (from June 2009 to May 2012)

Other countries involved: Burkina Faso, Ghana, India, Tanzania, Zambia

Project Status (in December 2009): Operationally Active

Theme / Subtheme: Water Resources Management / Capacity Building

Project Objective: To assess the feasibility and potential impacts of smallholder agricultural water management interventions in Sub-Saharan Africa and South Asia and to stimulate and support successful pro-poor, gender-equitable AWM investment, policy and implementation strategies through concrete, evidence-based knowledge and decision-making tools.

Strategic Objective(s): F. Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture

Core Function(s): e. Technical support to promote technology transfer and build capacity

Target Group(s): investors, policy makers, implementors of interventions; farmers

Geographical Focus: national

5. MTF /RAF/434/CFC: Wealth Creation through Integrated Development of the Potato Production and Marketing Sector in Kenya, Uganda and Ethiopia - CFC/FIGG/39 (Supervision of CFC/FIGG/39 potato project in East Africa) (rated 5)

Original Budget: US\$ 60,000

Total Actual Expenditure: US\$ 9,128

Duration: 36 months (from June 2009 to May 2012)

Other countries involved: Kenya, Uganda

Project Status (in December 2009): Operationally Active

Theme / Subtheme: Potato Production and Marketing / Market Development

Project Objective: To improve the livelihoods of smallholder potato producers in Ethiopia, Uganda and Kenya through integrated development of the seed and ware potato production and marketing chain.

05/04/2011

Strategic Objective(s): G. Enabling environment for markets to improve livelihoods and rural development; H. Improved food security and better nutrition

Core Function(s): e. Technical support to promote technology transfer and build capacity

Target Group(s): smallholder potato producers

Geographical Focus: national

6. MTF /INT/074/AU: Somali Ecosystem Rinderpest Eradication Coordination Unit (SERECU) Project II (rated 5)

Original Budget: US\$ \$153,217

Duration: 36 months (from June 2009 to May 2012)

Other countries involved: Kenya, Uganda

Project Status (in December 2009): Operationally Active

Theme / Subtheme: Rinderpest Eradication / Capacity Building

Project Objective: The overall objective of the project GCP /INT/074/EC is to contribute to the reduction of poverty of those involved in the livestock-farming sector and of the wider populations in the three countries by enhancing livestock development and trade opportunities resulting from the progress made in OIE accreditation of rinderpest freedom for the SES countries. The expected outcomes are: i) National animal disease early warning and response capacities functional and coordinated at SES level, ii) Rinderpest surveillance in SES coordinated and harmonized, iii) SES countries' accreditation process guided and supported.

Strategic Objective(s): B. Increased sustainable livestock production

Core Function(s): e. Technical support to promote technology transfer and build capacity

Target Group(s): The African Union Inter African Bureau for Animal Resources; National Veterinary Services; public and private sector animal health service providers, community based organizations and other relevant civil society organizations (NGOs) engaged in the livestock sub-sector, pastoral associations, and livestock traders

Geographical Focus: national

7. OSRO/INT/703/JPN: Emergency response to control a Desert Locust outbreak in the Central Region (rated 4)

Original Budget: US\$ 1,900,826

Total Actual Expenditure: US\$ 1,797,475

Duration: 10 months (from August 2007 to June 2008)

Other countries involved: Eritrea, Sudan, Yemen

05/04/2011

Project Status (in December 2009): Financially Closed

Theme / Subtheme: Disaster and drought preparedness, mitigation / Capacity Building

Project Objective: The objective of the assistance is to contribute to strengthening the rapid response capacity of the Locust Control Centres in Sudan, Yemen, Eritrea and Ethiopia to cope with the likely expanding Desert Locust threat in order to prevent damage to the livelihoods of the rural communities and to prevent further spreading of the Desert Locust into other regions (Northwest Africa or Southwest Asia).

Strategic Objective(s): A. Sustainable intensification of crop production

Core Function(s): e. Technical support to promote technology transfer and build capacity

Target Group(s): administrative government staff (agricultural departments), implementing staff, local donor community

Geographical Focus: national

8. OSRO/RAF/614/SWE: Immediate support to agro-pastoral communities as a drought mitigation response & Strengthening Emergency Preparedness and Response Information Systems Phase II (rated 4)

Original Budget: US\$ 1,642,277

Total Actual Expenditure: US\$ 1,509,699

Duration: 13 months (from April 2006 to May 2007)

Other countries involved: Djibouti, Kenya, Somalia

Project Status (in December 2009): Financially Closed

Theme / Subtheme: Disaster and drought preparedness, mitigation / Humanitarian Aid

Project Objective: Among the project objectives the ones including Ethiopia are: i) Coordination. This component of the project will aim at providing improved capacity of food security information monitoring and analysis at regional level, ii) Promotion of pastoral drought resilience through rehabilitation of existing public infrastructure, particularly water-points, to facilitate movement of stocks and enable drought-time grazing (implemented in Somalia and Ethiopia), iii) Community animal health worker training of trainers in Ethiopia, iv) Strengthening the capacity of local community and the Southern Range Land Development Unit (SORDU) in livestock early warning information system and capacity building of the Ethiopian government disaster management offices.

Strategic Objective(s): I. Improved preparedness for, and effective response to, food and agricultural threats and emergencies

Core Function(s): e. Technical support to promote technology transfer and build capacity

Target Group(s): pastoral communities

05/04/2011

Geographical Focus: Oromyia

9. TCP/RAF/3013: Regional and subregional capacity building for the exchange of official phytosanitary information under the New Revised Text of the IPPC (rated 4)

Original Budget: US\$ 242,000

Total Actual Expenditure: US\$ 231,118

Duration: 17 months (from August 2005 to January 2007)

Other countries involved: Angola; Burkina Faso; Burundi; Benin; Botswana; Central African Republic; Congo; Côte d'Ivoire; Cameroon; Cape Verde; Djibouti; Algeria; Egypt; Eritrea; Gabon; Ghana; Gambia; Guinea; Equatorial Guinea; Guinea-Bissau; Kenya; Comoros; Liberia; Lesotho; Libyan Arab Jamahiriya; Mali; Mauritania; Mauritius; Malawi; Mozambique; Namibia; Niger; Nigeria; Rwanda; Seychelles; Sudan; Sierra Leone; Senegal; Somalia; Sao Tome & Principe; Swaziland; Chad; Togo; Tunisia; Tanzania; Uganda; South Africa; Zambia; Congo; Zimbabwe

Project Status (in December 2009): Financially Closed

Theme / Subtheme: Phytosanitary Measures / Capacity Building

Project Objective: The development objective of this technical assistance is to enable members of IAPSC to meet their national information exchange obligations under the IPPC. This would ensure effective exchange and dissemination of official phytosanitary information, within the framework of the IPPC, amongst Africa countries and their trading partners. Although technical capacity will be developed within the IAPSC Secretariat, the emphasis will be on sustainable subregional and national capacity building, the training of trainers for further capacity building in this regard, and optimizing the use of existing international information exchange resources. To provide an assessment of the needs of IAPSC, and to raise awareness of the national obligations particularly of the need for the exchange of official phytosanitary information, and provide the elements for the development of a regional framework to facilitate the exchange of official phytosanitary information regionally and internationally through the official website of the IPPC (International Phytosanitary Portal, IPP). The anticipated workshops will also be used to formulate strategies, work programmes and implementation plans to achieve short, medium, and long term objectives outlined above.

Strategic Objective(s): A. Sustainable intensification of crop production

Core Function(s): e. Technical support to promote technology transfer and build capacity

Target Group(s): Inter-African Phytosanitary Council (IAPSC) and Plant Protection Organizations (PPOs)

Geographical Focus: national

10. OSRO/RAF/913/EC: Regional Support Programme for the coordination and technical supervision of disaster and drought risk reduction in the Horn of Africa (rated 4)

Original Budget: US\$ 1,080,000

05/04/2011

Total Actual Expenditure: US\$ 126,712

Duration: 11 months (from July 2009 to June 2010)

Other countries involved: Kenya, Uganda

Project Status (in December 2009): Operationally Active

Theme / Subtheme: Disaster and drought preparedness, mitigation / Capacity Building

Project Objective: To contribute to saving lives, alleviating human suffering and pave the way for longer-term development actions by reducing vulnerability and strengthening capacity to respond to recurrent droughts and other climatic hazards in the affected areas of the Horn of Africa.

Strategic Objective(s): I. Improved preparedness for, and effective response to, food and agricultural threats and emergencies; H. Improved food security and better nutrition

Core Function(s): e. Technical support to promote technology transfer and build capacity

Target Group(s): drought affected pastoralists

Geographical Focus: Oromyia, Somali

11. TCP/RAF/3301: Support to capacity building to promote formal marketing and trade of livestock and livestock products from the Horn of Africa (rated 4)

Original Budget: US\$ 489,000

Total Actual Expenditure: US\$ 18,664

Duration: 14 months (from March 2010 to May 2011)

Other countries involved: Djibouti; Eritrea; Republic of Kenya; Sudan; Somalia; Uganda.

Project Status (in July 2010): Operationally Active

Theme / Subtheme: Livestock Marketing / Capacity Building

Project Objective: To inform and train relevant key stakeholders and Chambers of Commerce from the 7 countries in the Horn of Africa on livestock exports and on the conditions of export, and contribute to the development of a sustainable economic growth through regional integration of trade and marketing of livestock and livestock products.

Strategic Objective(s): B. Increased sustainable livestock production;

Core Function(s): e. Technical support to promote technology transfer and build capacity

Target Group(s): The target group are the livestock commodity chain actors; such as the Chambers of Commerce, pastoralist and traders associations and public service providers such as the ministries/departments of Agriculture and Livestock Development/ trade departments/rural development. The ultimate beneficiaries of the project will be pastoralists/ producers and traders of livestock and livestock products, poor groups including women headed households.

05/04/2011

Geographical Focus: national.

12. TCP/RAF/3302: Implementation of the Great Green Wall for the Sahara and Sahel Initiative (rated 5)

Original Budget: US\$ 460,000

Total Actual Expenditure: US\$ 1,252

Duration: 23 months (from June 2010 to May 2012)

Other countries involved: Djibouti; Mali; Niger; Chad.

Project Status (in July 2010): Operationally Active

Theme / Subtheme: Land degradation and desertification control / Capacity Building

Project Objective: Enhance the capacity of the AUC to provide assistance to five (5) selected Member States to develop good strategies, plans and project proposals for the successful implementation of the Great Green Wall for the Sahara and Sahel Initiative. Develop the capacity of the Commission and of the five selected countries in programme planning at national level.

Strategic Objective(s): E. Sustainable management of forests and trees, F. Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture

Core Function(s): e. Technical support to promote technology transfer and build capacity, d. Policy and strategy options and advice.

Target Group(s): The TCP Project is aimed at enhancing the capacity of the AU Commission to provide assistance to five (5) selected Member States. These countries and their participating communities will be the principal stakeholders and beneficiaries.

Geographical Focus: national.

Appendix 2c. TCP Projects in Ethiopia

Technical Cooperation Programme (TCP): Ethiopia 2005-2010

The TCP was launched in 1976 as a new and innovative programme “...well justified by prevailing world agriculture conditions particularly in developing countries...and the generally agreed desire to improve and increase the involvement of the Organization in action or field programmes of a concrete character” that “should permit FAO to respond to urgent, small-scale requests from developing countries”³¹. TCP is considered a high-priority programme of the Organization and has been protected to a certain extent from the budget cuts affecting the Regular Programme (RP). Over the years, FAO’s developing country members in particular have reiterated the importance of the Programme and asked for increased resources to be allocated to it. The 25th FAO Conference in 1989 adopted a resolution asking the Director-General to make every effort to raise resources available to TCP to 17 percent and although TCP has increased slightly as a percentage of the RP, this target has not been reached (it currently stands at 13.75%).

The TCP is governed by Criteria approved by the Governing Bodies in 1976. These have remained largely unchanged except for the financial upper ceiling and maximum project duration, raised in 1991 respectively from US\$ 250 000 to the present US\$400 000 for budgets and from 12 to 24 months for maximum project duration.

In 2000, as part of FAO decentralization efforts, budget holder responsibility for national projects, including TCPs, was transferred to the FAO Representatives. In 2002-2003, following an internal review, TCP management procedures were streamlined and simplified, but this did not greatly affect the roles and responsibilities for TCP management.

It is FAO corporate evaluation policy that all major evaluations covering project activity should separately review TCP projects. This is to provide accountability to FAO’s membership on the use of TCP funds provided under the FAO Regular Budget and to draw lessons for other, similar projects that may be considered for further implementation.

FAO’s TCP projects in Ethiopia

During the review period (2005- July 2010), 14 national TCP projects were implemented. This number increases to 28 TCP projects if global and regional projects that have concerned Ethiopia to some extent are included. The present document reviews the 14 national TCP projects.

Project Symbol	Project Title	Original Budget	Start Date	End Date
TCP/ETH/3302	Technical Assistance to Investment Support Directorate	\$473,000	2010-05	2011-10
TCP/ETH/3301	Enforcement of post-registration regulations for better pesticide management	\$465,000	2010-01	2011-12
TCP/ETH/3103	Emergency assistance for the control of Desert Locusts	\$433,000	2008-05	2009-12
TCP/ETH/3203	Technical support to input supply chain response to soaring food prices	\$429,000	2009-03	2010-02
TCP/ETH/2903	Horn of Africa Food Security Initiative - Support for Pastoral Community Development Project	\$341,000	2003-02	2005-02

³¹ Report of the FAO Council, CL 69/REP, July 1976.

TCP/ETH/3102	Strengthening seed supply systems at the community level in East Hararghe, West Hararghe and East Shoa Zones of the Oromiya Region	\$321,000	2008-02	2009-05
TCP/ETH/3303	Project for bridging two phases of the project "Support to Agriculture Information Systems"	\$307,000	2010-07	2011-01
TCP/ETH/3003	Training of disabled persons in agro-based cottage industry	\$299,560	2004-09	2006-12
TCP/ETH/3201	Assistance to improve date palm production in Afar region	\$268,000	2008-04	2010-12
TCP/ETH/2907	Rehabilitating and Safeguarding Livestock Trade through Establishing Disease-free Zones	\$200,000	2004-03	2005-08
TCP/ETH/2908	Assistance in the Preparation of a Medium-term Investment Programme and Formulation of Bankable Projects in Support to the CAADP Implementation	\$120,000	2003-11	2005-10
TCP/ETH/3202	TCP Facility	\$38,199	2008-08	2009-12
TCP/ETH/3202 BABY01	Technical Assistance in the preparation of project documents to address the Issue of Soaring Food Prices, and the Identification of the Funding Sources	\$38,199	2008-08	2009-12
TCP/ETH/3101	TCP Facility	\$16,853	2007-05	2008-12

[Each of these national projects is scored in four areas: relevance; design and implementation; results/effects and sustainability/impact. The projects were scored against a 6- point scale corresponding to: 6=very high; 5=well above average; 4= slightly above average; 3=slightly below average; 2=well below average; 1=very unsatisfactory.]

The 14 projects relevant for the analysis have a total Original Budget of 3,749,811 USD and a total Actual Expenditure of 1,970,246 USD; the average original budget for TCP projects being 267,844 USD and the average actual expenditure being 140,731 USD.

They concern a variety of themes (Food Security, Food Production, Seeds, Livestock, Training of Disabled Persons, Desert Locusts, Strategic / Policy Advice, Request for expertise on Soaring Food Prices, Pesticides, Land Leasing, Support to Information System) and are aimed at building some kind of capacity mostly at the country level (7 projects); but also at the regional level, namely in Oromyia (3), Amhara (2), Afar (2), SNNPR (1) and Tigray (1).

TCP Projects are funded by TCOT and have an average duration of 1.6 years. Most of them are operationally active (8); while some are operationally closed (3). Only 2 are financially closed and only one is in the "activities completed" stage.

TCPs EVALUATED BY THE MISSION FOR THE EVALUATION OF FAO ACTIVITIES IN ETHIOPIA 2005 to 2009

1. TCP/ETH/3302: Technical Assistance to Investment Support Directorate

Original Budget: US\$ 473,000 – May 2010 to October 2011 (17 months)

Status: New 2010 project Operationally Active

a) Background and context of intervention

In a world afflicted by a combination of crises many governments are seeking to assure food security to their own citizens through direct investment in agriculture or encouragement to their private sector to do the same. A significant part of such investment is being undertaken outside the borders of the investor countries and many deals are directed at Africa, including Ethiopia. Origins of such investments include the Near East but also India, China and other Asian countries, with western industrial countries far less marked.

The Federal Democratic Republic of Ethiopia is seeking to encourage national and international investment in the country's agricultural sector and is taking advantage of interest expressed by large foreign investors by scaling up its land-leasing activity. It has identified large areas of land as under-utilised and suitable for commercial agricultural development – the first stage has indicated some 1.6 million hectares (ha) of land for leasing by the federal government, with more to be leased by region-states.

In mid-2009, the government established a dedicated directorate in the Ministry of Agriculture and Rural Development (MoARD) – the Agriculture Investment Support Directorate. Just prior to this institutional change, government convened a team of experts from the Ethiopian Institute for Agricultural Research (EIAR), various departments within MoARD, the Ethiopian Investment Agency and other national research institutes to undertake an ***Agricultural Investment and Land Lease Study***, which was published in August 2009. The study proposed a series of land lease tariffs or rents covering all parts of the country. An Agricultural Investment and Land Lease Implementation Directive was later prepared and adopted, based on the study. Within months of starting the accelerated land-leasing activity, MoARD recognised that its capacities and level of knowledge were a major problem. It sought FAO assistance to diagnose main weaknesses and to propose areas where capacity building and international best practice would be most needed.

The FAO Subregional Office for Eastern Africa recruited an international consultant, Andrew Hilton, who spent a week in Ethiopia in October 2009 on a scoping mission to help define the needed assistance. He studied the situation and his report ***"Mission Report – Consultancy on Agricultural Investment and Proposed Land Lease Charges in Ethiopia"*** has been accepted by the Government of Ethiopia. This TCP request is intended to secure catalytic resources to start implementation of the most critical recommendations of that report.

There are weaknesses of knowledge and capacities to deal with preparation, monitoring and management, as well as negotiations for large-scale agricultural land leases to foreign investors, especially with regard to:

- a) Land Charges and Valuation Analysis – including need for a baseline survey of private land transactions, analysis of previous government land lease transactions and of investor business plans, linkages with agro-ecological zones or crop belts, establishing a database of transactions, etc.
- b) Land leasing procedures – including introduction of a more comprehensive approach to land use planning by ‘blocking’ areas for investment and administering multiple land parcels through detailed land surveying, social and environmental impact studies, community consultations, boundary delineation, marketing and promotion, competitive bidding, land transfer, certification and registration, and compliance monitoring.
- c) Lease contracting – including preparation of well-drafted model lease agreement documents; and
- d) Institutional support to the Agriculture Investment Support Directorate (AISD).

b) *Project objectives and design*

Resources of a TCP project, even at its maximum scale, cannot meet all the above needs mentioned above. What the TCP project will do is to (a) establish in detail the precise scale and attributes of the needs for improvement; (b) prepare proposals, including project documents, for substantial external support to the AISD and region-state governments by other donors; (c) make a start on the most critical aspects of needed support, including the most urgent and critical training; (d) introduce mechanisms for orchestration of government facilitation of investment and investment negotiation arrangements by several institutions that are involved but currently in a not fully coordinated manner; and (e) ensure that appropriate approaches and resources are included in the proposals with linkages to relevant government agencies to provide for the effective implementation of adequate safeguards in social and environmental terms.

c) *Project start up and implementation*

d) *Outputs, process and outcomes*

e) *Impact, catalytic role, impact, sustainability and follow-up*

f) *Project priority and relevance*

TCP/ETH/3302

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	

Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	
Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

2. TCP/ETH/3301: Enforcement of post-registration regulations for better pesticide management

Original Budget: US\$ 465,000 – January 2010 to December 2011 (24 months)

Status: New 2010 project Operationally Active

a) Background and context of intervention

Ethiopia's Agricultural sector is affected by a very low productivity due, *inter alia*, to lack of an appropriate pest control strategy. Despite past and current efforts undertaken by FAO and partners to introduce integrated pest management strategies, a study conducted in 2008 by the Government of Ethiopia in collaboration with FAO, indicates a steady increase in the volume of imported pesticides. Although registration and post registration schemes exist in Ethiopia, their lack of efficiency results in substandard and hazardous pesticides still circulating in the country and being exported. This factor not only jeopardizes the possibilities for external trade due to high levels of pesticide residue, but also constitutes a threat to the food safety of consumers. The evaluation of the national capacities for pesticide residue analysis and quality control of pesticide products concluded that pesticide quality control should be undertaken by the laboratory of the Ministry of Agriculture and Rural Development, while residue analysis should be the responsibility of the Drug Administration and Control Authority (DACA) under the Ministry of Health. However, both institutions require an upgrading of the analytical equipment and training of their technical staff. In this context, the Government of Ethiopia has requested FAO's assistance to increase its capacity to enforce the post-registration regulations through the improvement of infrastructures, equipment, analytical methods, consumables and human resources.

Lack of pesticide management capacities continues to cause accumulation of large stocks of obsolete pesticides resulting in heavy soil contaminations with direct impact on public health and side effects on biodiversity and natural ecosystems. Despite past and current efforts by FAO and other international organizations to introduce integrated pest management strategies, a study recently

conducted by FAO indicated a steady increase in the volume of imported pesticides per year in Ethiopia reaching above 3 000 tonnes.

b) Project objectives and design

The project aims at strengthen pesticide management capacities for safe use pesticides in agriculture and consequently reduce the negative impact on human health and environment. The delivered outputs for major project components are:

- Output I: national network for the management of the pesticides life cycle in Ethiopia. This output will be achieved through: i) development of data base of registered pesticides in Ethiopia, ii) inventory of pesticide stocks in different sectors, iii) deployment of FAO Pesticide Stock Management System (PSMS), iv) required training.
- Output II: pesticide inspection and quality control system. This output will be achieved through: i) the establishment of a network for inspection and quality control of pesticide products, ii) improvement of pesticide storage conditions in the countries, iii) required training.
- Output III: system for risk reduction of pesticide residues in agricultural products. This output will be achieved through: i) development of a data base on the use of pesticides in different sectors, ii) risk assessment of pesticide residues in selected crops, iii) improvement of empty containers and pesticide stock management at the farm level, iv) required training.
- Output IV: laboratory for the analysis of pesticides for the quality control upgraded. This output will be achieved through: i) upgrading laboratory equipment for quality control analysis, ii) training of laboratory staff.

c) Project start up and implementation

d) Outputs, process and outcomes

e) Impact, catalytic role, impact, sustainability and follow-up

f) Project priority and relevance

TCP/ETH/3301

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	

Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

3. TCP/ETH/3103 (E): Emergency assistance for the control of Desert Locusts

Original Budget: US\$ 433,000 – May 2008 to December 2009 (19 months)

Status (in December 2009): Operationally Active

a) Background and context of intervention

The desert locust is the most devastating of the nearly one dozen species of locusts. Ethiopia faced the most serious locust threat in 40 years when immature swarms arriving from northern Somalia invaded the country in March 2007. The scale of the infestation and the highly mobile nature of the swarms over rough terrain made survey and control operations very difficult. The federal Ministry of Agriculture and Rural Development (MoARD) and the regional states, assisted by the Desert Locust Control Organization for Eastern Africa

(DLCO-EA), undertook efforts to bring the infestation under control. But shortage of vehicles, shortage of trained personnel and logistical constraints severely hampered the effectiveness of the survey and control operations.

In most of the locust affected areas in Ethiopia food security is extremely low and any damage to the agricultural production and pasture could severely affect the already vulnerable communities. About 8 million people are being estimated chronically food insecure in Afar, Oromiya, Amhara, Tigray and Southern Nations Nationalities and Peoples' regions that require assistance. Therefore, this project is aiming at protecting the fragile livelihoods of the rural community living in the desert locust affected areas.

b) Project objectives and design

The purpose of the project is to bring the desert locust infestations under control before they can inflict significant damage to agriculture and spread into adjacent areas, by strengthening the national survey and control capacities.

In order to achieve the purpose of the project, four main outcomes have been identified:

Outcome 1: National locust information and early warning system is operational by strengthening the capacity of the Locust Information Office at the MoARD and establishment of an information network in the locust prone areas.

Outcome 2: Plant protection technicians of the Agricultural Bureaus and Plant Health Clinics in the locust prone areas, as well as other personnel which could play an

important role in the operations are trained on good practices of standard Desert Locust survey, reporting, and control subjects and on safe handling of pesticides.

Outcome 3: Desert locust control operations are implemented in time, with special emphasis on human health and environmental protection.

c) *Project start up and implementation*

According to the project document, the project was supposed to be implemented by the national Plant Protection Department of the MoARD in close collaboration with the FAO Emergency Coordination Unit of the Food and Agriculture Organization of the United Nations (FAO) in Addis Ababa, and the Plant Production and Protection Officer from the FAO Subregional Office for Eastern Africa (SFE).

Technical and operational supervision and backstopping was supposed to be provided by the Locust Group at FAO headquarters (Plant Protection Service, AGPP), with FAO covering some of the needs with regard to expendable and non-expendable equipment. The project was supposed to support intensified training of plant protection officers and technicians and contribute to the operations in the field.

d) *Outputs, process and outcomes*

e) *Impact, catalytic role, impact, sustainability and follow-up*

f) *Project priority and relevance*

TCP/ETH/3103 (E)

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	
Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

4. TCP/ETH/3203: Technical support to input supply chain response to soaring food prices

Original Budget: US\$ 429,000 – March 2009 to February 2010 (11 months)

Status (in December 2009): Operationally Active

a) Background and context of intervention

Despite its great agricultural potential due to its vast areas of fertile land, diverse climate, abundant water resources and labour pool, Ethiopia is one of the least developed countries in the world and a low-income food-deficit country extremely dependent on food imports and food aid. Chronic food insecurity is widely spread over the country and the Government of Ethiopia and its development partners have made great efforts to improve the food security situation .

Just like other parts of the world, Ethiopia is witnessing abrupt food price increases in its domestic markets in spite of bumper harvests in the last four years. Though the impact of the food price increase has not yet been thoroughly analysed, the price increase has seriously affected the most vulnerable groups of people in both urban and rural areas. The Government of Ethiopia thus took some immediate measures to cope with the situation such as the mobilization of more food aid (including drawing down the strategic reserves), the lifting of taxes, the export ban and the food subsidy programmes for urban and rural poor. Development partners also have scaled up their ongoing interventions especially the emergency responses. However, these are generally short term and therefore are not sufficient to fundamentally solve the issue of high food prices in a sustainable manner. They should be complemented with supply side interventions to increase the food crop production.

b) Project objectives and design

Increasing the usage of agricultural inputs is the only way to boost the agricultural production in the very short run. Therefore, the agricultural inputs should be more accessible and affordable so that farmers can utilize more inputs for increased and better production. Sharing this view, some donors started to mobilize relatively large amount of funds for the provision of inputs, particularly fertilizer. All these supplement the Government's own efforts: federal states have reversed their intended suspension of fertilizer loans so that farmers can continue to be helped to access fertilizers, despite the major price escalation.

The mobilization of large amounts of financial resources is a great help for the country. However, the limited capacity of involved stakeholders in the input supply chain in Ethiopia may undermine the impacts of inputs which will be procured and distributed through the funds from the above mentioned cooperation partners. It is observed that the capacity of input supply chain at regional, zonal, Woreda and kebele level is not sufficient, specifically in planning, coordination, supply management and operation, resulting in inefficient supply which affects input availability and farmers' timely access to the inputs. A number of stakeholders are involved in the input planning/supply chain in Ethiopia such as the regional governments, Woredas, development agents and cooperative unions, and each of them faces capacity constraints in their operations. It is also

important to note that the capacity and knowledge of farmers and development agents is too limited to select and apply the right kinds and quantity of inputs based upon technical justification and reasoning which, is essential to achieve the expected effects of agricultural inputs on production.

In addition, foreseen supports by various donors are limited to fertilizer provision which leaves the issue of insufficient seeds availability for the next cropping season. As the combination of improved seeds and fertilizer is critical to gain maximum impact from both of agricultural technologies, there is a need to make sure the availability of improved seeds for the next production.

The project is expected to have a national scope (approximately 20 percent of the budget); and to work with the government donor contact points under the umbrella of the Rural Economy and Food Security (RED-FS) Working Group to extend support to national programme planning for use of inputs and to overall monitoring and evaluation of interventions.

In addition, and very importantly, the project is expected to focus on the Amhara Region State where it is supposed to have intensive demonstrative activities. Amhara is one of the most important regions in the country in terms of food production, accounting for 40 percent of domestic fertilizer consumption. Given their existing familiarity with inputs use, Amhara farmers' learning curve will be less steep and successes (essential to encourage follow-up future support by Government) can be more assured than in other regions. In order to fundamentally solve the problem of high food prices in domestic markets, investments need to be made in agriculturally viable areas so that farmers can produce surplus agricultural outputs which will flow into markets and stabilize the food prices. The portion of budget for piloting in Amhara is also expected to be utilized for lighter capacity building programmes in other regions, based upon the pilot experience from the Amhara Region.

Considering the forthcoming inflow of substantial funds for fertilizer from various funding sources, it is important to strengthen the capacity of input planning/supply chain at all levels, in order to make effective and efficient supply-side interventions with agricultural inputs. The capacity building in these areas will not only help maximize the benefit from inputs to be distributed by donors in the next cropping season, but will also make it possible for farmers to have easier access to inputs in many more years to come.

Given its mandate and competitive advantages, this is the area where the Food and Agriculture Organization of the United Nations (FAO), can add value and contribute to address the issue of high food prices in Ethiopia more significantly than any other organization. It is this context that justifies the implementation of this project in Ethiopia under the FAO Initiative on Soaring Food Prices (ISFP). Accordingly, as opposed to traditional ISFP projects which focus solely on providing the inputs themselves, the Ethiopia ISFP project recognizes the availability of funding from other sources for fertilizers but severe shortage of technical capacities to use such resources well. Therefore, the Ethiopia ISFP/TCP (Technical Cooperation Programme) project is expected to provide mainly technical support to regional governments and their partners (e.g. Woredas and cooperatives) in order to strengthen their capacity to improve their agro-input supply. In addition, the project is supposed to provide farmers and development agents with technical training in the ideal seed varieties, the amount of fertilizer to be applied, and the better matching of both seeds and fertilizers to site characteristics.

In the selected Woredas, the project should provide improved seeds which may not otherwise be sufficiently available for farmers because foreseen donor supports are targeting solely fertilizer, so that the capacity building under the TCP project and fertilizer to be provided by other donors can result in maximum impacts on production increase in the project target areas.

- c) Project start up and implementation**
- d) Outputs, process and outcomes**
- e) Impact, catalytic role, impact, sustainability and follow-up**
- f) Project priority and relevance**

TCP/ETH/3203

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	
Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

5. TCP/ETH/2903: Horn of Africa Food Security Initiative - Support for Pastoral Community Development Project

Original Budget: US\$ 341,000 – February 2003 to February 2005 (24 months)

Status (in December 2009): Financially Closed

- a) Background and context of intervention**

A series of rangeland or livestock projects since the 1960s did not have the desired impact on pastoral areas. This was mainly because development interventions were based on top-down, sectoral approaches resulting in incomplete solutions, ill-suited to local conditions and traditions. The outcome of past investments must also be viewed in the context of several constraints in Ethiopia's situation, including drought, limited social and economic infrastructure, shifts in the political climate and insecurity resulting from civil conflict and war. Government is seriously concerned over the recurring misery afflicting sizeable sections of their population and is committed to developing and implementing strategies that would not only remove food insecurity but also provide reasonable living conditions and dignity to pastoral communities. Recently the Government has revised the institutional framework for rural development by forming a Ministry for Rural Development with the Minister in charge of the rank of Deputy Prime Minister. Under proposed further institutional reform, resources would be channelled directly to the woreda administrations providing opportunity for increasing community participation at the local level and to promote pastoral advocacy at the national level.

The Government is also working closely with donors for necessary assistance, in addition to its own budgetary allocations, to move toward Food Security and sustain it through well coordinated strategies and programmes. In line with these developments, the GoE requested the World Bank to review the Ethiopian Pastoral sector and provide recommendations for its development. A World Bank team subsequently reviewed the sub-sector, and in collaboration with the PET, NGOs and local communities, identified a possible project - the Pastoral Community Development Project (PCDP). The African Development Bank is initiating a baseline study of Ethiopia's pastoral sector that will also identify investment options in pastoral areas.

New, community-based economic and service initiatives are required to improve pastoralist well-being. These must be built on traditional structures. These seemingly intractable problems must be analyzed by communities and local solutions developed. Unfortunately, there is little experience at either community or administration levels in managing such processes and little sensitivity to gender and poverty issues amongst the leaders of local institutions.

As a prelude to larger investments and in the light of the anticipated US\$40-50 million World Bank and IFAD project, there is therefore an urgent need for capacity building that will enhance participatory processes and development planning by the PET, and at regional, woreda (district) and community levels. It is also necessary to pilot test key strategies for community-driven initiatives with a holistic, multi-sectoral approach and to identify alternative livelihoods before they are widely applied.

The Government has requested FAO assistance to address these needs and contribute thereby to the preparation and design of the Pastoral Community Development Project (PCDP). The importance of this project is considered critical by the World Bank to base its decision on assistance on a national scale for pastoral development.

The project would be the principal assistance for facilitating project preparation by the local GoE team, and would be complemented by IFAD and a Japanese Government (PHRD) grant to support project preparation and associated social, economic and environment assessments.

b) Project objectives and design

The basic purpose of the project is to establish capacity for initiating, managing and practising a participative process in development at district administration level and among communities and to test out assumptions relating to community dynamics and capabilities, which are critical for the design and successful implementation of the World Bank/IFAD PCDP.

The specific objectives of the assistance are to:

- Strengthen the capacity of the Pastoral Extension Team in MoA to play a role in identifying appropriate policies and strategies for the PCDP, and to participate in its effective implementation;
- Build capacity of district and woreda technical staff in initiating, promoting and managing a participative process in community development;
- Empower communities, including women and youth, to improve their well-being through self-managed programmes aimed at improving their living conditions.

The project was to apply a holistic approach to development by involving extension specialists of different disciplines and sectors. It was supposed to encourage a participatory approach involving the local communities in the decision-making process, utilize to advantage traditional institutional and social structures, and involve women and youth in the planning and development process.

Empowered communities should have been trained and encouraged to take decisions on resource allocation, project prioritization and project implementation in order to achieve sustainable improvements in their standard of living and quality of life through economic and social development, owned and managed by themselves. Specifically, this was supposed to involve strengthening capacity within government institutions to manage a participatory development process and training selected communities in participatory management and conflict resolution.

c) Project start up and implementation**d) Outputs, process and outcomes****e) Impact, catalytic role, impact, sustainability and follow-up****f) Project priority and relevance****TCP/ETH/2903**

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	

Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	
Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

6. TCP/ETH/3102: Strengthening seed supply systems at the community level in East Hararghe, West Hararghe and East Shoa Zones of the Oromiya Region

Original Budget: US\$ 321,000 – February 2008 to May 2009 (15 months)

Status (in December 2009): Activities Completed

a) Background and context of intervention

Seed security exists when farmers have or are able to access enough seeds of preferred species and varieties, of appropriate quality and at the right time to fully exploit the potential of the farm. This also includes having seed reserves for at least one replanting. The situation found in Eastern Ethiopia, including East Hararghe, West Hararghe and East Shoa is representative of a larger problem of poor seed security in the dry lands agro ecologies. Farmers in these areas have few external sources of suitable seeds for the crops that they grow and must rely on on-farm selection and storage of seeds from the grain crop harvest. However, repeated drought incidences have made this traditional seed saving practice an unreliable source of seeds for subsequent plantings. The formal seed sector in Ethiopia supplies less than three percent of the country's need for seeds and is directed or concentrated on seeds required for the high-potential agricultural areas and crops. Thus, there is generally inadequate capacity of the national and regional formal seed sectors to maintain a secure supply of appropriate seeds for the dry land or traditional farming systems areas. This suggests the need for strengthening the local seed supply systems at local levels or promoting/facilitating on-farm seed multiplication in those areas.

b) Project objectives and design

Previous seed security projects in Ethiopia have shown that it is possible to multiply good quality seeds at farmers' level. However, it is essential that adequate technical training and capacity building is provided to farmers and implementing agencies to ensure sustainability. That was the basis for the implementation of project GCP/ETH/062/NOR - "Strengthening Seed Supply Systems at the Local Level" and for its Phase II.

However, for reasons unrelated to the GCP or to FAO, the donor has decided to cancel the project, thus leaving the farmers and communities that had committed themselves to participating and had initiate activities in this regard in an uncomfortable situation. In light of this force majeure, the present TCP project will seek to bridge the gap by allowing for activities already undertaken to be completed in an orderly manner while the search for an alternative donor is carried out. To accomplish this, it is proposed that the highly unusual step be taken to charge the continuation of the contract of the CTA recruited under the GCP to the TCP.

The project document is based on the document related to the GCP and has been amended by the LTU in collaboration with field colleagues in Ethiopia and with TCOT.

Given the exceptional circumstances, the funding of the CTA post for four months was supposed to be accepted but this should not be interpreted as setting a precedent.

Similarly, in light of the circumstances, the costs related to the construction of the seed storage facilities should have been funded through the project. This agreement should also not be interpreted as setting a precedent for such funding in future.

c) Project start up and implementation

d) Outputs, process and outcomes

e) Impact, catalytic role, impact, sustainability and follow-up

f) Project priority and relevance

TCP/ETH/3102

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	
Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

7. TCP/ETH/3303: Project for bridging two phases of the project “Support to Agriculture Information Systems”

Original Budget: US\$ 307,000 – July 2010 to January 2011 (6 months)

Status: New 2010 project Operationally Active

a) Background and context of intervention

The project aims to support the government of Ethiopia, through the Central Statistical Agency (CSA) and the Ministry of Agriculture and Rural Development (MoARD) together with the Bureaus of Agriculture and Rural Development (BoARD) to bridge the gap between the recently closed project GCP/ETH/071/EC “Support to Food Security Information Systems in Ethiopia” (SFSIS), and a new four-year project “Support to Agriculture Information Systems for policy, strategy and interventions” (SAIS), to formulation the TCP project will contribute.

The outputs of the SFSIS assisted the beneficiaries of the project (particularly the two key Federal agencies - (a) the Ethiopian Central Statistics Agency (CSA) and (b) the Ministry of Agriculture and Rural Development (MOARD)) to improve significantly the generation of reliable and timely statistical data in agricultural sector, including utilization of standardized and harmonized methodologies, building the national capacity to undertake assessments, such as the introduction of Global Positioning Systems (GPS) for area measurements, the successful pilot implementation to of List Frame to Area Frame estimates, the introduction of small area estimation techniques for proving lower level estimates, the ongoing exercise for developing the land use land cover database, the development of the Relational Database, the introduction of Personal Digital Assistance (PDAs) for price data collection mentioned.

The government of Ethiopia, acknowledging the achievements made during 2008/9 through the SFSIS project has requested the formulation of a new project that should run for at least four years to strengthen agricultural statistics in the country. Given the complexity of the follow-up project, significant time will be needed for a professional quality project and for concluding financing arrangements before its launch late in 2010 or early in 2011; this bridging TCP support is designed to protect against loss of some critical gains from the first project and retention of the momentum and capacities already established. Without it, much would have to be restarted after interruption, with great loss of effectiveness and unnecessary repetition of energising key institutions. Furthermore, the expertise to be made available by the bridging TCP project is essential for finalisation of SAIS project formulation before finalisation and submission to donors for a multi donor funding.

b) Project objectives and design

The main outcome of this TCP will be to act as a bridging phase to a second phase of the project “Support to Agriculture Information System for policy Strategy and intervention - SAIS”. The primary focus is to maintain continuity without interruption regarding key tasks that require improving the coverage of and updated inventory of land cover with related statistics in an additional part of the country using also the method of area/multiple frame (MF) for integrated use of information and decision support tools for improved analysis planning and decision making for food security and

sustainable agriculture and identify needs to improve such capacities where required. By allowing critical activities to continue, the TCP will be able to maintain the momentum toward SAIS project activities and prepare the ground for a further rapid scaling up once the SAIS project is operational.

The main outputs are:

1. Maintenance of the momentum of the CSA activities on improving agriculture and environment statistics through the implementation of a land cover layers and the Area Frame for and additional part of the country (estimated 20%) based on recent satellite images and ground truth studies.
2. In anticipation of upscaling to national application, regional statistics and agriculture departments made ready to improve agriculture and environment statistics through technical assistance and advocacy to CSA, MoARD and in particular Regional BoARDS to fully implement the harmonized statistical methodology and the generation of official Woreda level agriculture data.
3. Enhance CSA capacity for improved dissemination and utilization of agriculture, food security and environment data through the development of a Relational Database Management System and support FAO software installed at CSA.

c) Project start up and implementation

d) Outputs, process and outcomes

e) Impact, catalytic role, impact, sustainability and follow-up

f) Project priority and relevance

TCP/ETH/3303

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	
Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

8. TCP/ETH/3003: Training of disabled persons in agro-based cottage industry

Original Budget: US\$ 299,560 – September 2004 to December 2006 (27 months)

Status (in December 2009): Operationally Closed

a) Background and context of intervention

Notwithstanding the wealth of animal and crop materials available and the enormous potential that exists for small-scale processing, trading and value addition production, the country is poorly served by domestic agro-industries. Everywhere where there are people there are markets, but exploitation and development of markets requires particular skills and information much of which is not available to the Ethiopian smallholder, trader or entrepreneur. A measure of success has been achieved in the main urban centers, but little has changed in the countryside. The considerable potential for small-scale agro-industrial development away from the urban centers has not been exploited.

About 85% of disabled people live in rural areas and are particularly disadvantaged economically³². Unfortunately, many disabled people are unable to contribute to the well being of their communities and become marginalised by society-at-large and quickly lose confidence in their ability to make changes, and become increasingly insecure and isolated. This is particularly so where the head of the family may become disabled. There are few safety nets available within civil society at large with which to provide a measure of assistance.

One sector in which disabled people may be able to learn skills and become productive and self-supporting is small scale agro-based cottage industry. The sector has an important role with the provision of employment and wealth creation for communities; it enables value to be added to raw materials and provides a measure of economic security. Given the difficult working conditions found in many production centers, markets and factories, the role of disabled people has to be considered with care. Most disabled people will be unable to work in the normal workplace. Adaptations to processing lines, to production techniques and to control of equipment may have to be considered. Access to able-bodied people within a production team will normally be essential.

b) Project objectives and design

Capacity building was supposed to focus upon the establishment of facilities that enhance the delivery of appropriate and sustainable human resource development systems and services in Oromia Region. It should have developed formal and informal education routines and programs that bring rural disabled people into community networks. Project funding was planned in order to have a catalytic role and to be used to enhance standards, improve facilities and provide for the special needs of disabled people for access to laboratory, transport, equipment and post-training and for small-scale investments in start-up kits. It is essential that disabled students are able to obtain practical experience with enterprises that come within the capability of their particular disability, as part of their training.

³² Quantifying numbers of people by disability is difficult, but WHO estimates that ten percent of the population in Ethiopia are disabled. Reporting by the UNWPP, however, put the proportion of Ethiopians disabled at about four percent.

The objectives of the assistance are the following:

1. To provide disabled people in rural communities in Oromia Region with sufficient training to enable them to make a sustainable living from processing and/or trading agro-industrial goods and/or providing services.
2. To develop appropriate training materials and methods and a national training strategy on economic re-integration of the rural disabled persons in Ethiopia. The project will show that disabled people are capable of independently earning income and contributing to the economic security of their community.
3. The project will build the capacities within regional institutions through the provision of a nucleus of skills, resources and information that can be replicated in other parts of the country. This will be done with the establishment of a network of supporting services, where disabled people can be trained in one or more commercial income generating activities to enable them to establish a small viable enterprise.

c) Project start up and implementation

The project was to be implemented by the Ministry of Agriculture through the Ambo College of Agriculture (ACA) in four distinct phases for a duration of 18 months:

1. Inception phase: (Months 1-3)
2. Training phase: (Months 4- 12)
3. Training materials development phase: (Months 12 -16)
4. Institutionalization phase: (Months 17-18)

d) Outputs, process and outcomes

e) Impact, catalytic role, impact, sustainability and follow-up

f) Project priority and relevance

TCP/ETH/3003

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	

Achievement and quality of Outcomes	
Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

9. **TCP/ETH/3201: Assistance to improve date palm production in Afar region**

Original Budget: US\$ 268,000 – April 2008 to December 2010 (32 months)

Status (in December 2009): Operationally Active

a) Background and context of intervention

Afar region is naturally semi-arid and arid and considered one of the most impoverished zones in Ethiopia. The significantly inadequate rains in some of the last few years have subjected the region to critical situations of food shortage. In times of critical food shortage, date palms growing wild along Awash River and the seasonal streams contributed to the provision of food both to pastoralists and their animals. Furthermore, and as indicated by Afar regional officials, most of the dates imported during the last few years to Ethiopia were diverted to Afar region to partially contribute to food security.

Although date palm is well known as a cultivated or wild grown crop in several regions of Ethiopia, Afar region is by far the most important one in date palm cultivation. However, the date palm crop has not been the subject of improved management practices to ensure an economical yield. The development of the date palm in Afar region has long been considered a priority by the Ethiopian authorities because of its potential in contributing to food security. Women play a very important role in nursery activities and in the post-production phase, actively participating in packaging and marketing of dates.

However, this well intended process has encountered a number of obstacles among which the following: shortage of technical expertise and lack of proper research and development activities in date palm cultivation, production, protection, harvesting and post-harvesting handling; absence of high-quality date palm cultivars, seedlings/offshoots leading to a scarcity of planting material to renew dying and moribund trees; reliance on seed propagation that resulted in a huge number of male trees and poor quality date palm of local varieties; poor packing and processing of dates for markets located outside the area of production.

Considering the noticeable and increasing involvement of Afar pastoralists in agriculture and the growing contribution of date palm in food security and income generation in the region, the Government of Ethiopia has requested the FAO assistance to address some of the constraints mentioned above.

b) Project objectives and design

The project is expected to help small farmers involved in date palm production to improve their skill and knowledge and to increase the date palm production at a household level which will contribute to the improvement of the nutritional status of the family and boost their incomes which can be used for health, education and purchase of other essential commodities. The surplus production was supposed to attract the interest of traders from other areas which is expected to boost the micro economy of the region.

The project is expected to strengthen and develop the capabilities of the Afar Regional Government and of farmers in date palm cultivation improvement and full utilization through the provision of modern technologies, expert advice, training and high quality planting material. Specifically, the project is expected to:

- enhance the technical capacity in Afar in date palm propagation, cultivation and production;
- introduce high-quality international cultivars (plants produced in vitro); selection and propagation of superior indigenous ones;
- introduce improved date palm cultivation, production and protection (IPM) technologies;
- establish a date palm propagation nursery;
- propose a preliminary strategy for date palm handling and marketing for the domestic market;
- prepare a follow-up project proposal for submission to potential donors.

c) Project start up and implementation**d) Outputs, process and outcomes****e) Impact, catalytic role, impact, sustainability and follow-up****f) Project priority and relevance****TCP/ETH/3201**

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	

Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

10. ***TCP/ETH/2907: Rehabilitating and Safeguarding Livestock Trade through Establishing Disease-free Zones***

Original Budget: US\$ 200,000 – March 2004 to August 2005 (17 months)

Status (in December 2009): Operationally Closed

a) Background and context of intervention

The vulnerability of livestock trade to disease epidemics is undermining investment in a potentially valuable economic activity which would increase employment in rural areas, raise rural incomes and, thereby, assist in alleviating poverty. The diseases responsible for the risks effectively prevent the entry of the countries into world trade in livestock. The projects aims at the establishment of disease-free zones (DFZ) within which animal production can be conducted free from the impact of the major diseases and from which livestock trade can proceed in a manner less vulnerable than when the diseases are constantly present. The essence is to develop an open and transparent system, quality-assured by a competent regulatory veterinary service, which can produce a quality product in which trading partners can have confidence.

Full establishment of DFZs must be expected to take decades rather than years and this project is designed to assist in the initial stages to provide a sound foundation for future developments. Implementation of pilot DFZs and monitoring of benefits gained are expected to provide confidence to expand the programme and an economic justification for doing so.

In establishing DFZs it is necessary not only to exclude from them the major diseases but to try to reduce the weight of infections in the surrounding livestock populations. Unless this is done the risk of re-invasion of the DFZ might prove too great to manage and the whole development be brought unnecessarily into disrepute. Thus, establishing DFZs must be viewed within the context of the overall progressive control of the major transboundary animal diseases which constrain production and trade. It is therefore linked to national policies needed to ensure adequately functioning public good veterinary services capable of exerting control over transboundary animal diseases. The GoE is aware of this and GoE is actively planning to strengthen the necessary services in the immediate future in order to ensure implementation of newly-gazetted animal health regulations. In all these activities the public and private sectors need to be brought into a close working relationship; this is fundamental to success.

Other initiatives in the region are addressing related issues, and this project will fill a critical gap in using information gleaned from earlier work to practical advantage; action is needed urgently to regain the confidence of investors and trading partners. It will also assist FAO to develop precepts for operating DFZs.

b) Project objectives and design

The outputs from the project are expected to provide guidelines and a clear plan to establish DFZs and, if possible, to be involved in the initial stages of its execution. The process is expected to bring the private and public sectors into a full working partnership and to lead on to increased investment from the private sector. If successful it could act as a model to be replicated elsewhere in the region. Because livestock trade underpins the economies of large areas of Ethiopia, it is expected that sustained livestock trade will in time directly benefit a large proportion of the inhabitants. Enhanced trade will not only impact positively on the livelihoods of pastoralists and others directly and indirectly involved in livestock trade but will generate foreign exchange and tax revenue for the government. The project is gender neutral in having a positive effect on all family members through improved livelihoods.

Without this action to capitalise on gains made in disease intelligence it is unlikely that livestock production and trade will develop and escape frequent damage as a consequence of disease epidemics. The outcome of this project is designed to immediately feed into the use of government and private funding to establish DFZs and be visible in increased trade and income/revenue generation.

c) Project start up and implementation**d) Outputs, process and outcomes****e) Impact, catalytic role, impact, sustainability and follow-up****f) Project priority and relevance****TCP/ETH/2907**

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	
Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

11. TCP/ETH/3101: TCP Facility: Original Budget: US\$ \$16,853 (total actual expenditure: \$169,883) – May 2007 to December 2008 (19 months)

Status (in December 2009): Operationally Closed

This overall project includes six different interventions each of one is described below as a separate project.

11a: Prioritization of FAO's Technical Cooperation and Intervention Areas for the Realization of PASDEP in Ethiopia (Approximate budget US\$ 31,335; October 2007 – December 2007)

a) Background and context of intervention

The current GoE's agricultural policy shows a significant shift in strategy towards a more market-oriented agriculture, at national and international levels, and the promotion of private investments. These shifts need to be supported by a range of public investments and services. In particular, the challenges faced by the government will be the balancing act of managing the transformation to market oriented agriculture to take place in parallel with the productivity improvement of the subsistence farmers including those living in marginal areas.

FAO is committed to work with the government and provide support in interventions that are in line with its mandate. The sub regional office, recently setup, is not yet in a position to carry out a full scale National Medium Term Priority Framework exercise. Nevertheless it is important to narrow down areas of interventions to more manageable levels. Given the limited availability of TCP resources, not all requests can be supported by the FAO/TCP resources. Therefore, this TCPF proposal is required in order to assist the Planning and Programming Department of the MoARD in the identification of the most relevant intervention areas that are inline with GoE's priorities and FAO's mandate. Prioritization will help coordinate sector activities and promote the efficient use of scarce resources by directing them into agreed areas of project ideas that will fill the main gaps of the government to the achievement of its goals.

b) Project objectives and design

The project has four main objectives, which are:

1. To review what is already going on, selection of what should continue and identify main areas of support to the implementation of PASDEP.
2. To identify key institutions within and outside MoARD with which to cooperate including cases where more than one institution to be served.
3. To outline the main nature of FAO's support including information, advocacy, policy and technical advice, investment preparation etc.
4. To reach at indicative cost of FAO's support from own resources and the need for extra funding.

c) Project start up and implementation

d) Outputs, process and outcomes

e) Impact, catalytic role, impact, sustainability and follow-up

f) Project priority and relevance**TCP/ETH/3101a**

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	
Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

11b: A study for the establishment of an independent crop variety evaluation body (Approximate budget US\$ 25,000; September 2007 – December 2007)

a) Background and context of intervention

In Ethiopia, the development and then the utilization of new crop varieties follows a rigorous steps of testing and release mechanisms before varieties are made available to the end users and enter into the production system. In this context, a National Variety Release Committee (NVRC) is in place, that comprises members who are voluntarily nominated and mainly from research and higher learning institutes. Hence, the NVRC together with a secretary permanently assigned for this purpose is responsible for both, the testing and release of new varieties. Accordingly, crop varieties will be developed and submitted for release by concerned institutes. Besides the evaluation results, recommendations will be made on the status of the varieties by technical committees delegated from these institutes. The final decision on whether to release or reject these varieties is also given by the national variety release committee drawn from the same institutions. The above stated facts revealed that the system in general permits a variety developer to be an evaluator and as well a decision maker on the merits of the varieties that he developed has been a bottleneck for the advancement of the system as a whole.

Therefore, the existing variety release procedure and mechanism, which has been in use for over 25 years is being amended in such a way to make it functional by an independent autonomous body, but under the auspices of the Ministry of Agriculture and Rural Development (MoARD). This project

is aiming at conducting a study on the formulation of a structure suitable for an independent body that would function on its own.

b) Project objectives and design

The study for the evaluation of the establishment of an independent body is very important at this time, not only because it will help build the capacity of the country as one component and also lays the ground for a neutral body that will create a condition to learn and adopt the good experiences of other countries relevant to Ethiopia. In this regard the study will assist the establishment of a reliable system, feasible at national and regional levels.

c) Project start up and implementation

d) Outputs, process and outcomes

e) Impact, catalytic role, impact, sustainability and follow-up

f) Project priority and relevance

TCP/ETH/3101b

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	
Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

11c: Preparation of a Trust Fund Project/Programme for Strengthening the Institutional Capacity of the Ethiopian Veterinary Services (Approximate budget US\$ 42,820; August – September 2007)

a) Background and context of intervention

Ethiopia must successfully uplift its smallholder-dominated livestock sector so that it can cope with international competition under rapid globalisation of trade, meet increasingly stringent sanitary

(SPS) requirements, and rising consumer expectations for quality and food safety. The country cannot achieve all this if the progressive weakening of the veterinary services (VS) continues. Ethiopia's VS must regain a capacity to develop a vision of its future; contribute to enabling conditions for service to smallholders as well as larger players; undertake transparent and reliable regulatory tasks and, in all other ways contribute to a less risky and more profitable livestock sector.

This TCP Facility project is to develop proposals for funding a revitalised Federal Veterinary Service; it will need to use a highly participatory/consultative process that will engage not only government but also private veterinary practitioners; the farmers, and donors. Special efforts will be made to ensure close involvement of Donors that are currently involved in livestock development projects; this should facilitate subsequent donor interest in funding the follow-on project to be prepared.

b) Project objectives and design

The main objectives of this project are:

1. To assess and identify the prevailing institutional capacity and critical technical gaps that resulted in the weak veterinary services management system in Ethiopia .
2. Using a highly consultative process with national and donor stakeholders develop and promote funding for a multi-donor trust fund project proposal covering 5 years institutional capacity support to strengthening the veterinary services in Ethiopia.

c) Project start up and implementation

d) Outputs, process and outcomes

e) Impact, catalytic role, impact, sustainability and follow-up

f) Project priority and relevance

TCP/ETH/3101c

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	
Catalytic role/Sustainability	

Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

11d: Strengthening Artificial Insemination (AI) Service Delivery in Ethiopia (Approximate budget US\$ 20,000; July 2007 – December 2007)

a) Background and context of intervention

The Ministry of Agriculture and rural development at present has given much attention to carryout cattle genetic improvement than ever before. To this end, the Ministry has put a plan to strengthen the breeding services and initiate indigenous cattle breed improvement through the co-implementation of crossbreeding and pure breeding strategies through rehabilitation of the two existing breeding ranches, establishment of two new nucleus breeding units and four semen production sub-centers.

The government supported breeding services since its beginning has focused only on crossbreeding strategy to improve milk productivity of the local breeds. The breeding infrastructure and artificial breeding services, which is only available to promote crossbreeding strategy, is a threat to the indigenous cattle breeds. This threat if not considered will scale-up unless a strategy for improvement of indigenous cattle through pure breeding strategy is introduced. From the technical and infrastructural point of view, the co-implementation of both the crossbreeding and pure breeding strategy at a larger scale requires technical planning and investments which include new infrastructure establishment for scaling up and rehabilitation of the existing breeding schemes. For this to be realized as envisaged, project documents have to be prepared first to indicate the investment volume required as well as identification of potential financier organizations.

Artificial Insemination (AI) is the only new technology employed in cattle genetic improvement of the country. The field AI service in the regional states gets improved genetic material in the form of semen from National Artificial Insemination Center (NAIC). NAIC has owned only one exotic breed nucleus-breeding scheme to produce elite males for implementing its semen production activity. NAIC is the only institution that operates semen production activity in the country. The infrastructure NAIC owns to carry out this activity is limited in terms of the space for handling bulls and for semen production. NAIC also has a limited technical staff. The volume of semen it processes from different breeds for use is also limited. If the demand from the field AI service increases both for the volume of semen produced and breed preference, NAIC's semen production facility does not satisfy the demand. Therefore the creation of additional semen production sub-center is important to overcome the problem.

b) Project objectives and design

Produce project documents that details both technical and infrastructural requirements to establish breeding schemes by indicating the volume of investments required and potential financiers for their implementation.

c) Project start up and implementation

- d) **Outputs, process and outcomes**
- e) **Impact, catalytic role, impact, sustainability and follow-up**
- f) **Project priority and relevance**

TCP/ETH/3101d

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	
Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

11e: Identification and characterisation of promising international agricultural extension best practices for adaptation to Ethiopia (Approximate budget US\$ 46,500; June 2007 – October 2007)

a) Background and context of intervention

In a meeting between the FAO Representative and His Excellency Ato Addissu Legesse, Deputy Prime Minister and Minister of Agriculture and Rural Development (MoARD), a wide-ranging discussion of priorities and approaches to uplifting the rural population was held.

Of the areas for immediate FAO support, Ato Addissu singled out the need for improving Ethiopia's extension approaches. For increasing agriculture productivity in Ethiopia, greater injection of knowledge and capacity building will be critical, hence the need to ensure the extension services are perfected in their messages, delivery approaches and organisational formats, and linkages to other vital elements of technology transfer, including links to research.

With a view to making improvements, Ethiopia's MoARD has done some reviews of its extension system but has come to realise that there is great need to draw on international best practice from selected countries where agricultural development has been particularly successful. The justification

for FAO involvement is thus the self-evident exposure and in-depth knowledge and institutional memory of international experiences; it can assist also in efforts to adapt to Ethiopia's special circumstances. FAO assistance will be useful to Ethiopia in many areas of policy, strategy and institutional development but support to extension is the intervention considered most urgent by Government and deserves support.

b) Project objectives and design

To provide to Ethiopia a concise report and recommendations for best practices in agricultural extension from selected highly-successful countries, together with a draft project proposal for implementing its key recommendations on a substantial scale.

c) Project start up and implementation

d) Outputs, process and outcomes

e) Impact, catalytic role, impact, sustainability and follow-up

f) Project priority and relevance

TCP/ETH/3101e

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	
Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

11f: Short Term Technical Assistance for setting up small irrigation scheme (Approximate budget US\$ 14,990; May 2007 – July 2007)

a) Background and context of intervention

Irrigation engineering skill is critically missing in the Lanfero Wereda of Silitie Zone, SNNPR which is part of an ongoing pilot project on Promotion of Paprika Production and Export being executed by the Silitie Farmers Cooperative Union in collaboration with the Lanfero wereda and Silitie Zone Administrations. As a result the implementation of the small irrigation scheme delayed despite the fact that most of the requisite inputs notably: A full-fledge feasibility study, Two powerful pumps with inbuilt generators procured, materials for pipe works and constructions acquired, unskilled and semi-skilled labour mobilized. The irrigation scheme is envisaged to be in place to supplement the upcoming main rainy season and as a compulsory for short rainy season to introduce two cycles per year.

b) Project objectives and design

To render an immediate expertise service to complement and fill the skill gap encountered by the locally deployed expertise in Lanfero Wereda of Saltier Zone, SNNPR, Ethiopia, to expedite the implementation of the Model Small Irrigation Scheme over 200 Hectare Land

c) Project start up and implementation

d) Outputs, process and outcomes

e) Impact, catalytic role, impact, sustainability and follow-up

f) Project priority and relevance

TCP/ETH/3101f

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	
Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

12. TCP/ETH/2908: Assistance in the Preparation of a Medium-term Investment Programme and Formulation of Bankable Projects in Support to the CAADP Implementation

Original Budget: US\$ 120,000 – November 2003 to October 2005 (23 months)

Status (in December 2009): Financially Closed

a) Background and context of intervention

In an effort to halt and reverse the decline of the agricultural sector in the continent situation, the African Ministers of Agriculture unanimously adopted, at the 22nd FAO Regional Conference for Africa (ARC) on 8th February 2002 in Cairo, a resolution laying down key steps to be taken in relation to agriculture in the framework of the New Partnership for Africa's Development (NEPAD). As a follow-up to this resolution, they endorsed, at a special NEPAD-focused session of the FAO Regional Conference for Africa held in Rome on 9th June 2002, the NEPAD Comprehensive Africa Agriculture Development Programme (CAADP), that had been prepared by the NEPAD Secretariat in co-operation with FAO, at the request of the NEPAD Steering Committee.

The recent Declaration on Agriculture and Food Security in Africa ratified by the African Union Assembly of Heads of State and Government during its Second Ordinary Session, held in Maputo in July 2003, provided strong political support to the CAADP. As an immediate follow up to the Maputo Declaration, representatives of 18 African Ministries of Agriculture from countries members of the NEPAD Implementation Committee, the NEPAD Steering Committee, the African Development Bank, the World Bank, the International Fund for Agricultural Development, the World Food Programme, FAO and civil society, met in Rome on 17 September 2003, hosted by FAO, in order to discuss the implementation of the CAADP, and specifically, the methodology for the review/update of the national long-term food security and agricultural development strategies, the preparation of national medium-term investment programmes and the formulation of the related "Bankable Projects", which will not be stand-alone proposals, but will be anchored to and deriving from the national strategy and the medium-term investment programme.

Participants in the meeting stressed the importance of NEPAD as an African-conceived, led and owned process, and called for all follow-up processes intended to translate CAADP into action at national, sub-regional and continental level to clearly reflect African ownership. They highlighted the need for (i) responsiveness of priorities derived through NEPAD consultative processes; (ii) external support to be better co-ordinated or harmonised; (iii) greater openness of partners to new ways of doing business so as to give Africa the necessary developmental impetus. They also agreed that national CAADPs should build upon national strategies and policies, including PRSPs. Hence, investments projects/programmes should be considered alongside the increasingly adopted programmatic lending which offers governments greater flexibility in application of resources to development. The importance of addressing policy and institutional constraints, including at the macro-economic level, was recognised as necessary for better attracting investment and making resources more productive. The stepwise process outlined by FAO for preparation of "Bankable Projects" was perceived as a move forward that could be further elaborated through consultation and refined during application.

Participants also recognised the importance of a participatory approach aimed at achieving genuine ownership. Accordingly, potential investors (international and regional financing institutions, donors and the private sector) as well as the other principal stakeholders (governments, NGOs, farmer groups and community-based organisations), should be involved in the process at the earliest stage, along the lines established by the Government.

The importance of placing projects in the context of strategies and programmes, and of prioritised development plans, medium-term programmes and similar frameworks, as well as of instruments such as general budgetary support, was also stressed by the participants.

b) *Project objectives and design*

The objective of the assistance will be two-fold:

- To formulate medium term investment programmes reflecting the commitment to allocate within five years at least 10% of the national budget to agriculture in the Maputo Declaration of Heads of State and Government of the African Union. If necessary, translate them into law programmes to be submitted by the Government to the Parliament.
- To prepare a portfolio of “Bankable Project Profiles” within priority areas identified in the Maputo Declaration at national level (water control and rural infrastructure) but also in additional areas of concentration to be identified during the first stage in accordance with the specific needs of the country.

The above process must be owned and driven nationally and implemented in close coordination with other activities in the country such as the SPFS. It will also require the coordinated support of donors with the ultimate purpose to provide immediate cooperation to the Government in the preparation of the technical documentation needed for the presentation of identified projects to various development partners during Consultative Group Meeting or other ad hoc fora and gatherings.

c) *Project start up and implementation*

d) *Outputs, process and outcomes*

e) *Impact, catalytic role, impact, sustainability and follow-up*

f) *Project priority and relevance*

TCP/ETH/2908

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	

Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	
Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

13. TCP/ETH/3202: TCP Facility

Original Budget: US\$ \$38,199 – August 2008 to December 2009 (16 months)

Status (in December 2009): Operationally Active

- a) Background and context of intervention**
- b) Project objectives and design**
- c) Project start up and implementation**
- d) Outputs, process and outcomes**
- e) Impact, catalytic role, impact, sustainability and follow-up**
- f) Project priority and relevance**

TCP/ETH/3202

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	
Catalytic role/Sustainability	

Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

14. TCP/ETH/3202 BABY01: Technical Assistance in the preparation of project documents to address the Issue of Soaring Food Prices, and the Identification of the Funding Sources

Original Budget: US\$ \$38,199 – August 2008 to December 2009 (16 months)

Status (in December 2009): Operationally Active

- a) Background and context of intervention**
- b) Project objectives and design**
- c) Project start up and implementation**
- d) Outputs, process and outcomes**
- e) Impact, catalytic role, impact, sustainability and follow-up**
- f) Project priority and relevance**

TCP/ETH/3202 BABY01

Evaluation Summary Table for TCP projects	Score 1-6
Overall relevance to country needs and priorities	
Overall conformity to FAO priorities and comparative advantages	
Feasibility, clarity and appropriateness of design (either at formulation or as specified on project start-up)	
Implementation	
Outputs and process, quality and quantity	
Achievement and quality of Outcomes	
Catalytic role/Sustainability	
Follow-up (actual or potential)	

*: 1=very poor; 2=poor; 3=inadequate; 4=adequate; 5=good; 6=excellent

Appendix 3: Evaluation team

Brian Perry (Team leader, as well as the areas of animal health and the pastoralist livestock emergency interventions impact assessment).

Professor Brian Perry, a British national resident in Kenya, has undergraduate, post graduate and doctoral degrees in veterinary medicine and tropical animal health, with a specialisation in epidemiology and impact assessment. His long international research career has focused on the resolution of animal health issues affecting developing countries, in particular through integrating quantitative veterinary epidemiology and agricultural economics to inform policy on livestock contributions to poverty reduction. Prof. Perry has worked and lived in many countries of Africa, Asia and Latin America, and has served as a consultant to a variety of international organizations and national governments. He has lived and worked in Ethiopia, and undertaken several projects and consultancies to the country. He has published more than 250 scientific articles in refereed journals, books and proceedings. He was elected a Fellow of the Royal College of Veterinary Surgeons in 1995 for “meritorious contributions to learning in the field of veterinary epidemiology”. In 2002 he was appointed Officer of the Order of the British Empire (OBE) in the Queen’s New Year Honours for “services to veterinary science in developing countries”. In 2004 he won the International Outstanding Scientist Award from the Washington-based Consultative Group for International Agricultural Research. He holds honorary professorships at the Universities of Edinburgh, UK and Pretoria, South Africa, and a visiting professorship at the University of Oxford, UK.

Lori Bell (evaluation manager as well as the area of food security) has an undergraduate degree in commerce and a graduate degree in epidemiology and biostatistics. Over her 20 year professional overseas career, Ms. Bell has worked in both technical and management capacities and for a number of different stakeholder groups including donors (CIDA), UN (FAO, UNHCR, WFP) and non-government organizations (SC, MSF, IRC) in both relief and development settings (Pakistan, Mozambique, Ethiopia, Sudan, Thailand). Ms. Bell has a strong research orientation and has taken part in a large number of social studies, appraisals, assessments and evaluations in the area of food security and nutrition. Most recently Ms. Bell joined the Office of Evaluation at FAO in Rome where she is responsible for designing, managing and frequently participating in independent evaluations of the Organizations work.

Robert Tripp

Robert Tripp has a doctorate in social anthropology and has spent most of his career working on issues related to agricultural research, extension and policy. He was a member of the Economics Program of the International Maize and Wheat Improvement Center (CIMMYT) from 1978 to 1994, based first in Ecuador and then at headquarters in Mexico. He was involved in methodology development and training in adaptive on-farm research, did research on technology adoption, and coordinated program activities in Africa and Central America. From 1994 until 2006 he was a research fellow with the Overseas Development Institute (ODI) in London where he conducted research on a range of themes including seed policy, natural resource management, and biotechnology as well as coordinating the Agricultural Research and Extension Network (AgREN). Since 2006 he has been an independent researcher and consultant. He is the author of numerous journal articles and book chapters and is the author or editor of five books on subjects including seed systems, low-input agriculture, and transgenic cotton.

Yewubdar Kassa

Ms Yewubdar Hailu Kassa, Resource Economist, holding M.Sc. degree in Management of Natural Resource and sustainable agriculture from Norway Agricultural University, AAs, B.Sc degree in agricultural economics from the Alemaya University. Ms. Kassa who has over 22-years Experiences on rural development, agriculture and livelihoods with expertise in cross-cutting issues like gender, HIV/AIDS and environment. She has proven knowledge and skills in a result-based program cycle management in general and participatory Planning, monitoring and evaluation in particular and is well equipped in theoretical knowledge and practical skills in participatory planning and evaluation tools and methods, designed result based, gender responsive programs, developed, directed, managed, monitored and evaluated various development projects/programs including integrated food security programs (e.g. funded by USAID, CIDA, NORAD, NCA etc.), designed and conducted socio-economic and ecological baseline surveys, knowledge and experiences in gender mainstreaming at program, organizational and policy levels. She has led and /or conducted various evaluation missions and impact assessments, and related surveys for various bilateral and multilateral agencies (e.g. the World Bank, Austrian development cooperation, the Royal Netherlands Embassy, EthioDanish program) . Well aware about the national policies, strategies related to rural development and food security, gender and women empowerment, national plan of action for gender equality. Ms. Kassa has travelled in most part of the country, and familiar with development opportunities and challenges, and related risks.

Tsukasa Kimoto

Mr. Kimoto has an MA degree in international studies from the Johns Hopkins University, USA, with the concentration on international economics (international commercial policies on agricultural commodities). He also attended the Executive Management Programme “Leaders in Development” at Harvard Kennedy School, USA. Over the past four years Mr. Kimoto has been independent International Cooperation Support Consultant (policy, rural development, coordination and partnerships, and resource mobilization). In this capacity he has undertaken various consultancy assignments such as FAO Representative in Turkey a.i. and acting FAO Coordinator for Central Asia, FAO Programme Coordinator a.i. in Tajikistan, and JICA expert as Agriculture Policy Advisor to the Minister of Agriculture of Afghanistan. Mr. Kimoto started his 26-year long career with FAO in 1979 as FAO Liaison Officer at the UN Headquarters, NY. Subsequently he was transferred to HQs where he became Senior Programme and Budget Officer, PBE; as Head of Programme Unit, his responsibilities included to take care of the UN Joint Inspection Unit affairs as regards FAO, programmes and budgets of the FAO decentralized offices, and programme coordination with other UN agencies. He was FAO Representative for 13 years in Sri Lanka/Maldives, Liberia, Pakistan (FAOR a.i.), Laos, Indonesia, and Cambodia, until retirement from FAO in 2006.

Tesfaye Kumsa

He graduated in 1979 with Bachelor Degree in Animal Sciences from Alemaya College of Agriculture and joined the Ethiopian Institute of Agricultural Research as Assistant Livestock Research Officer. Service at this institute has been at various professional and administrative capacities. Professional positions held were; Assistance research Officer, Research Officer, Research Division Coordinator, Senior Researcher, Livestock Research Department Coordinator, National Dairy Research Program Coordinator and Livestock Research Director. Served as Center Manager for two research centers

and involved in project appraisal mission of the World Bank in Ethiopia, project completion report of the African Development Bank on National Livestock Development Program of MOARD and on a SIDA-funded livestock trade study in Ethiopia. From March 2007 to date has gone into the private sector and is working as a Managing Director of a private commercial seed company.

James Gasana

James K. Gasana, is a Rwandan citizen, living in exile in Switzerland since 1993. His primary expertise is in tropical forestry, management of planted and natural tropical forests, and fertility of tropical forest soils. After serving in his country as director of integrated rural development projects and chairman of the National Agriculture Commission, he was minister of Agriculture, Livestock and Forestry (1990-1991) of Agriculture, Livestock and Environment (January-April 1992) and of Defense (1992-93). He resigned in July 1993.

He has extensive field experience in the planning and implementation of natural resource management and integrated rural development projects, in national planning of the rural sector, in managing negotiation processes to settle socio-political conflicts, and in working with international organizations. While in the Rwandan government, he refocused national agriculture and forestry planning on food security.

With regard to the Rwanda conflict, he made important contributions to the talks that led to the signing of the 4 August 1993 Arusha Peace Agreement, drawing the attention of the government and donors (UNDP, USAID, etc.) to the potential of resolving the country's ethno-political conflict using "Peace through Development" programs targeting the rural sector. He headed the government Delegation in one of the crucial phases of the peace negotiations in Arusha, Tanzania.

He got his B.Sc. in Forestry (Honours) from Makerere University, Kampala, Uganda (1974), his M.Sc. in Forest Management from the Los Andes University, Mérida, Venezuela (1978), and his Ph.D. in Forestry, Wildlife and Range Sciences from the University of Idaho, USA (1983). The University of Idaho awarded him with its *Alumni achievement award* (1993). His other awards are the *Honorary Canon* of the Anglican Episcopal Church of Rwanda (1991) and *Honorary Member* of the Swiss Forest Engineers Association (1997), the first award to a non-Swiss national since the society's foundation.

He currently divides his time between the Swiss Organization for Development and Co-operation (Intercooperation) and independent consultancies in international forestry, forest and natural resources management and related fields. In Intercooperation he is programme officer in the Forestry and Environment team (see www.intercooperation.ch). His activities relate mainly to international cooperation in the field of tropical forestry and international forest policy (see www.tropicalforests.ch). The time of his professional activities is divided between African, Asian and South American countries.

Appendix 4. Inception Mission Programme and Persons Met

Ethiopia Country Evaluation Inception Mission, 13 – 18 June, 2010

Date	Time	Activities
Sunday 13 June, 2010	15:00 19:00	Informal gathering with M.Chipeta, L.Thombiano, H.Ali, P.Vercammen Dinner with Abebe Gobeziegoshu (ex-BSF Coordinator)
Monday 14 June, 2010	09:30 – 11:00	Briefing FAO Ethiopia / Disaster Risk Reduction Unit Staff: Eleni Asmare, Daniel Beaumont, Hassen Ali, Lamourdia Thiombiano, Patrick Vercammen, Selam Geremew, Emebet Tilahun, Solomon Nega, Martha Ayele, Tarekegn Tola, Lemma Gizachew, Yibeucal Tinuneh, Lulseged Gebrehiwot, Zebib Asrat, Zelalem Tadesse, Fikre Mulugeta.
	11:30 - 12:30	Briefing/ Interview SFE Staff: Michel Laverdiere, Susan Minae, Lamourdia Thiombiano, Peter Otimodoch, Florence Rolle, George Machinkila, Meshack Malo, Afework Gebreyesus, Fantahun Assefa.
	13:00	Interview: Alemayehu Gebrehiwot Merkorios
	15:30	Dil Peeling, CTA –Regional FAO IGAD LPI project
	17:00	Interview: Mulugeta Tefera
Tuesday 15 June 2010	08:00 –08:30	Meeting with Mr. Wondirad Mandefro, Agriculture Extension Directorate Discussion with Dr. Edmealen Shitaye
	11:00 – 11:30	Meeting with Dr. Abera Deressa, State Minister of Ministry of Agriculture & Rural Development
	12:00-13:00	Meeting with Mr. Hailu Hankiso, Safetynet & Household Asset Building Prog. Coordinator and Hailu Ankiso, Off-Farm Activities Sr. Expert, Food Security Directorate
	afternoon	BSF Impact Assessment Working Group (Eleni Asmare, Senait Zewdie, Nigussie Alemayehu, Aweke Kebede, Biratu Gutema)– Lori
	2.00 – 3.30	
	3.30 – 5.00	CGIAR Centres (IFPRI, IWMI, CIMMYT and CIP) – Brian Andy Catley, Behanu Admassu, Yacob Aklilu (Tufts University)

Wedn 18 th June 2010	09:30 – 10:00	John Weatherson, Deputy Emergency Coordinator, FAO
	11:00	Belachew Hurrissa & Wondwosen, USAID funded SPS-LMM project.
	12:00-13:00	Interview – Dr. Getinet
	02:00 -02:45	Meeting with Ms. Margot Skarpeterg, Embassy Secretary dealing with humanitarian issues. Kidanemariam Jembere, Programme Officer
	4.00 pm-5.00 pm	Amy Martin, Deputy Head of Office at OCHA
	17:30	Interviews: Getahun Tafesse
Thurs 17th June 2010	09:00 – 09:30	Gijs Van'tKlooster, FAO Emergency Livestock Coordinator
	11:00 am	Alemayehu Semunigus, Food Security Expert and Arnaud Demoor, Head Rural Development and Food Security Section, EU
	12:00	John Weatherson, FAO Deputy Emergency Coordinator (Crops)
	Lunch	Emmanuelle Guerne Bleiche, Livestock Production Specialist, SFE
	Afternoon 2.30 – 3.30 pm	Joint mtg with NGO ECU partners: ▪ SelfHelp Africa Country Director – Dr. Wubshet Berhanu, ▪ FarmAfrica Country Director – Mr. Jonathan Napier, ▪ SC USA ▪ SC UK - Maria Ruiz-Bascaran and Matebie Fentie
	4.00 – 5.00 pm	UNDP Deputy Country Director - Ms. Cristin Musisi : UNDAF
	4:00 – 5:00 pm	Yohannes Regassa – ECHO Programme Officer
	5:30 pm	Interview : Azage Tegagne
	8:30 pm	Florence Rolle (World Bank ex. FAO) – donor liaison, RDISP

Appendix 5: Matrix of the evaluation framework

EVALUATION OF FAO'S PROGRAMMES AND COOPERATION IN ETHIOPIA				
Key Issues/topics	Key Questions	Criteria of judgment/Indicators	Data Collection Methods and Sources	Where
I. RELEVANCE: Are the components of FAO's Cooperation with Ethiopia addressing beneficiaries' short and long term needs, Government's priorities and donors' policies that motivated it?				
1.1 Implementing FAO's own Ethiopia strategy	Are the interventions based on the PASDEP and UNDAF strategies, and the Draft NMTPF? Has FAO analyzed its comparative advantages? Did FAO develop strategic thinking as to how its interventions are related to both the short term responses and the long term development needs of Ethiopia? Are there any missed opportunities?	FAO's strategy for Ethiopia Consistency of FAO's objectives and intended results with FAO's broader policies and strategies Consistency of FAO's objectives and intended results with PASDEP policies and strategies. Analysis done, documented and shared Strategies that were defined. Reflections on missed opportunities.	Interviews with FAO's Officials (HQ, FAOR, Regional Office) and partners in Addis Ababa and the regions; Document analysis	Rome, Addis Ababa
1.2 Addressing Donors' priorities	What are the Donors' priorities in the context of the FAO's comparative advantage in Ethiopia, and how are they taken into account?	Priorities and policies of relevant Donors.	Discussions in the Consultative Group meetings; Document analysis.	Rome, Addis Ababa

1.3 Addressing GoE priorities	– To what extent has FAO played the “honest broker” supporting dialogue between the GoE and other stakeholders (donors, private sector investment, etc)? – How does GoE view different activities of FAO in Ethiopia? Are there areas of divergence with FAO? – What is the place of FAO in policy advice in Ethiopia in the context of emergency responses and long term development? How has it evolved? Did it open doors for future FAO sustainable development initiatives? – How appropriate have FAO’s responses been to priority sectoral issues (Agriculture, Livestock, Forestry, Fisheries, water, Land tenure)? – How well does the FAO’s programme fit GoE current and emerging development strategies and priorities?	FAO’s leadership and status in Ethiopia Transition from humanitarian to development assistance Specific sectoral (Agriculture, livestock, natural resources) and land tenure approaches, strategies and priorities supported. Specific new and emerging issues	Interviews of GoE officials and FAO officials; Portfolio review Document analysis; Discussions in the Consultative Group meetings; Field visits.	Rome, Addis Ababa
1.4 Addressing beneficiaries’ short and long term	– Do the FAO interventions address the needs and priorities of the beneficiaries? – Is FAO’s strategy relevant to	Evidence of primary stakeholders participation in projects’ identification; The intervention strategies	Document analysis; Interviews of FAO officials, FAO’s partners, primary stakeholders and other	Ethiopia: Addis Ababa and field visits

needs	provide answers to deal with food insecurity and poverty of the most vulnerable in a sustainable manner? – How are women involved in the needs analysis and design of the projects? – Given the scale of the problems it had to address, did the FAO cover the expressed needs?	address the problems and needs analysis; Beneficiary profiles influence the choice of strategies. Needs of primary stakeholders are reflected in the planning. Consideration of gender issues Extent of needy groups and regions out of the reach of the influence of the FAO Needs in relation to the means made available.	stakeholders; Field visits	
1.5 International context	– How do the interventions relate to MDGs (eradication of extreme poverty and hunger; promote gender equality and empower women, ensure environmental sustainability)? – How have the FAO programmes affected indicators of the relevant MDGs? – How did the FAO interventions relate to UNDAF?	Relevant MDGs indicators; Relevant MDGs indicators Relevant indicators.	Interviews of FAO and GoE Officials; Review of FAO's documentation on MDGs accomplishments for Ethiopia.	Addis Ababa
2. FCS/PROJECT DESIGN: Are formal FAO/project concepts clear and achievable? Do they include desired and predicted outcomes?				
2.1 FAO and project design:	– Does the FAO strategy document provide a Logical Framework that	Indicators effectively allow measuring the results; where	Collection and analysis of information on food security	Addis Ababa;

	includes a logically valid causal chain from activities to outputs, outcomes and objectives, verifiable indicators and sources of verification, assumptions and risks? Are budgets broken down by outputs?	relevant; Indicators also allow disaggregation by gender, age, and other relevant variables? Logical Framework includes realistic assumptions Realistic planning of the interventions and in appropriate detail Budgets.	and vulnerability in Sudan.	field visits
2.2 Coverage of the interventions	– Has FAO's work targeted the most vulnerable areas and groups in the design and implementation of interventions? – Thematic coverage	Relevance of geographical and group targeting. Internal and external constraints to achieving coverage Covered thematic areas	Review of level of activity by geographic area and by target group compared to existing situation analysis available. Re-analysis of beneficiary assessment databases.	Rome, Addis Ababa
2.3 Linkages of interventions	– Are individual projects linked to higher levels (regional and national – micro and macro) and across sectors? – Are field interventions aimed at promoting changes at	Strategies for making projects contribute synergistically to FAO's higher level results. Approaches and planned activities		

	beneficiaries level linked with efforts for changes at policy level? – Are there thematic linkages within the FAO's strategy?	to inform policy processes with information from field interventions. Approaches and guidelines for effective thematic linkages.		
3. EFFECTIVENESS: Extent to which the FAO achieves its specific objectives on the basis of the delivery and use of its outputs by the beneficiaries, within its planned duration.				
3.1 At National level	Achievement of the objectives and outcomes; innovativeness and learning			
3.1.1 Meeting the objectives and intended results	– How has FAO helped to strengthen the capacity of the GoE to exercise leadership in developing and implementing their strategies? – To what extent the intended outcomes were reached? – Do the results address sector issues (agriculture, livestock, forestry, fisheries, land, water) and feed into GoE strategies?	FAO's Response to critical issues in Ethiopia (Food Security, Land tenure). Timely and effective implementation; Stakeholders perceive improvements. Perceptions of GoE and other stakeholders.	Interviews of GoE Officials and FAO Officials; Portfolio review with key stakeholders and partners.	Rome, Addis Ababa
3.1.2 Policy dialogue	How did FAO handle policy dialogue with GoE on important development issues?	Issues and dialogue outcomes. Advocacy activities and outcomes.	Interviews with FAO, GoE officials.	Addis Ababa, regions.
3.1.3 Coordination and partnership	– How was coordination of work organized between HQ, FAOR,	Mechanisms of coordination (vertical and horizontal) as set-up	Interviews with FAO officials and of partners;	Addis Ababa;

with stakeholders	SFE, Nairobi and Accra? Is there a clear approach of formalized division of labour? – Which partnerships with stakeholders did FAO develop and for which purpose and on what basis were these partnerships developed? – Which mechanisms for coordination and partnerships with stakeholders were put in place? – Which partnership processes were developed? What are the partnerships outputs and outcomes?	and practiced in the FAO; Partnerships in which stakeholders are involved in the FAO national programme: type (strategic, operational, consultative, advisory, policy, etc.), geographic coverage, sector of activity (public, private, civil society) Partnership processes: leadership, resources, characteristics of members, training. Operational elements: agreements or MoUs on defined purpose, reporting, meetings, decision making. Numbers, diversity, and participation of partners in each type of partnership, achievements.	Documents analysis	field visits.
3.1.4 Innovations, lessons learnt and good practices	– Did FAO stimulate innovation (new approaches, methodologies, technologies, etc.)? – Was the FAO effective in using up to up to date knowledge in order to reach the outcomes (good practices in development, poverty reduction, food security, environment, etc.)? – Is there an effort in identifying and	Pilot projects and initial results; new approaches; Information dissemination strategy Use of FAO's existing normative work Existence of particular thematic reflections or publications	Interviews of FAO staff and partners	Rome, Addis Ababa, field visits.

	documenting the FCS's innovations, lessons learned and good practices? – Are lessons learnt feeding into global practices (and vice versa)?	summarizing experiences. Use of standards that FAO promotes;		
3.1.4 Gender	– Is the FAO gender sensitive and does FAO have a gender mainstreaming strategy for its interventions in Ethiopia? – How the gender strategy is implemented and what are the outcomes? – Does FAO monitor achievements as far as gender is concerned? – Did gender related experience in the FAO inform GoE policy?	Commitment and proactive leadership at project level and in project area. Gender related advocacy activities. Existence of gender expertise in the projects Adequate resources are allocated to implementation of gender strategy. Dissemination and use of gender related lessons learned.	Interviews of FAO staff and partners	Rome, Addis Ababa, field visits.
3.1.5 Monitoring and Evaluation System	– What M&E arrangements are in place?	Existing Monitoring and Evaluation System and Plans; Evaluation capacity in place; Regular information from M&E. Clearly assigned responsibility to do monitoring and evaluation; staff and means.	FAO Officials and staff interviews; Documents analysis.	Rome, Addis Ababa.
3.2 At Project level	Achievement of the objectives and timely achievement of the outputs; innovativeness and learning			

3.2.1 Meeting the objectives and intended results	– To what extent the intended outcomes were reached (distinguishing the immediate results of the project for primary stakeholders, partners, institutions, policies)? What unplanned outcomes occurred (if any)? – With the Project did FAO do its best to select and organize the best knowledge to achieve the intended outcomes? – How has the project performance been in: Agricultural inputs provision, capacity building for beneficiaries, capacity building for Government and local partners, community and household assets improvement? – Were the activities executed in accordance with the best practices and standards in respective sectors?	Logical Framework indicators and assumptions. Work plans.	Interviews of project staff and stakeholders; Documents analysis;	Ethiopia; field visits.
3.2.2 Gender	– Was women's empowerment included in the project design? – Did the design also include concrete activities to empower women so for their participation in decision-making and project	Gender equality related indicators defined for project's results in the Logical Framework. Specific activities and processes defined and implemented.	Interviews of project staff and stakeholders; Documents analysis; Performance reports; field observations	Ethiopia- field visits.

	benefits, and are there provisions for monitoring and evaluation of gender differentiated outcomes? – What are the project's gender-related outcomes?	According to indicators in the Logical Framework.		
3.2.3 Innovations and lessons learnt	– Did FAO stimulate innovation in the Project (new approaches, methodologies, technologies, etc.)? – Did the management of the project test and implement any service innovation for the beneficiaries' use? What were the outcomes?	Innovative approaches/ methods/ technologies used; Innovative services to beneficiaries	Interviews of Project staff and project's partners; documents analysis	Addis Ababa, field visits.
3.2.4 Handover to national partners	– Do the projects offer opportunities for national partners to become directly involved? – Are there activities that support processes to involve local partners in taking over project activities?	Activities effectively handed over to partners.	Interviews of Project staff and project's partners; documents analysis	Ethiopia; field visits.
3.2.5 Monitoring	– Does the project have an M&E system that allows measuring its efficiency and effectiveness? – Is the M&E system designed to	Resources allocated to M&E (staff and budget); Information on performance based on Outputs and Outcomes indicators; Arrangements for baseline data collection; Information on project's	Interviews of Project staff and project's partners; documents analysis	Ethiopia; field visits.

	collect gender-disaggregated performance of the project? – Is the M&E linked to project management and decision-making mechanisms? – Is there a role given to stakeholders for the M&E? – What has the overall performance of the M&E system been? How are evaluation recommendations implemented (ex. In project design, implementation, feeding in policies, etc...) and how is their follow-up carried out?	performance in gender related issues. Links with decision-making mechanisms. Regular monitoring and auto-evaluation with the involvement of partners and beneficiaries; Arrangements for collection and analysis of data on achievement of targets (ME activities and budgets), costs; Follow-up of risks and assumptions; Plans for self and participatory evaluations; Reporting: format, reporting schedules according to management levels. Effective use of M&E information for adaptive project management. Examples.		
4. EFFICIENCY: How well the FAO programme was implemented technically, organizationally, procedurally, and financially.				
4.1 Technical	– To what extent has the project	Insights from project officials and	Interviews of FAO officials,	Rome,

aspects	delivered the planned outputs? – Was the intervention well targeted? – Were activities implemented and outputs delivered on schedule and within budget? – Were the outputs delivered economically (i.e. were the most cost effective resources and processes used)? – Were there any technical constraints (ex. roads, quality seeds availability, etc...) – What is the role played by each level (HQ, FAOR, Regional Office,) in project approval, launch and implementation.	beneficiaries. Target beneficiary groups and regions Work plans and budgets M&E systems and monitoring plans; Factors that might have contributed to costs (where it may apply). Roles at each level.	project staff, partners and stakeholders; Document analysis; Evaluations; Review missions reports	Addis Ababa, field visits.
4.2 FAO national Project Management and coordination	– Have the overall Project management and field coordination mechanisms been adequate? – What decision-making processes have impacted positively/negatively the implementation of projects?	Overall management coordination; Relationships with partners; Role of HQ, FAOR and Regional Office; Impacts of the mechanisms for Stakeholders participation (Steering committees, advisory committees, technical committees, etc.); Monitoring and self-evaluation mechanisms and effective use of		

	– How is the FAO working with GoE partner agencies, civil society organizations, and the private sector	ME information for FAO adaptive management. Approaches and modalities of collaboration and partnerships and results obtained.		
4.3 Organizational and logistical aspects	– Were personnel, finance and materials provided as planned and timely and were they adequate to meet the requirements? – Were the quality of FAO's inputs and services (expertise, equipment, training, approaches and methodologies) provided as planned? – Was coordination between different levels and services of FAO involved (horizontally and vertically) adequate? – Were coordination and the harmonization of FAO's activities with other national, regional, and local development interventions conceptualized and	Work plans and their implementation; -ditto- Overall coordination and management; Relationships at different FAO levels and with partners; Steering committee and other committees/groups (consultative, advisory, technical, etc.) Experts and staff;		

	implemented? – Was partners' institutional capacity sufficient?			
4.4 Project termination	Which factors were considered to decide on project termination? Was the post-project scenario decided based on a consensus among stakeholders?	Conclusion of planned outputs; achievement of outcomes and objectives; availability of funds; handover strategies.	Interviews of project staff and stakeholders.	Addis Ababa.
5. IMPACT: Wider effects of the FAO programme/project on individuals, gender, community groups, and institutions.				
5.1 Planned changes	What are the impacts on beneficiaries at household and community levels (food security, production, income, access to markets, gender equality, etc...)? What are the programme/project impacts on the capacities of partners in the working areas and at different levels (government agencies, civil society, and private sector)? How is the programme/project already affecting the broader society at relevant levels and what are the likely future impacts? How much did the programme/project contribute to reaching the Development objective?	Indicators defined in the Logical frameworks.	Interviews of Project staff, partners and other stakeholders. Document analysis. Individual project evaluations and impact studies.	Addis Ababa, field visits.

	What are the impacts on GoE policy processes and implementation?			
5.2 Wider planned or unplanned changes attributable to the project	Were there any wider impacts attributable to the programme/project, considering: poverty alleviation, gender issues, environmental impact, employment opportunities, value chain actors, etc.?	Criteria determined depending on type of change	Interview of project staff, partners and stakeholders.	Addis Ababa, field visits
6. SUSTAINABILITY: Whether programme/project results and impacts are likely to continue after the completion of FAO's respective intervention.				
6.1 From emergency to development	How does the FAO implement the transition from emergency to development?	How emergency and recovery strategies are harmonized. A vision of sustainability of recovery based on longer term development strategies. Recovery and reconstruction efforts seek to address root causes of vulnerability depending on the context.	Interviews of FAO and Governments officials, project staff, partners and other stakeholders.	Addis Ababa, field visits.
6.2 Durability of results	Are the outcomes likely to last for a long time after project termination? (If applicable) Did partners at national and local level make the necessary arrangements and take necessary decisions to ensure sustainability of the	Conditions of handing over counterparts; ownership. Measures taken by Government for sustainability of project results. Beneficiary organizations technical preparedness. Practices and examples.	Interviews of project staff, partners and other stakeholders.	Addis Ababa, field visits.

	programme/project's results? Are results technically and economically sustainable? Does the government conduct post-project follow-up?			
6.3 Ownership of programme/ project results	Has beneficiaries' involvement in the identification and implementation of project activities given them a sense of ownership? To what extent will the processes initiated by the programme/project continue after its termination? Are the beneficiaries using the outputs of the respective projects with a view of achieving the intended outcomes and impacts?	Leaders of beneficiary groups perceive changes in their capacity to plan and manage local development. Partners' preparedness to manage post-project situations: organizational, technical, capacities. Status of the use of outputs for impacts.	Interviews of project staff, partners and other stakeholders.	Addis Ababa, field visits.

6.4 Financial sustainability	What financial mechanisms are there to sustained project results if FAO's financial resources were stopped? Have beneficiaries' organizations reached financial sustainability and are members willing to pay for the services provided by the project?	Existence of locally managed funding mechanism. Payment of services by users.	Interviews of project staff, partners and other stakeholders.	Addis Ababa, field visits.
6.5 Institutional sustainability	Did the project build sufficient capacity at local level to help sustain the results?	Capacity that has been built.	Interviews of project staff, partners and other stakeholders.	Addis Ababa, field visits.
6.6 Use of acquired experience and methods developed after projects completion	Were they used in further assessment of needs? Did they feed in policy processes? Was there a systematic learning process based on a good information collection and valid reporting?	New needs assessments; Examples of use in policy processes.		

Appendix 6.

Terms of Reference

Independent evaluation of FAO's programmes and collaboration in Ethiopia

Impact Study of FAO emergency livestock interventions

1. Introduction

Ethiopia has been selected as the focus of an evaluation of FAO's programmes and collaboration during 2010. The Ethiopia Country Evaluation aims at improving the relevance and performance of FAO interventions, providing accountability and deriving lessons for better formulation and implementation in the future. The evaluation will focus on all interventions undertaken by FAO in Ethiopia over the period 2005-2010. The Ethiopia programme over the last five years includes US\$ 65 million worth of extra-budgetary project funding (94 Ethiopia dedicated projects). Almost half of these interventions have been to respond to emergencies, such as droughts and floods, while others have focused on development of the agricultural sector.

Prominent within FAO's emergency response programme has been interventions addressing the particular needs of populations in the mainly pastoralist regions of Afar and Somali, in which livestock play crucial livelihoods roles; 16 projects have had livestock themes, totally approximately US\$ 10 million and accounting for about 15% of FAO's budgetary allocations to Ethiopia. Those which are ongoing are shown in Annex 1.

2. Livestock Emergency Guidelines and Standards (LEGS)³³

The development of LEGS took over 5 years with a high level of participation by a number of organizations and specific oversight by a Steering Group comprising FAO, ICRC, African Union, VSF Europa and Tufts University. LEGS is linked to the Sphere project and the Humanitarian Charter and Minimum Standards in Disaster Response (the Sphere handbook). Training materials are currently being finalized to complement the guidelines.

After several years of collaboration and field testing by the involved agencies, in early 2009 the *Livestock Emergency Guidelines and Standards* (LEGS) were formally published as a set of international standards for improving the design, quality and impact of livestock interventions in humanitarian crises. One important use of LEGS is as a tool for the evaluation of livestock projects, and assessing the extent to which a particular agency and project followed the LEGS standards and guidelines. Such assessment can relate to the LEGS guidance on needs assessments, the LEGS common standards and the LEGS standards on specific interventions such as market support, veterinary care or livestock feed supplementation.

3. Evaluation of FAO Ethiopia Emergency Livestock Interventions

FAO is co-chair of the agriculture cluster in Ethiopia, supporting coordination, information sharing and planning amongst humanitarian agencies working in the agriculture sector. FAO has also played an important role in facilitating the Livestock Working Group and has participated in the Livestock

³³ <http://www.livestock-emergency.net/>

Policy Forum. Through letters of agreement, FAO channels financial resources to a large number of implementing partners (principally regional governments but also civil society organizations) for relief and rehabilitation interventions in a number of locations in the country. Most of the emergency livestock activities have been undertaken in lowland areas (the Somali, Borena and Afar regions).

This study will look at the extent to which LEGS is currently being used as normative guidance on good practice in humanitarian effort in the livestock sector by FAO and its partners, and review the past performance of selected emergency livestock interventions using the LEGS.

Key questions will include:

'To what extent are FAO & FAO's partners' staff (both in Addis and at the field level) familiar with LEGS?

How are the LEGS guidelines and standards being used in practice? How does the performance of FAO and its implementing partners measure up against the minimum standards, from needs assessment to the implementation phase?

In each of the projects evaluated, has LEGS been used in programme design and implementation?

Can clear benefits of the project be identified? Can communities rank the benefits attained from the project? Did the use of LEGS result in additional benefits?

What constraints/limitations and strengths are there to the application of the guidelines and standards on the selected interventions?

How could FAO & partners' approach (such as identification of project & activities, identification of implementing partners, working relationship with relevant government institutions, target communities, coordination modalities) to emergency livestock work be improved?

Can good practices and learning for future planning and decision making at the policy level be extracted and documented?

What practical recommendations can be made that will help LEGS as a programme and evaluation tool?

The LEGS standards have recently been used as part of an evaluation framework in pastoralist areas of northern Kenya affected by drought and subject to humanitarian livestock interventions. It is proposed to use LEGS as a framework for evaluating the effectiveness and impacts of FAO's work in emergency livestock responses, while at the same time helping to validate LEGS as a tool for programming and M&E in Ethiopia.

4. Terms of reference

4.1 Objective: To evaluate the effectiveness and outcomes, and impacts if feasible, of FAO's work in support of emergency livestock responses in Ethiopia, using selected projects in the Afar and Borena regions.

4.2 Description of Activities

A senior consultant (SC1) will be commissioned in Addis Ababa to supervise and backstop a systematic evaluation of selected emergency livestock interventions implemented under the FAO in two pastoralist areas of Ethiopia. The consultant will guide and provide support to a field consultant (FC) to undertake the field evaluation. The final report is the responsibility of the SC1, with written input from the FC. LEGS will be used as the criteria for evaluation. The evaluation will include a qualitative assessment of the extent to which both common and specific LEGS standards and guidelines were applied (depending on the intervention in question). The consultant will interview a sample of project beneficiaries and triangulate the information gathered to assess the effectiveness and outcomes and likely impacts of the interventions.

4.3 Outputs

- Inception report of 5-10 pages on the design, including regions and specific projects selected, based on a dialogue with the FAO Livestock Expert in Ethiopia, and taking into consideration both representativeness and the need to deliver a final report in September, to be submitted to the Evaluation Team Leader by 30 July.
- Terminal report of 15-20 pages including suggested recommendations to FAO on emergency livestock interventions in Ethiopia, and on suggested revisions to future editions of LEGS based on these findings to be submitted to the Evaluation Team Leader by 27 Sept.

4.4 Duration and Timing.

The evaluation will begin in July 2010 and a final report will be presented by 27th September 2010.

4.5 Projects to be evaluated

The evaluation will focus on emergency interventions which have included the core components of animal health, animal feed and water point rehabilitation. It will focus on projects with these core components in two distinct pastoralist regions of Ethiopia, namely Afar and Borena.

On the basis of these criteria, candidate selected projects have been identified as:

Afar region: OSRO/ETH/909/NOR and its precursors

Borena region: Selected components of OSRO/ETH/803/CHA and OSRO/ETH/804/EC

Confirmation of project selection will be made in the Inception Report.

Annex 1: Ongoing FAO Emergency Livestock Interventions 2010

Project Symbol	Project Title	Theme / Topic	Original Budget	Region (11 official)	Actual EOD (Start Date)	Actual NTE (End Date)	Operating Unit	LTO Unit
OSRO/ETH/908/CHA	Food security support to drought affected communities through emergency seed, vaccination and livestock feed in Ethiopia.	Food Security	\$800,360	not determined yet	2009-10	2010-06	TCEOA	AGPS
OSRO/ETH/909/NOR	Reducing the vulnerability of Afar pastoral and agro-pastoral communities to recurrent drought.	Livestock	\$714,005	Afar	2010-01	2010-12	TCEOA	AGAH
MTF /INT/084/AU	Technical Assistance to the Somali Livestock Certification Project (SOLICEP)	Livestock	\$485,716	Somali	2009-02	2010-12	AGAHD	AGAH
OSRO/ETH/910/SWI	Safeguarding the livelihoods of pastoralist and agro-pastoralist communities of Gelana, Abaya and Bulehora woredas of Borena zone, Oromiya Region.	Livestock	\$300,000	Oromyia	2009-12	2010-12	TCEOA	SFE

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Annex 2: Outline of the Livestock Emergency Guidelines and Standards 2009

Chapter 1: Livelihoods-based livestock responses in Emergencies

Chapter 2: Assessment and Response

Chapter 3: Minimum Standards Common to All Livestock Interventions

Chapter 4: Minimum Standards for Destocking

Chapter 5: Minimum Standards for Veterinary Services

Chapter 6: Minimum Standards for Ensuring Supplies of Feed Resources

Chapter 7: Minimum Standards for the Provision of Water

Chapter 8: Minimum Standards for Livestock Shelter and Settlement

Chapter 9: Minimum Standard for the Provision of Livestock

Note: each chapter includes a section on monitoring and evaluating performance.

Appendix 7.**IMPACT ASSESSEMENT: BSF/FAO PROJECT N.AMHARA AND S.TIGRAY****TERMS OF REFERENCE FOR THE IA STUDY COORDINATOR**

The Impact Assessment Study Coordinator (IA-SC) will demonstrate a solid understanding of the food security situation in northern Ethiopia, knowledge of existing food security policies, programmes and interventions (both Governmental and non-governmental), and have a proven track record in undertaking and leading social research, reviews and evaluations at community and institutional levels. The IA-SC will possess strong analytical skills, including the ability to write succinct, well organized reports that build on findings and develop conclusions based on evidence collected through a review of documentation, interviews, survey data and other data gathering efforts. As an independent evaluation exercise, the IA-SC will work under the supervision of the FAO Office of Evaluation, providing overall leadership and supervision for the implementation of the impact assessment including final responsibility for the impact assessment report.

1.1. Introduction

FAO Ethiopia, in collaboration with the Ministry of Agriculture and Rural Development and with the support from the Belgian Survival fund, has been undertaking a programme on "Improving Food Security and Nutrition" in Northern Shoa and Southern Tigray since 2002. The first phase of the project (2002-2006) was implemented in four woredas (40 communities), two in Southern Tigray and two in North Shoa that were identified as naturally degraded, vulnerable and deeply food insecure. A second phase 2006-2010 focussed on 40 new communities within the same woredas. The project has been involved in institution building and community empowerment, enhancing agricultural production and access to food and nutrition education and communication. It reached out to communities through the government-established system of "packages of technologies and knowledge". In the initial pilot phase, 8169 households were assisted. In the second phase to date 18,509 households have participated.

A number of monitoring and evaluation related activities have taken place over the course of the project implementation including:

- a 2000 community profiling exercise (pre-study)
- baseline community random survey in 2003 in all phase I communities.
- an independent evaluation of phase I (2005)
- baselines beneficiary census survey (2007) in all phase II communities
- an auto evaluation including beneficiary assessments (2009)
- a study commissioned on "Experience on Food Security Program Implementation in Tigray and Amhara Regions" (date?)

The BSF funded food security project is coming to an end in 2010 and it has been deemed critical to try to assess the overall impact of this 8 year investment as well as to consolidate learning with respect to effectiveness of the model that has been used and factors that have contributed (or undermined) it's success. For this reason, an independently conducted impact assessment is planned

for the second half of 2010 which will include as systematic review of all of the above monitoring and evaluation related data, a quantitative survey of households (both beneficiary and non-beneficiary) in project woredas, complemented by qualitative data gathering through key informant and focus group interviews at community, woreda, and regional levels.

This TOR describes the role and responsibilities of the study coordinator who is overall responsible for guiding the IA work and producing an analytical report. Further details on the impact assessment tools and methods can be found in the study protocol.

Evaluation has the dual function of accountability and learning. The purpose of evaluation is to determine the degree of success and/or failure of an ongoing or past undertaking (accountability), to learn from these experiences so as to improve future performance and outcomes (learning). These principles apply equally to this impact assessment. The planned impact assessment will be one input into the overall evaluation of the BSF projects' relevance, performance, results, impact and sustainability. It is expected that the impact assessment findings will lead to conclusions and recommendations useful for shaping future activities in support of household asset building for food insecure households. They will also contribute to the overall assessment of FAO's performance in Ethiopia.³⁴

1.2. 1. Responsibilities

The national consultant is recruited to lead the impact assessment based on the Impact Assessment Protocol. The IA-SC takes overall responsibility at different stages of the study preparation and implementation – as well as the preparation of the final report, under the supervision and quality control function of the FAO Office of Evaluation in Rome.

The IA-SC will have overall responsibility for leading the process, as well as directly carrying out specific parts of the assessment. S/he will be responsible for ensuring the quality of all the contributions to the report produced by the evaluation team members and for their consolidation in the final impact assessment report. Tasks will include, but will not be limited to:

- a. Reviewing all relevant documentation related to the BSF Programme 2002-2010, including the secondary information available such as a) national food security programme (old and recently revised), food security statistics in the region, results of any food security households surveys undertaken in the same areas, and b) project documents, logframes, progress and final reports, baseline studies, beneficiary studies, etc as listed above;
- b. Guiding the preparatory work through reviewing and discussing the draft IA protocol and related data gathering instruments, ensuring adequate communication between the FAO BSF project, IA study team and stakeholders at regional and woreda level about the IA;
- c. Monitoring the household survey field work through liaison with the survey supervisory team (Aug-October) during data gathering in Tigray and later in Amhara regions.
- d. Undertaking stakeholder interviews with key informants at regional and woreda levels (Aug-early Sept/10)

³⁴ An evaluation of FAOs cooperation in Ethiopia over the period 2006-2010 is occurring simultaneously during the second half of 2010.

- e. Contributing specifically to the analysis of the BSF programme through a) briefing of initial findings with the independent evaluation team for the Ethiopia Country Evaluation (Sept/10), and b) assembly and synthesis³⁵ of the IA findings and conclusions together with the IA team members, as well as the development of recommendations and preparing an IA Report (by Dec 2010);
- f. Presenting the findings, conclusions and recommendations of the IA to key stakeholders in Ethiopia (Jan 2011);
- g. Finalising and submitting the final report to the Office of Evaluation (Jan 2011). The report will conform to the format and length established by the OE.

1.3. 2. Code of Conduct

As members of the United Nation Evaluation Group, FAO is committed to the norms and standards of 2005 as well as to the ethical guidelines for evaluation published in 2007. It is therefore expected that consultants employed by FAO apply and/or ensure high professional standards in line with UN Evaluation Norms & Standards and Code of Conduct for Evaluation in the UN System. All team members will be asked to sign a Declaration of Interest, aimed at ensuring that consultants do not have a conflict of interest with regard to the programmes that they are evaluating.

1.4. 3. Channels of communication

The IA Study Coordinator will report dually to the FAO Office of Evaluation and to the overall team leader for the Independent FAO Country Evaluation. Key dates for the delivery of specific outputs are indicated in the section below. Any difficulties faced with the evaluation workplan should be immediately communicated to the evaluation team leader and to the Office of Evaluation.

1.5.4. IA Study Coordinator deliverables and duration of assignment

Deliverables (see deadlines below)

- Contributions towards the finalized Study Protocol and Data Gathering Instruments
- Study workplan/timeline outlining key activities and team member deadlines
- Presentation of initial findings to incoming Ethiopia CE Team
- Evaluation Report – Draft (format provided)
- Evaluation Report – Final (including all annexes)

The period covered by the evaluation assignment includes 39 days between 1 Aug 2010 and 31 January 2011. The specific tasks and tentative dates, location (M/mission, H/home) are indicated below and the number days dedicated shown.

Phase I Inception & Preparation		Total

³⁵ Note that the household survey supervisory team will be responsible for delivering a report on the household survey results to the IA-TL within 1 month post completion of the field work.

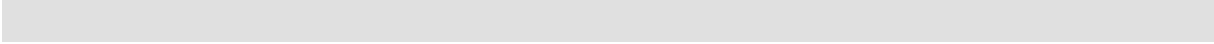
			Days
H	Review of project documentation, discussion with the IA team and feedback to OE on the Study Protocol and Data gathering instruments (3 days)	Aug, 2010	7
H	Support for preparation and implementation for the field work in Tigray and Amhara regions	Aug – Oct 2010	6
Phase II – Data collection and field evaluation mission			
M	Data gathering through key informant and focus group interviews at regional and woreda levels in Tigray and Amhara. Analysis of qualitative data	20 Aug-5 Sept 2010	12 3
H	Initial briefing of Evaluation Team in Addis Ababa	13 Sept	2
Phase III - Evaluation report			
H	Preparation of draft report v1	by 1 Dec 2010	7
	Feedback from OED	by 15 Dec 2010	0
H	Revision of report v2 and preparation of presentation	by 31 Jan 2011	3
Total Days			39

1.6. 5. Qualifications and Experience Required

The Impact Assessment Study Coordinator (IA-SC) will have a post graduate degree in a substantive area related to food security, demonstrate a solid understanding of the food security situation in northern Ethiopia, knowledge of existing food security policies, programmes and interventions (both Governmental and non-governmental), and have a proven track record in undertaking and leading social research, reviews and evaluations at community and institutional levels. The IA-SCI will possess strong analytical skills, including the ability to write succinct, well organized reports in English that build on findings and develop conclusions base on evidence collected through a review of documentation, interviews, survey data and other data gathering efforts.

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The consultant should be independent and impartial with regard to the BSF project and declare any conflict of interest s/he may have. In case of the latter, the OE will determine how the conflict of interest shall be managed.



Appendix 8. Existing Evaluations including Ethiopia among the visited countries

Notes summarizing country mission reports

INTRODUCTION

The first section of this brief reviews corporate evaluations carried out since 2005 by the Evaluation Division (OEDD) that have involved a field mission to Ethiopia. For each evaluation, a short summary of main findings/highlights has been prepared on the basis of the country mission report or aide memoire. Observations presented in these types of sources are drawn from opinions expressed during discussions held with stakeholders met in the country and they are not always verified. Therefore, this briefing is for internal use only.

The second section of the briefing lists the project evaluations concerning Ethiopia carried out since 2005 and provides a brief description of the projects and of the evaluation purposes. For most of these evaluations, an intermediate report (either a country mission report or an aide memoire) is not available. However, when possible, a summary of main findings and highlights regarding Ethiopia is provided on the basis of the final report.

In the third section, main findings from the mission carried out in Ethiopia in the context of the Independent External Evaluation of FAO are summarized. The country mission report of the IEE is an internal restricted working paper that should not be quoted or circulated. Finally in the fourth section, a list of non-OED evaluations regarding FAO's work in Ethiopia is provided.

1. FIRST SECTION: CORPORATE EVALUATIONS

Corporate Evaluations		
2010	Strategic Evaluation of Country Programming and the NMTPF of FAO	Geographical focus: Global. Countries visited in east and southern Africa: Mozambique, Zimbabwe, Ethiopia, Egypt.
2010	Evaluation of Capacity Development in Africa	Geographical focus: Regional. Countries Visited: Burkina Faso; Ethiopia; Gabon; Ghana; Kenya; Malawi; Tanzania; Uganda, Zimbabwe
2010	Evaluation of FAO's operational capacity in emergencies	Geographical focus: Global. Countries Visited: None.
2009	Joint FAO/WFP evaluation on Food Security Information Systems	Geographical focus: Global. Countries Visited: Burkina Faso, Chad, Ethiopia, Kenya, Mozambique, South Africa, Botswana, Sri Lanka, Cambodia, Thailand, and donor capitals Brussels, Paris, London, Washington
2007	Independent Evaluation of FAO's role and work in Statistics	Geographical focus: Global. Countries visited: Ethiopia (incl. SFE), Niger, China, Vietnam, Thailand (incl. RAP), Peru, Chile (incl. RLC), Barbados (incl. SLC), Saint Lucia
2007	Evaluation of FAO's emergency response and rehabilitation assistance in the Horn of Africa	Geographical focus: Ethiopia, Kenya, Sudan, Somalia, Uganda. Countries visited: Ethiopia, Kenya, Sudan, Somalia, Uganda.

2007	First Real Time Evaluation of FAO's Avian Influenza Programme	Geographical focus: Asia and Africa. Countries visited: Egypt, Ivory Coast, a, major donors: USA, France, Sweden; and key partners: CIRAD, World Bank, UNSIC, OIE, WHO, UNICEF Mali, Thailand (incl. RAP), Vietnam, Indonesia, Nigeria and Ethiopia
2007	Evaluation of FAO's work in Commodities and Trade	Geographical focus: Global. Countries visited: Ghana, Burkina Faso, Ethiopia, Tanzania, Chile, Brazil, Dominican Republic, Costa Rica, Barbados, Trinidad and Tobago, China, Sri Lanka, Thailand, Egypt, Turkey and Turkmenistan; and donor countries Belgium, France, Japan, the Netherlands, Switzerland, UK and USA
2005	Independent Review of the Technical Cooperation Programme	Geographical focus: Global. Countries visited: Armenia, Cambodia, Cameroon, Ethiopia, Jamaica, India, Niger, Peru, Syrian Arab Republic, and Uganda. Countries with consultations were: Benin, Bhutan, Brazil, Chile, El Salvador, Ghana, Guinea, Iran, Islamic Republic of, Kenya, Lebanon, Philippines, Sri Lanka, Swaziland, FYR Macedonia, United Republic of Tanzania, and Viet Nam

1.1. 2010 Strategic Evaluation of Country Programming and the National Medium-Term Priority Framework of FAO (not yet published)

The main purpose of the Strategic Evaluation was to assess the processes and strategies associated with FAO country programming, including the actual and potential role of the NMTPF. Teams were deployed to all the 5 regions of FAO, in each targeting a selected number of both sub regional and country offices. A mission visited Ethiopia covering both the country office and the sub regional office. Some highlights and main findings are reported below.

Some highlights/main findings:

General Impressions of FAO offices on the nature, scope, importance and usefulness of CP and the NMTPF:

- At the time of the visit, Ethiopia had not yet a signed NMTPF document. The reasons according to the Sub-Regional Coordinator are the following: i) the Government is not interested in working on a plan that is not funded; ii) the document was seen to be very wordy and requiring some editorial work; iii) the document in this shape it would not be the best tool for FAO as a specialized agency, iv) the document was going to raise expectations.
- Prioritization of activities is an integral part in the process of developing a NMTPF. However, FAO is a specialized agency designed to respond to needs/demand for technical assistance and not always can pre-set its priorities.
- FAO has a problem of credibility because these priority documents are not accompanied by any guarantee of resources/findings. The NMTPF should be accompanied by some core funding.
- The presence of a sector wide approach to programming in agriculture would be quite beneficial to FAO within the context of NMTPF. Nonetheless, the NMTPFs must be focus, concise and not be a compendium of all the work FAO and the Government does in agriculture.
- A benefit of the NMTPF is that it allows for better visualizing the priorities and areas of comparative advantage in the country.
- The office emphasizes the need for an integrated multidisciplinary team at CO level to fully operationalize the contents of priorities identified.

Preparation of the NMTPFs:

- ***Relationship with the UNDAF process:*** FAO is fully engaged in UN processes especially UNDAF even if funding is not been assured. FAO is strategically positioned as it is a member of the DaO Task Force and is involved in joint programming with other UN agencies. In the case of joint programming activities, agencies with some core funding start implementation of activities almost immediately. This is not the case with FAO and it compromises the organization's image. Agencies are urging FAO to be looking for more strategic opportunities instead of chasing small discrete projects. The agencies that spoke on FAO's programming capacity were unanimous in saying that FAO offices are poorly staffed in terms of numbers.
- ***Relationship with emergency activities:*** the bulk of the activities implemented under emergency are developmental and, in some cases, long term in nature. Staff felt that emergencies are and should therefore be programmable. Management had always wanted to have a "One FAO", however at times it seemed that two FAO programs existed. The Government was not happy with the word emergency and was requesting change of name from Emergency to Disaster Response.
- ***Potential contribution of NMTPFs to resource mobilization:*** staff interviewed felt that the NMTPF may help in resource mobilization especially within UNDAF and also in engaging donors. However, the NMTPF without core funding still lends itself to opportunistic resource mobilization efforts which tend to be project based. A programme approach is more likely to succeed if FAO establishes a core funding modality. FAO partners felt that FAO should focus on normative work (upstream) and not chasing small projects (they mentioned opportunities like the signing of the CAADP compact by the government).

Impression of the Government's general knowledge, satisfaction, and interest in the utilization of the NMTPF in developing with FAO and the Country Programming:

- The team visited the Ministry of Finance and Economic Development and the Ministry of Agriculture. Government generally held FAO in very high esteem, it appreciate the unique role that FAO plays in terms of provision of TA.
- Regarding specific programming issues, government is pleased to note that the NMTPF was aligned to government policies but had the following areas for improvement: i) there is need to have predictable resources for TA even if this is just an indicative figure. FAO needs to engage in some form of planning even for activities for which it does not have funding; ii) Projects started should have some elements of how they will be sustained. Sustainability has been a problem with some FAO initiatives; iii) in the long term planning, FAO should include TA requirements even if it is for a 5 year time span.

1.2. 2010 Evaluation of Capacity Development in Africa

In 2010, an evaluation of the Capacity Development effort of FAO in Africa has been carried out. The evaluation aimed at providing guidance and recommendations on the basis of an evidence-based analysis of the current status of FAO's work in this area. During the evaluation, a mission visited the Sub-Regional Office for Eastern Africa (SFE) in Addis Ababa. A summary of main findings is provided below.

Some highlights/main findings:

- The mission noted that among Regional Offices and Sub-Regional Offices in Afirca, the SFE is the best equipped office to carry out CD activities and the most innovative in its approaches.
- A number of **Capacity Development needs** in the Sub-Region emerged during the discussion, among which there are: CD in support of policy and strategy implementation; modernization of agriculture, commercialization, promotion of the private sector all along the value-chain (FAO should shift from an exclusive focus on production to a value chain approach); disaster risk management issues (the sub-region is characterized by fragile eco-systems with a severe degradation of natural resources); land “grasp” in the context of the global food crises.
- **Capacity of the SFE to provide CD services:** As part of the agreement with the Ethiopian government to host SFE, seven national experts from the Government were to be seconded to SFE (the evaluation team had strong reservation on such arrangements). The emergency unit provide additional resources to the SFE. There is a strong push from the head of SFE on CD, however, TOs take this on board unevenly and they do not have equal resources to carry out their CD work. SFS has dedicated significant budget on strengthening the SFE staff capacity (internal seminars). Training of FAO representatives of the sub-region and emergency coordinators is seen as a key capacity development effort and it also helps to create horizontal linkages.
- A recurrent comment from TOs is that FAO’s project modalities are a constraint to CD work because, especially in the case of **TCP**, projects are too short-term to develop capacities in a sustainable way.
- **Approaches to CD:** SFE does not have a strategy for capacity development, but CD is one of the pillars of the SFE strategy. Among the range of CD activities carried out by the SFE there are: organization of internal seminars; production of publications; knowledge dissemination and accessibility (the SFE has a well functioning library); partnerships with universities of the sub-region (SFE hosts MSc students and scientific visitors) (partnership with ILRI and African Union Commission).
- From the discussion with the Head of SFE emerged that FAO should strengthen agricultural universities and research in order to build Africa expertise in this sector (like it did it in the 60s and 70s). Africa should use much more African research institutions and think-tanks.
- FAO CD activities are conducted much more through projects than through the regular programme. FAO lacks capacity to backstop adequately these projects and does not sufficiently support delivery mechanisms. The head of SFE fully agrees on the absolute **need to strengthen FAO’s country offices**. With limited resources, FAO should have offices in a restricted number of countries where it can best make a difference.

1.3 2010 Evaluation of FAO’s operational capacity in emergencies

This evaluation did not include a field mission to Ethiopia. However, due to the large share of FAO’s total actual expenditure allocated to emergency country-focused projects in Ethiopia (52%), it is useful to look at its main findings and recommendations. At the level of the Organization, emergency operations now account for well over a quarter of the total expenditure, and are funded almost entirely from extra-budgetary resources. Unlike the great majority of FAO’s evaluations that concentrate on the Organization’s relevance, effectiveness and impact, this evaluation deals with operational processes and their efficiency and is as much a management study as an evaluation. Major findings and recommendations are reported in the table.

Major findings and recommendations by Chapter

Chapter II: Predictability in Emergencies and the Application of a Programmatic Approach with Consolidated Resource Management

- a) **Emergency operations are more predictable than is often assumed.** Almost all of the larger emergency operations also continue for periods of more than three years and may extend for a decade or more. There is thus an opportunity for **major improvements in all aspects of planning for emergency operations** and there need to be further improvements in prioritization of assistance. Development of the emergency programme should be closely coordinated with the development priorities and programme of FAO in the National Medium-Term Priority Framework and for this it is essential that TCE and the FAO Representative work in an integrated manner for both planning and resource mobilization. It also requires that the emergency operation be designed as a whole in such a way as to lead naturally into rehabilitation and development with subsequent transfer of operational responsibilities to the FAO Representative;
- b) There is a need not only for initial planning but also for periodic review and reprogramming. This should be underpinned by an overall intervention strategy for each category of emergency;
- c) **Funding for planning and preparatory work at country level** is a major constraint, especially for new emergencies. There is a need to markedly increase the availability and use of funds under the Special Fund for Emergency and Rehabilitation Activities (SFERA) component for preparatory work at country level;
- d) **SFERA Advance funding should be extended beyond individual projects**, so that if a major emergency occurs which can be expected to attract substantial donor funding, an immediate advance could be made for the programme as a whole;
- e) **SFERA should be split into separate funds for each of the three existing components**¹. Sub-funds in SFERA (i.e. individual multi-donor trust funds) should be opened much more flexibly than at present for all major emergency operations to encourage Pool/Programme funding by donors and facilitate management;
- f) **Pool funding for human resources, procurement, etc.** should be developed for improved programme management, including human resources management and procurement. This type of funding allows for consolidation, continuity, and more efficient and flexible use of resources. For example, in human resources the pool fund(s) would contract the personnel and the various projects would purchase personnel services from the fund. A small proportion of Administrative and Operational Support Costs (AOS) should be allocated for the core resourcing of pool funds, including the planning and advance funding functions of the Special Fund for Emergency Relief Activities (SFERA);
- g) **AOS and TSS** - Administrative and Operational Support and Technical Support Services are extra-budgetary and should be managed as trust funds (as they were previously in the case of AOS) or a mechanism for carryover (positive or negative) between biennia should be put in place, beginning in the 2012-13 biennium. This will allow smoothing of operations, as has already been agreed in principle by the Finance Committee. The Organization needs a clear policy on TSS levels of funding in emergency projects and this needs to be insisted upon with donors;
- h) **Security funding** has not received adequate coverage in project budgets and should be managed through a pool trust fund;

Chapter III: FAO's Culture, Business Model and the Role of Decentralized Offices and of Emergency Personnel in the Field in Emergency Operations

a) **Culture and institutional change** for emergency operations needs to be mainstreamed and specific proposals are made for this, including culture change in both staff and the Governing Bodies. Internally, this should include major changes in the **internal governance for operational, administrative and financial systems and the related IT support to ensure integrated and comprehensive system development and management**. This can be supported by the new Business Improvement Unit as well as the foreseen changes in IT governance; and

b) **Considerably greater decentralization by TCE** of its operations is needed, but this must be differentiated. A flexible model of decentralization should be adopted, which takes into account the total size of the FAO operations in the country, not just the emergency operations. Priority should be given to outposting operations officers to the major emergency operations which constitute 60 percent of the TCE portfolio. In countries where there is adequate capacity, small emergency operations should be managed by the FAO Representative. Delegations of authority should be differentiated on the basis of capacities and may be made to the emergency coordinator or operations officer, not only the FAOR.

Chapter IV: Technical Support to Emergency Operations

Technical support and clearances should shift more towards overall programme, planning and review and away from individual actions such as small project approvals, procurement and human resource clearances. A comprehensive set of technical decision support tools should be developed and more use needs to be made of technical expertise in TCE (field and headquarters) and they should report for their technical work to the technical units concerned.

Chapter V: Computerized Systems and Information Support (IT) in Emergency Operations

a) The current IPSAS2 project, the ongoing decentralization in emergency operations and the need for an integrated and multi-functional results-based management system for the field programme, make it imperative to analyse needs and **consider the overall system architecture now, including priority to improving planning and programme management** for emergency operations and capacities in the field. On the basis of this, a medium-term integrated solution should be developed;

b) To achieve this integration there need to be major changes in IT governance and possibly funding in line with the proposals accepted from the Root and Branch Review but within the wider context of strengthened governance for processes and systems discussed in Chapter III; and

c) FAO cannot delay IPSAS compliance or the results-based Strategic Framework and Medium-Term Plan while comprehensive solutions to problems are designed. System improvements must continue on the present software platforms for the next few years. Recommendations are made for this and for maintaining the flexibility in system design to move forward in such a way that future improvements and integration will not be derailed by current major projects (in particular the IPSAS/FAS3 project).

Chapter VI: Assuring the Necessary Human Resources for Emergency Operations

a) FAO should develop a **Core of Emergency Personnel** and beyond that core should be a flexible and competitive contractor of human resources, while avoiding a build up of financial, legal or moral obligations beyond the core. Core staff should be subject to **rotation to the field**;

- b) **Pool funding for human resources:** Probably the greatest single constraint to management of human resources for emergency operations is that human resources are largely funded in the field from individual projects. This makes it difficult to plan and retain human resources for programmes, and reduce the costs resulting from multiple transactions. A pool trust fund should be created for emergency human resources;
- c) **FAO Representatives** in countries subject to significant emergency risk should have demonstrated competency in emergency operations; and
- d) **Human resource development is a priority** especially for core staff. An urgent current requirement is training in planning and in the possibilities for more consolidated and efficient programme management and operations available through FAO processes and IT systems. Non-core staff in countries with emergency operations of longer duration need essential training to carry out their operational duties, especially training in FAO procedures and systems and for professionals, training in the Organization's policies.

Chapter VII: Procurement in Emergency Operations

Procurements accounted for 57 percent of FAO's emergency expenditures in the period 2004-07, there can thus be no doubt of the significance of procurement in any effort to strengthen the efficiency and effectiveness of emergency operations.

- a) **Procurement preparedness and meeting delivery deadlines** is probably the greatest single area for improvement. For each major emergency operation there should be an initial procurement plan for the overall programme, as there sometimes is now, and this should be formally updated annually. It should include market research on potential local vendors. For major emergencies, procurement specialists need to be included in both initial and ongoing planning. Also, FAO should not attempt to engage in procurement operations to catch the next planting season when this is an unrealistic goal, as reported by numerous evaluations;
- b) The Procurement Service (AFSP) needs to **place greater emphasis on the support function** both for planning and operations, with more delegation;
- c) Delegations need to be more differentiated than is the case at present, where they may exceed the capacities of some country offices, while other offices could handle higher levels of delegation with the appropriate support and capacity development; and
- d) The balance needs to be adjusted in value for money criteria in procurement, placing reduced emphasis on price which currently accounts for 80 percent of the weight in criteria for purchases, and:
 - i) taking better account of issues of flexibility to respond to changing exigencies on the ground;
 - ii) reflecting an acknowledgement that in emergencies specifications cannot always be fully comprehensively specified prior to the invitation to bid and technical and operational judgement must sometimes be exercised;
 - iii) taking account of the need to give greater weight to information on vendor reliability; and
 - iv) enabling more flexible preference to national over international suppliers.

Chapter VIII: Building for Sustainability in National Procurement - Institutional Strengthening in and for Developing Countries

How FAO can better strengthen national development while undertaking procurement requires urgent normative work. This function should not be confused with commercial procurement and requires separate treatment and funding. FAO does have a clear policy of supporting NGO development and at the same time acquiring a service through Letters of Agreement. An FAO instrument should be developed to cover flexible procurement of services and goods from the small-

/medium-scale national private sector with a capacity building sub-objective contributing to sustainable services to farmers and fishers (including storage and marketing, boat building and local level supply of inputs). FAO also needs to ensure that its procurement actions do not unnecessarily disrupt nascent local markets.

1.4. 2009 Joint FAO/WFP evaluation on Food Security Information Systems

The objective of this Evaluation was to measure the extent to which FAO and WFP have separately and jointly contributed to create more effective ISFSs, and how far these information systems have, in turn, contributed to improved decision-making. The Evaluation focused on the period 2002-2008 and on a key set of representative ISFS products and initiatives of each organisation. As part of the evaluation, a mission visited Ethiopia. Main findings from the evaluation are summarized below. The summary tries to focus on FAO's work.

Some highlights/main findings:

- **Background:** An important number of organizations is involved in ISFS work in Ethiopia. The WFP activities in Ethiopia include substantial ISFS support through the VAM unit to capacity building and methodological development. Many FAO projects provide ISFS support (such as support to streamlining the generation of agricultural statistics, CountryStat, support to development of water monitoring systems, EMPRES), but it is difficult with the information available to get a clear picture of all activities. FAO has supported the Central Statistical Office (CSA) for several decades.
- **Main government actors involved in FS data:** The Disaster Management and Food Security Sector (DMFSS) (former DPPA) is located in the Minister of Agriculture and Rural Development and it is responsible for both emergency and longer term food security needs. The Central Statistical Office (CSA) is an autonomous federal agency under the Ministry of Finance and Economic Development. MOA data and CSA data differ significantly with regard to area and productivity. In response to the controversies arising from different data sources for agricultural production data, FAO launched a project in 2006 to streamlining the work of the two organizations. The project is funded by the EC and is jointly implemented by FAO and WFP.
- **CFSAMs** are annually carried out since 1995. Some stakeholders, including WFP, question the purpose of the CFSAMs that although is relatively short is labour intensive. The CFSAMs have been based on MOA data. Considering the important data controversies between CSA and MOA data, it has been deemed useful to have annual CFSAMs for accountability. However, some argue that CFSAMs actually have prolonged the controversies. The process of preparing the report leads to delays.
- **Sustainability:** The Government of Ethiopia plays a key role in ISFSs with important investments at all levels and, as a unique case in the SSA, agricultural surveys have been on the national budget since 1984/85 after a three-year FAO project. Still, there are many examples in Ethiopia of ISFS functions that are based on project support that come to an end when projects close.
- **Livelihood Information Unit (LIU):** In 2003, USAID undertook an overall assessment of the ISFS Ethiopia and among the conclusions it noticed that non-food EWSs were inadequate and needs assessments were not based on livelihood systems, it was therefore not possible to devise appropriate livelihoods-based emergency and recovery strategies. The LIU is currently being supported by a USAID funded project to identify number of food insecure people, their location and the dynamic of food insecurity. It was a response to a lack of such information in the existing

EWS. The Livelihood Information Unit is also supported by a project under the DMFSS funded by DFID and the EU and with support from FAO.

- Ethiopia has been the object of several studies on ISFS related activities, many of which consider that there has not been serious information gap for Food Security assessments in the country. Still, ***the existing ISFSs include many actors and have a complex structure*** leading to major challenges of efficiency and effectiveness.
- ***Complementarity and Comparative Advantages:*** Three to four government-led, multi-agency crop assessments are carried out each year with participation or contributions from government ministries, NGOs, UN agencies and Donors. A number of different methodologies are used to calculate beneficiary numbers.
ISFS methodologies have received a lot of attention over the years in Ethiopia. A methodological subgroup was established under the Early Warning Working Group. The methodological discussions have particularly focused on the Household Economy Approach (HEA). HEA was approved by the GoE as the official food security assessment methodology. Concerns have been raised on this method (WFP).
- ***Surveys recently carried out:*** A working group with participation of MOA, CSA, EGTE, DPPa, FAO, WFP, and Federal Cooperative Agency was established in 2007 to study Agricultural Marketing IS. The working group identified major information requirements and challenges in Agricultural Marketing Information Systems. The CORE group (CARE, FAO, Save the Children UK and Save the Children US) requested in 2008 a study on the timing, appropriateness and efficacy of interventions in the drought that affected the pastoral lowlands in 2005/2006. The study concluded that the drought response in most areas was largely late and less effective than it might have been. SC-UK carried out a user survey in 2006 on the products coming out for the livelihood profiles and the monitoring. Finally, in preparation to a national Statistical Strategy, CSA carried out a user survey in 2008.
- ***Working groups:*** FAO was expected to head the UNDAF thematic group and “Humanitarian Response & Recovery Food Security”, but did not have an active engagement and the role was assumed by WFP (Nicholson 2007). FAO participates in the Rural Economic Development and Food Security working group (RED&FS) on behalf of the UN FS group.
- GoE recognizes the value of both WFP and FAO but also considers that there are too high transaction costs when the organizations are operating individually with no harmonization.

The country report includes an annex with specific evaluation questions and findings in Ethiopia.

1.5. 2007 Independent Evaluation of FAO's role and work in Statistics

The evaluation of FAO's role and work in Statistics was carried out to determine the relevance and the impact of all statistical work undertaken by FAO, not only by the Statistics Division, but including the many other important statistical databases and statistic activities in other parts of the Organization. Some of the main findings are summarized below.

Some highlights/main findings:

- ***Institutions dealing with the production of statistics:*** the Central Statistical Authority produces agriculture statistics through the “Integrated Households Survey Programme” carried out on an annual basis with the initial assistance of FAO/UNDP and UNICEF. In 2001, the CSA conducted the first Ethiopia Agricultural Census. Other institutions are MoARD, DPPa and the National Meteorological Agency. No institution is dealing with water statistics. The government of

Ethiopia issued a decree in 2005 that assigned a leading role to CSA for collection, analysis and dissemination of agricultural data to avoid duplication.

- **CFSAMs:** There is a proposal that FAO and WFP could discontinue the CFSAMs, although it is not clear. WFP was not convinced that existing national data sources would be adequate to fill the gap.
- **Assessment of FAO Technical Assistance in Ethiopia:** In the late 70s and 80s the relationship between CSA and FAO was very strong, after this the relation remained distant over several years, since when in 2007 there was a new start with the implementation of the Support to Food Security Information Systems project in Ethiopia. At present, FAO is implementing the following projects: GCP/GLO/208/BMG - CountrySTAT for Sub-Saharan Africa – Improved access to nationally owned, quality statistics on food and agriculture in 17 Sub-Saharan Africa Countries; GCP/INT/945/ITA Information Products for Decisions on Water Policy and Water Resources Management in the Nile Basin (Follow-up to GCP/INT/752/ITA); GCP/INT/ 969/ITA Development of a methodology to monitor water policies (Phase 1); and GCP/ETH/071/EC - Support to Food Security Information System in Ethiopia.
- The goal of the **Support to Food Security Information System project** GCP/ETH/071/EC in Ethiopia is to establish and strengthen information systems for food security in order to improve the quality of food security and relief interventions. The project focuses on three main data sets: crop area data, crop yield and production forecasts data and market price data. It supports the agencies (CSA, MoARD, NMA) involved in the collection at methodological level as well as at data/information management level. The evaluation observes that there is delay in expenditure and implementation of various activities and in results towards the harmonization of statistics and some problems in bringing stakeholders together. Some achievements have already been obtained. The FAO project has helped to better understand the sources of discrepancies between the different data producers and the trend of the gap has now been stabilized. MoARD and CSA know now where the differences in their data are. The project has also developed a detailed crop monitoring model adapted to the requirements and conditions of Ethiopia. In 2008, a specific evaluation of this project has been carried out.
- **FAO as data provider:** FAO collects data both from CSA and from MoARD. The process of filling the FAO statistic questionnaires is judged to be inefficient, too long and redundant, and very time consuming due also to different formats and indicators than the national ones. FAO is focusing too much on producing data and not on advocating for use and application of data. Most of the donors and partners met by the mission use national data, instead of CFSAM data, FAO data are more used at world level.
- **FAO collaboration with partners:** The EC is not happy with the overall management and communication with FAO about the project which it is funding. The WFP feels it has good working relationships with the global Food Security Information for Action Programme and the Support to Food Security Information Systems in Ethiopia project. However, collaboration between the two agencies on the CFSAMs was perceived to be much weaker than in other countries.

1.6. 2007 Evaluation of FAO Emergency & Rehabilitation Assistance in the Greater Horn of Africa

In 2007, an evaluation of FAO Emergency & Rehabilitation Assistance in the Greater Horn of Africa was carried out with the aim of providing a review of the strategies and interventions being undertaken by FAO, member governments and partners in response to the long-standing crisis in the region and to make suggestions for the future. As part of the evaluation, an impact assessment study was carried out. However, the results of this study have not been published because, due to methodological issues, the quality of the product was considered unsatisfactory. The Aide memoire

of the mission addresses numerous aspects of FAO work in Ethiopia providing a good picture of the programme. Below, only some highlights are reported.

Some highlights/main findings:

- ***Institutional Capacity and Relationships:*** Through the projects managed by the ECU, FAO has developed a close and effective relationship with MoARD at both federal and decentralized level. FAO endeavours to implement much of its emergency and rehabilitation assistance through government at a decentralized level. In recent years, FAO presence and engagement has strongest institutional capacity and relationships are in livestock health, there are gaps of expertise in the areas of agricultural and animal production.
- ***Emergency Preparedness: Contingency planning:*** FAO does not have a contingency plan for emergencies, but has developed a nation wide preparedness capacity through the Avian Influenza project which also works well in diagnosing and monitoring other livestock diseases. ***Early*** been severely constrained by a shortage of key staff during a long period. ***FAO's Warning and Food Security Information Systems:*** FAO has not been actively associated with the development of Early Warning FSIS as other donors and it is not a regular attendant of the Early Warning Working Group. It collaborates with DPPA and MoARD to conduct regular livestock and seed needs assessments in selected woredas. FAO is engaging with the livestock early warning system initiative under the ECHO drought preparedness project. FAO is also engaging with early warning and response through the Pastoralist Livelihood Initiative (PLI). At the time of the evaluation, FAO WFP and EU have developed a proposal to better standardize crop and food security data generated by the CSA and MoARD. ***Food Security & Livelihoods Assessments and Analysis:*** The Ethiopian government and its UN, NGO and donor partners undertake assessments which determine food needs for the following year (based more on qualitative data and negotiation than on quantitative information). FAO and WFP undertake annual CFSAMs relating to crop production and the data is shared with MoARD, but it is not used by DIPPA. FAO participates in emergency agricultural assessments, including identifying seed needs and livestock related responses. The new livelihood information and analysis that is being generated will cover the whole country within the next two years, and will provide a much improved basis needs assessment, contingency planning and response/intervention for short, medium, and long term interventions.
- ***Resources Mobilisation:*** donor support to FAO led interventions through the ECU has grown substantially since 2001 (still remains a modest level given the situation). In Afar region FAO has received three years of funding from the Norwegian Government to improve food security and enhance recovery of the livelihoods pastoralists (long-term project objectives but managed in short term cycles, negative consequences). Donors are indicating strong reservations to paying the high proportion of FAO overhead costs which support a top-heavy administration and technical capacity at HQs and minimal technical capacity at field level.
- ***Partnership and Coordination Mechanisms:*** FAO provides the secretariat for the federal level Agriculture Task Force Meeting chaired by MoARD. It has not been actively engaged in a number of other coordination mechanisms including UNDAF where it has not been present and does not lead the sector for which it has a mandate. FAO does not attend regularly the CERF coordination committee in Ethiopia. FAO participate in the Livestock Policy Forum within MoARD.
- ***Programme Response: Operational capacity and efficiency:*** FAO draws upon the technical and administrative capacity of the ECU to deliver all projects rather than replicate that capacity in the country office (issues: ECU is responsible also for the longer term development initiatives, lack of key technical expertise and staff subject to short consultancy contracts). FAO has developed minimal field presence and works through decentralized

government structures. FAO provides training and equipment to government partners (issues: not always the requisite capacity is available, need for incorporating into projects Capacity Building or additional technical support of government partners). FAO has to ensure that its field offices are adequately supported and that appropriate responsibility is delegated (internal regulations and controls constrain FAO's emergency operations). ***Timeliness and effectiveness:*** Livestock: specific animal health interventions supported by FAO have proved both timely and effective. Responses to livestock disease outbreaks are still managed on an ad hoc basis, need for better preparedness and a more strategic response. Agricultural Inputs: distribution of seeds and planting material has been a significant part of the programme (modalities for the purchase and distribution of seed and planting material have been reviewed by an external evaluation in 2004). Irrigation: FAO activities demonstrate that rehabilitation of existing irrigation schemes can be an effective emergency operation, however, developing new irrigation schemes in an emergency context is probably too ambitious and reduces the timeliness and effectiveness of the intervention (ex. Doho Irrigation Scheme in Afar Region). Often FAO emergency projects attempt to build capacity in an unsustainable manner, resulting in the collapse of certain initiatives on completion of the project. Phase out strategies have not been incorporated into the design of the project. Equity: geographical equity was better achieved through FAO animal health and seed inputs than it is through irrigation.

- ***Relevance:*** FAO has adopted a diverse and innovative approach to emergency interventions that goes beyond FAO's traditional emergency to include recovery strategies. Adopting a recovery or development approach within the time-frame of an emergency response has limitations and undermines the intended impact and relevance of the project.
- The Aide memoire reports challenges and opportunities in the Ethiopian Context and a list of **recommendations** to FAO that are reported in the following box (only most strategic recommendations are reported below, see aide memoire for the full list).

BOX: Recommendations to FAO

Institutional

- The ECU should be better staffed, in particular in support and project management capacities so as to enable technical personnel to focus on their technical role more effectively. This reinforcement of the ECU should be based on a comprehensive **assessment of internal human resources management capacity** (at different levels in Ethiopia) alongside that of key partner institutions, as an essential part of thorough organisational strategic planning.

Resource Mobilisation

- Strengthen FAO's positioning and credibility significantly with donors to secure funding for the medium term with **greater emphasis on emergency preparedness** rather than relying on stop-gap responses which tend to deliver too late;

Coordination

- **Provide the "neutral" link between Government and NGOs through a more active Agriculture Task Force** and promote more effective information exchange between members at both federal and regional level; at the regional level, a first step could be to instigate workshops between BOARD, UN and NGOs which discuss good practice and strategic interventions across the food security sector, as well as the needs and modalities for coordination.

Early Warning & Preparedness

- Conduct a **review of early warning and food security information systems** in Ethiopia with a view to developing a common vision and strategy for developing such a system, to complement and build on existing efforts in this area.³⁶
- Provide the **critical link between livelihood analysis, assessments and food security response options** relating to the full spectrum from emergency and recovery to development, e.g. through **training to key partners** in Government and NGOs to **strengthen the linkage between analysis and response**, and by facilitating the support and **roll-out of the IPC** in close consultation with partners at all levels.
- **Identify focal regions** where FAO is committed to support emergency preparedness and response.

Agriculture & Livestock

- Collate a comprehensive **list of seed, animal health and fodder interventions** throughout the country.
- Adopt with the Government, other UN agencies, NGOs and donors an **emergency preparedness approach** to the provision of seed, animal health and fodder inputs which would include training, capacity building and pre-positioning of critical stocks, building the capacity of communities and state structures to face recurrent crises (e.g. soil and water conservation, rehabilitation of irrigations schemes, creation of fodder reserves, stockpiling critical veterinary drugs and vaccines for quick response to major outbreaks).
- Incorporate into this approach **emergency preparedness plans for Rift Valley Fever** in coordination with FAO in Kenya and Somalia based on a clear understanding with the Government of Ethiopia on data property rights.

Water Resources & Irrigation

- Access or initiate in FAO priority regions, information on strategic emergency water source mapping and incorporate conservation and protection strategies into response activities.
- Engage in and encourage continuous **planning for drought prevention and mitigation measures** in FAO priority regions (including in non-drought years).

1.7. 2007 First Real Time Evaluation of FAO's Avian Influenza Programme

In 2007, the First Real Time Evaluation (RTE) was carried out. The RTE covered FAO's entire Global Programme for HPAI. Among the components of the programme evaluated there was the support to at-risk countries in preparedness for HPAI and the case study for this component was Ethiopia.

Some highlights/main findings:

- The evaluation rated FAO's work on Highly Pathogenic Avian Influenza in Ethiopia as timely and relevant, focused as it was on Capacity Building for prevention and preparedness of a prospective occurrence of the virus.
- FAO training provided on diagnostic analysis, lab techniques and bio-security were highly valued and the reports produces on socio-economic AI-related aspects was said to provide useful information and data.
- Most of activities were carried out in the context of the OSRO/ETH/601/MUL project, several primary and secondary sources refer to the project as technically sound and effective in reaching the goals it planned to achieve.

³⁶ The SIFSIA work in Sudan may provide a useful reference.

- The technical policy advice FAO provided to the Government on the Strategic Plan was highly appreciated, as the relationship with the national authorities was said to be smooth and cooperative. The project set up links and institutional coordination among various levels of the national organizational structure.
- The project was said to have been highly successful in building sustainable capacity of the national central laboratory in Sebeta (capacity for HPAI laboratory diagnosis and surveillance activities have been strengthened).
- The main national OSRO/ETH/601/MUL project was interrupted at the end of its first year, despite its success with regards to both outputs and outcomes, because USAID divert the funds toward a different project (the Texas A&M SPSS-LMM project).
- FAO could still play an important role on AI and other animal diseases. With the end of the project, coordination among different actors involved is no longer there. Concerned were raised about continuity. "Without a bulk of resources committed to issues that are relevant to the countries' needs FAO activities will increasingly depend on the donors' will".
- The country report includes a positive remark regarding the use of SFERA funds in relation to timeliness and relevance issues. SFERA funds were promptly advance to start the activity. Furthermore, when the funds were diverted to the SPSS-LMM project the Emergency Operations Office used SFERA funds to work on Newcastle Disease's vaccination with the hope this initiative could work as an entry point towards a major involvement of FAO in future AI activities.

1.8. 2007 Evaluation of FAO's work in Commodities and Trade

The evaluation of FAO's work in Commodities and Trade aimed at providing FAO with an assessment of the services supplied by the Commodities and Trade Division and at formulating recommendations on how they can be improved. As part of the evaluation, a mission visited Ethiopia. Main findings regarding FAO's work are listed below.

Some highlights/main findings:

- There was a general feeling among people met during the mission that the FAO Country Representative could provide a coordinating and communications role among the donors. This would be light handed, but provide a forum for donors to become more familiar with what each is doing.
- There was not much mention of the data and information provided by FAO and in particular the Commodities and Trade Division. There appears to be a potential market for this information. Perhaps the reason that it is now well known is that the ministries involved in trade are not necessarily closely connected with agriculture.

1.9. 2005 Independent Review of the Technical Cooperation Programme

The Technical Cooperation Programme independent evaluation aims at reviewing certain aspects of the TCP and to provide recommendations for strengthening its effectiveness. As part of the evaluation, a mission visited Ethiopia. Main findings of the mission are provided below.

Some highlights/main findings:

- FAO plays little role in the current policy debate in the country, including through TCP. In relation to other donors that have in their Addis Ababa offices strong technical teams, FAO has a relatively minor presence.
- TCP are seen as piloting innovative approaches. Particular areas identified where TCP could play a role include marketing, land reform and extension. FAO should have a stronger presence in the on-going policy discussions to identify emerging opportunities and formulate TCP requests accordingly.
- The State Minister stated that some TCP projects are heavily promoted by FAO rather than being Government requests and that TCP should not be used to support what ought to be covered by Government's recurrent expenditure budget.
- Regional TCP were felt by the Government of not taking into account particular country needs and in most cases were felt FAO-driven.
- Some operational issues constrain effectiveness in Ethiopia. Authority to act at country level still lacking. The government sees FAO as inflexible and bureaucratic (problems with re-programming funds within the available budget and long delay for equipment to arrive in the country). Comments were also made about delays in the approval process. The Government thought that the level of consultancies in TCPs was too high. However, also opposite views were expressed about the need for highly-qualified specialized international assistance.
- Overall performance of recent TCPs appears to be satisfactory. Follow-up in most cases is weak due to limited resources.
- Given the consensus on what TCP should be doing in Ethiopia, there would appear to be considerable scope for reviewing the existing pipeline to better position FAO to play a stronger role in the on-going discussions about the agricultural sector in Ethiopia.

2. SECOND SECTION: PROJECT EVALUATIONS

Project Evaluations		
2009	GCP/GLO/ 162/EC FAO-EC Food Security Programme	Geographical focus: Global. Armenia, Burkina Faso, Cambodia, Cape Verde, DRC, Eritrea, Ethiopia, Georgia, Haiti, Kenya, Kyrgyz Republic, Laos, Somalia, Sudan, Tajikistan, West Bank and Gaza, Zimbabwe. Countries visited: Armenia, Georgia, Ethiopia, Kenya, Somalia, Malawi, West Bank and Gaza, Laos, Cambodia, Mozambique.
2008	GCP/ETH/ 071/EC Support to Food Security Information System in Ethiopia	Geographical focus: Ethiopia Country visited: Ethiopia
2009	GCP/INT/ 945/ITA Information Products for Decisions on Water Policy and Water Resources Management in the Nile Basin - Follow-up to GCP/INT/752/ITA	Geographical focus: Inter Regional Burundi, Congo (Democratic Republic of), Egypt, Eritrea, Ethiopia, Kenya, Rwanda, Sudan, Tanzania, Uganda. Countries visited: Uganda, Egypt, Ethiopia
2005	GCP/INT/ 670/NET, GCP/INT/ 720/USA, GCP/INT/ 757/USA, GCP/INT/ 817/SWI, MTF/INT/006-7-8/MUL Emergency Prevention System for Transboundary Animal and Plant Pests and Diseases EMPRES (Desert Locust Component) Central Region	Geographical focus: Inter Regional Countries visited: Egypt, Sudan, Ethiopia, Saudi Arabia, Yemen, Eritrea
2005	GCP/INT/ 811/ ITA Support to Livestock Exports from the Horn of Africa (EXCELEX) Project	Geographical focus: Inter Regional Countries visited: Ethiopia, Somalia
2005	GCP/INT/ 804/UK Pro-poor Livestock Policy Initiative	Geographical Focus: Inter regional. Countries visited: Uganda, Kenya, Ethiopia, Peru
2005	GCP/ETH/ 060/BEL Improving Nutrition and Household Food Security In Northern Shoa and Southern Zone of Tigray, Ethiopia	Geographical focus: Ethiopia Country visited: Ethiopia

2.1. 2009 EC/FAO joint Evaluation: Food Security for Action Programme (GCP/GLO/162/EC)

In 2000, the EC and FAO launched a joint initiative aimed at strengthening food security and nutrition information systems (FSNIS). Phases I and II are completed, and a third phase (2008-2013) is currently under development. In 2009, an independent terminal evaluation of Phase II (2005-2008), the 'Food Security Information for Action' (FSIA) Programme was carried out. Ethiopia was amongst the case studies of the evaluation. Some main findings and highlights are summarized below. The full case study report is available in Volume II, Annex 9 of the final evaluation.

Relevance and coherence: The objectives of the EC/FAO global programme are relevant to the country and the EC objectives. The EC Delegation and the FAO representative complained that they were not consulted enough at the beginning of the programme and communication has been poor throughout the implementation. Tools were primarily supply driven.

Efficiency and effectiveness of the programme management and implementation structure: The EC Delegation and the FAO office in-country felt that they were not engaged in a meaningful way with the implementation of the programme. The budget was controlled at HQs. The EC Delegation did not feel that they were well informed regarding the programme. Many of the GOE staff interviewed did not even know about the Global programme. No official document had been signed between the GOE and FAO regarding the work-plan.

Capacity building Strategy: The programme targeted staff in specific government ministries and departments. Capacity Building was aimed at specific individuals and not at institutional strengthening. There was no institutional capacity assessment done to make the training more demand driven.

Tools introduced through the programme: The tools introduced were: GIEWS workstation, CMBox, CountrySTAT, IPC, SIAC and two studies on land tenure and on the productive safety-net programme. It appears that tools were primarily supply driven in their selection. However, many of the GOE staff that were exposed to the training on the tools found the tools to be very useful. FAO and counterparts identified a couple of individuals to be trained for each particular tool. An institutional strengthening approach was not used. Several of the tools have been introduced with some success.

Use by decision makers of the information generated: The quality of the information generated was generally considered good. The key problem was that GOE staff did not have time to put into the tools to make them operational in all cases. Overall the majority of the activities focus on the design and introduction of new tools rather than the decision making process per se. However, part of the project did focus on participation in the RED-FS sub working group to influence agriculture growth policy. FAO did have a large influence on the harmonization of the crop production estimated calculated by CSA and MoARD. The Global programme had some influence on this.

Sustainability: It is difficult to tell if the benefits will be sustainable. GOE has limited funds available for paying for the tools after the external funds are no longer available. The harmonization of the crop production estimates between CSA and MoARD and the FAO participation in the RED-FS sub working group to influence agricultural growth policy were done through a participatory process. Otherwise other tools were introduced more or less through a supply driven approach.

Value added to FAO development objectives and programmes: Despite some design problems and poor communication between the project management and EC staff, the Support to FS Information Systems project has been very successful in building local capacity for the CSA in data quality and timeliness. This is because: i) More resources were provided to the Country Office Programme; ii) Capacity support was driven from the ground with better understanding of the local context; iii) Face to face interaction was key to bringing about institutional change. The EC/FAO programme should have focused on facilitating support to the local project much more than bringing in supply driven tools.

The top down approach generally followed by the FSIA programme provides an example why the reform process is needed in FAO. The country office needs to have more decision making authority and funding control to make the programme more responsive to the local context.

The IPC tool will be important to the work for the emergency and rehabilitation programme of FAO in country.

2.2. 2010 Evaluation of the Support to Food Security Information System in Ethiopia GCP/ETH/071/EC

SFSISE was established through agreements signed in 2006 between the EC and the Federal Democratic Republic of Ethiopia (GoE) and between the EC and FAO. Implementation formally commenced in November 2006 and began in earnest in August 2007. The Project was subjected to a mid-term evaluation early in the second half of 2008. Following modification of its logical framework, it was extended for one additional year. The Project terminated in November 2009. The total cost was €2.1 million. The Project supported activities in four main areas: (a) improving the accuracy and harmonising the forecasting and estimation of crop areas, per-hectare yields and production, (b) model-based yield forecasting using remote sensing and agro-meteorological data (c) improving the collection, transmission, analysis and dissemination of data collected by CSA and NMA, and (d) improving the timeliness and availability of CSA's producer and retail market price data.

See the Final Report.

2.3 Evaluation of the Information Products for Decisions on Water Policy and Water Resources Management in the Nile Basin GCP/INT/ 945/ITA

This project *"Information Products for Nile Basin Water Resources Management"* (hereafter, "FAO Nile") which started in December 2004 was scheduled to end on 31st December 2008.

FAO Nile is being implemented in all the ten riparian countries with US \$ 5.170 million Italian Government funding and technical and operational assistance from FAO under the overall control and direction of the Project Steering Committee (PSC); and under the umbrella of the Nile Basin Initiative (NBI). Its overall objective was to strengthen the ability of the governments of the riparian states to take informed decisions with regard to water resources policy and management in the Nile basin. The Project builds upon two of prior Nile basin projects supported by Italian Cooperation. It is designed to deliver policy neutral information products at the request of the riparian countries and with their active cooperation; and then inform basin policy decision making. It has thus been designed to create and promote synergies with the other activities under the NBI. The project's outputs include: capacity building; consolidated hydro- metrological monitoring networks; databases; the Nile Decision Support Tool (DST) and related geo-referenced information systems; baseline survey of agricultural water use and productivity; compilation of an agricultural production database; and "Food for Thought" (F4T) scenario exercise to determine a plausible range of demand for agricultural produce by the year 2030. The purpose of the evaluation is to provide recommendations to the Government, FAO and the donor on the further steps necessary to consolidate progress and ensure achievement of the project's objectives.

The final Report evaluation includes the results by country of a questionnaire on the project covering key aspects and summarizing the basic findings. Here some of these results are presented:

- **Project Relevance:** on overall, the relevance of the project was assessed as good. The only aspects considered below the average were the coherence of the project with a national programme and the existence of reasonable expectation that adequate national resources could be committed to the project. The comment of the evaluator on the first aspect was that to ensure the relevance of the project and its integrity to the national plans, monitoring and follow up need to be strengthened.
- **Project Design:** Most of the aspects related to project design were considered good or more than satisfactory as it was the overall assessment.
- **Project Implementation:** The overall assessment of project implementation was between satisfactory (average) and good (above average). The aspects that were rated as less than satisfactory were the project work planning, monitoring and reporting, and the coordination and relation with other organizations/departments. The comment of the evaluator on project implementation pointed out that for outsourced activities such as consultancy service at national level, a kind of regulatory mechanism/accountability should be put in place to allow national institutions have a control on the deliverable outputs.
- **Project Outputs:** The overall assessment of project outputs was good. The comment of the evaluator was that technically, the outputs of the project have no problem with respect to quality and quantity. However, when it comes to the issue of transfer of products; it requires a period of transition that will enable national institutions smoothly takeover the activities so as to ensure sustainability of the project.
- **Cost-Effectiveness of the Project** was on overall assessed as good and **Sustainability of Effects and Impact** between satisfactory and good.
- Among the aspect of the project where there was greater room for improvement if sustainable effects and impact were to be more cost effectively achieved, the evaluator chose implementation and management and among the factors most likely to limit the sustainability of the project effects and impact, the evaluator indicated weaknesses in national institutions, insufficient national financial resources to follow-up on the project. The comment was that national institutions should be capacitated through specialised training that will enable capturing the high level technical elements of the project outputs and that needs assessment might be required.
- Finally the evaluator commented that the integrity of NBI project components (at national level) needs much more attention when it comes to the aspect of coordination.

2.4. 2005 GCP/INT/ 670/NET, GCP/INT/ 720/USA, GCP/INT/ 757/USA, GCP/INT/ 817/SWI, MTF/INT/006-7-8/MUL Emergency Prevention System for Transboundary Animal and Plant Pests and Diseases EMPRES (Desert Locust Component) Central Region.

The Desert Locust component of EMPRES (Emergency Prevention System for Transboundary Animal and Plant Pests and Diseases) was initiated in mid 1994. EMPRES/CR completed its first phase at the end of 2000 and Phase II by December 2003. Phase III started in January 2004 and ended in December 2006. EMPRES/CR's primary goal was "to minimize the risk of Desert Locust plagues emanating from the Central Region of the Desert Locust distribution area through well-directed surveys and timely, environmentally sound interventions in order to mitigate food security concerns in the Central Region and beyond." Following this, a Programme Goal was defined as: "to strengthen the capabilities and capacities of the national, regional, and international components of the Desert Locust management system to implement effective and efficient preventive control strategies based

on early warning and timely, environmentally sound, early control interventions.” Five components in particular were emphasized: (i) enhanced interaction between the stakeholders; (ii) early detection and early warning; (iii) introduction of economic and environmentally safer control technologies and support to applied research; (iv) capacity building and training; and (v) contingency planning and rapid deployment.

An independent Evaluation Mission on the performance and achievements of the EMPRES (Desert Locust Component) Central Region Programme (EMPRES/CR) Phase III was carried out in 2005. The evaluation focuses on the last phase of the programme but, since it was the last of the Programme’s scheduled evaluations, it also referred to previous phases.

No intermediate report from the mission to Ethiopia is available. Here are summarized some findings regarding Ethiopia included in the Final Report.

- **Implementation:** The implementation of the CF Programme in Ethiopia was affected by the results of the structural adjustment process at the MoA and the resignation of the ELO EMPRES Liaison Officer in September 2004. The former ELO, who gained during the past years good experience in operating RAMSES (Reconnaissance and Management System of the Environment of Schistocerca (database developed by NRI in collaboration with FAO)) and as master trainer, was recruited as Base Manager by the Desert Locust Control Organization for Eastern Africa (DLCO-EA) in Dire Dawa. That was the third ELO trained by EMPRES/CR to join DLCO-EA. Because of his good experience and performance, his resignation was considered as a great loss. Especially the former ELO from Ethiopia had been very active in setting up RAMSES and giving training.
- **Reporting RAMSES data:** Due to staff changes in the national unit, there has been a slight decline in the quality, timeliness and frequency of reporting in the past year. RAMSES data is sent less frequently and a brief interpretation of the accompanying data is absent.
- **Contingency Planning:** In several countries, EMPRES/CR has encouraged participating countries to create national locust management committees (Steering Committees) to keep the concerned governmental institutions informed of locust developments, and to solicit additional assistance in case of shortfalls. In Ethiopia, a “National Desert Locust Control and Preparedness Steering Committee” was established in September 2004. These Committees were instrumental in increasing preparedness for DL emergency. Steering committees convene regular meetings to update the situation with every type of resources available in the country. They increase the awareness of both national authorities and donors, which facilitate the mechanism of resource deployment in case of DL emergency.
- **Capacity building and Diploma courses:** In 2004 -2005, twenty-one national and local training courses were conducted of which three in Ethiopia by using EMPRES/CR Master Trainer's Training Manual. EMPRES/CR and CRC supported the University of Khartoum in 1999 to develop a curriculum for a post graduate Diploma Course particularly oriented to preventive Desert Locust management. The aim was to provide a unique opportunity to locust-affected countries in building up new generations of Senior Locust Officers. Since its introduction in 2001, the course was attended by 31 students of which 3 from Ethiopia.
- **Promotion of alternative technologies:** Regarding operational trials and small-scale demonstrations of the use and efficacy of bio-pesticides and other novel technologies, DLCO-EA with support from EMPRES/CR conducted a field demonstration of the Differential Global Positioning System (DGPS) in Ethiopia in April 2004. Observers from Ethiopia, Oman, Saudi Arabia, Sudan and Yemen as well as several air companies were present. As a result of the demonstration, the Omani Air Force, responsible for aerial control operations in the country, indicated interest to obtain DGPS equipment for locust control. EMPRES/CR with support from

USAID supplied four additional DLCO-EA aircraft with the track guidance device in November 2004. In total five aircraft of DLCO-EA are now equipped with DGPS.

- **DL unit in Ethiopia:** With regard to historical data sets, the Desert Locust (DL) unit in Ethiopia is keeping perhaps the most comprehensive locust data base in the Region. Locust data from 1963-67, 1970-86, 1989- to date are kept in the RAMSES computer. No participating country has made use of the opportunity to obtain historical data from DLCO-EA with EMPRES/CR assistance.

2.5 2005 GCP/INT/811/ITA Support to Livestock Exports from the Horn of Africa (EXCELEX) Project

The project, that started in 2002, aimed at establishing a protocol, with the acronym EXCELEX, for orderly livestock marketing through an examination and certification process for animals destined for export from Horn of Africa countries. This orderly livestock marketing protocol was expected to minimize the risk of exporting human and animal diseases and had the intention of regaining acceptance of livestock exports in the markets of the Arabian Peninsula from which they were at the time of the project banned. The project intended to initially establish the EXCELEX system in one zone of the project area and initiate the first consignment of certified export livestock to the Arabian Peninsula by month six. While the project was managed by FAO, the objective was to develop management structures and human resources within the government livestock services in each of the zones in which it operates in order to strengthen these institutions and their capacity to continue to manage the system with efficient quality control and assurance. The project's development objectives were to i) Strengthen local and private sectors to overcome international livestock trading difficulties, ii) Reduce health constraints which may cause livestock import bans, iii) Improve livelihood of pastoral communities and others directly involved in livestock trade.

No intermediate report from the mission to Ethiopia was available. Here are summarized some findings regarding Ethiopia included in the Final Report:

- **Project Effectiveness:** In Ethiopia, the project increased national capacity for disease diagnosis and surveillance and enabled the decentralization of livestock inspection for export markets. Equally importantly, it has negotiated the legal export of cattle from the SNRS to Berbera, resulting in foreign exchange earnings at the Jijiga Customs office rising from zero in 2003 to US\$ 4.27 million in 2004 to mid-2005. Through its support in developing RVF diagnostic capacity and the associated disease mapping, it has positioned Ethiopia such that it can scientifically analyse risk with trade related diseases and develop appropriate mitigating strategies. Indirectly, it has also contributed to a range of reforms to the Veterinary regulations, now in process, that will, inter alia, see the expansion of private veterinary services, the introduction of cost recovery for government veterinary services and the devolution of inspection responsibilities to regional authorities.
- **Project Results:** *Among the major achievements of the project that specifically mention Ethiopia there are: i) the conduct of stakeholder workshops in Ethiopia, Somaliland and Puntland; ii) the training of more than 60 veterinary staff in Ethiopia, Somaliland and Puntland in the inspection and certification of animals for trade related diseases; iii) the delegation by the Ethiopian Federal Veterinary Department of responsibility for animal certification for export to project-trained veterinarians in the Somali Region State; iv) the development of uniform animal health certificates for export animals accepted by the Somali authorities in Puntland and Somaliland and by*

the Ethiopian Veterinary Department; v) the establishment of serum banks in Somaliland and in the Somali Regional State of Ethiopia; vi) the establishment of a stakeholder forum in Ethiopia, leading , for the first time, to the legal export of cattle from Somali Region State of Ethiopia, which generated US\$ 4.27 million in retained foreign exchange in 2004 to mid-2005.

2.6. 2005 GCP/INT/804/UK Pro-poor Livestock Policy Initiative

The Pro-poor Livestock Policy Initiative facility project started in 2001. The **goal** of the project was to contribute to poverty reduction through equitable, safe and clean livestock farming. The **purpose** was the formulation and promotion of international and national livestock policies that ensure equitable, safe and clean livestock farming. The principal outputs were classified under three major headings: (a) Identification, analysis and targeting, (b) Formulation and negotiation of policy options, (c) Dissemination and scaling-up. **In 2005 a mid-term evaluation was carried out.** On overall, the Mid-Term Evaluation Team was impressed with the quantity and the quality of the project activities during the first half of its implementation. This work included significant studies and working papers which have formed the basis for dialogue with national, regional and international partners. The five pilot country programmes, though still new, were already producing interesting outputs which were drawing attention in the countries to pro-poor livestock issues. The project had strong potential for achieving sustainable impact during its remaining life.

During the evaluation a mission visited Ethiopia. The country mission report is not available.

- **Mission to Ethiopia:** In Ethiopia the Evaluation Team met the Chairman of the Parliamentary Committee on Pastoralist Affairs, members of the FAO emergency team in Ethiopia, a private livestock policy expert, and staff of the Pastoralist Communication Initiative. In general, these people were unacquainted with the PPLPI, though they found the initiative interesting when introduced by the Team.

In the final report there are no other observations specific to Ethiopia.

2.7. 2005 GCP/ETH/060/BEL Improving Nutrition and Household Food Security in Northern Shoa and Southern Zone of Tigray, Ethiopia

The project development objective was to improve nutrition status and household food security in selected communities in four woredas, to be achieved through four immediate objectives: i) improving effectiveness & sustainability of nutrition and poverty alleviation interventions through more active community participation in planning, implementation, monitoring & evaluation and by strengthening the institutional integration of the development processes; ii) improving the utilization of natural resources base and opportunities provided to the poor for overcoming their food and nutrition security constraints; iii) Increasing consumption and utilization of food, prevention of disease through quality improvements in food, health, water and sanitation; and iv) improving access to food, health, and social care through the increase of income from skilled labour and off-farm income generating activities.

After the first phase of the project that lasted from 2002 to 2006, a second phase was implemented from 2007 to 2010. In 2005 a mid-term evaluation was carried out identifying achievements, lessons and gaps in the programme (see the Evaluation Final Report). As part of the Ethiopia Country Evaluation, a qualitative and quantitative impact assessment is ongoing. The assessment aims at measuring the impact the programme has had on beneficiary households in terms of improved production, income, food consumption and malnutrition rates.

3. FAO INDEPENDENT EXTERNAL EVALUATION

3.1. 2006 Country Mission Report Ethiopia

During the Independent External Evaluation a mission visited Ethiopia. The *country mission report* highlights the main changes that occurred in FAO's work in the country up to 2006. The country mission report is for internal use only. Main findings from the mission are summarized below. When available, information regarding the present status of the FAO portfolio in Ethiopia has been provided to offer a comparison with the situation assessed during the IEE mission.

Some highlights/main findings:

- Between 2000 and 2006 the FAO portfolio included 57 investments, of which about 60% were emergency projects. Among the **emergency activities** a major one was emergency seed support and recovery for drought affected farmers. Other short term emergency activities include: the disposal of obsolete pesticides; animal health support for drought affected areas; livestock relief assistance for internally displaced people; and the control of avian influenza. The **portfolio of development projects** includes: work on improving nutrition and household food security including a special program for food security; developing a national agricultural information system; developing vaccine technology for livestock; introduction of new crops (cactus pear; pepper; date palm); crop diversification and marketing project; preparation of CAADP/NEPAD projects for fund raising; land management; and control of trade related livestock diseases.

Today, a large part of the Ethiopia portfolio still consists of emergency activities. In 2009, the total annual delivery to Ethiopia amounted to 11.7 million of which 67% was emergency assistance (FPMIS). Seed support remains a major activity (18.9% of the total 2005-2009 actual expenditure was allocated to Seeds projects). Looking at the portfolio analysis 2005-2009, the other major themes are food security (24.5%), livestock (14.7%), Disposal of Obsolete Pesticides (10.8%) and avian influenza (7.4%), and Information systems (5.2%). All these themes were also included in the 2000-2006 FAO portfolio.

- Referring to the changes occur between 2000 and 2006, emergency assistance has increased in FAO's activities. One of the **main conclusions** of the mission is that FAO's work has largely become more projects focused compared to the past when FAO assisted with capacity building in several areas. The organization has now become more fragmented, more project based and dwells more on shorter term issues, working much more down stream, with more activities at field level rather than strategy level and capacity building. Projects are not organized in an overall strategy. Because FAO is short of its own cash resources for major upstream investments, the organization now uses emergency work to stay viable in the country. FAO has therefore become more opportunistic as they capitalize on availability of emergency assistance funding from various sources. FAO is engaged more and more in

implementing projects and micro projects. There is no synergy or linkage between emergency and development investments.

The 2005-2009 portfolio analysis in Ethiopia shows that FAO's activities are still short term. Almost half of the projects (33 out of 68) last less than one year, and more than two third (48 out of 68) less than two years. In contrast with the findings of the IEE mission, FAO assistance through capacity building support represents today a significant share of the total original budget (43%). 29 projects out of 68 have a main capacity building component consisting in technical support and the promotion of technology transfer, provision of information, knowledge, statistics, policy strategy options and advise. In 2009, a national medium term program framework (NMTPF) was drafted. It has not been approved yet.

- Government and donors lamented a **decline of FAO's assistance in Ethiopia** compared to the past. Government believes that the quality of FAO input on technical matters is generally high. The challenge is FAO achieving or restoring a balance between long term strategic development programs on one hand, and then micro projects as well as pilot projects on the other. Also other donors believe that FAO should play a stronger role in strategic policy development rather than small project work. Government and donors have expectations of FAO's leadership in certain areas but because of lack of appropriate staff, FAO is more and more a marginal player even in areas where it has a strong mandate.

Since 2005, FAO annual delivery to Ethiopia has steadily increased going from 4.9 millions in 2005 to 11.7 millions in 2009 (FPMIS).

- The **size of staff** establishment has grown, although most are consultants working on emergency and short term projects. The compliment of regular staff is still small however. Another interesting change in characterization is that most members of staff are now Ethiopian and that includes short term consultants.
- The **administrative and operational management systems** in the FAO country office in Ethiopia appear to be under stress. The office struggles to maintain a central planning system for operations and execution. There is no teamwork in the office. There is also evidence that administration is bifurcated between the regular FAO program on one hand and acutely growing team working on emergency projects. Emergency assistance in the FAO office seems to be operating on a fairly autonomous fashion from the mainstream FAO work
- FAO HQs continues to provide high level **technical expertise** to programs in country. The mission received positive feedback on the quality of this technical work. However, FAO's capacity to provide such technical service has declined. FAO is relying more and more on short term consultants. The Government expressed that there are substantial delays in responses from FAO to requests for technical assistance.

4. OTHER EVALUATIONS OF FAO'S WORK NOT CARRIED OUT BY THE EVALUATION DIVISON

- "Mid Term Evaluation of DG ECHO's Regional Drought Decision in the Greater Horn of Africa March" - May 2009. Belgium Technical Cooperation (BTC).

05/04/2011

- Mid-Term review Report "Prevention and disposal of obsolete pesticide stocks in ethiopia – phase II" - January 2006.
- The World Bank / ASPIC "Independent Evaluation of Design and Initial Implementation of Africa Stockpiles Programme" - May 2010.

Appendix 9. Planned briefings at FAO Headquarters, September 2010**FAO Rome HQs – Wednesday 8 September 2010**

Time	Meeting	Participants	Where	What will be discussed
9.00 – 10.00	Briefing with Evaluation Manager - Rachel Bedouin Senior Evaluation Officer	All Evaluation Team	Room C496	Introduction to the Ethiopia Country Evaluation
10.00 – 12.00	Briefing with the Evaluation Team Leader - Brian Perry	All Evaluation Team	Room C496	Review of mission programme. Inception mission report
12.00 – 13.00	Lunch	All Evaluation Team	FAO Resto	
13.00 – 14.00	Team work	All Evaluation Team	Room C496	Preparation for afternoon interviews.
14.00 – 15.00	Laurent Thomas (Director) and Cristina Amaral (Service Chief, TCEO)	All Evaluation Team	Room C747	FAO emergency and rehabilitation work – SOI and related priorities and institutional change
15.00 – 16.30	TCS/Policy Assistance – David Phiri (Director) and Country Focus Team in TC and Dominique Bordet and Weldeghaber Kidane (Nepad)	All Evaluation Team	Room D744	FAO policy assistance and country level priorities in Ethiopia
16.30 – 18.30	Team work	All Evaluation Team	Room C496	Discuss information gathered, refine questions, prepare for day 2.

FAO Rome HQs - 9 September 2010

Time	Meeting	Participants	Where	What will be discussed
8.30 – 9.30	Administrative issues	team free		DSA/bank, etc.
10:00-11:00	Jean Alexandre Scaglia & Pedro GomezFernandez (budget holders, emergency projects), and Suzanne Raswant (TCER)	Tsukasa Kimoto, Lori Bell		FAO emergency and rehabilitation operations in Ethiopia past & present. PoA.
10.00 – 11.00	TCI/Investment Centre - Garry Smith & Panda Ponzarny (investment officers)	Policy and Economics expert (under selection), Tefaye Kumsa, Robert Trip.	Room C496	FAO support for agricultural investment in Ethiopia
10.00 – 11.00	NRL – Paul Mathiew (Land tenure officer)	Brian Perry, James Gasana		NRM issues in Ethiopia and FAOs contribution to land use debates.
11.00 – 12.00	TCS – Karel Callens (BSF and SPFS)	Lori Bell, James Gasana,	Room C496	National food security programmes and FAO involvement in the Ethiopia.
11:00-12:00	AGS - Doyle Baker (agro-industry & value chain)	Robert Trip PE expert		
11.00 - 12.00	OSD – Daud Khan (Service Chief), Gilmozzi, Dario Gujral, Aruna (OSD)	Tefaye Kumsa, Tsukasa Kimono Brian Perry		
12.00 – 13.00	Lunch			
13.00 – 14.00	Team work	All Evaluation Team	Room C496	
14.00 – 15.00	AGP - Tom Osborne (officer: seed), Mark Davis (officer: pesticides)	Policy and Economics expert (under selection), Robert Trip,	Room C496	

		James Gasana		
14.00 - 15.00	AGA - Simon Mack (livestock/LEGS), Tim Robinson (AGAL re: IGAD), Juan Lubroth (animal health)	Tesfaye Kumsa, Brian Perry		
15.00 – 16.00	EST - Shukri Ahmed (officer: markets and trade, food security/early warning information systems) and ESS (statistics) David Marshal/Hiek Som (deputy-directors)	Policy and Economics expert (under selection), Lori Bell	Room C496	
15:00 – 16:00	FOE - Marguerite France-Lanord (national forest programme facility focal point for Ethiopia)	James Gasana Brian Perry		
15.00 – 16.00	Regina Gambino – CSAP (procurement training Ethiopia)	Tsukasa Kimoto		
16.00 – 16.30	Break			
16.30 – 17.30	Daniele Donati (ex. REOA, now Chief TCES)	Lori Bell Tesfaye Kumsa Robert Tripp	Room C496	
16.30 – 17.30	Mina Dowlatchachi – Office of Strategy, Planning and Resources Management. TCSP – Vito Cistulli (leading NMTPF manual)	Tsukasa Kimoto Brian Perry PE Expert James Gasana		

Friedrich Lincke, Auditor – TK can do telephone interview with FL anytime.

Rod Charters - BP can meet in Nairobi/REOA.

05/04/2011

Appendix 10. Draft outline of the final report to FAO

ACKNOWLEDGEMENTS

EXECUTIVE SUMMARY

ABBREVIATIONS AND ACRONYMS

1 INTRODUCTION

2 THE ETHIOPIA COOPERATION CONTEXT

3 FAO ETHIOPIA COOPERATION

4 FINDINGS – MANAGEMENT AND STRATEGIC FRAMEWORKS

5 FINDINGS - SECTORAL

6 FINDINGS - THEMATIC

7. CONCLUSIONS AND RECOMMENDATIONS

ANNEXES

Maximum length excluding annexes: 60-65 pages

Maximum number of actionable recommendations: 12-15

Tentative Evaluation Mission Field Visit Program (as at 8/09/2010)

Team	Team members	Routes	Woredas to be visited	Mode	Date	Remarks	Contact Persons
1	Yewubdar, Tsukasa & Brain	Addis - Mekele		air	19/9/10	afternoon flight	Guiseppe DeBac: 0911661498 Eleni Asmare: 0911 40 8956
	09:00 a.m	Visit region HQs Meet Mr. Mezgebe, D/BOARD	Mr. Mezgebe office 0914-709609	car	20/9/10	Biruk Solomon (UN-1098)	
	10:00 a.m	Mr. Gizachew Gebru, D/ Head of Food Security	Food Security Office 0914-722904				
		Visit OSRO/ETH/812/CHA GCP/ETH/060/BEL	Raya Azebo, Womberta, Hintalo	car	21/9/10	"	
		Visit GCP/ETH/073/ITA	Atsbi	car	22/9/10	"	
	Only Yewubdar	Mekele to Addis		air	22/9/10	afternoon flight	
1(a)	Tsukasa & Brain	Mekele to Baher Dar		car	23/9/10	Biruk Solomon (UN-1098)	Yohannes Yilma 0911867715
		Visit region HQs		car	24/9/10	Biruk Solomon (UN-1098)	
		Visit OSRO/ETH/904/CHA	Dembiya, Libokemkem, Dera, Fogera	car	25/9/10	"	
		Baher Dar to Addis		car	26/9/10	"	
1(b)	Yewubdar	Addis to Menz Mama		car	23/9/10	By car to be rented	Eleni Asmare: 0911 40 8956
		Visit GCP/ETH/060/BEL	North Shewa	car	25/9/10	"	
		Menz Mana to Addis		car	26/9/10	"	
2	Robert & Tesfaye	Addis to Jijiga		air	19/9/10		

		Visit region HQ		car	20/9/10	Daniel Teshome (UN-1321)	Ahmed Mohammed 0913 98 8173
		Visit OSRO/ETH/906/USA	Jijiga & Shinile	car	"	"	
		Jijiga to Dire Dawa		car	21/9/10		
		Visit OSRO/ETH/601/MUL	E.Hararge, Hirna	car	"	"	Laboratory FDereje Assamnew 0911 73 35 31
		Hirna to Nazareth		car	21/9/10	"	
		Visit GCP/ETH/062/NOR	E&W Hararge & E. Shewa	car	22/9/10	linked to 069/NOR & TCP/ETH/3102 Daniel Teshome (UN-1321)	Mr. Woyo Roba: (Head Zone ARDO) 0911 629203
		Nazareth to Arsi		car	23/9/10	Daniel Teshome (UN-1321)	
		Visit GTFS/ETH/067/ITA & GCP/ETH/062/NOR	Arsi & E. Shewa	car	25/9/10	Daniel Teshome (UN-1321)	
		Arsi to Addis		car	26/9/10	"	
3	Lori & James	Addis to Awassa		car	19/9/10	Ayalew Mamuye (UN-0357)	Abel Mersie 0911 0556033
		Visit Region HQ		car	20/9/10	"	
		Visit 807 ITA	Awassa	car	"	"	
		Awassa to Soddo		car	21/9/10	"	Same as above
		Visit 813 EC	Sodo	car	"	"	
		Soddo to Jimma		car	22/9/10	"	
		Visit Region HQ		car	"	"	
		Visit 604 NET		car	23/9/10	"	
		Jimma to Bonga	Bonga	car	24/9/10	"	Same as above
		Visit 604 NET	Bonga	car	25/9/10	"	
		Bonga to Addis		car	26/9/10	"	

Note: Three cars have been assigned by FAO and one field and one city vehicles are requested to be rented

The contact persons are informed to meet the evaluation mission and arrange the necessary meetings with Government and field visits

Appendix 5: Matrix of the evaluation framework

EVALUATION OF FAO'S PROGRAMMES AND COOPERATION IN ETHIOPIA				
Key Issues/topics	Key Questions	Criteria of judgment/Indicators	Data Collection Methods and Sources	Where
I. RELEVANCE: Are the components of FAO's Cooperation with Ethiopia addressing beneficiaries' short and long term needs, Government's priorities and donors' policies that motivated it?				
1.1 Implementing FAO's own Ethiopia strategy	Are the interventions based on the PASDEP and UNDAF strategies, and the Draft NMTPF? Has FAO analyzed its comparative advantages? Did FAO develop strategic thinking as to how its interventions are related to both the short term responses and the long term development needs of Ethiopia? Are there any missed opportunities?	FAO's strategy for Ethiopia Consistency of FAO's objectives and intended results with FAO's broader policies and strategies Consistency of FAO's objectives and intended results with PASDEP policies and strategies. Analysis done, documented and shared Strategies that were defined. Reflections on missed opportunities.	Interviews with FAO's Officials (HQ, FAOR, Regional Office) and partners in Addis Ababa and the regions; Document analysis	Rome, Addis Ababa
1.2 Addressing Donors' priorities	What are the Donors' priorities in the context of the FAO's comparative advantage in Ethiopia, and how are they taken into account?	Priorities and policies of relevant Donors.	Discussions in the Consultative Group meetings; Document analysis.	Rome, Addis Ababa

1.3 Addressing GoE priorities	– To what extent has FAO played the “honest broker” supporting dialogue between the GoE and other stakeholders (donors, private sector investment, etc)? – How does GoE view different activities of FAO in Ethiopia? Are there areas of divergence with FAO? – What is the place of FAO in policy advice in Ethiopia in the context of emergency responses and long term development? How has it evolved? Did it open doors for future FAO sustainable development initiatives? – How appropriate have FAO’s responses been to priority sectoral issues (Agriculture, Livestock, Forestry, Fisheries, water, Land tenure)? – How well does the FAO’s programme fit GoE current and emerging development strategies and priorities?	FAO’s leadership and status in Ethiopia Transition from humanitarian to development assistance Specific sectoral (Agriculture, livestock, natural resources) and land tenure approaches, strategies and priorities supported. Specific new and emerging issues	Interviews of GoE officials and FAO officials; Portfolio review Document analysis; Discussions in the Consultative Group meetings; Field visits.	Rome, Addis Ababa
1.4 Addressing beneficiaries’ short and long term	– Do the FAO interventions address the needs and priorities of the beneficiaries? – Is FAO’s strategy relevant to	Evidence of primary stakeholders participation in projects’ identification; The intervention strategies	Document analysis; Interviews of FAO officials, FAO’s partners, primary stakeholders and other	Ethiopia: Addis Ababa and field visits

needs	provide answers to deal with food insecurity and poverty of the most vulnerable in a sustainable manner? – How are women involved in the needs analysis and design of the projects? – Given the scale of the problems it had to address, did the FAO cover the expressed needs?	address the problems and needs analysis; Beneficiary profiles influence the choice of strategies. Needs of primary stakeholders are reflected in the planning. Consideration of gender issues Extent of needy groups and regions out of the reach of the influence of the FAO Needs in relation to the means made available.	stakeholders; Field visits	
1.5 International context	– How do the interventions relate to MDGs (eradication of extreme poverty and hunger; promote gender equality and empower women, ensure environmental sustainability)? – How have the FAO programmes affected indicators of the relevant MDGs? – How did the FAO interventions relate to UNDAF?	Relevant MDGs indicators; Relevant MDGs indicators Relevant indicators.	Interviews of FAO and GoE Officials; Review of FAO's documentation on MDGs accomplishments for Ethiopia.	Addis Ababa
2. FCS/PROJECT DESIGN: Are formal FAO/project concepts clear and achievable? Do they include desired and predicted outcomes?				
2.1 FAO and project design:	– Does the FAO strategy document provide a Logical Framework that	Indicators effectively allow measuring the results; where	Collection and analysis of information on food security	Addis Ababa;

	includes a logically valid causal chain from activities to outputs, outcomes and objectives, verifiable indicators and sources of verification, assumptions and risks? Are budgets broken down by outputs?	relevant; Indicators also allow disaggregation by gender, age, and other relevant variables? Logical Framework includes realistic assumptions Realistic planning of the interventions and in appropriate detail Budgets.	and vulnerability in Sudan.	field visits
2.2 Coverage of the interventions	– Has FAO's work targeted the most vulnerable areas and groups in the design and implementation of interventions? – Thematic coverage	Relevance of geographical and group targeting. Internal and external constraints to achieving coverage Covered thematic areas	Review of level of activity by geographic area and by target group compared to existing situation analysis available. Re-analysis of beneficiary assessment databases.	Rome, Addis Ababa
2.3 Linkages of interventions	– Are individual projects linked to higher levels (regional and national – micro and macro) and across sectors? – Are field interventions aimed at promoting changes at	Strategies for making projects contribute synergistically to FAO's higher level results. Approaches and planned activities		

	beneficiaries level linked with efforts for changes at policy level? – Are there thematic linkages within the FAO's strategy?	to inform policy processes with information from field interventions. Approaches and guidelines for effective thematic linkages.		
3. EFFECTIVENESS: Extent to which the FAO achieves its specific objectives on the basis of the delivery and use of its outputs by the beneficiaries, within its planned duration.				
	Achievement of the objectives and outcomes; innovativeness and learning			
3.1 Meeting the objectives and intended results	– How has FAO helped to strengthen the capacity of the GoE to exercise leadership in developing and implementing their strategies? – To what extent the intended outcomes were reached? – Do the results address sector issues (agriculture, livestock, forestry, fisheries, land, water) and feed into GoE strategies?	FAO's Response to critical issues in Ethiopia (Food Security, Land tenure). Timely and effective implementation; Stakeholders perceive improvements. Perceptions of GoE and other stakeholders.	Interviews of GoE Officials and FAO Officials; Portfolio review with key stakeholders and partners.	Rome, Addis Ababa
3.2 Policy dialogue	How did FAO handle policy dialogue with GoE on important development issues?	Issues and dialogue outcomes. Advocacy activities and outcomes.	Interviews with FAO, GoE officials.	Addis Ababa, regions.
3.3 Coordination and partnership	– How was coordination of work organized between HQ, FAOR,	Mechanisms of coordination (vertical and horizontal) as set-up	Interviews with FAO officials and of partners;	Addis Ababa;

with stakeholders	SFE, Nairobi and Accra? Is there a clear approach of formalized division of labour? – Which partnerships with stakeholders did FAO develop and for which purpose and on what basis were these partnerships developed? – Which mechanisms for coordination and partnerships with stakeholders were put in place? – Which partnership processes were developed? What are the partnerships outputs and outcomes?	and practiced in the FAO; Partnerships in which stakeholders are involved in the FAO national programme: type (strategic, operational, consultative, advisory, policy, etc.), geographic coverage, sector of activity (public, private, civil society) Partnership processes: leadership, resources, characteristics of members, training. Operational elements: agreements or MoUs on defined purpose, reporting, meetings, decision making. Numbers, diversity, and participation of partners in each type of partnership, achievements.	Documents analysis	field visits.
3.4 Innovations, lessons learnt and good practices	– Did FAO stimulate innovation (new approaches, methodologies, technologies, etc.)? – Was the FAO effective in using up to up to date knowledge in order to reach the outcomes (good practices in development, poverty reduction, food security, environment, etc.)? – Is there an effort in identifying and	Pilot projects and initial results; new approaches; Information dissemination strategy Use of FAO's existing normative work Existence of particular thematic reflections or publications	Interviews of FAO staff and partners	Rome, Addis Ababa, field visits.

	documenting the FCS's innovations, lessons learned and good practices? – Are lessons learnt feeding into global practices (and vice versa)?	summarizing experiences. Use of standards that FAO promotes;		
3.5 Gender	– Is the FAO gender sensitive and does FAO have a gender mainstreaming strategy for its interventions in Ethiopia? – How the gender strategy is implemented and what are the outcomes? – Does FAO monitor achievements as far as gender is concerned? – Did gender related experience in the FAO inform GoE policy?	Commitment and proactive leadership at project level and in project area. Gender related advocacy activities. Existence of gender expertise in the projects Adequate resources are allocated to implementation of gender strategy. Dissemination and use of gender related lessons learned.	Interviews of FAO staff and partners	Rome, Addis Ababa, field visits.
3.6 Monitoring and Evaluation System	– What M&E arrangements are in place?	Existing Monitoring and Evaluation System and Plans; Evaluation capacity in place; Regular information from M&E. Clearly assigned responsibility to do monitoring and evaluation; staff and means.	FAO Officials and staff interviews; Documents analysis.	Rome, Addis Ababa.

4. EFFICIENCY: How well the FAO programme was implemented technically, organizationally, procedurally, and financially.				
4.1 Technical aspects	– To what extent has the project delivered the planned outputs? – Was the intervention well targeted? – Were activities implemented and outputs delivered on schedule and within budget? – Were the outputs delivered economically (i.e. were the most cost effective resources and processes used)? – Were there any technical constraints (ex. roads, quality seeds availability, etc...) – What is the role played by each level (HQ, FAOR, Regional Office,) in project approval, launch and implementation.	Insights from project officials and beneficiaries. Target beneficiary groups and regions Work plans and budgets M&E systems and monitoring plans; Factors that might have contributed to costs (where it may apply). Roles at each level.	Interviews of FAO officials, project staff, partners and stakeholders; Document analysis; Evaluations; Review missions reports	Rome, Addis Ababa, field visits.
4.2 FAO national Project Management and coordination	– Have the overall Project management and field coordination mechanisms been adequate? – What decision-making processes have impacted positively/negatively the	Overall management coordination; Relationships with partners; Role of HQ, FAOR and Regional Office; Impacts of the mechanisms for Stakeholders participation (Steering committees, advisory committees, technical committees, etc.);		

	implementation of projects? – How is the FAO working with GoE partner agencies, civil society organizations, and the private sector	Monitoring and self-evaluation mechanisms and effective use of ME information for FAO adaptive management. Approaches and modalities of collaboration and partnerships and results obtained.		
4.3 Organizational and logistical aspects	– Were personnel, finance and materials provided as planned and timely and were they adequate to meet the requirements? – Were the quality of FAO's inputs and services (expertise, equipment, training, approaches and methodologies) provided as planned? – Was coordination between different levels and services of FAO involved (horizontally and vertically) adequate? – Were coordination and the harmonization of FAO's activities	Work plans and their implementation; -ditto- Overall coordination and management; Relationships at different FAO levels and with partners; Steering committee and other committees/groups (consultative,		

	with other national, regional, and local development interventions conceptualized and implemented? – Was partners' institutional capacity sufficient?	advisory, technical, etc.) Experts and staff;		
4.4 Project termination	Which factors were considered to decide on project termination? Was the post-project scenario decided based on a consensus among stakeholders?	Conclusion of planned outputs; achievement of outcomes and objectives; availability of funds; handover strategies.	Interviews of project staff and stakeholders.	Addis Ababa.
5. IMPACT: Wider effects of the FAO programme/project on individuals, gender, community groups, and institutions.				
5.1 Planned changes	What are the impacts on beneficiaries at household and community levels (food security, production, income, access to markets, gender equality, etc...)? What are the programme/project impacts on the capacities of partners in the working areas and at different levels (government agencies, civil society, and private sector)? How is the programme/project already affecting the broader society at relevant levels and what are the likely future impacts?	Indicators defined in the Logical frameworks.	Interviews of Project staff, partners and other stakeholders. Document analysis. Individual project evaluations and impact studies.	Addis Ababa, field visits.

	How much did the programme/project contribute to reaching the Development objective? What are the impacts on GoE policy processes and implementation?			
5.2 Wider planned or unplanned changes attributable to the project	Were there any wider impacts attributable to the programme/project, considering: poverty alleviation, gender issues, environmental impact, employment opportunities, value chain actors, etc.?	Criteria determined depending on type of change	Interview of project staff, partners and stakeholders.	Addis Ababa, field visits
6. SUSTAINABILITY: Whether programme/project results and impacts are likely to continue after the completion of FAO's respective intervention.				
6.1 From emergency to development	How does the FAO implement the transition from emergency to development?	How emergency and recovery strategies are harmonized. A vision of sustainability of recovery based on longer term development strategies. Recovery and reconstruction efforts seek to address root causes of vulnerability depending on the context.	Interviews of FAO and Governments officials, project staff, partners and other stakeholders.	Addis Ababa, field visits.
6.2 Durability of results	Are the outcomes likely to last for a long time after project termination? (If applicable) Did partners at national and local level make the necessary arrangements and take necessary	Conditions of handing over counterparts; ownership. Measures taken by Government for sustainability of project results.	Interviews of project staff, partners and other stakeholders.	Addis Ababa, field visits.

	decisions to ensure sustainability of the programme/project's results? Are results technically and economically sustainable? Does the government conduct post-project follow-up?	Beneficiary organizations technical preparedness. Practices and examples.		
6.3 Ownership of programme/ project results	Has beneficiaries' involvement in the identification and implementation of project activities given them a sense of ownership? To what extent will the processes initiated by the programme/project continue after its termination? Are the beneficiaries using the outputs of the respective projects with a view of achieving the intended	Leaders of beneficiary groups perceive changes in their capacity to plan and manage local development. Partners' preparedness to manage post-project situations: organizational, technical, capacities. Status of the use of outputs for impacts.	Interviews of project staff, partners and other stakeholders.	Addis Ababa, field visits.

	outcomes and impacts?			
6.4 Financial sustainability	What financial mechanisms are there to sustained project results if FAO's financial resources were stopped? Have beneficiaries' organizations reached financial sustainability and are members willing to pay for the services provided by the project?	Existence of locally managed funding mechanism. Payment of services by users.	Interviews of project staff, partners and other stakeholders.	Addis Ababa, field visits.
6.5 Institutional sustainability	Did the project build sufficient capacity at local level to help sustain the results?	Capacity that has been built.	Interviews of project staff, partners and other stakeholders.	Addis Ababa, field visits.
6.6 Use of acquired experience and methods developed after projects completion	Were they used in further assessment of needs? Did they feed in policy processes? Was there a systematic learning process based on a good information collection and valid reporting?	New needs assessments; Examples of use in policy processes.		

Appendix 7. Matrixes of FAO's in-country interventions for Highly Pathogenic Avian Influenza (HPAI)

		Objective	Action	Role	Activities	Outputs	Outcomes
OSRO/GLO/605/OPF	Socio-economic support to livelihoods of smallholder farmers by strengthening avian	Assist affected and at-risk countries in East Africa to develop and implement robust and effective plans for the prevention and control of HPAI that minimise the negative social and economic impacts of disease and control activities. Those plans will assist to smooth the transition between emergency responses and the longer-term rehabilitation measures	Preparedness and Prevention	Policy advice	Develop appropriate compensation strategies	Compensation strategies in relation to the first actions to be undertaken in a country developed	Contingency plan improved
			Biosecurity and poultry production	Policy Advice Capacity building	· Execute poultry sector review and design guidelines for safe poultry keeping systems · Organize training for dissemination of guidelines on safe poultry production	Recommendations on improved biosecurity for smallholder poultry systems formulated and spread	Improved biosecurity for smallholder poultry systems
				Networking and coordination	Organize a regional workshop to prepare a regional strategy	Regional platform/network for the analysis of HPAI- related socio-economics and poultry production established	Develop HPAI-related regional support strategies on socio-economics and poultry production issues

Project		Objective	Action	Role	Activities	Outputs	Outcomes
OSRO/ETH/601/MUL	Urgent Intervention for the Early Detection, Prevention, and Control of Avian Influenza in Ethiopia	Address the urgent short and medium-term actions that are to be undertaken by the Government to strengthen its capacity in order to rapidly detect the introduction of HPAI into the country and minimize its spread in the case of its occurrence	Preparedness and Prevention	Policy advice Capacity building	· Prepare and test contingency plans and operating procedures · Assess the poultry industry and the opportunities for improving bio-security measures · Review legislation to ensure that appropriate provision are in place · Train staff and develop capabilities at national, regional and local vet headquarters	· Emergency preparedness plans for HPAI developed · Review of legislation and analysis of biosecurity level in the poultry industry accomplished · Compensation Fund developed	Contain any emergency outbreak in the country
			Surveillance	Policy advice Capacity building	· Develop effective operating procedures at all levels and train field staff in detection and reporting of clinical HPAI disease · Upgrade the National Animal Health Research Centre in Sebeta and ten regional veterinary labs · Conduct regular surveillance and monitoring of water bird migrations and commercial small holder poultry producers		· Disease surveillance capacity strengthened · Laboratory diagnosis for HPAI undertaken
			??	Capacity building	Provide efficacious, safe and affordable vaccine	Strategic campaigns of vaccination carried out (??)	

			Communication	Capacity building	· Support capacity building initiatives in communication and public information targeted at vets and livestock extension staff · Produce information materials and simple bio-security guidelines · Develop farmers' groups and/or associations		Safeguard human health by improving public awareness and information
			Socio-Economics	Policy advice	· Undertake an extensive assessment of socio-economic implications of an outbreak of avian influenza · Assess short-medium term measures for maintaining livelihood and rehabilitation of poultry owners · Support the establishment of monitoring, detection and reporting mechanisms	Comprehensive assessment of the social and economic impact an outbreak of avian influenza undertaken	

ANNEX 8:

Independent Project Impact Assessment Final Report

**Improving Nutrition and Household Food Security in North Shewa
(Amhara Region) and Southern Tigray (Tigray Region), Ethiopia
GCP/ETH/060/BEL**

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List of Acronyms

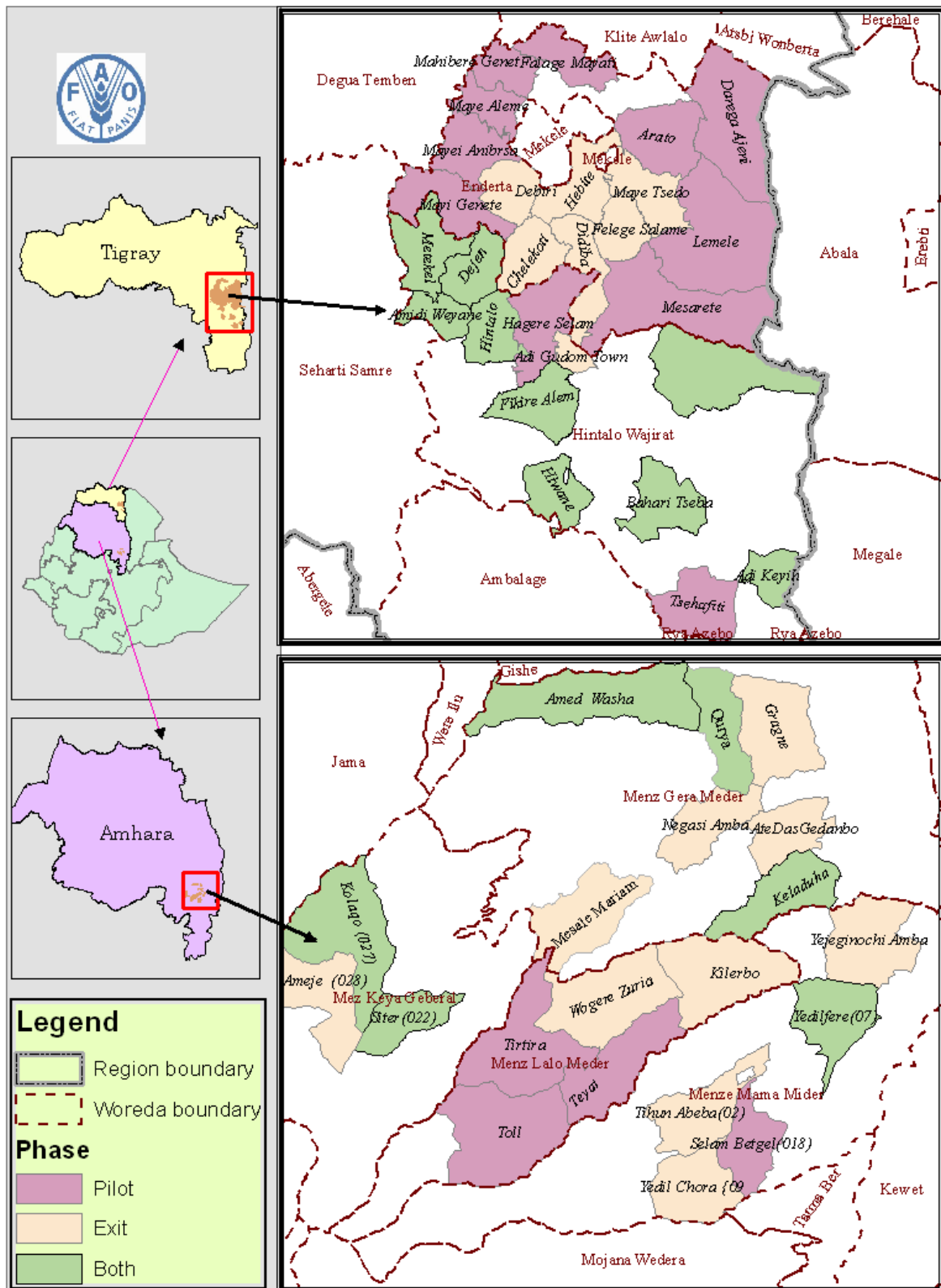
ADLI	Agricultural Development Led Industrialization
AIDS	Acquired Immune Deficiency Syndrome
BMI	Body Mass Index
BSF	Belgium Survival Fund
CAP	Community Action Plan
CDC	Centres for Disease Control and prevention
CDF	Community Development Fund
CHA	community health Agents
CHW	Community Health Workers
CTA	Chief Technical Adviser
DA	Development Agent
DHS	Demographic and Health Survey
DS	Direct Support
FAO	Food and Agriculture Organization
FGD	Focus Group Discussions
FHH	Female Headed Households
FSS	Food Security Strategy
FTCs	Farmers Training Centres
GCP	Government Co-operative Programme
GTZ	German Technical Cooperation
HABP	Household Asset Building Program
HDDS	Household Dietary Diversity Score
HEW	Health Extension Workers
HEW	Health Extension workers
HFA	Height-for-Age
HH	Household
HIV	Human Immune Virus
HIV/AIDS	Human Immune Virus/Acquired Immune Deficiency Syndrome
HP	Health Professionals
IA	Impact Assessment
IGA	Income Generating activities
IMR	Infant Mortality Rate
IPM	Integrated Pest Control
KII	Key Informant Interviews
LFA	Logical Framework Analysis
M&E	Monitoring and Evaluation
MDG	Millennium Development Goals
MoARD	Ministry of Agriculture and Rural Development
NCHS	National Centre for Health Statistics
NGO	Non Governmental Organization
OFSP	Other Food Security Programs
OoE-FAO	Office of Evaluation, Food and Agricultural Organization
PASDEP	Plan for Accelerated and Sustainable Development to End Poverty
PIM	Program Implementation Manual
PLWHA	People Living With HIV/AIDS
PMU	Project Management Unit
PSNP	Productive Safety Net Program
SMART	Simple Measurable Achievable Realistic and Time bounded
TBA	Traditional Birth Attendants
TBA	Traditional Birth Attendants
TVET	Technical and Vocational Education and Training
USD	United States Dollar
VCT	Voluntary Counselling and Testing
WFA	Weight-for-Age
WFH	Weight-for-Height
WFSTF	Woreda Food Security Task Force
WHO	World Health Organization
WOARD	Woreda Office of Agriculture and Rural Development
WOFED	Woreda Office of Finance and Economic Development

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The Impact Assessment Team.

Intervention area for GCP/ETH/060/Bel Project



Map of BSF FAO Operation Woreda in Southern Tigray and North Shewa

Executive summary

Background

This report provides the results of an independent impact assessment (IA) of the Belgium Survival Fund/Food and Agricultural Organization (BSF FAO), Improving Nutrition and Household Food Security Project (GCP/ETH/060/BEL) which has been implemented over a 10 year period in two woredas (districts) of Tigray and four woredas of Amhara region, Ethiopia. The project had two phases: Phase I ran from November 2001 and ended in February 2007 and Phase II since February 2007 and continue up to February 2011. The project was largely funded by Belgium Government through Belgium Survival Fund and supplemented by other funding sources from the Spanish Government and Catalan towards the middle of Phase II. It had USD 9.3 million budget over the course of its life: USD 4.2 and USD 5.1 during Phase I and Phase II, respectively.

Project targets and coverage

The project was directly implemented by the Government of Ethiopia (GoE) with technical and management oversight from FAO Ethiopia. The BSF FAO project had four mutually reinforcing components: community empowerment, market and enterprise development, health and nutrition, and agriculture and natural resources management. It targeted the most vulnerable segments of the targeted communities including female headed households, jobless youth, oxenless, landless and other vulnerable groups (HIV infected individuals and persons with physical disabilities) in rural areas.

The BSF FAO project was able to reach about 16,423 households (9,050 during Phase I and 7,373 during Phase II) of which 43% were female headed (Project records and Woreda Data). It covered about 36% of chronically and transitory food insecure population in the target woredas. This coverage is found to be good despite greater demand from local communities and officials for expanded coverage.

About 80% of BSF FAO beneficiaries were also participants of the Productive Safety Net Programme (PSNP). This overlap between the two programmes was deliberate, intended to reinforce the National Food Security Programme in the target woredas and to promote graduation of households from the PSNP through BSF asset building activities.

Project components and outcomes

As part of the community empowerment component the project provided capacity building trainings for woreda experts and officials, development agents (DA) and community leaders. These trainings covered application of community action planning (CAP), gender awareness and mainstreaming, community development fund management and project cycle management. The trainings have helped participants to enhance genuine community participation in local development, to address gender issues in their regular activities, in preparation of micro-projects, and to create and manage sustainable rural financial services.

As reported by beneficiaries, about 73% and 24% of loans provide by BSF FAO during Phase I and Phase II, respectively, been paid back to the cooperatives responsible to manage the community development fund (CDF). The majority of loans given out in Phase II had not yet matured at the time of the IA field work¹. Although 73% repayment rate is encouraging for communities managing CDF for the first time, this level is still behind widely accepted standards applied by donor funded projects and micro-finance institutions in the country.

¹ Aug-Sept 2010.

The market and enterprise development component of BSF FAO has dealt with increasing income through enhancing engagement in micro-enterprises and creating market opportunities for local products from target beneficiaries. The project helped beneficiaries to engage in off-farm income generation activities after obtaining vocational and entrepreneurship skills training and start-up capital in the form of loans. The project also made efforts in linking these beneficiaries with markets through helping them participate in regional market promotion events such as bazaars. Currently most of the beneficiaries have shown improvement in their income, food consumption, educating children and social position.

The project aimed to improve health and nutrition in the target communities. It specifically focused on maternal and child nutrition. To this end, various activities were implemented including training, demonstration, school-based health and nutrition education, promotion of fortification and the use of iodized salt, construction of pit latrines, and provision of safe drinking water supply. On top of these, wider scale community awareness creation activities were carried out through local radio in Tigray.

The creation of market-based distribution system and community awareness on the purpose and use of iodized salt in Tigray was found to be a good model to address micronutrient deficiency in rural areas. In Tigray the project increased utilization of iodized salt from 5% to 51% and from 7% to 76% among Phase I and Phase II beneficiaries respectively. However, such interventions were not implemented in North Showa project woredas which demonstrate only 8% and 2% utilization of iodized salt with Phase I and Phase II beneficiaries respectively.

Initiation of breastfeeding within one hour, feeding colostrum, initiation of complementary feeding at six months and continuing breastfeeding up to two years are improved practices among project beneficiary households. However, prelacteal feeding practice in North Showa needs further effort to improve.

The mean household dietary diversity score (HDDS) for beneficiary households has increased from 4 (during the 2007 baseline) to 6 (at the time of this evaluation). This result is a good indication of improvement in access to diverse food among the project beneficiaries.

The girls' education component of BSF FAO project, supported by complementary funding from Spain and Catalonia, has resulted in active participation and improved academic performance of girls at target schools. The project supported funding snacks and facilitated school teachers to provide tutorial sessions for the target children. Woreda educational officials indicated high interest to continue such supports for girls. However, resource constraints represent a challenge for continuing with the provision of snacks.

The agriculture and natural resource management component of the project aimed to contribute to sustainable household food and nutrition security through improving crop and livestock production and productivity, rehabilitating the natural resource base, and improving local government capacity to effectively reach out to communities through extension services. On a cost-recovery basis various seeds and seedlings such as carrot, potato, tomato, cabbage and highland fruits were supplied to needy households in the operational woredas. One in three project beneficiary households (34% of Phase I and 30% of Phase II beneficiaries) in both regions have grown horticultural crops in 2010 cropping season at the time of the impact assessment.

In an attempt to mitigate the effects of rainfall irregularity and recurrent droughts, the BSF FAO project introduced motorized irrigation pumps to individual households; constructed small scale irrigation schemes for targeted communities; and promoted various water harvesting and conserving technologies. Households with access to irrigation facilities

through the project were able to make up to three harvests per year compared to one harvest using rain fed agriculture.

Project interventions in the livestock sector focused on innovative husbandry practices that consider the local potential and carrying capacity. These include dairy, small ruminant and poultry development. About 8.5% of Phase I and 5.1% of Phase II beneficiaries reported owning improved dairy cows. According to the 2007 baseline study, no household had such improved dairy cows prior to the BSF intervention. The dairy and small ruminant production has been identified by communities in the two regions as one of the key agricultural enterprises that would allow households to improve food security and nutrition. The livestock were provided to beneficiaries on credit basis while the extension service was given for free as part of the government and the project responsibility.

Project impacts

The project has brought about a range of impacts on the lives and livelihoods of target beneficiaries. It has also some spill-over effects in the diffusion of agriculture technologies, and health and nutrition practices to non-project households and areas. In general, these impacts can be viewed as follows:

Social Assets - Empowering communities and local institutions: Voiceless groups (FHH, jobless youth, people with disability, PLWHA) were able to voice their concerns to the community and officials through their organizations formed with the support of BSF FAO project. This has created economic and social empowerment among the target groups. Community participation and local ownership over development processes has been enhanced due to the application of CAP process. Different capacity building supports from BSF FAO have enhanced service giving capacity of institutions at woreda, kebele and community levels.

Financial Assets - Enhancing household food security: According to self-reported responses, from 45% to 48% of BSF FAO beneficiaries households at the project level did not face food shortage in the last 12 months, while only 13% of non-beneficiaries experienced the same. The mean number of food shortages per year is also less (2.5) among project beneficiaries as compared to non-beneficiaries (3.9). More than 70% of BSF FAO beneficiaries reported improvement in food security situation at household level over the last five years. Majority of them associate this improvement with enhanced self-efforts and use of improved technologies with the BSF FAO and other ongoing programmes. In this respect the contribution of BSF FAO stands high as the high proportion of project beneficiaries reported improvement in food security compared to non-beneficiaries.

Human Assets - Improving health and nutritional status: Nutritional status of children also indicates some degree of improvement despite chronic malnutrition requires longer term interventions and structural changes to address underlying and basic causes of malnutrition. In both regions stunting has reduced from 54% to 49% between 2007 and 2010 among Phase II beneficiaries.

Sustainability of the project

Because of the application of CAP process, local capacity building and ownership of woredas and communities to the project interventions from the very start, the project interventions and benefits have shown signs of sustainability. However, a further effort is required to sustain revolving fund mechanisms established through CDF.

Implementation challenges

Like most development interventions, the BSF FAO project was not without limitations and met with challenges in the course of its implementation. The following points were identified by the IA team as negatively affecting project performance:

- Low coverage of the project compared to the extent of poverty and vulnerability in the target areas.
- FAO fund release through tranches (30%, 50% and 20%)² and long bureaucratic procedures for approval of Letters of Agreement contributed to slow disbursement of loan funds to beneficiaries.
- Loan recollection rate from beneficiaries was reportedly low compared to existing standards in the country. This will hamper the sustainability of revolving credit funds.
- The limited roles of regional and zonal offices in the project have caused misunderstanding about project efforts and limited sharing of experiences.
- Rapid staff turnover and repeated restructuring of woreda offices, and frequent changes of FAO/PMU staff have affected the performance of the project.
- Climatic shocks such as recurring droughts and untimely rainfall are the key challenges for the community in sustaining project promoted agricultural interventions.

Recommendations

The IA team has organized its recommendation in two groups: wrapping-up current BSF FAO project activities and the way forward beyond this project. With regard to wrapping-up the current phase the following recommendation are forwarded:

- Conduct an inventory of CDF loans (repaid and outstanding) and provide the data to woredas with possible recommendations for their actions to ensure sustainability of the revolving funds inject in the target communities.
- Finalize the legalization of cooperatives and business groups and ensure linkages with financial and extension service providers.
- Provide refresher and/or introductory trainings on CAP, gender and CDF for staff to update their knowledge and ensuring sustainability of the project approaches and benefits.
- Organize the project guidelines, manuals and tools as a pack and hand over to the relevant government offices at Federal, regional and woreda levels working on national food security programme, health and agricultural extension, gender and social protection affaires after an appropriate orientation.

Given the depth of poverty and vulnerability in the country there is a greater demand to bring and implement projects of this type with a multi-sectoral approach to address food and nutritional insecurity. Thus, the following recommendations are given, beyond the current BSF FAO Project, to address different future design needs and intervention strategies:

- Future project designs should incorporate appropriate formulation of hierarchical objectives and indicators.
- Market and product development interventions should be guided by a comprehensive value chain analysis for potential products and services.
- Future project should be designed in the way they mitigate the impacts of climate change.
- It takes longer time and repeated efforts to bring nutritional improvement among children and women in communities with cultural taboos that harm feeding and health practices. Thus, future project should give due emphasis to activities and strategies that will help to change cultural taboos.

² This proportion has been improved to 30, 60 and 10% since the beginning of 2010. However, because long life of the project is completed with the application 30, 50 and 20% we have maintained to cite this throughout this report. Most of the qualitative respondents also commented on the earlier tranches they commonly worked with.

1. Introduction

1.1 Background on the BSF FAO Project

The Belgium Survival Fund/Food and Agricultural Organization (BSF FAO), Improving Nutrition and Household Food Security Project, GCP/ETH/060/BEL has been implemented in two woredas of Tigray and four woredas of Amhara. The project was officially launched in November 2001. The project had two phases. The pilot phase (or Phase I) went from November 2001 and ended in February 2007. The second phase also referred as the exit phase has been under implementation since February 2007 and will continue up to February 2011. Both phases were funded by Belgium Government through Belgium Survival Fund. However, during the exit phase the project secured additional funding from two complementary sources, Spanish Government including AECI-OTC (GCP/ETH/074/SPA) and Agencia Catalana de Cooperacio al Desenvolupament-ACCD (GCP/ETH/002/SPA/Catalana). The following table summarizes the phases of the project and funding sources.

Table 1: Summary Profile of Projects under BSF FAO Projects and Funding Sources

Project	Amount of fund in USD	Project life	Status	Remark
BSF FAO Pilot	4,200,000	2001-2005	Ended in -2007	Successfully completed
BSF FAO Exit	3,600,000	2007-2011	Ending	Expansion of the pilot phase to new communities
Spanish	1,474,926	2008-2010	Ending	Expansion of BSF to (other) new communities?
Catalonia	184, 638	2009-2010	Ending	Strengthen Spanish funded component
Total	9,456,400			

Source: Belete, 2009.

1.1.1 Pilot Phase

The pilot phase of the project was fully funded by the Belgium Government through Belgium Survival Fund (BSF) with a budget of 4.2 million USD. This phase was designed with a development goal of improving nutrition status and household food security of selected communities in four woredas of Tigray and Amhara regions, namely Lalo Mama and Gera-Keya in Northern Shewa and Enderta and Hintalo Wujirat in Southern Tigray.” This development goal was envisaged to be achieved through the following four immediate objectives:

- Improving the effectiveness and sustainability of nutrition and poverty alleviation interventions through more active community participation in planning, implementation, monitoring and evaluation, and by strengthening the institutional integration of the development processes;
- Improving the utilization of the natural resource base and provide opportunities to the poor for overcoming their food and nutrition security constraints;
- Increasing the consumption and utilization of nutritious food, and health services through improvements in food, health, water and sanitation; and
- Improving access to food, health, and social care through increased income from skilled labour and off-farm income generating activities.

According to an evaluation report of the first phase of the project conducted in 2005, the following achievements were noted:

- The Community Action Planning (CAP) had empowered communities as well as government field agents (Development Agents, Home Agents, and Health Workers). In the CAP process they developed capacity to identify problems and plan and implement micro-projects at community and household level;
- The participatory and integrated approaches (including nutrition education) developed for the improvement of nutrition and food security were appreciated by officials and development practitioners within the project areas and elsewhere;
- The food and nutrition situation (and productive resource base) in the 40 focus villages had improved with the introduction of micro-projects, which provided fuel saving stoves, pit latrine slab construction, spring protection, cistern construction, horticulture and livestock packages;
- Awareness of gender in participatory planning had been raised through training of government staff and others - practical interventions focused on reducing women's time constraints (through provision of energy efficient stoves and establishing water points);
- Baseline information had been developed using the CAP process (and also by commissioning baseline surveys and beneficiary assessments), which would provide a basis for monitoring progress and assessing project impact.

The evaluation also noted that, the project had initiated two other activities which had important contribution to improve Household Food Security in the project areas:

- Training for enterprise development and livelihoods diversification; and
- Establishment of Saving & Credit Groups, in parallel with the current Government initiative to strengthen cooperatives. These two activities have become the primary focus of the project during the second phase project.

The evaluation findings noted that the project was constrained by various issues that compromised past performances and future expansion efforts of the then envisaged second phase of the project. The constraints of the first phase implementation can be summarised as follows:

- Weak collaboration with other institutional partners;
- High staff turnover (including the project CTA) at all levels;
- Cumbersome project administration requirement and long approval process for Letters of Agreement;
- Insufficient backstopping for some project components (by FAO as well as by the Technical Task Force in Ethiopia);
- Unresolved differences between Government policy;
- Inadequate reporting on the utilization of budget;
- Insufficient arrangements for monitoring and evaluation especially of project impact; and
- Limited operational resources and technical expertise at woreda, regional and federal level.

Due to these constraints and the longer time required to bring sustainable improvement in nutritional status and food security as indicated in the development goal of the project the evaluation mission made a conclusion that the project had not progressed much towards an important aspect of the "Expected End-of-Project Situation". According to the project document, cited in the first phase evaluation report, the "Expected End-of-Project Situation" was explained by "Project experiences and lessons learnt were regularly be shared between various project stakeholders from micro up to macro level as well as between various stakeholders operating on the same level." The exit phase of the project document envisaged development of a strategy to institutionalise technical support, experience and lessons

learned regarding the applied project management and methodologies to ensure sustainability of project achievements beyond the implementation phase of the project. However, by the time the first phase was concluded and the pilot phase evaluation was conducted this situation was not created. Therefore, the evaluation mission reached to a conclusion to strengthen the “Expected-End-of-Project Situation” by having an extension to the project through a second phase which was named exit phase.

With the aim of achieving the full potential of the project during the pilot phase and the then forth coming exit phase, the evaluation mission recommended:

- Improving in community development fund (CDF) and monitoring and evaluation (M&E) system;
- Improving and implementing irrigation interventions such as water harvesting structures and drip irrigation facilities;
- Improving the livestock carrying capacity of the environment and livestock health services;
- Enhancing organizational capacity and expanding enterprise developments and;
- Improving access to natural resources through equitable sharing of resources and application of integrated watershed management.
- Link up with the PSNP and use the PSNP classification for targeting

1.1.2 The exit phase

As indicated above, the exit phase of the BSF FAO project started towards the beginning of 2007. According to project records, the project is expected to end in February 2011. Like the pilot phase, the core source of funding for the exit phase was the Belgium Government with about 3.6 million USD worth of investment and two other complementary sources from the Spanish Government: GCP/ETH/074/SPA (USD 1,474,926) and GCP/ETH/002/SPA /Catalana (USD 184, 638). The complementary funds were aimed at expanding outreach to an additional four kebeles promoting interventions such as promotion of girls’ education, potable water supply, sanitation and hygiene, capacity building for health extension system and local production of complementary food for children.

By and large the exit phase of the project was designed based on the lessons from the pilot phase. It had a development goal of “attaining a significant improvement in the general nutrition and household food security situation in Northern Showa and Southern Tigray.” In this regard the project maintained improving nutritional status and food security as its core goal during both phases. However, during the exit phase the project had clearer immediate objectives as its expected outcomes. These include:

1. Strengthen community participation and capabilities to implement and manage their own development processes;
2. Develop Markets and micro-enterprise through strengthening technical capacity of service providers and enable them to provide quality services and outreach required for improving the food and nutrition security of poor people;
3. Improve quality of health and social well being, through increased consumption and utilization of nutritionally adequate diets, prevention of diseases and scale up HIV/AIDS prevention and impact mitigation; and
4. Rehabilitate the natural resource base and improve the productivity of the agricultural sector through rehabilitation of grazing lands, (re-) afforestation, improved soil fertility and water management, improved production and productivity of crops and livestock.

1.2 The objectives of BSF FAO project impact assessment

The independent Impact Assessment was commissioned by the Office of Evaluation of FAO as both a standalone evaluation of project performance and as key input into a broader evaluation of FAO Cooperation in Ethiopia which was undertaken during the second half of 2010.

This impact assessment (IA) has the dual function of accountability and learning. The key purpose is to determine the degree of success and/or failure of an ongoing or past undertaking (accountability), and to learn from these experiences so as to improve future performance and outcomes (learning). In this sense the exercise is both summative and formative – requiring the systematic use of both qualitative and quantitative research methods.

2. Methodology for the Impact Assessment

2.1 Study Organization

The impact assessment (IA) is guided by the technical protocol prepared and commissioned by the Office of Evaluation, Food and Agricultural Organization (OED-FAO), Rome. The technical protocol is further augmented by an agreed action plan detailing specific tasks to be accomplished by the consultants in agreed time table. A summary of the methodology followed in the IA is provided in the following sections.

This impact assessment was conducted by a team of four experts including an independent consultant as team leader and three other professionals from the Ethiopian Agricultural Research Organization, the Ethiopian Health and Nutrition Research Institute, and the Central Statistical Authority. The evaluation team has benefited from the guidance from OED-FAO and BSF FAO Project Management Unit (PMU) staff.

2.2 Study Area

The IA was conducted in the four woredas of the BSF FAO supported project areas in North Showa (Menz Gera Keya and Menz Lalo Mama) and Southern Tigray (Enderta and Hintalo Wujirat). The study areas are highly degraded, vulnerable to drought and chronically food insecure.

2.3 Methods of Data Collection

The key results and recommendations of the IA are based on three specific and complementary analytical tasks: (1) an extensive literature review and secondary data analyses; (2) qualitative assessment focusing on consultations with key stakeholders and focus group discussions at regional, zonal, woreda (district), kebele (sub-district) and community levels; and (3) a household quantitative survey involving randomly drawn project beneficiary and non-beneficiary households.

2.3.1 Literature Review and Secondary Data Analysis

Valuable project insights regarding implementation, performance and achievements were compiled through reviewing relevant literature. Among others, the following key project documents, baseline surveys and beneficiary assessment reports were reviewed:

- The 2004 baseline survey report;
- The 2007 baseline survey report;
- The 2009 auto-evaluation;
- The Beneficiary Impact Assessment Report, 2009;
- Evaluation Report on Agriculture and Related Interventions, 2009;
- Final Evaluation Report on the Pilot Phase, 2005;
- A Report on Assessment of Community Development Fund Management, 2009; and
- GCP/ETH/060/BEL - Exit Phase Design Document, 2006.

In addition to these, secondary data were collected from various relevant offices at woreda, zonal and regional levels.

2.3.2 Qualitative Assessment

The qualitative assessment was intended to collect data that provide insights about the performance of the project activities. The qualitative approach, involved focus group discussions (FGD), key informant interviews (KII) and team observations to various project sites. Most of the FGDs and KIIs were organized through the facilitation of BSF FAO project site coordinators in the respective woredas.

2.3.2.1 Qualitative Survey Instruments

The instruments for the qualitative survey included five check lists and a series of open ended questions prepared by the evaluation team, discussed and approved by the Office of Evaluation for use in the impact assessment (Annex 1). The qualitative assessment instruments include:

- Checklist for beneficiary focus group discussion
- Checklist for household case studies
- Checklist for group discussion with kebele food security task force
- Checklist for group discussion with woreda food security task force
- Checklist for discussions with community organizations

Using the above qualitative survey instruments, primary data were collected from the following informants:

- Amhara Regional Disaster Preparedness, Response and Food Security Coordination Office,
- Tigray Regional Bureau of Agriculture and Rural Development,
- Woreda Food Security Task Forces (Hintalo Wujirat, Enderta, Menz Mama and Menz Gera Woredas),
- Woreda Office of Health (Hintalo Wujirat, Enderta and Menz Mama),
- Woreda Office of Agriculture and Rural Development (in Hintalo Wujirat, Enderta, Menz Mama and Menz Gera Woredas),
- Woreda Office of Women's Affairs (Hintalo Wujirat and Enderta),
- Woreda Office of Youth, Sports and Social Affairs (Hintalo Wujirat),
- Kebele Development Agents.
- Kebele Health Extension Worker, and
- Beneficiary households, associations and cooperatives

2.2.2.2 Sampling of Beneficiaries for Focus Group Discussions

Focus group discussion (FGD) participants and key informants were sampled purposively. In each sample village (gott/kushet) selected for the survey, one focus group discussion of beneficiaries was conducted. The number of beneficiaries for the group discussion is maintained between five and seven. In the same manner two key informants (elders, knowledgeable persons, etc.), i.e., one male and one female were interviewed in each survey locality.

2.2.3 Quantitative Household survey

To quantitatively measure change at household level with respect to the stated key project outcomes, a survey was designed. The objective was to be able to compare household

status using outcome indicators with earlier surveys³ as well as with a non-intervention group with the same household socio-economic and demographic characteristics.

As in any household survey, the primary concern is to include representative and adequate number of cases in order to perform a meaningful analysis. In this household survey, all project woredas, namely, Menz Gera Medir and Menz Mama Medir from North Showa; and Enderta and Hintalo Wujirat from Southern Tigray were included. Procedures used for sampling representative kebeles and determination of the optimal sample size is described in the following section.

2.2.3.1 Sampling procedure and sample size

In order to meet the objectives and requirements of the survey, a two-stage cluster sample design was employed to select first eligible kebeles and then representative households. In the first stage the villages (gotts/kushets) within the target districts were stratified into BSF FAO intervention and non-intervention villages. Sampling frame for intervention villages were all villages included in Phase I (entry 2003/4) and Phase II (entry 2007) projects. Non-intervention villages, on the other hand, were villages in the same zone where there had not been any BSF FAO project activities. Attempts were made to purposefully match intervention villages to non-intervention villages using 1:1 based on matching criteria including agro-ecological zone and access to rural services (roads, markets, and government public services such as clinics, schools and agricultural extension).

In the second stage, equal number of Phase I and Phase II project beneficiary households were randomly selected from the BSF FAO beneficiary lists in the intervention villages. Similarly, non-beneficiary households (comparison group) were randomly selected from the Productive Safety Net Program (PSNP) beneficiary lists in the so called “non-intervention villages”. PSNP households were selected as comparison households mainly because they are the one most affected by chronic food insecurity and have very similar socioeconomic conditions with that of BSF FAO clients.

Statistical theory stresses the importance of optimal sample size for accurate estimation of the variables of interest. An optimal sample size is, therefore, determined at the point where no significant efficiency gains will result from the use of extra resources to select additional sampling units. In this study, project beneficiary and non beneficiary households were the sampling units at village level. Lists of beneficiary households were solicited from the respective woreda project coordination offices while lists of non-beneficiary households were obtained from the respective kebele level development agents (DA). The lists were then used as sampling frames to draw households using a simple random sampling technique.

In this study the optimal sample size required was determined on the basis of the desired level of precision as suggested by statistical theory. Accordingly, the 90% confidence interval, 10% tolerable error, design effect of 1.5 and 10% non-response rate were used as inputs to determine the optimal sample size. By taking into consideration these statistical factors and the available budget for the survey, a total of 660 households were included of which 440 were project beneficiary and 220 were non-beneficiary households. Of the 440 project beneficiary sample households, 220 are sampled from phase I project beneficiaries entering the programme in 2003/4 and the rest 220 are selected from the phase II project beneficiary households that entered the programme in 2007 and were included in the 2007 baseline survey. These cohorts were selected as the sampling frame (rather than the entire population of beneficiaries over the 8 year period) in order to ensure that time has been

³ In 2007 a baseline survey was undertaken of all households entering as BSF project beneficiaries that year. In 2003 (during phase I), a cross sectional survey was undertaken in all communities where BSF was being implemented.

sufficient for expected impacts to have occurred, and to ensure variability that will allow for comparison of Phase I and Phase II beneficiaries. Table 2 provides the distribution of survey households by beneficiary status, region and district.

Table 2: Distribution of Sample Households by Project Beneficiary Status and Woreda

Region	District (Woreda)	Number of sample Households		
		Beneficiary	Non-beneficiary	Total
Tigray	Enderta	110	55	165
	Hintalo Wujirat	110	55	165
Amhara	Menz Gera Medir and Menz Keya Gebrel	110	55	165
	Menz Mama Medir and Menz Lalo Midir	110	55	165
Total	4 woredas	440	220	660

2.3.3.2 The Household Questionnaire

The quantitative survey is intended to collect data that would allow an accurate assessment of the impact of the BSF FAO interventions on the livelihoods of project beneficiaries. To this effect the development of the household questionnaire was mainly guided by the need to have consistency with the 2007 household survey instruments. Consequently, the content, format and structure of the 2010 IA household questionnaire as much as possible was based on the 2007 baseline survey in view of maximizing comparability across the two survey rounds. The second consideration was that the survey instruments should not be so large as to result in respondent fatigue. Accordingly, taking into account the two considerations a household questionnaire of a moderate size was prepared. The draft questionnaire was then translated to Amharic, pre-tested and modified based on feedback from the pre-testing. The final household questionnaire (Annex 2) had ten modules (Table 3).

Table 3: Modules of the HH level questionnaire for IA of BSF FAO project, Ethiopia

Module	Coverage
1	Identification
2	Household Roster
3	Housing, Utilities and Facilities
4	Household Assets, production, harvest , non-farm income and use of technological inputs and good practices
5	Household Food security
6	Program participation
7	Self-assessment of wellbeing
8	Child health
9	Nutrition practice and anthropometry
10	Household dietary diversity score (HDDS)

2.2.3.2 Training of Field Staff

All field staffs/enumerators were intensively trained for three days at Mekele in Tigray and Mehal Meda in North Showa. In an attempt to maintain high quality data, supervisors checked each questionnaire for completeness and accuracy. Anthropometry equipments used in the survey were checked/calibrated daily before field visit.

Anthropometric measurements on weights and heights of 6-59 months old children and reproductive age group women were taken by health extension workers using the standard methods recommended by the World Health Organization. In all cases, weight and height were measured using electronic scales and height measuring boards, respectively,

2.2.3.3 Data Entry and Analysis

The household survey questionnaire was properly coded and tested prior to the start of fieldwork. The format and code of the questionnaires were matched to the 2007 phase II baseline survey questionnaires in order to facilitate the data entry work and data matching/merging. A data entry application was designed using CPro3.3 (Census and Survey processing) software. This software is very powerful in controlling for error introduced during data entry and data collection. The cleaned data file was then exported to SPSS for windows software for in-depth analysis.

The raw data of anthropometric measurements on weights and heights for children and women was converted into indices using Epi-Info, based on the growth reference curves developed by the National Center for Health Statistics (NCHS)/ Centers for Disease Control and prevention (CDC) and recommended by the World Health Organization (WHO). Information on age, sex, weight and height are used to calculate the values of various anthropometric indices; height-for-age (HFA), weight-for-age (WFA), and weight-for-height (WFH). These indices are expressed in terms of Z-scores, relative to the international growth reference values, as recommended by the WHO.

The cut-off points recommended by WHO, NCHS/CDC to classify low anthropometric levels (below $-2SD$ Z-score) are used in the analysis.

The data analyses used included determination of simple descriptive statistics (percentages, ratio and means) and cross-tabulation of some important variables to examine their associations. Time did not permit for multivariate (i.e. regression) analysis against the main outcome indicators – but could be considered to further strengthen analysis of predictive factors associated with the outcomes.

2.3 Methodological challenges and study limitations

Although utmost efforts were made in the design and implementation of the IA, the study is not without limitations and challenges. The challenge relates to the selection of non-beneficiary households having similar socio-economic characteristics that serve as a comparison (control) group. As has been noted in section 2.2.3.1, non-beneficiary households were selected from a list of PNSP beneficiary lists in non-intervention areas. These households were believed to have a similar socio-economic profile to that of the BSF FAO project beneficiaries. Nevertheless, there was no guarantee apriori that the control group would exactly match with the project beneficiaries in terms of their socio-economic profile.

Furthermore, even if the control group has by chance the desired socio-economic profile, a meaningful comparison could be compromised by spill over effects from intervention villages to non-intervention villages. Such comparison could also be endangered by the fact that non intervention areas have benefited from similar interventions implemented by other government and non-government organizations (NGO's) other than BSF FAO. It is worth noting that a number of NGO's with similar objectives and project activities have been actively working in the study areas more so in Tigray region. As a result finding a truly

“unexposed” control group was very difficult casting doubt on the extent to which valid comparisons can be made in the subsequent chapters. Therefore, interpretation of the results should be made with this caveat in mind.

The earlier two baseline survey questionnaires (in 200 and 2007) collected limited information related to household income and assets as proxy indicators of food access and household wellbeing. As a result of this, baseline information for these indicators is weak. Therefore the team gave due attention to collecting recall data for these indicators by asking informants about their situation five years ago. This approach has resulted in some interesting evidence with respect to improvement in household wellbeing. However, the results should be interpreted with caution insofar as there could be recall bias from the interviewed households.

3. Project Context

3.1 Food insecurity

Ethiopia is characterised by widespread chronic and transitory food insecurity. Nationally, about 8.29 million people are chronically food insecure of which 58% or 3.97 million people are living in Tigray (1,453,707) and Amhara (2,519,829). This vulnerable population is currently being assisted through the national Productive Safety Net Programme with the aim of filling household annual food gaps and protecting against the desperate sales of household assets.

In the last decade, across the country, about five million people were affected by transitory food insecurity and were subjected to receiving emergency relief assistance. According to the Humanitarian Document – 2010 issued by the Government of Ethiopia (GoE), the emergency relief assistance requirement was estimated at about 5.2 million people at national level. From these 31% or 1.6 million people with relief assistance requirement were from Tigray (641,949) and Amhara (994,800) regions.

BSF FAO project target woredas are some of the most food insecure obtaining both PSNP and relief assistances over the years. Based on the information obtained from the project operational woredas, about 55% of the population have been affected by chronic or transitory food insecurity that led them to obtain food or cash assistances in 2010 alone (Table 4). Despite significant resources committed over the past 5 years to the PSNP, recent reviews indicate that very few households have “graduated” – remaining in need of cash/food assistance year after year.

Table 4: Food insecure population of BSF FAO target woredas

BSF Operational Woredas	Total Population	PSNP Assisted Population, 2010	Emergency Assisted Population, 2010	Total food insecure Population	
				Number	%
Hintalo Wujirat	163,635	63,922	47,020	110,942	67.8%
Enderta	130,076	75,323	24,426	99,749	76.7%
Menz Mama	106,192	35,045	3,870	38,915	36.6%
Menz Gera	127,467	42,936	15,503	58,439	45.8%
Menz Keya	66,568	20,500	4,980	25,480	38.3%
Menz Lalo Midir	34,824	12,732	0	12,732	36.6%
	628,762	250,458	95,799	346,257	55.1%

Source: The Respective Woreda Office of Agriculture and Rural Development

Ethiopia is also one of the countries in the sub-Saharan Africa with the highest rates of malnutrition. Although there have been trends of improvement, the country faces enormous challenges, with high malnutrition rates amongst children under-five years of age, notably with the prevalence of stunting at 47% and underweight at 38% (DHS, 2005). The project woredas are highly vulnerable to malnutrition as indicated in both the 2004 and 2007 baseline surveys (See Section xx).

3.2 Socioeconomic Characteristics of the Sample Household

Selected socioeconomic characteristics of the sample households, computed from the IA survey, are given in Table 5. Most of the sample households are natives who have lived in the study villages since birth. Overall male headed households dominate the sample households in both program beneficiary and non-beneficiary groups. A close examination of

the sample structure, however, revealed that male headed households make up about three quarters of the sample for Phase I beneficiaries in both regions whereas the number of female headed households are fairly large in Phase II and non-beneficiary categories.

Table 5: Selected Demographic Characteristics of Sample Households by Region and Program participation

Variables	Tigray (n=330)				Amhara (n=330)			
	Phase I	Phase II	Non-Beneficiaries	All	Phase I	Phase II	Non-Beneficiaries	All
% Head by sex								
Male	72.1	51.2	54.0	59.1	75.0	45.5	52.9	58.2
Female	27.9	48.8	46.0	40.9	25.0	54.5	47.1	41.8
Avg. Age of HH (years)	47.3	40.4	39.1	42.3	44.0	35.8	40.5	40.2
% HH head able to read and write								
No	65.9	64.3	59.5	63.3	24.2	42.1	54.6	39.9
Yes	34.1	35.7	40.5	36.7	75.8	57.9	45.4	60.1
Average family size	6.04	4.54	4.71	5.08	5.65	4.27	3.83	4.59
% HH lived in the Kebele								
Since birth	90.6	89.1	86.2	88.7	89.1	88.4	82.4	86.7
> 10 years	8.6	9.3	12.2	10.0	10.9	9.1	14.3	11.4
5-10 Years	0.8	0.8	0.8	0.8	0.0	2.5	1.7	1.4
Less than 5 Years	0.0	0.8	0.8	0.8	0.0	0.0	1.7	0.5
Marital Status								
Single	5.4	19.4	22.2	15.6	3.1	8.3	1.7	4.3
Married	70.5	48.1	50.8	56.5	77.3	54.5	50.4	61.1
Separated	10.9	20.9	21.4	17.7	10.2	28.9	26.9	21.7
Widowed	13.2	11.6	5.6	10.2	9.4	8.3	21.0	12.8
Main work								
Agriculture	95.6	87.6	79.0	87.4	89.6	87.4	79.1	85.4
Schooling	2.6	1.7	5.9	3.4	6.1	3.6	0.9	3.5
Trade/ Exch	1.8	8.3	8.4	6.1	1.7	1.8	5.2	2.9
Wage work	0.0	2.5	5.9	2.8	0.9	0.0	1.7	0.9
Other	0.0	0.0	0.8	0.3	3.5	5.4	13.0	7.3

BSF FAO has increasingly focussed on inclusion of female headed households when we observe the percentage of male and female headed households (FHH) accessed BSF FAO benefits during the two phases. In Tigray during Phase I and Phase II, 28% and 49% of beneficiaries were FHH, respectively. Likewise, in Amhara in Phase I 25% and in Phase II 47% of the beneficiaries were FFH. The project gave s due emphasis to FHH as they are the most vulnerable group to social and economic deprivations, and food insecurity. These percentages can be considered significant compared to the national statistics which indicates existence 20% FHH in the country (DHS, 2005).

Mean age of the phase I household heads is the highest (47 years in Tigray and 44 years in Amhara) compared to Phase II beneficiaries (44 years in Tigray and 39 years in Amhara). The literacy rate among household heads is significantly higher in the Amhara region (60.1%)

compared to the Tigray which stand at 36.7%. A comparison of the literacy rate by program participation, however, indicates that the sample households exhibit quite marked variability. In the Amhara region, Phase I sample households have the largest proportion of literate heads (76%) while in the Tigray region the proportion of literate households heads are the lowest (34%).

A comparison of the marital status of the household heads also revealed that program beneficiaries and non-beneficiaries are quite dissimilar. As shown in Table 5, the sample households in Tigray have a larger proportion of singles (15.6%) than the Amhara sample (4.3%). In addition non-beneficiary sample households have the largest single heads in Tigray whereas in the Amhara sample the non-beneficiaries have the lowest proportion of singles.

Across the three types of respondents agriculture is the main economic activity performed by household heads. However, in general it seems non-beneficiaries have better diversity in economic engagements than beneficiaries of both phases.

Finally, it is possible to conclude that in many of the different socioeconomic and demographic characteristics Phase II beneficiaries better match with non-beneficiaries than with Phase I beneficiaries. The main reason for this is that Phase II beneficiaries are mostly taken from PSNP beneficiaries as one of the most important project priority target groups.

3.3 Access to PSNP and Other Food Security Programme among survey households

The Ethiopian Food Security Programme (2010-2014) as its long-term goal is expected to substantially contribute to “Food security for chronically food insecure households in rural Ethiopia achieved” (MoARD, 2009). The programme envisages achieving its goal by addressing causes of food insecurity through multi-stakeholder and multiple complementary interventions. This programme is actively working in all BSF FAO operational woredas through its Productive Safety Net Programme (PSNP) and Other Food Security Programme (OFSP). The latter is replaced by Household Asset Building Programme (HABP) which is rolling out to chronically food insecure (CFI) woredas since mid 2010.

The PSNP has two objectives: protecting household as through provision of cash and food transfers and building community assets through payment-based public works. The OFSP or HABP has the objective of creating household asset and enhancing livelihood opportunities for CFI households benefiting from PSNP. This component of the Food Security Programme (FSP) avails different livelihood packages for households in the form of credit, training support and extension services. The extension support is ensuring technology transfer, market access and business development for households. In this way, the FSP is designed to graduate households from CFI by providing combined supports from PSNP, OFSP/HABP and regular extension services.

In order to examine the contribution of BSF FAO to the Food Security Programme (FSP) we have asked the IA survey households to indicate which programmes were they benefiting from (Table 6). In Tigray 62% and 77% of Phase I and Phase II BSF FAO project beneficiaries, respectively, reported to be part of PSNP as public and direct support participants. Likewise in Amhara 70% of Phase I and 86% Phase II beneficiaries were also receiving PSNP supports at the time of this survey. Overall about three in four (74%) of BSF FAO beneficiaries are CFI being supported by PSNP. Such coherence between PSNP and BSF FAO is deliberate, stemming from the use of similar targeting criteria that focus on the poorest of the poor households. Moreover, during Phase II woredas took bold measures so

that BSF FAO beneficiaries to be from PSNP in order to promote graduation from PSNP through asset building and income generating activities supported by BSG FAO.

Table 6: Percentage of BSF FAO beneficiary households obtaining support from PSNP

Region and beneficiary status		Total PSNP Participants (%)	PSNP Participant (%)	Public works (%)
Tigray	Phase I	61.8	78.2	21.8
	Phase II	77.5	82.5	17.5
Amhara	Phase I	69.9	74.3	25.7
	Phase II	85.6	85.6	14.4
Both	Phase I	65.9	76.2	23.8
	Phase II	81.4	84.0	16.0
	Total	73.8	80.2	19.8

From our sample in Tigray and Amhara over 95% of BSF FAO beneficiary households received credit packages from the project. In total about 18% and 16% of Phase I and Phase II beneficiaries received credit package from OFSP/HABP (Table 7).

Table 7: Percentage of sample households received credit services

Region and BSF FAO beneficiary status		Received credit from	
		BSF FAO (%)	Credit package of FSP (%)
Tigray	Phase I	95.5	25.5%
	Phase II	98.3	29.2%
Amhara	Phase I	93.8	10.6%
	Phase II	99.1	1.8%
Both	Phase I	94.6	17.9%
	Phase II	98.7	16.0%

The IA has examined the extent of overlap between BSF FAO and OFSP/HABP at household level as explained by access to credit-based livelihood packages. The analysis of the IA survey data depicts the existence of limited overlap between BSF FAO and OFSP/HABP. This overlap is better observed in Tigray in which from 26% to 29% of households benefited from BSF FAO have received credit from OFSP/HABP. Contrary to this, in Amhara only a few proportion of BSF FAO beneficiary households (between 2 to 11%) have accessed similar supports from OFSP/HABP. The limited overlap between the two programmes is attributable to the targeting criteria used by woredas. As a general rule, every time, priority is given for households who had no access similar services before.

3.4 Project Coverage by Component and Phase

The IA team obtained data on beneficiaries per project components for the two phases from the PMU. Individual beneficiaries can participate in more than one components of the project therefore summing up the numbers under each component to get the total project participants result in inflation of actual project participants due to multiple counting.

Table 8: Number of households benefited by BSF FAO

Region		Community Empowerment			Market and Enterprise Development			Nutrition and Health			Agriculture and Natural Resources		
		Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female	Total
Phase I	Tigray	248	84	332	163	32	195	343	230	573	1,047	316	1,273
	Amhara	1,236	1,073	2,307	1,377	1,514	2,891	1,700	1,573	3,273	2,745	1,946	4,691
	Total	1,484	1,157	2,639	1,540	1,546	3,086	2,043	1,803	3,846	3,792	2,262	5,964
Phase II	Tigray	1,116	751	1,867	1,082	520	1,602	2,520	1,743	4,263	889	812	1,701
	Amhara	523	912	1,435	292	208	500	1,558	1,539	3,099	1,723	1,847	3,570
	Total	1,639	1,663	3,302	1,374	728	2,102	4,078	3,282	7,362	2,612	2,659	5,271
Both phases	Amhara	1,364	835	2,199	1,245	552	1,797	2,863	1,973	4,836	1,936	1,128	2,974
	Tigray	1,759	1,985	3,742	1,669	1,722	3,391	3,258	3,112	6,372	4,468	3,793	8,261
	Total	3,123	2,820	5,941	2,914	2,274	5,188	6,121	5,085	11,208	6,404	4,921	11,235

As shown in Table 8, about 2,639, 3,086, 3,846 and 5,964 households were benefited from the community empowerment, market and enterprise development, nutrition and health, as well as agriculture and natural resources components of the project, respectively, during the Phase I. Similarly during Phase II, 3,302, 2,102, 7,362 and 5,271 have received benefits from the community empowerment, market and enterprise development, nutrition and health, as well as agriculture and natural resources components, respectively. As discussed above and summarised under Table 9 the project has covered a total of about 9,050 and 7,373 households in Phase I and Phase II implementation periods, respectively. This makes the total number beneficiaries in both phases about 16,423 households or 85,178 people. From this total number of households 7,195 were female headed while 9,318 reported male headed. Based on this about 43.3% of beneficiary households were female headed. This high proportion of female headed households (FHH) is the result of the targeting criteria adopted by the project to address poverty and marginalization among women in rural areas.

Table 9: Total number of beneficiary households and population

Woreda		BSF FAO beneficiary HHs ^a			BSF FAO Beneficiary Population ^b	CFI population ^c	% of BSF beneficiary from CFI population ^d
		Male	Female	Total			
Phase I	Tigray	1,210	348	1,468	8,867	139,245	6%
	Amhara	4,122	3,460	7,582	42,838	111,213	39%
	Total	5,332	3,808	9,050	51,705	250,458	21%
Phase II	Tigray	1,971	1,332	3,303	14,996	139,245	11%
	Amhara	2,015	2,055	4,070	18,478	111,213	17%
	Total	3,986	3,387	7,373	33,473	250,458	13%
Both	Tigray	3,181	1,680	4,771	23,862	139,245	17%
	Amhara	6,137	5,515	11,652	61,316	111,213	55%
	Total	9,318	7,195	16,423	85,178	250,458	34%

Source: WOARD, as of January 2011.

a = Calculated from the sum of beneficiaries of market and enterprise, and agriculture and natural resources components.

b = Computed from multiplication of household number and average family size in each region reported under Table 5.

c = Population affected by chronic food insecurity. These figures are calculated from data under Table 4 which is constructed based on data from the project woredas. Since PSNP case load has been unchanged since the start of the programme in this woreda we have considered the same figures for both phases. Moreover, the same population is considered to be CFI. Thus, we have not summed up Phase I & II to get data for both phases.

d = percentage of BSF FAO beneficiaries calculated from the total population affected by chronic food insecurity.

Another interesting aspect of the beneficiary data analysis is comparing project coverage with the total number of people affected by chronic food insecurity (CFI). In this analysis the number of CFI households in each woreda is taken from woreda records indicating the number of people supported by the PSNP in 2010. Based on these data in the entire project woredas about 250,458 people had been affected by food insecurity and subjected to assistances from the PSNP. Hence, the BSF FAO project covered about 34% (17% in Tigray and 55% in Amhara) of the total population affected by chronic food insecurity in the last ten years during the implementation of the two project phases. This coverage can be considered encouraging given the resource limitation and various implementation challenges indicated in the 2005 Phase I evaluation report and in this impact assessment. However, given the depth and breadth of poverty and vulnerability many of the informants of this evaluation argue that the coverage of BSF FAO was low.

4. Assessment of BSF project concept and relevance

4.1 The project objectives and national policies and programmes

The project developmental goal

The development objective of the BSF FAO project is ***‘Improving Nutrition and Household Food Security in Northern Shewa and Southern Tigray, Ethiopia.’*** This development objective is consistent and responsive to the different development strategies and policies of Ethiopia. According to the 2006-2010 poverty reduction strategy of the country popularly referred as Plan for Accelerated and Sustainable Development to End Poverty (PASDEP) ensuring food security was one of the development strategies considered by the government.

The Federal Food Security Strategy (FSS) which was first issued in 1996 and latter updated in 2002 indicates the need to give emphasis to chronically food insecure, moisture deficit and pastoral areas. The FSS has the following essential elements:

1. Rapid expansion of agricultural production, marketing and credit
2. Due emphasis to pastoral areas
3. Promotion of micro and small-scale enterprises

The New Coalition for Food Security Programme document is the first comprehensive document that provided guidance and commitment of stakeholders for implementing the Federal Food Security Strategy into a programme framework. According to this document the three food security programme areas include PSNP, Other Food Security Programmes (OFSP) and voluntary resettlement. As explained in the PSNP’s Implementation Manual (PIM) the then OFSP and the current Household Asset Building Programme (HABP) are instrumental to ensure graduation of households from food insecurity through credit and training provisions to chronically food insecure PSNP households.

The BSF FAO project by and large can be regarded as part of the OFSP (or HABP) as it has supported the national food security programme in providing household asset building and income generation opportunities for its target beneficiaries. As most of the BSF beneficiaries are very poor and chronically food insecure, the project has supported the national food security strategy / programme particularly in promoting graduation out of food insecurity.

The BSF FAO project operated in moisture deficit woredas with environmentally fragile and ecologically degraded areas. Moreover it gave due emphasis to the expansion of agricultural production, marketing, credit and micro enterprise development.

The project intermediate objectives

The BSF FAO project had four intermediate objectives. These objectives are consistently in support of various development strategies of the country to reduce rural poverty and ensure food security. The review of the relevance of these objectives to the countries development programmes, strategies and policies is presented as follows.

Community empowerment

Community empowerment component of the project can be seen as a strategy and as an end by itself. Over the past five years the government has been strongly promoting community participation in local development endeavours within the context of the second cycle of poverty reduction strategy (PASDEP 2006-2010). The document acknowledges the need for removing gender disparity and ensuring gender equality and women’s empowerment as a key way forward to be successful in accelerating growth, human development and in the eradication of poverty. Community participation has received a lot of attention in the areas of education, local governance, planning, implementation, monitoring

and evaluation of education, health care services, local infrastructure development. For instance it envisaged to significantly increased female participation at all levels of the educational system. To unleash the potential of Ethiopian women, PASDEP foresaw liberating women from low-productivity tasks, and increasing their participation in the work force and social and political processes of the country. Apart from this the decentralization and good governance directions of the government are based on the principle of ensuring grassroots participation to bring social, economic and political empowerment.

BSF FAO project has been promoting community empowerment through ensuring participation and building their capacities. According to the project proposal, efforts were to be made to make the community action planning (CAP) process part and parcel of mainstreamed practice. The CAP process is in line with Participatory Community-based Watershed Development approach being promoted in natural resources conservation by the Ministry of Agriculture and Rural Development (MoARD). The CAP and the watershed approach have commonalities in terms of ensuring community participation in problem identification, solution planning, implementation, monitoring and evaluation. The main difference in practice is that BSF FAO promoted the CAP process and brought resources through community designed micro-projects regardless of the sector. In the case of the watershed management approach, major emphasis has been given to natural resource conservation work through PSNP. In the course of BSF FAO project implementation the CAP process has filled the gaps observed in the watershed approach. On top of this the CAP findings and problems that could not be addressed through BSF FAO project have been shared with different stakeholders for their actions. As an example, CAP findings were used in Tigray Region to strengthen the watershed plans and were shared with other NGOs and bilaterally funded projects such as the Ethiopian Red Cross Society and German Technical Cooperation (GTZ). According to Hintalo Wujirat Woreda Food Security Task Force (WFSTF) the experience gained from the CAP process supported by BSF FAO helped the woreda to develop participatory projects.

Market and Micro-enterprise development

Small and micro-enterprise development is widely considered by the GoE as the strategy of poverty reduction among non-agricultural and urban population. In particular this strategy has demonstrated its potential for poverty reduction in urban areas by building skills, providing business start-up capital, creating market linkages, and providing working spaces for jobless youth and women. This experience has been transferred to rural areas during the PASDEP period through youth and women's packages designed and developed by the government. These packages created opportunities for rural youth and women who are often landless and have no reliable livelihood sources. Likewise BSF FAO has been promoting the micro-enterprise development activities for landless youth, women household heads and other vulnerable groups (PLWH and people with disabilities) with the aim of creating employment opportunity in rural areas. Particular attention was given for these target groups to acquire off-farm business skills, working capital in the form of credit, and linking their products with potential markets. This indicates the perfect alignment of the BSF project with the government strategy for reducing poverty among landless youth and women of rural Ethiopia.

Nutrition and health

Malnutrition is a social indicator of poverty in Ethiopia. As indicated above, about 47% and 11% under five children are affected by chronic and acute malnutrition, respectively (DHS, 2005). Infectious and communicable diseases account for about 60-80 % of all diseases⁴. At the beginning of PASDEP which is 2004/05 only about 35% of the rural population had access to potable water sources⁵. As a result of this, PASDEP gave due emphasis to development

4 MoH (2006) *Health and health related indicators 2004/2005*, Addis Ababa

5 According to MoFED (2010), Growth and Transformation Plan (2010/11-2014/15) potable water supply coverage within the range of 1.5 km distance has reached 68% for rural areas in 2009/10.

undertakings that improves nutritional status and health wellbeing of the rural community. Among other expansion of primary health care through health extensions system and increasing of access to potable water supply and sanitary facilities obtained high attention in the document as well as in practice over the last five years.

BSF FAO project also gave attention to strengthening health and nutritional knowledge and practices among its target communities through strengthening the health extension system, and promoting production and consumption nutritious food. It also gave emphasis to the expansion of facilities such as potable water supply and sanitation. These situations make the project responsive and contributory to the country's health sector development.

Natural resources and agriculture

Different development policies and strategies put agriculture as a prime mover of the Ethiopian economy. In the last one and half decades the Government has given high priority to combating food insecurity and poverty in the country. It considers agriculture as the necessary starting point for initiating structural transformation of the economy. Therefore, the Agricultural Development Led Industrialization (ADLI) has been pursued as the major policy framework for development since 1991. ADLI forms the basis of the Food Security Strategy (FSS), as well as the PASDEP and is viewed as the engine for poverty reduction in Ethiopia. ADLI focuses on the development of the rural sector. The adoption of ADLI presupposes productivity enhancement of smallholder agriculture and industrialization based on utilization of domestic raw materials via adopting labour-intensive technology. The strategy also focuses on the development of large-scale private commercial farms. The essential elements of the strategy framework include development and optimal use of both labour and land as a primary source for economic development. Market-led agricultural development i.e. demand led agricultural development as opposed to supply oriented agricultural development, is integral to this goal.

As quoted in the BSF FAO exit phase project proposal, the agriculture sector objective during the PASDEP period is to "accelerate transformation of small holder subsistence agriculture to market oriented agriculture." Basic principles underlying the strategy include:

1. Adoption of a labour-intensive strategy,
2. Proper utilization of agricultural land,
3. Improving farmer's capacity and
4. Coordinated development approach.

Agriculture sector development in the area of human resource development had the target of training of 42, 622 DAs to overcome the then severe shortage of agricultural development agents, construction of 5,493 farmers training centres, intensive modular training of 3,282,120 farmers and short term training of 10,393,380 farmers within the five years. Specific agricultural development plans included: soil fertility management, small-scale irrigation, crop protection, utilization of improved seeds, and improving production and productivity of livestock and undertaking natural resource management.

In light of this BSF FAO has provided practical supports to the realization of agricultural development objective of PASDEP by promoting productive agricultural technologies including improved seeds and small scale irrigation schemes, on the job training of development agents, training of farmers, supplying and construction of facilities at farmer training centres, and supporting training of farmers on improved farming and soil fertility management.

4.2 Assessment of project logical model

The logical model or logical frame work analysis (LFA) of the project was based on FAO's definition of food security which is "Food security exists when all people, at all times, have physical, social and economic access to sufficient, safe and nutritious food which meets their dietary needs, and food preferences for an active and healthy life (FAO, 2003)."

Furthermore, at least three out of four project immediate objectives are reflecting dimensions of food security including food availability, access and utilization. First, the agriculture and natural resources component (immediate objective) addresses enhancing food availability at household level by increasing production and productivity of the agriculture through promotion of technologies and transfer of knowledge. Secondly, the market and enterprise development component ensures access to food by households through enhancing income from various off-farm and farm-based business engagements. Thirdly, the nutrition and health aspect of the project enhances consumption of nutritious food and the biological utilization of food through actions that enhance health services and behaviours, and appropriate dietary intake practices.

Analysis of the project logic vis-à-vis the above internationally accepted definition of food security the project design is up to the standard and relevant to the local contexts. This has enabled the project actors to easily understand the project objectives and strategies in the course of implementation.

Apart from this it is found to be important to comment on the quality of the project objective statements and key indicators. Appropriate statement of project objectives and formulation of indicators are important factors determining the quality of design and ease of project implementation, monitoring and evaluation activities. While acknowledging the relevance of the project development objective and immediate objectives, the evaluation team has observed some limitations in the quality and clarity of the project objectives statements and indicators.

As presented in the BSF proposal the development objective of the project is 'Improving Nutrition and Household Food Security in Northern Shewa and Southern Tigray, Ethiopia.' When this statement is examined using a SMART (**S**pecific, **M**easurable, **A**chievable, **R**ealistic and **T**ime bound) principle of project design a lot can be learned for future design improvement.

Specificity: The development objective is very specific in its focus which is improving food security and nutritional situation. It is also specific and clear about its geographic focus. Further it indicates households are the unit of analysis for food security. However, it is not clear about the unit of analysis for the nutritional improvement. From this statement one cannot be sure about the target groups for nutritional interventions. Such statements can lead to lack of focus and dilution of efforts which ultimately result in wrong targeting and absence of deep impact. This leads to the conclusion that the development objective of this project lacks specificity.

Measurability: So long as the focus of the project is on household food security and improvement in nutritional status of specific groups (which are not indicated in this development goal) the impacts of the project can be measured. There are already well developed and globally accepted indicators to measure food and nutritional status. Therefore, the development objective of BSF can be regarded as a measurable objective.

Realistic and achievable: Although the time frame is not indicated in this objective statement, from the document one can understand that some degree of improvement can be

realized in food security and nutritional situations of the target groups. So the development objective is realistic and achievable for the specific target group.

Time bound: As indicated above, this objective is not time bound. Thus, from the current statement it is not possible to understand when this objective is envisaged to be achieved. This situation could easily lead to confusion and loss of track by planners and implementers of the project. After all, proper project implementation is proper understanding of the project objectives and logic. Based on this analysis the project objective statement missed to be time bound.

Indicators are the second important element of a project logic next of objective statements. Indicators are qualitative or quantitative criteria and are used to check whether proposed changes have occurred. They are instruments for measuring beginning and ending situations envisaged to be changed or affected by the project. As a standard, all hierarchical objective statements should have indicators. However, the impact assessment team did not come across in the project document indicators for the development objective of the project. This is a missing element in the design of the project logic. This practice obviously reduces accountability and responsiveness of a project to the target groups, donors and host country government and makes the measurement of impact ambiguous.

Apart from this all the four immediate objectives of BSF project have indicators that can to some extent show direction and magnitude of envisaged changes due to the project. However, each objective has an unmanageably large number of indicators ranging from four to seven. This might have emanated from the desire to know more about the situations than indeed measuring changes. The result of having large number of indicators is investing time and financial resources for non-utilizable data and application of poor indicators that have only a very remote link with the project objectives.

Most of the indicators at immediate objectives level are found to be compounds of more than one data element. In the means of verification column of the LFA none of these indicators were having defined formulation strategy. Such a practice could lead to confusion and sub-standard use of indicators during formulation and number crunching. As far as indicator formulation is concerned, different agencies have different approaches. Some put directions and targets within the indicators and other do not. Indicating targets for changes is important whether they are embedded within the indicator statement or in a separate format. In the case of the BSF FAO project, some indicators are with targets some are not. The framing of expected results was not improved after the baseline survey was completed.

To comment on the quality of indicators and improve future project design the IA team made a review on a few indicators under the immediate objective three; nutrition and health improved, with the following seven indicators:

1. Daily food intake increased
2. Health status and survival rate improved
3. Rate of malnutrition reduced by 50 %
4. Potential health Service coverage from the current 64% reach100%
5. Rate of water born diseases reduced from the current 70-60% to 40-30%
6. IMR reduced from the current97/1000 to45/1000
7. The spread of HIV/AIDS halted and impact mitigated

Different agencies suggest different approaches for judging the quality of indicators. For the sake of this report the following four criteria are applied to examine the quality of some of the indicators of BSF FAO project.

Comprehensibility: the indicators should be worded simply and clearly so that people involved in the project will be able to understand them.

Relevant: The indicators should be directly linked to the project objectives, and to the appropriate levels in the hierarchy.

Technically feasible: The indicators should be capable of being assessed (or 'measured' if they are quantitative).

Reliable: The indicators should be verifiable and (relatively) objective; i.e., conclusions based on them should be the same if they are assessed by different people at different times and under different circumstances.

Table 10: Review of project indicators

Indicators	Comprehensibility	Relevant	Technically feasible:	Reliable
Daily food intake increased	Simple but not clear. It is not know the what aspect of food intake to be measured. Not specific about whose food intake. The unit of analysis was not defined (e.g. HH level, of vulnerable groups, etc)	Seems relevant	Can be feasible if well defined. It can also be complicated and time taking if it requires inventory of food intake.	Since the indicator and its formulation is not clear difficult to comment on its reliability.
Health status and survival rate improved	This is multi-directional: health status and survival rate. Whose health status and survival rate is referred? No unit of analysis. Thus lacks specificity. It rather tends to be objective than indicator.	No comment.	Formulation method and data elements are not clear.	Same as above.
Rate of malnutrition reduced by 50 %	Simple but the unit of analysis is not defined. Whom are we referring to? Which type of malnutrition are we referring?	Very relevant for the project development objective than this immediate objective.	Technically feasible a there are widely accepted measurements for malnutrition.	The existing standards are reliable.
Potential health Service coverage from the current 64% reach100%	Simple and comprehensive although there is a need for defining the concept under 'potential health service'	Given the depth and coverage of the programme this indicator might not be sensitive to the project intervention. Quality of service can be improved but it is as such unlikely to affect the coverage.	Technically feasible but it requires definition of concept and formulation of the indicator	If the technical feasibility criteria is fulfilled the indicator could be reliable
Rate of water born diseases reduced from the current 70-60% to 40-30%	Simple and clear. Targets trigger actors what to do.	Very relevant as water born diseases are important factors of malnutrition	Technically feasible and well developed formulations are already out there.	Very reliable and possible to get realist results across time and space.
IMR reduced from the current97/1000 to45/1000	Simple and clear.	Relevant to the context and development objective of the project. It also helps to measure the contribution towards MDG. However, this less likely be regarded as indicator for this immediate objective.	Technically feasible if internationally accept formulation is applied	Very reliable.
The spread of HIV/AIDS halted and impact mitigated	Not simple and clear as project indicator. Tends to be an objective statement than an indicator. It is also multi-dimensional (halted and impact mitigated). It is not clear weather this indicator requires qualitative or quantitative data.	Relevant to the context in rural Ethiopia and MDG	It seems technically difficult to consider this as an indicator.	No comment as it lacks clarity.

The following can be summarised from the analysis of immediate objective three indicators:

- Most indicators seem simple but lack clarity in concepts and formulations.
- Most of these indicators are relevant to the context, project objective and MDGs. However, some indicators tend to be less sensitive to changes as a result of the project interventions. Likewise there is range of impact indicators that should be under the development goal of the project than the immediate objectives, e.g. 'rates of malnutrition'.
- Most of the indicators are tending to be technically feasible as there are already well developed measurement methods in the field. However, due to lack of conceptual clarity and formulation the results may have low level reliability.
- Therefore, future design of such a project should be managed with a very good understanding of indicator formulation criteria (the one mentioned in this report or others) and operational contexts. Particularly reformulation and target setting for indicators might be required by preparing a comprehensive and standalone M&E plan. This M&E plan should have indicator formulation, detailed means of verifications, operational definitions, frequency of data collection and reporting as well roles of stakeholders in the M&E.

5. BSF FAO Project Impact Assessment Findings

5.1 *Project Outcomes*

The overall objective of the BSF FAO project is to improve household food security as well as nutritional well-being of the beneficiary communities in the intervention Woredas of North Showa and South-Eastern Tigray Zones. BSF FAO project intends to contribute to household food and nutritional security through providing required inputs, knowledge and services and ensuring sustainable crop and livestock production in the area. Efforts made so far have shown progress in this regard. The project has supported considerable numbers of poor households including female households (FHHs), landless, oxenless, jobless youths and other vulnerable groups (HIV infected individuals and persons with physical disabilities) to actively engage in food production and income generating activities. This has improved the life and livelihood situation of beneficiaries. As a result, the families especially the most vulnerable members like women and children have got access to diverse and nutritious food. Vegetable consumption is becoming more common, which was very rare or even nonexistent for most families prior to this project. Despite this, household food insecurity is still among the most overriding concern in the project areas. This is because BSF FAO project coverage is limited while poverty is deep rooted and the intervention woredas are exposed to recurring shocks, mainly resulted from drought.

BSF FAO project focused on four major intervention areas that include community empowerment, market and enterprise development, health and nutrition, agriculture and natural resource management. The following sections report on the findings of the IA vis-à-vis the project outcomes that would eventually lead to impacts.

5.1.1 *Community Empowerment*

Under community empowerment component, the project has promoted the development and adoption of community action planning (CAP) tools, prepared profile of communities describing food and nutrition security and established community development fund (CDF) in the operational woredas.

Community action planning

During the Phase I project, a CAP guideline was developed, translated into local languages and distributed to the different departments of woredas and regions. Building on this experience the Phase II project further strengthened the community participation and capabilities to implement and manage development process by initiating the preparation of a project implementation manual which included project administration, financial procedures, project monitoring and evaluation among others. Later the project has updated CAP and CDF manuals (FAO, 2009 - BENEFICIARY ASSESSMENT FINAL REPORT: July 2009).

As part of this, the project provided a range of capacity building trainings for woreda experts and officials, development agents (DA), and community leaders. The most significant trainings that were frequently acknowledged by the trainees and woreda officials, were in the area of CAP, gender, CDF management and project cycle management. The following quote from Hintalo Wujirat Woreda Food Security staff illustrates the outcomes of the capacity building trainings provided at different levels.

“Strong capacity building is very vital for local development. If people are capacitated they can identify their problems clearly, plan/prioritize on solutions. Then during implementation they can be effective. ... All sector offices have obtained training on CAP in two rounds during the pilot phase and the exit phase. Later, these trainings have helped the sector offices to design and prepare appropriate micro-project proposals. So it has solved the limitation of project design among woreda offices.”
Hintalo Wujirat Woreda Office of Agriculture and Rural Development, Food Security and Early Warning Work Process Staff

In the implementation of the BSF FAO project, a special focus was given to gender awareness creation to address women empowerment. Women were trained and provided with credit to engage in income generation and improved farming. The involvement of woreda women's affairs offices in the CAP process ensured strong leadership supports to the BSF FAO supported micro-projects for disadvantaged women in the target areas.

The impact assessment team asked different woreda authorities regarding the training support they obtained on gender issues. All the visited woreda food security task force members acknowledge that they obtained trainings on gender awareness. For instance, the head of Ederta Woreda Office of Women's Affair said the following about the involvement of BSF FAO project in promoting gender issues and empowerment of women.

“We received ToT training on gender. We cascaded similar trainings for the community along with other woreda sector offices. After this, we observed women involving in roles that were traditionally labelled as men's roles. E.g. women are involving in drip irrigation. Women also diversified their sources of earning and able to increase their income and this is improving women's position in the household and within the community. Hence, I can say the project has contributed to gender equality. Unlike other 'NGOs', we have a strong relationship with BSF FAO. The focus given to poor women and female headed households makes the project unique as compared to other 'NGOs' working in the woreda. But, the project has limited coverage as it is working only in 6 out of 17 kebeles in the woreda.” – Alem Milegnin Head of Women's Affair Office, Edertta Woreda

BSF FAO project has contributed to the woreda institutional and community capacity improvement. The capacity building initiatives have enabled woredas to systematically participate community members in local development through the application of CAP. This has created an opportunity for the community to identify project ideas, prioritize needs, and prepare project plans. The contribution of these trainings in local development process is explained by North Showa Office of Agriculture and Rural Development as follows:

“Those woreda staff trained by BSF are better in terms of providing quality trainings and generating valuable project ideas. Likewise, the kebele administrators and community leaders took trainings by safety net, FAO and others can generate good project ideas that are very useful for their areas.” Head of North Shoa Office of Agriculture and Rural Development.

The community empowerment component of BSF FAO was implemented with the intention of making CAP a mainstreamed practice within woredas. In this regard, skills have been developed and a onetime CAP exercises were conducted in each of the target community. The results of CAP are being used not only by BSF FAO for project planning and implementation but also by other different projects such as PSNP and NGO initiatives. Duputy head of BoARD explained the contribution of the project as follows:

“Community action planning process has gone beyond the project boundary and started to influence watershed based development planning process and enhanced community participation. It has also positively contributed to other woreda socio-economic development planning and implementation in the area.” Tigray BoARD.

However, mainstreaming CAP in the woreda development approach is far from reality. The project could have blended the CAP process with the watershed management approach of the government planning system to ensure its continued application. Moreover, most of the instructional informants of the qualitative interviews indicated that the role of kebele CAP team in M&E of project progresses and achievements has been very limited. This role is mainly handled by woreda food security task force (WFSTF). They also acknowledge that often the CAP outcomes are not going beyond planning and targeting exercise.

“CAP has a training manual. It explains the roles and responsibilities of kebele and woreda CAP teams. CAP teams focus on the planning side. After that the implementation is the responsibility of the WFSTF. Given the roles of the different sector offices the WFSTF is responsible for monitoring and evaluation of the BSF FAO activities. The roles and responsibility of the CAP teams indicated in the manual were adequate for planning purpose only. But there is a need to improve it to include monitoring and evaluation activities for the CAP team. We know the role of the CAP teams in M&E is low because the task is taken up by FSFT and beneficiaries.” Hintalo Wujirat Woreda Office of Agriculture and Rural Development, Food Security and Early Warning Work Process Staff

Community Development Fund Management and Access to Credit

The establishment of community development fund (CDF) has expanded opportunities for poor households to get access to financial services in the form of savings and credit. The project promoted all its micro-enterprise and agricultural development interventions through credit arrangement. Based on self-reported responses nearly all beneficiary households (99% for Phase 1 and 95% Phase 2) had obtained credit from BSF FAO funds at the time of the IA survey.

Table 11: Percentage of households accessed credit from BSF FAO

Tigray			Amhara			Both		
Phase I	Phase II	Total	Phase I	Phase II	Total	Phase I	Phase II	Total
95.5	98.3	96.9	93.8	99.1	96.5	94.6	98.7	96.7

The operationalization of CDF in the project requires the involvement of multi-layer entities and cascaded process. The CDF resources are released to beneficiaries from BFS FAO after lengthy bureaucratic procedure (Jemal 2009). The following are the steps for this procedure:

- Preparation and appraisal of micro-project by the community with the support of development agents (DA) and woreda experts.
- Appraisal and approval of micro-projects by the woreda task force coordinating the implementation of the project.
- Signing of letter of agreement (LoA) between kebele and the woreda task force
- The LoA is sent to the Project Management Unit (PMU) under MoRAD.
- With the facilitation of PMU the fund is released to the woreda office of finance and economic development (WOFED). The fund release is step-wise i.e. in tranches of 30, 50 and 20%.⁶ Next tranches are held until the first tranches are completed and reported on.
- WOFED releases credit funds to cooperatives based on the above proportions.

⁶ This proportion has been improved to 30, 60 and 10% since the beginning of 2010. However, because long life of the project is completed with the application 30, 50 and 20% we have maintained to cite this throughout this report. Most of the qualitative respondents also commented on the earlier tranches they commonly worked with.

- Cooperatives disburse credits to target beneficiaries.

These steps ensure local institutions to own the management of the CDF. This arrangement safeguards misuse of credit funds for any other purposes outside of the LoA. However, the lengthy process takes a longer time to release funds to beneficiaries. The intermediary at woredas level, WOFED, has delayed the fund release in almost all project woredas. Even though field coordinators are recruited and assigned to coordinate the project, they have no signatory role for financial matters to speed-up the disbursement of credit funds (Jemal, 2009). In addition to tranche release of credit funds from BSF FAO, another limitation reported was the size of credit funds which are insufficient to meet local credit demands. The BSF FAO Project Coordinator in Menz Gera woreda indicated the procedural constraint in the BSF FAO credit arrangement as follows:

“The BSF FAO 30:50:20 fund release procedure has affected our credit provisioning performance as compared to the local demand. Due to our internal regulation we could not respond in a timely way to the credit demanded by our clients. There were also some delays until the resource reaches the final beneficiaries because the resource is often given in kind, not in cash.”

In the household survey we asked beneficiary households if they had started to repay the credit and the proportion already paid back. The results of these interviews is summarized in Table 12 and indicate that about 60% and 52% of credit beneficiaries in Tigray and Amhara have started to repay their debts, respectively. At the project level the proportion of households started to repay their loans is high for the Phase I beneficiaries (67%) as most of the loans are matured compared to the Phase II beneficiaries (36%).

Table 12: Loan repayment in BSF FAO

BSF FAO beneficiary status		N	Started repayment, %	Mean repayment rate, %
Tigray	Phase I	110	72.7	76.8
	Phase II	120	39.2	34.6
	Total	230	56.0	58.2
Amhara	Phase I	113	61.1	69.4
	Phase II	111	33.3	17.0
	Total	224	47.2	42.9
Both	Phase I	223	66.8	73.0
	Phase II	231	36.4	24.6
	Total	454	51.6	50.0

Further in the IA survey questionnaire we asked households what proportion of their loans have already been repaid. Self reported repayment rates on loans is summarise in Table 11 above. Based on this, the repayment rates are estimated at 73% and 24% by Phase I and Phase II beneficiaries, respectively. Since most loans are not matured for Phase II beneficiaries it is not useful to comment on their loan repayment level. However, given the fact that at least four years are elapsed since the Phase I project is completed it is possible to comment on the repayment rate of this phase.

In general, a higher repayment rate ensures adherence to financial disciplines and availability of loan capital for the next community members waiting to receive credits. In Ethiopia often micro-finance institutions aspire to attain more than 95% of loan repayment rate. Likewise the recently completed ‘World Bank Food Security Project’ considered any given community successful in the management of CDF if they reach 85% of loan repayment rate. Communities were receiving subsequent funds when they met this level of repayment rate.

Based on this the current level of loan repayment among Phase I beneficiaries is encouraging although it lags behind the above mentioned standards. Further efforts are required to attain higher level of repayment rate and ensure sustainable rural financial services in the target areas. The responses from woreda and beneficiary level discussions in the different woredas indicated the following factors as a source of low repayment rate:

- Limited follow-up by woreda and kebele offices;
- Misconception among the community that at certain point the loans would be written-off or considered as freely distributed money;
- Limited capacity of cooperatives and kebele task forces;
- Longer return period required for most businesses and the short time (3 years) given to pay back loans;

In all of the woredas with different degrees the credit funds have started to revolve within the target communities among households who meet the project's beneficiary selection criteria. The following quote from the key informant interview (KII) with the project coordinator in Menz Gera Woreda exhibits the efforts made by BSF FAO to establish a revolving fund mechanism.

"At the beginning we provided three years credit to the beneficiaries. But most of them were able to repay the credit in a years time. About 75% of the credit [referring to the matured loans only] given out has already been repaid and re-distributed to other needy community members."

A case study with a Savings and Credit Cooperative

"The name of our organization is Dahnsa Saving and Credit Cooperative. It was established in 2004 with the support of BSF FAO. At the start we had 40 members. We are now about 200. BSF FAO gave us 107,000 Birr fund. We have now 250,000 Birr capital. Almost all members of the cooperative have taken loans and started different businesses. We have distributed about 200,000 Birr in the form of credit to our members. So far the repayment rate is almost 100%."

"Most of our members are business oriented people, so they can easily pay the loan and the interest. Almost all members are involved in trading activities on top of farming. They are involved in fattening, grain trading, etc. If a person takes 5,000 Birr he/she has to pay an interest of 50 Birr per month. This is not a lot of money for a business person. This interest rate was determined by members."

We have taken training from the cooperative promotion office of the woreda. BSF FAO also provided a three days training on cooperative management and record keeping for our executive members. The project covered the cost and the woreda staff facilitated the training."

"We have not faced major problems that compromise the existence of our cooperative. But we have fund shortage to provide credit and meet the needs of members."

Mekonen Tsegaye, Chairman of Dahnsa Savings and Credit Cooperative Hintalo Wujirate Woreda, Tigray

In summary the evaluation has indications of sustainability of CDF through the establishment of revolving credit funds within a given community. However, much has to be done in terms of promoting awareness among community members so that loans are paid back and ready for next users. The loan maturity period should be a bit relaxed to allow repayment by households in businesses requiring longer pay back period. Moreover, woreda and kebele

officials should increase their efforts in supporting the cooperatives and community task forces in the process of loan collection.

5.1.2 Market and Enterprise Development

The market and enterprise development component of BSF FAO has dealt with increasing income through enhancing engagement in micro-enterprises and the creation of market opportunities for local products from target beneficiaries. To this end, the project promoted off-farm and farm-based enterprises.

The farm-based income generation intervention overlaps with the agriculture and natural resource management (ANRM) component of the project. Therefore, we present the project outcomes related to farm-based enterprises under the ANRM component. This section has dealt with off-farm income generation enterprises only.

In the 2010 IA survey, households were asked to report on the type of off-farm activities they engaged in and made income. The result of the responses indicated in Table 13 shows variations in rates of off-farm engagements across the three sample groups. The majority of respondents reported engagement in one or two off-farm activities as a basic livelihood or supplementary income sources. Considerable proportions of beneficiary households, ranging from 34% to 47%, have no alternative income from off-farm activities. The four most commonly reported off-farm activities include temporary wage labour, trade, selling of local drinks and carpentry.

Table 13: Percentage of households by number of off-farm incomes sources

Region	No. of off-farm engagements	BSF Status			Total
		Phase I	Phase II	Non-beneficiary	
Tigray	0	46.4	36.7	29.5	37.4
	1-2	53.6	60.8	68.8	61.1
	3-4	0.0	2.5	1.8	1.5
Amhara	0	46.9	31.5	40.2	39.6
	1-2	49.6	62.2	58.0	56.5
	3-4	3.5	6.3	1.8	3.9
Both	0	46.6	34.2	34.8	38.5
	1-2	51.6	61.5	63.4	58.8
	3-4	1.8	4.3	1.8	2.7
	At least one	53.4	65.8	65.2	61.5

The IA could not benefit from 2004 and the 2007 baseline surveys to quantitatively explain the change in off-farm employments over time. The 2004 baseline survey data presentation did not indicate percentage of households and income obtained from off-farm engagements. Likewise the 2007 baseline reported off-farm and farm-based incomes together. Moreover, the major income sources were not exhaustively included in the survey questionnaire. Comparison of beneficiary and non-beneficiary data on off-farm engagements from the 2010 IA survey could not reveal tangible achievements of BSF FAO project insofar as it is impossible to determine if non-beneficiaries had more off-farm sources of income to start with or whether the BSF project had no impact on diversification of off-farm income sources. Therefore, our description on the outcomes of BSF FAO will mainly be based on the qualitative data collected through KIIs, FGDs and household case studies.

The qualitative findings suggest that various outcomes were achieved in the course of developing markets and enterprises for poor and vulnerable households and individuals. These outcomes can be grouped as follows:

- Income diversification and intensification options created for poor and vulnerable groups.
- Market linkages facilitated to enhance the price share of producers.
- Project beneficiaries have got entrepreneurship skills training on financial management, business record keeping and business planning.
- Project beneficiaries obtained vocational trainings and started to make income.
- Target beneficiaries provided with working capital and inputs in soft loan terms in the form of start up capital.

Engagement in off-farm income generation activities

A sizable number of beneficiaries have been engaged in various income generation activities through the support provided by BSF FAO. Most of these beneficiaries reported the improvement in their livelihood status such as access to food and sending children to schools as a result of their involvement in off-farm activities. Based on the results of the household survey and qualitative assessment, these activities included metal and wood works, garmenting, weaving, knitting, bakery, grain milling and mat making. The following cases studies with BSF FAO beneficiaries exhibit how the project contributed to the improvement of poor and vulnerable individuals and households income.

Socially and Financially Successful Single Mother

"I am a single mother of two children. My husband left me and my children without any supporter. I used to feed my children using a little income I was making from selling of liquor. Life was too tough for us at that time. It was often very difficult to cover school expenses and feeding my children. It was four years ago that I heard about the BSF FAO's support for women like me. In 2007, I was trained by the project in tailoring for three months. I was not as such confident with my skill and ability to make income out of this business. I got a sewing machine from the project on a credit basis. After that I decided to get recognition from the people in this and neighbouring communities through my new job.



Figure 1: Genet at work

In the past during my struggle to feed my children I have taken credit from other sources for a few occasions. However, I always ended up consuming the credit money and remained indebted. This time the credit from BSF FAO was accompanied with adequate training on business skills and record keeping. The project gave me this sewing machine for Birr 1,180 and Birr 700 as working capital fund, in the form of credit. I have started to pay back my loans.

Now I have a regular income from my business. I am not facing any anxiety for what to feed and how to dress my children. Following this my business gave me an opportunity to be a recognized woman within the community. I have now started to build my own house to leave this rented place. After all these achievements, my thank goes to this organization (FAO). I cannot express my heartfelt thanks in words. I wish all my friends to get a similar chance."

Genet Moges from Menz Mama Woreda, North Shoa

A struggling Woman with Physical Disability

"As you see me, I am a person with disability. I used to generate some income through begging in the past. People used to discriminate against me due to my disability status. But now we [a group of people with disabilities] are organized in an association and able to get access to credit and closely discuss on our common problems.

"I got 1,000 birr credit from my association two years back. I am engaged in grain marketing using this money. Currently, I have about 3,000 birr in cash and 3 quintals of wheat grain at home. I am planning to repay all debts by next January. So far I am regularly paying the interest.

"I have two children. I am feeding different types of food items to my family? because I have better income now. We eat food like injera (Ethiopian bread) from barley, shiro (pea stew) and vegetables. We eat meat during holidays only. I am also planning to construct my own house."

Alganesh G/Egziabeher, Enderta Woreda

Alganesh has a disability in one of her legs. She cannot walk fast and stand for long. She is a member of Lemlem Serdi Association of People with Disabilities, organized and supported by BSF FAO. The association obtained a grant fund from BSF FAO to avail credit services for its members.

A young man changed business type and remained successful after a training from BSF FAO

"My name is Lemma Wolde, 25. I was trained by BSF FAO in mat making in 2004. After the training I did not find mat making as a profitable venture. Now I have changed that and started trading in different commodities like clothes and consumer goods in this shop.

"During the training I saved my pocket money from the project. This money helped me to start this business. The training helped me to acquire start up capital. I have not obtained credit from the project. The main thing I obtained from the project was my pocket money. I was poor and dependant on my parents. I am now self sufficient. The container shop is build by me. It cost me about 8,000 Birr. I do not know the capital level I have. I do keep records of accounts because FAO taught me. I am supporting the education of two of my brothers. I occasionally give clothes to my parents. I am also responsible to buy clothes for my other two brothers living with our parents."

Molale Town, Lalo Mama Woreda, North Shoa

Most Successful Business Man Landless and Young

"My name is Mekonen Tesfay. I am just married. I was almost idle after completing grade ten in 2001. Then for a year I struggled to support myself by an income from bicycle renting. Five years ago I was organized in a savings and credit cooperative by BSF FAO. I was selected by the project because I was a youth without land. Then in 2004 I got 5,000 birr loan from BSF FAO through the cooperative. I used this money to start grain trading and irrigation farming on rented land. I am still farming.

"The biggest change in my life is that I have peace and no anxiety for life. The main reason is because I am able to work and generate income. Peace means, this area is historically known for its beggary practices. People go up to Addis to beg and make money. Now this is changing. I am not going for begging. I have got the opportunity to work in my birth place. I have now a shop, small cafe, barber shop, scooter (bajaj) and grain store. I have constructed my own house. My bajaj is working in Mekele Town. My brother is responsible for managing it. I have adequate working capital. Our diet is good. We have started to consume vegetables. We are nearby a market. We can buy and consume a variety of food sources.

"I have totally paid back my loan. This money is circulating within our community." I am also supporting six people including my brothers, sisters and parents. For my parents I have bought a pair of oxen and seed for one time.

"I have 150,000 Birr cash saving at bank. In total my capital is about 500,000 Birr. This is seed money to continue my business more aggressively. My business will grow. I have adequate capital, and the skill and the know-how on business. I have started to use improved irrigation practices. Modernization is coming in my irrigation practice and life at home.

"I am a symbol for the success of the project. FAO's money is used for the betterment of our people. There are more people who need their supports. So this work should continue."
Hintalo Wujirat Woreda

From the above stories the following conclusions can be drawn.

- Most of the project beneficiaries were very poor, without adequate livelihood opportunities, and socially at a lower stratum.
- All the respondents obtained trainings on vocational and entrepreneurial skills which were highly essential for their successes.
- Savings from different sources including pocket money provided during the trainings were instrumental for the beneficiaries to enter and stay in business.
- The project was able to create local trainers for vocational training centres like the one located in Molale Town of Lalo Mama Woreda.
- Beneficiaries are enjoying social values they have in their communities due to the change in their income, asset wealth and skills.
- Most have reported improvement in their food consumption both in quantity and quality. Likewise they have either constructed or planed to construct new and improved houses.
- Parents are able to successfully support the education of their children.
- Respondents have also reported that their lives are without anxiety resulted from poverty and vulnerability.
- Young men were able to stretch their hands of support to their parents and young siblings.
- The entrepreneurs appreciate the support they obtained from BSF/ FAO. They also recommend the continuation of similar supports for their fellow community members.

5.1.3 Nutrition and Health Promotion

5.1.3.1 Access to health and nutrition services

The project intended to improve health and nutrition in the target communities. It specifically focused on maternal and child nutrition. To this end, various activities implemented include training, demonstration, school-based health and nutrition education, promotion of the use of micronutrient including iodized salt, construction of pit latrines, and safe drinking water supply.

A series of nutrition training was provided to health extension workers (HEW), voluntary community health workers and beneficiary women. Subjects addressed include appropriate infant and young child feeding, pre- and postnatal maternal care, and family planning. These trainings were complemented with demonstration of varied diet preparation from locally available food sources.

Discussions made in the community in both regions indicate that mothers have benefited much from the project interventions. Lactating and pregnant mothers have already started to practice appropriate child feeding practices. Colostrum feeding for infants, exclusive breast feeding for children under six months, and complementary feeding for children age of six months and above has widely improved in the project areas. According to woreda food security task forces and health professionals interviewed, the contribution of BFS FAO for these improvements is high. Wider scale community awareness creation activities were carried out through local radio in Tigray and health extension workers.

In addition, project beneficiary households were able to access more and diverse food through participating in different project interventions as well as increased income and food production. Specially, households participated in vegetable and livestock production, and other income generating activities noted improvement in their food intake both in terms of quantity and diversity.

5.1.3.2 School health and Nutrition Clubs

School health and nutrition clubs were organized in the project kebeles and given capacity building trainings, hand tools, vegetable seeds, water harvesting structures, drip irrigation equipment, treadle pumps, motor pumps and reference materials with the aim of promoting micronutrient rich food production. Nutrition education materials have been developed and distributed for use among students in grades 1-4. The school nutrition clubs have helped in creating awareness and knowledge on home gardening for the production of fruits and vegetables by children and parents. The school gardens in Tigray are now seen as a model centres for vegetable and fruit production.

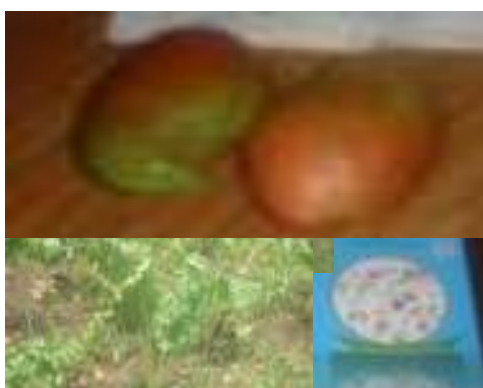


Figure 2: Fruits and vegetables produced at Hewan El. School

Hewane Elementary School is a living example. Hewane elementary school has been provided with water harvesting technologies, tools for gardening, seeds, training and education materials. The school is now producing variety of vegetables and fruits for local consumption. The garden is now a model not only for teaching purposes but also an example for surrounding communities. The school is getting sustainable means of income from the production.

5.1.3.3 Iodized salt distribution

Goiter is widespread in Ethiopia. Iodized salt is one of the most effective ways of increasing iodine consumption and reducing goiter. The project facilitated access to iodized salt to communities in Hintalo Wajirat and Enderta woredas which were widely known for iodine deficiency disorders. A series of awareness creation education events were organized. The project established a mechanism for the distribution of iodized salt through cooperatives and selected health centres at full cost including procurement price, operating expenses and profit margin for the cooperatives. The cooperatives, organized through BSF/FAO were provided with a loan to distribute the salt. The community as a whole buy the iodized salt with reasonable cost. In Enderta Woreda alone, according to the Woreda Health Office, over 70% of the community members have received the service. The qualitative data is confirmed by the results of the household survey that indicated 50.9 % and 77.5% of iodized salt utilization among Phase I and Phase II beneficiary households, respectively, at the time of this evaluation of Tigray.

In Tigray in general there has been a dramatic increase in iodized salt consumption (both in beneficiary and non beneficiary households). The achievement is the result of a broader effort by the public health authorities to promote iodized salt with the support of the BSF FAO project. . The use of iodized salt was initiated by the project as a result of 2007 exit phase baseline survey recommendation. The baseline survey revealed that Iodine deficiency disorder is one of the major public health problems that need to be addressed in the project areas, especially in Hintalo Wujirat of Tigray and Lalo Mama of Amhara.

Table 14: Percentage HH using iodized salt

Items	Region	Phase I (2010)		Phase II (2010)		Phase II, (2007)		Non-beneficiary	
		N	%	N	%	N	%	N	%
Use of Iodized salt-Now	Tigray	110	50.9	120	77.5	-	-	112	80.4
Use of Iodized salt 5 years ago	Tigray	109	4.6	120	6.7	188	22.3	111	9.9
Use of Iodized salt-Now	Amhara	113	8.0	111	1.8	-	-	112	2.7
Use of Iodized salt 5 years ago	Amhara	113	3.5	111	0.9	184	8.2	109	2.8

Like in Tigray, the use of iodized salt was very low (3.5%) five years ago in Amhara woredas. After five years of intervention by BSF FAO Project the practice is still very low in all three groups (Table 14). The % households reported to use iodized salt from the recall agree with 2007 baseline survey which were 22.3% in Tigray and 8.2% in Amhara. The consumption rates in North Showa are in fact not far from the national average of iodated salt usage which is 5 % both for urban and rural areas (National Nutrition Programme report 2010).

The improvement in iodized salt utilization in Tigray is a tremendous achievement. The selection of the implementing bodies and the distribution system devised are identified as the most important factors contributing to the achievement observed and hence this is one of the big lessons learned which should be scaled up in other areas.

According to the BSF FAO Phase II baseline report (2007), for instance in Menz Lalo and Menz Mama woredas total goiter rate of children (6-12 years) had >5% TGR which is considered as an indicative of a public health risk of adverse functional consequences. Moreover, based on the median urinary iodine level more than 67% of the population are under severe iodine deficiency (<2µg/dL). The project could have followed the same model used in Tigray to address the iodine deficiency in Amhara i.e. through the promotion of marketing and consumption of iodized salt. Therefore, the evaluation team considered this situation as a missed opportunity for enhancing health and nutritional wellbeing of the people in North Showa (Amhara).

5.1.3.4 Water supply, sanitation and hygiene

The project aimed to reduce water born diseases through expansion of water and sanitation facilities and improved practices. To realize this, a series of sanitation and hygiene trainings and extension education were provided for women and other community members in the project woredas. Access to potable water has been increased within communities where safe water was found to be a major health challenges. In the sample household survey of the IA, programme beneficiaries were asked about their drinking water sources currently and five years ago. The result of this data indicates that use of water from protected water sources such as tape water, caped springs and protected shallow wells has increased among BSF FAO Project beneficiaries (Table 15). This change is attributable to both BSF FAO and other programme interventions including the PSNP. Interestingly due to the project strategy and government policy with respect to rural water supply, the proportion of households reporting payment of water fees increased from about 30% to more than 55% over the last five years in Tigray but remain below 12% in Amhara. The situation in Tigray is found to be more sustainable as feelings of ownership have been created and cash resources are available for management and maintenance. Limited promotion on the part of woredas largely attributable to low user fee rates in Amhara.

Table 15: Percentage of households using protected drinking water sources and latrines

Variables	Category	Region	Phase I (2010)		Phase II (2010)		Non-beneficiary	
			N	%	N.	%	N.	%
%HH use protected source of drinking water	Now	Tigray	110	80.9	120	86.7	112	91.1
	5 yrs ago (recall)	Tigray	110	44.5	120	55.0	112	46.4
	Now	Amhara	113	75.2	111	68.5	112	56.3
	5 yrs ago (recall)	Amhara	113	46.9	111	44.1	112	43.8
% HH pay water user`s fee	Now	Tigray	110	56.4	120	57.5	112	64.3
	5 yrs ago (recall)	Tigray	110	30.0	120	30.8	112	28.6
	Now	Amhara	113	12.4	111	9.9	112	10.7
	5 yrs ago (recall)	Amhara	113	8.0	111	7.2	112	12.5
% HH use pit latrine, private	Now	Tigray	105	79.1	120	75.8	112	77.7
	5 yrs ago (recall)	Tigray	110	30.0	120	20.0	112	13.4
	Now	Amhara	113	85.8	111	82.0	112	50.9
	5 yrs ago (recall)	Amhara	113	15.9	111	4.5	112	6.3

The project promoted production and distribution of slabs for latrine construction. Together with the effort of the government for universal coverage of sanitation through the health extension programme the project has made contributions to significantly increase latrine coverage in the project woredas. However persons interviewed indicated that the increasing cement price has negatively impacted on toilet slab supply. This suggests a need for addressing the situation through identifying alternative technological options and linking the slab producing cooperatives with the local cement factories and suppliers.

The improvement in safe water and toilet coverage and enhanced health practices has positively impacted on reduction of water born diseases. Woreda and community level discussions indicate diarrheal diseases among children have significantly reduced in the project woredas.

5.1.3.5 Breast Feeding Practice

Appropriate child feeding practice is one of the crucial elements in the prevention of micronutrient deficiency. Initiation of breastfeeding within one hour after birth, feeding whole colostrums, exclusive breastfeeding for six months, initiation of complementary feeding at six months and continuing breastfeeding up to two years are critical in child growth and development. Breastfeeding is a foundation practice for appropriate care and feeding of newborn infants. Improved breastfeeding in the neonatal period helps reduce mortality and benefit baby health, growth, and development in the first year and beyond. The result of household survey during this evaluation and in 2007 baseline survey showed universality (more than 97%) of breastfeeding among mothers in project areas. As observed from Table 16, all the mothers (100%) breast fed their children with slightly improvements noted against the 2007 baseline data.

Table 16: Breastfeeding practice among BSF FAO project beneficiary mothers

Variables		Region /Category	Phase I (2010)		Phase II (2010)		Non-beneficiary		Phase II (2007)
			N	%	N	%	N	%	%
% ever breastfed children		Tigray	62	100	58	100	61	100	97.4
		Amhara	56	100	52	100	44	100	100
BF initiation within an hour after delivery		Tigray	60	63.3	58	44.8	60	50.0	35.6
		Amhara	58	65.5	51	39.2	50	32.0	63.6
Prelacteal feeding of other fluids during first three days	Tigray	None	50	79.4	51	85.0	51	85.0	60.9
		Raw butter	6	9.5	6	10.0	5	8.3	31.5
		Cow milk/honey or sugar water/water	7	11.2	3	5.0	4	6.7	7.6
		Total	63		60		60		
	Amhara	None	31	54.4	15	28.8	16	32.0	34.8
		Raw butter	17	29.8	23	44.2	20	40.0	49.6
		Cow milk/honey or sugar water/water	9	15.9	14	26.9	14	28.0	15.3
		Total	57		52		50		

The comparison of baseline and final evaluation data on early initiation of breast feeding (within one hour) was not good enough to show improvement across all project areas. However, this indicator showed tangible improvement in the last five years in Tigray region. Although, there are widespread cultural taboos in North Showa that could have prevented appropriate breast feeding practices, the reasons for the decrease in early initiation of breastfeeding is not known yet from the data we collected. Therefore, this situation needs further investigation.

Colostrum is special breast milk that is secreted in the first 2–3 days after delivery. It is the most important food for the infant. It provides all the necessary tools for the infant to begin life. Particularly, it is known to contain antibodies and all nutrients needed for an infant (Baker *et al.*, 2006; WHO, 2009). However, when Phase II beneficiaries are compared across the regions, 15% of the mothers in Tigray and 71% mothers in Amhara are not feeding colostrums alone to their new born as recommended by WHO and instead give prelacteal foods. As in the case of early breast feeding initiation, the percent of households replied not to give prelacteal feeding in Tigray has increased (60.9 to 85%) and that of Amhara shown to decrease (34.8 to 28.8%). Prelacteal feeding is still practiced by majority of both beneficiaries and non-

beneficiaries in Amhara. The practice is less in Phase I (45.7%) than Phase II beneficiaries (71.1%) and non-beneficiaries (68%). This reveals that there is still a need for promotion of recommended child feeding practice in the area.

5.1.3.6 Household Dietary Diversity Score

The Household Dietary Diversity Score (HDDS) is a measure of the total number of different food groups eaten in the previous 24 hours by any household member at home, including food prepared at home but eaten outside, such as a snack. The tool inquired about 16 food groups which are then aggregated to twelve for analysis. The score is a simple sum of food groups consumed by any household member from the total of twelve (FAO 2007). In order to be comparable, data should be collected during the same time of year. In this case both the 2007 baseline and 2010 follow-up IA, households were surveyed during the hungry period (July-October), the months leading up to the main harvest.

Table 17: Household dietary diversity score (mean, CI at 95% and median)

Regions	Phases	N	Mean $\pm$ SE of mean	Min	Max	Median
Tigray	<i>Phase II, 2007</i>	191	4.28 $\pm$ 0.07	2	7	4
	<i>Phase I, 2010</i>	110	5.49 $\pm$ 0.14	1	9	5
	<i>Phase II, 2010</i>	120	5.56 $\pm$ 0.15	1	10	6
	<i>Both phases</i>	230	5.53 $\pm$ 0.10	1	10	5
	<i>Non-beneficiary</i>	112	5.8 $\pm$ 0.15	2	11	6
Amhara	<i>Phase II, 2007</i>	196	3.82 $\pm$ 0.06	2	6	4
	<i>Phase I, 2010</i>	113	6.16 $\pm$ 0.15	3	9	6
	<i>Phase II, 2010</i>	111	5.75 $\pm$ 0.13	2	10	6
	<i>Both phases</i>	224	5.95 $\pm$ 0.10	2	10	6
	<i>Non-beneficiary</i>	112	5.1 $\pm$ 0.10	1	8	5
Total	<i>Phase II, 2007</i>	387	4.05 $\pm$ 0.05	2	7	4
	<i>Phase I, 2010</i>	223	5.83 $\pm$ 0.10	1	9	6
	<i>Phase II, 2010</i>	231	5.65 $\pm$ 0.10	1	10	6
	<i>Both phases</i>	454	5.74 $\pm$ 0.07	1	10	6

Households were asked to report on which type of food groups they consumed over 24 hours prior to the interview time during the 2007 baseline and 2010 final evaluation surveys. The results of these responses are summarized and presented under Table 17 above. Based on this, the mean and median dietary diversity score for the households among the project beneficiaries has increased by two units from 4 (during the 2007 baseline) to 6 (at the time of this evaluation). The differences from baseline are statistically significant and this result is a good indication of improvement in access to food among the project beneficiaries. This improvement tends to be similar among Phase I and Phase II beneficiaries. It is also largely attributable to the improvement in income and increment in productivity and diversification of agricultural production due to promotion of income generating activities as well as the introduction of new crop varieties and expansion of irrigation by BSF FAO and other ongoing programmes.

5.1.3.7 Food Groups Consumed

As observed for most of the variables, however, beneficiaries show better consumption of some food groups than the non-beneficiaries, the difference is not significant. Cereals, legumes and spices, beverages (Tea and Coffee) and condiments are the three major food groups comprised the diet of the households (Table 18). Oil and fats, vegetables (not vitamin A rich) and sweets (sugar) are consumed by more than half of the beneficiary households.

Milk is consumed by more than 30 % of the HH while meat, egg and fish are the least consumed food groups. When compared with the baseline, the consumptions of the following food groups increased among beneficiaries: sweet; from 22% to 52%, milk; from 2%, to 26%, egg; from 0%, to 17.3%, vegetables, other than vitamin A rich; from 11%, to 67.5%, and Vitamin A rich vegetable; from 0%, to 41.6%,. The improvement is in a good agreement with both qualitative data from focus group discussion and quantitative data as well. A group of food containing spices, condiments and beverages seem to decrease may be due to sugar price inflation. In general vegetable and fruit consumption have improved in the last five years.

Table 18: Percentage of HHs consumed food groups

	Food groups consumed by HH over 24 hr during the day and night before the survey day	Status of BSF FAO intervention						Phase II, (2007)
		Phase I (2010)		Phase II (2010)		Non-beneficiary, (2010)		
		N	%	N	%	N	%	
1	Cereals	223	100.0	230	99.6	223	99.6	100.0
2	Vitamin A rich vegetables and tubers	92	41.3	96	41.6	101	45.1	0.0
3	White tubers and roots	25	11.2	18	7.8	21	9.4	0.0
4	Dark green leafy vegetables	77	34.5	58	25.1	71	31.7	19.9
5	Other vegetables	143	64.1	156	67.5	143	63.8	11.0
6	Vitamin A rich fruits	6	2.7	4	1.7	3	1.3	0.0
7	Other fruits	38	17.0	36	15.6	41	18.3	15.7
8	Organ meat /(iron rich)	7	3.1	9	3.9	12	5.4	0.0
9	Flesh meats	16	7.2	21	9.1	19	8.5	2.7
10	Eggs	39	17.5	40	17.3	26	11.6	0.0
11	Fish	0	0.0	2	.9	4	1.8	0.0
12	Legumes, nuts and seeds	215	96.4	211	91.3	194	86.6	97.5
13	Milk and milk products	73	32.7	60	26.0	30	13.4	2.0
14	Oils and fats	161	72.2	155	67.1	134	59.8	60.7
15	Sweets	121	54.3	122	52.8	140	62.5	22.1
16	Red palm products	11	4.9	5	2.2	4	1.8	0.0
17	Spices, condiments & beverages	207	92.8	217	93.9	199	88.8	98.2
18	Meal outside home	36	16.1	37	16.0	35	15.6	Not recorded
19	Total number of HHs interviewed	223		231		224		387

5.1.3.8 Morbidity

Through the household survey, morbidity in under five children in 15 days prior to the survey was recorded. The distribution of illnesses, 15 days before the assessment, among the children has shown a general decline. For instance comparison of the 2007 baseline data and the results of this IA survey indicate a declined in child morbidity rate from 21% to 14% among Phase II beneficiary households (Table 19). This change shows a positive result of integrated intervention provided by the project as well the government. The qualitative information collected at household and community levels also show a similar result. According to the Head of Enderta district health office, 5 years back diarrhoea was the leading cause of morbidity and death in under-five children and now has dropped to 5th rank.

Table 19: Percentage of sick children in two weeks before the assessment

Region	Phase I (2010)		Phase II (2010)		Non-beneficiary		Phase II (2007)
	N	%	N	%	N	%	
Tigray	110	16.4	120	12.5	112	14.3	21.3
Amhara	113	13.3	111	3.6	112	14.3	28.9

5.1.3.9 HIV and AIDS prevention and control

BSF FAO project has supported efforts on the prevention and mitigation of the impacts of HIV and AIDS as well as other communicable diseases in the project woredas. The interventions included organizing and creating economic opportunities for people living with HIV and AIDS (PLWHAs) and awareness promotion prevention and control of the pandemic.

PLWHAs were organized into cooperatives and engaged in iodized salt marketing and other income generating activities in Tigray woredas. This has helped the cooperative members to earn income. In addition, they have been linked with a salt supplying cooperative in Mekele to ensure sustained business.

The project along with Woreda Health Office has facilitated HEWs and voluntary community health workers trainings on community mobilization for mainstreaming HIV/AIDS (prevention and care and support) and gender in their regular activities. This has positively contributed to improve voluntary counselling and testing (VCT) seeking behaviour among the community members of reproductive age groups in North Showa.

Table 20: Percentage of HHs using preventive methods from HIV/AIDS & other venereal diseases

Variables	Region	Phase I (2010)		Phase II (2010)		Non-beneficiary	
		N	%	N	%	N	%
Use of preventive methods for HIV/AIDS & other venereal diseases, now	Tigray	110	51.8	120	60.0	112	58.9
	Amhara	113	93.8	111	91.9	112	89.3
Use of preventive methods for HIV/AIDS & other venereal diseases, 5 yrs ago	Tigray	109	28.4	120	29.2	111	30.6
	Amhara	113	43.4	110	34.5	109	45.0

The project also trained health extension workers in the target kebeles on prevention and control of HIV and AIDS. Some of the trained workers reported that the capacity building effort from BSF/FAO has helped them in educating community members on HIV and AIDS which is one of their regular activities.

As a result of this and the focus of the government on this pandemic, much behavioural improvement has been reported by the community with respect to the use of contraceptive methods, and prevention of sexually transmitted diseases (including HIV). The findings from the household survey indicated in Table 20 above suggest that prevention practices on HIV and AIDS as well other sexually transmitted diseases (STD) such as use of condoms, sex abstinence and limiting oneself to a single partner have improved dramatically among all survey respondent households over the last five year period.

5.1.3.10 Girls' Education

The girls' education intervention of BSF FAO project has been supported by a funding from Spanish and Catalonia. This intervention has a focus on girls' education in targeted schools (one elementary school per woreda). It provides tutorial supports for female students in grade one to four. They are also provided with snacks during their extra stay in the school. As part of the tutorial classes focused on their academic subject, the girls are also provided with nutrition education and home gardening. The program has tremendously improved the female students' academic record and decreased dropout and absenteeism, according to Mr Girmay of Enderta district education expert.

5.1.4 Agriculture and natural resource management

The agriculture and natural resource management component of the project intends to contribute to sustainable household food and nutrition security through improving crop and livestock production and productivity, rehabilitating the natural resource basis, and improving local government capacity to effectively reach out the community in extension service provisioning.

5.1.4.1 Crop production and productivity

Access to improved inputs and services for horticultural crops production: Horticultural crops offer significant value to human diet and contribute to the income of marginalized farm households. In the BSF FAO project target woredas, however, the contribution of horticultural crops to the diet and income of poor households had been minimal, despite the huge production potential. For instance, seven years back, the percentage of households growing potato was only 2.9% (2003 baseline survey). Among other reasons, lack of access to disease resistant and high yielding varieties and planting materials, poor agronomic practices, and limited knowledge and skills had prevented the expansion and productivity of horticultural crops.

Table 21: Access to technological inputs and adoption of good practices, % of households

Component	Tigray			Amhara			Total		
	Phase I	Phase II	Non-beneficiary	Phase I	Phase II	Non-beneficiary	Phase I	Phase II	Non-beneficiary
N	110	120	112	113	111	112	223	231	224
Grown new crops (potato, apple, vegetables, etc.)	31.8	21.7	19.6	36.3	40.5	35.7	34.1	30.7	27.7
Used inorganic fertilizers	74.6	71.7	64.3	77.9	66.7	46.4	76.3	69.3	55.4
Used improved seeds	34.6	24.2	21.4	38.9	46.9	25	36.8	35.1	23.2
Used chemical insecticides	6.4	2.5	5.4	4.4	8.1	2.7	5.4	5.2	4.1
Used chemical herbicides	11.82	6.7	8.9	8.9	8.1	0.9	10.3	7.4	4.9
Applied IPM practices	2.73	0	0.89	5.31	11.71	4.5	4.0	5.6	2.7

Realizing the immense potential that horticultural production offers to improving food security and nutrition, the BSF FAO project has been aggressively engaged in the promotion of vegetable, tuber and fruit crops production in the target areas. As depicted in Table 21 about one in three project beneficiary households (34% of phase I and 30% of phase II beneficiaries) in both regions have grown new horticultural crops in 2010 cropping season at the time of the impact assessment. This proportion is slightly higher among beneficiaries compared to comparison or non-beneficiary households. In Tigray, cultivation of horticultural crops is widespread among the beneficiary households compared to non-beneficiary households. In the Amhara region, however, the proportion of households reported having grown new horticultural crops such as potato were comparable between beneficiary and non-beneficiary households. This should not be surprising given the high divisible nature of the technology and dramatic effects potatoes have had on filling food gaps and generating the much needed income for beneficiary households within a short period of time.

Various seeds and seedlings such as carrot, potato, tomato, cabbage and highland fruits were supplied to the needy community in the operational woredas. The seeds/seedlings were provided through cooperatives to private and group based producers on a credit basis. The seeds and seedlings were brought from reliable sources including public research centres and private growers. Some of the improved crops like potato were introduced for the first time into the project areas of North Shewa. In addition, beneficiaries were given capacity building trainings on crop husbandry and marketing.

According to the respective Woreda Office of Agriculture and Rural Development (WOARD), the harvest from these crops was found encouraging in the project woredas. Based on a KII with Menz Gera WOARD, the harvest has satisfied local consumption need and contributed to vegetable market stabilization and even sold to neighbouring woredas. Over 220 tons of potato was harvested in 2009 alone from this woreda. Of this, the producers supplied 20 tons of potato seed to one of its neighbouring woredas. This shows that the local production has met local seed demand and gone beyond to contribute to food security in other woredas. The community level discussions indicate poor families have been benefiting in terms of dietary diversification and income generation. Currently many households are practicing potato growing as backyard agriculture on small plots both in rural areas and urban centres.

Despite this achievement, further expansion of horticulture is limited by post harvest management capacity, crop diseases and limited markets. Improving post harvest management capacities of farmers such as through storage facilities are important due to the perishable nature of vegetables and fruits. Though there were some efforts in some project woredas to improve farmers post harvest management skills such as in Menz Mama Woreda, there still remains much to do in this area. Market facilitation in view of matching production with market demand is vital so that producers benefit most out of the cultivation of horticultural crops. Hence, value chain analysis is required for potential horticultural crops to identify appropriate measures that ensure market integration. Attention needs to be given to diseases and pests affecting cabbage and potato production. In this respect, communities need to be acquainted with integrated pest management (IPM) practices that are technically sound, environmentally friendly and economically feasible strategies. Thus, creating strong linkages with agricultural research centres for the transfer of IMP technologies remains imperative.

Access to irrigated farming: The promotion of appropriate and efficient utilization of water resources for irrigation has been considered as one of the key priority intervention areas in the project woredas to address rainfall irregularity and recurrent drought. In an attempt to mitigate these effects, the BSF FAO project introduced motorized irrigation pumps to individual households; constructed small scale irrigation schemes for targeted communities; and promoted various water harvesting and conserving technologies. Development agents and beneficiaries were provided with capacity building trainings related to proper

management of irrigation water. Despite these efforts, however, the number of improved irrigation users in all the woredas remained low (Table 22). About 3% of the beneficiaries have owned and operated motorized irrigation pumps in both regions.

Although, the number of households who acquired motorized pumps as such was very small, it had made significant impacts on both owners and the community at large. Discussions at woreda and community levels indicate that households who have access to improved irrigation facilities and technologies not only increased their own agricultural production and productivity but have also derived a significant income through renting out pumps to fellow farmers at 40 ETB per hour. Households who owned motorized irrigation pumps, therefore, besides intensifying own household production through cultivation of the same piece of land three times per annum contributed to agricultural intensification and hence to improved agricultural production by providing services to fellow farmers. Also groups and individual users of the small-scale irrigation schemes constructed through the support of the project are able to generate sizeable harvest and income further signifying the role the project played to improving food security among the target beneficiaries. The impact of irrigation farming on improving food security and income of adopting households could be appreciated from the following case study.

Table 22: Use of Technological inputs and good practices by region and program participation, % of households

Type of Practice adopted	Tigray			Amhara			Total		
	Phase I	Phase II	Non-beneficiary	Phase I	Phase II	Non-beneficiary	Phase I	Phase II	Non-beneficiary
N	110	120	112	113	111	112	223	231	224
Motorized irrigation pump	2.7	3.3	0	2.7	1.8	0	2.7	2.6	0.0
Pedal pump	1.8	1.7	0.9	2.7	0.9	1.8	2.3	1.3	1.4
Drip Irrigation	1.8	0.8	0	5.3	0.9	0.9	3.6	0.8	0.5
Improved plough share	0	0	0	16.9	12.6	3.6	8.6	6.1	1.8

Case study – Motorized pump and livelihood: Story of a young small holder farmer

Bayiray Tesfaye is a young man of 28 years, married with one child in Hintalo Wujirat (Amida Woyane Tabia) of Tigray. Like many of his age mates, Bayiray is landless and used to derive his livelihood as a casual labourer. Upon the recommendations of the Food Security Task Force of his Kebele, Bayiray become a beneficiary of the BSF FAO project. In 2007 Bayiray took a loan from the Amida Woyane service cooperative (one of the cooperatives supported by the project through the provision of revolving fund) and acquired a motorized irrigation pump worth 4,500 ETB. Using his newly acquired motor pump and renting land from fellow farmers, Bayiray produced potato and onion in 2007. In that same year, he earned 17,000 ETB from the sale of potatoes and onions. Motivated by his achievements of the first year, Bayiray rented 2.5 ha of land and produced potatoes and onions in 2008. He earned 16, 000 ETB after paying for the land rent and other expenses. In subsequent years, Bayiray took additional loans from MART and intensified his agricultural production. He purchased one improved dairy cow that gives 13 litter of milk per day. He has repaid his loan. Bayiray owns a corrugated roofed house, a television set and other durable consumer goods. He has become a model farmer and awarded several medals from the woreda and the region for his exemplary deeds.

Despite this, there are outstanding concerns that need to be addressed to improve impacts and sustainability of the utilization of water resources for agricultural purposes. These include limited access to technologies by potential beneficiaries, defining water utilization by-laws between upstream and downstream groups, further improving community capacity for scheme/pump maintenance, and efficient utilization of the water resources.

Soil fertility management practices: Low and declining soil fertility has been identified by the community as one the major constraints contributing to low crop and livestock productivity. Hence, the promotion of improved soil fertility management practices have been considered vital for the envisaged improved crop and livestock productivity and hence the attainment of project objectives. Improved soil fertility management practices promoted by the project include the use of inorganic fertilizers, integrated soil fertility management practices that combine inorganic fertilizer use with animal manure and compost and promotion of crops such as legumes and trees that have conservational values. Of the promoted soil fertility management practices, inorganic fertilizer use has been found to be encouraging in both regions and among beneficiary and non-beneficiary households alike (Figure 3). Use of inorganic fertilizers, however, was slightly better among project beneficiaries.

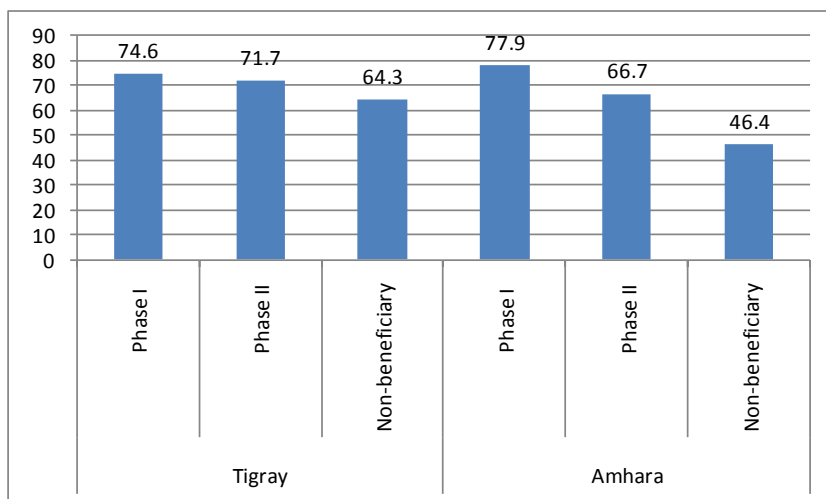


Figure 3: Percentage households currently applying organic fertilizer

5.1.4.2 Livestock production and productivity

The target areas are endowed with a huge number and diversity of livestock. And yet, the contribution of livestock to food security and income of households had remained marginal due to a host of interrelated factors. Among other, dependence on low yielding local livestock breeds, livestock diseases, poor quality and quantity of feed and limited access to improved livestock husbandry were identified as the major causes for the observed low livestock productivity in the target woreda. Low livestock productivity, therefore, was considered one of the challenges to be addressed by the project.

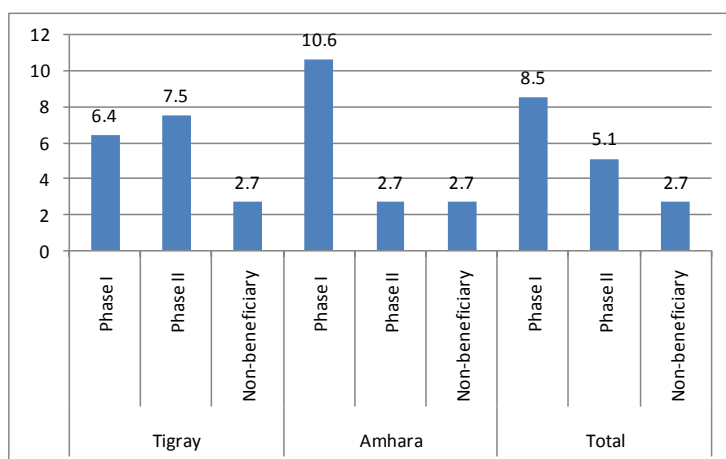


Figure 4: Percentage of households currently owning improved dairy cows

Project interventions in the livestock sector focused on innovative husbandry practices that consider the local potential and carrying capacity. These include dairy, small ruminant and poultry development. The project has achievements in promoting livestock development that contributed to improvements in household food and nutrition security in its operation areas.

Dairy development: The project has provided exotic and local breeds to individual beneficiaries and cooperatives to engage in

dairy farming. According to the findings of the 2007 baseline survey report, beneficiary households had no dairy cows five years ago. The proportion of households engaging in dairy production while improved is still however low: 8.5% of households for Phase I and 5.1% for Phase II (Figure 4) with adoption of dairy technology better among project beneficiaries than non-beneficiaries (2.7%). The BSF project along with WOARD has also provided dairy development trainings and milk handling equipment to the beneficiary groups in the form of loan. Artificial insemination (AI) services were also provided by the project to improve the productivity of the local breeds.

Households who obtained dairy cows through the project have benefited through accessing milk for their family consumption and income generation. Cooperative members in Entreat and other woredas who have been engaging in improved dairy husbandry through project support noted livelihood improvements as a result of access to nutritious food particularly for children drinking milk and through household income. The income thereof has helped them to buy food grain. The impact of dairy technology on adopting households is well illustrated by the following case study.

It is worth noting that discussions with communities revealed that households engaged in milk production in remote locations appears to have been better organized and formed cooperatives whereas households nearer to markets with high demand for milk preferred to operate individually. Milk producers in remote locations facing high transaction costs individually found it economical to organize into cooperatives thereby reduce transaction costs. Hence, better support should be offered to potential milk producers located far from major milk consumption centres. Moreover, regardless of the distance from market centres, cooperatives could be effective if they engage in value addition activities that enhance the utility and shelf-life of dairy products.

Small ruminants: Of the two project regions, the Amhara region is by far better positioned for small ruminant production. Realizing this, the BSF FAO project has dedicated a significant part of its resources for small ruminant production in its operational woredas in the Amhara region. The project made available improved and local goats and sheep to beneficiaries through cooperatives. The improved stocks were supplied from a government breeding centre and local market by selecting animals with good stand. Significant numbers of poor community members, youth and women are currently benefiting from small ruminant production. It has helped them to access food, cash to acquire grain and other productive inputs for farming. The following case study demonstrates the impact of engaging in small ruminant husbandry on household food security and income.

Case study – Small ruminant and livelihood: Story of a female headed household

W/ro Behan G/Hiwot is a 40 year old, female, leading a family of 8 members in Endirta woreda (Debri kushet) of the Tigray region in Ethiopia, consulted during the project impact assessment. She owned 5 timad (1.25 ha) of land. Though she owns land, like many of her neighbours in the village (kushet), she faced severe food shortages from May to October. She used to work as casual labourer and participate in the PSNP in an attempt to close the food gap. Even then, she recalled, life had been very difficult and her children were forced to quit school. In 2007. Upon the recommendation of the kebele food security task force, she became a beneficiary of the BSF FAO project. Upon consultations of the DAs in her Kebele, she decided to purchase 5 heads of sheep (four female and one male) worth 1,000 ETB. In a few years, the sheep reproduced and now she has 18 heads of animal. She sells a few heads every year to purchase agricultural inputs such as chemical fertilizers and improved seeds. Using the improved inputs she purchased through the sale of sheep, she is now able to use her land more productively. Food shortages have become the issue of the past. Like some of the well-to-do in her village, she enjoyed the New Year, X-mass and Ester holidays slaughtering sheep from her flock. All her children are now in school.

Poultry: Poultry production was promoted on individual beneficiary basis or through groups organized in the form of a cooperative. A poultry cooperative was organized and engaged in improved poultry production in Menz Gera woreda. The group was linked with Kombolcha and Mekele poultry multiplication centres to get chicken stock. Members were given necessary capacity building including trainings and tools such as an incubator and warming machine. The association is currently generating income through egg and chicken selling.

The group has faced shortages of power supply to properly carry out its functions. This has hampered the hatching process. Currently, the association is bringing day old chickens from the Kombolcha poultry multiplication centre. The government has promised to provide power but this has not happened so far. Thus strict follow up is required by the woreda council and the project in the remaining life time of the BSF FAO project.

In addition, individual beneficiaries have acquired egg laying type chickens in all woredas with the exception of Menz Mama. As noted in Table 23 below, project beneficiaries have had somewhat better access to improved poultry than non beneficiaries. Often, the poultry are obtained in the form of loan combined with small ruminant rearing and fattening. They are found to be a quick and regular income sources for beneficiary families.

Table 23: Adoption of Improved Livestock Technologies by sample households by region and program participation, % of households

Item	Tigray			Amhara			Total		
	Phase I	Phase II	Non-beneficiary	Phase I	Phase II	Non-beneficiary	Phase I	Phase II	Non-beneficiary
N	110	120	112	113	111	112	223	231	224
Improved forage and fodder species	17.3	14.2	8	33.6	18.9	8.9	25.6	16.5	8.5
Zero grazing	23.6	18.3	11.6	23	12.6	8.9	23.3	15.6	10.3
Dairy cow	6.4	7.5	2.7	10.6	2.7	2.7	8.5	5.1	2.7
Poultry	12.7	14.2	12.5	11.5	8.1	1.8	23.3	15.6	10.3

Livestock feed: Improving livestock feeding systems is vital for a profitable and environmentally sound livestock production system. The project has introduced the production of backyard improved fodder trees and grasses. Also, cut and carry system was promoted for dairy and small ruminant production. Grazing sites were protected to allow indigenous grasses and shrubs to regenerate and thrive for cut-and-carry system. As depicted in Table 23, the adoption of both improved forage and zero grazing technologies is more pronounced among project beneficiaries compared to non-beneficiaries. In this regard, about 25.6% and 16.5% of Phase I and Phase II beneficiaries have started to grow improved forage and fodder species at the time of this evaluation. Similarly, about 23% and 16% of Phase I and Phase II beneficiaries adopted zero grazing. On the other hand only 10% and 8.5% of non-beneficiaries adopted zero grazing and improved forage production, respectively. This difference between beneficiary and non-beneficiary household is mainly attributable to BSF FAO efforts in facilitating provision of planting materials and trainings for DAs.

Case study – Multiple Technologies and livelihood: Story of a poor farmer who used to be a daily labourer

Priest Alemayehu W/Semayat is an old man of 65 years managing 8 family members some of whom are his grandchildren in Menz Gera district, North Shewa, Amhara Region. Priest Alemayehu W/Semayat and his family were leading a miserable life often going hungry and poorly clothed. He had an ox which was sold for purchasing grain for the family. Then after, he was forced to work as a daily labourer to feed his family at old age. Priest Alemayehu joined the project in 2003. In that same year,

he acquired 5 heads of sheep on credit through a revolving fund availed by the BSF FAO project. In subsequent years, Priest Alemayehu participated in other project activities including, horticulture (potato, leafy vegetables and apple), water harvesting, bee keeping and improved stove production. Alemayehu is now food secure. He has 40 heads of sheep, a pair of oxen, 3 local cows, 2 horses and 2 donkeys. He has constructed a 7 rooms iron roofed house at the woreda town. Some of these rooms are rented and others are used by his children attending high school.

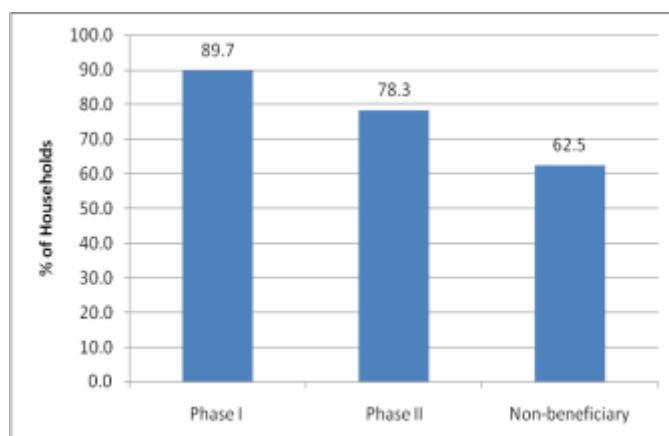


Figure 5: Percentage of households with access to vet. services

Demand for livestock feed greatly outstrips production in all target woredas. Recurring droughts and the long habit of open land grazing practice are key factors undermining pasture availability. Also, supplementary feeds are in short supply, and this needs due attention to ensure maximum impact from the livestock interventions.

Vet services: The project supported provision of vet services in targeted woredas. Selected community members were trained on community based animal health care (CBAHC) to provide vet service at community level. The project

facilitated the provision of vet materials, drugs and services. Figure 5, depicts the proportion of households accessing veterinary services, in the last 12 months prior to the study. Use of veterinary services, is quite common among the study sample. . Yet significantly more project beneficiaries accessed the services than non-beneficiaries. Despite the better access, however, the quality of the services is reported to be compromised by limited availability of drugs. This is particularly important with regard to the newly introduced exotic dairy breed and poultry that need close monitoring and intensive health care.

Market linkage: This is key element in market oriented livestock and crop production system. So far, training has been given to beneficiaries and woreda staff in market skills. However, more efforts need to be expended to ensure market integration so that a significant share of the income generated accrues to the livestock and vegetable producers.

5.1.4.3 Natural resource conservations

The depth and extent of natural resource degradation has been an overriding concern in the BSF FAO project woredas. There has been a multitude of interventions by government and non-government organizations (NGO) targeted at reversing natural resource degradation in the target areas. Most of the earlier interventions in the area of natural resources focused on the construction of physical soil conservation structures such as stone and soil bunds. The BSF project, unlike its predecessors, focused on demonstration of innovative approaches and practices that linked conservation with economic benefits such as fodder production, woodlots and beekeeping to ensure sustainability. The major activities in this regard include demonstration of improved soil and water conservation structures, woodlot plantations, area closure and the promotion of fuel efficient stoves.

The extent of adoption of soil and water conservation (SWC) practices by sample households is depicted in Table 24. In general, the use of biological and physical conservation measures tend to be high across the different groups of sample households. As indicated in this table,

the adoption these SWC practices is marginally high among project beneficiaries than with non-beneficiaries.

Table 24: Proportion of households using improved soil and water management practices

Component	Tigray			Amhara			Total		
	Phase I	Phase II	Non-beneficiary	Phase I	Phase II	Non-beneficiary	Phase I	Phase II	Non-beneficiary
N	110	120	112	113	111	112	223	231	224
Biological SWC	74.6	80.8	76.8	74.3	91.0	62.5	74.4	85.7	69.6
Physical SWC	89.1	90.0	93.8	84.1	93.7	75.9	86.5	91.8	84.8
Gully stabilization	77.3	79.2	76.8	64.6	82.9	60.7	70.8	81.0	68.8
Water harvesting	65.5	70.8	70.5	36.3	53.2	51.8	50.7	62.3	61.2
Area Closure	49.1	48.3	55.4	26.6	46.9	35.7	37.7	47.6	45.5

During the exit phase the BSF FAO project has given due attention to the economic use of protected areas while major conservation works were handled through PSNP. The evaluation team has seen this as a best strategic choice of investment areas because already the lion share of PSNP resources are going to conservation of natural resources. Moreover, earlier watershed based conservation works of BSF FAO have continued to be a demonstration site for effective environmental rehabilitation initiative.

Woodlot: Four youth groups were organized and established woodlots in selected watershed in Menz Gera. BSF FAO has provided them with trainings, and seeds and seedlings with economic values (eucalyptus and fodder trees). Beneficiaries of this scheme are landless youth without adequate livelihood sources. Currently, each of them has planted up to 5000-6000 seedlings. This will bring significant income for the groups in 3-4 years. According to woreda food security task force (WFSTF) in Menz Mama and Menz Gera this project initiative has reduce delinquency and theft as these young people are getting employment opportunity and future hope for better income.

Area closure: Area closures were also delineated in specific micro-watersheds and linked with apiculture and cut-and-carry system for livestock feeding. Community discussions were carried out to ensure continuity of these protected areas. Often dairy and beekeeping associations are linked with area closure promoted either by the BSF FAO project or the PSNP so that user groups are involved to ensure sustainable land management.

Fuel efficient stove: Mostly women were organized in the form of cooperatives and engaged in fuel efficient stove production and marketing in three project woredas (Hintalo Wujirat, Menze Gera and Enderta). The BSF FAO project has provided the cooperatives with capacity building training and start-up capital including moulds and working capital. The cooperatives have produced and sold a significant number of stoves to the community members. According to discussions held with WOARDs, the technology has significantly contributed to better health for women and natural resources conservation. The improved stoves can save fuel wood consumption by over two-third compared to the traditional stoves. According to the results of the household survey that incorporated question on the type of stove households using for cooking purpose at the time of the interview and five years ago, significant proportion of community members is currently utilizing the stoves. In use of improved stove alone or in combination of traditional stove has increased from 5.5% to 15.4% in Phase II households and from 4.5% to 24.2% in Phase II households. Comparatively high rate of improved stove adoption was reported in Amhara. In Amhara

target woredas, use of improved stove alone or in combination with traditional stove showed increments from 12.8% to 90.2% and from 3.6% to 85.6% among Phase I and Phase II beneficiary households. The improvement in the use of improved stoves shows that there is a high demand for the technology. This result is not entirely attributable to BSF FAO efforts as other projects such with the support of GTZ. However, the project has made significant contributions for this achievement as it can be explained by higher rate of adoption of the technology among beneficiaries in comparison with non- beneficiaries, specifically in Amhara. The main challenge reported by the WFSTF of the different woredas is escalation of cement price in the market. The WOARD has made an intervention in Hintalo Wujirat to improve access to cement by the cooperatives directly from Mesobo Cement Factory in the nearby area.

Table 25: Percentage of HHs using improved stoves

Region	BSF / FAO Status	% yrs ago			% yrs ago		
		Improved only	Improved & Tradition	Total	Improved only	Improved & Tradition	Total
Tigray	Phase I	4.5	0.9	5.4	4.5	10.9	15.4
	Phase II	6.3	3.3	9.6	7.5	16.7	24.2
	Non-beneficiary	2.7	1.8	4.5	8	18.8	26.8
	Total	3.5	2	5.5	6.7	15.5	22.2
Amhara	Phase I	9.3	3.5	12.8	28.3	61.9	90.2
	Phase II	2.7	0.9	3.6	14.4	71.2	85.6
	Non-beneficiary	6.3	1.8	8.1	8	26.8	34.8
	Total	6.1	2.1	8.2	17	53.3	70.3

5.1.4.4 Improving capacity of extension service

Table 26: Household access to agricultural and health extension services by region and program participation, % of households reporting access

Service type and quality	Tigray			Amhara		
	Phase I	Phase II	Non-beneficiary	Phase I	Phase II	Non-beneficiary
Accessed agricultural extension services this year	100.0	97.5	95.5	97.3	98.2	85.7
Quality of agricultural extension services this year compared with 5 years ago						
Worse	3.6	2.5	0.9	0.9	1.8	3.6
The same	1.8	2.5	3.6	1.8	1.8	10.7
Better	94.5	95.0	95.5	97.3	96.4	85.7
Accessed health services this year	100.0	99.2	97.3	99.1	100.0	92.9
Quality of health services this year compared with 5 years ago						
Worse	3.6	1.7	6.3	0.0	0.0	0.0
The same	3.6	2.5	3.6	0.9		12.5
Better	92.7	95.8	90.2	99.8	100.0	87.5

Improving the capacity of the extension service was considered key to enhance production and productivity of farming households. To this end, the BSF FAO project has provided a series of capacity building trainings to woreda experts and DAs, The capacity of Farmer Training Centres (FTCs) was also augmented through the provision of tools, equipment and facilities. At the same time, the project has provided various crop and livestock production

inputs and services to communities in the project woredas. As depicted in Table 25, this has increased both physical access and quality of services provided to households in the project operational woredas.

5.2 Project impacts

While the household survey documents showed a number of quantitative changes in the above indicators for beneficiaries, the degree to which the changes observed can be attributed to the BSF/FAO project is difficult to assess given the fact that a large number of other safety net and food security related interventions were going on during the same period in the same woredas. The assessment team has, however, come to the conclusion that the project has contributed to a range of impacts on the lives and livelihoods of target beneficiaries. It has also some spill-over effects in the diffusion of agriculture technologies, and health and nutrition practices to non-project households and areas. In general, these impacts can be viewed as follows:

- Empowering communities and local institutions
- Improving household income and asset ownership
- Enhancing household food security
- Improving health and nutritional status
- Promoting good policy and programme practices
- Addressing gender and social exclusion issues

5.2.1 Community Capacity and Empowerment

Voiceless groups (FHH, jobless youth, people with disability, PLWHA) were able to voice their concerns to the community and officials through their organizations formed with the support of BSF FAO project. This has created economic and social empowerment among the target group.

Community participation and local ownership over development processes has been enhanced due to the application of CAP process. The project beneficiaries are organized in cooperative and business groups. Through these community-based organizations people were able to participate in identifying their development needs and implement interventions both individually and in groups.

Different capacity building supports from BSF FAO have enhanced service giving capacity of institutions at woreda, kebele and community levels. Woreda experts received trainings from the project are providing better supports in facilitation of development process, provision of technical advises and preparation and proposal projects.

Due to a series of project supported capacity buildings for woreda and kebele staff, community participation in the local development process is improving. On top of this the involvement of different sector offices in the CAP process has improved the coordination, complementarily and shared learning practices among woreda offices. This has helped the offices to effectively address gender issues in project planning and implementation including targeting of jobless young females and FHH. It has also improved gender roles within the target communities particularly in engaging women in productive activities that enhanced the decision making at household level.

Likewise DAs and HEW have obtained new knowledge and skills in different areas including agricultural production, health and nutrition and community mobilization. These also provided an opportunity for these kebele level workers to provide services to the people regardless of their participation in BSF FAO. For instance community health workers (CHW) attended

community health and nutrition trainings directly by the project and HEWs trained by the project have started to promote healthy practices in their communities.

The project created CDF schemes managed by cooperatives. The CDF opened up a new rural financial services operated by the community. These cooperatives are promoting savings and provision of credits to their members. These activities in turn are helping people to expand agricultural production and income for beneficiaries through facilitating input and output markets and access to investment capital.

5.2.2 Household income and asset

Participants' income and asset ownership have increased due to the participation in on- and off-farm livelihood activities supported by BSF FAO. Households involved in business activities are able to generate income and this has helped them to create household assets and increase access to food.

As indicated above creation of household assets is an important dimension of the project impact. Although the IA survey made an attempt to collect a variety of asset data (livestock, farm tools and consumer durables, housing characteristics, etc), the results indicate that livestock assets including oxen and goat/sheep ownership are the most sensitive to measure change over time and between household categories. These two types of livestock were selected for this analyse due to the fact that most rural households are acquiring them to accumulate wealth.

The results of livestock ownership for different categories of households as indicated in Figure 6 and Figure 7 suggest that project beneficiaries are better off across time and in comparison with non-beneficiary households. Phase II beneficiaries in Tigray have improved their average oxen ownership from 0.28 in 2007 to 0.96 in 2010. Similarly in Amhara this group of households increased their oxen ownership from 0.61 to 1.43 during the time between 2007 and 2010. In both regions, Phase I beneficiaries have better oxen ownership: 1.09 in Tigray and 1.43 in Amhara. The non-project beneficiaries currently own low (0.81 in Tigray and 0.66 in Amhara) mean number oxen compared two groups the beneficiaries. The overall improvement in mean oxen ownership means not only increasing household assets but also improving performance in agriculture for the fact these households have improved access to traction power for cultivation of their farms. It also means timely accomplishment of farming activities to get better harvest and there by contribute to household food security.

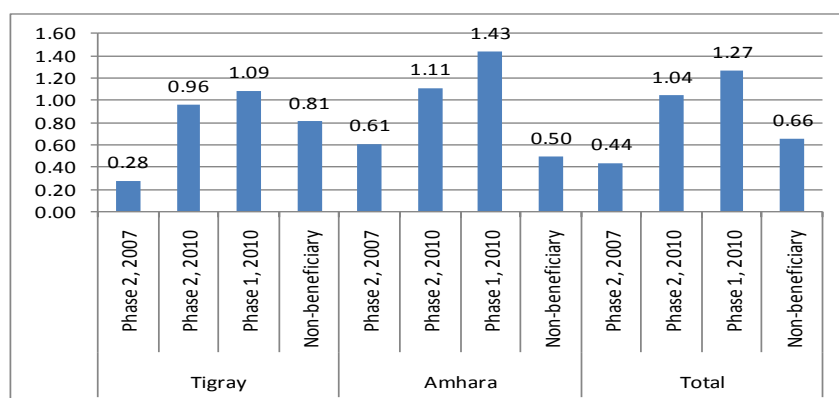
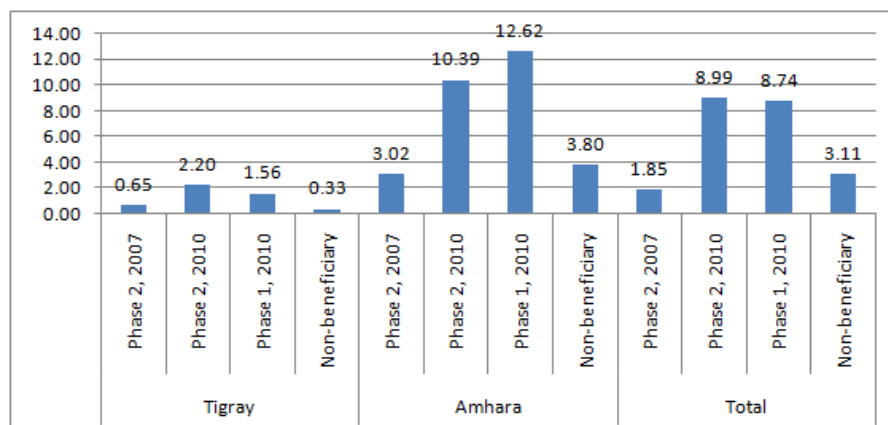


Figure 6: Mean number oxen owned per household

As shown in Figure 7 below, there has similarly been an improvement among BSF FAO beneficiary households in terms of goat and sheep ownership. In Tigray and Amhara regions goat/sheep ownership increased from 0.65 to 2.2 and from 3.02 to 10.39 among Phase II beneficiaries, respectively. Like the case of oxen currently project

beneficiaries have better ownership of goat/sheep then non-beneficiaries. Based on the IA survey (2010) currently, in Tigray, non-beneficiaries have 0.33 goat/sheep per household while Phase I and Phase II beneficiaries have 1.56 and 2.2 goats/sheep, respectively.

Similarly the data from Amhara indicate the current ownership of goat/sheep to be 3.20, 10.39 and 12.62 among non-beneficiaries, Phase I and Phase II beneficiaries respectively.



These types of livestock are a key wealth accumulation strategy for poor households emerging out of poverty. They are also important sources of short maturing and regular sources of income for these people. They are sold to cover

Figure 7: Mean number goat/sheep owned per household

regular household expenses and to help

households withstand shocks in times of crisis. Therefore, an increment in the ownership of goat/sheep is an improvement in access to income and food security for households.

However, the grazing and browsing demand of these animals is also a cause for environmental stress unless they are properly reared and protected from excessively open grazing.

5.2.3 Enhanced Household food security

The project has contributed to the enhancement of food security through building capacity of marginalized households, provision of productive inputs and demonstration of improved agricultural and natural resource conservation practices. Table 26 shows the perception of respondents on the food security situation at household and kebele levels. In Tigray, 73% both Phase I and Phase II beneficiaries reported improvement in their food situations over the last five years. Likewise in Amhara 67% of Phase I and 75% of Phase II beneficiaries reported similar improvements in food security situations. This self reported improvement is a little lower, 68% in Tigray and 21% in Amhara, for non-beneficiaries.

Table 27: Household perception of the food security situation over the last five years, % of households

Perceived Situation of Food Security		Tigray			Amhara			Total		
		Phase I	Phase II	Non-beneficiary	Phase I	Phase II	Non-beneficiary	Phase I	Phase II	Non-beneficiary
N		110	120	112	113	111	112	223	231	224
Kebele Level	Improved	74.5	78.3	71.4	63.7	67.6	18.8	69.0	73.2	45.1
	Stayed the same	9.1	8.3	14.3	23.9	28.8	49.1	16.6	18.2	31.7
	Worsened	16.4	13.3	14.3	12.4	3.6	30.4	14.4	8.6	22.4
	Not stated	0	0	0	0	0	1.8	0.0	0.0	0.9
Household Level	Improved	72.7	73.3	67.9	67.3	74.8	20.5	70.0	74.0	44.2
	Stayed the same	10	13.3	15.2	19.5	18	31.3	14.8	15.6	23.3
	Worsened	17.3	13.3	17	13.3	7.2	45.5	15.3	10.4	31.3
	Not stated	0	0	0	0	0	2.7	0.0	0.0	1.4

The reasons for the improved food security situation are numerous (Table 27). According to the self-reported responses of sample households, project efforts including motivation of households (57%), the promotion of improved agricultural technologies (48%) such as vegetables and livestock production, and off-farm engagements (37%) have significantly contributed to improvements in food security. Besides, improving food security and income of beneficiary households, vegetable production has contributed to local food market stabilization through satisfying local consumption demand. Also, income from off-farm activities contributed to secure access to food for the chronically food insecure and jobless women and youth.

Table 28: Reasons for improvements in household food security situation, % of households reporting

Reasons for Improvement	Tigray			Amhara			Total		
	Phase I	Phase II	Non-beneficiary	Phase I	Phase II	Non-beneficiary	Phase I	Phase II	Non-beneficiary
N	110	120	112	113	111	112	223	231	224
Intensified own effort	56.4	47.6	62.3	61.5	32.1	52.1	59.0	40.2	57.2
Used improved agricultural tech.	39.8	45.2	54.3	50.6	22.3	42.5	45.3	34.2	48.4
Reduction of post-harvest losses	40.1	17	32.7	31.6	21.4	28.6	35.8	19.1	30.7
Involved in off-farm business	28.9	31.8	36.8	34.6	19.6	30.4	31.8	25.9	33.6
Improved infrastructure	26.6	21.7	30.0	26.8	15.6	24.2	26.7	18.8	27.1
Favourable climate	22.7	16.1	19.7	26	11.6	19.2	24.4	13.9	19.5
Other	10.8	10.1	15.7	12.1	3.6	10.5	11.5	7.0	13.1

Table 29: Reasons for absence of improvement in households, % of HHs

Region	Reason	Phase I	Phase II	Non-beneficiary	Total
Tigray	Unfavourable climate	24.5	19.2	25.9	23.1
	Own poor performance	16.4	16.7	16.1	16.4
	Lack of inputs	2.7	0.8	2.7	2.0
Amhara	Unfavourable climate	16.8	6.3	50.0	24.4
	Own poor performance	3.5	0.9	33.0	12.5
	Lack of inputs	0.9	1.8	12.5	5.1
Both	Unfavourable climate	20.6	13.0	37.9	23.7
	Own poor performance	9.9	9.1	24.6	14.5
	Lack of inputs	1.8	1.3	7.6	3.5

On the other hand, further interrogation of the IA survey data revealed unfavourable climate and poor personal performance mentioned by 24% and 17% sample households as the reasons for absence of improvement in food security situation (Table 28). These indicate that at least about one in four households are being constrained by climate change to improve their food security situation despite personal efforts and external supports including BSF FAO. In general, the effect of climate change is relatively low (21% for Phase I and 13% for Phase II) among BSF Beneficiary households (39%) compared to non-beneficiaries. This suggests that the project contributed to the mitigation of the impact of climate change by building households resilience to shocks such as droughts. This can be further explained by the works of BSF FAO including:

- Expansion of off-farm engagement which has low chance to be affected by climate change,
- Application irrigation technologies (particularly potato and other vegetables) to overcome shortage and poor temporal distribution of precipitation, and
- Adoption of crops that withstand drought compared to the traditional varieties.

Climate change mitigation centred interventions should continue to be the top priority for the people in the project operational woredas to improve their food security situation.

We further asked the sample households the months they experienced food shortage in the past 12 months with the aim of understanding the level of food insecurity. The self-reported number of food shortage months reported under Table 29 indicates minor variation across the different sample groups. As noted in this table Phase I beneficiaries and non-beneficiaries in Tigray experienced 3.1 months of food shortage in the last 12 months. Phase II beneficiaries have faced 2.6 months of food shortage which is a little below the other two groups of households. Contrary to Tigray, in Amhara we have observed noticeable differences in mean number of food shortage months between project beneficiaries and non-beneficiaries. Beneficiaries have shorter duration of food gap (2 months) compared to non-beneficiaries (4.8) months.

Table 30: Mean number of months of food shortage per year and percentage of households experiencing no food shortage

		Mean Number of Food Shortage Months	% of households without food shortage
Tigray	Phase I	3.1	28%
	Phase II	2.6	40%
	Non-beneficiary	3.1	23%
Amhara	Phase I	1.9	62%
	Phase II	2.0	56%
	Non-beneficiary	4.8	4%
Total	Phase I	2.5	45%
	Phase II	2.4	48%
	Non-beneficiary	3.9	13%

When the same dataset is interrogated further in Tigray 28% of Phase I and 40% Phase II beneficiaries remained without food shortage all throughout the year. In Amhara about 62% and 56% of Phase I and phase II beneficiaries respectively reported to pass the last 12 months without experiencing a food shortage. For both regions the proportion of households without food gap is low among non-beneficiaries in both regions compared to the beneficiary households. In aggregate, from 45% to 48% of BSF FAO beneficiaries households at the project level did not face food any shortage in the last 12 months, while only 13% of non-beneficiaries experienced the same.

The interpretation of self reported improvement in food security situations and number of food shortage months per year indicates the existence of a general improvement in the food security situation among BFS FAO beneficiaries. However, households are still facing food shortages for a period ranging from 3 months in Tigray to 2 months in Amhara. The mean number of food shortage months and proportion of households facing is high among non-project beneficiaries. Finally, it is also important to note that the majority of these households who are experiencing food shortages are also receiving PSNP food/cash transfers for not less than six months a year.

In summary, the IA team concluded that the project positively contributed to households resilience to climate change induced shocks mainly drought. In particular, potato producers in North Showa and irrigation technology users in Tigray were able to withstand food shortages during the drought year of 2009/10. Others liquidated some of the asset, mainly small ruminants, created using the project to meet their food shortage during such crisis.

5.2.4 Improved Nutritional status

The impact assessment examined the contribution of BSF FAO to the improvement of nutritional status of children and women among project beneficiaries and non-beneficiaries. The following sections describe the outcome of the anthropometry survey results in comparison with the earlier baseline surveys conducted by the project.

Nutritional status of children

Protein Energy Malnutrition (PEM): a deficiency of protein, energy or both, can develop in young children due to shortage of food resources or when parents mistakenly provide food that lack adequate energy or protein. Children have high food energy needs for their size (per kg body weight). They also have higher protein requirements per calorie (or kJ). Therefore, they are more at risk of protein deficiency than adults (Whitney & Rolfes, 2008). Childhood illnesses also play an important role in the nutritional status of children.

The nutritional status of children (Table 30) is determined using the international reference as defined by the U.S. National Centre for Health Statistics (NCHS), recommended by WHO and the U.S Centres for Disease Control and Prevention (CDC). In the IA survey children that fall below -2 Z-score were considered as malnourished. In this assessment, the non-beneficiaries data which were supposed to reflect the contrast of beneficiaries fails to give plausible results for different reasons. Therefore, in this report only Phase II beneficiaries are compared with the 2007 baseline data. The assessment team is unable to associate the nutritional status of Phase I beneficiaries with other available data such as the 2004 baseline due methodological and targeting group differences⁷. The results of the anthropometric measurements of this IA survey as well as the 2004 and 2007 baseline surveys are summarized under Table 30.

Table 31: Nutritional status of children in the project operation areas

Nutritional indices < -2Z score	Region	Phase I (2010)		Phase II (2010)		Phase II 2007	Non-beneficiary (2010)		2004 BLS	Spanis h, 2008	DHS, 2005
		N	%	N	%	%	N	%	%	%	%
Stunted	Tigray	74	54.1	70	48.6	53.7	73	47.9	47.0	54.2	41.0
	Amhara	72	31.9	61	49.2	54.2	54	29.6	46.3	63.6	57.0
Under-weight	Tigray	79	45.6	70	30.0	39.8	73	32.9	43.1	45.8	41.9
	Amhara	72	33.3	61	31.1	40.2	54	27.8	43.6	47.7	48.9
Wasted	Tigray	74	20.3	70	8.6	4.7	73	11.0	11.7	15.3	11.6
	Amhara	72	15.3	61	8.2	10.6	54	20.4	9.9	15.9	14.2

Stunting (height for age) is a good indicator of past nutritional and health disorders that result in growth retardation in children. The causes of stunting are complex including genetic factors, intra-uterine growth retardation, delayed growth from multiple infectious diseases, or insufficient nutrition. Small size is an adaptation to these growth retardation factors. It cannot

⁷ The 2004 baseline was done at community level using 30X30 cluster sampling. This was done without making distinction between beneficiaries and non-beneficiaries or between most vulnerable and relatively stable households. Therefore this makes comparison of the existing anthropometry data with this baseline unjustifiable. However, for the sake of readers making their own comparison we have summarized the results of the 2004 baseline under the above table.

be equated with malnutrition (Truswell, 2003). But it has little use for program monitoring, as height progresses slowly in humans (Mouray, 2008). The prevalence of stunting among Phase II beneficiaries in this assessment is found to be 48.6% and 49.2% in Tigray and Amhara respectively. When compared with 2007 baseline (nearly 54% for both regions) the prevalence of stunting has improved by about 5 percentage points.

Underweight (Weight-for-age) is a good basic indicator that combines ponderal and statural growth and is useful in the monitoring of program performance although it is sensitive to slight variations, e.g. weight changes, (Mouray A., 2008). Both stunted and wasted children do not weigh as much normal children of the same age. Weight-for-age is thus a composite index, which reflects both wasting and stunting, or any combination of both. In practice about 80% of the variation in weigh-for-age is related to stunting and so do about 20% to wasting (Smart, 2005). The prevalence of underweight has shown reduction in both regions from 40% in 2007 to 30% in 2010.

Weight-for-height (Wasting) is a good indicator of weight loss due to recent inadequate food intake or infection or both, regardless of age. However, weight is influenced by variables that may alter the interpretation of results. Weight is not always accurately measured and it requires that two measurements be accurately recorded, which is not easy (Mouray A., 2008). In this assessment prevalence of wasting has doubled in Tigray and improved by two units in Amhara when compared with the 2007 baseline data. This result indicates the latest nutritional problem in the study households may be resulted from household food shortages associated with the previous year drought.

In spite of increases in the price of food and other consumption items in the past years in the world in general and in the study area in particular (IFPRI, 2009) and localised loss of harvest to droughts, the improvement in nutritional status of children is of great achievement. In addition, one can appreciate the result as the target groups were socioeconomically the most marginalized segment of the community when they came into the project.

The result from child anthropometry is consistent with HDDS and other qualitative data. Apart from this, the focus group discussions made among beneficiaries, non – beneficiaries, elders and implementing bodies also show the impact of the project not only among beneficiaries but also in non-beneficiaries in creating nutrition and health awareness.

Nutritional status of women

The nutritional status of reproductive age group women in the project areas and non-beneficiaries were calculated using Body Mass Index (BMI). BMI is an indicator of the nutritional status of adults reflecting chronic energy deficiency (Shetty and James, 1994). In this study, a BMI < 18.5 for non pregnant, non lactating women 15-49 years was categorized as underweight or chronic energy deficient. If a household contained more than one eligible woman, a random selection was made for measurement. Households without eligible women were not excluded from the overall sample.

Table 32: BMI, Percentage of thin reproductive age women

Region	Phase I (2010)		Phase II (2010)		Non-beneficiary		Phase II (2007)
	N	%	N	%	N	%	
Tigray	92	35.9	97	25.8	90	32.2	24.7
Amhara	103	22.3	102	7.8	102	11.8	31.7

Over the 2007 baseline and 2010 evaluation intervals there was only a slight improvement in chronic energy deficiency (BMI<18.5) among reproductive age women in the project operational woredas. The prevalence of thinness has greatly improved from the 2007 baseline in Amhara among Phase II beneficiaries. However, there seems to remain the same in Tigray. Since BMI is largely an indication of acute malnutrition it can show major variation within short period of time if there are factors that affect health and nutritional wellbeing of adult women.

5.2.5 Policy and programme related good practice

The project has organized poor people with disabilities and affected by HIV and AIDS to overcome their social and economic problems. Most of these people reported to be direct support participants of PSNP as the only source of support outside of begging. This experience has proved that direct support beneficiaries of PSNP can be capacitated to fill their food gaps and graduate from PSNP if access to economic resources and means are ensured.

The involvement of woreda youth, sports and social affairs offices in the implementation of BSF FAO project in support of the people with disabilities created institutional linkages for handling social protection issues traditionally managed by the agricultural sector through PSNP.

BSF FAO project has complemented the PSNP and this has positively contributed to graduation from chronic food insecurity. As stated by the woreda food security task forces BSF FAO beneficiaries are and will be the first to graduate from the PSNP. This is mainly because most of the beneficiaries showed their potential to build household assets that will help them to produce food or income to buy food and withstand modest shocks.

The project contributed to the preparation of household asset building package menu in Amhara region. Particularly the small ruminant production promoted by the BSF FAO project was cited as a best practice in the regional household asset building programme guidelines.

Girls' educational support which included tutorials and snacks have shown significant value in promoting performance and participation of girls in primary schools. Woredas have continued to support tutorials and have expanded to other non-BSF FAO kebeles. However lack of budget for snacks will definitely affect the results.

5.2.6 Targeting, gender and social inclusion issues

More than 50% of project beneficiaries, in most places, are women. The evaluation results indicate that the project has positively contributed to gender equality in the following ways:

- Community perception has significantly improved;
- Women are increasingly involved in roles that were traditionally labelled as men's roles (E.g. women are involving in drip irrigation);
- Women have diversified their sources of earning and have been able to increase their income and decision making on household resources;
- The educational performance of girls has improved and dropout has reduced in project pilot schools;
- Woreda women's affairs offices are able to perform better in providing economic opportunities for women and to promote gender awareness at woreda, kebele and community levels due to the capacity building provided to them by the BSF FAO.

Jobless and desperate youths and disabled people were able to be organized and engaged in productive activities to support their livelihoods. The project has proved that these social categories can be turned into productive and disciplined citizens. Amongst other positive benefits, delinquencies such as forest destruction, theft, physical attack and robbery were reduced due to attitudinal change and engagement of youths in productive activities.

5.3 Sustainability of the Project Outcomes and Impacts

- Community participation in development processes has contributed to enhanced local ownership of the project services and benefits. These have been the basis for sustainability of micro-projects supported by the BSF FAO.
- Local government capacity to deliver services has been improved through trainings and material provisions. Woreda offices have demonstrated capacity and initiative to sustain their extension supports to BSF FAO project initiatives.
- Most beneficiaries were very poor and had no adequate livelihood opportunities before they participated in the BSF FAO project. So they are very committed to build on the project benefits they are actually or potential enjoying.
- Financial service giving capacity of cooperatives is enhanced by the project. The project has put in place revolving funds with the aim to ensure sustainable rural financial services. Mature credit recollection to reach more community members is improving over time. However, a lot needs to be done by the target woredas in loan collection and re-disbursement by providing incentives to beneficiaries, cooperative leaders and making them accountable.
- In some cases market linkage initiatives scored good results. For example, iodized salt distribution, as well as milk and vegetable production are being linked with input and output markets. However, further value chain based intervention is required for product development and market linkages of potential crop and livestock products.
- Technologies promoted were simple to be managed by the beneficiaries. In most cases the technologies (e.g. potato) are divisible to propagate within and across communities.

6. Strengths, limitations and challenges

The BSF FAO project demonstrated strengths while at the same time facing constraints and challenges.

Strengths:

- The BSF/FAO project has had its own full time staffs at PMU and woreda level making close follow up on the project implementation. Other sectors at woreda level have been closely involved in the projects overall implementation processes.
- The project planning process was community based and participatory, and focussed on local needs.
- Targeting of beneficiaries was participatory and involved community members and administrative entities at kebele and sub-kebele levels.
- Greater proportion (80%) beneficiaries of BSF FAO beneficiaries were PSNP participants, at the time of this IA. This programme overlap is in line with the national FSP graduation model to reduce the number households affected by chronic food insecurity.

Limitations and Challenges:

- Scaling up of best practices to national level was not considered as element of the project logic at the design stage.
- Coverage of the project was reported too limited compared the scale of food insecurity and malnutrition in the target areas.
- Tranche fund release (30%, 50%, and 20%) was not convenient for some activities such as credit disbursement.
- Lengthy approval processes for LoAs and disbursements of funds contributed to a slow paced implementation of the project. Particularly the delay in fund disbursement from WOFED to cooperatives was the most important one to mention in this regard.
- Loan recollection rate from beneficiaries is reported to be low compared to existing different standards in the country. There are cases that beneficiaries with the capacity to repay their debt remained silent since they were not strongly asked by the concerned bodies. This is one of the challenges to reach out more beneficiaries with the revolving fund mechanism established by the project.
- Regions and zones have played a limited role in the project. Obviously woredas have got more autonomy due to the decentralization policy of the country. However, the entities at regional and zonal levels are still responsible to coordinate, monitor and provide technical supports to woredas on the different development and humanitarian programmes. However, these entities frequently reported weak linkages between the PMU and them as one of the challenges. This has caused misunderstandings with respect to the project efforts, limiting the sharing of the experiences to other areas by concerned bodies at regional and zonal levels.
- Rapid staff turnover, repeated restructuring of woreda offices, and frequent change of PMU staff had been challenges on the performance of BSF FAO project.
- Climatic shocks such as recurring droughts and untimely rainfall are the key challenges for the community in sustaining project promoted agricultural interventions.

7. Conclusions and Recommendations

7.1 *Conclusions*

1. The BSF FAO project followed a multi-stakeholder and multi-sectoral approach for addressing food security and nutritional challenges among very poor and vulnerable groups. The results of this IA indicate positive and effective contributions of the project in addressing food insecurity and malnutrition using such an approach.
2. The project logic is relevant to the context of the project operational areas, government strategies and MDGs. In this regard the second phase of the project showed major improvement compared to the first phase. However, the formulation of project objectives and indicators (Phase II) lack standardization and clarity to ensure a proper understanding and application by key stakeholders in the course implementation, monitoring and evaluation.
3. Most of the interventions positively impacted or have potential to have impact on the beneficiary lives and livelihoods. However, given the widespread poverty and food insecurity, the scale of the project could reach limited size of communities and beneficiaries.
4. The project interventions together with other ongoing programmes such as the PSNP, health extension services, and agricultural extension services have positively contributed to the improvement in food security among disadvantaged and most vulnerable segments of the targeted communities. It created and expanded local service provision capacity in the areas of rural financial, agricultural extension, health care, and social protection services for the poor.
5. Community based micro-project preparation using the CAP process was empowering. This approach has contributed to the sustainability of project interventions. In the CAP cycle, the participation of community members in the identification and implementation of micro-projects was found to be strong. However, as the implementation progresses, the role of community members in M&E was seen to reduce. This is mainly due to lack of a clear guidance on M&E within community action plans.
6. The soft loan arrangement including low interest rate, absence of rules on minimum size of loan and no requirement for collateral makes the credit service attractive to the target groups which are very poor and vulnerable.
7. In general, project grants provided to the community in the form of revolving fund as a source of credit for entrepreneurs is operating well. However, there is lack of aggressive action for recollection of matured loans by the community, cooperatives, woredas/ kebele officials. This has a greater potential for the disruption in the sustainability of revolving fund scheme.
8. The project contributed to the attainment of the objective of national food security programme through enhancing household asset building, income and food production. Particularly, it contributed to the graduation of some PSNP beneficiaries from chronic food insecurity.
9. The dietary diversity of the beneficiaries has shown some improvement at least in part due to intensive trainings and improvement in agricultural production and income opportunities supported through BSF/FAO.
10. Breast feeding practices, as well as iodine and vegetable consumption have improved among project beneficiaries due to the relentless efforts of implementers and awareness creation provided. However, there is still widespread sub-optimal breast feeding practice in North Showa.
11. There is a general improvement in the nutrition status of community members as measured by child anthropometry over the last five years. However, the findings of

the IA survey revealed that there is still high level of malnutrition in the project communities as compared to the national average. No discernable impact of the BSF/FAO project is observed on anthropometric measures of malnutrition⁸.

12. The project approach in tackling health and nutritional problems of the target communities through school nutrition and health clubs is an encouraging practice to create nutritionally well aware citizens of tomorrow.
13. The project promoted new agricultural technologies and model natural resource management practices. These model interventions have helped woredas to learn from and expand to other kebeles.

7.2 Recommendations

The project has created model approaches in nutrition, household income and asset building, as well as agriculture and natural resources management. These achievements should not only be limited to the current geographic boundaries and beneficiaries. Therefore, the IA team has organized its recommendations in two categories:

- Wrapping-up current BSF FAO project
- Way forward beyond BSF FAO project

The following sections describe the detail recommendations under these categories.

7.2.1 Wrapping-up current BSF FAO project

Both the qualitative and quantitative findings inform the positive contributions of BSF FAO to the enhancement of food and nutritional security among the target beneficiaries. There is also a spill-over effect of the project interventions to improve the wellbeing of non-beneficiaries. In order these benefits are sustained and the project exit is smooth, the IA team recommends the following to happen in the remaining months of the project:

1. Conduct an inventory of the status of CDF being managed by cooperatives and business groups, and provide the results to woreda administrations for their follow-up. The inventory may include but not limited to the following: loan status by beneficiary and cooperative, financial and legal status of cooperatives, and constraints and solutions for loan collection and re-disbursement.
2. Loan capital shortage to meet credit demands of the community is common in many of the places. For these the project initiative in mobilizing local savings through rural saving and credit cooperatives and effective recollection of matured loans remains vital. To this end, cooperatives managing such funds from BSF FAO should be fully encouraged and made accountable. There should be a formal and revised agreement between woreda finance office and cooperatives in promoting loan repayment and collection.
3. Finalize the legalization of cooperatives and business groups and ensure linkages with other financial and extension service providers. This may include facilitating basic cooperatives to be members of existing cooperative unions.
4. Provide a refresher or introductory trainings on project approaches so that woreda staff updated their knowledge on CAP, gender and CDF management.
5. Organize the project guidelines and manuals on CAP, gender and CDF management as a pack and hand over them to the relevant federal, regional and woreda level institutions so these reference materials are considered as government resources and applied for different development purposes.

⁸ Although malnutrition rates drop amongst the 2007 BSF FAO beneficiary cohort between 2007 and 2010.

7.2.2 Way forward beyond BSF FAO project

In general, given the depth of poverty and vulnerability in rural Ethiopia there is still a need to implement multi-sectorial projects and programmes that integrate both food security and nutrition. The IA team further recommends the following the implementation such projects with technical and financial supports from FAO and other donors including the Belgium Government:

1. Future project designs should incorporate appropriate formulation of hierarchical objectives and indicators. Objective statements and indicators should be evaluated against acceptable principles such as SMART for objectives.
2. Preparation of a separate monitoring and evaluation plan (guide), other than the design document and LFA, is recommended to guide project M&E operations at different levels.
3. For future similar interventions with limited resources and coverage of beneficiaries, designing and implementing scaling up strategy remains vital to widen the scope of the impact. The scaling-up action should be considered as one of the immediate objectives to ensure resource allocation and stakeholders commitment.
4. Market development interventions should be clearly defined based on a comprehensive value chain assessment of potential products for similar projects in the future.
5. The study findings suggest that climate change is the major phenomenon compromising development interventions and peoples' efforts to ensure food security. Therefore, future interventions should be deliberately calibrated to mitigate the impact of climate change on food security through building households' resilience and promoting potential technologies and strategies.
6. Adoption of appropriate nutritional practices for improved nutritional status among children and women require sustained and longer-term efforts. Therefore, more has to be done to break cultural taboos and resistances to appropriate feeding practices of infants and young children. Particularly such interventions are imperative in the North Showa areas.

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Annexes

Annex 1: Qualitative assessment tools

I. Checklist list for beneficiary FGD

Note

Two focus group discussions will be conducted per woreda. The first group will be organized from Phase I beneficiaries and the second group from Phase II beneficiaries.

Background

1. Tell us about your community. What are problems that you face here?
2. What are the factors within the community that reduce household access to food and child well-being?
3. What types of changes have happened in your community in the last 10 years?
(consider using timeline)
 - a. Probe for negative and positive changes
4. What types of factors do you think are driving these changes?
 - a. Probe for how the community's self-help groups, leaders, government, and/or external factors have been responsible for negative and positive changes.
5. What organizations (governmental, non-governmental, community-based organizations) are working in your community?
 - a. Probe for the contributions of each organization
6. Tell us how you (the beneficiary of the BSF project) first become involved in the project? (probe further about targeting criteria and effectiveness)

I. Component 1, Community Empowerment

The Community Score Card is a monitoring and evaluation approach that enables beneficiary community members to assess service providers and to rate their services/performance using a grading system in the form of scores. It reveals some of the knowledge gaps of the community members themselves too so that strategies would be found to fill those gaps. The CSC will be applied in the IA of BSF project with the aim to measure and describe the change in the quality of key services affected by the project. The following steps will be applied in assessing the performance of BSF affected services.

1. Identify maximum of two service providers that are most important to the informants and supported by BSF through discussion with the community members.
2. Discuss what roles these service providers have in the livelihood (health, education, food security and nutrition) or the respondents.
3. Follow the following steps in measuring the performance of each community identified services.
 - 3.1 Ask community members to list indicators to explain the performance and community satisfaction on the service under consideration. Make a consensus with the participants to choose most important five performance indicators from the list.

- 3.2 Prepare a matrix of indicators and performance scores on a flip chart. Lay the flip chart in the middle of the participant seating round. The format can be prepared in advance of this meeting leaving space for indicators to be filled during the discussion.
- 3.3 Facilitate community members to provide score for each indicator that measures the current performance or satisfaction level of the community. In this regard each of the community members will be provided with one piece of bean seed per indicator. Ask each of participants to put the bean seeds at hand under appropriate score (good, average or poor) for each indicator. Please apply the matrix indicated below as illustration.
- 3.4 Calculate the total score as follows and record the result on the flip chart:
 - Total score = $[3 \times (\text{good cases}) + 2 \times (\text{average cases}) + 1 \times (\text{poor cases})] / \text{number of participants provided the scores}$
 - Total scores can be interpreted as follows
 - < 1.5 = poor
 - $1.51 - 2.5$ = average
 - > 2.51 = good
- 3.5 Repeat step 3.3 and 3.4 for the situation of the service five year back. If the service was not available put 0.
4. Hold discussion with the community FGD participants to give you some insights on the trends in the quality of service and the role of BSF project.
 - 4.1 Ask participants to explain reasons for poor or good current performance of the service in relation with each indicator.
 - 4.2 Probe further using the following questions?
 - 4.2.1 Why the quality service has been improved or worsened over the last five years vis-a-vis the each indicator?
 - 4.2.2 Are you aware of the involvements of BSF project in the changes in the quality of service? What were the involvements of BSF?
 - 4.2.3 What were the roles and responsibilities (participation) of men and women in this community in the change in the service quality over time?
 - 4.2.4 Probe what needs to be done to improve or sustain the improvement of the service.
- 5 Community participation
 - 5.1 How is the community participation in developing and implementing local development? Probe participation of community-based organization, women, men and children in local development issues?
 - 5.2 What has been changed in the community decision making in local development issues in the last five years?
 - 5.3 What were the roles of BSF project in promoting participation of women and men in local development agendas?

Woreda: _____ Date: _____

Kebele: _____ Gott: _____

Name and type of service: _____

Indicator	Scores, now				Scores, five years before				Reasons for current poor or good status	Reason for the difference in the score
	Good	Average	Poor	Total	Good	Average	Poor	Total		
Water smell										
Presence of impurities										
Presence of disease										
No of people in community										
Period of water existence										
No. of latrine facility available										

Name of facilitator: _____

II. Component 2, Rural Micro-enterprises

1. What are the micro-enterprises you have been engaged in as a result of BSF support? What about before BSF started operations in your community?
2. What supports have been provided by the project to establish and operate the enterprises?
3. What has changed since the BSF programme began in terms of livelihoods? (e.g. *food security, educational enrolment, health status of women and children, income, housing conditions, social position*)
4. How much change has occurred since the programme began? (Number of food shortage months; proportion of beneficiaries with adequate food access throughout the year; wealth/asset status; social position in the community). *Please collect these information before and after BSF?*
5. Who experienced the change most and least? (with particular reference to differential gender benefits).
6. How and why did the change occur or not?
7. What other factors have contributed to change in the programme areas? How much of the change can be attributed to the BSF programme itself rather than to these other external factors?
8. What made the BSF programme more/less effective? How could the approach to supporting chronically food insecure households be improved in the future?
9. How do you explain the possibility of getting continued benefits from the BSF promoted interventions after BSF is phased out? What needs to be done to sustain benefits at household and community levels?
10. How is BSF related to PSNP and OFSP/HABP to ensure graduation of BSF households from food insecurity (PSNP)?

III. Component 3, Health and nutrition

1. What interventions have been implemented by BSF in the area to improve health and nutritional status of community members?
2. What key supports (facility building, equipment and apparatus delivery, training/skill transfer/awareness creation, provision of home garden seeds) were provided by the project in areas of health & nutrition?
3. What supports were provided to students and school clubs in areas of nutrition, home garden micronutrient rich vegetables seeds and gardening skills (training)?
4. How do you rate the efficiency of health facilities and their effectiveness since the intervention of BSF programs
5. What has been changed in environmental sanitation (e.g., toilet and garbage disposal), personal hygiene and access to safe water since the BSF project implementation (last 5 years)?
6. In what ways did the BSF project contribute to the changes in health conditions of your community? (Probe how, through which sector offices, and what activities conducted and benefits achieved?)
7. What has been changed in infant and young child feeding practice, adolescent girls, reproductive age women in last five years? Is there a dietary change?
8. In what ways did the BSF project contributed to nutritional and dietary practices?
9. How do you explain the possibility of getting continued benefits from the BSF promoted interventions after BSF is phased out? What needs to be done to sustain benefits at household and community levels?

IV. Component 4, Agriculture and natural resources

1. What are the agricultural and natural resource interventions (enterprises/technologies) you have been engaged as a result of BSF support? What about before BSF started operations in your community?
2. What supports (material, financial, technical advice) have been provided by the project to establish and operate the agricultural enterprises?
3. What has changed since the BSF programme began in terms of livelihoods as a result of the agricultural and natural resource interventions? (*e.g. food security, educational enrolment, health status of women and children, income, housing conditions, social position, etc. Please probe for community and household level positive and negative changes*).
4. How much change has occurred since the programme began? (Number of food shortage months; proportion of beneficiaries with adequate food access throughout the year; livestock ownership by type and number; crop yield per hectare, milk yield per cow, social position in the community). *Please collect the information before and after BSF?*
5. Who experienced the change most and least? (with particular reference to differential gender benefits)
6. How and why did the change occur or not? (Improved access to crop, livestock and natural resources technologies by farmers including access to credit, small scale irrigation, improved seeds, fertilizer, pesticide, improved dairy cows, forage etc. number of demonstrations conducted, access to agricultural extension)
7. What other factors have contributed to change in the programme areas? (Investigate whether there is improvement/deterioration in input and output marketing, infrastructure, etc.). How much of the change can be attributed to the BSF programme itself rather than to these other external factors?
8. What made the BSF programme more/less effective? How could the approach to supporting chronically food insecure households be improved in the future?

9. How do you explain the sustainability of the benefits from BSF promoted agricultural and natural resources management interventions.

II. Check list for HH case study

Name: _____ Woreda: _____ PA: _____

1. Would you tell us about your family composition?

Name	Relation to HH Head	Age	Gender	Educational status	Degree of involvement and benefits from BSF

2. Tell us how you (the beneficiary of the BSF project) first become involved in the project? In what project activities have you been involved?
3. From your own perspective, describe the most significant changes in your and your family livelihoods brought about as a result of your involvement in the BSF project?
4. Why do you consider this change significant to you and your family? Who experienced the change most and least? (with particular reference to intra-household differences based on gender and age)
5. How much of the change can be attributed to the BSF programme itself rather than to these other external factors?
6. What other factors have contributed to the most significant changes you mentioned?
7. Would you think you could nurture the benefits from the project once BSF phased out? What needs to be done to sustain the gains?
8. Is/was your household receiving benefits from PSNP and OFSP/HABP (household package loan)? Are you public works or direct support participant? If you are not currently receiving any of these programmes what are the reasons?
9. How is BSF related to PSNP and OFSP/HABP to ensure your graduation from food insecurity (PSNP)?
10. Did your dietary habit change in the last 5 years? If yes, what was the contribution of BSF for the change? (Use of protein rich foods (meat, milk, egg), oil consumption, vegetables, fruits, legumes?) How do you explain the most significant changes on the well being of children, women and the household in general?

III. Group Interview Checklist for Woreda/ Kebele Food Security Task Force (WFSTF)

General

1. What can you tell us about the objectives of BSF? How this goes in line with the woreda development plan?
2. Could you explain for us the major project activities (components) of BFS in your woreda?
3. What strategies were used to implement each component (or major activity)? How effective were these strategies (targeting, implementation arrangement, local capacity building and community participation) in terms of improving livelihoods of the target households? How BSF approach was compatible with existing food security programmes mainly PSNP and HABP? (Please probe further on *improving food security (availability), household income (access to food), household asset building, and nutritional status of children.*)
4. How effective was the targeting strategy of each component of the project? Who benefited and who did not? Why?
5. How each of the activities (components) contributes to the improvement of livelihoods of the target households?
6. How BSF interventions are aligned with food security programmes (PSNP, OFSP, HABP) to realize the food security objective of the woreda/region/? (Please probe further in relation with graduation from PSNP?)
7. How BSF project is liked with other NGO and GO relief and development interventions. Has there been any vulnerability and risk reduction interventions in the woreda and BSF operational kebeles? How these affected (+/-) BSF outcomes and impacts.

Intermediate Objective 1: Community empowerment

1. How the project implemented community action planning (CAP) process? How this process impacted woreda development planning and implementation? What are the typical changes or improvements as a result of CAP process supported by the BSF project?

Intermediate Objective 2: Market and Enterprise Development

1. What type and how many rural micro enterprises (RME) were established or supported by BSF Project? What type of supports was provided by the Project, woreda offices (specify) and other relevant actors?
2. Who are the target group (clients) of RMEs supported by BSF Project? What were the targeting (beneficiary selection) criteria? What could have been done differently to better target poor and vulnerable group of the community?
3. What type of business activities or business support services was provided by RMEs for their clients? How efficient, adequate, timely and cost effective are these services? Do you see any missing links/ elements/ gaps in the business support provision? What is the plan by the project to fill these gaps?
4. What are the tangible impacts of the RMEs on the livelihoods of the clients? Can you tell us some outstanding success stories in improving the situation of poor and vulnerable groups targeted by RMEs? What are the key factors for such success?

5. How sustainable are the RMEs? (*Probe financial sustainability (profitability, loan repayment rate, members saving), institutional linkages and networking (extension, legal, financial), legal status, policy support, management/organization structure, auditing and accountability*).
6. What would happen to the RMEs once the BSF support halt? What preparation should be or has been made towards this? By whom?

Intermediate Objective 3: Health and Nutrition

1. What are the key health and nutrition interventions promoted with the support of BSF? Who are the beneficiaries? How wide is the coverage of interventions? Were there any excluded groups? Why?
2. What did the project contribute in promotion of sanitation, hygiene, potable water, mitigation of HIV spread, and immunization?
3. What types of strategies are used to mitigation micronutrient deficiencies (micronutrient rich foods growing and consumption, dietary habit change, use of iodized salt)?
4. What are the major nutritional interventions supported by the project? How many of the packages implemented? Activities and methods used to implement? Who are the target groups?
5. How do you see the overall benefit of the project to the target communities in terms of food security, nutritional security, dietary diversity, care and feeding practices, nutrition communication and education? What actions have been taken or planned to scale-up the lessons from the project by the Woreda?
6. Which of the interventions overlap/align with NNP? Is there a gap supplemented by the BSF program? How?
7. What would happen to BSF supported health and nutrition interventions once the project support is stopped? What preparation should be or has been made towards this? By whom?

Intermediate Objective 4: Agriculture and Natural Resources

Natural Resources

1. What are the key interventions promoted by BSF Project to rehabilitate natural resources base? What strategies were employed to implement natural resources rehabilitation interventions? What were the roles of community members/institutions, woreda offices, the Project and any other stakeholders? What is unique about BSF Project's natural resources rehabilitation interventions in terms of the how to do aspect?
2. How wide was the coverage of natural resources rehabilitation interventions? Who were the target groups?
3. What are the perceived and actual benefits of the natural resources rehabilitation interventions for the target groups? Can you tell as key success (best practices) stories about these? What actions have been taken by the woreda to scale-up the best practices? (*Probe from the perspective of improving livelihoods of the target group and future production potential created*).
4. How sustainable are the natural resources rehabilitation interventions supported by BSF Project? (*Probe institutional linkages and networking (extension, legal, financial), legal status, ownership regime, management/organization structure, policy support*).

Agriculture

1. What are the key agricultural interventions promoted by BSF Project to enhance food, nutrition and income security of the target groups? What strategies were

employed to implement agricultural interventions? What were the roles of community members/institutions, woreda offices, the Project, input suppliers and any other stakeholders? What is unique about BSF Project's agricultural interventions in terms of the how to do aspect?

2. How many households (by gender) were involved in agricultural interventions? Who were the target groups?
5. What are the perceived and actual benefits (impacts) of the agricultural interventions for the target groups? Can you tell as key success (best practices) stories about these? What actions have been taken by the woreda to scale-up the best practices? (*Probe from the perspective of improving livelihoods of the target group and future production potential created*).
3. How sustainable are the agricultural interventions supported by BSF Project? (*Probe extension support, productivity, income, input and output marketing, consumption, policy support*).

IV. Interview Checklist of Community Organization Case Study

Note: Record name, year of establishment, size of members by gender or other socioeconomic characteristics of constituents or members.

1. What are the objectives of this organization / group (cooperative, simple producers or business groups)? What are the activities performed to achieve this objectives?
2. What are the typical socioeconomic characteristics of the constituents of the organization / group? What are the roles of women in membership, labour contribution and leadership positions?
3. How and when was the organization/group formed?
4. Who had supported for the formation of the organization/ group? What was the role of BFS in the formation of the group?
5. Who has been providing supports to strengthen the organization/ group? What supports have you received in recent years from different actors? What was the role of BSF in strengthening and capacitating the organization / group to meet the service demands of the members? How these project efforts supported the organization / group to the services demands of the members or constituents/?
6. What services are being provided by the group? How effective and capable is the organization to meet the service demands of its constituent? How effectively and fairly benefits are being shared among members in general and with women in particular?
7. What are the most significant changes in the livelihood and social positions of the constituents (men and women) as a result of the supports from the organization or the group? What are they key contributions of the organization to wards the livelihood improvement on non-members?
8. What situations have helped or retained the organization /group in promoting livelihood and social position of men and women?
9. How sustainable is the organization and its benefits/services being shared among constituents?
10. What needs to be improved to meet the objectives and plans of the organization or group? Who should be responsible for what improvement area?

Annex 2: Household Survey Questionnaire

PART ONE: HOUSEHOLD QUESTIONNAIRE

/3/4u?}cw nK SÖÄp/

Instructions /SSJÁ

Note for follow up survey, a sample of both beneficiary houses and non-beneficiary households (selected from PSNP beneficiary lists in non-BSF kebeles) will be interviewed. If lists allow, the impact survey should sample from two distinct cohorts – households that entered the programme in 2003 (phase I) and households that entered the programme in 2007 (phase II).

Note: the questionnaire to follow is derived from the original questionnaire used for the BSF baseline survey 2007. For comparability, efforts are made to maintain the original questions wherever relevant and possible.

1. Before the household is interviewed, make sure that for beneficiary households, the head of the HH is in the beneficiary lists.
/3/4}ÖnT>-< nK SÖÄI 3/4T>VL" < 3/4}S[Ö" < u?}Ww BSF/FAO ýaËÿf }ÖnT>-< S'Ñw ¬eØ c=•` /" <::
2. Respondent preferably be the HH head/spouse. If this is not possible, it could be addressed to another HH member knowledgeable in the overall characteristics of the HH. }ÖÄm 3/4u?}cw >v" ^/ T" ^ SJ" >Kuf "MJ' eKu?}cu < uÄ" w 3/4T>Ä" < p SJ" Ä•` uqM::
3. The enumerators (a team of 2) will work at household level –asking the questions, filling in the questionnaire, weighing, measuring and doing the physical examination. The supervisor will control the overall field operation and data quality.

MODULE 1: IDENTIFICATION/ SKÁ

Part A: HH identification/3/4u?}cw SKÁ

		Name	Code
101	Region/íMM/		---
102	Woreda/"[Ç/		
103	Kebele/kuK?/		
104	Name of Household Head / 3/4u?}cu < yLò eU/		
105	Sex of HH head/ 3/4u?}cu < yLò eq/	1= Male "É 2= Female c?f	
106	Name of respondent/3/4}ÖÄm" < eU/		
107	Sex of respondent /3/4}ÖÄm" < eq/	1= Male "É 2= Female c?f	
108	Status of BSF FAO intervention	1= Phase I (2003-2006) beneficiary 2= Phase II (2007-2010) beneficiary 3= Non-beneficiary	

Part B: Interview Details

		Name	Signature						
109	Enumerator/ÖÄm/								
110	Date of interview (E.C) /3/4nK SÖÄp k"/	<table border="1"> <tr> <td>Day</td> <td>Month</td> <td>Year</td> </tr> <tr> <td></td> <td></td> <td></td> </tr> </table>	Day	Month	Year				
Day	Month	Year							
111	Supervisor/3/4q x J/								

MODULE 2: HOUSEHOLD ROSTER / ¼u?}cw ›vLf ````

[illegible]

	2	3	4
		Now/ today	5 years ago
301	What is the roofing material (for the main house)? ¾a"" < u? f x^ ¾}c^uf	1=Corrugated iron sheet/q`qa 2=Thatch or grass/X` ``ÄU oÖ?T/ 3=Wood and mud/`"Úf 4=Mud and stone ßn" É"ÒÃ 5=Reed and bamboo/ gUuq 6=Others (specify) K?L "K (ÄÑKê)	
302	What is the floor material (for the main house)? ¾a"" < u? f ``KM ¾}c^uf	1=Earth/b`ð`/ 2=Cow dung/ ¾Ywf Y`<uf 3=Cement /c=T> ``"/ 4=Tiles/¾YLe+; "x`ð/ 5=Bricks/Ö<w/ 6=Other (specify /K?L "K (ÄÑKê)	
303	What is the wall material (for the main house)? ¾a"" < u? f Ó`ÓÇ ¾}c^uf	1=Wood & mud/ ``Úf" ßn 2=Wood & thatch/ ``Úf" ¾oÖ?T ðe` 3=Reed & bamboo gUuq 4=Stone & mud /É"ÒÃ" ßn/ 5=Stone & cement/ É"ÒÃ" c=T> ``"/ 6=Hollow blocks/ ;ðf wKAY`f/ 7=Bricks/ Ö<w/ 8=Other (specify K?L "K ÄÑKê)	
304	No of rooms in the HH /¾iöM w³f?		-----
305	What is your main source of DRINKING WATER? ¾SÖØ ``<H u"" f Y¾f qÑ—L.G<	1=Tap inside house/¾u?f ``<eØ vD"vD 2=Tap in compound (private)¾ÖM vD"vD (uÓu= ``<eØ) 3=Tap in compound (shared)¾Ö^ vD"vD (uÓu= ``<eØ) 4=Tap outside compound (shared YÖu= ``<ß ¾Ö^ vD"vD) 5=Protected well/spring¾}Öuk Ñ<ÉÖÉ/¾ÑAKu} U"ß/Ñ<ÉÖÉ 6=Unprotected well/spring ÁM}Öuk Ñ<ÉÖÉ/ÁMÑAKu} U"ß/Ñ<ÉÖÉ 7=River, lake or pond""` & Y<_ ``ÄU NÄp 8=Other (specify) K?L "K (ÄÑKê)	
306	How long does it take you to fetch drinking water, and come back? (Record hours and minutes) ¾SÖØ ``<H ``Ä T>Ñ`uf xq KSH@É" KSSKe U" ÁIM Ñ>? ÄðÍM;	_____ hours/d`f & _____ minutes/Åmn	---:---
307	Do you pay water user fees? ``<H KTÖ-Ñ"²w ÄYöLK<;	1=Yes `-< 0=No ¾KU	
308	What kind of toilet does the household use? ¾UfÖKS<uf i"f u?f U" ,Ä'f '""<;	1=Flush toilet, private ``<H SMkmÁ ÁK``< Kw%o/¾ÖM 2=Flush toilet, shared ``<H SMkmÁ ÁK``< KÖ^ 3=Pit latrine, private Ñ<ÉÖÉ ¾ÖM 4=Pit latrine, shared Ñ<ÉÖÉ ¾Ö^ 5=Container ¾T>SÖØ Ö" 6=Field/Forests T@Ç ``ÄU Y" 7=Others(specify) K?L "K (ÄÑKê)	
309	What do you use for cooking? KUÓw TwcÁ ¾UfÖKS<uf U"É '""<;	1=Mainly collected firewood1 vw³—``< ¾}cucu ``Úf 2=Mainly purchased firewood vw³—``< ¾}Ñ³ ``Úf 3=Charcoal Y`cM 4=Kerosine Ö`/LUv 5=Buthane Gas u<qÖ` 6=Electricity `?K?;f]; 7=Leaves/dung cakes, etc. pÖM'Y`<uf" ¾SXcK<f 8=Other (specify K?L "K (ÄÑKê)	
310	Type of cooking for firewood, dung and charcoal	1=Traditional ./VL® Ñ<M%o 2=Improved to save energy./²S"® UÉÍ	

¾UÉÍ / Ñ<M%oo ~Ä'f	3=Both / G<K~"U		

MODULE 4I: HOUSEHOLD ASSETS & PRODUCTION (Part A: Asset Ownership/"w[f)

401	402	403	404	405	406	407	408
Item No	Asset	Presently					
		Does the HH own [ASSET]? u?}Wu< ~'2=l" °"ed f/"w[," }K< f? 1=Yes } 0=No ¾KU (>>next item)	How many does the HH own? Quantity u?}cu< U" ÁIM }K" <? ulØ` vG<'< "pf Y5 ~Sf uòf	Current value per piece in Birr vG<'< "pf Á"ÆªÖ	Reasons for increase or decrease in asset KSÚSVKSk'c< 3ªªª" U¡"Á," (ÆÉ w%oo)		
			6.1	6.2	6.3		
	Oxen u						
	Milk cow, local ¾"}f LV/¾}Ñ` " <eØ/						
	Milk cow, improved ¾"}f LV/¾" <ß/¾}ÇkK<						
	Sheep/goat/uÖ "ÄÜ õ¾M/						
	Chicken/poultry local Êa (¾}Ñ` " <eØ)						
	Chicken/poultry improved Êa (¾" <ß/¾}ÇkK<)						
	Horses, donkeys, mule /¾ÖT ÿwf						
	Camels/ ÖSKA						
	Traditional Beehive vIL© ¾"w kö						
	Modern Beehive ²S"© ¾"w kö /ÇKA'> ÁK" </						
	Sickle /TßÉ/						
	Axe/SØ[u=Á/						
	Pick axe/Tqð]Á/						
	Plough/T[h/						
	Wheelbarrow/v L vKÖT/						
	Sprayer/ÿ?T>"M S`ÿ/						
	Pump/uUÿ/						
	Radio/ ÊÄ/						
	Bed nets/ÑAu`/						
	Bank saving/¾v"i lÖv Áw}"/						
	MFI saving/¾TÄja óÄ""e lÖv Áw}"/						
	Private well/water reservoir/¾ÖM ¬H Ñ<ÉÑ<É/Tq]Á						
	chicken house¾Êa ~vq u?f						
	grain storage structure¾"IMÖ}^						
	sewing/knitting machine ¾Mwe eð f/¾ØMõ Sÿ="						
	Television ,K?y=i"						
	cell phone VvÄM						
	Other (specify)/K?L "K ÄÑKê						

Codes: Differences in asset ownership

- 1 = We were forced to sell the asset to buy food
- 2 = We were forced to exchange the asset for food
- 3 = We were forced to sell the asset to pay for health expenses
- 4 = We were forced to sell the asset to pay for education expenses
- 5 = We had to sell the asset to meet social obligations (e.g. wedding)
- 6 = We used the asset in a social occasion (e.g. wedding gift)
- 7 = We sold the asset for another reason (specify):

- 8 = The asset was stolen
- 9 = Livestock died or was slaughtered
- 10 = Livestock was sold as an income-generating activity
- 11 = Livestock reproduced
- 12 = We bought this asset through the support from BSF
- 13 = We bought this assets through other

programme supports

14 = Someone gave us this asset for free

15 = Other (specify): _____

MODULE 4II: PRODUCTION & HARVEST (For crop area and amounts harvested please record answer in the unit of locally measurement & change to international units. KS_f" cWM u"vu=" < ¾T>ÖkS<f" SKÿ=Á uSÖkU "Á eq"Ç`É SKÿ=Á kÃ`

1	2	3	4	5
	Productive asset/¾TU[%o Gwf	Local Unit ¾ÿvu= SKÿ=Á eU	Amount w³f uÿvu= SKÿ=Á	
409	How much land for agricultural cultivation do you OWN? KÓw`" Y^~ ¾Á³D+` < xq~ U" ÁIM ' " < ;			
410	How much land did you CULTIVATE in total during the last year? (all plots only count once, even though two harvest are possible) vKð` < U` f ²S" U" ÁIM S_f LÃ S[~			
411	How much of your land do you irrigate? U" ÁIK<" S_f uSe• ÁTK<?			

412	413	414	415	416	417	418	419
CROP	How much area? did you cultivate with [CROP] during the last year? vKð` < S f uU" ÁIM xq LÃ ²\			How much did you harvest [CROP] in total during the last year? vKð` < S f ¾}Ñ- U` f			How does this compare with your harvest of theses crops 5 years ago
	Amount w³f	Unit SKÿ=Á	Hectare H@iq`	Amount w³f	Unit SKÿ=Á	Quintal ÿ<"qM	1=Much worse u×U ¾ÿó 2=Worse SØö 3=The same K` < Ø ¾K` < U 4=Better }hiKA,M 5=much better u×U }hiKA,M
	Barley/Ñwe/						
	Wheat e"È/						
	Teff /Ö?ô/						
	Maize / uqKA						
	Sorghum / TiL/						
	Other cereals						
	Faba Beans vol						
	Field peas }`						
	Grass pea ÖÁ						
	Chick pea /i"w^/						
	Lentils Ue`						
	Others Pulses K?KA: Ø^Ø _-/						
	Linseed }Mv						
	Nueg ' < Ö						
	Sun/Saf flower c<ô						
	Oil seeds /¾pvf □ IKA/						
	Potato/É`						
	Root crops /e^ea/						
	Onion kÃ i"ÿ<` f						
	Garlic /'ß i"ÿ<` f						
	Carrot "af						
	Cabbage / ÖS"						
	Other vegetables K?KA: "K<						
	fruit (specify) ô^ô (ÃÑKê)						
	animal forage/feed ¾~"ed f S•						
	Other, specify						
	Other, specify						
	Mil k ``}f				uK = f`		
	Eggs ~"ILM				ulØ`		
	Honey/T`				uÿ=KA		

MODULE 4III: Non-Farm Incomes /ሃዕው`" " <። ¾J' < K?KA፣ ¾Ñu = U"à፣

What is your main income/ ሃዕው`" " <። ¾J' < K?KA፣ a" a" ¾Ñu = U"à፣ U"É"†" <?

420		421	422
Sr.No }.l.	Source of income (see code below) ¾Ñu = U"።	Birr per month ¾" ` Ñu = (uw`)	Annual (last 12 months) Birr ¾`Sf Ñu = (uw`)
1	Trade "ÖÉ		
2	Quarrying É"ÖÄ/ga ¾SdcK < f" ,` Ø,, SgØ		
3	Tailor ¾Mwe eôf		
4	Maintenance/mechanic ¾ØÑ"/S"" > i Y^		
5	Carpentry ¾,"Ö = 'f Y^		
6	Knitting g < ^w/ØMô Y^		
7	Weaving/ ¾iS" Y^		
8	Other crafts (Potter, metal works, leather works, etc.) K?KA፣ ¾° Å Øuw (ijL/pØp×/¾qÇ) Y^~፣		
9	Temporary wage labour Ñ > ²?Á© ¾Ñ < Mu f Y^		
10	Making/selling local drinks ,[o/ÖL T" < × f" SgØ		
11	Permanent employee sT > ÅS" ´/pØ` Y^		
12	Selling food UÓw T²ÖÉf" SgØ		
13	Others, Specify K?L ÄÑKê		
14	Others, Specify K?L ÄÑKê		
15	Others, Specify K?L ÄÑKê		

MODULE 4IV: Use of technological inputs and good practices this year / ¾,¡•KAÍ= Óvf"
SM"U }Vja-›ÖnkU (Multiple answers are possible)

1	2			3
No	Input /Ów„/	Types and amount of inputs used uØpU LÃ ¾ªK < ¯Ã„/´ ¯Ã-/	1= Yes 0= No	Answers Me
423	Fertilizer /TÇu]Á/		1= Yes 0= No	
424	Improved seeds /U`Ø²`/		1= Yes 0= No	
425	Have you cultivated/grown any new crops in the last 5 years?	1. Cereals, Specify	1= Yes 0= No	
		2. Cereals, Specify		
		3. Potato		
		4. Other vegetables		
		5. Fruits		
		6. Pulses, Specify		
		7. Oil crops, specify		
426	Improved forage and fodder species introduced in the last 5 years??		1= Yes 0= No	
427	Improved livestock / ¾}hhK < " ¾}ÇkK < ~"edf/	1. Dairy cow ¾" }f LV	1= Yes 0= No	
		2. Poultry Ēa		
		3. Sheep uŌ		
		4. Goat ō¾M		
428	Pesticide & herbicide }vÃ/[U TØðÁ	1. Any chemical pesticide i[-}vÃ	1= Yes 0= No	
		2. Any chemical herbicides i[-[U		
		3. Integrated pesticide management ¾}k"Ē ¾}vÃ SŸLŸÁ (ÃÑKē)		
429	Improved tools/¾}hhK < SX]Á-	1. Motorized irrigation pump uV}´ ¾T>W^ ¾" < H ũUý	1= Yes 0= No	
		2. Pedal pump u"Ī/Ó´ ¾T>W^ ¾" < H ũUý		
		3. Drip Irrigation ¾Öwq Se•		
		4. Improved plough share ¾}hhK T[h		
		5. Chemical sprayer for crop ¾i[-}vÃ SĒG'> f S`Ÿ		
		6. Chemical sprayer for livestock		
		7. Milk Processing		
		8. Honey Processing		
		9. Improved thrasher		
		10. Other, specify		
430	Which of the following do you practice on your private land?	1. Physical Soil and water conservation structures ¾,ð`" ¨ < H Øun/ ¾^`Ÿ" Y^	1= Yes 0= No	
		2. Biological Soil and water conservation structures ¾,ð`" ¨ < H Øun/ d` SfŸM		
		3. Gully stabilization x[x`" SŸLŸM		
		4. Water harvesting ¨ < H Tq`		
		5. Zero grazing Ÿw„" ›ea SkKw		
		6. Other promoted by BSF		
431	Which of the following do you practice on communal land?	1. Physical Soil and water conservation structures ¾,ð`" ¨ < H Øun/ ¾^`Ÿ" Y^	1= Yes 0= No	
		2. Biological Soil and water conservation structures ¾,ð`" ¨ < H Øun/ d` SfŸM		
		3. Gully stabilization x[x`" SŸLŸM		
		4. Water harvesting ¨ < H Tq`		
		5. Area Closure		
		6. Other promoted by BSF?		

MODULE 5: Household Food Security ቃላት ለጥያቄው ጥቅም

1	2	3
		SMe
501	In general, how do you think that the current food situation in <u>your kebele</u> compared with five years ago? ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው? ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው? ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው?	1=Improved ምላሽ 2=Stayed the same ምላሽ 3=Worsened ምላሽ
502	In general, how do you think that <u>your current household</u> food situation compared with five years ago? ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው? ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው? ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው?	1=Improved ምላሽ 2=Stayed the same ምላሽ 3=Worsened ምላሽ
503	If IMPROVED, what do you think is the reasons for this change? (Multiple responses are possible) ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው? ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው? ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው?	Select all that apply 1. Favorable climate ምላሽ 2. Availability of improved in agricultural inputs (seeds, tools, irrigation equipment, oxen) ምላሽ 3. Involved in business (trade, knitting, agricultural processing, etc.) ምላሽ 4. Used Improved agricultural practices (integrated pest management, row planting/spacing, soil and water conservation, etc.) ምላሽ 5. Reduction of post-harvest losses ምላሽ 6. Intensified own effort ምላሽ 7. Improved Infrastructure ምላሽ 8. Other: Specify _____
504	If DETERIORATED, what do you think is the reasons for this change? ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው? ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው? ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው?	Select all that apply 1. Unfavorable climate ምላሽ 2. Lack or shortage of production improvement inputs ምላሽ 3. Own poor managing capacity ምላሽ 4. Others: Specify _____
505	Does your household have sufficient food all your round? ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው?	0= No ምላሽ 1= Yes ምላሽ
506	If no, in which months does your household not have sufficient food in the last 12 months? ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው? ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው? ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው?	1. August 2010 ምላሽ 2. July 2010 ምላሽ 3. June 2010 ምላሽ 4. May 2010 ምላሽ 5. April 2010 ምላሽ 6. March 2010 ምላሽ 7. February 2010 ምላሽ 8. January 2010 ምላሽ 9. December 2009 ምላሽ 10. November 2009 ምላሽ 11. October 2009 ምላሽ 12. September 2009 ምላሽ
507	What are the major problems encountered during farm operation? ሠላም ለሀገሪቱ ምን ዓይነት ለውጥ አለው?	Possible Answers ምላሽ Last 12 months ምላሽ Five years ago ምላሽ 1. Shortage of oxen ምላሽ 2. Shortage of Rain ምላሽ 3. Insects, Pests and Weeds ምላሽ

	(Ÿ, "É uLÃ SMe Ã%oLM)	4. Shortage of Seed ¾²` ^Ø[f		
		5. Shortage of Fertilizer ¾TÇu]Ã ^Ø[f		
		6. Shortage of Labor ¾Ñ<Muf W^}— ^Ø[f		
		7. Low price of Produce ¾ªÖ S` < Åp		
		8. Absence of Feed for Oxen ¾u _ S• ^Ø[f		
		9. Others: Specify K?L ÃÑKê		
508	Which of the following can you say was true for your household at any point in time during the last 12 months (these are things the HH wish it would not have had to do) vKñ f 12 ``^fÿ²=l uq, Ÿ}²²\ f ``e- ``ÃU u?}cw-" ¾T>SKŸq+`` < ¾f™‡ "†`` <;	1. sold productive assets, tools		
		2. consume seed stock		
		3. ate food normally we do not eat (wild food)		
		4. sought daily work outside farm		
		5. migrated to find work		
		6. borrowed cash or grain		
		7. ate fewer meals per day		
		8. reduced quantity of food per meal		
		9. sold cultural items		
		10. sold animals		
		11. sold household effects (utensils, etc)		
		12. sold firewood		
		13. made and sold of charcoal		
		14. rented out land		
		15. withdrew children from school		
		16. distressed migration		

MODULE 6: PROGRAM PARTICIPATION

A. Credit

1	2	3
Q.ID	Question Items	Response Options
601	Has your household received support from SF/FAO? u?cw- ŸBSF/FAO ÉÒð ›Ñ~ ~M;	0= No ›LÑ-U (If no, questions relating to BSF program will be skipped) 1= Yes ›Ñ~ ~M
	Did you or a member of your household receive any training from the BSF project? ^e- ``ÄU ¾w}cw- ›vM uBSF/FAO ýaËif YMÖ" ``eÄªM;	0= No ¾KU 1= Yes ›-
602	Did you or a member of your household receive CREDIT from the BSF project? ^e- ``ÄU ¾w}cw- ›vM ŸBSF/FAO ýaËif wÉ` ``eÄªM;	0= No ¾KU 1= Yes ›-
603	Have you already repaid some of the credit? ¾wÉ` ¾} ``c' SÖ" ŸöKªM;	0= No ¾KU 1= Yes ›-
	How much percentage has been repaid in total? (in birr) vÖnLÄ U" ÁIK < " ŸöKªM;	-----%
604	Have you received credit from any other sources over the last 5 years? vKñf 5` Sqf (Ÿ¾f—` < U U"ß) wÉ` ›Ñ~} `` < Ä` < nK <;	0= No ¾KU 1= Yes ›-
605	What were the sources of credit? (Multiple answers are possible) wÉ` ÄÑ- < f Ÿ¾f '`` <; (Ÿ`É uLÄ SMe Ä%LM)	1.Bank /v"/ 2.Credit association /¾lÖv Tlu`/ 3.Private lender /¾ÖM ›uÇ/ 4.Neighbour/Friend /ÑA[u?f/ÖÄ—/ 5.Cooperative /Tlu^f/ 6.NGO/CBO /S"ÖYq© ÁMJ' < É`İ„/ 7.Micro-finance institution /Ønp" ¾Ñ"²w }sTf/ 8.Other (specify) K?L "K ÄÑKê

B. Cash/Food Assistance

606	Has any household member participated in PUBLIC WORKS FOR CASH/FOOD in the last 6 month? Ÿu?Wu < `` < eØ vKñf 6 ``^f `` < eØ Ñ"²w/`IM uT > ÄeÑ` I`v© Y^ LÄ ¾}d}ð ›K;	0= No ¾KU 1= Yes ›-
607	Has the HH received free cash or food over the last 6 month? u?Wu < vKñf 6 ``^f 'í ¾Ñ"²w ``ÄU ¾UÓw ``Çq ›Ö`...M?	0= No ¾KU 1= Yes ›-
608	What other programs are you or members of your household participating in? (Multiple answers are possible) ^e- ``ÄU ¾w}cw- ›vM ŸK?KA` ýaËi„` ÉÒð ›Ñ~}ªM; (Ÿ`É uLÄ SMe Ä%LM)	1. Safety Net Program 2. Household Credit Package (through cooperatives or MFIs) 3. EOS Program – Enhanced Outreach Strategy 4. CBN Program – Community based nutrition 5. Not participating in any other program 6.Others, Specify

C. Public Service Benefits

609	Have you benefited from veterinary services this year? ¾"edf I;U" ›ÑMÓKAf }ÖnT > '-f?	0= No ¾KU 1= Yes ›-
610	How do the services compare with 5 years ago? ¾"edf I;U" ›ÑMÓKA ~ Ÿ5 `Sf uðf Ÿ'u[" < Ö` c='ñ` U" ÄSeLM?	1=Much worse u×U ¾Ÿö 2=Worse SÖö 3=The same K`` < Ø ¾K`` < U 4=Better }hiKAªM 5=much better u×U }hiKAªM
611	Have you benefited from gricultural extension services this year? ¾Ów` " ›;e,"i" ›ÑMÓKAf }ÖnT > '-f?	0= No ¾KU 1= Yes ›-
612	How do the services compare with 5 years ago?	1=Much worse u×U ¾Ÿö 2=Worse SÖö

	34Ów`" »?je,"i" »ÑMÓKA ~ Ý5 `Sf uòf Ý'u[" < Ò` c='ñ` U" ÃSeLM?	3=The same K` < Ø ¾K` < U 4=Better }hiKA,M 5=much better u x U }hiKA,M	
613	Have you benefited from health services this year? ¾Ö?" »?je,"i" »ÑMÓKA f }ÖnT> '-f?	0= No ¾KU 1= Yes »-	
614	How do the services compare with 5 years ago? ¾Ö?" »?je,"i" »ÑMÓKA ~ Ý5 `Sf uòf Ý'u[" < Ò` c='ñ` U" ÃSeLM?	1=Much worse u x U ¾Ýó 2=Worse SØö 3=The same K` < Ø ¾K` < U 4=Better }hiKA,M 5=much better u x U }hiKA,M	

MODULE 7 : Self-Assessment of Wellbeing ¾%S GMg¥

D. SELF-ASSESSMENT

How would you describe the situation of your household now?

Choose the category in column 31 that best fits the respondents' answers. Then say, 'So would you agree that at this time your household is (read category description)?' If they do not agree, discuss further and identify the category they agree with. When they agree circle the corresponding code for 'Now'.

Then ask: At the same time (same month) last year, was your household situation better, the same, or worse? Repeat the questions if necessary, read the category that best fits the respondents' description of their situation a year ago, and when they agree circle the code under 'The same time last year'.

Repeat for '2 years ago', '4-5 years ago', and '10 years ago'.

Self-Assessment Categories	How would you describe the situation of your household ?				
	Now (2008) (circle one)	This month last year (2007) (circle one)	This month 2 years ago (2006) (circle one)	About 4-5 years ago (2003–04) (circle one)	About 10 years ago (1998) (circle one)
(31)	(32)	(33)	(34)	(35)	(36)
Household was not yet formed at that time		0	0	0	0
DOING WELL Able to meet household needs by your own efforts, and <u>making some extra</u> for saving and investment (e.g. buying livestock or improving housing)	1	1	1	1	1
DOING JUST OKAY Able to meet household needs, but with <u>nothing extra</u> to save or invest	2	2	2	2	2
STRUGGLING Managing to meet household needs, but only by <u>depleting productive assets</u> and / or sometimes receiving support from community or government	3	3	3	3	3
UNABLE TO MEET HOUSEHOLD NEEDS Highly <u>dependent on support</u> from community or government	4	4	4	4	4

MODULE 7: Section I: Self-assessment of wellbeing

How would you describe the situation of your household now?

Choose the category in column 701 that best fits the respondents' answers. Then say, 'So would you agree that at this time

your household is (read category description)?' If they do not agree, discuss further and identify the category they agree with. When they agree circle the corresponding code for 'Now'.

Then ask: At the same time (same month) last year, was your household situation better, the same, or

worse? Repeat the questions if necessary, read the category that best fits the respondents' description of their situation a year ago, and when they agree circle the code under 'The same time last year'. Repeat for '2 years ago', '4-5 years ago', and '10 years ago'.

701	702	703	704	705	706
Self-Assessment Categories	How would you describe the situation of your household ?				
	Now (2010) (circle one)	This month last year (2009) (circle one)	This month 2 years ago (2008) (circle one)	About 4-5 years ago (2005–06) (circle one)	About 10 years ago (2000) (circle one)
1. Household was not yet formed at that time		0	0	0	0
2. DOING WELL Able to meet household needs by your own efforts, and making some extra for saving and investment (e.g. buying livestock or improving housing)	1	1	1	1	1
3. DOING JUST OKAY Able to meet household needs, but with <u>nothing</u> extra to save or invest	2	2	2	2	2
4. STRUGGLING Managing to meet household needs, but only by <u>depleting productive assets</u> and / or sometimes receiving support from community or government	3	3	3	3	3
5. UNABLE TO MEET HOUSEHOLD NEEDS Highly <u>dependent on support</u> from community or government	4	4	4	4	4

MODULE 8: CHILD HEALTH DATA (for all Children below 59 months/የ5 ፕረባሪ ዓመታት ውስጥ)

If the respondent is not the mother, ensure that the respondent knows the breastfeeding practices between birth and now / ለሕፃናት ምሽግ ሁኔታ መግለጽ የሚችል ማህተም ይሆናል፡፡

Ask all questions in this module for the youngest and oldest children in the age range of 0-59 months.

1	2	3	4
		Youngest child የሕፃናት ሕፃን Age = ... month	Oldest child የሕፃናት ሕፃን Age = ...month
801	Name/YU/		
802	ID-number (check with module 2) /SKÁ/	RESPONSE OPTIONS/አገልግሎት	
803	Where was [NAME] born? ጠፍቶ የሕፃናት ሕፃን የወለደበት ቦታ?	1=At home-assisted with Traditional birth attendant /ሕፃናት ሕፃን ለመወለድ በቤት ተሳታፊ የሆነ ሰው/	
		2=At home-assisted with Health Professional /ሕፃናት ሕፃን ለመወለድ በቤት የሚሰጥ ሕክምና ሰው/	
		3=Health post /ሕክምና ቤት/	
		4=Health center /ሕክምና ማዕከል/	
		5=Public hospital /የሕዝብ ሆስፒታል/	
		6=Private clinic /ፍቅሬታ ማዕከል/	
		7=Other place (specify)-----	
804	Does [NAME] have a VACCINATION CARD /? (Ask to see it) ጠፍቶ የሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ አለው?	1=Yes/-"/ 0=No /አይደለም/	
		2=Vaccinated, card not found/የሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ አልተገኘም/	
		9=Don't know/ሌላውን አይደለም/	
805	How many times in the last 6 months has the child's weight or height been recorded on the growth card? የሕፃናት ሕፃን ለመወለድ በሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ?		
806	Observe BCG scar on the upper arm. Does the scar exist? /ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ? ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ?	1=Yes/-"/ 0=No /አይደለም/	
807	Has [NAME] received deworming medicine in last 6 months? /ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ? የሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ?	1=Yes/-"/ 0=No /አይደለም/	
		9=Don't know/ሌላውን አይደለም/	
808	Has [NAME] received VITAMIN A in the last 6 months? (Show capsule) /ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ? ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ?	1=Yes/-"/ 0=No /አይደለም/	
		9=Don't know/ሌላውን አይደለም/	
809	Has [NAME] been sick in the last 2 weeks? /ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ? ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ?	1=Yes/-"/ 0=No /አይደለም/	
810	Did [NAME] have [ILLNESS]? /ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ? ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ?	1=Yes/-"/ 0=No /አይደለም/	
	Ask all questions for one illness, then for the next illness/ ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ?	10a Diarrhea / ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ?	
		10b Malaria / ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ?	
		10c Cold/ Pneumonia / ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ?	
811	During the illness, the [NAME] breastfed how often? ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ?	1=Less / ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ? 2=Same / ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ? 3=More / ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ? 4=Isn't breastfed / ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ? 9=Don't remember/ ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ?	
812	During the illness, was [NAME] offered less, about the same, or more than usual to drink? ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ?	1=Less / ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ? 2=Same / ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ? 3=More / ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ? 4=Isn't breastfed / ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ? 9=Don't remember/ ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ?	

MODULE 9: NUTRITION PRACTICE / ሕፃናት ሕፃን ለመወለድ የሚያገለግል ሰነድ ስንት ጊዜ ተሰጠ?

↳ SÒÑw MUÉ (For all children 6- 59 months) /Y6-59 ... LK < f MD: ¾T > Ö¾p

Part II: ANTHROPOMETRIC DATA

Record the average of 3 measurements/

B) Mothers Anthropometric Data / Except pregnant mother /

Record the average of 3 measurements / $\langle f \rangle = \frac{1}{N} \sum_{i=1}^N f_i$ /

Module 10: HOUSEHOLD Dietary DIVERSITY SCORE (HDDS)/ የቤተሰብ የአመጋገብ ግምገማ

Part A) 24 hr and 7-day diet Recall /የ 24ና የ 7 ቀን የምግብ ትወስኦ/

(Ask mother; Recalling may start from the current time & then back for the last 24 h)/ ይኸንን ጥያቄ የምትሰጥቀው እማራ ወይም የቤተሰቡን ምግብ ዝግጅት የሚወክል መሆን አለባት፡ ለትወክላችሁ እንደሚችሉ አሁን ካለችበት ሰዓት ወደ ኃላ መገዛቱ ይቀላል፡፡

Now I would like to ask you about the types of foods that you or anyone else in your household ate specifically the last 24 hour and during the last week. Please, tell me by accurately recalling/ አሁን የምትገኝበት የቤተሰቡ አባል ባለፉት 24 ሰዓት ወክላችሁ ባለፉት 7 ቀናት ወክላችሁ የተመጣ በትን ምግብ ዓይነትና ስንት ጊዜ እንደተመጣ ቡ እንድትነግርኝ ነው፡፡ በደንብ አስታወሽኝ ንገራኝ፡፡

Ask the two columns separately. For 24 hr recall try to ask what was eaten at each meal time and list them on the left side of the table and sort them based on the food groups. /ሁለቱንም ጥያቄዎች ለየብቻ ጠይቅ፡፡ የ24 ሰዓቱን ስትጠይቅ በእያንዳንዱ የምግብ ሰዓት የተመጣ በትን በጥያቄው በሰተጣራ አስፍርና እንደየምግቡ ምድብ ለያቸው
Column 3: Read the list of foods. Place a “1” in the box if anyone in the household ate the food in question; or place a “0” in the box if no one in the household ate the food./ለዚህ ረድፍ ለተመጣ በት ምግብ “1”ን ላልተመጣ በት ምግብ ደግሞ “0”ን በተሰጠው ቦታ ላይ ያፍ፡፡

Column 4: Read the list of foods and write number of times the food is eaten by the household in the last 7 days. ባለፉት 7 ቀናት ወክላችሁ መጀመሪያ የተመጣ በትን ቀጥሎም ስንት ጊዜ እንደተመጣ በት በመገዛቱ በተሰጠው ቦታ ያፍ፡፡

1	2		3	4
Sr.N o. }.l.	FOOD / ¾UÓw -Ä'f	Description/መግለጫ	During the last day and night/ባለፉት 24 ሰዓት ወክላችሁ (0 or 1)	Number of times in the last week/ ባለፉት 7 ቀናት ወክላችሁ (0 - 7)
100 1	CEREALS/የአገዳ እህሎች	Teff, corn/maize, rice, barley, oats, wheat, sorghum, finger millet or any other grains or foods made from these (e.g. Ambasha, injera, bread, biscuits, noodles, “Qitta”, porridge, “Atimit” or other grain products)		
100 2	VITAMIN A RICH VEGETABLES AND TUBERS /በቫይታሚን ኤ የበለፀጉ አትክልቶችና ሥራሥሮች	Pumpkin, carrots, squash, or yellow/orange flesh sweet potatoes or other locally available vitamin-A rich vegetables (e.g. red sweet pepper)		
100 3	WHITE TUBERS AND ROOTS/ ነጣ ያሉ ሥራሥሮች	White potatoes, white yams, white cassava, or other foods made from roots		
100 4	DARK GREEN LEAFY VEGETABLES/ በቆር ያለ አረንጓዴ ቅጠል ያላቸው አትክልቶች	Dark green/leafy vegetables, including wild ones + locally available vitamin-A rich leaves such as amaranth, Cassava leaves, Kale, Spinach etc.		
100 5	OTHER VEGETABLES ሌሎች አትክልቶች	other vegetables (e.g. tomato, onion, eggplant) , including wild vegetables		
100 6	VITAMIN A RICH FRUITS /በቫይታሚን ኤ የበለፀጉ ፍራፍሬዎች	Ripe mangoes, cantaloupe, apricots (fresh or dried), Ripe papaya, dried peaches + other locally available vitamin A-rich fruits		
100 7	OTHER FRUITS ሌሎች ፍራፍሬዎች	other fruits, including wild fruits (e.g., Qulqual),		
100 8	ORGAN MEAT /(IRON RICH)/ በብረት ሜድን በለፀጉ የሆድ ዕቃዎች	Liver, Kidney, Heart or other organ meats or blood-based foods (e.g., “Dulet”)		
100 9	FLESH MEATS /ሥጋ	beef, pork, lamb, goat, wild game, chicken, “koke, zhigra”, or other birds		
101 0	EGGS/ዕንቁላል	chicken, duck, guinea hen or any other egg		
101 1	FISH/አሣ	fresh or dried fish or shellfish		
101 2	LEGUMES, NUTS AND SEEDS/ ጥራጥሬዎች	beans, peas, lentils, nuts, seeds or foods made from these (“Shiro”)		
101 3	MILK AND MILK PRODUCTS/ወተትና የወተት ወጠቶች	Milk, cheese, yogurt or other milk products		
101	OILS AND FATS	oil, fats or butter added to food or used for		

4	ዘይትና ቅባት ያላቸው ምግቦች	cooking, oil seeds and foods made from oil seeds e.g “suf fitfit” –traditional food from safflower /sun flower		
1015	RED PALM PRODUCTS ከቀይ ተምር የተዘጋጁ ምግቦች	red palm oil, palm nut or palm nut pulp sauce		
1016	SWEETS/ ጣፋጮች	sugar, honey, sweetened soda or sugary foods such as chocolates, candies, cookies and cakes		
1017	SPICES, CONDIMENTS, BEVERAGES/ ቅመሞቻቸውም በናና ሻይ	spices(black pepper, salt), condiments (soy sauce, hot sauce), coffee, tea,		
1018	Meal outside home/ ወጭ ስለመጣ ብ	Did you or anyone in your household eat anything (meal or snack) outside of the home yesterday? ትናንት ከቤተሰቡ ከቤት ወጭ የተመጣ በ ሰው አለ?		-

			Now/ today	5 years ago
1019	Do you use Iodized salt? ላይድድ ሳልገለጽ ሳለገለጽ ሳለገለጽ ሳለገለጽ;	0= No ጥቅም 1= Yes ሳለገለጽ 9=I don't know ሳለገለጽ ሳለገለጽ		
1020	Do you use any preventive method for HIV/AIDS & other venereal disease? HIV/AIDS “ K?KA፣ ሳለገለጽ ሳለገለጽ ሳለገለጽ ሳለገለጽ;	0= No ጥቅም 1= Yes ሳለገለጽ		

ANNEX 9:

Independent Assessment of FAO Emergency Livestock Interventions in Ethiopia: The Use LEGS as a Framework of Good Practice

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Acronyms

AFD	Action for Development
AHA	Animal Health Assistant
CAHW	Community Animal Health Worker
CBPP	Contagious Bovine Pleuro Pneumonia
CCPP	contagious Caprine Pleuro Pneumonia
CF	Contingency Fund
CP	Contingency Plan
Ella	Traditional Deep Well
Et cal	Ethiopian Calendar
FAO	Food and Agriculture Organization (Ethiopia)
HHs	House Holds
Kebele	The lowest Administrative Unit
Konfi	Owners of the Ella
LoA	Letter of Agreement
LEGS	Livestock Emergency Guidelines and Standards
NGO	Non Governmental Organization
PAandRDB	Pastoral Agriculture and Rural Development Bureau (Region level)
PAandRDO	Pastoral Agricultural and Rural Development Office (woreda level)
PSNP	Productive Safety Net Programme
SORDU	Southern Rangeland Development Project
TVET	Technical Vocational Education Training
Woreda	District
W-PDO	Woreda Pastoral Development Office

Community perception on the effect of drought

"The negative effect of drought on an individual is deeply felt when you migrate for long distance of about 150 Kms away from your family and village. At that critical and stressful time while you strive and put all your efforts in search of pasture and water to save your livestock you will have little time to think about your families back home".

Focused group discussion members, Dire woreda, Borena zone:

"At times of severe drought most able family members will move out of their village to save their lives and livestock while no one will remain behind to attend funeral ceremony and bury the dead ones".

Elder from Gewane woreda, Afar region:

Summary

The development of the livestock emergency guidelines and standards (LEGS) which is a companion document linked to the SPHERE Standard has involved the participation of key organizations and was launched in 2009. The LEGS as tool is expected to improve the design, quality and impact of livestock emergency interventions.

FAO as member of the Steering Group played important roles in the design and implementation of LEGS. As co-chair of the agriculture cluster in Ethiopia it has facilitated coordination amongst humanitarian agencies, supported the Livestock Working Group and has participated in the Livestock Policy Forum. It has also channeled financial resources to several emergency livestock operations in pastoral/agro-pastoral areas of Somali, Afar and Oromia Regions.

The objective of this assessment is to evaluate the effectiveness and outcomes, and impacts if feasible, of FAO's work in support of emergency livestock responses in Amibara, Chifra and Gewane woredas of Afar region and Borena zone of Oromia region. The evaluation focuses on livestock feed, animal health and provision of water interventions.

In undertaking this evaluation both secondary and primary data sources have been employed. Primary data sources focused on participatory group discussion with pastoral community representatives in the study woredas and kebeles as well as target household beneficiaries using measurement indicators for common and minimum standards for each of the three interventions.

The measurement indicators used for the 8 common standards are **participation, initial assessment, response and coordination, targeting, monitoring, evaluation and livelihoods impact**, technical support and agency competencies, preparedness and advocacy and policy.

Findings from the assessment indicated that participation and initial assessments were mainly carried out by community representatives with little outside support. Response and coordination was facilitated by woreda and zone administration and pastoral development offices. FAO has contributed in the assessment, response and coordination process. However, implementation of response interventions was delayed by 3-4 months. Selection of activities and livestock types for the response has been done in participatory manner. Monitoring of activities was done by assigned technical staff from woreda and zone government offices with support from FAO field and Addis office.

Major benefits from the interventions included awareness creation, knowledge and skills acquired from the improved feeding and water rehabilitation works. The interventions with technical support from the relevant government offices and FAO have enabled community members to consider preparedness activities. Though FAO is one of the lead and capable institutions, no advocacy and policy work has been done as regards to the emergency interventions.

The 3 minimum Standards used for the evaluation are **livestock supplementary feed, rehabilitation of water points** and **animal health interventions**. The supplementary feed interventions focused on provision of multi-nutrient blocks (MNB) and baled hay in Afar and concentrate feed mix and baled hay in Borena.

Technical and logistics support from the woreda offices, technical and financial support from FAO field and Addis office have enabled the intervention to be more appropriate and beneficial. Target beneficiaries' involvement and participation and technical support and training from technical offices and FAO have enabled community to benefit from the supplementary feed intervention.

Provision of water is in the form of rehabilitation of traditional wells "ellas" in Borena and construction of new large size ponds in Afar. Participation and involvement of community members and target beneficiaries in Borena was high and very low in Afar. The support provided from technical government offices in Borena was highly appreciated and motivated community members from the adjacent kebeles to take proactive initiative in their respective kebeles. On the other hand, the big size ponds in Amibara and Gewane were constructed using heavy duty machineries with very little involvement from the community. This has resulted in very limited community participation. Besides, high seepage and evapo-transpiration has made water availability very minimal in the ponds.

The third intervention which is on animal health focused on vaccination for CBPP, CCPP and treatment for internal and external parasites. In Borena with the exception of shortage of CCPP vaccine the support from FAO has enabled CAHWs and private drug shop owners to work in harmony. In addition, allocation of fund for purchase of veterinary drugs by the Oromia pastoral development commission (OPDC) on revolving basis has encouraged CAHWs and private drug shop owners to work in close collaboration besides minimizing the shortage of drugs.

In Afar, the treatment of internal and external parasites was not properly implemented. The link between the cooperative drug shops and CAHWs both in Amibara and Gewane is weak. The only involvement of CAHWs was during vaccination for which they were paid per diem to provide the service. Currently, FAO's contribution to sort this problem is minimal and plan is underway for more engagement of CAHWs in animal health service delivery.

In the assessment process both important lessons that can positively contribute and lessons that were considered as challenges are extracted. In addition, with the aim of making best use of LEGS as drought preparedness tool/standard important issues worth of considering are highlighted in the text for future improvement.

1. Introduction

The Ethiopia Country Evaluation aims at improving the relevance and performance of FAO interventions, providing accountability and deriving lessons for better formulation and implementation in the future. The evaluation will focus on all interventions undertaken by FAO in Ethiopia over the period 2005-2010. Prominent within FAO's emergency response programme has been interventions addressing the particular needs of populations in the mainly pastoralist regions of Afar, Somali and Oromia, in which livestock play crucial livelihoods roles; 16 projects have had livestock themes, totaling approximately US\$ 10 million and accounting for about 15% of FAO's budgetary allocations to Ethiopia.

2. Background

The LEGS with the aim of improving the design, quality and impact of livestock interventions and its application as a tool for assessing adherence to the guidelines took over 5 years and was launched in 2009. The development of the livestock emergency guidelines and standards (LEGS) is linked to the Sphere project and the Humanitarian Charter and Minimum Standards in Disaster Response (the Sphere handbook) involved high level of participation by a number of organizations.

As member of the Steering Group, FAO played important role in the design and implementation of LEGS. FAO is also co-chair of the agriculture cluster in Ethiopia, facilitated and coordinated information sharing and planning amongst humanitarian agencies. It has supported the Livestock Working Group, has participated in the Livestock Policy Forum and channeled financial resources to several emergency livestock operations in pastoral/agro-pastoral areas of Somali, Afar and Oromia Regions.

Therefore, this specific study focused on assessing the extent to which LEGS has been incorporated in the following livestock-based emergency projects namely,

OSRO/ETH/909/NOR in Amibara, Chifra and Gewane woredas of Afar region,
OSRO/ETH/803/CHA in Dire woreda, Borena zone of Oromia region and
OSRO/ETH/804/EC in Dire woreda, Borena zone of Oromia region.

Selection of the project interventions by FAO and its partners from needs assessment to implementation phases focused on livestock feed, animal health and provision of water.

3. Objective

The general objective of this assessment is to evaluate the effectiveness and outcomes, and impacts if feasible, of FAO's work in support of emergency livestock responses in Ethiopia, using selected projects in the Afar and Oromia (Borena zone) Regions. The assessment specifically focused on ascertaining adherence to LEGS principles, practical applicability, impact on livestock

and livelihoods as well as drawing lessons for future improvement of LEGS to FAO and its partners

4. Methodology

In undertaking the evaluation both secondary and primary data sources have been employed (refer to Annex 3 for detail methodology).

4.1 Secondary data sources:

These included reference materials in the form of proposals, progress/ review/ evaluation reports, letter of agreements (LoA) and correspondences between partners/stakeholders.

4.2 Sources for the primary data included the following:

Two representative focus groups for each intervention type in animal health, Supplementary feed and water point rehabilitation in Amibara, Chifra and Gewane woredas of Afar region and Dire woreda of Borena zone, Oromia region of Ethiopia.

Both narrative and participatory techniques were used to obtain key information from woreda and zonal level partner agencies as well as focus groups in Amibara and Gewane woredas of Afar region, Dire woreda of Borena zone and FAO staff in Addis and the field.

5. Common Standards as applied to the FAO funded drought emergency interventions

5.1 Participation:

In the project intervention Kebeles of Dire woreda in Borena zone and Amibara and Gewane woreda of Afar region community members through the respective Kebele administration, elders, CAHWs and woreda veterinary personnel (for animal health interventions) have actively participated in supplementary feeding, animal health and rehabilitation of water points. According to community representatives there was little participation in pond construction in Andido kebele of Amibara woreda. Community members in Dire woreda in their Sunday regular meetings (no regular meetings in Amibara and Gewane) chaired by the respective kebele administrators have actively participated in analyzing the magnitude of the drought vis-a-vis, kebeles and community groups most affected; community coping mechanisms; government support and types of activities and resource required to respond to the drought. In Amibara and Gewane woredas of Afar region, community members organized by the respective kebele traditional elders met and discussed on the impact of the drought and on the types of drought response interventions that could be taken by the communities and woreda government administration. Compared with Dire woreda, the level of participation by communities in

Amibara and Gewane woredas was limited due to the little support from woreda administration and FAO. However, ideas proposed by community representatives were incorporated during the assessment phase.

The existing traditional system in Dire woreda has enabled good participation of women, youth and the disabled through their representatives. Vulnerable and affected HHS participated by reporting on the effect of drought that affected their livestock and livelihoods. Target HH beneficiaries have participated by providing ideas about construction of shelter for (centrally located feeding), feeding and watering breeding cows/ heifers. Using indigenous knowledge and skills, representative of community members in Dire woreda have participated in the design and site selection of pond and traditional wells (ellas) rehabilitation.

CAHWs in Dire woreda actively participated in assessing animal health risks, targeting HHs and livestock for vaccination and treatment of animals for internal and external parasites. However, in both pond construction and animal health intervention participation of community members and CAHWS in Amibara and Gewane was very limited. In general terms level of participation of communities in Dire woreda is strong compared to communities in Amibara and Gewane. This could be due to regular weekly meetings and strong leadership role by traditional and kebele administration in Dire woreda.

Contribution from the woreda pastoral development office (PDO) in Borena and Pastoral Agriculture and Rural Development Office (PA&RDO) in Afar) during the initial participation phase was limited. However, once information was communicated and reports submitted technical staff from the woreda offices provided facilitation support by deploying technical staff to enhance the participation in the assessment process. NGOs namely, Accord, AFD, Care, Gayo in Borena and FARM Africa in Afar) have participated by providing technical support and facilitating the participatory process in the respective area of operations. Contribution of FAO branch offices in Borena and Afar during the initial participatory phase was minimal.

5.2 Initial Assessment:

Community members (except those who migrated with livestock) through their respective kebele administration in Dire woreda took the initiative to undertake the initial assessment using the Sunday regular weekly meetings. In Amibara and Gewane woreda traditional elders with support from the Kebele administration took the initiative to conduct meetings and reach decision. In both areas communities with support from kebele administration discussed and made assessment on prevailing key humanitarian issues.

The assessment included, situation of pasture, water, animal health and the effect of drought on livestock and livelihoods, coping mechanisms, prevailing support from government and non-government actors and types of response interventions required. The assessment report compiled by the respective kebele administration was submitted to woreda administration and

woreda pastoral development office. In return, the respective Woreda offices sent subject matter specialists to verify the situation and report back to the woreda office. The technical staff in consultation with the kebele administration, representative of elders, youth and women groups and CAHWs made detailed assessments on the situation and identified priority drought response interventions.

Based on the urgency the woreda PDO in Borena and PAandRDO in Afar reported to the Zone Administration and PDO and PAandRDO for action. Depending on the severity the key response interventions requested by the community were provision of water, animal health and supplementary feed. The Zone Administration in collaboration with the Zone PDO and PAandRDO evaluated the report and organized partner and stakeholder meetings for action. FAO as secretariat of the emergency task force provided support in organizing regular stakeholders meetings, designing proposal for funding and availed technical staff for identified interventions to work closely with the woreda PDO and PAandRDO.

The average time gap from the initial request made by the community to the time of the assessment by woreda administration, the PDO and PandARDO ranged between 21-30 days. Likewise, it took one month for the zonal technical team to carry out an additional assessment following the submission of woreda report. Delay in finalizing the assessment process both at the woreda and zonal level is associated with poor coordination and resource limitations for logistics and technical staff arrangements.

5.3 Response and Coordination:

Led by the respective woreda and zone administration and facilitation by FAO branch office in Borena and Afar (Awash) timely response plan that included identification of specific Kebeles, number of affected HHs, type of interventions and resource required has been prepared. FAO in collaboration with NGOs facilitated harmonization of geographic location and activities.

In light of the progressing drought and response intervention delays by about three months, community members started taking action on their own. Key community actions included collection of dry grass and acacia tortilis pods for feeding to calves, weak and lactating cows; migrations to areas where pasture and water were relatively available; sell mature male, barren cows and shoats to generate cash for the purchase of food grains.

As secretary to Federal, regional and zonal emergency task forces, FAO in collaboration with relevant government and NGOs played active role in response and coordination that included organizing and leading the assessment team, designing sound emergency response proposals and submission to potential donors. The delay was due to poor coordination role played by government institutions, time taken to secure funds from donors and FAO procurement regulations at country level.

In implementing emergency responses, NGOs operating in Dire woreda of Borena zone and Amibara and Gewane woreda of Afar region used their own structures while FAO used the existing government structures from Federal to Woreda levels.

Prior to implementation of the drought response projects FAO has signed 7 different types of LoA with the relevant Federal, Regional, Zonal and woreda level government offices. This included, the National Veterinary Institute, Oromia Pastoral Development Commission and Afar Regional Water Development Bureau, Southern rangeland development project (SORDU) in Borena, PDO and PAandRDO at zone and woreda level in Borena and Afar respectively.

The response interventions supported by FAO and implemented by Dire Woreda PDO in Borena and PAandRDO in Amibara and Gewane in Afar included provision of veterinary drugs and vaccination, provision of supplementary concentrate feed and baled hay straw. For the rehabilitation of *ell*as and construction of ponds, financial support was provided to SORDU in Borena and the Regional Water Bureau in Afar respectively.

Regular coordination was provided by technically assigned focal persons at kebele levels (for supplementary feed, rehabilitation of water points and CAHWs), woreda PDO and PAandRDO (animal health and supplementary feed), SORDU (rehabilitation of water points) and regional water development Bureau in Ayssayta, capital of Afar region. Technical staff from the woreda regularly visited the kebeles on weekly basis. Overall coordination of the FAO supported projects was by FAO national livestock consultants in Addis and national livestock consultant in Borena zone and FAO representative in Afar. Other supports included capacity building for government offices in proposal development, fund raising, and training, provision of inputs such as veterinary drugs, supplementary feed.

5.4 Targeting:

Identification of activities, selection of vulnerable groups and targeting beneficiary HHs was done using the local Kebele structure. Kebele administration, representatives of elders, women and youth participated in selection of beneficiaries. Both in Dire, Amibara and Gewane the poor, women headed households and the disabled were given priority.

In both supplementary feed and animal health interventions attention was given to vulnerable and poor HHs, women headed HHs as well as HHs who can't look after their livestock due to old age and disability were given priority. For supplementary feeding target HHs were given the priority to select weak, lactating cows with calves and pregnant cows/heifers. In agro-pastoral Kebeles, target HHs were given equal opportunity to select breeding and farming bulls for supplementary feed intervention. Cattle seriously affected by internal and external parasites and CBPP were targeted for treatment and vaccination.

As targeting was one crucial area that required due attention, FAO in collaboration with the woreda PDO, kebele administration and traditional institution has played active role for fair targeting of the needy and the poor both in Dire Borena and Afar emergency projects.

5.5 Monitoring, Evaluation and Livelihoods Impact:

As part of the implementation process monitoring was undertaken by kebele administration, target HHs (animal health and supplementary feeding), and assigned focal persons in the respective kebeles. Technical staff from woreda PDO and PAandRDO, animal health technician from woreda veterinary office and technical water advisor from SORDU and Regional Water development Bureau have been monitoring progress on weekly basis. Target HHs both in Borena and Afar monitored implementation of project activities. FAO technical staffs from Yabello, Awash and Addis have been closely monitoring the projects on monthly regular basis.

During the participatory community discussion with target beneficiaries it was indicated that community members through the regular weekly meetings chaired by the Kebele administration In Dire woreda have made their own assessment on the outcome of the different interventions in terms of strength, limitations and draw lessons for future actions. The conclusion they reach was the different interventions have been useful and created awareness among the vulnerable target community in terms of preparedness for the future.

The benefits from the three focused livestock emergency interventions included, creating awareness and skills among target beneficiaries in commercial livestock feed and rehabilitation of improved *ellas* (Dire) and construction of large sized ponds (Amibara and Gewane). The livestock interventions collectively have impacted on survival of the breeding stock, enhance production in terms of milk, improved traction power for the bulls, reproduction (calving), and generate income from sale of milk and grain. However, according to community representatives participated in the interview no significant benefit obtained by the community from construction of large size ponds in Amibara and Gewane.

Improvement of *ellas*” has made access to water for animals easy, enabled pregnant and old women to move freely to access water with less difficulty and changing cattle trough and reservoir from mud to concrete cement, separation of sections for human and livestock water usage has made water more hygienic.

5.6 Technical Support and Agency Competencies :

One of the key areas of strength that has contributed to smooth implementation of the FAO funded projects was the training provided to technical staff in the application of LEGS. With the exception of SORDU staff in Borena and relevant government staff in Afar region the FAO national livestock consultants based in Addis and in their respective regions of operations (except newly recruited FAO staff in Afar) have participated in 2 days orientation training in

Awassa, Awash and Jigjiga. Government staffs in Yabello Zone and Dire woreda have participated in the training. One FAO staff has also participated in LEGS-ToT for 7 days organized by LEGS in Addis Ababa. Such chance has given the staff to acquaint themselves with the overall principles of LEGS in emergency project implementation and understand the links and historical transition from SPHERE to LEGS.

CAHWs in their respective kebeles (39 in 19 kebeles) of Dire woreda were closely supported by animal health technician of the woreda PDO who is currently working as private drug shop owner, trainer of CAHWs, and at the same time provider of vet drugs to CAHWs. With exception of vaccination programme there was no linkage between the CAHWs and woreda veterinary offices in Amibara and Gewane and hence no technical support to CAHWs.

The SORDU technical in collaboration with FAO staff provided support to the construction /rehabilitation of ponds/cisterns and traditional *ellas*. As a result, cattle troughs and reservoirs that were built out of mud were constructed with concrete cement that made separate sections for human and livestock water usage.

5.7 Preparedness:

The different emergency interventions taken by the community, NGOs, government and FAO have contributed in reducing the negative effect of drought on livestock and livelihood of the community. Some of the major preparedness measures the community and woreda level government offices have taken into account are the following:

- I) Awareness created by community members on the possibility of future response interventions that could save their livestock. This included rehabilitation of ponds and use for calves and weak animals during the dry period, improvement of “*ellas*” as well as underground cisterns that can hold water for dry and drought period.
- II) Most communities in the different kebeles of Dire woreda have increased the size of community pasture enclosures *Kalo* conserved during the rainy season to be used by calves, weak and milking or pregnant cows? ones during dry and drought period. Most community *Kallos* cover large areas up to 500 ha of communal land while privately enclosed *Kallos* in agro-pastoral homestead farms cover about 0.25 ha.
- III) In agro-pastoral Kebeles of Dire woreda crop residues that used to be burnt after harvest to avoid tick infestation are currently collected and kept to for use as dry season feed supplement for livestock. Since collection of crop residues as source of supplementary feed for dry period is recent practice further assessment is needed on the relationship between burning crop residues and ticks infestation in the area.

IV) Though not representative of the whole pastoral/agro-pastoral community some individuals have sold few unproductive animals to buy concentrate feed, baled hay straw and water to save their precious breeding female animals. They indicated to follow the same in future drought.

Contingency plans: In Dire woreda community members led by the kebele council and elders have agreed and planned to rehabilitate non-functional ponds, improved “ellas” and construct additional underground cisterns where appropriate. In addition, with the aim of reducing pressure on the existing water points, some kebeles are watering their livestock by trekking 15-20 kms and use ellas owned by their clan.

The initiative taken by the Oromia regional state to institutionalize Woreda level contingency plan and contingency fund as component of the productive safety net programme (PSNP) could be cited as exemplary.

FAO’s contribution to drought preparedness at community and woreda level in Borena includes, promoting privatization of the veterinary service through establishment of private drug shop and linking them with CAHWs. In addition, technical support for the conservation of natural pasture and promotion of the use of supplementary feed that can be used during drought could be cited as encouraging move.

However, as recommended in the drought management cycle, linking the early warning phase with the actual implementation of emergency preparedness and response is not practiced at all.

5.8 Advocacy and Policy:

This indicator of the common standard has not been touched and looked in the implementation of the emergency drought response interventions. FAO as one of the lead institution has not acted on advocacy issues with the relevant government institutions or with donors on the following issues: i) cost recovery vet. drug supply, ii) institutionalizing LEGS in the pastoral regions, iii) consideration of principles human rights in emergency interventions.

(Score 1-10) 1 being the lowest and 10 the highest

As shown in the summary table above the overall score for the common standard for Borena in livestock feed, animal health and water is 5.04, 4.8 and 4.6. For Afar it is in the order of 4.8, 3.41 and 2.8 respectively (refer to Annex 1 for detail scores).

6.0 Minimum Standards as applied to the FAO funded drought emergency interventions

6.1 Livestock Supplementary Feed

Community representatives reported the depletion and shortage of pasture to the respective kebele and Woreda administration and W-PDO at the Alert phase of the drought cycle. Based on the recommendations of the assessment distribution of concentrate feed and baled hay was given to the poor who could not manage feeding livestock and women headed HHs. Since the amount of concentrate feed was limited the poorest of the poor and women headed HHs were given priority. Each targeted HH was allowed to feed one breeding female cow, or breeding/bull used for farming (agro-pastoral Kebeles). Each HH was provided supplementary feed (2 kgs of concentrate and 4 Kgs of baled hay/animal/day) freely for 90 days. Total of 1,773 female animals (1,773 HHs) were provided with 3,256 baled grass hay and 40 tons of concentrate feed in Dire woreda; in addition, a total of 4,889 cows and 2,445 she goats (1,629 HHs) were provided with 14,668 kilogram of MNB and 19,556 baled grass hay of 15/kgs for 90 days in Amibara and Gewane. Animals were either fed at home (such as in Medacho Kebele, Dire and Amibara and Gewane of Afar) or in feed camps (Haralo Dire).

FAO assigned field personnel to monitor distribution and proper usage of the feed. Since the number of malnourished animals was many beneficiary HHs admitted sharing the feed to other animals. Beneficiaries that fed their animals in central feed camps participated in construction of sheds, feeding and water troughs as well as keeping the animals at night from predators. This was too tasking for beneficiaries and they suggested that the home-based approach is better.

Monitoring was done by beneficiary HHs supported by focal person assigned by FAO in each feed distribution sites. For home based feeding the distribution was one qt/animal/month while daily group feeding took place in central location sites. However, most of the discussants have admitted that due to shortage of feed in the area they have shared the feed to non-targeted animals which they have found it justified and beneficial (this has been mentioned above). The main benefit of the supplementary feeding intervention was survival of the breeding stock. Convinced by the benefits of the supplementary feed few individuals from Dire woreda (with little self motivation from Amibara and Gewane pastoral community) bought concentrate feed and fed breeding stocks in their respective kebeles.

Preparedness options community have deployed included: identifying supply sources for concentrate feed and baled hay; selling more barren cows and old bulls compared to previous year; hay making and conservation of crop residues and byproducts and the conservation of pasture in kallos for the dry period.

Case Stories	
i)	A bull owned by Shuno Hallake from Medacho kebele, Dire woreda got broken and couldn't move. Shuno bought 50 kg of concentrate feed ETB 70 and fed the bull for two weeks. The bull that was fed acacia pod earlier refused to take the pods and got used to the concentrate feed and got well on the third week.
ii)	Tune Huike, 52 years of age, married and with 8 children is residing in Harralo kebele, Dire woreda. He was one of the beneficiaries that fed his poor conditioned breeding bull for 90 days until the next rainy season that saved the life of his bull. At the onset of the rain the body condition of the bull improved and sold the bull for ETB 4,000 to cover the wedding ceremony of his eldest son.

6.2 Provision of Water

With exceptions of Andido and Gewane kebele in Afar, all water construction and rehabilitation activities have given due consideration to community participation. In targeting for traditional well ella users all community members through their respective kebele administration, representatives of elders, women and youth groups actively participated in the assessment including types of intervention for sites identified. In the construction of new ponds or rehabilitation of 3 old ellas in Dire woreda poor men and women HHs were given priority to work as laborers. Men participated in digging during the night while women cart the soil during the day. Technical support was provided by SORDU and FAO staff in the form of developing work norm and leadership guidance. In addition, huge improvement has been made to increase the water yield from the ellas, increasing the width and reducing the slope to ease access for livestock and humans. On the other hand, participation of target communities in the construction of 4 new large sized ponds (2 in Amibara and 2 in Gewne) was only limited to site selection. Actual construction was done by government institution with supervision by the regional Water Resources Development Bureau. Even though, the Afar regional PARD bureau strategy and priority is for large sized ponds in zone 3 of Afar the four ponds that were constructed are below standard and made little effort for the application of common and minimum standards of LEGS. Currently, there is no water in 3 of the 4 ponds, the basement soil is prone to seepage and the inside and outside of the ponds have cracked and are in bad shape requiring immediate maintenance work.

Priority of the water use from improved *ellas* in Dire woreda is given to the owners *Konfi* of the well and their clan members. With the aim of reducing the pressure on the existing water points at times of critical water shortage weak animals, lactating cows, pregnant females and calves will be given to use the nearby ponds and ellas with in the kebele. Mature male animals will move to areas where water availability is relatively better covering a range of 12- 15 kms outside the kebele. In addition, other clans coming from other areas will negotiate and get permission to access water from the wells.

Case example
In Higo kebele of Dire woreda during 2008/09 pasture was available while water shortage was critical. The rehabilitation of 2 “ellas” made water and pasture available in the area and as result over 132,000 heads of cattle that migrated from Northern Kenya in search of water and pasture benefited from the resources and saved the lives of their cattle.

Cognizant of the severity of the drought and its negative consequences communities are engaged in di-silting of old and construction of new ponds, improving old ellas using better skills and sanitation work. Based on the technical skill acquired from SORDU and FAO staff the Dachitu clan in Higo kebele, Dire woreda have already contributed 40 cattle to cover the labor work for the rehabilitation of the old ella.

6.3 Animal Health

Initial reporting was done by individual pastoral HHs reporting to the Kebele CAHWS (total 39 in the Woreda of which 5 are women) on the disease situation in the respective sites in Dire woreda. In return, CAHWs report to the woreda PDO for further assessment and action. In Amibara and Gewane woreda active engagement of CAHWs was limited at initial stage. Assessment was done with community representatives of Kebele chairperson, elders, women and youth groups during the alert and alarm phases of the drought cycle where analysis of the drought situation compared to the previous droughts was done in participatory manner including severe droughts” Berchina” in Borena. Assessment in both Dire and Amibara and Gewane included types of diseases triggered by drought in particular, internal and external parasites, outbreaks of CBPP and CCPP, types of animals affected, disease distribution in each of the Kebeles.

Source of vaccine for CBPP and CCPP was delivered free of charge by FAO from the National Veterinary Institute, Debre Zeit to the woreda PDO and PAandRDO. In return W-PDO distributed to each kebele and CAHWs with supervision from the animal health technicians undertook the vaccination. In Amibara and Gewane involvement of CAHWs was only limited to vaccination and were not involved in treating animals. Mortality of goats was accounted on shortage of CCPP vaccine creating dissatisfaction among the owners. Goats that died from CCPP were skinned and consumed by the respective owners. Even though eating of goats died of CCPP should be discouraged, when asked discussant groups in Samaro and Haralo Kebeles in Dire woreda replied that they are well aware on the types of diseases that are transmitted to human from infected dead animals.

Drugs were supplied from different sources including the OPDC of Oromia region, regional PAandRDB of Afar, FAO and NGOs operating in the respective woredas. Drugs mainly provided by Afar regional PAandRDB and NGOs were given free of charge while the drugs from FAO and OPDC were on cost recovery basis. Provision of free drugs creates dependency among the pastoral community and demoralizes CAHWs who are providing the service on cost recovery

basis and creates inconsistency among humanitarian actors. The money generated from sale of the drugs in Dire woreda is collected and deposited in the woreda government account GOV-674 and the money generated from sale of drugs provided by OPDC amounting to ETB 30,000 is deposited in government account GOV-AC0171640583200 for future use on revolving basis.

The procurement and delivery of vaccines and drugs was relatively fast. However, implementation was slow due to logistics and shortage of operational expenses at woreda level. The key challenges associated with animal health interventions in Dire, Amibara and Gewane woreda include absence of deep freezers for storage of vaccines, shortage of CCPV vaccines, and lack of earmarked contingency fund at woreda level.

Encouraging result has been observed through the provision of veterinary drugs to CAHWs in different Kebeles of Dire woreda. Availability of drugs has been possible with the fund allocated by the OPDC. Currently, ETB 30,000 is allocated for purchase of drugs for each woreda on revolving basis. On the contrary, the CAHWs in Amibara and Gewane woreda are not given due attention and only engaged in vaccination campaigns. There is no linkage between CAHWs and private/cooperative drug shop owners in Amibara and Gewane woredas.

Summary of scores for the three minimum standard interventions (Score 1-10) 1 being the lowest and 10 the highest.

Intervention	Adherence to LEGS		Contribution of FAO	
	Borena	Afar	Boerne	Afar
Livestock supplementary feed	5.5	5.5	8	8
Provision of Water	6.1	3.7	6	2
Animal health	5.5	3.8	5	3
Overall Score	5.7	4.3	6.3	4.3

As shown in the summary table above the overall score for the minimum standard in terms of adhering to LEGS for the three interventions in Borena is 5.7 while that of Afar is 4.3. The over all contribution of FAO to the three interventions in Borena is rated at 6.3 and for Afar 4.3 respectively (refer to Annex 2 for details).

7.0 Lessons learned

The section is divided into lessons from the positive contribution and lessons from challenges:

7.1 Lessons from the positive contribution

7.1.1 Rehabilitation and Improvement of traditional Ellas: With the aim of facilitating the rehabilitation work, save time and monitor daily work strong and energetic young men were selected to do the rehabilitation work and digging was done by men at night while carting of the soil was done by women during the day. Such arrangement besides allowing more beneficiaries to participate and benefit from labor work, increase work efficiency and allow women to stay and work at home.

7.1.2 Allocation of contingency fund: Cognizant the fact that drought is recurring in the pastoral an ago-pastoral areas of Borena zone the regional government has institutionalized the setting aside of contingency fund as integral component of the woreda PSNP in Borena zone. Access to the emergency fund will primarily focus on drought preparedness, public works such as maintenance of roads, bush clearing, new pond and ella construction, soil conservation, animal health and cash grants to elderly and disabled HHs. The woreda council is the governing body for the approval and release of the contingency fund. Budget is already earmarked and the contingency fund will be put in action in 2010/11(2003 ET-Cal).

7.1.3 Home based supplementary feeding: The lessons learned for supplementary feeding of livestock has shown that home based approach is preferred to feeding at centrally located sites. Key justifications given were time saving, reducing work load, and avoidance of conflict among livestock and proper attention for feeding individual animals.

7.1.4 Self Initiated response interventions: At times of critical drought and delay in response intervention by government, organized individuals and groups take their own response measures. Groups from the kebele (Hodod samaro, Dire woreda) bought water tanker of 12,000 lts capacity from Ramso kebele at ETB 1,000 (ETB 800 truck rental and ETB 200 for fuel). The water was filled in individual underground cisterns and also in plastic Roto containers for drinking purpose. Such community based initiative should be encouraged and those taking the lead should be recognized as role models and need to be motivated.

7.2 Lessons from Challenges

7.2.1 Delay in response interventions: Assessment to project implementation phase took between 4- 6 months. The time from assessment to securing funding from key donors took about three months while the implementation process involving staff recruitment, office setting, signing of agreement with regional and woreda government offices as well as provision of inputs to the project site took on the average additional 2-3 months.

7.2.2 Tight rules and regulations in procurement process by FAO: The FAO procurement process at country level with budget ceiling of up to USD 150,000 takes an average of 1 to 1 ½ months. On the other hand, the procurement budget ceiling above USD 150,000 that requires approval from Rome will take more than 2 months which delays timely implementation of drought response projects.

7.2.3 Limited capacity and lack of ethical compliance by local suppliers: Some of the local bidders that were awarded the supply of veterinary drugs and equipment and concentrate feed don't comply with the agreed standards and meet delivery time. Non-ethical compliance besides affecting timely implementation of LEGS compromise with quality and standards of drugs, feeds and also lack of trust by beneficiary community on implementing agencies.

7.2.4 Consumption of goat meat died of CCPP disease: Discussant groups in Dire woreda have indicated that they eat goat meat that died of CCPP. They have also indicated that they are aware of the danger of eating meat died of other infectious diseases that can be transmitted to human. Despite this fact, no action was taken either to burn or bury the carcass. This could be partly due to lack of awareness by the community but implementing agencies should have acted differently.

7.2.5 Advocacy in human rights and humanitarian principles: FAO as one of the lead UN body is not strong in advocate on the subject. As key role player and emergency task force secretariat at Federal, Regional and zonal level should have strong voice on the right issues and humanitarian principles. With other international humanitarian, development and advocacy agencies FAO can lobby for the realization of more disaster risk management (DRM) strategies, programmers and projects. Even though it is difficult to raise and lobby key humanitarian principles in the current country context issues related to safety, standard, gender equality, timely preparedness and response need to be raised and advocated.

7.2.6 Free vs cost recovery emergency inputs: Free supply of drugs by NGOs has created inconvenience among animal health service providers in particular CAHWs and private drug shop owners. Likewise, though not widely practiced free distribution of supplementary feed in the form of concentrate feed and hay has been raised as an issue by private feed suppliers. FAO

in collaboration with government and NGOs has the experience and capacity to address this issue.

7.2.7 Different payment system: the approaches followed by different agencies namely, FAO, SORDU, NGOs, PCDP and government supported PSNP in Borena zone for the same type and volume of work has created inconvenience to implement certain types of activities. As an example, FAO pays ETB 8.00 for the actual work of 0.31 M3/day for digging and clearing the soil from the ellas while PCDP pays ETB 12.00/day, PSNP pays ETB 12.00/day and SC-US pays ETB 15/day for the same amount and volume of work. Harmonization of payment for similar types of activities will facilitate smooth implementation of drought response projects and FAO in collaboration with the relevant government and NGO actors can address the issue.

8.0 Use of LEGS as drought preparedness tool/standard

8.1 Training on LEGS: The training provided for ToT on LEGS has enabled trainees to understand the key principles and on how to apply them in pre, during and post drought scenario. However, with the view of meaningful and practical application of LEGS, those who are given the training have indicated that those who will be involved as ToT should have good background with practical field experience in the respective minimum standards.

8.2 I Private sector engagement in drought response interventions. With the aim of timely response and ensuring future preparedness interventions LEGS should give due attention to private sector engagement in specific areas of the minimum standards. Valid experience can be drawn from the current interventions in animal health, supplementary feeding and rehabilitation of water points. Provision of capacity support that strengthen the linkage between the private sector and community based institutions would promote self reliance and enhance timely preparedness and action at local level.

8.3 The need to simplify the LEGS indicators and focus on key and few indicators: Based on the practical field level experience in 12 kebeles in Dire, Amibara and Gewane woreda with over 125 community discussant groups the average time the groups will discuss actively is about 2 hours. Discussion that took more than 2 ½ hrs was not productive in that either some member left the meeting or felt bored for active participation. Given this fact the key indicators both under the common and minimum standards need to be simplified with few questions to be discussed with community groups so that the total discussion time should not exceed 2- 2 ½ hrs/day.

8.4 Institutionalize LEGS in government institutions: Relevant government and NGO staffs who are working in drought response and preparedness interventions require more exposure and training in project designing, implementation, monitoring and evaluation. In order to realize this, TVET colleges and government offices in Afar and Borena need exposure training in LEGS

linked to drought cycle management and SPHERE standard. National institutions contracted by FAO can provide the training.

8.5 Engagement of the private sector: The support in terms of providing technical and financial means by FAO to CAHWs and private drug shop owners and linking them to ensure sustainable animal health delivery service is encouraging. Likewise, support and linkage private commercial feed processing agencies with OPDC, W-PDO and research center will contribute to the improvement of livestock production.

Annex 1.

Measurement of Common Standards 1: Participation

Indicators	Borena Zone)			Afar			
	Livestock Feed	Animal health	Water Provision	Livestock Feed	Animal health	Water provision	
Participation of vulnerable groups in assessment	6	5	5	5	3	3	
Documentation of indigenous knowledge and pre-existing livestock services	N.A	5	5	N.A	3	3	
Recognition of social or cultural norms	4	5	6	3	4	2	
Dialogue around implementation options	6	6	6	5	4	3	
Overall score	5.3	5.3	5.5	4.3	3.5	2.8	

Common Standard 1: Participation: All specific sub-sets and vulnerable groups in a population are identified, informed that an assessment and possible intervention(s) will take place, and encouraged to participate in the assessment process (see guidance notes 1 and 2).

- Key indigenous livestock production and health knowledge and practices, and pre-existing livestock services are documented and used to ensure the sustainability of inputs (see guidance note 3).
- Interventions are based on an understanding of social and cultural norms (see guidance note 4).
- Provisional programme inputs and implementation approaches are discussed with community representatives and/or community groups representing the range of population sub-sets and vulnerabilities (see guidance note 5).

Measurement of Common Standards 2: Initial Assessment

Indicators	Borena				Afar			
	Livestock Feed	Animal health	Water Provision		Livestock Feed	Animal health	Water provision	
Systematic participatory inquiry using trained workers and triangulation	4	5	5		3	3	2	
Findings disaggregated by populations subsets & vulnerable groups	6	6	5		6	3	2	
Protection issues covered	5	5	5		5	N.A	2	
Strategy for involvement of local service providers defined, with exit strategy	4	4	5		N.A	3	2	
Possible policy or regulatory constraints identified	N.A	3	3		N.A	2``	2	
Overall score	4.75	4.6	4.6		4.6	2.75	2.0	

Common Standard 2: Initial Assessment

- The assessment covers the key topics outlined in Chapter 2, uses systematic, participatory inquiry conducted by trained workers; and triangulates findings with pre-existing technical data when available (see guidance note 1).
- Findings are disaggregated by population subsets and vulnerable groups.
- The assessment reviews the capacity of relevant authorities to protect populations in the territory under their control, and includes an analysis of the operational environment and the protection implications of different livestock interventions (see guidance note 2).
- The assessment clearly describes existing local service providers, explains if and how the interventions will work with these actors, and defines an exit strategy intended to maximize the sustained use of local services and markets (see guidance note 3).
- The assessment includes a rapid analysis of national policies and regulations which may prevent certain interventions, and reviews the capacity of local regulatory bodies to enforce official rules and regulations (see guidance note 4).

Measurement of Common Standards 3: Response and Coordination

Indicators	Borena					Afar			
	Livestock Feed	Animal health	Water Provision			Livestock Feed	Animal health	Water Provision	
Livestock inputs don't hinder direct human life saving support	5	5	5			5	4	3	
Livestock interventions coordinated and harmonized	6	5	5			5	3	2	
Agencies without livestock expertise invite livestock agencies in	6	5	5			5	3	2	
Integration of livestock inputs with non-livestock support	5	5	4			5	3	2	
Coordination of emergency and development initiatives	5	5	5			5	3	3	
Overall score	5.0	5.0	4.8			5.0	3.2	2.4	

Common Standard 3: Response and Coordination

- Where people's lives are at risk, livestock interventions do not hinder life-saving humanitarian responses (see guidance note 1).
- Livestock interventions are coordinated to ensure harmonized approaches between agencies, and according to agreed implementation strategies (see guidance note 2).
- When an agency cannot conduct a livestock assessment or respond to livestock needs, it makes these deficits known to other agencies which may have the capacity for livestock responses (see guidance note 3).
- Where possible, livestock interventions are integrated with other types of humanitarian assistance to maximize impact and ensure efficient use of shared resources (see guidance note 4). & Coordination is prioritised by all stakeholders, including the harmonisation of donor and government approaches, for both emergency response and longer term development initiatives (see guidance note 5).

Measurement of Common Standards 4: Targeting

Indicators	Borena					Afar			
	Livestock Feed	Animal health	Water Provision			Livestock Feed	Animal health	Water Provision	
Targeting according to vulnerability, & criteria defined & disseminated	7	6	6			7	4	3	
Targeting approach agreed with community	6	5	5			5	4	5	
Overall score	6.5	5.5	5.5			6.0	4.0	4.0	

Common Standard 4: Targeting

- Targeting criteria are based on an understanding of the actual or potential uses of livestock by vulnerable groups, and the criteria are clearly defined and widely disseminated (see guidance note 1).
- Targeting mechanisms and the actual selection of beneficiaries is agreed with communities, including representatives of vulnerable groups (see guidance note 2).

Measurement of Common Standards 5: Monitoring, Evaluation and Livelihoods Impact

Indicators	Borena					Afar			
	Livestock Feed	Animal health	Water Provision			Livestock Feed	Animal health	Water Provision	
Rapid, early set up of an M&E system	5	5	4			5	3	2	
M&E is participatory	5	5	4			5	N.A	N.A	
Frequency of monitoring is appropriate	5	5	4			5	N.A	N.A	
Monitoring uses both process and impact indicators	4	4	N.A			4	N.A	N.A	
Evaluation is conducted	5	5	N.A			5	N.A	N.A	
Livelihoods impact is assessed	5	4	N.A			5	N.A	N.A	
Coordination body has programme-wide M&E system	5	4	N.A			5	N.A	N.A	
M&E facilitates learning	5	4	4			5	N.A	N.A	
Overall score	4.9	4.5	4.0			4.9	3.0	2.0	

Common Standard 5: Monitoring, Evaluation and Livelihoods Impact

- A monitoring and evaluation (M&E) system is established as soon as possible during implementation (see guidance note 1)
- M&E systems are based on participation by the beneficiary communities as much as is feasible and appropriate (see guidance note 2)
- Monitoring is conducted with sufficient frequency to enable rapid detection of required changes and modification of implementation (see guidance note 3).
- The monitoring system combines both technical progress indicators, and impact indicators identified by beneficiaries; impact indicators are measured by beneficiaries working with agency staff (see guidance note 4).
- An evaluation is conducted with reference to the stated objectives of the project, and combines measurement of technical indicators and community-defined indicators (see guidance note 4).

- Impact is assessed according to changes in the livelihoods of the affected communities (see guidance note 5)
- When multiple agencies are involved in livestock interventions, M&E systems are standardised to allow programme-wide progress and impact to be measured; M&E reports are shared with all relevant actors, including community groups and coordination bodies (see guidance note 6).
- M&E systems facilitate learning by all stakeholders (see guidance note 7)

Measurement of Common Standards 6: Technical Support and Agency Competencies

Indicators	Borena					Afar			
	Livestock Feed	Animal health	Water Provision			Livestock Feed	Animal health	Water Provision	
Livestock workers have both technical knowledge & participatory skills	6	6	6			6	6	4	
Livestock workers are familiar with human rights & humanitarian principles	5	4	3			4	4	2	
Livestock workers are familiar with livelihoods-based programming	6	6	5			5	5	4	
Overall score	5.3	5.3	4.7			5.0	5.0	3.3	

Common Standard 6: Technical Support and Agency Competencies

- Livestock workers possess relevant technical qualifications, and the knowledge and skills to conduct rapid participatory assessments and joint planning of interventions with all relevant population subsets and vulnerable groups (see guidance note 1).
- Livestock workers are familiar with human rights and humanitarian principles, and their relevance to livestock interventions (see guidance note 2).
- Livestock workers are familiar with the principles of livelihoods-based programming (see guidance note 2).

Measurement of Common Standards 7: Preparedness

Indicators	Borena				Afar			
	Livestock Feed	Animal health	Water Provision		Livestock Feed	Animal health	Water Provision	
Use of DRR	5	5	4		5	3	2	
Reviews of disasters	4	5	5		4	3	3	
Contingency plans & triggers	5	5	5		5	4	4	
CP anticipates admin & procurement issues	5	5	3		5	3	3	
For drought, the CP uses drought cycle management	3	3	3		3	2	2	
Community preparedness	6	5	5		6	2	2	
Overall score	4.6	4.6	4.2		4.6	2.8	2.6	

Common Standard 7: Preparedness

- Disaster risk reduction (DRR) informs and forms part of agencies' emergency planning and implementation (see guidance note 1)
- Agencies with long-term development programmes conduct regular reviews of past disasters in their operational area with regard to the type of disaster, frequency, severity and lessons learnt from disaster response, if any (see guidance note 2).
- Based on this information, agencies develop contingency disaster plans with clearly-defined triggers for action and the subsequent release of funds and other resources (see guidance note 2).
- Contingency plans take into account the agency's procurement and administrative procedures and any obstacles to potential future emergency responses are addressed (see guidance note 3)
- Contingency plans for drought are based on the principles of drought cycle management and early response, with appropriate sequencing of interventions (see guidance note 4).
- Communities are encouraged to prepare for future emergencies (both rapid and slow onset) (see guidance note 5)
- All emergency intervention plans are accompanied by an exit strategy which links with post-disaster recovery and long-term support to livelihoods (see guidance note 6)

Measurement of Common Standards 8: Advocacy and Policy

Indicators	Borena					Afar			
	Livestock Feed	Animal health	Water Provision			Livestock Feed	Animal health	Water Provision	
Policy constraints identified	4	5	4			4	3	3	
Policy constraints are addressed	N.A	3	3			N.A	3	3	
Policy analysis & action respond to vulnerability	N.A	N.A	N.A			N.A	N.A	N..A	
M&E provides evidence for policy dialogue	N.A	3	3			N.A	3	3	
Overall score	4.0	3.6	3.3			4.0	3.0	3.0	

Common Standard 8: Advocacy and Policy

- Policy constraints affecting the protection, use or rebuilding of livestock assets are identified (see guidance note 1)
- In coordination with other stakeholders, and as appropriate in the context, policy constraints are addressed through advocacy or other activities at the relevant (local, national, regional, international) level (see guidance note 2)
- Policy analysis and action considers the underlying causes of vulnerability to disaster (see guidance note 3)
- Monitoring and evaluation systems provide evidence which contributes directly to policy dialogue and advocacy (see guidance note 4)

ANNEX 2: MEASUREMENT OF MINIMUM STANDARDS

Livestock feed, Water Points Development and Animal health Interventions

Measurement of Livestock Feed: Standard 1 Assessment

Indicators	Borena	Afar
The status of the feed resources during pre-disaster are assessed (see guidance note 1)	6	5
Indigenous mechanisms for livestock supplementary feed management are assessed (see guidance note 2)	4	3
The social and cultural aspects of livestock supplementary feed and suitability to target beneficiaries are considered (see guidance note 3)	6	5
Water and veterinary services provisions are assessed side by side with supplementary feed	6	4
The probable impact of the purchase of supplementary livestock feed from local market sources is assessed (see guidance note 5)	6	4
The cost-effectiveness of supplementary livestock feed (i.e availability of raw materials, cost of production and transportation) from outside sources is assessed in comparison with other possible interventions (see guidance note 4)	5	5
The potential risks & not to discourage local feed producers are assessed (see guidance note 8)	N.A	N.A
The feed ingredients and residual effect of supplementary feed impacting on livestock and the environment is assessed (see guidance note 7)	N.A	N.A
The impact of the livestock supplementary feed on improving body condition, milk and weight gain assessed.	6	6
The security implications of the provision of livestock as assessed and livestock provision only takes place when the security of the stock and the beneficiary populations can be assured (see guidance note 10)5	5	5
Overall score	5.5	4.6

Measurement of Livestock feed: Standard 2 Definition of the package

Indicators	Borena	Afar
The design of supplementary livestock feed interventions takes account of indigenous systems of supplementation (see guidance note 1)]	5	5
Is the supplementary livestock feed interventions the first of its kind in the area?	5	5
Selection of beneficiaries is based on need, local participation and practice (see guidance note 2).	7	7
The type and quantity & quality of supplementary livestock feed provided are appropriate to support maintenance of livestock and adapted to local conditions (see guidance note 3)	5	5
The supplementary feed is distributed at appropriate locations and times (see guidance note 4)	5	5
Overall score	5.4	5.4

Measurement of Livestock feed: Standard 3 Credit, procurement, transport & delivery

Indicators	Borena	Afar
Procurement is based on local purchase where possible (see guidance note 1)	4	7
Procurement takes place according to agreed criteria, and in accordance with legal procurement procedures (see guidance note 2)	6	6
Quality inspection takes place at the time of purchase, delivery and feeding (see guidance note 3)	4	4
Supplementary feed are provided under critical feed shortage where it doesn't discourage local production and that will encourage future self reliance by building capacity of the household to meet future needs as opposed to provided free gift (see guidance note 4)	6	6
Transport is planned in advance to minimise risk of losses in transit and based on conditions that ensure the well-being of the stock (see guidance note 5)	6	6
Overall score	5.2	5.8

Measurement of Livestock feed: Standard 4 Additional support

Indicators	Borena	Afar
Quality control is provided prior to the supplementary feed distribution (see guidance note 1)	N.A	N.A
Training and capacity building support is provided to beneficiaries in livestock supplementary feed based on an analysis of skills and knowledge of animal husbandry (see guidance note 3)	6	6
Training and capacity building includes preparedness for future shocks and disasters (see guidance note 4)	5	5
Food security needs are identified and met according to the Minimum Standards in Food Security, Nutrition and Food Aid (Sphere Handbook), in order to prevent early off-take of livestock (see guidance note 5)	N.A	N.A
Storage and distribution sites/locations are similarly identified and met according to the Minimum Standards on Shelter, Settlement and Non-food Items (Sphere Handbook) (see guidance note 6)	N.A	N.A
Water and veterinary service & other economic activities provided simultaneously with the supplementary feed to the target livestock to enable independence from such support (see guidance note 7)	7	7
Overall score	6.0	6.0

Measurement of Water Intervention: Standard 1 Assessment

Indicators	Borena	Afar
Status of water resources during pre-disaster are assessed	7	7
Indigenous mechanisms for emergency water interventions are assessed	6	6
The social & cultural aspects to livestock water interventions are considered	7	7
Water, feed and veterinary service care are assessed and considered side by side with water intervention	6	6
Cost effectiveness of the water interventions (i.e availability of local materials, production and transpiration) as compared to other possible interventions and sources	5	3

The impact of water intervention on environment and security of the user groups are considered	6	3
Sanitation and hygiene aspects during and post water interventions are considered	6	3
The impact of the water interventions on livestock and humans	6	3
Overall score	6.0	3.9

Measurement of water intervention: Definition of the Package

Indicators	Borena	Afar
Design of the water interventions takes account of indigenous water systems	8	3
Is the water intervention the first of its kind	3	7
Selection of beneficiaries is based on need, local participation and practice	7	4
Involvement & participation of women, disabled & other disadvantaged groups	6	3
The water interventions are located in appropriate site and times	7	3
Amount and quality of water provided are sufficient to support both human and livestock needs	5	3
Overall score	6.0	3.8

Measurement of Water intervention 3 Public Health & Security

Indicators	Borena	Afar
The water interventions designed and implemented ensuring public health concerns	7	3
Water intervention usage and management considers human and livestock needs and hygiene and sanitation aspects	7	3
Involvement of government institutions in the training and future follow-up of the water interventions	6	4
Water interventions considered intra & inter clan conflict sensitivity	6	4
Quality inspection takes place during water interventions at different intervals on regular basis	5	3

Overall score	6.2	3.4

Measurement of Veterinary Care: General Standard

Indicators	Borena	Afar
Rapid participatory assessment and prioritisation of veterinary needs is conducted involving all relevant subgroups within a disaster-affected population, and in partnership with local veterinary authorities and service providers, if present (see guidance note 1).	7	5
All existing veterinary service providers are mapped within the disaster-affected area and analysed in terms of current capacity, and potential capacity if assisted by aid agencies (see guidance note 2).	5	N.A
The assessment includes analysis of service providers before the disaster with regard to payment for services (see guidance note 2).	5	N.A
The assessment includes a rapid analysis of policy or legal factors which may hinder or enable specific implementation strategies (see guidance note 3).	5	3
Overall score	5.5	4.0

Measurement of Veterinary Care: Primary Clinical Veterinary Services

Indicators	Borena	Afar
The service design process follows on directly from the initial assessment, uses the information and analyses of the assessment, and is based on the active participation of the disaster-affected population, including vulnerable groups (see guidance note 1).	6	4
The design of the service includes specific elements to reach vulnerable groups and in particular addresses challenges of accessibility and affordability (see guidance note 2).	6	3
Service design considers the need for rapid procurement and availability of relevant veterinary vaccines and medicines, and the need for appropriate quality of products and proper storage at field level (see guidance note 3).	5	3
Service design includes provision of rapid training to local service providers as necessary (see	5	4

guidance note 4).		
Service design is based on local social and cultural norms, particularly in relation to gender roles (see guidance note 5).		
Service design maximises the security of local people, veterinary service providers and aid agency staff (see guidance note 6).	5	3
The roles and responsibilities of all actors are clearly documented and where appropriate and necessary, form the basis of written agreements (see guidance note 7).	6	4
Overall score	5.5	3.5

Measurement of Veterinary Care: Veterinary Public Health (Rift Valley fever vaccination)

Indicators	Borena	Afar
An assessment of zoonotic diseases and their prioritisation is included in the initial assessment of animal health problems (see guidance note 1).	N.A	N.A
Zoonotic disease control measures are designed and implemented either in conjunction with the provision of clinical services, or as stand-alone activities (see guidance note 2).	N.A	N.A
Overall score		

Measurement of Veterinary Care: Sanitation and food hygiene (in relation to slaughter destocking or carcass disposal)

Indicators	Borena	Afar
Sick or injured animals requiring euthanasia are euthanized humanely and safely, and disposed of to ensure good hygiene (see guidance note 1).	N.A	N.A
In protracted crises, slaughter slabs are constructed (see guidance note 2).	N.A	N.A
Meat inspection procedures are established at slaughter slabs and abattoirs used by the disaster-affected population (see guidance note 2).	N.A	N.A
Overall score	N.A	N.A

ANNEX 3: METHODOLOGY

Both secondary and primary sources that were employed to undertake this evaluation are:

Secondary data sources: These included reference materials in the form of proposals, progress/ review/ evaluation reports, correspondences between partners/stakeholders etc that are used to gather information on:

- *Background of the projects;*
- *Establishing timeline between needs identification/assessment and implementation phases vis-à-vis the stage of the drought cycle*
- *Speed of implementation as related to provision of key emergency inputs including finance to project sites/implementing partners*
- *Level of coordination between FAO and implementing partners*
- *Technical capacity of partner agencies*
- *Identification of major constraints as identified by FAO or partner agencies (e.g. policy, logistics, local politics, delays in the delivery of inputs...etc)*
- *Key benefits derived (from monitoring and evaluation reports)*
- *The relative application of the eight common and the three specific (water, health and feed) standards from needs assessment through implementation phases*
- *Lessons to be drawn*

Primary data sources included the followings:

Two representative focus groups interviewed for each type of intervention¹
Woreda and zonal level partner agencies, and FAO staff were also interviewed.

Both narrative and participatory techniques were used to obtain key information from focus groups in the following areas;

- *Narratives on their representation and participation levels in needs assessment, targeting, implementation, agency competencies and preparedness for the future;*
- *Views on appropriateness of timing, effectiveness and adequacy of the specific intervention;*
- *Perceived strengths and drawbacks of implementation modalities and suggested improvements for the future;*
- *Ranking of benefits derived through proportional piling (including those that could be specifically linked to LEGS);*
- *Lessons for LEGS/FAO*

¹ Selection and composition of focus groups was based on criteria to be developed in collaboration with FAO

Interviews organized with woreda and zonal level staff for obtaining information on:

- *Level of participation in the specific project including specific roles played as related to the common and the three specific standards;*
- *Level of technical competency in the specific intervention;*
- *Level of familiarity with LEGS;*
- *Implementation modality (process)*
- *Key issues that have facilitated / delayed project implementation;*
- *Other partnership issues with FAO;*
- *Lessons for LEGS/FAO*

Interviews with FAO field and Addis staff conducted for obtaining information on:

- *The extent to which LEGS was incorporated in needs assessment, project design and implementation;*
- *Staff familiarity level with LEGS;*
- *Key strengths and weaknesses of partner agencies;*
- *In-house factors that have in positive / negative ways impacted the application of LEGS;*
- *Other external factors that have influenced project outcome (policy issues, etc)*
- *Key lessons for LEGS and FAO*

Analysis

Findings from primary and secondary sources are triangulated and standardized to assess and establish:

- *The level to which the eight common standards were applied in the three interventions in general (animal health, water and feed) and the relevant minimum standards in the three specific interventions in particular.*
- *Identification of elements that have contributed to conformity with or variance from LEGS;*
- *Rankings of benefits derived as perceived by focus groups including those that could be specifically attributed to LEGS, and;*
- *Compilation of key lessons to be drawn (i) on key issues and (ii) for further refinement of LEGS as an evaluation and standards tool.*

ANNEX 4: TERMS OF REFERENCE

Independent evaluation of FAO's programmes and collaboration in Ethiopia

Impact Study of FAO emergency livestock interventions

Introduction

Ethiopia has been selected as the focus of an evaluation of FAO's programmes and collaboration during 2010. The Ethiopia Country Evaluation aims at improving the relevance and performance of FAO interventions, providing accountability and deriving lessons for better formulation and implementation in the future. The evaluation will focus on all interventions undertaken by FAO in Ethiopia over the period 2005-2010. The Ethiopia programme over the last five years includes US\$ 65 million worth of extra-budgetary project funding (94 Ethiopia dedicated projects). Almost half of these interventions have been to respond to emergencies, such as droughts and floods, while others have focused on development of the agricultural sector.

Prominent within FAO's emergency response programme has been interventions addressing the particular needs of populations in the mainly pastoralist regions of Afar and Somali, in which livestock play crucial livelihoods roles; 16 projects have had livestock themes, totally approximately US\$ 10 million and accounting for about 15% of FAO's budgetary allocations to Ethiopia. Those which are ongoing are shown in Annex 1.

Livestock Emergency Guidelines and Standards (LEGS)²

The development of LEGS took over 5 years with a high level of participation by a number of organizations and specific oversight by a Steering Group comprising FAO, ICRC, African Union, VSF Europa and Tufts University. LEGS is linked to the Sphere project and the Humanitarian Charter and Minimum Standards in Disaster Response (the Sphere handbook). Training materials are currently being finalized to complement the guidelines.

After several years of collaboration and field testing by the involved agencies, in early 2009 the *Livestock Emergency Guidelines and Standards* (LEGS) were formally published as a set of international standards for improving the design, quality and impact of livestock interventions in humanitarian crises. One important use of LEGS is as a tool for the evaluation of livestock projects, and assessing the extent to which a particular agency and project followed the LEGS standards and guidelines. Such assessment can relate to the LEGS guidance on needs assessments, the LEGS common standards and the LEGS standards on specific interventions such as market support, veterinary care or livestock feed supplementation.

² <http://www.livestock-emergency.net/>

Review of FAO Ethiopia Emergency Livestock Interventions

FAO is co-chair of the agriculture cluster in Ethiopia, supporting coordination, information sharing and planning amongst humanitarian agencies working in the agriculture sector. FAO has also played an important role in facilitating the Livestock Working Group and has participated in the Livestock Policy Forum. Through letters of agreement, FAO channels financial resources to a large number of implementing partners (principally regional governments but also civil society organizations) for relief and rehabilitation interventions in a number of locations in the country. Most of the emergency livestock activities have been undertaken in lowland areas (the Somali, Oromia and Afar regions).

This study will look at the extent to which LEGS is currently being used as normative guidance on good practice in humanitarian effort in the livestock sector by FAO and its partners, and review the past performance of selected emergency livestock interventions using the LEGS.

Key questions will include:

- *'To what extent are FAO & FAO's partners' staff (both in Addis and at the field level) familiar with LEGS?*
- *How are the LEGS guidelines and standards being used in practice? How does the performance of FAO and its implementing partners measure up against the minimum standards, from needs assessment to the implementation phase?*
- *In each of the projects evaluated, has LEGS been used in programme design and implementation?*
- *What evidence exist that FAO livestock interventions resulted in improved outcomes at household level? Who benefited? Did the use of LEGS result in additional benefits?*
- *What constraints/limitations and strengths are there to the application of the guidelines and standards on the selected interventions?*
- *How could FAO & partners' approach (such as identification of project & activities, identification of implementing partners, working relationship with relevant government institutions, target communities, coordination modalities) to emergency livestock work be improved?*
- *Can good practices and learning for future planning and decision making at the policy level be extracted and documented?*
- *What practical recommendations can be made that will help LEGS as a programme and evaluation tool?*

The LEGS standards have recently been used as part of an evaluation framework in pastoralist areas of northern Kenya affected by drought and subject to humanitarian livestock interventions. It is proposed to use LEGS as a framework for evaluating the effectiveness and impacts of FAO's work in emergency

livestock responses, while at the same time helping to validate LEGS as a tool for programming and M&E in Ethiopia.

Objective of Assessment:

To evaluate the effectiveness/outcomes, and impacts if feasible, of FAO's work in support of emergency livestock responses in Ethiopia.

Description of Activities

A senior consultant (SC1) will be commissioned in Addis Ababa to supervise and backstop a systematic review of selected emergency livestock interventions implemented under the FAO in two pastoralist areas of Ethiopia. The consultant will guide and provide support to a field consultant (FC) to undertake the field review. The final report is the responsibility of the SC1, with written input from the FC. LEGS will be used as the criteria for review. The review will include a qualitative assessment of the extent to which both common and specific LEGS standards and guidelines were applied (depending on the intervention in question). The consultant will interview a sample of project beneficiaries and triangulate the information gathered from other sources (e.g. interviews with FAO staff, partners, other stakeholders) to assess the effectiveness/outcomes and likely impacts of the interventions.

Outputs

- Inception report of 5-10 pages on the design, including regions and specific projects selected, based on a dialogue with the FAO Livestock Expert in Ethiopia, and taking into consideration both representativeness and the need to deliver a final report in September, to be submitted by the SC1 to the Evaluation Team Leader and the Office of Evaluation by 30 July.
- A high quality draft report of 15-20 pages to be submitted by the Field Consultant to the Senior Consultant.
- Terminal report of 15-20 pages including findings, conclusions and recommendations to FAO on emergency livestock interventions in Ethiopia, and on suggested revisions to future editions of LEGS based on these findings to be submitted by the SC1 to the Evaluation Team Leader and the Office of Evaluation by 27 Sept.

Duration and Timing.

The review will begin in August 2010 and a final report will be presented by 27th September 2010.

Consultants will receive when-actually-employed (WAE) contracts covering the period 1 Aug -30 Sept 2010. The Senior Consultant will have a contract of 10 days while the Field Consultant is expected to work a total of 34 days.

Projects to be evaluated

The review will focus on emergency interventions which have included the core components of animal health, animal feed and water point rehabilitation. It will focus on projects with these core components in two distinct pastoralist regions of Ethiopia, namely Afar and Borena.

On the basis of these criteria, candidate selected projects have been identified as:

Afar region: OSRO/ETH/909/NOR and its precursors

Borena region: OSRO/ETH/803/CHA and associated activities

Confirmation of project selection will be made in the Inception Report.

Appendix 10

FAO Support for Investment Programmes in Ethiopia

Over the past five years, FAO/TCI has provided continuous assistance to the Government of Ethiopia which has led to the approval of a number of investment projects by FAO financing partners, in particular the World Bank, IFAD, African Development Bank (AfDB) and the Global Environment Facility (GEF). Recent work has targeted irrigation and drainage, pastoral community development, strategic food security planning, crop diversification and marketing development, agricultural productivity, participatory forestry management and rural capacity building. In 2008, TCI also assisted in the preparation of the Country Strategic Opportunities Programme (COSOP) 2009-2013 for Ethiopia, in collaboration with IFAD. Recent and ongoing TCI support to Ethiopia has been directed to:

Agricultural Growth Programme (AGP). In 2009, TCI began assisting the preparation of a new investment operation which is focusing on high potential areas for increasing agricultural productivity, marketing and value addition. TCI also contributed to an analysis of the farming systems, livelihoods and natural resources management in AGP target areas. AGP will focus on selected crops and livestock commodities where production intensification and availability of markets are likely to provide high returns. The main components are agricultural production and commercialization, and rural infrastructure development. The programme will be implemented by the Ministry of Agriculture and Rural Development over a five-year period in four regions: Tigray, Amhara, Oromia and Southern Nations. In February-March 2010, TCI participated in pre-appraisal and appraisal missions for this multi-donor project approved for financing on 30 September 2010. In August 2010, under funds from the Spanish Trust Fund, TCI formulated a complementary proposal for funding by the GAFSP facility. The Ethiopia GAFSP proposal of USD 51.5 million was approved by GAFSP Steering Committee in October 2010. It will support in particular millennium development goals (MDG) 1, 7 and 8. FAO will provide technical assistance support in areas where it has a comparative advantage.

Irrigation development. TCI helped to prepare the World Bank-funded ***Nile Basin Irrigation and Drainage Project*** and follow-up projects for an additional 80 000 ha of irrigation development. In parallel, TCI also assisted the Government in the development of an irrigation strategy to implement its irrigation policy. In addition, TCI contributed to the preparation of the ***Tana Beles Integrated Water Resources Development Project*** and in 2010, began providing supervision support for the implementation of this project.

Strategic food security planning. In 2006, TCI assisted the Government in preparing a framework for the National Action Programme for Food Security and basic principles to guide future investment in food security.

Rural capacity building. From 2004 through 2009, TCI has assisted the preparation and supervision of the ***Rural Capacity Building Project*** approved in 2006 and restructured in 2008, which aims to help Ethiopia strengthen agricultural services and systems for improved agricultural productivity and responsiveness to client needs, and to enhance the capacity of producers to adopt economically-viable and environmentally-sustainable technologies and practices.

Forestry management. In 2007, TCI began support to the JICA¹-funded *Participatory Forest Management Project* in the Belete-Gera Regional Forest Priority Area, and has provided technical assistance in the preparation of an extension strategy and guidelines for training of trainers, and a monitoring and evaluation framework, including a socio-economic baseline survey. As a result of TCI's help, the project adopted FAO's Farmers' Field Schools approach.

Situation of funding for TCI-assisted projects

Date approved	Project	Total Cost	Loan/Credit/Grant	
		 USD million		
Loans for fully-assisted projects in operation				
World Bank/International Development Association (WB/IDA)				
June 2006 ²	Rural Capacity Building	71.00	54.00 17.00	IDA CIDA ³
June 2007	Irrigation and Drainage	115.00	100.00	IDA
May 2008	Pastoralist Community Development – Phase 2	133.25	80.00 35.00	IDA IFAD
May 2008	Tana and Beles Integrated Water Resources Development	69.85	45.00 8.00	IDA BIL ⁴
Sept. 2010	Agricultural Growth Project (AGP)	281.20	150.00 50.00 2.40 51.00	IDA USAID UNDP BIL ⁵
	WB/IDA Sub-total:	670.30	592.40	
International Fund for Agricultural Development (IFAD)				
Dec. 2001 ⁶	Rural Financial Intermediation Programme (RUFIP)	88.73	25.69 37.50	IFAD AfDB ⁷
	IFAD Sub-total:	88.73	63.19	
Bilateral Sources (BIL)				
August 2005 ⁸	SPFS Extension phase – GTFS/ETH/067/ITA Crop Diversification and Marketing Development	3.00	3.00	Italy
Total funding for projects in operation:		762.03	658.59	
Loans for partially-assisted projects in operation				
April 2008	Sustainable Land Management (SLM)	28.79	20.00 9.00	IDA GEF
Regional Projects				
June 2009	East Africa Agricultural Productivity Programme (Ethiopia, Kenya, Tanzania) ⁹	90.00	90.00	IDA

¹ Japanese International Cooperation Agency (JICA)

² Project restructured in 2008. In particular, USD 13 million were reallocated to support a relief operation: the emergency Fertilizer Support Project, processed under an Ethiopia-Food Crisis Response Programme under the Global Food Crisis Response Programme. Project closure planned for October 2011.

³ Canadian International Development Agency (CIDA)

⁴ Bilateral sources (BIL): Government of Finland

⁵ Bilateral sources (BIL): Possibly the Canadian International Development Agency (CIDA), UK Department for International Development (DFID), Irish Aid. Individual contributions are undetermined at this stage.

⁶ Project closure scheduled for 2010 (still ongoing in November 2010).

⁷ Co-financed in October 2003.

⁸ Expected closing date: 31 December 2010.

⁹ Each country receives USD 30 million