

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.