

## 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 indicated<sup>1</sup> 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.

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<sup>1</sup> Criteria: country programmes > US\$ 5 million

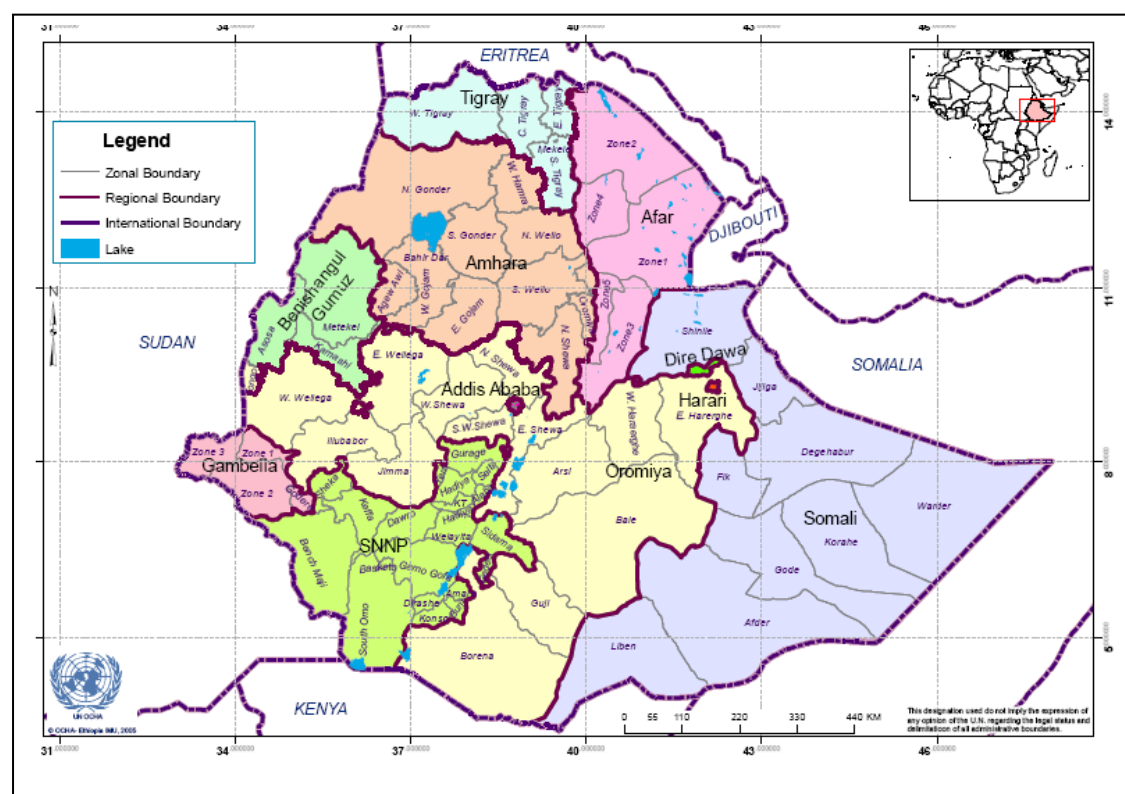
## 3. FAO's programmes in Ethiopia

### 3.1 Ethiopia<sup>2</sup>

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 population<sup>3</sup>, 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**



<sup>2</sup> 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.

<sup>3</sup> The human population is estimated at over 80 million, population growth is  $\geq 2.6\%$  and population the estimated density is 73 persons/km<sup>2</sup>.

## Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

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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"<sup>4</sup>. 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)<sup>5</sup>, 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 capacity<sup>6</sup>, 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

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<sup>4</sup> [http://www.feedthefuture.gov/documents/FTF\\_2010\\_Implementation\\_Plan\\_Ethiopia.pdf](http://www.feedthefuture.gov/documents/FTF_2010_Implementation_Plan_Ethiopia.pdf)

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

<sup>6</sup> 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

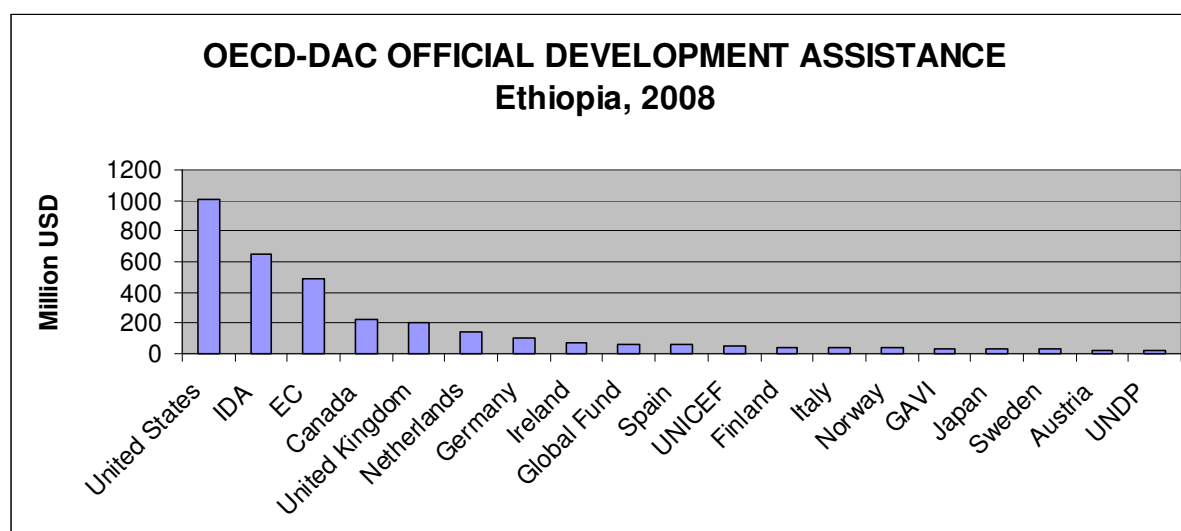
approval of a new national Food Security Programme 2009-2014. Other key strategies in the area of food security and rural development include the recently approved Ethiopia Strategic Investment Framework for Sustainable Land Management and the Agricultural Development Lead Industrialization (ADLI) Strategy.

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

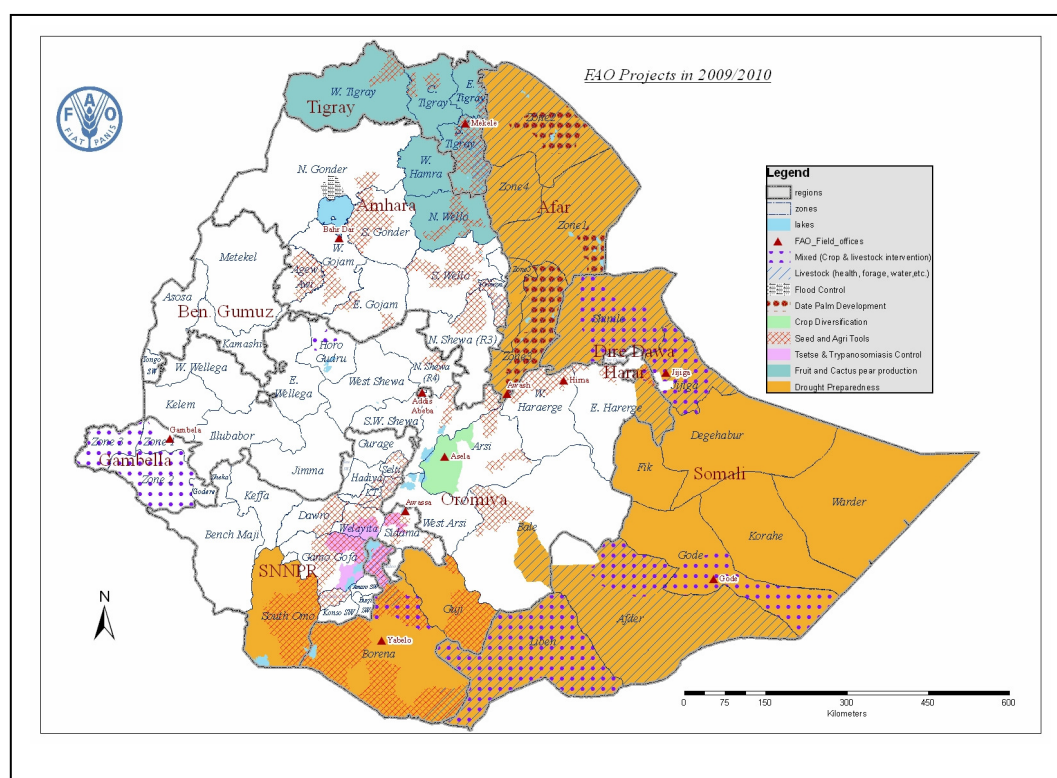
being allocated according to political affiliation rather than solely based on need<sup>7</sup>. A study was commissioned by the Donor Assistance Group (DAG) which found that while aid programmes have accountability systems in place that provide checks on distortions, including distortion for political 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.<sup>8</sup>

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



<sup>7</sup> 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](http://www.dagethiopia.org/index.php?option=com_content&view=category&layout=blog&id=77&Itemid=7)

<sup>8</sup> 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

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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.<sup>9</sup>

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, 2010<sup>10</sup>). 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.

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

<sup>10</sup> 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)<sup>11</sup>.

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

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

## Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

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 Ethiopia<sup>12</sup>. 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 FRETH/SFE office. Amongst the 45 regional projects, other activities that appear to have had a particular focus on Ethiopia<sup>13</sup> 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

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

<sup>13</sup> Regional/global projects still under analysis.



# Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

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

## Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

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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?

## Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

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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?

## Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

- 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

## Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

		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:

## Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

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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.



## Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

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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 6<sup>th</sup> 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 11<sup>th</sup> and 12<sup>th</sup> 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

## Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

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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.

## Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

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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 agriculture<sup>14</sup> 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.<sup>15</sup>
- ❖ NGOs
  - Farm Africa, Save the Children UK and USA, etc. There are over 700 NGOs operating in Ethiopia<sup>16</sup>, 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

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<sup>14</sup> MERIT programme, Purchase for Progress, weather based farmer indexes, etc.

<sup>15</sup> [http://www.unethiopia.org/UN\\_Agencies.aspx](http://www.unethiopia.org/UN_Agencies.aspx)

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

## Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

- ❖ 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**

<b><i>Preparation Phase (Feb-May/2010)</i></b>	<b><i>Dates (2010)</i></b>
<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>
<b><i>Evaluation Phase - (Jun-Sept 2010)</i></b>	

## Independent Evaluation of FAO's Programmes and Cooperation in Ethiopia

<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 7<sup>th</sup> Sept for meetings beginning 8<sup>th</sup>.</i>	<i>10 Sept</i>
<i>Evaluation mission to Ethiopia</i>	<i>11 Sept to 1 Oct</i>
<b><i>Report Writing and Dissemination Phase – (Oct-Dec 2010)</i></b>	
<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 projects<sup>17</sup>). 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

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<sup>17</sup> 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 FRET/SAFE office. Amongst the 49 regional projects, other activities that appear to have had a particular focus on Ethiopia<sup>18</sup> 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)

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<sup>18</sup> 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 NFSP<sup>19</sup>.
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?

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<sup>19</sup> 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 analysis<sup>20</sup>

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 USD<sup>21</sup>. 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 specificity<sup>22</sup>, 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 %

<sup>20</sup> 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.

<sup>21</sup> 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.

<sup>22</sup> "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%
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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 partners<sup>23</sup> in **Food Security** projects<sup>24</sup> (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

<sup>23</sup> Some partners are only potential as reported in the project documents

<sup>24</sup> 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 partners<sup>25</sup> in **Livestock**<sup>26</sup> 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

<sup>25</sup> Some partners are only potential as reported in the project documents

<sup>26</sup> 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)<sup>27</sup>. 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

<sup>27</sup> 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:*

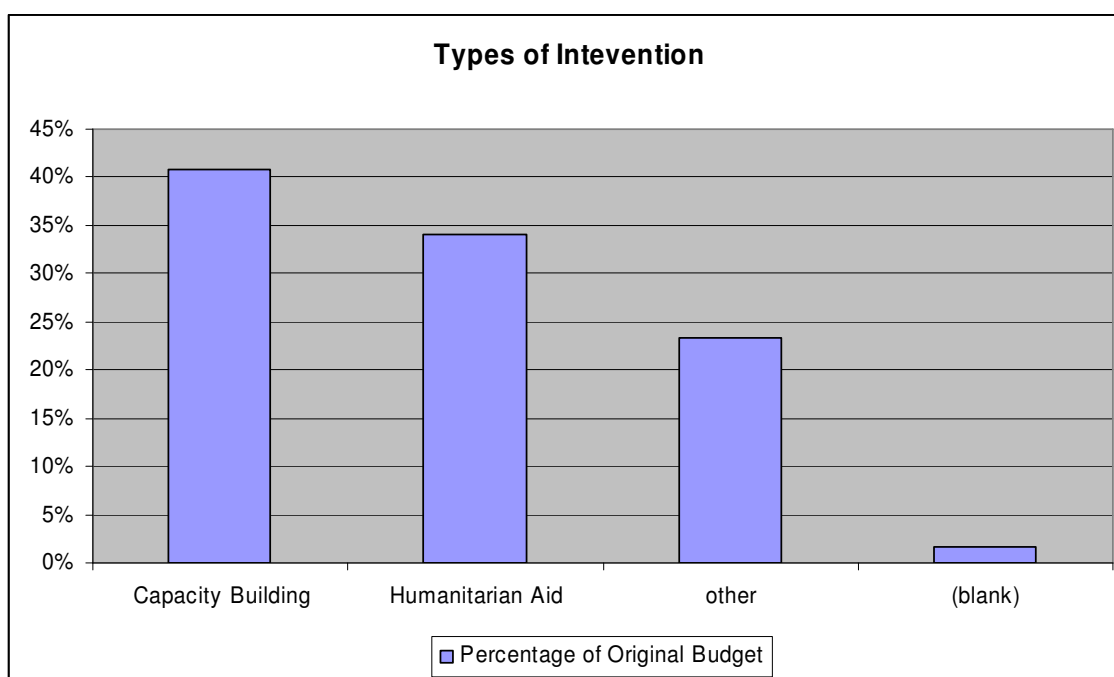
1. WHO

*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.

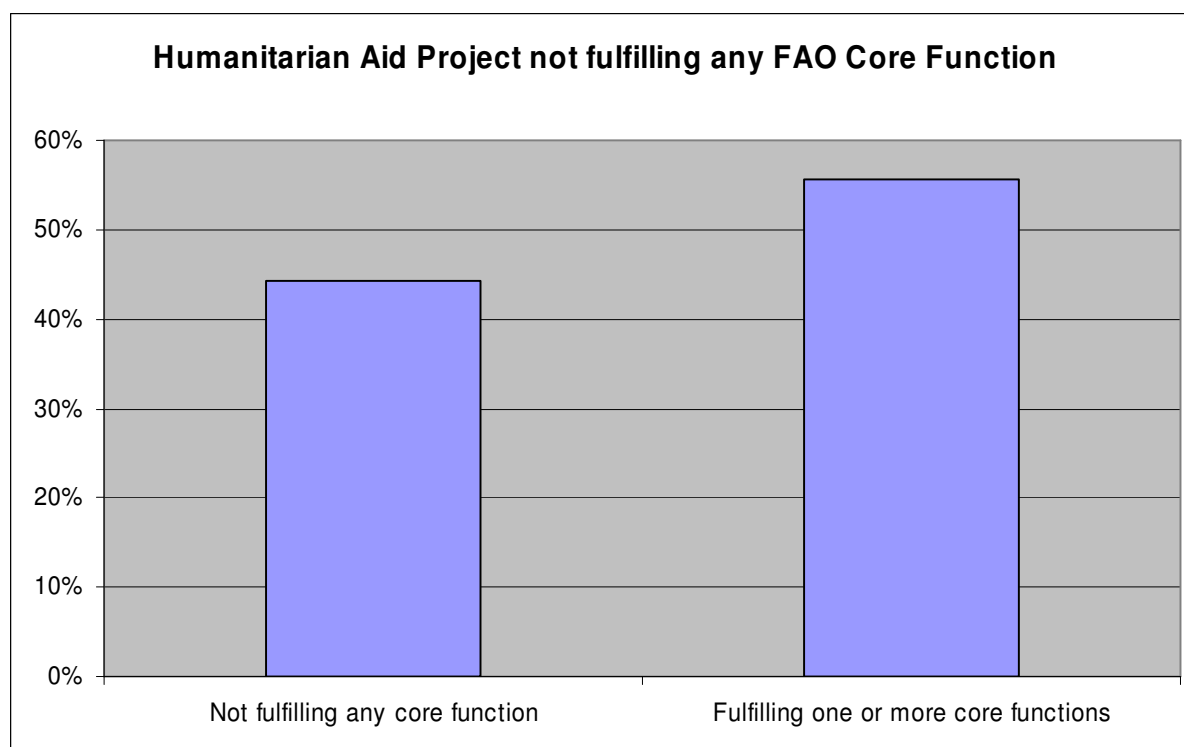
### ***Humanitarian Assistance***

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.

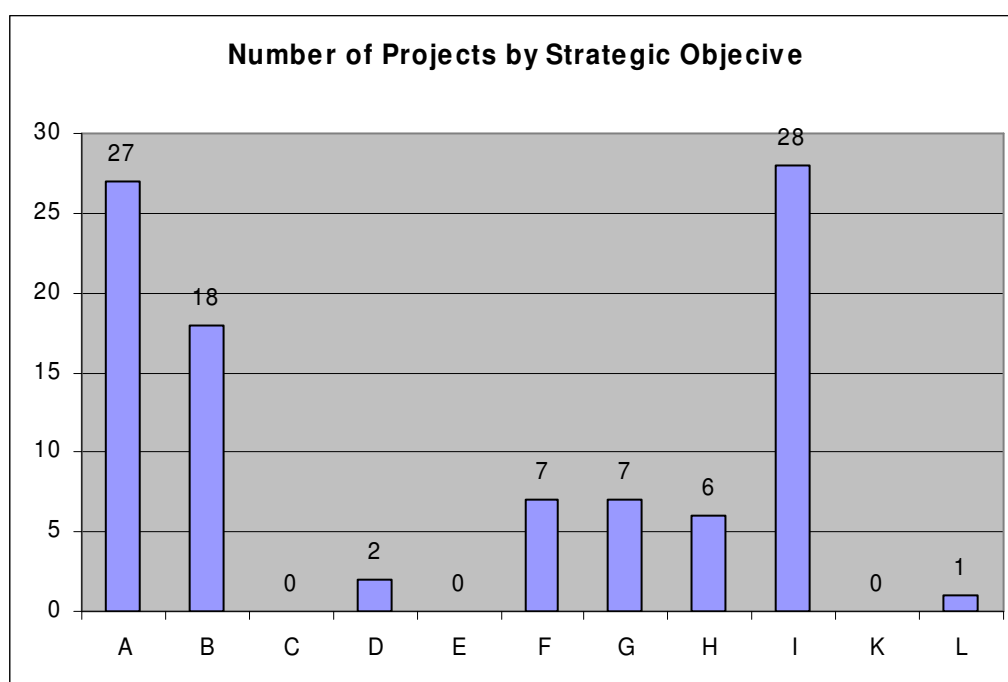
## STRATEGIC OBJECTIVES AND CORE FUNCTIONS

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

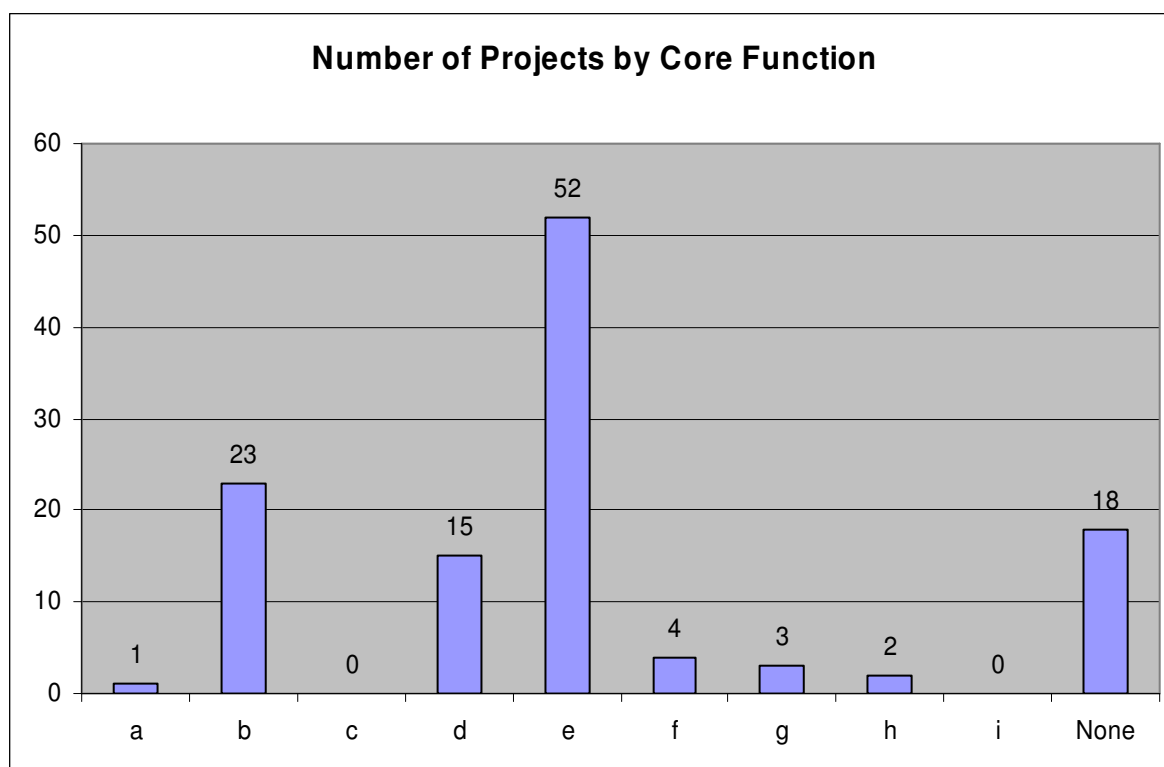
There are no dedicated fisheries or forestry projects. Only two projects cover quality and safety of foods. A handful of projects cover management of land, water and genetic resources and global environmental challenges; another set of projects (two of which quite big) focus on markets and rural development, 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

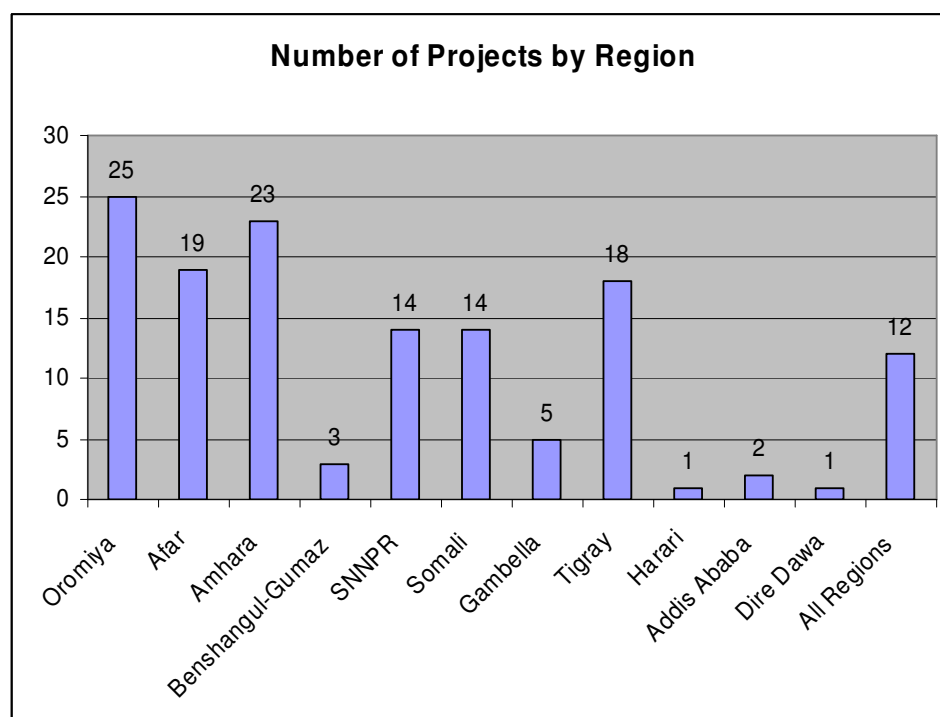
Fifteen projects include at least a policy and strategy options / advice component, accounting for 21% of the total original budget. It is to be remarked, however, that only **one** project fulfils this function *exclusively*, being targeted exclusively at the government. Understandably, many of these 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.

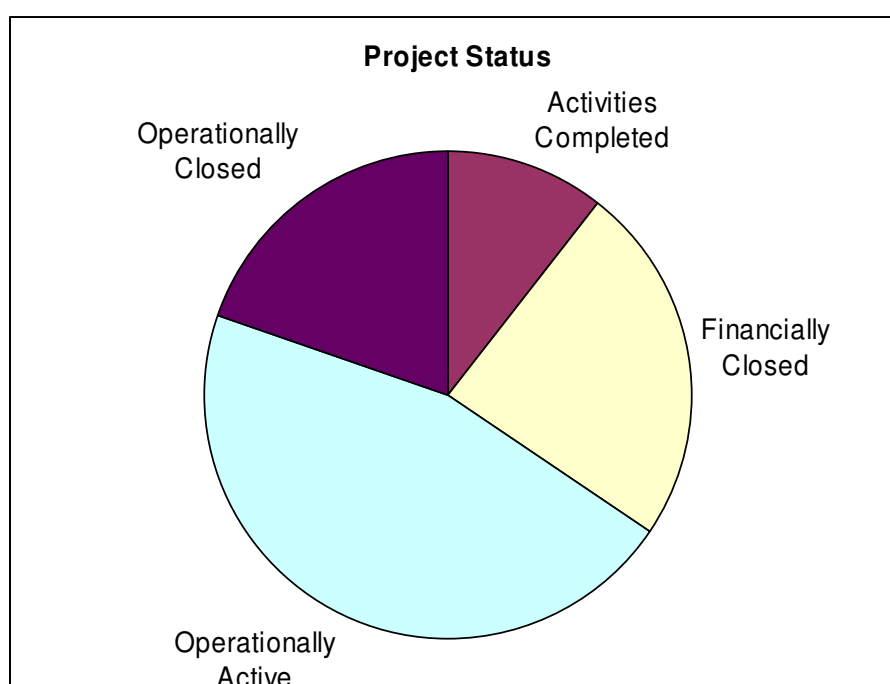
## **TARGET GROUPS**

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.

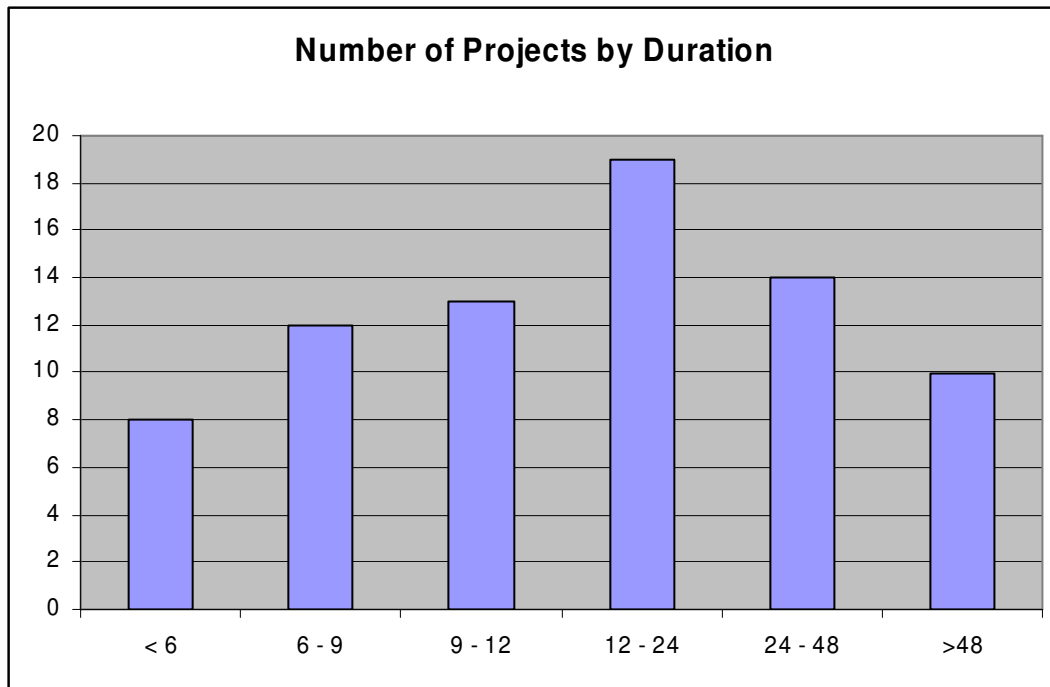


Twelve projects (worth a total \$14,431,758) are **operationally closed**. They are mostly seeds related projects, either humanitarian or capacity building; many of them focused on Strategic Objective A and located, at least in part, in Oromyia (5). On average, they have lasted 1.4 years.

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.

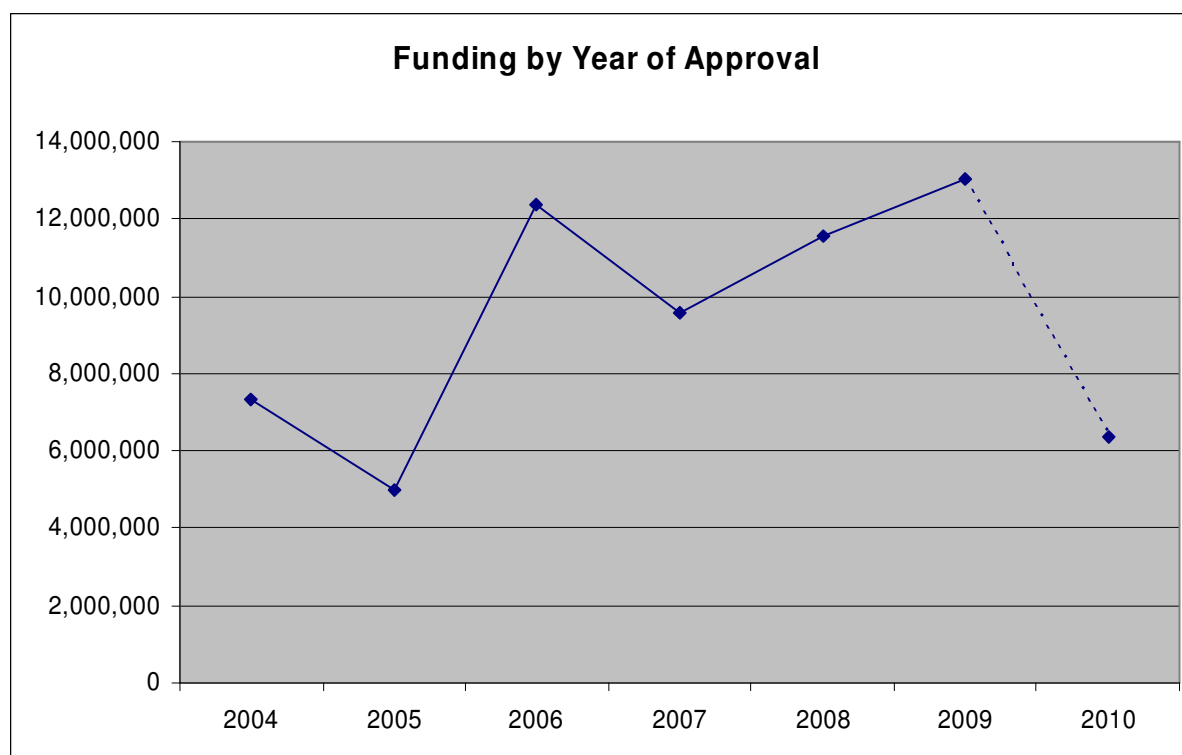


#### FUNDING BY YEAR OF APPROVAL

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 UNOCHA<sup>28</sup>. FAO is the second most important donor in terms of number of projects<sup>29</sup> (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

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

<sup>29</sup> 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 2<sup>30</sup>.

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).

<sup>30</sup> 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-Gumuz, 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”<sup>31</sup>. 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

<sup>31</sup> 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 economically<sup>32</sup>. 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.

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<sup>32</sup> 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

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**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)	
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\*: 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)	
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\*: 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](http://www.intercooperation.ch)). His activities relate mainly to international cooperation in the field of tropical forestry and international forest policy (see [www.tropicalforests.ch](http://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 <sup>th</sup> 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: <ul style="list-style-type: none"> <li>▪ SelfHelp Africa Country Director – Dr. Wubshet Berhanu,</li> <li>▪ FarmAfrica Country Director – Mr. Jonathan Napier,</li> <li>▪ SC USA</li> <li>▪ SC UK - Maria Ruiz-Bascaran and Matebie Fentie</li> </ul>
	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
<b>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?</b>				
<b>1.1 Implementing FAO's own Ethiopia strategy</b>	<p>Are the interventions based on the PASDEP and UNDAF strategies, and the Draft NMTPF?</p> <p>Has FAO analyzed its comparative advantages?</p> <p>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?</p> <p>Are there any missed opportunities?</p>	<p>FAO's strategy for Ethiopia</p> <p>Consistency of FAO's objectives and intended results with FAO's broader policies and strategies</p> <p>Consistency of FAO's objectives and intended results with PASDEP policies and strategies.</p> <p>Analysis done, documented and shared</p> <p>Strategies that were defined.</p> <p>Reflections on missed opportunities.</p>	<p>Interviews with FAO's Officials (HQ, FAOR, Regional Office) and partners in Addis Ababa and the regions;</p> <p>Document analysis</p>	Rome, Addis Ababa
<b>1.2 Addressing Donors' priorities</b>	<p>What are the Donors' priorities in the context of the FAO's comparative advantage in Ethiopia, and how are they taken into account?</p>	<p>Priorities and policies of relevant Donors.</p>	<p>Discussions in the Consultative Group meetings;</p> <p>Document analysis.</p>	Rome, Addis Ababa

<b>1.3 Addressing GoE priorities</b>	<ul style="list-style-type: none"> <li>– To what extent has FAO played the “honest broker” supporting dialogue between the GoE and other stakeholders (donors, private sector investment, etc)?</li> <li>– How does GoE view different activities of FAO in Ethiopia? Are there areas of divergence with FAO?</li> <li>– 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?</li> <li>– How appropriate have FAO’s responses been to priority sectoral issues (Agriculture, Livestock, Forestry, Fisheries, water, Land tenure)?</li> <li>– How well does the FAO’s programme fit GoE current and emerging development strategies and priorities?</li> </ul>	<p>FAO’s leadership and status in Ethiopia</p> <p>Transition from humanitarian to development assistance</p> <p>Specific sectoral (Agriculture, livestock, natural resources) and land tenure approaches, strategies and priorities supported.</p> <p>Specific new and emerging issues</p>	<p>Interviews of GoE officials and FAO officials;</p> <p>Portfolio review</p> <p>Document analysis;</p> <p>Discussions in the Consultative Group meetings;</p> <p>Field visits.</p>	<p>Rome, Addis Ababa</p>
<b>1.4 Addressing beneficiaries’ short and long term</b>	<ul style="list-style-type: none"> <li>– Do the FAO interventions address the needs and priorities of the beneficiaries?</li> <li>– Is FAO’s strategy relevant to</li> </ul>	<p>Evidence of primary stakeholders participation in projects’ identification;</p> <p>The intervention strategies</p>	<p>Document analysis;</p> <p>Interviews of FAO officials, FAO’s partners, primary stakeholders and other</p>	<p>Ethiopia: Addis Ababa and field visits</p>

<b>needs</b>	<p>provide answers to deal with food insecurity and poverty of the most vulnerable in a sustainable manner?</p> <ul style="list-style-type: none"> <li>– How are women involved in the needs analysis and design of the projects?</li> <li>– Given the scale of the problems it had to address, did the FAO cover the expressed needs?</li> </ul>	<p>address the problems and needs analysis;</p> <p>Beneficiary profiles influence the choice of strategies.</p> <p>Needs of primary stakeholders are reflected in the planning.</p> <p>Consideration of gender issues</p> <p>Extent of needy groups and regions out of the reach of the influence of the FAO</p> <p>Needs in relation to the means made available.</p>	<p>stakeholders;</p> <p>Field visits</p>	
<b>1.5 International context</b>	<ul style="list-style-type: none"> <li>– How do the interventions relate to MDGs (eradication of extreme poverty and hunger; promote gender equality and empower women, ensure environmental sustainability)?</li> <li>– How have the FAO programmes affected indicators of the relevant MDGs?</li> <li>– How did the FAO interventions relate to UNDAF?</li> </ul>	<p>Relevant MDGs indicators;</p> <p>Relevant MDGs indicators</p> <p>Relevant indicators.</p>	<p>Interviews of FAO and GoE Officials;</p> <p>Review of FAO's documentation on MDGs accomplishments for Ethiopia.</p>	Addis Ababa
<b>2. FCS/PROJECT DESIGN: Are formal FAO/project concepts clear and achievable? Do they include desired and predicted outcomes?</b>				
<b>2.1 FAO and project design:</b>	<ul style="list-style-type: none"> <li>– Does the FAO strategy document provide a Logical Framework that</li> </ul>	<p>Indicators effectively allow measuring the results; where</p>	<p>Collection and analysis of information on food security</p>	Addis Ababa;

	<p>includes a logically valid causal chain from activities to outputs, outcomes and objectives, verifiable indicators and sources of verification, assumptions and risks?</p> <p>Are budgets broken down by outputs?</p>	<p>relevant;</p> <p>Indicators also allow disaggregation by gender, age, and other relevant variables?</p> <p>Logical Framework includes realistic assumptions</p> <p>Realistic planning of the interventions and in appropriate detail</p> <p>Budgets.</p>	and vulnerability in Sudan.	field visits
<b>2.2 Coverage of the interventions</b>	<ul style="list-style-type: none"> <li>– Has FAO's work targeted the most vulnerable areas and groups in the design and implementation of interventions?</li> <li>– Thematic coverage</li> </ul>	<p>Relevance of geographical and group targeting.</p> <p>Internal and external constraints to achieving coverage</p> <p>Covered thematic areas</p>	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
<b>2.3 Linkages of interventions</b>	<ul style="list-style-type: none"> <li>– Are individual projects linked to higher levels (regional and national – micro and macro) and across sectors?</li> <li>– Are field interventions aimed at promoting changes at</li> </ul>	<p>Strategies for making projects contribute synergistically to FAO's higher level results.</p> <p>Approaches and planned activities</p>		

	<p>beneficiaries level linked with efforts for changes at policy level?</p> <p>– Are there thematic linkages within the FAO's strategy?</p>	<p>to inform policy processes with information from field interventions.</p> <p>Approaches and guidelines for effective thematic linkages.</p>		
<b>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.</b>				
<b>3.1 At National level</b>	<b>Achievement of the objectives and outcomes; innovativeness and learning</b>			
<b>3.1.1 Meeting the objectives and intended results</b>	<p>– How has FAO helped to strengthen the capacity of the GoE to exercise leadership in developing and implementing their strategies?</p> <p>– To what extent the intended outcomes were reached?</p> <p>– Do the results address sector issues (agriculture, livestock, forestry, fisheries, land, water) and feed into GoE strategies?</p>	<p>FAO's Response to critical issues in Ethiopia (Food Security, Land tenure).</p> <p>Timely and effective implementation;</p> <p>Stakeholders perceive improvements.</p> <p>Perceptions of GoE and other stakeholders.</p>	<p>Interviews of GoE Officials and FAO Officials;</p> <p>Portfolio review with key stakeholders and partners.</p>	Rome, Addis Ababa
<b>3.1.2 Policy dialogue</b>	How did FAO handle policy dialogue with GoE on important development issues?	<p>Issues and dialogue outcomes.</p> <p>Advocacy activities and outcomes.</p>	Interviews with FAO, GoE officials.	Addis Ababa, regions.
<b>3.1.3 Coordination and partnership</b>	– 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;

<b>with stakeholders</b>	<p>SFE, Nairobi and Accra? Is there a clear approach of formalized division of labour?</p> <ul style="list-style-type: none"> <li>– Which partnerships with stakeholders did FAO develop and for which purpose and on what basis were these partnerships developed?</li> <li>– Which mechanisms for coordination and partnerships with stakeholders were put in place?</li> <li>– Which partnership processes were developed?</li> </ul> <p>What are the partnerships outputs and outcomes?</p>	<p>and practiced in the FAO;</p> <p>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)</p> <p>Partnership processes: leadership, resources, characteristics of members, training.</p> <p>Operational elements: agreements or MoUs on defined purpose, reporting, meetings, decision making.</p> <p>Numbers, diversity, and participation of partners in each type of partnership, achievements.</p>	Documents analysis	field visits.
<b>3.1.4 Innovations, lessons learnt and good practices</b>	<ul style="list-style-type: none"> <li>– Did FAO stimulate innovation (new approaches, methodologies, technologies, etc.)?</li> <li>– 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.)?</li> <li>– Is there an effort in identifying and</li> </ul>	<p>Pilot projects and initial results; new approaches;</p> <p>Information dissemination strategy</p> <p>Use of FAO's existing normative work</p> <p>Existence of particular thematic reflections or publications</p>	Interviews of FAO staff and partners	Rome, Addis Ababa, field visits.



	<p>documenting the FCS's innovations, lessons learned and good practices?</p> <p>– Are lessons learnt feeding into global practices (and vice versa)?</p>	<p>summarizing experiences.</p> <p>Use of standards that FAO promotes;</p>		
<b>3.1.4 Gender</b>	<p>– Is the FAO gender sensitive and does FAO have a gender mainstreaming strategy for its interventions in Ethiopia?</p> <p>– How the gender strategy is implemented and what are the outcomes?</p> <p>– Does FAO monitor achievements as far as gender is concerned?</p> <p>– Did gender related experience in the FAO inform GoE policy?</p>	<p>Commitment and proactive leadership at project level and in project area.</p> <p>Gender related advocacy activities.</p> <p>Existence of gender expertise in the projects</p> <p>Adequate resources are allocated to implementation of gender strategy.</p> <p>Dissemination and use of gender related lessons learned.</p>	Interviews of FAO staff and partners	Rome, Addis Ababa, field visits.
<b>3.1.5 Monitoring and Evaluation System</b>	<p>– What M&amp;E arrangements are in place?</p>	<p>Existing Monitoring and Evaluation System and Plans;</p> <p>Evaluation capacity in place;</p> <p>Regular information from M&amp;E.</p> <p>Clearly assigned responsibility to do monitoring and evaluation; staff and means.</p>	<p>FAO Officials and staff interviews;</p> <p>Documents analysis.</p>	Rome, Addis Ababa.
<b>3.2 At Project level</b>	<b>Achievement of the objectives and timely achievement of the outputs; innovativeness and learning</b>			

<b>3.2.1 Meeting the objectives and intended results</b>	<ul style="list-style-type: none"> <li>– 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)?</li> <li>– With the Project did FAO do its best to select and organize the best knowledge to achieve the intended outcomes?</li> <li>– 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?</li> <li>– Were the activities executed in accordance with the best practices and standards in respective sectors?</li> </ul>	<p>Logical Framework indicators and assumptions.</p> <p>Work plans.</p>	<p>Interviews of project staff and stakeholders;</p> <p>Documents analysis;</p>	<p>Ethiopia; field visits.</p>
<b>3.2.2 Gender</b>	<ul style="list-style-type: none"> <li>– Was women's empowerment included in the project design?</li> <li>– Did the design also include concrete activities to empower women so for their participation in decision-making and project</li> </ul>	<p>Gender equality related indicators defined for project's results in the Logical Framework.</p> <p>Specific activities and processes defined and implemented.</p>	<p>Interviews of project staff and stakeholders;</p> <p>Documents analysis;</p> <p>Performance reports; field observations</p>	<p>Ethiopia- field visits.</p>

	<p>benefits, and are there provisions for monitoring and evaluation of gender differentiated outcomes?</p> <ul style="list-style-type: none"> <li>– What are the project's gender-related outcomes?</li> </ul>	According to indicators in the Logical Framework.		
<b>3.2.3 Innovations and lessons learnt</b>	<ul style="list-style-type: none"> <li>– Did FAO stimulate innovation in the Project (new approaches, methodologies, technologies, etc.)?</li> <li>– Did the management of the project test and implement any service innovation for the beneficiaries' use? What were the outcomes?</li> </ul>	<p>Innovative approaches/ methods/ technologies used;</p> <p>Innovative services to beneficiaries</p>	Interviews of Project staff and project's partners; documents analysis	Addis Ababa, field visits.
<b>3.2.4 Handover to national partners</b>	<ul style="list-style-type: none"> <li>– Do the projects offer opportunities for national partners to become directly involved?</li> <li>– Are there activities that support processes to involve local partners in taking over project activities?</li> </ul>	Activities effectively handed over to partners.	Interviews of Project staff and project's partners; documents analysis	Ethiopia; field visits.
<b>3.2.5 Monitoring</b>	<ul style="list-style-type: none"> <li>– Does the project have an M&amp;E system that allows measuring its efficiency and effectiveness?</li> <li>– Is the M&amp;E system designed to</li> </ul>	<p>Resources allocated to M&amp;E (staff and budget);</p> <p>Information on performance based on Outputs and Outcomes indicators;</p> <p>Arrangements for baseline data collection;</p> <p>Information on project's</p>	Interviews of Project staff and project's partners; documents analysis	Ethiopia; field visits.

	<p>collect gender-disaggregated performance of the project?</p> <ul style="list-style-type: none"> <li>– Is the M&amp;E linked to project management and decision-making mechanisms?</li> <li>– Is there a role given to stakeholders for the M&amp;E?</li> <li>– What has the overall performance of the M&amp;E system been?</li> </ul> <p>How are evaluation recommendations implemented (ex. In project design, implementation, feeding in policies, etc...) and how is their follow-up carried out?</p>	<p>performance in gender related issues.</p> <p>Links with decision-making mechanisms.</p> <p>Regular monitoring and auto-evaluation with the involvement of partners and beneficiaries;</p> <p>Arrangements for collection and analysis of data on achievement of targets (ME activities and budgets), costs;</p> <p>Follow-up of risks and assumptions;</p> <p>Plans for self and participatory evaluations;</p> <p>Reporting: format, reporting schedules according to management levels.</p> <p>Effective use of M&amp;E information for adaptive project management.</p> <p>Examples.</p>		
<b>4. EFFICIENCY: How well the FAO programme was implemented technically, organizationally, procedurally, and financially.</b>				
<b>4.1 Technical</b>	– To what extent has the project	Insights from project officials and	Interviews of FAO officials,	Rome,

<b>aspects</b>	<p>delivered the planned outputs?</p> <ul style="list-style-type: none"> <li>– Was the intervention well targeted?</li> <li>– Were activities implemented and outputs delivered on schedule and within budget?</li> <li>– Were the outputs delivered economically (i.e. were the most cost effective resources and processes used)?</li> <li>– Were there any technical constraints (ex. roads, quality seeds availability, etc...)</li> <li>– What is the role played by each level (HQ, FAOR, Regional Office,) in project approval, launch and implementation.</li> </ul>	<p>beneficiaries.</p> <p>Target beneficiary groups and regions</p> <p>Work plans and budgets</p> <p>M&amp;E systems and monitoring plans;</p> <p>Factors that might have contributed to costs (where it may apply).</p> <p>Roles at each level.</p>	<p>project staff, partners and stakeholders;</p> <p>Document analysis;</p> <p>Evaluations;</p> <p>Review missions reports</p>	<p>Addis Ababa, field visits.</p>
<b>4.2 FAO national Project Management and coordination</b>	<ul style="list-style-type: none"> <li>– Have the overall Project management and field coordination mechanisms been adequate?</li> <li>– What decision-making processes have impacted positively/negatively the implementation of projects?</li> </ul>	<p>Overall management coordination;</p> <p>Relationships with partners;</p> <p>Role of HQ, FAOR and Regional Office;</p> <p>Impacts of the mechanisms for Stakeholders participation (Steering committees, advisory committees, technical committees, etc.);</p> <p>Monitoring and self-evaluation mechanisms and effective use of</p>		

	<ul style="list-style-type: none"> <li>– How is the FAO working with GoE partner agencies, civil society organizations, and the private sector</li> </ul>	<p>ME information for FAO adaptive management.</p> <p>Approaches and modalities of collaboration and partnerships and results obtained.</p>		
<b>4.3 Organizational and logistical aspects</b>	<ul style="list-style-type: none"> <li>– Were personnel, finance and materials provided as planned and timely and were they adequate to meet the requirements?</li> <li>– Were the quality of FAO's inputs and services (expertise, equipment, training, approaches and methodologies) provided as planned?</li> <li>– Was coordination between different levels and services of FAO involved (horizontally and vertically) adequate?</li> <li>– Were coordination and the harmonization of FAO's activities with other national, regional, and local development interventions conceptualized and</li> </ul>	<p>Work plans and their implementation;</p> <p>-ditto-</p> <p>Overall coordination and management;</p> <p>Relationships at different FAO levels and with partners;</p> <p>Steering committee and other committees/groups (consultative, advisory, technical, etc.)</p> <p>Experts and staff;</p>		

	<p>implemented?</p> <p>– Was partners' institutional capacity sufficient?</p>			
<b>4.4 Project termination</b>	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.
<b>5. IMPACT: Wider effects of the FAO programme/project on individuals, gender, community groups, and institutions.</b>				
<b>5.1 Planned changes</b>	<p>What are the impacts on beneficiaries at household and community levels (food security, production, income, access to markets, gender equality, etc...)?</p> <p>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)?</p> <p>How is the programme/project already affecting the broader society at relevant levels and what are the likely future impacts?</p> <p>How much did the programme/project contribute to reaching the Development objective?</p>	Indicators defined in the Logical frameworks.	<p>Interviews of Project staff, partners and other stakeholders.</p> <p>Document analysis.</p> <p>Individual project evaluations and impact studies.</p>	Addis Ababa, field visits.

	What are the impacts on GoE policy processes and implementation?			
<b>5.2 Wider planned or unplanned changes attributable to the project</b>	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
<b>6. SUSTAINABILITY: Whether programme/project results and impacts are likely to continue after the completion of FAO's respective intervention.</b>				
<b>6.1 From emergency to development</b>	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.
<b>6.2 Durability of results</b>	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.



	<p>programme/project's results?</p> <p>Are results technically and economically sustainable?</p> <p>Does the government conduct post-project follow-up?</p>			
<b>6.3 Ownership of programme/ project results</b>	<p>Has beneficiaries' involvement in the identification and implementation of project activities given them a sense of ownership?</p> <p>To what extent will the processes initiated by the programme/project continue after its termination?</p> <p>Are the beneficiaries using the outputs of the respective projects with a view of achieving the intended outcomes and impacts?</p>	<p>Leaders of beneficiary groups perceive changes in their capacity to plan and manage local development.</p> <p>Partners' preparedness to manage post-project situations: organizational, technical, capacities.</p> <p>Status of the use of outputs for impacts.</p>	Interviews of project staff, partners and other stakeholders.	Addis Ababa, field visits.

<b>6.4 Financial sustainability</b>	<p>What financial mechanisms are there to sustained project results if FAO's financial resources were stopped?</p> <p>Have beneficiaries' organizations reached financial sustainability and are members willing to pay for the services provided by the project?</p>	<p>Existence of locally managed funding mechanism.</p> <p>Payment of services by users.</p>	Interviews of project staff, partners and other stakeholders.	Addis Ababa, field visits.
<b>6.5 Institutional sustainability</b>	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.
<b>6.6 Use of acquired experience and methods developed after projects completion</b>	<p>Were they used in further assessment of needs? Did they feed in policy processes?</p> <p>Was there a systematic learning process based on a good information collection and valid reporting?</p>	<p>New needs assessments;</p> <p>Examples of use in policy processes.</p>		

## **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)<sup>33</sup>**

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

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<sup>33</sup> <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 27<sup>th</sup> 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

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.<sup>34</sup>

## **1.2. 1. Responsibilities**

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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)

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<sup>34</sup> 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 synthesis<sup>35</sup> 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

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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

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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

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#### 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.

<b>Phase I Inception &amp; Preparation</b>		<b>Total</b>
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<sup>35</sup> 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.

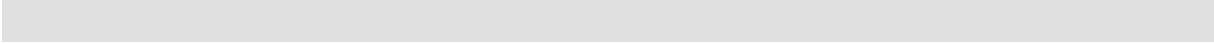
			Days
H	Review of project documentation, discussion with the IA team and feedback to OE on the Study Protocol and Data gathering instruments (3 days)	Aug, 2010	7
H	Support for preparation and implementation for the field work in Tigray and Amhara regions	Aug – Oct 2010	6
<b>Phase II – Data collection and field evaluation mission</b>			
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
<b>Phase III - Evaluation report</b>			
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
<b>Total Days</b>			<b>39</b>

## 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.

05/04/2011

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**<sup>1</sup>. 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.<sup>36</sup>
- 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.

<sup>36</sup> 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**

<b>Time</b>	<b>Meeting</b>	<b>Participants</b>	<b>Where</b>	<b>What will be discussed</b>
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**

<b>Time</b>	<b>Meeting</b>	<b>Participants</b>	<b>Where</b>	<b>What will be discussed</b>
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