



Empowered lives.  
Resilient nations.

# ASSESSMENT OF DEVELOPMENT RESULTS **ETHIOPIA**

EVALUATION OF UNDP CONTRIBUTION



HUMAN DEVELOPMENT effectiveness COORDINATION AND PARTNERSHIP efficiency COORDINATION AND PARTNERSHIP sustainability NATIONAL OWNERSHIP relevance MANAGING FOR RESULTS responsiveness NATIONAL OWNERSHIP effectiveness COORDINATION AND PARTNERSHIP efficiency COORDINATION AND PARTNERSHIP sustainability NATIONAL OWNERSHIP relevance MANAGING FOR RESULTS responsiveness HUMAN DEVELOPMENT effectiveness COORDINATION AND PARTNERSHIP





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### ASSESSMENT OF DEVELOPMENT RESULTS: ETHIOPIA

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# FOREWORD

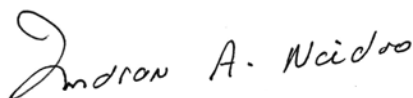
I am pleased to present the Assessment of Development Results (ADR) in the Federal Democratic Republic of Ethiopia. The Independent Evaluation Office (IEO) of UNDP conducted the ADR in 2015. It is the second ADR conducted in Ethiopia and covers the UNDP Country Programme 2012–2015.

Ethiopia has experienced notable political, economic and social development during the last decade. Recent economic growth rates are among the highest on the African continent. The Government of Ethiopia aims to achieve middle income country status with a green economy by 2025. It launched the Climate-Resilient Green Economy strategy in 2011, which is viewed as an opportunity for the country to transform its development model to a more energy-efficient trajectory.

UNDP's support to the Government of Ethiopia consists of policy advice and institutional capacity development in three of the government's thematic priority sectors: (i) sustainable economic development; (ii) climate-resilient green growth; and (iii) democratic governance. The ADR found that the most significant contribution to development results during the period

covered by the evaluation was the institutional capacity UNDP built or supported in critical institutions in these sectors. The Government of Ethiopia perceives UNDP as an important and trusted partner, which has allowed UNDP to play an influential role in the development process. Going forward, this report includes a set of recommendations for UNDP consideration during its next Country Programme 2016–2020, and UNDP management will indicate the actions they intend to take in response.

I would like to thank the Government of Ethiopia and other stakeholders for their support throughout the evaluation process. I hope this report will be of use to UNDP, to the Government of Ethiopia and other development partners in prompting discussions on how UNDP may be best positioned to support Ethiopia as it continues on its path toward sustainable human development.



Indran A. Naidoo  
Director  
Independent Evaluation Office





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# ACRONYMS AND ABBREVIATIONS

ADLI	Agricultural Development-Led Industrialization
ADR	Assessment of Development Results
AGP	Agricultural Growth Programme
AMP	Aid Management Platform
ATA	Agricultural Transformation Agency
AWP	Annual Work Plan
BoFED	Bureau of Finance and Economic Development
BOS	Business Operations Strategy
CAADP	Comprehensive African Agricultural Development Programme
CBO	Community-Based Organization
CCF	Country Cooperation Framework
CETU	Confederation of Ethiopian Trade Unions
CO	Country Office
CPAP	Country Programme Action Plan
CPD	Country Programme Document
CRGE	Climate-Resilient Green Economy
CRGG	Climate-Resilient Green Growth
CSA	Central Statistical Authority
DAG	Development Assistance Group
DaO	Delivery as One
DIP	Democratic Institutions Programme
DMFSS	Disaster Management and Food Security Sector
DPPA	Disaster Prevention and Preparedness Agency
DRM	Disaster Risk Management
DRMFS	Disaster Risk Management and Food Security Sector
DRR	Disaster Risk Reduction
DRR/LR	Disaster Risk Reduction and Livelihood Recovery
DSM	Direct Seed Marketing
ECX	Ethiopian Commodity Exchange
EDC	Entrepreneurship Development Centre
EDP	Entrepreneurship Development Programme
EHRC	Ethiopian Human Rights Commission
EIO	Ethiopian Institution of the Ombudsman
EPRDF	Ethiopian People's Revolutionary Democratic Front
EPRP	Emergency Preparedness and Response Plan
ESDP	Education Sector Development Programme
ESTC	Ethiopian Science and Technology Commission
EU	European Union

EW	Early Warning
FDI	Foreign Direct Investment
FEACC	Federal Ethics and Anti-Corruption Commission
FEACC	Federal Ethics and Anti-Corruption Commission
FeMSEDA	Federal Micro and Small Enterprises Development Agency
GDP	Gross Domestic Product
GEF	Global Environment Facility
GEWE	Gender Equality and Women's Empowerment
GoE	Government of Ethiopia
GTP	Growth and Transformation Plan
HDI	Human Development Index
HoPR	House of Peoples' Representatives
IEO	Independent Evaluation Office
ILG	Institute of Leadership and Governance
IP	Implementing Partner
JPs	Joint Programmes
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MDG-F	Millennium Development Goals Fund
MoA	Ministry of Agriculture
MoCT	Ministry of Culture and Tourism
MoE	Ministry of Education
MoFA	Ministry of Federal Affairs
MoFED	Ministry of Finance and Economic Development
MoH	Ministry of Health
MoT	Ministry of Trade
MoI	Ministry of Industry
MoWIE	Ministry of Water, Irrigation and Energy
MTR	Mid-Term Review
NEBE	National Electoral Board of Ethiopia
NHDR	National Human Development Report
NIM	National Implementation Modality
NMA	National Meteorology Agency
NPC	National Planning Commission
ODA	Official Development Assistance
OFAG	Office of the Federal Auditor General
PASDEP	Plan for Accelerated and Sustained Development to End Poverty
PBS	Promoting Basic Services
PIF	Policy and Investment Framework
PISO	Programme Implementation Support Officer
PSNP	Productive Safety Net Programme
RBA	Regional Bureau for Africa
RSCA	Regional Service Centre for Africa

SDG	Strengthened Democratic Governance
SMEs	Small and Medium-scale Enterprises
SNNPR	Southern Nations, Nationalities, and Peoples' Region
SPIF	Strategic Programme and Investment Framework
TIRR	Teff, Improved Seed, Reduced Seed Rate, and Row Planting
UNCDF	United Nations Capital Development Fund
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNV	United Nations Volunteers
USD	United States Dollar



# EXECUTIVE SUMMARY

The Federal Democratic Republic of Ethiopia and the United Nations Development Programme (UNDP) cooperate in advancing sustainable human development. The current UNDP Country Programme (CP) covers the four-year period 2012–2015 with an approved budget of \$181.7 million. The CP was extended to mid-2016 to align with Ethiopia’s national development planning cycle.

In accordance with the UNDP Evaluation Policy, the Independent Evaluation Office (IEO) of UNDP conducted a country-level evaluation, or Assessment of Development Results (ADR), in Ethiopia in 2015. The ADR aims to capture and demonstrate evaluative evidence of UNDP’s contribution to development results in Ethiopia in order to:

- support the development of the next UNDP CP;
- strengthen accountability of UNDP to national stakeholders; and
- strengthen accountability of UNDP to the Executive Board.

The evaluation has two main components: (i) analysis of UNDP’s contribution to development results, specifically, against the outcomes contained in the Country Programme Document (CPD); and (ii) analysis of UNDP’s strategy to enhance its contribution to development results in Ethiopia. It also sought to assess the roles and contributions of United Nations Volunteers (UNV) and United Nations Capital Development Fund (UNCDF) in their joint work with UNDP. Conducted in August and September 2015, the ADR covered the period from January 2012 to June 2015. It also took account of some longer-term activities that have continued from the previous programme cycle. The evaluation was conducted in consultation with the Country Office (CO), the Regional

Bureau for Africa (RBA) and government authorities. The unit of analysis for the evaluation is the CPD outcomes. The primary users of the ADR are the CO and RBA.

The evaluation used qualitative methods, including desk reviews, individual and group interviews and direct observations made during site visits. The ADR evaluation team sought to obtain a wide range of views from government implementing partners, bilateral donors, UNDP and UN staff, programme beneficiaries and private sector representatives. Data and information from various sources were triangulated and validated by cross-verification of the sources. The evaluation team held a validation meeting with the CO at the end of the fieldwork and submitted a preliminary report. A final stakeholder workshop was held with the CO, government stakeholders and development partners to validate the findings, conclusions and recommendations.

## THE UNDP COUNTRY PROGRAMME

Within the umbrella of the 2012–2015 UN Development Assistance Framework (UNDAF), UNDP provides policy support and institutional capacity development to the Government of Ethiopia (GoE) in three priority thematic sectors: (i) sustainable economic development; (ii) climate-resilient green growth; and (iii) democratic governance and capacity development. UNDP has also aimed to promote coordination, efficiency and effectiveness of the UN system as a whole at the country level, including as an administrative agent for several multi-donor pooled funding programmes. In particular, this includes hosting the Development Assistance Group (DAG), which was established in 2001 by 28 bilateral and multilateral partners to foster and catalyse policy dialogue as well as to coordinate and harmonize development support. The

DAG Pooled Fund supports the National Planning Commission of the Ministry of Finance and Economic Development (MoFED) in the implementation across these areas.

Under sustainable economic development, UNDP supports government efforts to accelerate pro-poor economic growth – with agriculture as the key driver – through the provision of institutional capacity development at the national and sub-national levels. In climate-resilient green growth, UNDP supports the government’s implementation of the Climate-Resilient Green Economy (CRGE) strategy through interventions in: (i) policy advisory and technical support; (ii) strengthening institutional capacity; and (iii) support to community initiatives through technology transfer and local actions to facilitate climate change adaptation and mitigation. Under democratic governance and capacity development, UNDP focuses on improving policy, legislative and institutional frameworks that promote democratic governance; improving the capacities of key governance institutions to effectively promote and address governance and human rights issues; and increasing empowerment and participation of citizens in governance processes and issues. Gender, knowledge management and South-South cooperation were addressed as cross-cutting issues in the CP.

The overall theory of change implicit in most work done by UNDP in Ethiopia is that removal of the institutional bottlenecks, whether in governance or policy, supported by upstream capacity building, will lead to ground-level development outcomes with strong government ownership of the development agenda. Consistent with its comparative advantage, many of UNDP’s efforts are upstream and, in combination with efforts of many others, downstream results are delivered. It is to be understood, therefore, that where ground-level results are cited, they are often the outcome of efforts by UNDP in combination with government agencies and other development actors. However, reported upstream policy and institutional changes can be attributed to a greater extent to UNDP’s effective engagement with GoE.

## KEY FINDINGS

### EFFECTIVENESS OF UNDP CONTRIBUTION

#### Sustainable Economic Development

UNDP-supported interventions contributed to increased use of improved services, marketing, and appropriate agricultural technologies and practices. These appear to have brought tangible improvements to agricultural production and productivity to smallholder farmers. While UNDP cannot be credited for the detailed field results achieved by the Agricultural Transformation Agency and the Ministry of Agriculture, it must be recognized for the leadership, catalytic resources, technical support and capacity building it provided to these institutions, which has allowed them to achieve important results. In the industrial sector, UNDP-supported projects were effective in building government capacity, creating strong support institutions, but much more needs to be done to transform these capacities to strengthening the growth of the small and medium-scale enterprises sector. The Entrepreneurship Development Programme, which incorporated some of the goals of an earlier local economic development project, has played a catalytic role in encouraging women and young entrepreneurs with promising initial results in terms of increases in income. However, the scale has been limited thus far, with only 10 percent of the training target achieved. There were several reasons for this, including budgetary shortfalls.

#### Climate-Resilient Green Growth

With UNDP’s support, Ethiopia now has a CRGE strategy and a complementary supportive financial facility, which has mobilized resources to support the strategy. Implementing institutions have been strengthened with equipment and trained personnel. UNDP has played an equally significant role in disaster risk management (DRM), with progress made in the development of policies, strategies and capacity development. UNDP provided financial and technical support and coordinated the approval of national DRM Strategy Programme and Investment Framework, and facilitated skills development at mul-



tiple levels. Community livelihoods have been supported to a limited extent through livelihood recovery actions. Despite the progress UNDP has made in supporting GoE efforts to initiate and review policies and strengthen capacities of institutions, more coordination was required to fill gaps in mainstreaming climate change and environment issues in the country's planning, investment and development programmes.

### **Democratic Governance and Capacity Development**

UNDP made adequate contributions to the expected outcome results in this thematic area, in particular to policy changes and government institutional capacity, which have produced tangible, positive results in promoting human rights, anti-corruption, elections and auditing. UNDP's policy advisory services supported strong dialogue with the DAG. Although some results have been achieved in empowering citizens to actively participate in governance processes, the contribution to improving mechanisms and building the capacities of rights-holders for participation was not strong enough. Activities were largely supply-driven with inadequate attention to the demand side of the governance equation. The deployment of UNVs to provide technical assistance to the targeted regional institutions in the Democratic Institutions Programme was seen as successful. Similarly, UNCDF lead role in the livelihood component of the Joint Programme on Developing Regional States was also important.

### **Gender**

Systematic gender mainstreaming across the CP was limited. Most UNDP-supported projects and programmes incorporated some gender concerns during implementation. Gender strategies were developed and most projects ensured greater women's participation in interventions. The CO also initiated measures to strengthen the enabling environment in line with corporate standards. However, much more still needs to be done in mainstreaming gender in all its dimensions in UNDP-supported programmes.

### **RELEVANCE OF UNDP CONTRIBUTION**

UNDP interventions in all three thematic areas were in full alignment with the GoE's national and sectoral development plans and policies, and to UNDP's corporate priorities and strategies. They were also found to be largely relevant to local communities' needs, although in some areas more structured and comprehensive needs assessments at local levels are required to further strengthen alignment.

Under sustainable economic development many of the upstream policy and institutional support actions were complemented by local level institutional development and strengthening, as well as projects targeted at supporting the livelihoods of local people and thus aligned with their human development needs. UNDP interventions under the climate portfolio were in line with international commitments, such as in the Convention on Biological Diversity and the International Treaty on Plant Genetic Resources for Food and Agriculture, which reflects Ethiopia's international commitments to *in-situ* conservation. The implemented projects had demonstrated good community participation and identified project activities based on local communities' needs and priorities. Nevertheless, more structured and formal needs assessments at all levels, from federal to regions and communities, will help UNDP to prioritize interventions and align them with a more comprehensive resilience-building approach.

### **EFFICIENCY OF UNDP CONTRIBUTION**

UNDP demonstrated strong internal management practices to enhance programme and operational efficiency. These included mechanisms to improve UNDP and implementing partner (IP) delivery capacity. Overall programme implementation rates were high, but over-ambitious budget plans requiring continuous adjustments were observed.

An expenditure analysis of sampled projects shows that the largest proportion of spending was concentrated on activities in line with UNDP's role

in providing advisory services and capacity building. In particular, over half of all expenditure was in the area of consulting and contracting services, plus trainings, workshops and conferences. Overall annual programme implementation rates were high, averaging 89 percent across all programme units. Reviewed independent audit reports of nationally implemented projects indicate that UNDP programmed disbursements in compliance with guidelines and programme documentation. Implementation rates nonetheless varied by thematic area.

UNDP has played a key role in conceptualizing and rolling out the Business Operations Strategy (BOS) and other operations-focused initiatives that have demonstrated cost savings. As one of the pilot Delivery as One (DaO) programmes, self-starter Ethiopia was among the first to establish a database that allowed other UN partners to use each other's long-term agreements. This is oriented toward the reduction of transaction costs of procurement procedures for goods and services commonly used for programme delivery among multiple UN partners, as well as the generation of actual cost-savings through discounted volume purchasing. UN partners indicated that this has been greatly facilitated by the UNDP leadership, particularly in a context where the burden for coordinated decision-making is greater.

These promising initiatives and the BOS implementation have led to demonstrated cost savings. While the United Nations Country Team (UNCT) did not reach the projected \$13.4 million in savings, a cost-benefit analysis conducted in a multi-country evaluation by the United Nations Development Group indicated that Ethiopia had the largest net savings in the area of procurement services (\$2.6 million in 2014) of the five participating countries. The key cost reduction driver was bulk discounts (91 percent) followed by transaction costs avoided (9 percent). The Ethiopia case confirms that the BOS pilot project has immediate value to the operational harmonization of the UN development system at the country level.

## **SUSTAINABILITY OF UNDP CONTRIBUTION**

UNDP interventions overall had a high level of government ownership, which enhances sustainability, as does training, institutional capacity development, consultative workshops and other measures that have built the technical capacity of implementing partners and beneficiaries. However, a lack of clear exit mechanisms resulted in the unavailability of additional planned government recurrent funding for some projects, or enough time for local partners to integrate activities in their recurrent work programmes, thus reducing the potential for sustainability and scaling-up.

UNDP has supported strong institutional capacity development at both the national and sub-national levels, enhancing national ownership. While strong government ownership anchored in strong institutional capacity development may partly sustain programme results, the evaluation found other elements of sustainability that need improvement. Overall, there is a need to early define exit strategies for interventions supported by UNDP. Conceptually, early incorporation of clear exit strategies can help UNDP to plan its project termination in ways that enhance smooth transition, or get governments to plan additional resources to take over, or get local partners to integrate UNDP-supported activities into their recurrent work plans and avoid unrealistic expectations in beneficiary stakeholders.

## **UNDP'S STRATEGIC POSITIONING**

In a context of strong national ownership, UNDP's strong strategic position as a trusted and neutral GoE partner has allowed it to play an influential role in the development process, including on sensitive democratic governance issues. UNDP effectively leveraged a range of partnerships to deliver its programmes, including UNCT members, government institutions, multi-donor platforms, South-South arrangements and, to a more limited extent, civil society and the private sector. UNDP's policy influence and ability to leverage partnerships and networks contributed occasionally to multi-donor resource mobilization for national institutions. Working with the UN Resi-

dent Representative, UNDP has helped introduce new policy issues into the national development agenda with knowledge products as one key entry point. UNDP is viewed as an effective interlocutor, leveraging its network of offices, policy centres and expertise at the regional and global levels to foster South-South cooperation.

## CONCLUSIONS

**Conclusion 1.** As may be expected in a country with such strong government ownership of the development agenda, UNDP efforts during the CPD 2012–2015 served government priorities and, to some extent, also matched those of local communities. The thematic areas proposed for the next CPD build on these and are consistent with ongoing changes in government priorities.

**Conclusion 2.** The most significant contribution to development during this CPD was the institutional capacity UNDP built or supported in critical institutions in its thematic areas of democratic governance, agricultural productivity, private sector development and climate-resilient green growth. However, the linkages to changes in people's lives on the ground were not always evident.

**Conclusion 3.** On programme design, individual project activities were focused on results, but only in a limited number of cases were synergies identified across programme units. Partnerships at the local level were inadequate and limited micro–macro linkages between downstream and upstream programmes were forged.

**Conclusion 4.** Most of UNDP's programmes could be considered as having delivered satisfactorily at the output result level. UNDP's specific contributions to outcome results were more difficult to assess.

**Conclusion 5.** The sustainability of outcomes was mixed. Strong government ownership of the supported projects and capacity building of partner institutions to help carry forward the projects on their own when UNDP support ends augurs well for sustainability. But ownership at the com-

munity level was less strong and, coupled with the pervasive lack of exit strategies, these weakened prospects for sustainability.

**Conclusion 6.** UNDP has leveraged its strong and close relationship with GoE to navigate sensitive policy issues from a human development perspective and to act as an interlocutor between other development partners and GoE. At the same time, UNDP leadership has been challenged with the need to balance its close government engagement with the expectations of other development partners, including some DAG members, for it to play an advocacy role of their behalf. Advocating for citizens' empowerment was similarly challenging.

**Conclusion 7.** All UNDP programmes were intended to contribute to the UNDP corporate goal of poverty reduction directly or indirectly. The actual extent of contribution is difficult to assess, because much of its work was upstream in policy, institutional and capacity development and not directly linked to poverty indicators. Theories of change in individual programme areas were not clear enough to establish these links and make such poverty outcomes evaluable. Similarly, issues of inequality and resilience-building were not adequately addressed.

## RECOMMENDATIONS

**Recommendation 1.** By building on its track record, and taking account of GoE's Growth and Transformation Plan II priorities, UNDP should continue to support institutional building and capacity development particularly in sustainable economic growth, democratic governance and climate-sensitive and resilient development. At the same time, continued attention to the private sector and community-level development will be necessary to support expected development outcomes. An explicit focus on resilience should be included.

*Management Response.* The recommendations raised are well aligned with the CO's current thinking on what will constitute our programme priorities over

*the next CPD, and we agree that more resources and support to GoE should be sustained. This will ensure that the whole realm of public governance continues to be strengthened to safeguard current democratic dividends, while ensuring that the country stays on a rapid path of democratization and development. On the later aspect of ensuring sustainable development, the CO agrees that building a programme to enhance capacities to deliver economic rights and freedoms is important in promoting inclusive development in general, and private sector development in particular. We also agree to take up a greater leadership and coordination role on resilience and early recovery within the UNCT system and with development partners; and to deepen our downstream interventions in communities that are most vulnerable to droughts and climate hazards, with targeted responses on women, youth and children, and marginalized groups.*

**Recommendation 2.** UNDP should maintain and use its strong relationship with GoE to engage in policy dialogue, but strengthen its sustainable human development perspectives. These are critical to meeting the needs of Ethiopia's people and are consistent with the UNDP Strategic Plan priorities and engagement principles, including participation and citizens' empowerment

***Management Response.** UNDP management recognizes the privileged position as Ethiopia's trusted partner—the goodwill that has been built over years of repeated interaction with the senior leadership of the Government of Ethiopia. This goodwill and trust will be leveraged by UNDP (and the UN Resident Coordinator's Office) to enhance strategic dialogue with the government, especially on politically strategic issues where such levels of trust as they exist now are important in brokering dialogue with government. UNDP will, however, remain astute and careful in its engagement with government so as to maintain and deepen the trust and respect it has earned, and ensure that this privileged position is sustained in the coming years.*

**Recommendation 3.** To enhance sustainability, UNDP should incorporate well-defined exit strategies into all its programmes and projects, as well as explicit learning. It should scale up strat-

egies for pilot projects. This should be complemented by building synergies horizontally across programming units and vertically through clear articulation of macro–micro linkages between local projects and upstream policy and institutional reform where relevant.

***Management Response.** UNDP programming in Ethiopia is executed through the national implementation modality (NIM). Upstream and downstream interventions are designed and implemented through and within existing government structures. This approach has an in-built sustainability mechanism that will need to be strengthened further by making exit strategies and other sustainability benchmarks more explicit in our programme documents and work plans as we move to implement the forthcoming CPD. We also welcome the recommendation to strengthen and leverage upstream interventions to support greater impact of our downstream interventions. We think that as Ethiopia is DaO country, further efforts will be made to coordinate UNDP interventions with other UN agencies to foster synergies on downstream and upstream interventions across the UN system wherever possible, and thereby enhance the impact and sustainability of results at project and outcome levels. We will also be looking into entry points for harnessing macro–micro linkages to strengthen programme delivery and impacts at project and outcome levels.*

**Recommendation 4.** UNDP should ensure the clear articulation and ownership of theories of change at the time of programme design by engaging key stakeholders. This should be complemented by appropriate outcomes indicators and baselines as part of systematic and more institutionalized approach to monitoring and evaluation (M&E). While UNDP should continue to strengthen its results-based management approach, it will have to be prepared to deal with natural hazard and socioeconomic shocks and stresses. This will require flexibility and adaptive management.

***Management Response.** The CO will continue to improve programme design and content and ensure more clarity on the theory of change that underpins*

*our programme rationale and its relevance to results and outcomes. As part of these initiatives, UNDP will also provide training to its IPs to ensure that the implementation process is also in line with the programme document and M&E framework for the project's 'SMART' indicators.*

**Recommendation 5.** More systematic participatory assessments of community assets and needs are required to better align UNDP's projects to specific community priorities and at the same time ensure greater ownership and sustainability at that level and to nurture bottom-up processes of self-empowerment. Supporting bottom-up self-empowering engagement processes with communities will also increase communities' voice and participation.

***Management Response.** UNDP utilizes various approaches to engage with local communities in programme formulation and implementation, and ensures that all projects and programmes implemented at the local level are endorsed by the community and local government structures. Local government representatives are also called in to participate in the local appraisal committees that approve beneficiary selection and, subsequently, the project document before it is submitted to government for signature. More efforts will, however, be made to enhance documentation of this process in future projects. Moving forward, we will take on this recommendation to strengthen collection and documentation of baseline information at the community and project levels, including on household*

*and community assets to support future programming, progress evaluation and impact monitoring. Also, local authorities, civil society organizations and other representation groups/associations will be supported to enhance their skills for effective engagement and participation in project formulation and monitoring, decision-making, policy engagement, and also to enhance their abilities to demand greater participation and voice as may be necessary and relevant to the project and local context.*

**Recommendation 6.** UNDP should prioritize gender mainstreaming in the next country programme. The 2014 Gender Equality Strategy (GES) must be accompanied by an operational implementation framework with dedicated staff to ensure that necessary systems and structures are in place to contribute to gender transformative results.

***Management Response** The CO agrees with this recommendation. Efforts will be undertaken to strengthen the gender dimension in the new CP, and to increasingly target women as beneficiaries and actors of change. The office will continue to support the mainstreaming of gender across programme components, as outlined in the UNDP GES, and will monitor progress using the gender marker and Gender Equality Seal. To that intent, the office will develop an operational implementation framework that accompanies the GES in the next programme cycle. The M&E system will be strengthened to include more explicit reporting of gender results throughout the CPD period.*



## Chapter 1

# INTRODUCTION

The Federal Democratic Republic of Ethiopia and UNDP cooperate in advancing sustainable human development. The current UNDP Ethiopia country programme (CP) covers the four-year period 2012–2015 with an approved budget of \$181.7 million. The CP has three strategic priorities: (1) swifter economic growth and poverty reduction; (2) development of a low-carbon and climate-resilient economy; and (3) democratic governance and capacity development. The CP duration was extended to mid-2016 to align with Ethiopia's national development planning cycle. In accordance with the UNDP Evaluation Policy, the Independent Evaluation Office (IEO) of UNDP conducted a country-level evaluation, or Assessment of Development Results (ADR), in Ethiopia in 2015. This is the second ADR carried out by IEO in Ethiopia.<sup>1</sup>

This report constitutes the full Ethiopia ADR report and will be presented to the UNDP Executive Board in January 2016 along with the new Country Programme Document (CPD) 2016–2020 for Ethiopia.

### 1.1 PURPOSE, OBJECTIVES AND SCOPE

The ADRs are independent evaluations aimed at capturing evaluative evidence of UNDP's contribution to development results at the country level in support of corporate accountability, performance improvement and learning. The purpose of the Ethiopia ADR is to:

- support the development of the next UNDP CP;
- strengthen accountability of UNDP to national stakeholders; and

- strengthen accountability of UNDP to the Executive Board.

The ADR has both retrospective and prospective emphasis. In accordance with the terms of reference (TOR) in Annex 1, the ADR assessed the **effectiveness** of UNDP in contributing to development results of Ethiopia through its programme activities, including contribution to poverty eradication and reduction of inequalities and exclusion as well as contribution to furthering gender equality and women's empowerment. The ADR also assessed the quality of UNDP's contribution based on the following criteria:

- **Relevance** of UNDP's projects and outcomes to the country's needs and national priorities;
- **Efficiency** of UNDP's interventions in terms of use of human and financial resources; and
- **Sustainability** of the results to which UNDP contributed.

Further, it analyses the explanatory factors contributing to UNDP's performance and examines its strategic positioning. The latter entailed systematic analysis of UNDP's position within the national development and policy space, as well as strategies used by UNDP to maximize its contribution. Based on the findings the ADR formulates strategic policy and operational recommendations to inform the design of the next UNDP Ethiopia CP for 2016–2020.

The ADR was conducted in August and September 2015 and covered the period from January 2012 to June 2015, while also taking account of some longer-term activities that have continued

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1 UNDP, 'Country Evaluation: Assessment of Development Results Ethiopia', Evaluation Office, New York, 2006.

from the previous programme cycle. It assesses the CPD approved by the Executive Board and funded by UNDP core and non-core funds. The unit of analysis for the evaluation is the outcome as defined in the 2012–2015 CPD. The evaluation also attempted to capture the contribution of United Nations Volunteers (UNV) and United Nations Capital Development Fund (UNCDF) in their joint work with UNDP.

The primary users of the ADR are the UNDP Country Office (CO), Regional Bureau for Africa (RBA) and Executive Board of UNDP.

## 1.2 METHODOLOGY AND MANAGEMENT

The evaluation used qualitative methods. A desk review of programme documents, including national policies and plans, project documents, previous programme evaluations and data from UNDP corporate monitoring tools was conducted in the first phase. In the second phase, primary data was collected using key informant interviews, focus group discussions and field observations. Interviewees included government implementing partners, bilateral donors, UNDP and UN staff, programme beneficiaries and private sector representatives. Data and information from various sources were triangulated and validated by cross-verification of the different sources. The evaluation team held a validation meeting with the CO at the end of the fieldwork and submitted a preliminary report. A final stakeholder workshop was held with the CO, government stakeholders and development partners to discuss the findings, conclusions and recommendations. The evaluation framework with the evaluation focus, sub-focus, key questions, sources and methods of data collection is included in Annex 2. The list of people consulted during the evaluation is included in Annex 3, and a list of reference materials is in Annex 4.

Considering resource constraints, the primary data collection focused on a sample of 24 projects of 40 UNDP-supported projects implemented at national and sub-national levels. However, the other projects were not excluded from the ADR scope. The sample selection was informed by the following criteria (Annex 5):

- programme coverage (projects covering the various components and cross-cutting areas);
- financial expenditure (projects of all sizes, both large and smaller pilot projects);
- geographic coverage (not only national level and urban-based, but also in the various regions);
- maturity (covering both completed and active projects);
- programme cycle (coverage of projects/activities from the past and mainly the current cycle); and
- degree of success (coverage of successful projects, as well as projects reporting difficulties where lessons can be learned).

The evaluation purposely selected three regions (Oromia, Tigray and Somali) of nine for field visits. Socioeconomic disparities, coverage of all programme components and ease of access given time constraints informed the selection of regions. The CO was consulted on the selection of projects for the in-depth assessment.

The ADR was guided by the transparency, confidentiality and reporting principles of the United Nations Evaluation Group (UNEG) Standards for Evaluation in the UN System and its Ethical guidelines.<sup>2</sup>

The ADR was managed by an evaluation manager from IEO and carried out by a team comprising IEO staff and a team of four national and international consultants. It was conducted in consultation with the CO, RBA and GoE.

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2 United Nations Evaluation Group (UNEG), Standards for Evaluation in the UN System, April 2005 and UNEG Ethical Guidelines for Evaluation, March 2008.



### **1.3 LIMITATIONS AND CHALLENGES**

The evaluation was constrained to some extent by the short timeframe in which it was carried out and expected to be finalized for inputs into the new CPD 2016–2020. While the new CPD was initially to go to the Executive Board session in June 2016, UNDP management advanced its submission to the January 2016 session and therefore narrowed the window significantly for the ADR to be completed. This made an in-depth examination of each issue difficult, because of the breadth of the country programme and the CO may wish to further examine some of the issues raised in this report in subsequent reviews and assessments.

The ADR found it challenging to fully apply UNEG standards related to measurement of inputs, outputs, and outcomes/impacts when presenting findings. UNDP monitoring and reporting of results tended to be better formulated at activity and output results levels. This was partly due to the limited use of appropriate outcome indicators (e.g. change in institutional performance, change in sector coordination, behaviour change). The CPD indicator baselines and targets

also changed over time. That made it difficult to systematically measure UNDP's contribution and to show the progression from implementation to outcome results. Also, previous evaluations were at the project level and therefore evidence on progress towards outcomes was not available. The ADR thus draws on stakeholders' perceptions, which have been triangulated and cross-verified by the different sources to assess UNDP's effectiveness. The CPD Results Framework, with the updated status of the outcome indicators, is included in Annex 6.

### **1.4 ORGANIZATION OF THE REPORT**

The report consists of six chapters. Following the introduction, Chapter 2 summarizes the national development context and challenges. Chapter 3 offers a brief overview of the UNDP Country Programme and its main areas of intervention. Chapter 4 details the assessment of UNDP's contribution to development results in each thematic area. Chapter 5 analyses factors affecting UNDP performance, namely its strategic positioning and UN coordination in the country. Finally, Chapter 6 presents conclusions and recommendations.



## Chapter 2

# NATIONAL DEVELOPMENT CONTEXT

This chapter describes the country context within which UNDP has operated. It summarizes key developments and challenges faced by Ethiopia during the period examined and the country's response through its national strategies and policies. Its purpose is to facilitate assessment of UNDP's performance, for example on relevance. It is broad in scope with specific context related to UNDP's areas of interventions set out in Chapter 4.

### 2.1 POLITICAL AND GOVERNANCE OVERVIEW

Ethiopia has seen notable political institution-building and democratic reforms since 1991, when the ruling Ethiopian People's Revolutionary Democratic Front (EPRDF) party ousted the socialist *Derg* regime. The EPRDF restructured the country to form a federal governance system. The constitution was adopted in 1995, establishing Ethiopia's federal democratic political system. The transition has not been without criticism and the EPRDF is seen as controlling the political process while the engagement of key actors is limited.<sup>3</sup> The EPRDF has retained power over the past five general elections since assuming office in 1991. The national elections of 2010 passed peacefully in contrast to the 2005 elections, which were disputed by opposition groups. The May 2015 national elections saw the EPRDF and its allies gain all 546 seats in the lower chamber and, in October 2015, incum-

bent Prime Minister Hailemariam Desalegn was unanimously re-elected by the parliament for a second term.

Administratively, the country is divided into nine regional states and two city administrations. The states have their own legislature, judiciary and executive and are responsible for state-level governance functions. The states are divided into smaller administrative bodies called *woredas* (districts) and *kebeles* (lowest unit of local government). At the federal level there is a bicameral parliamentary system and a constitutionally independent judiciary. The federal government is headed by the Prime Minister. As a country with a historically centralized structure of power, the governance challenges Ethiopia continues to face include top-down governance structures, regional inequalities and limited mandates of key democratic governance institutions.<sup>4</sup>

### 2.2 ECONOMIC CONTEXT

Ethiopia's recent public sector-led economic growth, which has averaged about 11 per cent per year over the last decade,<sup>5</sup> is remarkable. Initially led by agriculture, growth is becoming more broadly based with increasing contributions from services and construction. The agriculture and service sectors each account for about 45 percent of GDP, leaving only about 10 percent for industry.<sup>6</sup> The service sector's share of GDP increased from 38 to 45 percent in the last 10

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3 African Peer Review Mechanism (APRM), 'APRM Country Report No. 14 for Ethiopia (2010)', 2011.

4 Ibid.

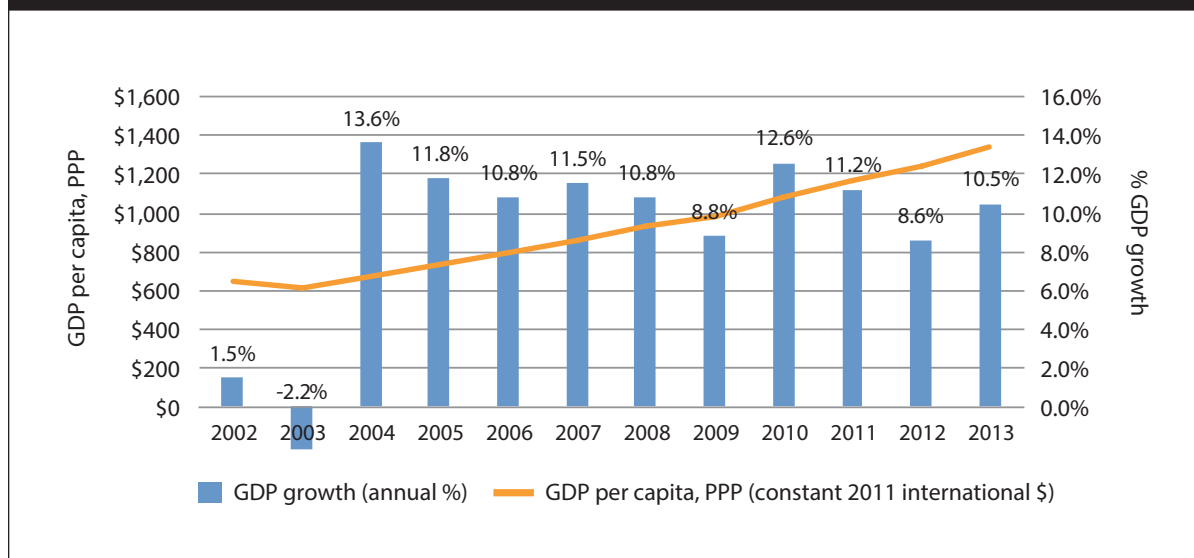
5 UNDP, 'Country Economic Review', Analysis Issue No. 1, February 2014, [www.et.undp.org/content/ethiopia/en/home/library/UNDPethiopia/UNDP\\_Ethiopia\\_EconomicBrief\\_Feb\\_2014](http://www.et.undp.org/content/ethiopia/en/home/library/UNDPethiopia/UNDP_Ethiopia_EconomicBrief_Feb_2014).

6 Government of Ethiopia, Economy Overview, [www.ethiopia.gov.et/web/Pages/Economy](http://www.ethiopia.gov.et/web/Pages/Economy). According to UNDP Ethiopia, the latest data for 2014/15 show that agriculture accounts for 39 percent of GDP, employment accounts for 77 percent and exports make up 84 percent.

years, while the share of agricultural fell from 52 to 43 percent in the same period.<sup>7</sup> However, agriculture will continue to be the main source of employment as the service sector has not been able to generate much employment. This implies, though, that the productivity of far fewer service sector workers significantly outweighs that of the many people employed in agriculture. It also means that the quality of jobs and wages in the service sector is higher than those in the agriculture sector. In this context, measures to raise productivity in smallholder agriculture as well as to boost private investments in commercial agriculture is imperative to the growth and transformation of the whole economy through diversification and linkages with other sectors, improving the quality of employment and reducing rural poverty.<sup>8</sup>

Going forward, it will be challenging to sustain the government’s ambitious economic strategy.<sup>9</sup> Reallocating resources, especially labour, from agriculture to industry is important for economic development and this is lagging behind current national development plan targets.<sup>10</sup> Ethiopia still faces a trade deficit with exports rising by only 5.6 percent in 2013/14 due to declining commodity prices while imports increased by 20 percent in the same period<sup>11</sup> Since 1991, the foreign investment climate has improved and relevant legislation revised with some sectors of the economy previously closed to foreign investment being opened up. In 2013, Ethiopia was the third largest recipient of foreign direct investment (FDI) in Africa<sup>12</sup> recording a sharp increase in FDI inflows since 2002. According to the government, recent FDI inflows attest to the “right mix of industrial policies and strategies that created enabling factors

**Figure 1. Real change in GDP, 2002–2013**



Source: World Bank, World Development Indicators (WDI), 2014

7 UNDP, ‘Ethiopia Country Economic Brief’, Analysis Issue No. 1, February 2014, [www.et.undp.org/content/ethiopia/en/home/library/UNDPethiopia/UNDP\\_Ethiopia\\_EconomicBrief\\_Feb\\_2014](http://www.et.undp.org/content/ethiopia/en/home/library/UNDPethiopia/UNDP_Ethiopia_EconomicBrief_Feb_2014).

8 Ibid.

9 IMF, ‘Selected Issues Paper on Ethiopia’, IMF Country Report No. 14/304, October 2014.

10 Ibid.

11 Zerihun Wondifraw, Kibret and Wakaiga, Ethiopia 2015, African Economic Outlook, [www.africaneconomicoutlook.org](http://www.africaneconomicoutlook.org), 2015.

12 UNCTAD, ‘World Investment Report 2014’, June 2014, <http://unctad.org/en/pages/publicationwebflyer.aspx?publicationid>.

for increasing capital flows into the country in the selected priority areas for investment”.<sup>13</sup>

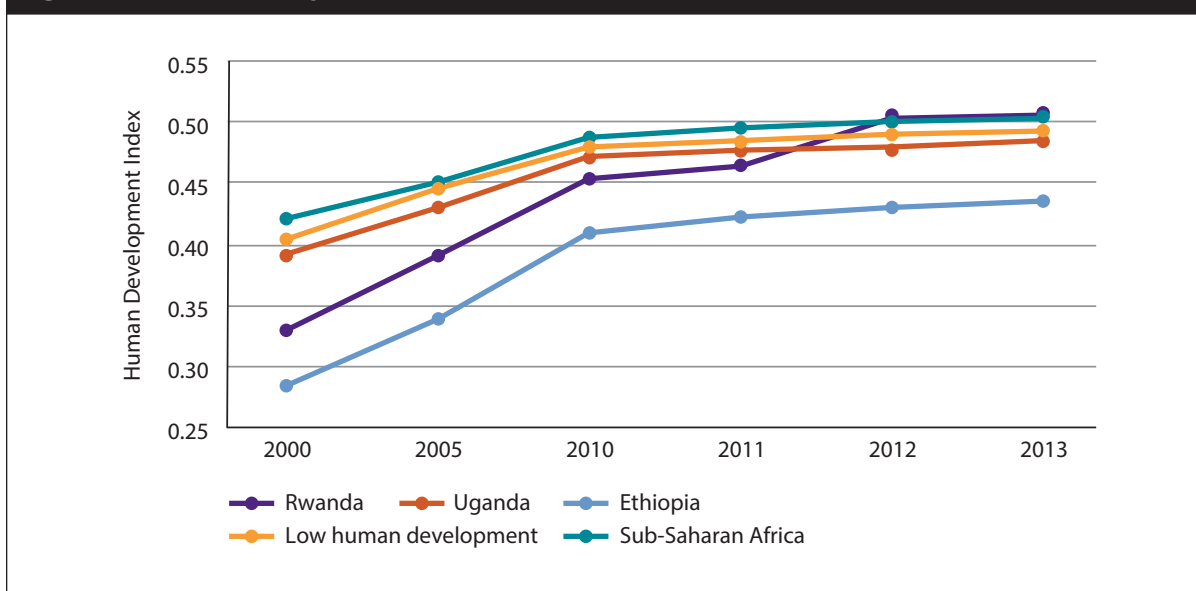
### 2.3 HUMAN DEVELOPMENT

The population of Ethiopia for the year 2015 is projected at 90 million<sup>14</sup> with a growth rate of about 2.5 percent,<sup>15</sup> making it the second most populous country in Africa. Nearly 60 percent of the population is under 25 years old. Ethiopia has made major strides in improving socio-economic indicators. The Human Development Index (HDI) score jumped 53 percent between 2000 and 2013<sup>16</sup> and the proportion of the population below the national poverty line fell from 39 percent to 30 percent between 2004

and 2010. Over the same period, rural and urban poverty both declined by about 9 per cent.<sup>17</sup> Some 2.5 million poor people were lifted out of poverty between 2004/2005 and 2010/2011.<sup>18</sup> Income inequality measured by the Gini Coefficient remains low and has been stable at around 0.3 for the last decade.

However, Ethiopia continues to face enormous challenges to human development. The absolute number of poor people remains unchanged at 25 million people over the last 15 years despite a fall in the poverty rate. Of those, an estimated 14 million people experience acute and prolonged food shortages.<sup>19</sup> Acute malnutrition rates are high at about 10 percent nationally, according to the 2010 Ethiopian Demographic and

**Figure 2. Human Development Index trends, 1990-2013**



Source: UNDP Human Development Report Office (2014)

13 Government of Ethiopia, ‘Ethiopia becomes a growing hub for FDI in East Africa: UN Report’, Ministry of Foreign Affairs, 2014, [www.mfa.gov.et/news/more.php?newsid=3260](http://www.mfa.gov.et/news/more.php?newsid=3260).

14 Government of Ethiopia, ‘Population Statistics Abstract’, Central Statistics Agency, 2014, [www.csa.gov.et/images/documents/pdf\\_files/nationalstatisticsabstract/2006/total.pdf](http://www.csa.gov.et/images/documents/pdf_files/nationalstatisticsabstract/2006/total.pdf).

15 World Bank, [www.worldbank.org/en/country/ethiopia/overview](http://www.worldbank.org/en/country/ethiopia/overview); last updated 23 September 2015.

16 Ibid.

17 Government of Ethiopia, ‘Growth and Transformation Plan Annual Progress Report for F.Y. 2012/13’, Ministry of Finance and Economic Development, 2014, [www.mofed.gov.et/English/Resources/Documents/GTP%20APR%202005%20EFY%20English.pdf](http://www.mofed.gov.et/English/Resources/Documents/GTP%20APR%202005%20EFY%20English.pdf).

18 National Human Development Report, 2014.

19 DFID, ‘Support to WFP Relief Operations in Ethiopia: 2012-2015’, 2012.

Health Survey (DHS). Ethiopia is in the low HDI category, positioning the country 174th of 188 countries and territories in 2014<sup>20</sup>. The first National Human Development Report (NHDR) since 1998 was published in 2015. The NHDR, which for the first time computes the HDI at the sub-national level, shows regional inequalities, with four regions (Afar, Amhara, Oromia and Somali) registering HDI levels below the national average of 0.461.<sup>21</sup>

### PROGRESS ON THE MILLENNIUM DEVELOPMENT GOALS (MDGS)

Ethiopia has achieved (or is on track to achieve) most of the MDGs. According to the Ministry of Agriculture (MoA), Ethiopia has cut extreme poverty and hunger by half (MDG 1).<sup>22</sup> The country is on track to universal primary education (MDG 2). It achieved the under-five mortality goal (MDG 4) and met both the HIV prevalence target and TB detection and treatment targets well ahead of 2015 deadline (MDG 6). It has not made sufficient progress towards gender parity in decision-making (MDG 3) and reducing maternal deaths over the last decade (MDG 5). The country has taken steps to ratify international environmental conventions (MDG 7), and formulated a CRGE strategy.

### WOMEN'S RIGHTS AND GENDER EQUALITY

The Constitution stipulates the rights of women and the Women's Policy of Ethiopia reiterates the GoE commitment to gender equality. Further

the Growth and Transformation Plan (GTP) has included "addressing gender inequality" in its eight pillars. GoE has introduced strategies to promote gender mainstreaming at the federal and regional levels. Two phases of a National Action Plan on Gender Equality have been realized, including the 2006–2010 period, which aimed to combat discrimination and ensure the integration of gender into sector plans. Sector plans have included women's policy considerations, beginning with the health and education sectors through the education and health sector development plans. This has been accompanied by the establishment of government institutions mandated to coordinate and monitor gender mainstreaming efforts at the cabinet level, such as the Ministry of Women, Children and Youth Affairs.<sup>23</sup>

Despite this overall strong enabling environment, women and girls in Ethiopia are "disadvantaged compared to boys and men in several areas, including literacy, health, livelihoods and basic human rights."<sup>24</sup> In 2014, Ethiopia ranked 121st of 148 countries in UNDP's Gender Inequality Index.<sup>25</sup> Women and girls in the country are disadvantaged in post-primary education, economic empowerment and political representation. For example, the ratio of girls to boys in secondary education is just 0.63.<sup>26</sup> The participation of women aged 15 and above in the labour force is 78 percent compared to 89 percent for men. Women's political participation is improving, though. About 39 percent of parliamentary seats were held by women in the May 2015 elections compared to 28 percent in 2010.<sup>27</sup> MDG 3 on gender equality has been the

20 UNDP, Human Development Report 2015: Briefing note for countries on the 2015 Human Development Report Ethiopia.

21 UNDP, 'Human Development Report 2014: Ethiopia', 2014, [http://hdr.undp.org/sites/all/themes/hdr\\_theme/country-notes/ETH.pdf](http://hdr.undp.org/sites/all/themes/hdr_theme/country-notes/ETH.pdf).

22 Ethiopian Embassy (Brussels, Belgium), 'Ethiopia cuts extreme poverty, hunger by half', Oct. 2014. [www.ethiopianembassy.be/en/ethiopia-cuts-extreme-poverty-hunger-by-half](http://www.ethiopianembassy.be/en/ethiopia-cuts-extreme-poverty-hunger-by-half).

23 United Nations, 'National report submitted in accordance with paragraph 5 of the annex to Human Rights Council resolution 16/21: Ethiopia', Human Rights Council, 30 Jan 2014.

24 UN WOMEN, 'Joint Programme – Leave No Woman Behind', [www.unwomen.org/mdgf/B/Ethiopia\\_B.html](http://www.unwomen.org/mdgf/B/Ethiopia_B.html).

25 UN Women, 'Ethiopia: Leave No Women Behind', [www.unwomen.org/mdgf/B/Ethiopia\\_B.html](http://www.unwomen.org/mdgf/B/Ethiopia_B.html) (accessed Mar 2015).

26 United Nations Statistics. Reference year: 2006. Sourced from <http://mdgs.un.org/unsd/mdg/Data.aspx>; last updated 6 July 2015.

27 Inter-Parliamentary Union, Women in national parliaments, [www.ipu.org/wmn-e/classif.htm](http://www.ipu.org/wmn-e/classif.htm) (accessed 04 Sept 2015).

most lagging development goal despite significant progress in other areas. Capacity constraints to mainstream gender equality in policy formation and implementation at all levels is one reason for gender inequality outcomes.<sup>28</sup>

## 2.4 NATIONAL DEVELOPMENT POLICIES AND STRATEGIES

Following the transition to a federal democratic political system, GoE has implemented three successive national development plans guided by an overall development policy agenda to eradicate poverty: the Sustainable Development and Poverty Reduction Programme (SDPRP); the Plan for Accelerated and Sustained Development to End Poverty (PASDEP); and the Growth and Transformation Plan (GTP I). The Ministry of Finance and Economic Development is responsible for the development and follow-up of the National Development Plan.

Launched in 2002, the SDPRP emphasized agriculture, rural development and food security. The 2005–2010 PASDEP built on the goals pursued under the SDPRP, including a focus on growth, and particularly on agriculture and private sector development. The 2010–2015 GTP I aimed to achieve the MDGs through a focus on improving the quantity and quality of social services and infrastructure, ensuring macroeconomic stability and enhancing productivity in agriculture and manufacturing. The GTP I hinges on these strategic pillars:

- Sustaining faster and equitable economic growth;
- Maintaining agriculture as a major source of economic growth;
- Creating favourable conditions for the industry to play key role in the economy;

- Enhancing expansion and quality of infrastructure development;
- Enhancing expansion and quality of social development;
- Building capacity and deepening good governance; and
- Promoting women and youth empowerment and equitable benefits.

The GTP I document cites several implementation challenges: (1) low implementation capacity (systems, administrative, human resources); (2) financing (low national saving and unpredictability of external financing); and (3) global market fluctuations.

The 2014–2015 national budget of 178.6 billion birr (\$9.2 billion) was 15 percent higher than the previous year with the largest portion, 29 billion birr (\$1.5 billion), earmarked for road building. Health spending was projected to rise by 12 percent to 5.15 billion birr.<sup>29</sup> According to GoE, total spending on pro-poor sectors (e.g. education, agriculture, food security, water and sanitation, health and roads) averaged 69 percent of the total government spending.<sup>30</sup> The 2016–2020 GTP II will soon be launched, guided by Ethiopia’s vision to achieve middle income country status by 2025.

### SECTOR STRATEGIES

In addition to the overarching national development strategies, there are several sector and sub-sector specific strategies relevant to UNDP’s work in Ethiopia.

**Agriculture.** Ethiopia now has comprehensive and consistent policies and strategies for the agriculture sector, reflecting the sector’s impor-

28 African Development Bank Group, Country Strategy Paper for Ethiopia (2011–2015), April 2011.

29 Aaron Maasho, ‘Ethiopia approves 15 per cent increase in 2014/2015 budget’, Reuters, July 2014, <http://af.reuters.com/article/ethiopiaNews/idAFL6N0PI4EQ20140707>.

30 Government of Ethiopia, ‘Growth and Transformation Plan: Annual Progress Report for FY 2012/13’, Ministry of Finance and Economic Development, Addis Ababa, 2014.

tance in the country's development vision. As noted above, the agriculture sector accounts for about 45 percent of GDP, 85 percent of employment, and 85 percent of export earnings.<sup>31</sup> Ethiopia is the world's tenth largest livestock producer. Major exports include coffee, sesame seed, leather, and flowers.<sup>32</sup> GoE has been implementing the Agricultural Development-Led Industrialization (ADLI) strategy since 1991. Its main thrust has been to improve agricultural extension services, promote better use of land and water resources, enhance access to financial services, improve access to domestic, and export markets and provide rural infrastructure. The Agriculture Sector Policy and Investment Framework (PIF) 2010-2020 has harmonized and mainstreamed agricultural activities. The PIF prioritized areas for investment in line with the Comprehensive African Agricultural Development Programme (CAADP) compact. Earlier investments in the sector have been inadequate and fragmented, due to the absence of a coherent policy framework and investment programme. On the basis of the PIF, the national Agricultural Growth Programme (AGP), which has been instrumental in mobilizing resources for the sector, was designed.

Among the challenges faced by the sector is the dominance of subsistence rain-fed farming and susceptibility to droughts, which regularly reverse food security and poverty reduction gains. The country is experiencing its worst drought in decades. Consequently, there has been "greatly expanded food insecurity, malnutrition and devastated livelihoods across six affected regions of the country."<sup>33</sup> The government's priority has accordingly focused on increasing productivity in

smallholder agriculture in alignment with efforts to help farmers graduate from subsistence to semi-commercial farming while adopting more sustainable natural resources management practices to curb environmental degradation.<sup>34</sup> The Ministry of Agriculture and Rural Development has in the past focused on social safety net initiatives, such as the Disaster Risk Management and Food Security (DRMFS) programme.<sup>35</sup>

**Environment.** GoE aims to achieve middle income country status with a carbon-neutral economy by 2025. To this end, it initiated the CRGE strategy in 2011, which is viewed as an opportunity for the country to transform its development model to a more energy-efficient trajectory. It looks to build in greater resilience to climate change impacts and develop its economy with carbon neutrality. The green economy plan is based on four pillars:<sup>36</sup>

- Improving crop and livestock production practices for higher food security and farmer income while reducing emissions;
- Protecting and re-establishing forests for their economic and ecosystem services, including as carbon stocks;
- Expanding electricity generation from renewable sources of energy for domestic and regional markets; and
- Leapfrogging to modern and energy-efficient technologies in transport, industrial sectors, and buildings.

Sector policies are being reviewed for alignment with the CRGE strategy, including, *inter alia*: a national resilience strategy focusing on

31 According to UNDP Ethiopia, the latest data in 2014/15 show that agriculture accounts for 39 percent of GDP, 77 percent of employment and 84 per cent of exports.

32 Government of Ethiopia, 'Ethiopia's Climate-Resilient Green Economy Strategy', 2011.

33 OCHA, 'Weekly Humanitarian Bulletin: Ethiopia', 26 October 2015, [http://reliefweb.int/sites/reliefweb.int/files/resources/humanitarian\\_bulletin\\_26\\_october\\_2015\\_0.pdf](http://reliefweb.int/sites/reliefweb.int/files/resources/humanitarian_bulletin_26_october_2015_0.pdf).

34 Government of Ethiopia, 'Agriculture Sector Policy and Investment Framework (PIF) 2010-2020: Draft Final Report', Ministry of Agriculture and Rural Development, September 2010.

35 Ibid.

36 Government of Ethiopia, 'Ethiopia's Climate-Resilient Green Economy Strategy', 2011.



agriculture; an energy policy with science, technology and innovation components; the Productive Safety Net Programme (PSNP) for climate readiness; and an instrument that establishes the National Protected Area Trust Fund. Ethiopia also launched the Reduce Emissions from Deforestation and Forest Degradation (REDD+) initiative.

The National Disaster Risk Management Strategy was formulated in 2013 with a vision to build capacity to withstand the impact of hazards and related disasters, and to significantly reduce damage caused by disasters by 2023. In December 2014, the government launched DRM Strategic Programme and Investment Framework (DRM-SPIF), a tool developed by DRMFSS to facilitate an effective implementation of the National DRM policy. That seeks to mainstream DRM into the development plans of GoE institutions and private sector organizations. GoE maintains that the DRM approach is aligned with multilateral frameworks for action.<sup>37</sup>

Challenges in this sector include a fragile ecological system, which remains vulnerable to climate change. This is compounded by population pressure and resulting stress on natural resources.<sup>38</sup> The estimated 80 percent of the population living in rural areas are vulnerable due to their reliance on rain-fed agriculture, further heightened by natural hazards. Preliminary projections suggest

that climate change can have a sizeable impact on the economy ranging from 7 percent to 8 percent GDP loss per year with a disproportionate impact on the poor.<sup>39</sup> Agriculture contributes around 45 percent to greenhouse gas emission levels.<sup>40</sup> Additionally, Ethiopia's protected areas are increasingly degraded, as "land is being converted for subsistence and commercial agriculture".<sup>41</sup>

## 2.5 DEVELOPMENT COOPERATION

Ethiopia is the fifth largest recipient of Official Development Assistance (ODA) in real terms, but ODA per capita remains relatively low compared to the rest of sub-Saharan Africa.<sup>42</sup> Geopolitics and security issues combined with economic growth and poverty reduction performance, has attracted a large amount of external funds. External resources finance 19 percent of the federal budget.<sup>43</sup> ODA has been provided in the form of development financing, technical assistance and debt relief, over half of which is concentrated in the social sectors followed by humanitarian assistance.<sup>44,45</sup> Multi-donor instruments, such as the ongoing third phase of the \$4.9 billion Promoting Basic Services (PBS) programme, continue to play a major role in funding large social protection schemes. According to the Development Assistance Group (DAG) 2013/14 annual report, which monitors donor spending, investments in health and population policies account for close to one-quarter of total develop-

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37 Statement by H.E. Mr. Mitiku Kassa, State Minister of Agriculture of the FDRE at the First Preparatory Committee Meeting at the United Nations Disaster Risk Reduction, 14-15 July 2014, Geneva, Switzerland.

38 African Development Bank Group, Country Strategy Paper for Ethiopia (2011-2015), April 2011.

39 UNDP, 'Framework for UNDP Ethiopia's Climate Change, Environment and Disaster Risk Management Portfolio', 2011.

40 Government of Ethiopia, 'Ethiopia's Climate-Resilient Green Economy Strategy' (brochure), 2011.

41 United Nations Conference on Sustainable Development (Rio+20), 'National Report of Ethiopia', 2012, <https://sustainabledevelopment.un.org/content/documents/973ethiopia.pdf>.

42 In 2013, ODA per capita was \$41 ranking Ethiopia 88th of 134 countries. See: [oecd.org/dac/stats](http://oecd.org/dac/stats).

43 UNDP, 'Analysis of the Overall Development Financing Envelope in Ethiopia & Implications for the UN', UNDP Ethiopia Development Brief No. 2/2015.

44 Government of Ethiopia, 'Growth and Transformation Plan Annual Progress Report for F.Y. 2012/13', Ministry of Finance and Economic Development, 2014.

45 Capacity Development for Development Effectiveness (CDDE), 'Ethiopia Aid Effectiveness: Country Profile', [www.aideffectiveness.org/Country-Ethiopia.html](http://www.aideffectiveness.org/Country-Ethiopia.html) (accessed Mar 2015).

**Table 1. Resource disbursements by source, 2010/11-2012/13**

Source	Total disbursement (billions of USD)
International Financial Institutions	3.2
UN agencies and regional cooperation	1.3
Bilateral cooperation (DFID, UK)	2.5 (1.2)
Ethio-China Development Cooperation	0.97
European Union institutions	0.36

Source: MoFED

ment assistance.<sup>46</sup> Between 2004 and 2013, the largest development partners were the United States (\$6.2 billion) and the International Development Association (\$6.1 billion), while over the past several years the United Kingdom has constituted the largest bilateral partner.

Despite its donor support, Ethiopia will need to improve its domestic revenue generation by, for example, widening its tax base, tackling corruption, attracting more FDI. It will also have to assess the implications of the recently concluded Financing for Development (FFD) conference, which it hosted.

## 2.6 REGIONAL DEVELOPMENT ISSUES

Volatile and conflict-affected countries in the Horn of Africa region – such as Sudan and Somalia – have made Ethiopia the largest refugee host country in Africa.<sup>47</sup> The country maintains an open-door policy allowing humanitarian access and protection to refugees. Limited funding and increased pressure have, however, constrained refugee access to education, vocational training, job opportunities and livelihood opportunities.<sup>48</sup>

Ethiopia remains an important player in regional and global affairs due to its geopolitical location and its status as host of several regional bodies. Addis Ababa is the seat of the African Union (AU) and the United Nations Economic Commission for Africa. Using the leverage that comes with that, Ethiopia participates actively in the AU and UN through, for example, its peace-keeping missions. Through its Prime Minister, Ethiopia has represented Africa in global climate negotiations. It also played a key role in the South Sudanese peace negotiations along with Kenya, Sudan and Uganda. Hosted by Addis Ababa and held under the umbrella of the Intergovernmental Authority on Development, the talks led in August 2015 to the signing of an agreement to establish a transitional Government of National Unity.

Several UN agencies maintain regional and sub-regional offices in Addis Ababa, including UNDP, ILO, FAO and UN Commissioner for Human Rights. The third international conference on Finance for Development was held in Addis Ababa in July 2015.

46 Development Assistance Group (DAG) Ethiopia, 'Development Effectiveness in Ethiopia- DAG Annual Report 2013-2014', 2014.

47 UNHCR, 'Ethiopia overtakes Kenya as Africa's biggest refugee-hosting country', 2014.

48 UNHCR, 'Sharp increase in number of Eritrean refugees and asylum seekers in Europe, Ethiopia and Sudan', 2014.

## Chapter 3

# UNDP'S RESPONSE AND STRATEGIES

Within the umbrella 2012–2015 UN Development Assistance Framework (UNDAF) responding to national priorities articulated in the 2011–2015 GTP, UNDP defines its programme strategy in its 2012–2015 CPD.<sup>49</sup> This chapter synthesizes how UNDP has organized itself programmatically and operationally to deliver development results within the UN system.

### 3.1 UNCT STRATEGY

UNDP is one of 26 resident UN partners operating in the country. That is the largest UN Country Team (UNCT) in Africa and covers both development and humanitarian assistance.<sup>50</sup> The UN also played a peacekeeping role in the establishment of the UN Mission in Ethiopia and Eritrea in July 2000 to monitor the border dispute following a cessation of hostilities agreement.<sup>51</sup> The UNCT in Ethiopia has been a DaO 'self-starter' since 2008, with the support of the government. Overall guidance to the DaO process is provided by a high-level steering committee, co-chaired by the UN Resident Coordinator and MoFED with representatives from the UNCT, ministries and donor agencies.<sup>52</sup> In a period of significant socioeconomic progress and sustained economic growth, UN partners have focused efforts on buttressing national capacities for policy formulation and

effective institution-building. The 2012–2015 UNDAF provides the UNCT's overall strategic framework aligned with government's GTP priorities in four pillars: (1) sustainable economic growth and risk reduction; (2) basic social services; (3) governance and capacity development; and (4) women, youth and children. The total budget for the UNDAF over 2012–2014 was \$2.6 billion.

There are three strategic flagship UN Joint Programmes (JPs) in which UNDP participated: (1) Enhancing Public Service Delivery to Accelerate Regional Employment Outcomes in Four Developing Regional States (JP-DRS); (2) Gender Equality and Women's Empowerment (JP-GEWE); and (3) Improving Maternal and New-born Health and Survival. JPs are managed under the Ethiopia One UN Fund established in January 2011, with a lead government ministry and UN partner. The JP-GEWE is the largest programme consuming 73 percent of total JP funding. DFID has been the biggest donor of the Ethiopia One UN Fund since 2011 providing about 60 percent of the funding, followed by Norway (14 percent) and Sweden (11 percent).<sup>53</sup>

In line with the DaO approach, the UNCT published the 2013–2015 BOS to pilot a common operational framework at the country

49 Both CPD and UNDAF were extended from 31 Dec 2015 to 30 Jun 2016 in order to fully align with Ethiopia's national development planning cycle. See: United Nations, 'Report of the Annual Session 2015', Executive Board of UNDP, UNFPA and UNOPS, DP/2015/24, Jul 2015.

50 [et.one.un.org](http://et.one.un.org) (accessed Sept 2015).

51 The UN Security Council terminated UNMEE's mandate in July 2008 in response to restrictions imposed by Eritrea on UNMEE.

52 UNDP, 'UN reform: Delivering as One in Ethiopia', [www.et.undp.org/content/dam/ethiopia/docs/UN%20in%20Ethiopia%20Book.pdf](http://www.et.undp.org/content/dam/ethiopia/docs/UN%20in%20Ethiopia%20Book.pdf).

53 UNDG, Ethiopia One UN Fund (accessed 28 Oct 2015), <http://mptf.undp.org/factsheet/fund/ET100>.

level.<sup>54</sup> UN partners committed to harmonizing their processes to deliver results in support of national priorities in a more efficient and effective manner.<sup>55</sup> The Operations Management Team has been ongoing since 2009 gathering senior operations managers and administrative officers of UN partners to provide the UNCT with recommendations on common services and business-related issues, while identifying opportunities for collaboration and innovation. The BOS set ambitious targets for enhancing efficiencies across the UNCT, projecting savings of \$13.4 million in material and labour costs by 2017 based on harmonization and simplifica-

tion of activities in common procurement and human resources.

### 3.2 UNDP PROGRAMME

Within the framework of the 2012–2015 CPD, UNDP provides policy support and institutional capacity development to the government in three priority thematic sectors identified by country’s national plan. The Country Programme was expected to contribute to six outcome results (Table 2). UNDP has also aimed to promote coordination, efficiency and effectiveness of the UN system as a whole at the

Table 2. UNDP thematic areas, planned outcomes, and indicative resources, 2012-2015	
Thematic area and outcome	Indicative resources (USD million) <sup>56</sup>
<b>Sustainable economic development</b>	
1. Increased use by <b>agricultural producers</b> of improved institutional services, efficient marketing system, and appropriate technology and practices for sustainable increase in agricultural production and productivity by 2015	21,060,000
2. By 2015, private sector-led Ethiopian <b>manufacturing and service industries</b> , especially small- and medium-scale enterprises, have sustainably improved their competitiveness and employment creation potentials	31,340,000
<b>Climate-resilient green growth (CRGG)</b>	
3. By 2015, national and sub-national institutions and vulnerable communities have systematically reduced <b>disaster</b> risks, impacts of disasters and have improved food security	29,100,000
4. By 2015, the governance systems, use of technologies and practices and financing mechanisms that promote a low carbon <b>climate-resilient</b> economy and society have improved at all levels	45,400,000
<b>Democratic governance and capacity development</b>	
5. By 2015, national and sub-national actors utilize improved <b>mechanisms</b> that promote inclusiveness, participation, transparency, accountability and responsiveness in national development processes	40,766,000
6. By 2015, <b>capacities</b> of national, local and community institutions strengthened for evidence based planning, implementation, monitoring, evaluation and decision-making	14,000,000
<b>Total</b>	<b>181,666,000</b>

54 In addition to Ethiopia, 8 other pilots began BOS implementation as of Feb 2015, including: Bosnia Herzegovina (2014-2017), Jamaica (2013-2016), Lesotho (2013-2017), Liberia (2014-2017), Malawi (2014- 2016), Moldova (2013-2016), Rwanda (2013-2018), Tanzania (2014-2017), and Copenhagen (2014-2015).

55 United Nations, ‘Business Operations Strategy: 2013-2015’, United Nations Country Team in Ethiopia, 2013.

56 UNDP Ethiopia Country Programme Document 2012–2016 (DP/DCP/ETH/2).

country level, including as an administrative agent for several multi-donor pooled funding programmes. In particular, this includes hosting the DAG, which was established in 2001 by 28 bilateral and multilateral partners to foster and catalyse policy dialogue as well as to coordinate and harmonize development support. The DAG Pooled Fund supports the National Planning Commission (NPC) of MoFED in implementation across these areas.

The overall theory of change implicit in most work done by UNDP in Ethiopia is that removal of the institutional bottlenecks, whether in governance or policy, supported by upstream capacity building, will lead to on the ground development outcomes with strong government ownership of the development agenda. Consistent with its comparative advantage, many of UNDP's efforts are upstream and, in combination with efforts of many others, downstream results are delivered. It is to be understood, therefore, that where ground-level results are cited, they are often the outcome of efforts by UNDP in combination with government agencies and other development actors. However, reported upstream policy and institutional changes can be attributed to a greater extent to UNDP's effective engagement with GoE.

In sustainable economic development, UNDP supports government efforts to accelerate pro-poor economic growth – with agriculture as the key driver – through the provision of institutional capacity development at the national and sub-national levels. In CRGG, UNDP supports the government's implementation of the CRGE strategy through interventions around (i) strengthening national policy, planning and institutional development processes, and (ii) supporting the establishment of a CRGE Financing Facility. This support is cou-

pled with UNDP disaster risk management and reduction (DRM/DRR) initiatives focused on both upstream institution-building and policy advice as well as downstream support to livelihood recovery and resilience-building. Under democratic governance and capacity development, UNDP focuses on improving policy, legislative and institutional frameworks that promote democratic governance; improving the capacities of key governance institutions to effectively promote and address governance and human rights issues; and increasing empowerment and participation of citizens in governance processes and issues. Gender, knowledge management and South-South cooperation were addressed as cross-cutting issues in the CP.

During the evaluation period, UNDP implemented 40 programmes<sup>57</sup> of which two-thirds remain ongoing. Nearly 90 percent of these are nationally executed by the government, one programme by a non-profit trust organization<sup>58</sup>, and the rest by UNDP. Almost all programmes are implemented at the federal and regional levels through government partners, particularly central ministries in Addis Ababa. Previous evaluations have noted distinct challenges with the national implementation mechanism adversely affecting delivery and programme performance, including slow delivery of disbursed funds from the regional government to local partners, procurement delays, and high turnover of counterpart staff at the local level.<sup>59</sup> The CO has worked to address these challenges by improving IPs' capacity in project financial management (see Chapter 4).

UNDP engaged with UNVs and UNCDF in several areas. The national UNV programme in Ethiopia is the largest in the Africa region, placing hundreds of volunteers within national gov-

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57 Note that this counts the number of UNDP 'Award ID', not 'Project IDs'.

58 The Institute for Security Studies (ISS) to establish an African Centre for Peace and Security Training (ACPST) to function effectively as a centre of excellence in Peace and Security Training in Africa.

59 UNDP, 'CPAP Mid-Term Evaluation Report and Proposed Way Forward', 2009.

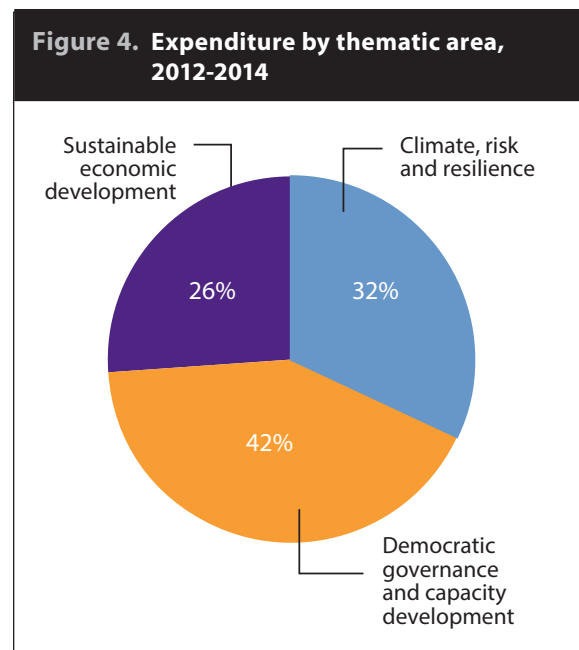
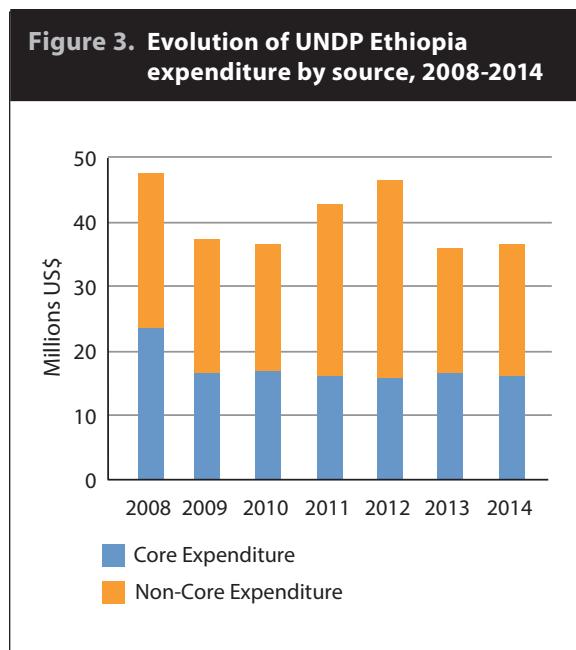
ernment institutions in various focus sectors.<sup>60</sup> The government has identified the UNV programme as a preferred channel of technical assistance. National UNVs are primarily deployed to sub-national institutions, while several international UNVs may be attached to specific UNDP projects. UNCDF has played a lead role in UNDP-supported livelihoods projects, notably the JP-DRS project where UNCDF focuses on improving sustainable livelihoods in the targeted pilot *woredas* through capital investments and capacity development in key value chains.<sup>61</sup>

### 3.3 FINANCIAL RESOURCES

Programme budget and expenditure have been consistent (Figure 3). Total expenditures peaked in 2011–2012 with several large national-scale projects.<sup>62</sup> The budget utilization rate was 87 percent on average in the 2008–2014 period. Expenditure

has been concentrated on democratic governance and capacity development at 42 percent of the total between 2012 and 2014 (Figure 4). This is in contrast to the CPD design, in which 41 percent was allocated to the CRGG thematic area.

About one-third of UNDP programme budget is from core resources, while the rest is non-core funding from a variety of donors. Funding was provided by the Global Environment Fund (\$22.3 million, or 34 percent), Canada (\$12.9 million, or 20 percent), Japan and the Bill and Melinda Gates Foundation (each contributing \$7.6 million, or 12 percent), Sweden (\$4.7 million, or 7 percent), and Norway (\$2.8 million or 4 percent). Between 2003 and 2013, UNDP Ethiopia contributed \$151 million in core funding. In a context of organization-wide budget cuts, core funding was projected to fall by roughly one-third in 2015.



60 The number of UNV placements has decreased in the past several years from over 300.

61 UNCDF, 'UNCDF in Ethiopia', [www.uncdf.org/en/Ethiopia](http://www.uncdf.org/en/Ethiopia) (accessed Nov 2015).

62 Programme expenditure in 2015 is projected to be approximately \$29 million, representing a decrease from 2014, but final figures were not available at the publication of the ADR.

### 3.4 COUNTRY OFFICE MANAGEMENT AND STRUCTURE

UNDP Ethiopia is headed by a Resident Representative/Resident Coordinator (RR/RC) and employs 98 people. The CO meets corporate standards for gender parity office-wide, but at the time of the ADR there was low female representation at mid- and senior-level positions. The CO's gender mainstreaming architecture is analysed in more detail in Chapter 5.

In addition to three programme clusters representing the three thematic areas of UNDP work, the CO has three cross-cutting programme support units: the Policy Advisory Unit (PAU), the Programme Management Support Unit (PMSU) and the Communication Unit. The PAU provides policy support to the UN RR/RC and backstops UNDP programme units on policy matters with knowledge products and other analytical inputs. The PAU works in several interrelated areas:

- Advisory services to UNCT and government through the production of position papers, commissioned studies, and inputs into strategic planning frameworks such as the UNDAF and CPD;
- Advocacy and dialogue in key areas through the organization of events and production of UNDP corporate 'flagship' products such as the national HDRs and national MDG reports; and
- Support to aid effectiveness and coherence through the DAG Secretariat managing the Aid Management Platform (AMP), coordination of donors, technical assistance, forums, and consultation with the government. The PAU has managed development

partners' support to the GTP since 2012, which aims to strengthen the NPC's capacity and support the MOFED in managing aid through donor reporting, the AMP, and high-level meetings.

The PMSU supports the CO in several key areas to facilitate an enabling environment for effective programme delivery, including support regarding donor relations, resource management, implementation (e.g. technical assistance to IPs through UNDP PISOs), RBM, and corporate planning and reporting. In addition, the unit uses a range of monitoring and compliance tools to enhance programme unit efficiency and promote effectiveness. It has provided units with standard operating procedures (SOPs) to help formulate Annual Work Plans (AWPs) and donor reporting. It also manages a programme dashboard with a traffic light tracking system to monitor programming, reporting and management tasks project-by-project. It also prepares the CO for the yearly NIM audits and works on UN HACT compliance.

The Communication Unit is responsible for external communications. Internally, the unit collaborates with programme clusters to produce knowledge products. It has also conducted training for UNDP staff on interview skills and other forms of media engagement. It has supported the draft of a Communications Strategy for the elections period. The unit supports the identification of commissioned studies for publication, including products of UNDP projects that are repackaged and summarized. At the UNCT level, the unit has been involved in establishing forums between agencies to increase the visibility of UN partners.





## Chapter 4

# UNDP'S CONTRIBUTION TO DEVELOPMENT RESULTS

This chapter presents an assessment of UNDP's contribution to development results between 2012 and 2015. Where relevant, it also draws on related programme components of the previous 2007–2011 CPD. The assessment is framed around the following standard UNEG evaluation criteria. First, UNDP's **effectiveness** is presented by each of the three thematic areas of the country programme. The quality of the contribution is then assessed by **relevance**, **efficiency** and **sustainability** across the entire programme. Since gender is cross-cutting in the country programme design, contribution to gender equality and women's empowerment is in Chapter 5.

### 4.1 EFFECTIVENESS OF UNDP CONTRIBUTION

#### 4.1.1 SUSTAINABLE ECONOMIC DEVELOPMENT

##### Overview

Ethiopia's strong economic performance in recent years was underpinned by growth in agriculture. Measures to raise productivity in smallholder agriculture and to boost private investment in commercial agriculture are crucial to the growth and transformation of the whole economy, through diversification and linkages with other sectors, improving the quality of employment and reducing rural poverty.<sup>63</sup> The CPD planned two broad outcome results under the sustainable economic development thematic area.

Under the first outcome result area, UNDP programmes aimed to support GoE efforts to accelerate pro-poor economic growth, with agriculture

##### Planned CPD outcome results

Increased use by agricultural producers of improved institutional services, efficient marketing system, and appropriate technology and practices for sustainable increase in agricultural production and productivity by 2015.

By 2015, private sector-led Ethiopian manufacturing and service industries, especially small- and medium-scale enterprises, have sustainably improved their competitiveness and employment creation potentials.

– and, notably, smallholders – as the key driver anchored in a value-chain approach. UNDP supported: (i) institutional capacity development at both the national and sub-national levels to build knowledge, skills and systems that can enhance access to critical productive services; and (ii) policy and diagnostic work, knowledge networking, codification of knowledge, and testing of innovative practices that can facilitate solutions to practical bottlenecks.

The AGP is the largest programme under this outcome and nationally executed by MoA and coordinated by MoFED. UNDP's core financing to the programme to date is about \$10.5 million (2009–2015), while Canada and the Gates Foundation provided \$8.9 million (2013–2015) and \$12.7 million (2011–2015) respectively. Total programme expenditure to date is about \$30 million. The AGP sought to improve agricultural productivity and market access for key crop and livestock products in targeted *woredas*, with the increased participation of women and youth

63 UNDP, 'Ethiopia Country Economic Brief, 2014, [www.et.undp.org/content/ethiopia/en/home/library/UNDPethiopia/UNDP\\_Ethiopia\\_EconomicBrief\\_Feb\\_2014](http://www.et.undp.org/content/ethiopia/en/home/library/UNDPethiopia/UNDP_Ethiopia_EconomicBrief_Feb_2014).

through three components: (i) agricultural production and commercialization; (ii) small-scale rural infrastructure development and management; and (iii) AGP management and M&E.<sup>64</sup> The AGP focused on areas that were relatively rain- and food-secure and, given the right support, held considerable potential for agricultural growth. It helped to scale-up best practices in agricultural production and post-harvest value addition, with due emphasis on natural resource conservation and rehabilitation.

UNDP supported the MoA and the Agricultural Transformation Agency (ATA) in introducing new and appropriate technologies, such as the production-enhancing technology package (*Tef*)<sup>65</sup> improved seed, reduced seed rate, and row planting (TIRR). A direct seed marketing (DSM) approach expanded smallholder farmers' access to inputs by introducing well-trained private retailers to complement primary cooperatives in distributing improved seeds to smallholder farmers. With key partner agen-

cies, efforts were also made to create a strong international presence at trade shows and conferences.

In the second outcome result area, UNDP envisioned that support to the industry sector would accelerate the agriculture-led industrialization of the economy, consistent with the structural transformation of the economy required to achieve middle income status by 2025. The industry sector contributed about 3 percent of real GDP growth in 2013, and its share in terms of employment remained low at 7 percent.<sup>66</sup> First, UNDP aimed to provide capacity development to: (i) build comprehensive skills, knowledge and technology development support to small- and medium-scale enterprise (SME) entrepreneurs; (ii) promote inclusive growth and create productive employment opportunities for women, youth and vulnerable groups; (iii) strengthen industry development institutes in prioritized industry sectors; and (iv) develop capacities of the relevant public, private and civil society organizations.

**Table 3. List of projects in the sustainable economic development portfolio**

Cluster	Project Title	Expenditure <sup>67</sup> (USD)	Location
Agriculture	Enhancing National Capacity for Agricultural Growth	27,598,943	Federal
Trade and industry	Capacity Strengthening for Industrial Development	1,548,712	Federal
	Capacity Strengthening for Ethiopian Tourism Organization	286,577	
	Trade Sector Development	4,166,251	
	Enhanced Economic Growth	2,289,940	
Local economic development	Local Capacity for MDGs (DELCP)	24,660,056	Federal and regions
	Local Economic Development Programme	3,928,175	
	Entrepreneurship Development Programme	6,955,011	
	Harnessing Diversity for Sustainable Development and Social Change	658,055	Amhara, Oromia, Tigray and SNNPR

64 United Nations Conference on Sustainable Development (Rio+20), 'National Report of Ethiopia', 2012, <https://sustainabledevelopment.un.org/content/documents/973ethiopia.pdf>.

65 *Tef* is the national cereal crop.

66 UNDP in Ethiopia, 'Ethiopia: Quarterly Economic Brief, Third Quarter 2014', [www.et.undp.org/content/dam/ethiopia/docs/Economic%20Brief-%20Third%20Quarter-2014.pdf](http://www.et.undp.org/content/dam/ethiopia/docs/Economic%20Brief-%20Third%20Quarter-2014.pdf).

67 Includes spending over the full project life cycle, and therefore may include expenditure prior to the evaluation period of 2012-2015. Financial data updated from Atlas Snapshot as of 01 Oct 2015.

These efforts would contribute to a vibrant private sector that would further strengthen SMEs in the creation of jobs, boost wealth, and help reduce poverty, providing Ethiopia with a solid foundation for future growth. Second, UNDP programmes sought to provide advisory services to the government to (i) strengthen industrial policy review and regulatory capacity, and (ii) encourage development of trade and export promotion in the industry sector.

**Finding 1. UNDP-supported interventions contributed to increased use of improved services, marketing, and appropriate agricultural technologies and practices. These appear to have brought tangible improvements to agricultural production and productivity to smallholder farmers. While UNDP cannot be credited for the detailed field results achieved by the ATA and the MoA, it must be recognized for the leadership, catalytic resources, technical support and capacity building it provided to these institutions, which has allowed them to achieve important results.**

UNDP assisted GoE through technical assistance provided to ATA and MoA to design the 10-year Agriculture Sector PIF that prioritized areas for investment in line with the CAADP compact. Investments in the sector had been inadequate and fragmented due to absence of a coherent policy framework and investment programme. On the basis of the PIF, UNDP designed the AGP, which has been instrumental in mobilizing resources for the sector. The Comprehensive Rural Financial Services strategy was also developed by ATA with UNDP funding. Parts of the strategy were implemented on a pilot basis to support the adoption and sustained use of productivity-enhancing inputs, such as fertilizer, improved seeds, and crop protecting chemicals.

UNDP also supported the uptake of the TIRR technology package by helping the MoA to establish a national seed management authority and similar bodies at the regional level, as well as by building the capacities of farmers' cooperatives and private sector agencies to support seed marketing. About 3.5 million out of a planned 5 million farmers adopted the TIRR package initiative, according to ATA, and were able to increase their production and productivity. In 2013 alone, over 1.3 million farmers applied TIRR technology,<sup>68</sup> and as a result teff productivity increased by 44 percent.<sup>69</sup> The TIRR technology package resulted in a reduction in the seed rate from 30 kg/ha to 5 kg/ha. At the regional level, ATA reported that teff productivity increased from an average of 10 quintals/ha to 15 quintals/ha in Oromia. During FGDs with farmers, it was reported that farmers' living conditions improved as a result of using improved technologies and practices. Their houses changed from thatched houses to corrugated iron sheet houses and they were also able to afford improved household furniture. The DSM initiative, also supported by UNDP, resulted in increased seed access to farmers at lower prices. There was minimum carryover of seeds, decreased work burden of development agents and other experts, and reduced GoE operational costs. Achievements in terms of wheat productivity included about 400,000 wheat farmers gaining access to improved seeds, appropriate fertilizer combinations, financial services through mobile payment platforms, mechanization, and markets in 2013.<sup>70</sup>

Complementary marketing, technology and policy initiatives strengthened outcomes. Efforts were made to create a strong international presence at trade shows, conferences, and with key partner agencies. As a result, investments in barley malting, sesame hulling, and chickpea processing have already started to develop. In general, effective-

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68 2014 1st quarter report, ATA – UNDP & BMGF.

69 CSA 2013, cited in ROAR 2014.

70 The data cited here from interviews with ATA and UNDP as well as from ROAR, could not be validated scientifically by HH surveys, RCTs etc, but within the limitations of the ADR methodology was cross verified as far as possible among development partners and beneficiaries. Most agreed that achievements were significant.

ness was supported by joint planning and analysis, working as a team when required, and participation by UNDP in steering committees. Informal networking of UNDP staff with the respective government counterparts created close partnerships that positively contributed to the results achieved. The UNDP-assisted interventions in the agriculture sector involved millions of small-holder farmers and so contributed to increased agricultural production and productivity of the rural poor as well as to a reduction in poverty. This was confirmed during interviews conducted with farmers as part of the ADR field work.

**Finding 2. In the industrial sector, UNDP-supported projects were effective in building government capacity, creating strong support institutions, but much more needs to be done to transform these capacities to strengthening the growth of the SME sector.**

UNDP support significantly strengthened the policymaking and regulatory capacity of MoI although funding was relatively small. Achievements include the preparation of an industrialization road map and implementation strategy for the manufacturing sector that will run until 2025. A feasibility study and a business plan for establishing integrated agro-industrial parks were also commissioned and are underway. UNDP supported the development of the National Logistics Strategy to help update the country's inefficient logistics system, reduce cost of doing business and enhance export competitiveness. Support to the trade sector enabled Ethiopia to begin trade liberalization and related preparations for accession to the World Trade Organization and other trading systems, through policy research and policy dialogue.

In addition, the three-year institutional capacity building and advisory services support to the Ethiopian Commodity Exchange (ECX) was concluded in 2013. The Exchange is now

fully functional and nationally owned. The total trading volume of ECX, a transformative semi-autonomous entity set up by a consortium of partners, with UNDP as a major player, increased by 23 percent over the previous year. In the same year, the trade value reached over \$1 billion. UNDP provided leadership, technical advisers for design support, and catalytic funding to the Ethiopian Chamber of Commerce and sectoral associations resulting in the development of a business directory, and increased capacity of regional chamber offices by provision of equipment and entrepreneurial training. There are now more than 250,000 associations across the country, providing the infrastructure with the potential to support small businesses although many of these lack adequate capacity. These results point to potentially transformative sectoral outcomes, which UNDP is leading or is associated with, but more work will be required to transform the potential to actual development outcomes.

UNDP's support to MoFED for inclusive finance strengthened the government's capacity to make financial services more inclusive. Specifically, a pilot project began for the electronic distribution of PSNP payments to beneficiaries' savings accounts in 22 *kebeles* in the Amhara region. It is too early to assess the viability of this approach. An external evaluation of the Ethiopian Financial Inclusion Programme showed that the programme significantly enhanced household incomes, but it indicates that the programme was funded by the Gates Foundation and implemented by GoE, without mentioning the role of UNDP.<sup>71</sup>

Support to the leather industry has been instrumental in increasing exports of leather products from Ethiopia through knowledge transfer, reinforcement of quality measures, and attracting FDI for leather through annual All Africa Trade Fairs. These fairs were organized by the Ethiopian Leather Institutes Association, with fund-

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71 Price Waterhouse Coopers, Evaluation of the Ethiopian Financial Inclusion Programme (Presentation of Findings, February 2015).

ing from UNDP. While aggregate sector-wide changes cannot be attributed to UNDP, a 6.5 percent increase in export income in 2012 of leather products (or \$109 million), demonstrates its facilitating role.<sup>72</sup> The close working relationship between UNDP and IPs, combined with the strong IP ownership of the projects, reinforced programme effectiveness. South-South exchanges with Vietnam and others facilitated learning policy lessons from those countries.

**Finding 3. The Entrepreneurship Development Programme, which incorporated some of the goals of an earlier local economic development project, has played a catalytic role in encouraging women and young entrepreneurs with promising initial results in terms of increases in income. However, the scale has been limited thus far, with only 10 percent of the training target achieved.**

UNDP's support to Local Economic Development (LED) began in 2012 with \$8 million in committed core resources and an ambitious scope aimed at promoting local economic growth across the country. While the project achieved some of its goals, such as establishment of MSE guidelines, local funds and Business Development Centres, it faced a number of difficulties in implementation, including a limited effect on the enabling policy environment for the LED initiatives, low payback rates on loans, poor functionality of the 17 of the 27 established Business Development Service Centres, and a narrow programmatic scope in practice compared to its design.<sup>73</sup> The LED programme was supposed to stimulate local economic development, increase local employment and reduce poverty. But in reality, its focus was reduced to microenterprise and entrepreneurship development. The programme was closed one year early in 2014 having mobilized and spent roughly half of the anticipated budget.

The LED programme merged with the Entrepreneurship Development Programme (EDP). UNDP's financial support to the EDP facilitated the establishment of a fully functional national Entrepreneurship Development Centre (EDC) and four regional EDCs in 2014. These are providing entrepreneurship and enterprise development support through training, advisory services, and links to credit and markets, particularly to women and the youth. Focus group discussions held with beneficiaries in different regions during this evaluation, as well as key informant interviews with the implementing partner, the Federal Micro and Small Enterprises Development Agency (FeMSEDA), revealed that EDP training resulted in acquisition of business skills (e.g. record keeping of revenue versus expenditures, monitoring of profit and loss). This led to increased income of beneficiaries, expansion/diversification of businesses, and creation of more jobs (at least for those beneficiaries interviewed). The project was generally effective in providing an enabling environment for SME growth in the country and capacity increased through the national certified trainers.

The EDP has trained about 23,000 entrepreneurs to date compared to its target of 235,000, or about 10 percent of the target. One reason for this low achievement was an over-ambitious project plan, evidenced by a funding gap for the 2012–2015 period of about 70 percent (only \$7.8 million of the projected \$26.3 million was raised).

Among the challenges that reduced effectiveness was limited access to financial institutions, especially by young people with little or no collateral. That negatively affected the ability of some EDP clients to develop new businesses and strengthen existing ones. This should have been foreseen as part of the planning process.

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72 ERCA 2012, cited in ROARs 2012.

73 UNDP, 'Mid-term Evaluation: Support to Local Economic Development (LED) Programme 2nd Generation 2012–2015', 2014.

#### 4.1.2 CLIMATE-RESILIENT GREEN GROWTH

##### Overview

Ethiopia is highly vulnerable to climate change and has experienced hazards and corresponding disasters in recent decades at different times and in varying degree and magnitude. Consequently, Ethiopia has taken a bold policy move to accelerate its development, while enhancing resilience and minimizing its carbon footprint. This policy shift has been spelled out in the DRM policy and DRM SPIF and CRGE vision statement. Ethiopia has made significant progress toward resilience-building and green economic growth, primarily through well-established policy and institutional arrangements. These have been evolving since the launch of the CRGE strategy in 2011, the establishment of the Ministry of Environment, Forest and Climate Change and the endorsement of the national DRM policy and the National CRGE Facility.

Mainstreaming climate change adaptation and mitigation actions in planning, investment and development programmes are important for sustainable development and environmental protection.

UNDP supported two related outcome result areas under the CRGG portfolio.

##### Planned CPD outcome results

By 2015, the governance systems, use of technologies and practices and financing mechanisms that promote a low carbon climate-resilient economy and society have improved at all levels.

By 2015, national and sub-national institutions and vulnerable communities have systematically reduced disaster risks and impacts, and have improved food security.

UNDP's support aimed to contribute to the country's goal of a carbon neutral CRGE, through: (i) policy advisory and technical support, (ii) strengthening institutional capacity; and (iii) support to community initiatives through technology

transfer and local level actions to facilitate climate change adaptation and mitigation.

At the policy level, UNDP supported the formulation of the national CRGE strategy as well as sector and regional plans through facilitating policy dialogue and provision of technical assistance. UNDP also advocated for and supported the establishment a national CRGE Facility and CRGE Registry. UNDP played an active role through leadership and provision of technical support in formulating the federal DRM-SPIF and revising the national DRR/DRM system. Several climate-sensitive and CRGE priority sectors' policies, plans and investments, such as agro-biodiversity related policies, wildlife conservation and energy policies, were also reviewed and revised. UNDP supported the Science-Policy-Practice continuum in CRGE, in which seven universities are engaged on CRGE themes, providing training to policymakers and professionals. Large-scale awareness through development and dissemination of brochures was promoted for continuous sensitization on DRM practices and policies. But some policy opportunities, such as building on the SPIF to introduce a comprehensive approach to resilience building, were not pursued. It should be pointed out that the quality and relevance of these policies will have to be judged by their contribution to desired development outcomes, which requires a time-frame beyond the CPD period.

UNDP developed a \$24 million forest sector program to support institutional capacity strengthening, promote sustainable forestry and development as well as to reduce biodiversity loss while increasing carbon sequestration potential and contribute to the attainment of CRGE targets for the forest sector. The project is ongoing using a \$10 million start-up support from Norway. UNDP also supported Ethiopia in becoming a UN REDD country and in accessing funds.

UNDP is engaged in enhancing the capacity of the national energy testing laboratory and its research and development centre through provision of laboratory equipment and high level

technical training for energy experts to improve the production and use of modern bio-energy technologies, solar cookers, hydro turbines, wind turbines and other modern energy technologies. National level awareness and promotion activities on renewable energy were also supported to raise community awareness on the benefits of clean and renewable energy.

To strengthen the conservation of biodiversity and environment UNDP is supporting the mainstreaming of agro-biodiversity conservation in farming systems through training and establishment of gene banks and biodiversity centres.

Extension packages and adaptation strategies were designed for the four unique Ethiopian crops (teff, enset, durum wheat and forest coffee) to improve better crop yields than the newly introduced crop varieties.

UNDP is also contributing to wildlife and protected areas management as a priority CRGE sector. UNDP is mobilizing about \$28 million and Euro 51 million from the GEF and KfW Bank and GIZ respectively to complement the government's allocation of Birr 87 million for wildlife and protected areas conservation and climate change adaptation.

**Table 4. List of projects in the climate, risk and resilience portfolio**

Cluster	Project Title	Expenditure <sup>74</sup> (USD)	Location
DRM and resilience building	Drought Recovery – Pastoralist Communities	2,995,108	Oromia-Bale, Guji and Borena
	Drought Recovery in Somali Region	999,865	Somali
	Poverty Reduction Support in Borena	1,000,006	Oromia-Borena
	Strengthening Capacities for DRR	11,001,643	Afar, Somali, Oromia, Benshangul and Gambella
	Emergency support for drought-affected community	781,217	Oromia-Bale and Borena
	Climate Info and Early Warning for Climate-Resilient Development	2,341,143	
	Coping with Drought and Climate Change	995,000	
	Mine Action	11,285,565	Tigray and Afar
Climate Resilient Green Economy	Energy Sector	693,682	Federal
	Promoting Autonomous Adaptation	3,748,022	
	2nd National Communication UNFCCC	375,387	
	Climate Resilient Green Economy	3,486,353	
	Promoting Sustainable Rural Energy Technologies (RETs)	51,210	
	Climate Change and Environmental Sustainability	1,882,402	
	African Adaption Programme	6,657,669	
Biodiversity and Environmental Conservation	Mainstreaming Agrobiodiversity Conservation in to the Agriculture System of Ethiopia	3,471,142	Federal
	Sustainable Dev. of Protected Area Systems	8,961,470	
	MDGF–Environment Joint Programme	1,491,405	Amahara, Oromia, Tigray and SNNPR

<sup>74</sup> Includes spending over the full project life cycle, and therefore may include expenditure prior to the evaluation period of 2012-2015. Financial data updated from Atlas Snapshot as of 01 Oct 2015.

UNDP supported capacity building activities of the DRMFSS through leadership training of senior officials, set-up of training centres to improve the work force, and the establishment of the Africa Centre for Disaster Risk Management, which aims to become a centre of excellence on DRM in Africa. The ADR did not establish the effectiveness of this centre due to time constraints.

At the operational level, UNDP supported GoE in its implementation of the national DRM policy, strengthening the national Emergency Coordination Centre as well as the EW and Response System.

At the local level, UNDP has supported the livelihoods of communities through its Disaster Risk Reduction and Livelihood Recovery programme (DRR/LR). The programme's aim was to enhance community resilience by promoting a 'build-back-better' approach and addressing the underlying causes of disasters. Activities were centred on community-based natural resource management, sustainable utilization of resources, rangeland and water resources management, restocking, livestock health services, market access and alternative livelihoods.

At the community level, UNDP supported drought alleviation through the provision of various adaptation support. Some 3,000 farmers received Birr 2 million as compensation for their crop failure due to drought from the weather crop insurance procured by UNDP. The initiative has been introduced in Ethiopia for the first time.

**Finding 4. With UNDP's support, Ethiopia now has a CRGE strategy and a complementary supportive financial facility, which has mobilized resources to support the strategy. Implementing institutions have been strengthened with equipment and trained personnel. Community livelihoods have been supported to a limited extent.**

UNDP contribution to the country's goal of a CRGE was significant. Discernible progress was

made to improve governance systems, practices, use of technologies for low carbon green economy, and community livelihood recovery actions. UNDP provided financial and technical support and coordinated the approval of the national DRM-SPIF and the CRGE strategy, governance mechanism and investment facility. The facility has mobilized more than \$40 million. UNDP has also supported GoE in strengthening capacities of institutions for DRM, leading to improvement in the country's food security situation and its ability to prepare, respond to and recover from disasters. There were 4.5 million emergency food aid beneficiaries after the 2010 drought. After the introduction of the DRR measures and EW systems this number reduced to 3.7 million in 2012. However, with drought looming again in 2015, it is estimated that 4.5 million people will need food aid, illustrating the continuing need for resilience building.

At the federal level, the increased leadership and engagement of the DRRFS sector has been strengthened by UNDP's support to professionalizing the DRM workforce. A modest number (10) of senior DRM experts in this initiative have attended postgraduate courses. With UNDP support, the DRRFS sector's capacity has improved, and that allowed for improved ability to identify, assess, and monitor disaster risks using the decentralized national EW systems. Ethiopia's disaster preparedness has also improved with the establishment of the DRRFS sector's national Emergency Coordination Centre, which coordinates and facilitates EW and response activities.

Related capacity building of the Ethiopian National Meteorology Agency (NMA) for EW and climate information system is still in progress. It is focused on improving weather station instruments and materials. The installation of weather station instruments, when functional, will improve the country's capacity and ability to produce more reliable and up-to-date seasonal climate information for policymakers as well as for other sectors. This will enhance the capability of communities that are vulnerable to



climate change to build resilience to disasters. Following UNDP's support to this project, other donors began funding NMA using a similar project design. In this respect, while it may be too early to assess UNDP's effectiveness in this area, its support has already catalysed further donor engagement.

Most key informants from government IPs confirmed significant improvement in awareness and understanding among policymakers and government officials of incorporating climate and environment issues into government plans and development programmes. This progress can clearly be noticed in the changes in the content of relevant country development plans and strategies. The draft GTP II has a clearer section on environment issues than the previous national plans. This is based on interviews and represents a significant shift from the PASDEP and GTP I. International donors' shift in focus and GoE commitment are the main driving forces for this change.

At the community level, UNDP's DRM interventions have contributed to improved livelihoods and have reduced damage caused by disaster. For instance, a rehabilitated water facility visited in the Somali region confirmed the benefits to many people in the observed *woreda*. Through projects designed, funded and guided by UNDP, some 128,000 individuals (of whom 56,000 were women) benefited from the rehabilitation of community water points and over 200,000 community members were supported by range land development activities.<sup>75</sup> Distinct from other development actors working in DRM, UNDP has utilized innovative approaches engaging local stakeholders in identifying interventions, selecting beneficiaries and monitoring activities. This has allowed UNDP to fill gaps and undertake activities that are needed, albeit at a somewhat limited scale.

**Finding 5. Despite the progress UNDP made in supporting GoE to initiate and review policies and strengthen capacities of institutions, more coordination was required to fill gaps in mainstreaming climate change and environment issues in the country's planning, investment and development programmes.**

There is still a lack of clarity on the mechanisms for integrating and mainstreaming environment and climate change in the country's development programmes. For instance, the agriculture sector gives high priority to increased productivity with the use of improved varieties while not recognizing the importance of conserving farmers' varieties and farming practices for climate change adaptation.<sup>76</sup> The mainstreaming of agro-biodiversity activities within the UNDP conservation project still needs to influence a shift in government priorities by improving awareness in climate change and environmental issues. Thus, actions still need to be incorporated in the agriculture sector to mainstream environmental conservation while maintaining improved productivity.

UNDP should not only be focused on delivering its projects, but should also coordinate different sector organizations that engage in mainstreaming activities using a range of tools to attain the country's goal of a low carbon green economy. The MDG-F joint programme final evaluation (conducted in 2013) cited the continuing need for relevant stakeholders to fully own and promote policy and strategy revisions. This was confirmed by different implementing partners during interviews for this ADR. Building the capacity of ministries (including Ministry of Water, Irrigation and Energy (MoWIE), Ethiopian Institute of Biodiversity, MoA and MoI) by staff training and systems development for mainstreaming environment and climate sensitivity was a positive step in that regard. The SPIF, however, could have benefited from more systematic coordination.

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75 UNDP, Results-Oriented Annual Report, 2014.

76 Mid-term Evaluation of the Mainstreaming Agro-biodiversity conservation in to the Agricultural production system in Ethiopia project, 2014.

At the community level, UNDP's interventions were short-term or immediate and lacked the long-term focus required for resilience building. Along with the projects' short duration, funding was a major cause for the limited focus of community-based interventions, because some projects were largely funded by humanitarian funds with emergency response mandates. This concern was also recognized by the mid-term evaluation of the DRR/LR programme.

#### 4.1.3 DEMOCRATIC GOVERNANCE AND CAPACITY DEVELOPMENT

##### Overview

Ethiopia's transition to democratic governance began in 1991 and its federal constitution was adopted in 1995. It can therefore be considered a young nation striving towards democratic governance and requiring support in establishing basic institutions to support democracy as well as the capacity to implement evidenced-based policies and decisions. Derived from the GTP vision for good governance, strengthening democracy and institutional capacity development, UNDP supported two outcome result areas under the democratic governance and capacity development thematic area.

##### Planned CPD outcome results

By 2015, national and sub-national actors utilize improved mechanisms that promote inclusiveness, participation, transparency, accountability and responsiveness in national development processes.

By 2015, capacities of national, local and community institutions strengthened for evidence-based planning, implementation, monitoring, evaluation and decision-making.

UNDP's support to achieve the first outcome result included policy advice, technical assistance, capacity development and brokering partnerships. Its support is clustered under three thematic pillars: democratic governance, efficient

and effective public service delivery, and conflict management and transformation.

Under democratic governance, the Democratic Institutions Programme (DIP) was the major initiative supported by UNDP. It was a multi-donor programme managed and implemented by UNDP from 2008 to 2013. Its purpose was to support the development of key GoE institutions that together play a role in strengthening institutional frameworks of democratic governance in Ethiopia.<sup>77</sup> The targeted institutions were the House of Peoples' Representatives (HoPR), the House of Federation, the National Electoral Board of Ethiopia (NEBE), the Ethiopian Institution of Ombudsman (EIO), the Ethiopian Human Rights Commission (EHRC), the Federal Ethics and Anti-Corruption Commission (FEACC), and the Office of the Federal Auditor General (OFAG) at both federal and sub-national levels. With a view to consolidating the major achievements that the programme made and to prevent loss of investment in the area, UNDP designed and implemented the follow-up project, Strengthening Democratic Governance to Accelerate and Sustain Ethiopia's Transformation (SDG), which provided continued support to EHRC, EIO, NEBE, FEACC and the HOPR.

For effective and efficient public service delivery, UNDP supported the strengthening of national leadership capacities; national coordination, implementation, monitoring and evaluation capacities; and transparency and accountability in the extractive industries. UNDP also supported two joint programmes in this thematic area, which aimed to help accelerate economic and social development in the four developing regional states (JP-DRS) and promote gender equality and women's empowerment (JP-GEWE).

For conflict management and transformation, UNDP supported the Ministry of Federal Affairs (MoFA) to develop strategies and capacities for conflict prevention and peacebuilding. UNDP

<sup>77</sup> DIP Programme Document, p. 1.

**Table 5. List of projects in the democratic governance and capacity development portfolio**

Cluster <sup>78</sup>	Project Title	Expenditure <sup>79</sup> (USD)	Location
Democracy Building and Consolidation	Strengthening Democratic Governance	4,372,356	Federal
	Capacity Building of Ministry of Justice	59,822	Federal
	Democratic Institution Programme	48,557,819	Federal
Conflict Management and Transformation	Institutional capacity for Conflict Prevention and Peace-building	496,466	Federal
	Conflict Prevention	1,129,288	Federal
	Peace and Security Training	899,653	Federal
	Establishment of the Ethiopian International Peacekeeping Training Centre	888,234	Federal
Effective and Efficient Public Service Delivery	Capacity Building for Service Delivery	7,235,422	Federal, Somali, Afar, Benshangul and Gambella
	Capacity Development for Effective Coordination and Implementation	15,764,230	All Regions
	Advanced Leadership	1,408,058	Federal
	Leadership Development Institute	1,647,634	Federal
	Capacity Building of MOFA	247,126	Federal
	Education Sector Development	2,317,104	Federal
	UN Joint Programme on Gender	945,325	Amahara, Oromia, Tigray, SNNPR and Afar
	Accountability & Transparency – Extractive Sector	105,062	Federal
	Phase IV Development Partners Support to GTP Implementation	2,642,296	Federal
	Poverty Reduction Strategy	2,040,291	Federal
	Migration for Development	914,420	Federal
	Support to M&E System	5,201,974	Federal
Capacity Development of PMO	131,740	Federal	

also provided capacity development support to two key institutions aiming to contribute to regional peace and security: the Ethiopia International Peacekeeping Training Centre and the newly-established African Centre for Peace and Security Training.

**Finding 6. UNDP made adequate contributions to the expected outcome results in this thematic area, in particular to policy changes and government institutional capacity, which have**

**produced tangible, positive results in promoting inclusiveness, participation, responsiveness, transparency and accountability in development and governance processes.**

UNDP support has led to the development of a number of policies, laws and strategies that are important to the promotion of inclusiveness, participation, transparency, accountability and responsiveness. IPs noted that one of the key policy instruments developed under this

78 Clustering based on UNDP Brief for the Associate Administrator, 2015.

79 Includes spending over the full project life cycle, and therefore may include expenditure prior to the evaluation period of 2012-2015. Financial data updated from Atlas Snapshot as of 01 Oct 2015.

outcome was the 2013 National Human Rights Action Plan (NHRAP), which demonstrated strong national ownership and a coordinated and comprehensive approach to the promotion and protection of human rights.<sup>80</sup> The Anti-Corruption Strategy, legislations on asset disclosure and registration and on protection of witnesses and whistle-blowers, were also developed by FEACC under DIP.<sup>81</sup> DIP supported the development of the Consolidated National Budget and Federal Grant Allocation Formula by the HoF. The MoFA has developed a draft national conflict prevention and peacebuilding strategy, which is being applied by federal, regional and local governments. According to interviews with implementing partners, UNDP's technical and financial support played a significant role in the development of the above mentioned policies, laws and legislations.

UNDP also contributed to policy dialogue between GoE and development partners through its management of the 'Phase IV – Development Partners Support to the GTP' project. The annual High Level Forum<sup>82</sup> and other forums established under this project have enhanced national leadership capacity by building knowledge and skills of leaders and experts on policy analysis, and policy options on a range of issues related to the GTP and MDG processes.

Coverage by key oversight bodies is one measure of improved institutional capacity of key governance institutions, which UNDP planned to track. The HoPR, Regional States and City Councils oversight coverage improved from 30 percent to 50 percent during DIP implementation.<sup>83</sup> Financial audit coverage rose from 32 percent in 2010 to over 90 percent in 2013.<sup>84</sup> According to UNDP reports, the EIO cleared

more than 90 percent of the received complaints in 2014 – an increase of 18 percent over the previous year. Similarly, the EHRC reported that its complaint handling rate doubled to around 98 percent in 2014 – up from 48 percent in 2009/10. The FEACC's investigation and prosecution performance also increased by 36 percent in 2014 from that of the previous year, partly due to UNDP support.<sup>85</sup> Again it should be noted that UNDP's main role was in policy and institutional change dialogue with GoE together with resource mobilisation and management. See also the caveat on ADR assessment of capacity development outcomes at the end of this section.

Since its establishment in 2010, the Institute of Leadership and Good Governance in the Ethiopian Civil Service University has enrolled a total of 407 students, drawn from government institutions at federal and regional levels. It has graduated 342 graduates in four batches. Most graduates have been assigned to policy advisory roles and other leadership positions at the federal and regional levels. Contacted regional officials emphasized that graduates have significantly contributed to increased capacity in regional policy development, coordination and monitoring.

UNDP's activities in the joint programme on the DRS significantly contributed to strengthening the regulatory frameworks, defining functional assignments of local governments in 22 DRS-targeted *woredas*. According to regional officials interviewed for this evaluation, there has been increasing application of RBM approaches in *woreda*, sectoral and regional programmes partly as a result of the project's support. Improvements in systems and capacities for effective development management (including ICT and human resources) occurred in all regions.

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80 See also UNDAF Ethiopia 2012-2015: Mid-Term Review, p37.

81 DIP: Terminal Evaluation, 2013.

82 The 16th High Level Forum between the GoE and DAG was held in June 2014 and the theme of the forum was "Ethiopia's Competitiveness in Export Performance and Trade Logistics".

83 DIP Terminal Evaluation, 2013, p39.

84 Ibid.

85 SDG terminal report, p17.

Aside from policy and capacity development support, most UNDP-supported institutions focused on mobilizing and organizing citizens and communities to actively participate in governance issues and processes by setting up committees, clubs, centres, forums, etc. in schools, universities and communities. For instance, 318 peace committees and school peace clubs were established and capacitated by the end of 2014, along with 31 university peace forums established by MoFA.<sup>86</sup> The EHRC supported the establishment and operation of 68 legal aid centres across the country.<sup>87</sup> These structures have contributed to the empowerment and active participation of significant number of citizens in democratic governance processes. Information, education and communication (IEC) materials were also used extensively to raise awareness and promote the work of these institutions. According to implementing partners including the EHRC and FEACC there is increasing public demand for the services of these governance institutions, such as increased rate of complaints on corruption, administrative and human rights violations. At the same time, the institutions sought public inputs and feedback through surveys, assessments and public opinion polls to enhance decision-making.<sup>88</sup>

Finally, the deployment of UNVs to provide technical assistance to the targeted regional institutions in the DIP programme was seen as successful. The contributions of these UNVs have been widely appreciated. The involvement of UNCDF in UNDP-supported programmes was seen in the livelihood component of the DRS project in which UNCDF led implementation of this component. UNCDF support on value-chain development was especially important.

In concluding this section on effectiveness, it should be made clear that the ADR process uses available data and information, including output and outcome indicators and interviews to assess contributions to capacity development. It is not within its purview to carry out detailed capacity assessments that would have to evaluate the extent to which capacities have changed among supported institutions and individuals. This is not to underplay the importance of such systematic capacity development assessments to UNDP's work.

## 4.2 RELEVANCE OF UNDP CONTRIBUTION

The assessment of the quality of UNDP's contribution – based on the evaluation criteria of relevance, efficiency and sustainability – pointed to similar findings across the thematic areas, thus this sub-section as well as the following two on efficiency and sustainability will present the findings across the thematic areas.

**Finding 7. UNDP interventions in all three thematic areas were in full alignment with the government's national and sectoral development plans and policies, and to UNDP's corporate priorities and strategies. They were also found to be largely relevant to local communities' needs, although in some areas more structured and comprehensive needs assessments at local levels are required to further strengthen alignment.**

Interventions implemented under sustainable economic development were directly in line with the GTP priorities to accelerate pro-poor economic growth with agriculture (particularly smallholders) and SMEs as the key drivers. They

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86 CPR, Annual Report 2014.

87 DIP Terminal Evaluation, November 2013.

88 For instance, the FEACC conducted a national survey on the performance and gaps of ethics liaising officers in public institutions and public enterprises and a study on corruption risks in the Ethiopian justice sector. According to the DIP evaluation, many of the DIP institutions conducted public opinion surveys. The EHRC produced a human rights situation report, a report on the rights of ethnic groups, human rights in the context of the government's "Villagization" programme, and prison monitoring reports.

were also directly aligned to UNDP's Strategic Plan. Many of the upstream policy and institutional support actions were complemented by local institutional development and strengthening, and by projects targeted at supporting the livelihoods of local people and thus aligned with their human development needs. Similarly, DRM and CRGE interventions were anchored in the GTP. This emphasized sustainable development by strengthening the country's EW system and disaster response capacity, and more specifically in the CRGE strategy. They are also consistent with UNDP's mandate and strategy for the development of a low-carbon and climate-resilient economy.

UNDP projects were also in line with international commitments, including the Convention on Biological Diversity (CBD) and the International Treaty on Plant Genetic Resources for Food and Agriculture, which reflects Ethiopia's international commitments to in-situ conservation.<sup>89</sup> The implemented projects had demonstrated good community participation and identified project activities based on needs and priorities of local communities. A high level of community participation in the project/programme regions was one of the strengths of UNDP's interventions. Communities identified the activities they deemed appropriate to their particular needs and context. They also identified the neediest individuals to benefit from the project.<sup>90</sup> Nevertheless, more structured and formal needs assessments at all levels from federal to regions and communities will help UNDP prioritize interventions and align them with a more comprehensive resilience-building approach.

Democratic governance and capacity development interventions aligned closely with the governance and capacity building pillars of the PASDEP and GTP as well as with relevant sec-

tor policies, including the National Action Plan on Gender Equality, the National Action Plan on Human Rights, Anti-Corruption Strategy, Conflict Prevention, Peacebuilding Strategy and the National Capacity Building Programme and its components. Overall, there was good alignment with UNDP's corporate policies, strategies and areas of work on inclusive and effective democratic governance, gender equality and women's empowerment, inclusiveness and inequality, sustainable development pathways and effective leadership development.

### 4.3 EFFICIENCY OF UNDP CONTRIBUTION

This section analyses efficiency from the managerial, operational and programmatic perspectives to understand how well UNDP organized itself to deliver high quality outputs. It also addresses efficiency issues at the UNCT level in the context of DaO.

**Finding 8. UNDP demonstrated strong internal management practices for enhancing programme and operational efficiency, including mechanisms to improve UNDP and IP delivery capacity. Overall programme implementation rates were high, but over-ambitious budget plans requiring continuous adjustments were observed.**

The country programme was generally focused on activities likely to produce significant results. The number of planned outcome results was reduced in line with the UNDAF to six, while the number of active projects has remained constant from the previous country programme. The programme has had a minor proportion of small projects in each thematic area, evidenced by the median size of programme expenditure at \$1.8 million.<sup>91</sup> The thematic areas have carried out

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89 Final Evaluation of Agro-biodiversity Project, 2014.

90 Interview with beneficiaries in Somali region, Harshin *woreda*, and Mid-term evaluation of the DRR/LR programme, 2014.

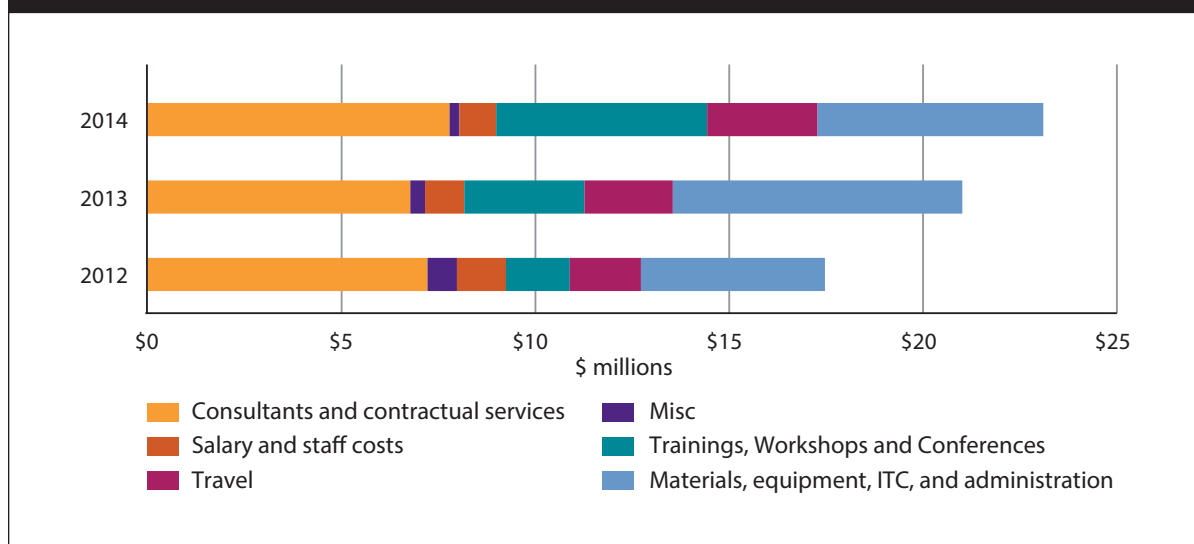
91 UNDP often considers projects with a budget below USD 100,000 as "small" projects, although this is a relative definition to the size of the country portfolio.

large, long-term and multi-donor programmes (e.g. AGP, DIP and DRS). The nature of UNDP support was in line with expected approaches. An expenditure analysis of sampled projects shows that the largest proportion of spending were concentrated in activities in line with UNDP’s role in providing advisory services and capacity building. In particular, more than half of all expenditure was on consulting and contracting services as well as trainings, workshops and conferences.

Overall, annual programme implementation rates were high, averaging 89 percent across all programme units (Table 6). Reviewed independent NIM audit reports indicate that UNDP pro-

grammed disbursements in compliance with guidelines and programme documentation. Implementation rates nonetheless varied by thematic area. The sustainable economic development portfolio had the highest rates of near full implementation, driven in part by the AGP’s high delivery rate, which is 59 percent of the portfolio. Interviewed stakeholders further validated UNDP’s high efficiency in this area in delivering pass-through funds from external donors to national partners such as the ATA. The CRGG thematic area suffered from lower rates in 2014, but this falls only slightly below the corporate threshold for satisfactory implementation of 80 percent.

**Figure 5. Expenditure breakdown by account category, 2012-2014**



**Table 6. Rates of implementation by thematic area, 2012-2014**

	2012	2013	2014
Sustainable economic development	97%	99%	96%
Climate, risk and resilience	89%	92%	77%
Democratic governance and capacity development	86%	83%	91%
<b>Total</b>	<b>89%</b>	<b>91%</b>	<b>88%</b>

Source: Atlas (2015)

92 Expenditures were analysed from a selection of 15 projects of the ADR sample for available years 2012-2014 using detailed Atlas expenditure reports. The categories of UNVs and grants, which has nominal spending, were excluded from the figure.

UNDP has taken concrete steps to address the constraints of delivering in a context where nearly 90 percent of programmes are nationally implemented by the government. A manual for NIM programmes agreed between GoE and five UN partners sets out clear implementation procedures. UNDP has used the AWP to align programme implementation with the government fiscal year to reduce the burden on national partners, and will be similarly aligning both the UNDAF and CPD in the new programmatic cycle 2016–2020. UNDP has worked on improving IP capacity for project financial management, which has historically had adverse effects on development effectiveness. Six PISOs are based in UNDP and work directly with IPs to provide technical assistance with HACT micro-assessments, financial reporting, audits, RBM training modules, and procurement.

Interviews indicate that there is scope for enhancing local operational efficiency. Delays in the release of funds were frequently mentioned by interviewed partners, including in *woredas*, which is partly attributable to logistics issues and the incompatibility of the respective fiscal calendars of UNDP and IPs.<sup>93</sup>

When analysing the planned budgets in AWPs and project concept documentation ('prodocs'), there were discrepancies in the financial management systems, which are adjusted on a yearly basis. Larger projects with ambitious scopes had significant shortfalls in planned budget. This was seen in initial project documentation versus actual delivery, including the AGP (55 percent of planned delivery, or about \$28m of \$50m), EDP (27 percent of its aspirational budget, or about \$8m of \$26m), and the Joint Programme on Gender (2 percent of its projected budget). While these shortfalls cannot be fully attributed to UNDP due to the multi-donor nature of mobilizing funds, it demonstrates: (i) the changing resource mobiliza-

tion environment; and (ii) a disconnect between programme design and delivery. The latter risks invalidating initial programme objectives where there are major shortfalls, as well as raising expectations of both donors and government partners.

**Finding 9. UNDP has played a key role in conceptualizing and rolling out the BOS and other operations-focused initiatives that have demonstrated cost savings.**

As a pilot DaO programme, Ethiopia was among the first to establish a database that allowed other UN partners to use each other's long-term agreements (LTAs). This aims to reduce the transaction costs of procurement procedures for goods and services commonly used for programme delivery among multiple UN partners, as well as the generation of actual cost-savings through discounted volume purchasing. UN partners indicated that this has been greatly facilitated by the UNDP leadership, particularly in a context where the burden for coordinated decision-making is greater.

The establishment of a joint operations team between the CO and the recently consolidated UNDP Regional Service Centre for Africa (RSCA) has brought further focus and innovation on improving efficiency. The fusion since 2013 of UNDP Ethiopia and the RSCA into a joint operations team, currently overseen by the UNDP Deputy Country Director-Operations,<sup>94</sup> has positioned UNDP well to innovate and enhance operational efficiencies. The RSCA joint operations team has introduced good management practices with regional implications. Currently, according to stakeholder interviews, the joint operations team is in the process of conceptualizing a Business Efficiency Gateway to create (i) a dedicated consultant roster for the region;<sup>95</sup> (ii) a repository of LTAs; and (iii) a database of development studies commissioned by COs in the region and recruit-

93 UNDP's fiscal year is from January to December, compared to the GoE fiscal year from July to June. As a result, the preparation of AWPs with the GoE in June-July tends to slow activities significantly.

94 Its establishment followed the consolidation and relocation of UNDP's previous sub-regional centres in both Johannesburg, South Africa and Dakar, Senegal to Addis Ababa, Ethiopia.

95 Note that other regional bureaux of UNDP have implemented a regional roster of consultants.



ment process of relevant consultants. These systems can attempt to facilitate shared TORs and procurement planning for similar projects between country offices.

These promising initiatives, and BOS implementation, have led to demonstrated cost savings. While the UNCT did not reach the projected \$13.4 million in savings, a cost-benefit analysis conducted in a multi-country evaluation by UNDG indicated that the Ethiopia had the largest net savings in procurement services of the five participating countries (\$2.6 million in 2014). The key cost reduction driver was bulk discounts (91 percent) followed by transaction costs avoided (9 percent). The Ethiopia case confirms that the BOS pilot has immediate value to the operational harmonization of the UN development system at the country level.<sup>96</sup> Through a DOCO Innovation Fund, UNDG will provide some start-up resources for the CO to more systematically measure business efficiency gains in the BOS phase starting in 2016.

The CO has provided some sensitization of management practices, including upfront linkages between programmes and operations. The operations team has emphasized the need for early planning by programme teams in rolling out new activities to involve the operations staff in key processes and to ensure short turnaround time. For example, the team recommended using a procurement plan to identify the needs in the programme planning phase. A survey conducted in 2014 found that only a minority of the polled UNCT staff in Ethiopia were satisfied with the gains from operational shared services (procurement, human resources, ICT and other areas), joint M&E, and joint working groups. Barriers to greater coherence at the operational level also included agencies under the UN Secretariat, for example the UN Economic Commission for Africa (UNECA), which have not yet harmonized with UN agency rules and regulations to enable common services through BOS.

#### 4.4 SUSTAINABILITY OF UNDP CONTRIBUTION

**Finding 10. UNDP interventions had a high overall level of government ownership, which enhances sustainability, as do training, institutional capacity development, consultative workshops and other measures that built the technical capacity of IPs and beneficiaries.**

UNDP supported strong institutional capacity development at both the national and sub-national levels, enhancing national ownership. In the sustainable economic development thematic area, examples of such capacity building occurred in the regional seed authorities, in farmers' cooperatives and in farmers' training centres. The introduction of, and training in, the use of biotechnology tools increased the national capacity to use tissue culture for mass production of clean planting materials and to use related advanced biotechnology techniques. The use of training-of-trainers approaches produced 20 certified national trainers for entrepreneurial development. While this only slightly reduced dependence on external support at this point, it has been a definite step in the right direction. There is strong government ownership of the EDCs, with EDCs being developed in several universities.

In the climate and environment sector, capacities of key personnel within sectoral ministries have been strengthened, national strategies to guide continued implementation were put in place, and dynamic funding mechanisms established (e.g. the CRGE facility) to mobilize and allocate funds for climate change adaptation and mitigation. The professionalization of the DRM workforce, the partnership with universities and support to the national Emergency Coordination Centre established structures for a more sustainable DRM system in the country. Strengthened capacity of weather stations and the NMA will also help sustain the country's

<sup>96</sup> UNDG, 'Mid-Term Evaluation: UNDG Business Operations Strategy Pilot Programme', by Ann Lund et al., July 2015.

ability to produce more reliable and up-to-date seasonal climate information usable by different sectors. Most of the CRGE organizations visited by this evaluation reported that they already had a plan to conduct activities without UNDP support, because the UNDP-supported activities had already become part of their plans. For example, the government has already agreed to continue the activities in the NMA plan and support is being provided by other development agencies. The establishment of CRGE technical teams in nine sector ministries and presence of an inter-ministerial climate committee in the Prime Minister's Office and corresponding technical committees are all indications of leadership and institutional sustainability.<sup>97</sup>

Most projects in the democratic governance thematic area have focused on capacity building and establishing relevant systems with implicit sustainability benefits. Institutional, policy and legislative changes that were introduced are in place and, for the most part, their sustainability is assured. Laws drafted with UNDP support – such as the proclamations on the declaration and registration of assets (FEACC) under the SDG and policy/strategy documents like the national strategy and conduct of regular community dialogues on HTPs/VAW (JP-GEWE) or the human rights action plan (DIP) – have already produced results that could be sustained without external support. Similarly, many of the structures established as a result of these programmes have been institutionalized within existing institutions. These include some of the legal aid centres, human rights clubs and anti-corruption clubs established under the DIP and SDG as well as the conflict early warning system put in place by CPR. Gondar University, for example, has managed not only to take over the legal aid centres established with support from the EHRC under the DIP, but has also expanded their number and outreach. The ILG project is a further example. It is now an integral part of the Ethiopian Civil Service University.

**Finding 11. A lack of clear exit mechanisms resulted in the unavailability of additional planned recurrent government funding for some projects, or enough time for local partners to integrate activities in their recurrent work programmes, thus reducing potential of sustainability and scaling up.**

While strong government ownership anchored in strong institutional capacity development may partly sustain programme results, the evaluation found other elements of sustainability needing improvement. Overall there is need to early define exit strategies of UNDP-supported interventions. Conceptually, early incorporation of clear exit strategies can help UNDP plan its project termination in ways that enhance smooth transition, or get governments to plan additional resources to take over, or get local partners to integrate UNDP supported activities into their recurrent work plans as well as avoiding unrealistic expectations in beneficiary stakeholders. While exit strategies are not the only important criterion for sustainability, a lack of clear exit mechanisms in almost all the projects and programmes in the climate portfolio have been reported to have had a negative effect on the sustainability of UNDP-supported activities, because IPs and communities are left without advance preparation.

Some programmes, including the agrobiodiversity project and the MDG-F joint programme, did not get sufficient government funds to scale-up. The evaluation also found that at the local level, although the DRR/LR programme produced significant changes in livelihoods and improved food security, these activities had a short life span and were implemented in only a few *kebeles* in one *woreda*. This prevented them from making sustainable contributions to livelihoods and food security issues. The mid-term evaluation of the DRM/LR programme came to a similar conclusion. Local sustainability can, however, be demonstrated by the 'Coping with Drought' project in South Wello, Kalu *woreda*, where an esti-

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97 Final Evaluation of the African Adaptation Program (AAP), 2013.

mated 60 percent of people graduated from food safety net programmes thanks to project interventions.<sup>98</sup> According to the interviewee in that particular *woreda*, although UNDP support had ceased two years ago, some project activities and benefits continued. Donor support was, however, needed to sustain some activities and scale up the project to nearby *kebeles* and *woredas*.

Similar examples of undefined exit strategies can be seen in the democratic governance thematic area. In terms of design, the DIP Umbrella Document does not refer to sustainability issues, and neither do programme documents for each IP. The same is true for exit strategies, which are simply non-existent in the programme documents. Most projects have focused on capacity building and putting in place relevant systems with implicit sustainability benefits. This could contribute significantly to sustainability of the results achieved. Between 2012 and 2013, the budgets for all supported institutions increased with significant rises reported for the EHRC (76 percent), NEBE (68 percent) and the EIO (57 percent).<sup>99</sup> This has been a positive development in maintaining some supported activities. Nevertheless, the sustainability of the DIP was clearly tested upon its termination in 2013. Despite the existence of the follow up SDG project and increased government budgets, many activities supported by the DIP had to be abruptly discontinued. This could have been avoided by, for example, exit strategies that defined a smooth

transition, even if termination was the desired result. This would have to include early donor indications of planned additional funding or not, and gradual winding down of activities consistent with budget realities.

The CPR initiative, while not referring directly to sustainability at the design stage, indirectly set out the conditions for sustainability of results. In addition to efforts to resolve current conflict, the programme built inter-community, inter-ethnic and inter-group confidence as well as structures at various levels so that new and emerging tensions could be identified and resolved. The CPR supported peace committees at *woreda* and *kebele* levels, and landmark agreements between communities engaged in conflict are also likely to be sustained. This is a good example of where a project's sustainability was a result of its inherent design. General sustainability is, however, at risk since this could only be assured through a wider government buy-in of the programme, which was considered far from guaranteed.<sup>100</sup>

The DRS was the only project intended as a pilot project with possible scaling up.<sup>101</sup> However, such scale-up has not materialized. None of the other projects supported under this outcome result area had a scale-up component. The extremely low capacities of the *woreda* and *kebele* structures targeted by the DRS would require much more time to bring them to a level where they can sustain the results of the project.

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98 Rough figure obtained from Interview with Implementing partner.

99 DIP Terminal Evaluation, November 2013, p. 45.

100 CPR Programme Document, p. 10.

101 Programme to Enhance Public Service Delivery for Accelerating Development Outcomes in Ethiopia's Four Developing Regional States, UN Joint Programme Framework Document, May 2011, p. 14.



## Chapter 5

# UNDP'S STRATEGIC POSITIONING

This chapter examines how well UNDP has used its comparative advantage to contribute to development results which are aligned to GoE policies and priorities, UNDP's corporate priorities and to Ethiopia's human development needs; and in so doing to assess how responsive it has been. First UNDP's strategic position and how well it used its comparative advantage (including relevance and responsiveness), and key partnerships which were instrumental in delivering results are discussed. Cross-cutting strategies and issues, i.e. knowledge management, south-south cooperation and gender mainstreaming are touched upon.

### 5.1 STRATEGIC POSITIONING

This section considers what constituted UNDP's comparative advantage and how well this was used to advance the achievement of planned development results. It also discusses how UNDP positioned itself among development actors, and what kinds of partnerships were key to the delivery of results.

#### 5.1.1 COMPARATIVE ADVANTAGE

**Finding 12. In a context of strong national ownership, UNDP's strong strategic position as a trusted and neutral GoE partner has allowed it to play an influential role in the development process, including on sensitive democratic governance issues.**

UNDP's role in Ethiopia is highly influenced by its position of trust with the government. That is based on its political neutrality derived from its UN multilateral character. It is complemented by the resources it brings on its own as well as those it mobilizes from donors, its convening power and role as interlocutor between bilateral donors and GoE through the DAG forum. In the UN

family and the One UN context, UNDP plays key roles as UNDG chair and within UNCT working groups. All this combines to give UNDP an influential role in its relationship with GoE. The government has strong control and ownership of the development process. UNDP, like most development partners, must therefore be responsive to the government's lead. In this respect, UNDP programmes were closely aligned to GoE priorities and responsive to GoE and to the country's needs.

UNDP's strategic position allowed it to work on sensitive democratic governance issues demonstrated by its extensive contributions in this area. It has engaged in upstream development of policies and strategies in a wide range of areas as well as capacity development and institutional strengthening. These initiatives have assumed a human development focus largely consistent with its corporate priorities, including the eight engagement principles articulated in UNDP's 2014–2017 Strategic Plan. Several partners valued UNDP's comparative advantage based on its long presence in Ethiopia and its knowledge of how to do things locally, while others appreciated accessibility to its staff, flexibility in project management and close project monitoring.

#### 5.1.2 PARTNERSHIPS

**Finding 13. UNDP effectively leveraged a range of partnerships to deliver its programmes, including UNCT members, government institutions, multi-donor platforms, South-South arrangements and, to a more limited extent, civil society and the private sector.**

UNDP often used its comparative advantage to good effect through tripartite relations between government, UN and bilateral partners. Based

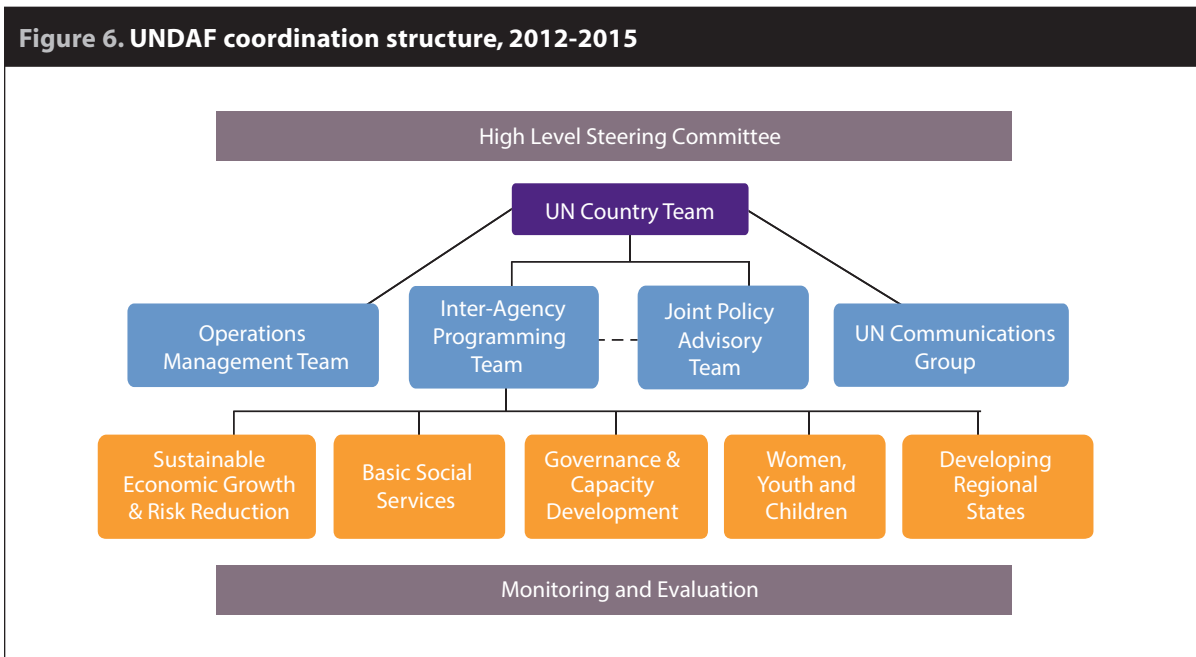
on UNDP's trusted working relationship with the GoE, it provided a bridge between the GoE and other development partners when appropriate. The main mechanism for dialogue between development partners was the DAG and High Level Steering Committee, comprising the GoE and most of the UN and bilateral donors. While the Committee last met in 2012,<sup>102</sup> the DAG has been a more regular, effective forum reinforced by UNDP's strong relationship with GoE. The DAG facilitated policy-level engagement with GoE on substantive issues such as trade logistics and export processing.

Ethiopia is a self-starter country for DaO and has one of the largest contingents of UN funds, agencies and programmes. Within the operational framework of the UNDAF, the UNCT working groups are the engines of DaO in Ethiopia. They include working groups on M&E, communications, policy and programmes, and operations (Figure 6).

UNDP participation and leadership in several working groups with UN partners have yielded

concrete results in giving the UNCT greater coherence and harmonization. Led by the Resident Coordinator's office, the Joint Policy Advisory Team was able to identify emerging themes at the strategic policy level and then develop concept notes and policy papers through the UNDP PAU that were driven by both supply and demand. Some exploratory issues were later translated into programmatic work. These helped to strengthen the strategic position of the Resident Coordinator's Office. Areas in which the UNCT worked well as a team include immigration, gender and social protection.

Two special UN partnerships deserving of mention are the UNVs and the UNCDF. The national UN programme has deployed thousands of national UNVs since 2001 in sectors such as IT, HIV/AIDS, environment, engineering and medical doctors. Many have served in remote areas. An illustration of the partnership is the Combating Desertification in Amhara and Oromia project, which is supported by two UNVs. This project received an award from the President and has been replicated by local associ-



102 See Minutes from the last High Level Steering Committee Meeting, 2011, 2012.

103 Resident Coordinator's Office, Ethiopia, 2015.

ations elsewhere. UNCDF has played a lead role in the UNDP-supported livelihoods recovery project under the DRM outcome area. UNCDF funds were used as start-up capital for cooperatives and unions to establish warehouse facilities and machinery, such as grinding mills. While UNDP trained cooperatives members, UNCDF contributes capital investments. The livelihoods projects were then jointly planned with *woredas* in the DRS.

**Finding 14. UNDP’s policy influence and ability to leverage partnerships and networks contributed occasionally to multi-donor resource mobilisation for national institutions.**

UNDP’s initial support for the design of the AGP helped to mobilize donor funds. UNDP’s core resources helped the GoE to attract the support of other donors for the programme. The total AGP-mobilized resources by donors including UNDP was about \$30 million between 2009 and 2016. UNDP’s contribution to this was only \$10.5 million. However, the MoA values UNDP’s catalytic role. UNDP interventions in climate change issues, such as sustainable development of protected areas, have attracted both funding and follow-on projects from other partners. Similarly, UNDP’s support for climate information and early warning systems with the NMA has helped catalyse about \$15 million from multilateral, bilateral and NGO partners using the design prototype.

## 5.2 CROSS-CUTTING ISSUES

### 5.2.1 KNOWLEDGE MANAGEMENT

**Finding 15. Working with the RR, UNDP has helped introduce new policy issues into the national development agenda with knowledge products as one key entry point.**

UNDP has been active in the production of knowledge products. These include the first National HDR (NHDR) since 1998 being published in 2015. The 17-year gap was due primarily to managing sensitive issues that require

consensus with government. While time consuming, this policy dialogue may have been as important as the product itself. The NHDR focused on vulnerability, shocks, climate change, institutional capacity, inclusivity, social trends and regional analyses. The Human Development Index was computed at the sub-national level for each region for the first time. This exercise has set an important analytical and evidence-based foundation for dealing more systematically with geographic inequality. The recently launched MDGR 2015 also provides some sub-regional data. Other products include its contribution to an Economic Outlook Report and Quarterly Reports with Central Bank data.

Many of these products were demand-driven based on conversations between the Prime Minister and the RR, e.g. on investment issues such as private equity leading to the venture capital framework. Not all recommendations were taken up, but some have been. They include those dealing with the EDC, industrial zones, and agriculture investment. The study on non-traditional sources of finances produced five recommendations on diaspora, PPP, tourism, carbon trading and climate finance, and some of these have been taken up.

UNDP Ethiopia has provided backstopping for UNDP regional activities, such as consultations on the Global HDR and the implementation of a regional trade project in close collaboration with the African Union Commission and ECA-Africa Trade Policy Centre. The UNDP Regional Service Centre’s presence and the production of 140 knowledge products during the last programme provided a connection between regional and national issues, ensuring that UNDP identified regional dynamics and emerging development challenges. Such analyses helped a regional and sub-regional perspective to be clearly reflected in the CPD to inform programming beyond core capacity building of institutions. Cross-border issues were also considered.

### 5.2.2 SOUTH-SOUTH COOPERATION

**Finding 16. UNDP is viewed as an effective interlocutor, leveraging its network of offices, policy centres and expertise at the regional and global levels to foster South-South cooperation.**

The CO has been active in supporting partnerships for South-South cooperation with a range of programmatic outcomes. The following examples are intended to illustrate the breadth of that range without being too exhaustive.

With UNDP support, a MoU was signed between Ethiopia, China and Vietnam in the context of the China-Africa Forum for commercialization of agriculture in Ethiopia. MoFED officials conducted learning visits to Brazil and Tanzania for technical lessons in financial inclusion. These visits facilitated the implementation of the project's pre-pilot phase. UNDP facilitated the secondment of an expert by the Government of India. The expert supported the MoI in developing and computerizing a standard input-output coefficient system for export products, specifically in the leather and textile industries given their majority share of the manufacturing economy. The coefficients facilitate fulfilment of customs requirements, and as a result companies no longer need to get yearly MoI coefficient approval, while business transaction costs have decreased. UNDP Ethiopia's strong partnership with the Asian Disaster Preparedness Centre in Thailand led to an MoU being signed for the establishment of the African Centre for Disaster Risk Management (ACDRM). Further collaboration between Ethiopian officials and academic institutions in Bangladesh, the Philippines and Ethiopia supported the institutionalization of DRM education and training programmes. The establishment of MoFA's situation room for crime prevention and conflict monitoring in Ethiopia was the result of a UNDP-facilitated visit by MoFA officials to South Africa.

### 5.2.3 GENDER EQUALITY AND WOMEN'S EMPOWERMENT

Strategically, the design of the UNDP country programme treated Gender Equality and Women's Empowerment (GEWE) as a cross-cutting function mainstreamed across programmes, as well as a specific programme under the JP-GEWE. This section presents a holistic cross-cutting assessment of UNDP's overall contribution to GEWE.

**Finding 17. Systematic gender mainstreaming across the CP was limited. Most UNDP-supported projects and programmes incorporated some gender concerns during implementation. Gender strategies were developed and most projects ensured greater women's participation in interventions. The CO also initiated measures to strengthen the enabling environment in line with corporate standards. However, much more still needs to be done in mainstreaming gender in all its dimensions in UNDP-supported programmes.**

The UNDP Strategic Plan calls for "faster progress in reducing gender inequality and promoting women's empowerment". A review of the CPD suggested a need to systematically and comprehensively mainstream gender. It is recognized, however, that the CO has now developed a more comprehensive Gender Equality Strategy (GES 2014), which provides general guidance to programmatically and institutionally mainstream gender. However, most existing projects were developed before the GES in the absence of adequate mainstreaming guidelines. Moreover, the gender mainstreaming directions, structure and procedures set out in the GES 2014 have yet to become fully functional.<sup>104</sup>

While some projects did not adequately address gender issues at design stages, the available evidence shows consciously designed activities to address gender in the implementation process. The development of gender strategies was a key

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104 For instance, a gender specialist position envisaged in the GES was yet to be filled at the time of the ADR.



component of the JP-GEWE. This programme led to the adoption of standardized national gender mainstreaming guidelines. Gender strategies were also developed under the DIP for the NEBE and evaluated under the SDG. Institutions supported under the DIP have taken measures to improve the number of women on their staff and make their services more accessible to women as well as targeted women in their activities. For instance, legal aid services supported by the EHRC under the DIP and SDG consciously targeted women as beneficiaries. By the end of the DIP implementation period, the NEBE reported that women's representation had increased to 40 percent of election officers; 43 percent as candidates; and 49 percent of voters. These approaches and activities have led to an increased leadership and participation of women in peace, human rights, anti-corruption and other governance issues. The ILG project has taken into account gender in the implementation of its activities. The share of women in the recruitment of students for the ILG has increased significantly since the establishment of the institute. Initially, women constituted only 10.4 percent of recruits. This increased to 42 percent in 2013.<sup>105</sup> However, interviews with ILG representatives indicated that efforts to ensure gender parity are hampered by the under-representation of women in the civil service as well as attitudinal issues at regional civil service commissions responsible for identifying the initial pool of potential recruits.

For sustainable economic development, the AGP supported gender-responsive policy and institutional capacity development to build the knowledge, skills and systems that enhanced women's access to critical productive services. A gender analysis and strategy document has been developed as a tool to be used by implementing partners to enhance and ensure effective mainstreaming of gender in the programme. A gender analysis was successfully conducted in 2014 and showed improvement in the situation of women among smallholder farmers. Recommendations

on how to empower and mainstream gender was planned to be reviewed and implemented in 2015. The proportion of women benefiting from the agricultural extension service reached about 29 percent in 2011/12 compared to about 19 percent during the GTP base year, 2009/10.<sup>106</sup>

The EDP project, also under sustainable economic development, had a clear focus on women and youth. Some 40 percent of people trained in entrepreneurship were women. However, the planned target of 50 percent was not attained, largely because of prevalent cultural norms regarding women as well as the higher illiteracy rate of women than men. The project also made attempts to be inclusive of marginalized people. Some 72 people from ethnic minorities, most of whom were women from an area called Shiromeda, in Addis Ababa, were trained. The EDP selection criteria partly identified excluded and worse-off groups, such as women, youth, and other disadvantaged people. However, there is not yet clear guidance in place on how vulnerable groups (such as those living with HIV/AIDS and the elderly) can be included by the project. The EDC is considering the future development of such guidance. Although priority is given whenever possible to the disabled, people who cannot see or hear are so far excluded, because the programme has not yet determined how they could be included.

In climate-related programmes, it was observed during field visits and interviews with key informants that priority was given to involving women in interventions such as improved cooking stoves and income generating activities like livestock fattening, among others. The proportion of women in some activities was almost 40 percent to 50 percent. However, project design and implementation can better address the needs of men and women taking into account their different social roles; and also including specific gender indicators to measure the project impact on the different groups. Gender issues were also well incorporated in most CRGE interventions. Results, for instance, from

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105 ILG, Mid Term Review, June 2014, p. 24.

106 ROAR 2012.

the Promoting Autonomous Adaptation Project showed that about 47 percent of beneficiaries at the community level were women. Design and implementation of other projects also gave high priority to gender equality, women inclusion and empowerment. UNDP assigned a Gender Advisor to the Ministry of Water Irrigation and Energy to support the implementation of Gender Action Plan, supported the design of a gender strategy with mainstreaming guidelines for the Ethiopian Wildlife Protection Authority and Ethiopian Institute of Biodiversity Conservation.

The CPD Results and Resources Framework only specifies the collection and usage of sex-disaggregated data in two of six outcomes and gender-sensitive indicators and targets in one of six outcomes. As gender mainstreaming is fully implemented, the programme will need to go beyond mere disaggregation of data and include the different roles of women and men, coping and adaptive strategies, and power relations in order to embed such analysis into programme design.

Internally, within the CO a gender mainstreaming architecture is in place following genuine efforts to implement measures in line with corporate standards but is not yet fully functional. UNDP Ethiopia was one of 38 COs that volunteered to participate in the corporate Gender Equality Seal certification process beginning in 2013. The Seal is a corporate certification process that recognizes the good performance of COs and units in delivering transformational gender equality results. UNDP Ethiopia developed and implemented an action plan, submitted a final assessment, but did not receive one of the three possible forms of certification (gold, silver or bronze). Following this effort, the office published a UNDP Ethiopia Gender Equality Strategy (GES) for 2014–2016, which highlighted ongoing issues in staff training and gender mainstreaming into programmes that were identified during the Seal certification process. It appears that the office applied for the Seal

for a second time in August 2014, but was again unsuccessful.<sup>107</sup> The CO largely complies with other UNDP corporate requirements on gender, and has made genuine steps to address issues identified through the Seal process. It has engaged in trainings for gender-sensitive interviewing and includes female members on recruitment panels and the Compliance Review Panel.

Gender issues within UNDP Ethiopia are handled by the Gender Focal Person (GFP). The Gender Focal Team (GFT) and Senior Management Team (SMT) both have responsibility – together with the GFP – for coordinating gender issues. The GFP is tasked with providing technical backstopping to programme units, quality assurance of projects, and assisting in developing the Joint Programme on Gender Equality and Women’s Empowerment (JP-GEWE) implemented by the Governance Unit. In practice, though, due to staff changes, interviews with UNDP staff indicated that there was limited awareness of the GFP’s identity and role. In addition, while there is a GFT of senior managers, it has not met regularly. These observations suggest that despite an improvement in mainstreaming gender into internal organizational management, there has yet to be strong implementation.

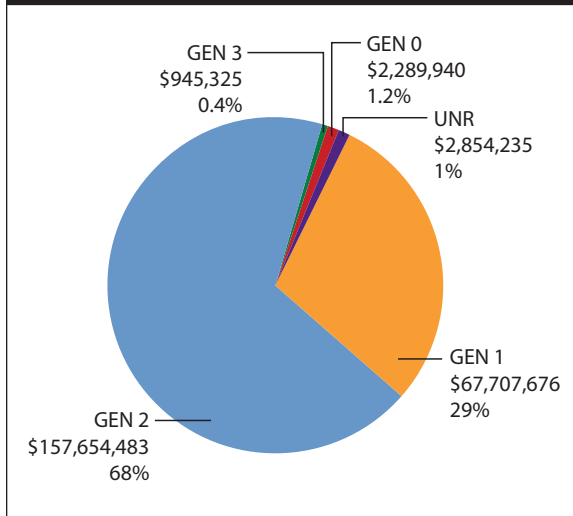
According to the GES, some staff “have not had gender training and lack gender analysis skills and gender mainstreaming competence”.<sup>108</sup> In response, the CO set out to provide: (i) in-house gender training on the GES and other sector specific gender trainings; (ii) capacity strengthening on ‘results based reporting’ from a gender perspective; and (iii) a formal mentoring programme. In this respect, the CO organized training through the RSC in August 2014 on gender sensitization. In June 2014, it also conducted a competence self-assessment of programme managers and GFT members that suggested a mix of gender mainstreaming experience. Further information indicates that gaps in the CO’s

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107 Based on a second Gender Seal self-assessment dated 15 April 2014.

108 UNDP, ‘Gender Equality Strategy: 2014–2016’, Ethiopia, 2014.

**Figure 7. Gender Marker rating by programme expenditure (2012-2015)**



gender-sensitive training still exist: about half of UNDP staff in the country office (22 of 42 listed staff) had completed the UNDP online gender course (Gender Journey) as of April 2014.

UNDP tracks financial allocation to GEWE through its corporate tool the Gender Marker (GM) by assigning ratings at the project level during design.<sup>109</sup> Based on this scale, Figure 7 indicates the extent to which gender was mainstreamed into the CO programme. Most projects (23) have a GEN 1 score, accounting for almost 30 percent of total expenditure. With 20 projects accounting for over two-thirds of expenditure rated as having GEWE as a “significant” or “main” project objective, the country programme would be expected to have a significant focus given to mainstreaming GEWE.

There are, however, indications of inaccuracy and inconsistency in the practice of assigning GM ratings that led to underrating and over-rating based on a review project documents and their implementation. For example, the project for the Establishment of National Leadership

Development Institute was rated GM0, but has been contributing to GEWE through measures to increase the admission and retention rate of women trainees at the Institute. The problem is partly due to the absence of a system to update the GM rating periodically by taking into account the actual contribution of projects to GEWE during implementation. Inconsistencies in the GM rating were equally observed in the Conflict Prevention and Peacebuilding project. Two sub-projects with the same objectives and activities were assigned variable GM ratings.<sup>110</sup>

Most projects marked GM1 and GM2 have carried out activities and achieved corresponding results related to GEWE. Project contributions to GEWE could have been improved by systematically mainstreaming gender into programme design and implementation. Most project documents did not contain meaningful gender situation analyses nor a systematic indication of gender equality as part of the project objectives, outputs, indicators and targets.

The UN Flagship Joint Programme on GEWE received the GM3. The programme was supported by six UN agencies and several bilateral donors and implemented at the federal level and in nine regions. Programme design was over-ambitious and resource mobilization low. There was also difficulty in spending the 30 percent of resources mobilized. But some significant outputs were still delivered, including institutional gap analysis and gender mainstreaming guidelines with supporting tools. The gender mainstreaming guidelines have been adopted and applied by government sector institutions both at federal and regional levels. Since this project represented less than 1 percent of UNDP’s total expenditure on programmes/projects, UNDP fell short of the relevant benchmark set out in the Gender Equality Seal of at least 10 percent of programmes/projects having as a GEWE as a primary objective.

109 GM 3 = Outputs that have gender equality as the **main objective**; GM 2 = Outputs that have gender equality as a **significant objective**; GM 1 = Outputs that will **contribute in some way** to gender equality, but not significantly; GM 0 = Outputs that are **not expected** to contribute noticeably to gender equality.

110 Institutional Capacity Enhancement and Training at the African Centre for Peace and Security Training.



## Chapter 6

# CONCLUSIONS AND RECOMMENDATIONS

This chapter presents conclusions and recommendations based on the findings of UNDP's performance and contributions to development results in Ethiopia during the 2012–2015 period. The recommendations are addressed to the UNDP Ethiopia CO and are intended to inform the design and implementation of the next country programme.

### 6.1 CONCLUSIONS

**Conclusion 1. As would be expected in a country with such strong government ownership of the development agenda, UNDP efforts during the CPD 2012–2015 served government priorities and, to some extent, matched those of local communities. The thematic areas proposed for the next CPD build on these and are consistent with ongoing changes in government priorities.**

UNDP programmes were oriented by relevant national strategies, notably the GTP in the current period 2012–2015. At the sectoral level, strategies included the agricultural production and productivity, agricultural led industrialization, the Disaster Risk Management and Investment Plan, Climate Sensitive Green Growth, Human Rights and Anti-corruption, and Conflict Prevention and Peacebuilding. More detailed needs assessments and structured community engagement are required to fully align projects on the ground with community priorities.

The broad thematic areas proposed for the forthcoming CPD (i.e. democratic governance, climate and resilience, and sustainable and inclusive growth) are in line with the expected priorities of the forthcoming GTP II and UNDP strategic

priorities, are consistent with the SDGs and have the potential to address the needs of the poor and most vulnerable communities in Ethiopia. The observations and recommendations made in this ADR as well as other evaluations should inform the design, implementation and monitoring and evaluation of the next CPD.

**Conclusion 2. The most significant contribution to development during this CPD was the institutional capacity UNDP built or supported in critical institutions in its thematic areas of democratic governance, agricultural productivity, private sector development and climate resilient green growth. However, the linkages to changes in people's lives on the ground were not always evident.**

Among the new institutions supported at the federal level were the National Electoral Board of Ethiopia, the Ethiopian Institution of Ombudsman, the Ethiopian Human Rights Commission, the Federal Ethics and Anti-Corruption Commission, the Office of the Federal Auditor General, the Civil Service University and Agricultural Transformation Agency. Capacities were developed in the Ministries of Agriculture, Water, Irrigation and Energy, and Industry and the Institute of Biodiversity. Capacity development was also extended to sub-national institutions, including the BoFEDs and WoFEDs. UNDP capacity development interventions in Ethiopia fell within the four core issues or domains of capacity development as identified by UNDP though the emphasis is more on the institutional domain.<sup>111</sup> As discussed in Chapter 4, UNDP's support has contributed to enhanced performance in most of the supported institutions, although measures to

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111 The four domains are institutional arrangements, leadership, knowledge and accountability. Source: UNDP, Capacity Development: A UNDP Primer, 2009

assess the comprehensive needs and effectiveness of capacity development initiatives must take into consideration that capacity development is a long-term and context-specific process.

**Conclusion 3. In terms of programme design, while individual project activities were focused on results, only in a limited number of cases were synergies identified across programme units. Partnerships at the local level were inadequate and only limited micro-macro linkages between downstream and upstream programmes were forged.**

There were relatively few efforts to create synergies across country programme units and thematic areas. Both the DRS and CPR programmes linked certain initiatives to efforts in the CRGE area. Its approach of combining (i) social protection and livelihoods with (ii) risk reduction and climate adaptation informed drought recovery and resilience initiatives. In most areas, however, programme units followed a more activity-focused approach focused on delivery. There is limited incentive for staff to work across thematic areas in contrast to the UNDP Strategic Plan's aspiration to achieve holistic portfolio management.

UNDP did not fully capitalize on its strong position to draw micro-macro linkages between downstream and upstream programmes. For example, local livelihood projects (e.g. livestock fattening and beekeeping) produced visible results, but had limited connections to policy at the regional or national levels. Furthermore, other development partners were engaged in similar activities, which limited UNDP's added value. In such areas, UNDP may be better positioned to focus on creating synergies among IPs, linking their downstream work to upstream policy and institutional reform. A focus on immediate deliverables (e.g. expenditure reports or activity monitoring) rather than systematic RBM reduced the efficiency of outcome achievement. This lack of systematic results-oriented M&E practices reflects broader deficiencies in institutionalizing learning and feedback loops between on the ground demonstration and pilot projects

on the one hand, and upstream policy and advisory support on the other.

**Conclusion 4. Most of UNDP's programmes could be considered as having delivered satisfactorily at the output result level. UNDP's specific contributions to outcome results were more difficult to assess.**

Reporting by UNDP on its achievements tended to focus on completed activities and immediate outputs. This has important implications for demonstrating UNDP's contribution to development results, which is likely to remain vague and inconsistently measured unless clear theories of change are developed at the time of programme design and used throughout the project cycle. A lack of SMART indicators for most outcome results also makes it difficult to do meaningful assessments against changes in outcome results. Nevertheless, UNDP's work in policy dialogue, institutional strengthening and capacity development have been widely appreciated and clearly assisted the GoE in moving forward on its development trajectory.

**Conclusion 5. Sustainability of outcomes were mixed. Strong government ownership of the supported projects and capacity building of partner institutions to assist them in carrying forward the projects on their own when UNDP support ends augurs well for sustainability. But community ownership was less strong and, coupled with the pervasive lack of exit strategies, weakened prospects for sustainability.**

UNDP projects upstream were fully owned by government, so that continued support would be expected. This was complemented by capacity building of host institutions to enable them to continue implementation. But these expectations are dashed if exit strategies are not in place to allow adequate advance planning, whether upstream or at the community level.

In a development context with NIM as the dominant implementation modality, exit strategies are critical to sustainability for several reasons. They

stipulate the estimated duration and extent of UNDP support, and propose how any transition would be managed in consultation with stakeholders. These strategies include an explicit indication to government on whether capital and/or recurrent budget allocations will be required. In addition, they provide advance notice to partners to plan for a continuation of what works.

In designing exit strategies, it is important to distinguish between the sustainability of the programme that UNDP is supporting and the sustainability of the partner institution. In several cases, where the goal of the UNDP programme has been to establish an institution and build its capacity, the programme and the institution are the same and the exit strategy is for both. On other occasions, when UNDP is, for example, implementing a local project through existing institutions, the exit strategy should focus on how those institutions will carry on delivering results after UNDP exits. The strategy will also inform when and how UNDP exits to ensure sustainability. Furthermore, pilots and demonstration projects were commonly used, but were not well supported with explicit scale-up or learning strategies.

There is some evidence to suggest that lessons learned from downstream projects have informed policy decisions, as seems to be prompting the shift from disaster recovery projects to resilience-based approaches. Clear and deliberate protocols that show macro-micro linkages and assess the effectiveness of pilots for potential scale-up will increase the utility of the lessons learned on the ground.

**Conclusion 6. UNDP has leveraged its strong and close relationship with GoE to navigate sensitive policy issues from a human development perspective and to act as an interlocutor between other development partners and GoE. At the same time, UNDP leadership has been challenged by the need to balance its close government engagement with the expectations of other development partners, including some DAG members, for it to play an advocacy role**

**of their behalf. Similarly advocating for citizens' empowerment was challenging.**

UNDP occupies a special position of trust with GoE, largely based on its political neutrality. It has exercised this role through its positions on the High Level Committee, DAG, and UNCT working groups within the DaO structure. Examples of such policies include the National Human Rights Action Plan, Anti-Corruption Strategy, DRM strategy and investment framework, and CRGE strategy. This position of trust and neutrality has also contributed to a perception of UNDP being too close and somewhat uncritical of GoE. A good example of the double 'tight rope' that UNDP has to walk in Ethiopia is the recent support to the electoral process. On the one hand UNDP, can be seen as playing an important facilitating role among political parties, donors, media and government as an interlocutor with the electoral body. And on the other hand, the space left open for other political parties to engage was extremely limited.

Many donor partners feel that UNDP could have persuaded the government to open up this space by showing them how it would have been in its own interest not to have the perception of a one party state. Strong government control of the development process has positives in terms of government ownership, but also severely restricts space for direct engagement of development partners and with people for whom the benefits of development are intended. This is manifest in the dearth of civil society partners active in some areas of development. But since government also recognizes the importance of citizens' empowerment in its legislation, UNDP can further leverage its close relationship with government to discuss best practices in the area of people's self-empowerment, which requires bottom-up processes as well as top-down support. The engagement of civil society will ultimately enhance the effectiveness and sustainability of development results.

**Conclusion 7. All UNDP programmes were intended to contribute to the UNDP corporate goal of poverty reduction, either directly**

or indirectly. The actual extent of contribution is difficult to assess, because much of its work was upstream in policy, institutional and capacity development and not directly linked to poverty indicators. Theories of change in individual programme areas were not clear enough to establish these links and make such poverty outcomes evaluable. Similarly, issues of inequality and resilience-building were not adequately addressed.

Shocks, such as the impending droughts currently facing Ethiopia, could reverse much of the poverty reduction observed in recent years unless resilience has been built and the safety nets (PSNP) strengthened. This reinforces the importance of a comprehensive approach to resilience-building. Further sustainable reductions in poverty will need a focus on improving the productivity of the poorest and marginalized rural households dependent on agriculture. It also indicates that poverty reduction measures need to be complemented by measuring resilience, using Community Based Resilience<sup>112</sup> and other related measures.<sup>113</sup>

UNDP programmes did not give systematic attention to various dimensions of inequality. So inequality indicators for establishing baselines and monitoring programme contributions are not evident in any of its programmes. It was therefore not possible to assess UNDP's contribution to the reduction of inequality.

While this might imply that general inequality is not of major concern at this time, UNDP will do well to continue to advocate and support a broad-based inclusive approach to growth and help the country achieve, if possible, continued high growth rates and poverty reduction while maintaining low levels of inequality. This will be a rare, if not a unique, achievement. It will require a focus not only on income growth, but of ownership of assets,

realization of human rights among the poorest and more equitable access to basic services.

## 6.2 RECOMMENDATIONS

**Recommendation 1. By building on its track record, and taking account of GoE priorities in GTP II, UNDP should continue to support institutional building and capacity development, particularly in sustainable economic growth, democratic governance and climate-sensitive and -resilient development. At the same time, continued attention to the private sector and community level development will be necessary to support expected development outcomes. An explicit focus on resilience should be included.**

In the forthcoming CPD period, attention will have to be given to ensuring that the institutions of democratic governance have adequate budgets and leadership, and that the human rights of all Ethiopians – particularly the vulnerable and marginalized – are increasingly met and respected. Attention will have to be given to increased electoral, political and media freedoms. Economic rights, such as property rights, will be necessary to realise the vision of middle income country status. Mainstreaming environmental protection, including climate sensitivity, across the board should be given high priority, while introducing new ways of achieving these goals. UNDP has the opportunity to take a leadership role in supporting GoE to establish a comprehensive approach to building resilience in Ethiopia by first articulating a national resilience-building policy that builds on – but goes far beyond – the DRM framework.

The building blocks of this approach should include DRM, human resilience based on sustainable livelihoods, institutional resilience in having the capacity to maintain basic service delivery even in the face of shocks, and safety nets that use sus-

112 UNDP Drylands Centre (2014): Community Based Resilience Assessment. Conceptual Framework and Methodology.

113 See for example the recent report for UNDP Iraq: Pathways to resilience for Syrian refugees living in camps in Kurdistan region of Iraq: Feasibility study for resilience-building in Syrian refugee camps and their Neighbouring host communities in the Kurdistan region of Iraq by Naresh Singh, Roger Guiu and Lahib Higel.



tainable development principles. The role of the private sector will be of the utmost importance in the forthcoming GTP II, which is intended to propel the country to middle income status. UNDP should therefore carve out a clear niche and strategy for its role in supporting private sector development consistent with its partnerships with government, its bilateral donors and the conclusions of the recent FFD on innovative financing. UNDP also needs to give more explicit attention to the impact of its programmes on inequality in all its dimensions, including geographic, gender, income, and asset ownership, by identifying appropriate indicators and establishing baselines. The recent NHDR with regional HDI disaggregation is a good start. UNDP now needs to build on this and establish baselines so that it can monitor and be responsive in a timely manner to inequalities that are likely to arise with increasing urbanization and continued high levels of growth.

***Management Response.** The recommendations raised are well aligned with the CO's current thinking on what will constitute our programme priorities over the next CPD, and we agree that more resources and support to GoE should be sustained. This will ensure that the whole realm of public governance continues to be strengthened to safeguard current democratic dividends, while ensuring that the country stays on a rapid path of democratization and development. On the later aspect of ensuring sustainable development, the CO agrees that building a programme to enhance capacities to delivery economic rights and freedoms is important in promoting inclusive development in general, and private sector development in particular. We also agree to take up a greater leadership and coordination role on resilience and early recovery within the UNCT system and with development partners; and to deepen our downstream interventions in communities that are most vulnerable to droughts and climate hazards, with targeted responses on women, youth and children, and marginalized groups.*

**Recommendation 2. UNDP should maintain and use its strong relationship with government to engage in policy dialogue, but strengthen its sustainable human development perspectives. These are critical to meeting the needs**

**of Ethiopia's people and consistent with the UNDP Strategic Plan priorities and engagement principles, including participation and citizens empowerment**

There are obvious challenges in doing this in a context of strong government ownership and control of the development process. Nevertheless, astute leadership of the RR/RC, strategic partnerships, catalytic core resources and thought leadership can be combined with UNDP's trusted position to accelerate sustainable human development progress in Ethiopia.

***Management Response.** UNDP management recognizes the privileged position as Ethiopia's trusted partner—the goodwill that has been built over years of repeated interaction with the senior leadership of the Government of Ethiopia. This goodwill and trust will be leveraged by UNDP (and the UN Resident Coordinator's Office) to enhance strategic dialogue with the government, especially on politically strategic issues where such levels of trust as they exist now are important in brokering dialogue with government. UNDP will, however, remain astute and careful in its engagement with government so as to maintain and deepen the trust and respect it has earned, and ensure that this privileged position is sustained in the coming years.*

**Recommendation 3. To enhance sustainability, UNDP should incorporate well-defined exit strategies into all its programmes and projects, as well as explicit learning and scale-up strategies for pilot projects. This should be complemented by building synergies horizontally across programming units as well as vertically through clear articulation of macro-micro linkages between local projects and upstream policy and institutional reform where relevant.**

Upstream-downstream linkages, demonstration projects and pilots need to be better articulated, as do the criteria for determining the effectiveness of pilots. That will help to strengthen RBM, sustainability and scale-up, so setting the stage for learning and innovation.

*Management Response.* UNDP programming in Ethiopia is executed through the national implementation modality (NIM). Upstream and downstream interventions are designed and implemented through and within existing government structures. This approach has an in-built sustainability mechanism that will need to be strengthened further by making exit strategies and other sustainability benchmarks more explicit in our programme documents and work plans as we move to implement the forthcoming CPD. We also welcome the recommendation to strengthen and leverage upstream interventions to support greater impact of our downstream interventions. We think that as Ethiopia is DaO country, further efforts will be made to coordinate UNDP interventions with other UN agencies to foster synergies on downstream and upstream interventions across the UN system wherever possible, and thereby enhance the impact and sustainability of results at project and outcome levels. We will also be looking into entry points for harnessing macro-micro linkages to strengthen programme delivery and impacts at project and outcome levels.

**Recommendation 4. UNDP should ensure the clear articulation and ownership of theories of change at the time of programme design by engaging key stakeholders. This should be complemented by appropriate outcomes indicators and baselines as part of a systematic and more institutionalized approach to M&E. While UNDP should continue to strengthen its RBM approach, it will have to be prepared to deal with natural hazard and socioeconomic shocks and stresses. This will require flexibility and adaptive management.**

Several advantages are associated with a participatory approach to articulating theories of change. These include better understanding of how a project is expected to achieve its goals, defining SMART<sup>114</sup> indicators, exposing hidden assumptions that can be detrimental to success, improving M&E designs and establishing the basis for learning what does and does not work, and why. It also helps to institutionalize

programme approaches as well as RBM and a results-based culture. The specific elements recommended for incorporation into programme design are particularly relevant to the UNDP approach to programming in Ethiopia, which involves a mix of upstream and downstream projects.

Tracking and documenting results, identifying strategic gaps and designing interventions need to be done in more structured and coordinated ways. Currently, this is done in a rather ad hoc manner and usually requires individual staff efforts rather than taking place through a structured and organized system with appropriate procedures. There should also be systematic documentation of what is going on in project sites (specific sites per region and districts) for measuring changes and effects of project interventions. This evaluation faced challenges due to a lack of quantified baseline conditions, which made it difficult to measure and compare results.

*Management Response.* The CO will continue to improve programme design and content and ensure more clarity on the theory of change that underpins our programme rationale and its relevance to results and outcomes. As part of these initiatives, UNDP will also provide training to its IPs to ensure that the implementation process is also in line with the programme document and M&E framework for the project's 'SMART' indicators.

**Recommendation 5. More systematic participatory assessments of community assets and needs are required to better align UNDP's projects to specific community priorities whilst ensuring greater ownership and sustainability at that level, and to nurture bottom-up processes of self-empowerment. Supporting bottom-up self-empowering engagement processes with communities will also increase voice and participation.**

Better alignment with the assets, needs and priorities of communities can be strengthened, and

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114 SMART: Specific, Measurable, Achievable, Realistic, Time-bound.

self-empowering processes nurtured by using participatory learning and action methodologies as well as the assets approach for sustainable livelihoods at the community level. UNDP should identify local NGOs that possess these skills or that can be trained to carry out such tasks and partner with them in the design of community-based projects to achieve these objectives. But community self-empowerment programmes are never easy. Policy dialogues with government will also be necessary to ensure they understand the importance of such approaches in improving the lives of poor and marginalized people while helping to achieve government objectives of democratization and citizen participation.

***Management Response.** UNDP utilizes various approaches to engage with local communities in programme formulation and implementation, and ensures that all projects and programmes implemented at the local level are endorsed by the community and local government structures. Local government representatives are also called in to participate in the local appraisal committees that approve beneficiary selection and, subsequently, the project document before it is submitted to government for signature. More efforts will, however, be made to enhance documentation of this process in future projects. Moving forward, we will take on this recommendation to strengthen collection and documentation of baseline information at the community and project levels, including on household and community assets to support future programming, progress evaluation and impact monitoring. Also, local authorities, civil society organizations and other representation groups/associations will be supported to enhance their skills for effective engagement and participation in project formulation and monitoring, decision-making, policy engagement,*

*and also to enhance their abilities to demand greater participation and voice as may be necessary and relevant to the project and local context.*

**Recommendation 6. UNDP should prioritize gender mainstreaming in the next country programme. The 2014 Gender Equality Strategy (GES) must be accompanied by an operational implementation framework with dedicated staff to ensure that necessary systems and structures are in place to contribute to gender transformative results.**

UNDP programming must go beyond gender disaggregated data and undertake gender analysis of key issues and integrate gender considerations in the CPD design. The CO must also complete steps initiated to improve the business environment and ensure that a strong enabling environment exists in the office for gender equality and women's empowerment. There is a need to raise the profile of the gender focal person, to complete staff training, plus overall monitoring and reporting on the GES.

***Management Response.** The CO agrees with this recommendation. Efforts will be undertaken to strengthen the gender dimension in the new CP, and to increasingly target women as beneficiaries and actors of change. The office will continue to support the mainstreaming of gender across programme components, as outlined in the UNDP GES, and will monitor progress using the gender marker and Gender Equality Seal. To that intent, the office will develop an operational implementation framework that accompanies the GES in the next programme cycle. The M&E system will be strengthened to include more explicit reporting of gender results throughout the CPD period.*



# TERMS OF REFERENCE

## 1. INTRODUCTION

The Independent Evaluation Office (IEO) of the United Nations Development Programme (UNDP) conducts country evaluations called Assessments of Development Results (ADRs) to capture and demonstrate evaluative evidence of UNDP's contributions to development results at the country level, as well as the effectiveness of UNDP's strategy in facilitating and leveraging national effort for achieving development results. The purpose of an ADR is to:

- Support the development of the next UNDP Country Programme Document (CPD);
- Strengthen accountability of UNDP to national stakeholders; and
- Strengthen accountability of UNDP to the Executive Board.

ADRs are independent evaluations carried out within the overall provisions contained in the UNDP Evaluation Policy.<sup>115</sup> The IEO is independent of UNDP management and is headed by a Director who reports to the UNDP Executive Board. The responsibility of the IEO is two-fold: (i) provide the Executive Board with valid and credible information from evaluations for corporate accountability, decision-making and improvement; and (ii) enhance the independence, credibility and utility of the evaluation function, and its coherence, harmonization and alignment in support of United Nations reform and national ownership.

Based on the principle of national ownership, IEO seeks to conduct ADRs in collaboration with the national authorities where the country programme is implemented.

The first ADR for Ethiopia was conducted in 2004. UNDP Ethiopia has been selected for a second ADR since its country programme will end in 2016. The ADR will be conducted in 2015 to feed into the development of the new CPD.

## 2. NATIONAL CONTEXT

Ethiopia is a landlocked country, the ninth largest country in Africa, with a total land area is over one million square kilometres, and the second most populous with a population projected at 90 million<sup>116</sup>. The FDRE is composed of nine regional states representing substantial ethnic and religious diversity. More than 85 ethnic groups and most major world religions are represented, and more than 80 languages are spoken in the country.

The FDRE has a bicameral parliamentary system and a constitutionally independent judiciary. National parliamentary elections were held on 24 May 2015 and it was announced on 22 June 2015 that the incumbent government will remain in power.

Over the last decade, Ethiopia has been one of the world's fastest growing economies. This has been largely due to the expansion of the services

115 See UNDP Evaluation Policy: [www.undp.org/eo/documents/Evaluation-Policy.pdf](http://www.undp.org/eo/documents/Evaluation-Policy.pdf). The ADR will also be conducted in adherence to the Norms and the Standards and the ethical Code of Conduct established by the United Nations Evaluation Group ([www.uneval.org](http://www.uneval.org)).

116 Government of Ethiopia, 'Population Statistics Abstract', Central Statistics Agency, 2014, [www.csa.gov.et/images/documents/pdf\\_files/nationalstatisticsabstract/2006/total.pdf](http://www.csa.gov.et/images/documents/pdf_files/nationalstatisticsabstract/2006/total.pdf).

and agricultural sectors with the performance of manufacturing sector relatively modest. Economic growth has achieved positive results in reducing poverty, in both urban and rural areas. While 38.7 percent of Ethiopians lived in extreme poverty in 2004–2005, five years later this had reduced to 29.6 percent, a fall of 9.1 percent as measured by the national poverty line. Under the Growth and Transformation Plan (GTP), the government has targeted a further reduction to 22.2 percent by 2014–2015. However, significant challenges remain, including unemployment and a limited modern industrial sector base. Inequality remains a challenge. For example, the rural poverty rate stood at 30.4 percent in 2011 compared to 25.7 percent in urban areas. Gender-based inequalities, especially in reproductive health and economic empowerment, are additional challenges.

Conditioned by the fact that Ethiopia is bordered by volatile and conflict-affected countries (i.e. Sudan and Somalia) in the Horn of Africa, it has overtaken Kenya to become the largest refugee-hosting country in Africa. Furthermore, drought and famine-induced migrations are chronic problems. It is estimated that more than 80 percent of the population lives in rural areas and rely heavily on rain-fed agriculture for their livelihood. Their vulnerability is frequently exacerbated by natural hazards, including drought and flooding, and consequently millions of Ethiopians often face severe food shortages. Climate change may also amplify the likelihood of heat waves and other extreme incidents that generate various risks for the country.

Ethiopia has been one of the major recipients of international aid, with a net Official Development Assistance of \$3.83 billion in 2013

provided in development financing, technical assistance and debt relief. Over half of the aid to Ethiopia is concentrated in the social and humanitarian sectors. Addis Ababa will also host the Third International Conference on Financing for Development in mid-July 2015.

### **3. UNDP PROGRAMME STRATEGY IN ETHIOPIA**

The previous country programme (2007–2011) focused on: (i) enhancing pro-poor economic growth; (ii) addressing food insecurity and vulnerability to disasters; and (iii) promoting good governance, with gender, capacity development and human rights as cross-cutting issues. The approach focused primarily on policy reform, strengthening institutional capacities and piloting to inform policy and to up-scale good practices. However, the list of outcomes used during this period changed over time and showed limited consistency between the CPD, Integrated Work Plans (IWP) and Results-Oriented Annual Reports.<sup>117</sup>

For the current period (2012–2016)<sup>118</sup>, the UNDAF Action Plan provides the operational framework for the country programme. UNDP will support joint programming, implement joint programmes and administer the One UN Fund.<sup>119</sup> In contrast to the previous period, the outcomes for the current programme are consistent and framed around three strategic priorities: (i) enhanced economic growth and poverty reduction; (ii) democratic governance and capacity development; and (iii) development of a low-carbon and climate-resilient economy. Gender, knowledge management and South-South cooperation will be used to facilitate innovation, and scale-up good practices.

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117 There is no Country Programme Action Plan (CPAP) for this period.

118 The approved programme was for 2012–2015 but was extended by six months at the government's request to fully align the new UNDAF with the national priorities expressed in the next Growth and Transformation plan, and to synchronize the UNDAF with the government's fiscal year (DP/2015/13).

119 Ethiopia voluntarily decided to pursue UN reform at the country level in the context of the DoA agenda.

<b>Table 1. Country Programme outcomes and indicative resources (2012-2015)</b>		
<b>Country Programme Outcome</b>		<b>Indicative resources (USD)</b>
<b>Sustainable economic development</b>		
UNDAF outcome 1	Increased use by <b>agricultural producers</b> of improved institutional services, efficient marketing system, and appropriate technology and practices for sustainable increase in agricultural production and productivity by 2015.	21,060,000
UNDAF outcome 2	By 2015, private sector-led Ethiopian <b>manufacturing and service industries</b> , especially small- and medium-scale enterprises, have sustainably improved their competitiveness and employment creation potentials.	31,340,000
<b>Climate, risk and resilience</b>		
UNDAF outcome 4	By 2015, national and sub-national institutions and vulnerable communities have systematically reduced <b>disaster</b> risks, impacts of disasters and have improved food security.	29,100,000
UNDAF outcome 5	By 2015, the governance systems, use of technologies and practices and financing mechanisms that promote a low carbon <b>climate resilient</b> economy and society have improved at all levels.	45,400,000
<b>Democratic governance and capacity development</b>		
UNDAF outcome 10	By 2015, national and sub-national actors utilize improved <b>mechanisms</b> that promote inclusiveness, participation, transparency, accountability and responsiveness in national development processes;	40,766,000
UNDAF outcome 11	By 2015 <b>capacities</b> of national, local and community institutions strengthened for evidence based planning, implementation, monitoring, evaluation and decision-making.	14,000,000
<b>Total</b>		<b>181,666,000</b>

#### 4. SCOPE OF THE EVALUATION

This ADR will focus on the ongoing programme (i.e. from 2012) while taking account of some longer-term activities that extend from the previous programming cycle. Examples of such initiatives include:

- Support to the Ethiopia Commodity Exchange (ECX);
- Enhancing National Capacity for Agricultural Growth and Transformation; and
- Democratic Institutions Programme (DIP).

As the country-level evaluation of UNDP, the ADR will cover the formal UNDP country programme approved by the Executive Board and

funded by all sources of finance, including core UNDP resources, donor funds, and government funds. However, the scope of the ADR includes the entirety of UNDP's activities in the country and therefore also covers initiatives from the regional and global programmes. It is also important to note that a UNDP CO may be involved in a number of activities that may not be included in a specific project. Some of these 'non-project' activities may be crucial for the political and social agenda of a country.

Special efforts will be made to capture the roles and contributions of UNV and UNCDF in joint work with UNDP. This information will be used for synthesis to provide corporate-level evaluative evidence of the performance of associated funds and programmes.

120 UNDP Ethiopia Country Programme Document 2012–2016 (DP/DCP/ETH/2).

## 5. METHODOLOGY

The evaluation methodology has two components: (i) assessment of UNDP's contribution by thematic/programme area, and (ii) assessment of the quality of this contribution. The ADR will present its findings and assessment according to the set criteria provided below,<sup>121</sup> based on analysis by CPD/CPAP outcome area, to generate findings, broad conclusions and recommendations for future action.

### ■ UNDP's contribution by programme area.

The ADR will assess UNDP's **effectiveness** in contributing to Ethiopia's development results through its programme activities. Specific attention will be paid to assessing the contribution related to UNDP's overall vision of helping countries achieve poverty eradication and reduce inequalities and exclusion, and its contribution to furthering gender equality and women's empowerment.<sup>122</sup>

### ■ The quality of UNDP's contribution.

The ADR will assess the quality of UNDP's contribution based on:

- **Relevance** of UNDP's projects and outcomes to the country's needs and national priorities;
- **Efficiency** of UNDP's interventions in terms of its use of human and financial resources; and
- **Sustainability** of the results to which UNDP contributed.

**Key explanatory factors.** First, the ADR will also assess how specific factors explain UNDP's

performance, namely the engagement principles and alignment parameters of the 2014–2017 UNDP Strategic Plan.<sup>123</sup> For example, in addition to assessing UNDP's contribution to gender equality and women's empowerment, the evaluation will assess gender mainstreaming as a factor of UNDP's performance for each country programme outcome.<sup>124</sup> Second, UNDP strategic positioning will be analysed from the perspective of the organisation's mandate and the agreed and emergent development needs and priorities in the country. This will entail systematic analysis of UNDP's position within the national development and policy space, as well as strategies used by UNDP to maximize its contribution. Finally, the ADR will assess how managerial practices impacted achievement of programmatic goals.<sup>125</sup>

In assessing the above, the evaluation will also examine a number of country-specific factors that are assumed to have had an impact on UNDP's performance, namely:

- Working in the context of strong national ownership;
- Operating in a highly competitive donor context;
- Capturing policy work outside formal projects; and
- Ensuring delivery and management efficiency

**Assessment at the outcome level.** An outcome paper will be developed for each outcome (Table 1), to examine the programme's progress and UNDP's contribution to change. The outcome papers will use the theory of change (ToC)

121 Further elaboration of the criteria can be found in ADR Methodology Manual 2015.

122 Using the UN System-Wide Action Plan (UN SWAP) to improve gender equality and the empowerment of women across the UN system. [www.unwomen.org/~media/Headquarters/Attachments/Sections/How%20We%20Work/UNSystemCoordination/UN-SWAP-Framework-Dec-2012.pdf](http://www.unwomen.org/~media/Headquarters/Attachments/Sections/How%20We%20Work/UNSystemCoordination/UN-SWAP-Framework-Dec-2012.pdf).

123 The Strategic Plan 2014–2017 engagement principles include: national ownership and capacity; human rights-based approach; sustainable human development; gender equality and women's empowerment; voice and participation; South–South and triangular cooperation; active role as global citizens; and universality.

124 Using, *inter alia*, the Gender Marker data and the Gender Seal parameters based on UNDP/UNEG methods.

125 This information is extracted from analysis of the goals inputted in the Enhanced RBM platform, the financial results in the Executive Snapshot, the results in the Global Staff Survey, and interviews at the management and operations levels in the CO.



approach to assess UNDP’s contribution to the outcome using the evaluation criteria, and identify outcome-specific factors that have influenced this contribution. Each outcome paper will be prepared according to a standard template provided by IEO, which will facilitate the synthesis and identification of conclusions and recommendations in the ADR report for UNDP to consider, together with main partners for future programming.

## 6. DATA COLLECTION

**Assessment of data collection constraints and existing data.** Each outcome was assessed to ascertain available information, identify data constraints, and determine data collection needs and methods. The assessment outlined the available level of evaluable data, indicating:

- There is adequate availability of national data. While the primary sources of data will be from the government, there is also abundant research on Ethiopia’s social and economic developments by international organizations, academia, and NGOs;
- There is strong availability of UNDP country-level monitoring data based on corporate systems, but the quality of project level monitoring seems to vary;
- There is good UNDP access to government partners;
- The security situation varies across the country and, while the security levels are low in most major cities, the risk of cross-border tensions remains; and
- There is a relatively strong national evaluation capacity considering (i) the capacity of national consultants, and (ii) the fact that the Planning Commission plans to establish an evaluation unit.

**Data collection methods.** The evaluation will use data from primary and secondary sources, including desk review of documentation and information and interviews with key stakeholders, including beneficiaries, partners and managers. Specific evaluation questions for each criteria and the data collection method will be further detailed and outlined in the outcome papers. A multi-stakeholder approach will be followed and interviews will include government representatives, civil society organizations, private sector representatives, UN agencies, multilateral organizations, bilateral donors, and beneficiaries of the programme. Focus groups will be used to consult some groups of beneficiaries as appropriate.

The criteria for selecting places for field visits include:

- Programme coverage (projects covering the various components and cross-cutting areas);
- Financial expenditure (projects of all sizes, both large and smaller pilot projects);
- Geographic coverage (not only national level and urban-based ones, but also in the various regions);<sup>126</sup>
- Maturity (covering both completed and active projects);
- Programme cycle (coverage of projects/activities from the past and mainly the current cycles);
- Degree of ‘success’ (coverage of successful projects, as well as projects reporting difficulties where lessons can be learned); and
- Security considerations.

The IEO and the CO have identified an initial list of background and programme-related documents which is posted on an ADR SharePoint website. The following secondary data will be reviewed: background documents on the national

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126 Given the territorial inequalities in the country and differences between urban and rural areas, the analysis will reach out and validate the results and development inequalities at the departmental level where UNDP (and national or UN partners) operate.

context; documents prepared by international partners during the period under review and documents prepared by UN system agencies; programme plans and frameworks; progress reports; monitoring self-assessments, such as the UNDP ROARs; and evaluations conducted by the CO and partners. The ADR will also support, where possible and appropriate, the ongoing data collection endeavours being undertaken by UNDP projects for outcome monitoring. Official national statistics will be used to the extent possible.

**Validation.** The evaluation will triangulate information collected from different sources and/or by different methods to ensure that the data is valid.

**Stakeholder involvement.** At the start of the evaluation, a stakeholder analysis was conducted to identify all relevant UNDP partners, as well as those who may not work with UNDP, but play a key role in the outcomes to which UNDP contributes. Each outcome paper will also develop a stakeholder analysis within the scope of the outcome.

## 7. MANAGEMENT ARRANGEMENTS

**IEO:** IEO will conduct the ADR in consultation with the UNDP Ethiopia CO, the Regional Bureau for Africa and the Government of Ethiopia. The IEO Evaluation Manager will lead the evaluation and coordinate the evaluation team. IEO will meet all costs directly related to the conduct of the ADR.

**Government of Ethiopia:** The Ministry of Finance and Economic Development (MOFED) and other key government counterparts of UNDP in Ethiopia will facilitate the conduct of ADR by: providing necessary access to information sources within the government; safeguarding the independence of the evaluation; and jointly organizing the final stakeholder meeting with IEO when it is time to present findings and results of the evaluation. Additionally, the counterparts will be responsible within MOFED for the use and dissemination of the final outputs of the ADR process.

**UNDP CO:** The CO will support the evaluation team to liaise with key partners and other stakeholders, make available to the team all necessary information regarding UNDP's programmes, projects and activities in the country, and provide factual verifications of the draft report on a timely basis. The CO will provide the evaluation team support in kind (e.g. arranging meetings with project staff, stakeholders and beneficiaries; and assistance for the project site visits). To ensure the independence of the views expressed in interviews and meetings with stakeholders held for data collection purposes, CO staff will not participate.

**UNDP Regional Bureau for Africa:** The Bureau will support the evaluation by sharing information and will participate in discussions on emerging conclusions and recommendations.

**Evaluation Team:** IEO will constitute an evaluation team to undertake the ADR. It will ensure a gender balance in the team, which will include the following members:

- **Evaluation Manager (EM):** IEO staff member with overall responsibility for managing the ADR, including to: (i) prepare and design the evaluation (i.e. this TOR); and (ii) select the evaluation team and provide methodological guidance. The EM will supervise the portion of the evaluation related to strategic positioning issues (together with Principle Consultant); UN coordination issues (together with Principle Consultant); finalizing the report after reviews; and the stakeholder workshop. The EM will travel Addis Ababa for one to two weeks.
- **Principle Consultant (PC):** The PC has the responsibility of producing chapters 4, 5 and 6 of the draft report based on the inputs from various other national consultants and IEO staff. In addition, he/she will be specifically responsible for: strategic positioning issues; UN coordination issues; the synthesis process; presentation to the UNDP CO as inputs into the CPD; preparation of the draft ADR report according to IEO guide-

lines; and participation in the stakeholder workshop.

- **National consultants:** Consultants each collect and analyse data for two assigned outcomes and produce two outcome papers based on the standard template prepared by the IEO.
- **Evaluation Analyst (EA):** IEO consultant conducts data collection on particular issues (e.g. operational themes) and provides support to the three national consultants in understanding ADR approaches and methods, notably: the logic of outcome papers, issues of UN coordination, and capturing contributions from UNV, UNCDF, and the UNDP regional programme.
- **Research Assistant (RA):** A research assistant based in IEO will provide background research and documentation.

## 8. EVALUATION PROCESS

The evaluation will be conducted according to the approved IEO process outlined in the *ADR Methodology Manual*. This ADR, however, faces a number of process constraints. First, in order to be fully utilized by the CO and national partners, the evaluation team should be ready to provide feedback in mid-September at the latest. Second, the time for data collection is restricted by the elections (end-May with results announced end-June) after which time the government and stakeholders will be fully occupied and the Third International Conference Finance for Development (Mid-July). This leaves a small window for data collection (August-September) and the need for undertaking the analysis in an efficient manner.

The following represents a summary of key elements of the process with four major phases provide a framework conducting the evaluation. To address the constraints above, several adjustments have been made to the standard ADR process.

**Phase 1: Preparation.** IEO prepares the TOR and the evaluation design, following a prepara-

tory mission to UNDP Ethiopia CO by the Evaluation Manager. The preparatory mission and discussions with UNDP programme staff include the following objectives:

- Ensure that key CO staff are familiar with the objectives of the ADR and the ADR process;
- Gain a much stronger understanding of the CO programme, origins, strategies, and theory of change;
- Understand the intended use of evaluation;
- Assess the programme evaluability prior to developing the TOR, including which intermediate or long-term outcomes in the theory of change can be measured; and
- Identify areas where support can be provided for ongoing data collection endeavours being undertaken by UNDP projects for outcome monitoring.

Additional evaluation team members, comprising international and/or national development professionals, will be recruited once the TOR is complete. In the meantime, IEO staff will start preparing the first three descriptive chapters of the ADR report (methodology national context and the UNDP programme). These will be shared with the CO and government for factual corrections in July 2015 to speed up the report review process.

**Phase 2: Data collection and analysis.** The phase will commence in August 2015. An evaluation matrix with detailed questions and means of data collection and verification will be developed to guide data collection. The following process will be undertaken:

- **Pre-mission:** Evaluation team members conduct desk reviews of reference material, and prepare a summary of the context and other evaluative evidence, and identify the outcome theory of change, outcome-specific evaluation questions, gaps and issues that will require validation during the field-based phase of data collection.

- **Outcome Data collection:** The evaluation team will undertake a mission to the country to engage in data collection activities. The estimated duration of the mission is a total of four weeks. Data will be collected according to the approach outlined in Section 6 with responsibilities outlined in Section 7. An IEO Evaluation Analyst will provide orientation to national data collection consultants on data collection and ensure the production of high quality and timely reports.
- **Strategic data collection:** The EM and PC will undertake data collection related to the strategic position of UNDP in Ethiopia including interviews with senior government officials and representatives of the international donor community.

**Phase 3: Synthesis, report writing and review.**

In parallel with the strategic data collection and based on the outcome reports, the PC will undertake a synthesis process. Together with the EM, he/she will provide detailed feedback to the CO on completion of the synthesis. This will represent the major input into the new CPD.

The first draft of the ADR report will be prepared and subjected to the quality control process of the IEO. Once cleared by the IEO, the first draft will be further circulated with the country office and the UNDP Regional Bureau for Africa for factual corrections. The second draft, which takes into account factual corrections, will be shared with national stakeholders for review. The EM is responsible for ensuring report quality and timeliness.

The draft report will then be shared at stakeholder workshop where the results of the evaluation will be presented to key national stakeholders. Moreover, the ways forward will be discussed with a view to creating greater ownership by national stakeholders in taking forward the lessons and recommendations from the report, and to strengthening accountability of UNDP to national stakeholders. Taking account of the discussion at the stakeholder workshops, the final evaluation report will be prepared. The UNDP Ethiopia CO will prepare the management response for the ADR, under the oversight of the Regional Bureau for Africa.

**Phase 4: Production, dissemination and follow-up.**

The ADR report and brief will be widely distributed in both hard and electronic versions. The evaluation report will be made available to UNDP Executive Board by the time of approving a new CPD. It will be widely distributed by the IEO within UNDP as well as to the evaluation units of other international organisations, evaluation societies/networks and research institutions in the region. The Ethiopia CO and the Government of Ethiopia will disseminate to stakeholders in the country. The report and the management response will be published on the UNDP website<sup>127</sup> as well as in the Evaluation Resource Centre. The Regional Bureau for Africa will be responsible for monitoring and overseeing the implementation of follow-up actions in the Evaluation Resource Centre.<sup>128</sup>

**9. TIMEFRAME FOR THE ADR PROCESS**

The timeframe and responsibilities for the evaluation process are tentatively<sup>129</sup> as follows:

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127 [web.undp.org/evaluation](http://web.undp.org/evaluation).

128 [erc.undp.org](http://erc.undp.org)

129 The timeframe is indicative of the process and deadlines, and does not imply full-time engagement of the evaluation team during the period.

**Table 2. Timeframe for the ADR process**

<b>Activity</b>	<b>Responsible party</b>	<b>Timeframe</b>
<b>Phase 1: Preparation</b>		
Preparatory mission	EM	March
TOR – approval by the Independent Evaluation Office	EM	June
Selection of other evaluation team members	EM	June
<b>Phase 2: Data collection and analysis</b>		
Preliminary analysis of available data and context analysis	RA/EA	March-July
Sharing Chapter 1-3 of ADR report with CO	EA/EM	July
In-county outcome data collection	EA/consultants	August-September
In-county strategic data collection	PC/EM/consultants	September
<b>Phase 3: Synthesis and report writing</b>		
Synthesis	PC/EM	September
Feedback to CO	PC/EM	September
Zero draft ADR for clearance by IEO	PC/EM	October
First draft ADR for CO/RB review (factual corrections)	PC/EM	October
Second draft for review by the Government	EM	November
Draft management response	CO/RBA	November
Stakeholder workshop	EM	December
<b>Phase 4: Production and follow-up</b>		
Editing and formatting	EM	January
Final report and Evaluation Brief	EM	February
Dissemination of the final report	EM	February



## Annex 2

## EVALUATION FRAMEWORK

Table 3. Evaluation framework						
Key questions	Sub-questions	Data sources				
		IPs	Beneficiaries	UNDP	Donors/UNCT	Documentation
<b>RELEVANCE</b>						
1. How closely is/was project aligned with government sector programmes and its targets and needs of the community?	1a. Which national policy/framework does the project objectives fall under, if at all?	X		X	X	
	1b. How were the needs of the community and beneficiaries assessed (e.g. needs assessment, consultations, etc.)? Who participated in the initial planning and design?	X	X	X	X	
2. To what extent is/was the project aligned with UNDP's agenda in addressing inequality and exclusion?	2a. What were criteria in identifying project locations/villages and beneficiaries?	X		X	X	X
	2b. Did such criteria identify excluded and worse-off groups in villages (women, poor, minorities, disabled, youth, HIV/AIDS)? If so, are they covered in the project?	X	X	X		X
	2c. Has the project established a baseline on agreed indicators to track reduction of inequalities?	X		X		X
<b>EFFECTIVENESS</b>						
3. To what extent did the project achieve its stated objectives?	3a. What are the key results achieved? Achievement of specific project sub-objectives?	X	X	X	X	X
	3b. Project's effect/change related to behavioural, programmatic, lives or policy?	X	X	X	X	X
	3c. What has been the contribution of UNCDF and/or UNV to the outcome results?	X		X	X	X
4. To what extent did the project reach vulnerable and excluded groups?	4a. What percentage of the excluded/vulnerable were reached (poor, minorities, disabled, youth, HIV/AIDS)?	X	X	X	X	X
	4b. If so, were there changes brought about?	X	X	X	X	X
5. To what extent did the project contribute to gender equality and women's empowerment?	5a. To what extent did the project embed a gender approach that encourages equal participation in decision-making?	X		X	X	X
	5b. How and to what extent did women benefit from the project?	X	X	X	X	X
6. What unintended outcomes, positive as well as negative, have resulted from the implementation of the project?	6a. What are desirable and undesirable results as a result of implementing project?	X	X	X	X	

Key questions	Sub-questions	Data sources				
		IPs	Beneficiaries	UNDP	Donors/UNCT	Documentation
<b>EFFICIENCY</b>						
7. How efficiently has UNDP used the available resources to deliver high-quality outputs in a timely manner, and to achieve the targeted objectives?	7a. Was the required support (technical, financial, supplies, etc.) for producing results provided by UNDP?	X	X	X	X	X
	7b. If so, was it adequate and made available in time?	X	X	X	X	X
8. How cost-effective has the project been in achieving targeted objectives?	8a. How do actual cost of interventions compare with estimated cost of each intervention?	X		X	X	X
	8b. How do actual costs compare with similar interventions in other regions/by other partners?	X		X	X	X
9. To what extent UNDP established partnerships or coordination mechanisms with other key actors (e.g. IPs, local gov't and other entities conducting complementary interventions)?	9a. Has UNDP coordinated with key actors as indicated in the project?	X		X	X	X
	9b. Were there any coordination and progress review meetings with participation of UNDP and IPs/beneficiaries (regional, zone, woreda levels) and donors/UNCT (coordination committees)?	X		X	X	X
	9c. To what extent has UNDP brokered South-South Cooperation (i.e. adopt lessons and best practices available in other countries, and share its own with others, for mutual learning)? Examples?	X		X	X	X
10a. In the case of multiple actors, what was the added value of UNDP in the above-mentioned field?	10a. What were specific contributions from UNDP for implementing the project?	X	X	X	X	X
<b>SUSTAINABILITY</b>						
11. To what extent are the project benefits likely to be sustained in the country after the completion of the project?	11a. Which benefits will continue?	X	X	X	X	X
	11b. Do woreda/regional plans allocate funds?	X	X	X	X	X
12. To what extent has the project contributed to building capacity and ownership?	12a. What measures were taken and what achievements were made in building local capacity (financial, human, physical) and ownership?	X	X	X	X	X
13. What are the enabling / constraining factors that influence replication and sustainability?	13a. What are the key enabling/constraining factors (e.g. political, economic / financial, technical, and environmental factors)?	X	X	X	X	X
	13b. How well did UNDP identify and address such factors?	X	X	X	X	X



## Annex 3

# PEOPLE CONSULTED

### GOVERNMENT OF ETHIOPIA

#### FEDERAL GOVERNMENT

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Hailemichael, Aberra, President, Ethiopian Civil Service University

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Shewalemma, Habtamu, Expert, Ministry of Finance and Economic Development

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Tolosa, Dereje, Project Focal Person and M&E Officer, Oromia Pastoral Area Development Commission

Weldeyes, Tesfaye, PAA Project Manager, Ministry of Environment and Forest

Worke, Girma, Project M&E Officer, Ethiopia Wild Life Conservation Authority

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Bezie, Tadese, Head, Gimbichu woreda

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Esmail, Mohamed Tahire, Head, Somali Disaster Prevention and Preparedness Commission

Eye, Mahamed, Tulu Gulueed Woreda, Somali Region

Farah, Jemal, Deputy Bureau Head, Somali Region Bureau of Finance and Economic Development

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Egezihabere, Debere Birhan, Chairwoman, Youth Women Cooperative of Improved Stove Producers, Dehegua Tenben *woreda*

Girma Gezahegn (Metal and Wood Works), Erfush Girma (Car Wash), Tagay Tegene (Furniture Manufacturing), Abera Dechasa (Printing and Promotion), Workeneh Assefa (Traditional Foods Preparation), Focus group of Entrepreneurship Development Programme beneficiaries, Adama

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	Zekarias, Edda, Communications Associate, Communication Unit



## Annex 4

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## Annex 5

# LIST OF PROJECTS FOR IN-DEPTH ASSESSMENT

The ADR used a purposeful sampling to select a number of UNDP projects for an in-depth assessment, including field visits. Note that this does not exclude other project and activities from the ADR scope, but only focuses the data collection efforts on the selected sample. The pro-

posed sample of 24 of the 40 programmes takes into account the following selection criteria/sub-criteria per the TOR. The sample attempts to closely replicate the percentage of total programmes across sub-criteria in order to best represent the totality of UNDP activities.

**Table 4. Selection criteria for sample of projects**

Criteria	Sub-criteria	% of total (# awards)	% of sample (# awards)
1. Programme coverage (projects covering the various components and cross-cutting areas)	Sustainable Economic Development	23% (9)	21% (5)
	Climate Resilient Green Growth	38% (15)	33% (8)
	Democratic Governance & Capacity Development	40% (16)	46% (11)
2. Total financial expenditure (projects of all sizes, both large and smaller pilot projects)	< \$1,000,000	30% (12)	21% (5)
	\$1,000,000 - \$5,000,000	40% (16)	38% (9)
	> \$5,000,000	30% (12)	42% (10)
3. Geographic coverage (not only national level and urban-based ones, but also in the various regions)	Federal	70% (28)	67% (16)
	Regional	30% (12)	33% (8)
4. Maturity (covering both completed and active projects)	Closed	28% (11)	25% (6)
	Ongoing	73% (29)	75% (18)
5. Programme cycle (coverage of projects/activities from the past and mainly the current cycles)	Previous cycle (including those carried over in current cycle)	60% (24)	63% (15)
	Current cycle	40% (16)	38% (9)
6. Degree of 'success' (coverage of successful projects, as well as projects reporting difficulties where lessons can be learned)	< 70% execution rate	30% (12)	38% (9)
	> 70% execution rate	70% (28)	63% (15)

The following list contains those projects marked for in-depth review.

<b>Table 5. List of projects for in-depth review</b>						
<b>Award ID</b>	<b>Award Title</b>	<b>Project ID</b>	<b>Project Title</b>	<b>Expenditure</b>	<b>In-Depth Review</b>	<b>Location</b>
<b>Area 1: Sustainable economic development</b>						
<b>Outcome 1: Increased use by agricultural producers of improved institutional services, efficient marketing system, and appropriate technology and practices for sustainable increase in agricultural production and productivity by 2015.</b>						
00058553	Enhancing National Capacity for Agricultural Growth	00072756	Agricultural Growth Programme	\$27,598,943	X	Federal
<b>Outcome 2: By 2015, private sector-led Ethiopian manufacturing and service industries, especially small- and medium-scale enterprises, have sustainably improved their competitiveness and employment creation potentials.</b>						
00070488	Capacity Strengthening for Industrial Development	00084432	Capacity Strengthening for Industrial Dev.	\$1,548,712		Federal
00079925	Capacity Strengthening for Ethiopian Tourism Org.	00089792	Capacity Strengthening for Ethiopia	\$286,577		Federal
00069240	Entrepreneurship Development Programme	00083922	Entrepreneurship Development	\$6,955,011	X	All regions
00047957	Enhanced Economic Growth	00057887	Enhanced Economic Growth	\$2,289,940		Federal
00058067	Harnessing Diversity for Sustain Dev. and Social Change	00071978	Harnessing Diversity: MDG	\$658,055		Amhara, Oromia, Tigray & SNNPR
00049782	DELCAP (Developing Local Capacity for Achievement of MDGs)	00061016	Local Capacity for MDGs	\$24,660,056	X	All region
00059785	Trade Sector Development	00074935	Trade Sector Development	\$4,166,251	X	Federal
00066322	LED Programme	00082517	Local Economic Dev. Programme	\$3,928,175	X	All region
<b>Area 2: Climate-Resilient Green Growth</b>						
<b>Outcome 1: By 2015, national and sub national institutions and vulnerable communities have systematically reduced disaster risks, impacts of disasters and have improved food security.</b>						
00059570	Strengthening Capacities for Disaster Risk Reduction & Livelihood	00086099	Drought Recovery-Pastoralist	\$2,995,108	X	Oromia-Bale, Guji & Borena
		00086100	Drought Recovery in Somali Region	\$999,865		Somali
		00086250	Poverty Reduction/ community	\$1,000,006		Oromia-Borena
		00074542	Strengthening capacities for DRR	\$11,001,643		Afar, Somali, Oromia, Benshangul and Gambella
00073414	Climate Info. & Early Warning for Climate Resilient Development	00086227	Climate Info. & Early Warning	\$2,341,143	X	Federal

(Continues)

Award ID	Award Title	Project ID	Project Title	Expenditure	In-Depth Review	Location
<b>Area 2: Climate-Resilient Green Growth</b> (continued)						
00058409	Mine Action in Tigray, Afar and Somali regions 2010–2011	00072559	Mine Action in Tigray & Afar	\$11,285,565		Tigray & Afar
00062784	Emergency support for drought affected communities	00080197	Emergency support for drought	\$781,217		Oromia-Bale & Borena
<b>Outcome 2: By 2015, the governance systems, use of technologies and practices and financing mechanisms that promote a low carbon climate resilient economy and society have improved at all levels.</b>						
00066813	Climate Resilient Green Economy	00091133	Energy Sector - CB	\$693,682	X	Federal
		00082850	Climate Resilient Green Economy	\$3,486,353		Federal
00077824	Mainstreaming Biodiversity Conservation – CRGE strategy	00088415	Mainstreaming Incentives for B	\$137,330		Federal
00060185	Second National Communication	00075679	Second National Communication	\$375,387		Federal
00065106	Promoting Autonomous Adaptation at Community Level-ETH	00081746	Promoting Autonomous Adaptation	\$3,748,022		Oromia, Tigray, Benshangul & Gambella
00047956	Coping with Drought and Climate Change	00057886	Coping with Drought & Climate	\$995,000	X	Federal
00059568	Climate Change and Environmental Sustainability	00074540	Climate Change and Environment	\$1,882,402		Federal
00050578	MDGF-Environment Joint Programme	00062555	The MDG Achievement Fund – Env.	\$1,491,405	X	Amhara, Oromia, Tigray & SNNPR
00060226	Mainstreaming Agrobiodiversity into Agri. Production System	00075747	Mainstreaming Agrobiodiversity	\$3,471,142	X	Federal
00076304	PIMS 5200 Promoting Sustainable Rural Energy Tech.(RETs)	00087770	GEF RETs Pro. Doc. Preparation	\$51,210		Federal
00048561	Sustainable Development of Protected Area Systems	00058768	Sustainable Development of Protected Areas	\$8,961,470	X	Federal
00058515	African Adaption Programme	00072706	African Adaption Programme	\$6,657,669	X	Federal

(Continues)

Award ID	Award Title	Project ID	Project Title	Expenditure	In-Depth Review	Location
<b>Area 3: Democratic Governance and Capacity Development</b>						
<b>Outcome 1: By 2015, national and sub-national actors utilize improved mechanisms that promote inclusiveness, participation, transparency, accountability and responsiveness in national development processes.</b>						
00059867	Conflict Prevention and Peace-building	00090068	Institutional capacity	\$496,466	X	Federal
		00075074	Conflict Prevention	\$1,129,288		Federal
		00080639	Peace & Security training	\$899,653		Federal
00076745	Strengthening Democratic Governance	00087972	Strengthening Democratic Gov.	\$4,372,356	X	Federal
00047858	Migration for Development	00057754	Migration for Development	\$914,420		Federal
00047898	Development Partners Support to Poverty Reduction process	00057863	Education Sector Development	\$2,317,104		Federal
		00057806	Poverty Reduction Strategy	\$2,040,291		Federal
00067545	Support to Capacity Building of Ministry of Justice	00083258	Capacity Development to Ministry of Justice	\$59,822	X	Federal
00061111	UN Flagship Joint Programme on Gender	00077285	UN Joint Programme on Gender	\$945,325	X	Amhara, Oromia, Tigray, SNNPR & Afar
00047799	Democratic Institution Programme	00057667	Democratic Institution Programme	\$48,557,819	X	Federal
<b>Outcome 2: By 2015, capacities of national, local and community institutions strengthened for evidence-based planning, implementation, monitoring, evaluation and decision-making.</b>						
00075414	Programme to establish the Ethiopian International Peace-keeping Training Centre	00087336	Establishment of the EIPKTC	\$888,234	X	Federal
00067646	Advanced Leadership	00083314	Advanced Leadership	\$1,408,058		Federal
00047898	Development Partners Support to Poverty Reduction process	00057873	Monitoring & Evaluation System	\$5,201,974		Federal
00059751	Leadership Development Institute	00074891	Leadership Development Institute	\$1,647,634	X	Federal/ Ethiopian Civil Service University
00068131	Phase IV DPs Support to GTP Implementation Process	00083509	Phase V DPs Support to GTP Imp	\$2,642,296	X	Federal
00059740	Capacity Development for Service Delivery	00074876	Capacity Building for Service	\$7,235,422	X	Federal, Somali, Afar, Benshangul and Gambella

(Continues)



<b>Award ID</b>	<b>Award Title</b>	<b>Project ID</b>	<b>Project Title</b>	<b>Expenditure</b>	<b>In-Depth Review</b>	<b>Location</b>
00060179	Capacity Development for Effective Coordination and Implementation	00075671	Capacity for Coordination	\$15,764,230	X	All Regions
00080024	Capacity development support to the PMO	00089883	Capacity development of PMO	\$131,740		Federal
00081424	Capacity Building of MOFA	00090700	Capacity Building of MOFA	\$247,126		Federal
00083772	Accountability & Transparency – Extractive Sector	00092081	Accountability & Transparency	\$105,062	X	Federal



## Annex 6

# THE CPD RESULTS MATRIX WITH UPDATED INDICATOR STATUS

This table provides the progress against the CPD outcome indicators over the evaluation period 2012–2014. The information is extracted from the annual ROARs. Dates in parentheses indicate changes over time in indicators, base-lines or targets.

Table 6. List of UNDP outcome indicators						
Outcome	Indicator	Baseline	Target	Status/Progress		
				2012	2013	2014
<b>Sustainable Economic Development: Outcome #1</b>						
Increased use by agricultural producers of improved institutional services, efficient marketing system, and appropriate technology and practices for sustainable increase in agricultural production and productivity by 2015.	% small holders (at least 50% women) accessing new practices and technologies and new markets	5 million	14.5 million (2012-2013)	In total, about 14 million small holders & pastoralists were beneficiaries of the extension service, out of which about 4 million (29%) are women	[Typo in 2015 Target: should be "an increase of 1.5 m."] 962,833 add. small-holders (64.2% of target) accessed new practices, techn. and markets	6.3 million
			6.5 million (2014)			
<b>Sustainable Economic Development: Outcome #2</b>						
By 2015, private sector-led Ethiopian manufacturing and service industries, especially small- and medium-scale enterprises, have sustainably improved their competitiveness and employment creation potentials.	Percentage of export earnings from manufactured goods	Export value of \$412,030,000	At least 5% increase in export earnings from manufactured goods	Data on export not available	Total export earnings stood at 3.1 billion in 2012/13.	Export earnings from manufactured goods has reached USD359.9 million, 11.3% increase compared to the previous year. Base year (2009) data for export earnings from manufactured goods should however be revised to USD152.6 million according to official sources.
				Some progress		
	Number of employed men and women	Not available	Increased (10%) employment of women and men in enterprises	541,883 jobs created of which 53% were for women (data on % of increase in employment created not available)	Urban unemployment declined to 17.5 in 2012 from 18.0 in 2011.	Men employed: 23,393,401 Women employed: 19,246,297
				Some progress		

(Continues)

Outcome	Indicator	Baseline	Target	Status/Progress		
				2012	2013	2014
<b>Climate-Resilient Green Growth: Outcome #1</b>						
By 2015, national and sub national institutions and vulnerable communities have systematically reduced disaster risks, impacts of disasters and have improved food security.	% improvement in DRRM systems at the national, sub national and community levels; % of <i>woredas</i> with reduced disaster risks; % of people affected by disaster events. (2012-2013)	Regional EWS & Contingency Plans limited (2012-2013)	50% of vulnerable <i>woredas</i> operationalize the EWS. (2012-2013)	EWS rolled out in 91% of districts (1300 experts trained)	50% stakeholder's capacity developed with 52% women at all levels. 70% of communities benefitted from livelihood support, of which 58% were women.	See detailed comments. <sup>130</sup>
	Functioning Disaster Risk Reduction/Management (DRM/M) systems at the national, sub national and community levels; Number of <i>woredas</i> with reduced disaster risks; Number of people affected by disaster events. (2014)	EWS at <i>woredas</i> level not functional; 4.5 million people affected by 2010 drought (2014)	Promulgation of national DRR policy and DRM-SPIF; 50% of vulnerable <i>woredas</i> operationalize the EWS; 50% reduction of people affected by disaster events (2014)	800000 people no longer food aid dependent	Target reached or surpassed	Significant progress

(Continues)

130 Building capacities of institutions and stakeholders at all levels to plan and manage proactive DRM process was at the center of UNDP's work in 2014. With all tailored trainings to experts and decision makers, consultations, and joint planning & monitoring, technical and policy level advices, and support on Emergency Coordination & Early warning information, the capacities of the government at Federal and regional level have been improved. This improvement has now been proved to be evident as currently, the government started taking up the leading role in terms of DRM planning and resilience programming. UNDP's commitment to provide life and livelihoods saving interventions has addressed vulnerable communities through rehabilitation of critical community assets. As a result of all livelihoods interventions including restocking, animal vaccination and treatment, and rangeland rehabilitation among others, livelihoods of over 35,000 households is protected. The Cash for work initiative, beyond enabling rehabilitation of 9660 ha of rangeland, has improved access to food and income to 4,223 disaster affected people. About 210,000 people have directly benefited from rehabilitated rangeland. A total of 128, 084 individuals (56,176 Women) benefited from development/rehabilitation of 31 water points. This intervention has also significantly reduced the burden of women, especially in Somali and Gambella regions, who used to travel long distances to fetch water. (Source: GTP Report; DRMFSS)

Outcome	Indicator	Baseline	Target	Status/Progress		
				2012	2013	2014
<b>Climate-Resilient Green Growth: Outcome #2</b>						
By 2015, the governance systems, use of technologies and practices and financing mechanisms that promote a low carbon climate resilient economy and society have improved at all levels.	Policies, sector strategies, investments increasingly LCCR and MEA compliant (2012-2014)	Minimal compliance; measurement system not in place	LCCR compliance in GTP and 3 critical sector strategies; New climate financing mobilized (2012-2014)	Climate Facility established 2% of national budget allocated to environment 3 sectors policies reviewed 2 Marketing strategies developed	National Climate Resilient Strategy prepared, CRGE Facility established and CRGE manual finalized, climate finance mobilization commenced.	See detailed comments. <sup>131</sup>
	Existence of well-functioning mechanism/institution for environmental and climate financing (2014)		Existence of a well-functioning mechanism for climate financing (2014)	Significant progress	Significant progress	Significant progress
By 2015, national and sub-national actors utilize improved mechanisms that promote inclusiveness, participation, transparency, accountability and responsiveness in national development processes.	Improved responsiveness and effectiveness of governance institutions addressing protection of human rights and anti-corruption. (2012-2013)	TBD by citizens' perception survey (2011) (2012-2013)	30% increase from baseline of perceived effectiveness in 2011 (2012-2013)	Capacity of democratic institution, local communities in case handling and conflict resolving capacities (70%) is improved.	126 legal aid centers, 13867 beneficiaries, 50% women. FEACC's prosecution rate 67%, conviction 88.7%.	EHRC: addressed 90% of cases in 2014 and it has also published 3 Human right Monitoring Reports; 5 new legal aid centers established in the Regional States; and promoted access to justice. EIO: cleared more than 90% of complaints submitted to it, showing an increase by 18% from previous year; FEAC: developed a draft national anti-corruption policy. It has also established baseline indicators for justice system reform
	Case-load and coverage (Ethiopian Institution of Ombudsman (EIO), the Ethiopian Human Rights Commission (EHRC), the Federal Ethics and Anti-Corruption Commission (FEACC), Office of the Federal Attorney General (OFAG) Score on Corruption Perceptions Index (Transparency International) (2014)	33% on the Corruption Perception Index 2013; OFAG: audit coverage 32% in 2010; EIO: 2,526 complaints lodged with EIO in 2012 across the country; FEACC: Total IP's reported to FEACC, 18,535. 2,255 corruption cases undergone investigation (2014)	5% increase in Corruption Perception Index score; 5% increase in case-load and coverage of democratic institutions (2014)			

(Continues)

131 The government of Ethiopia has demonstrated its political commitment to reverse the trend of environmental resources degradation and to address the impact of climate change through its CRGE strategy while accelerate the sustainable development efforts. UNDP is associated in all aspects of the national process to construct the CRGE road map and its implementation. The support has been made in a number of sectors, renewable energy, green buildings, clean transportation, waste & sustainable land management & sustainable agriculture & forestry. Ethiopia has taken the first step in climate finance readiness by establishing the CRGE facility with UNDP's key support that mobilized more than \$40.6 million from Austria, Denmark, DFID and Norway. Ethiopia's CRGE strategy is designed to overcome the impacts of climate change on its sustainable development which encompasses the design and implementation of extensive mitigation and adaptation programmes. Gender mainstreaming is one of the key priorities in all interventions. As a result, UNDP assigned a Gender Advisor to the Ministry of Water Irrigation and Energy to support the implementation of gender action plan in the energy sector, where significant progress has been registered. UNDP promoted the empowerment of women staff both at the CO and in government sector offices through training, exposure visit, recruitment and appointment. Moreover, UNDP supported the design of gender strategy and mainstreaming guideline for the Ethiopian Wildlife Protection Authority and Ethiopian Institute of Biodiversity Conservation with the objective of enhancing the benefits women should get from the sectors and empowering them to participating in strategic issues and decision making. Clear government strategy on climate change adaptation and mitigation is the fundamental reason for the positive change of the outcome. The governance system put in place including the Ministerial Steering Committee. (Source: UNDAF Report; GTP Progress Report 2012)

Outcome	Indicator	Baseline	Target	Status/Progress		
				2012	2013	2014
<b>Climate-Resilient Green Growth: Outcome #2</b> (continued)						
By 2015, capacities of national, local and community institutions strengthened for evidence based planning, implementation, monitoring, evaluation and decision-making.	% of local governments' service delivery in DRS meeting minimum standards of functionality. (2012-2013)  Number of <i>woredas</i> with improved service delivery (2014)	Low human resource & fund absorption capacities.	'Core' organizations meet capacity benchmarks; 50% or more of annual budgets expended (2012-2013)  22 <i>woredas</i> with increased service delivery in 2015 (2014)	Strengthened and deepened decentralization; Enhanced transformational leadership capacity.	Budget of DRS increased by 1.5% since 2005; improved services e.g. access to safe water increased from 35% (2005 to 71% (2013); policy continuity	The capacity of communities, local authorities and regional governments in Developing Regional States have been improved in the area of planning, budgeting, monitoring and reviewing development interventions. The capacity to appropriate and spend revenues, public finance management, human resource development policies has been strengthened to implement respective GTP.
				Some progress		

Source: ROARs (2012-2014) and Integrated Work plan

## Annex 7

# MANAGEMENT RESPONSE

Overall comments: The IEO takes note the management response has not been fully developed and key actions, responsibilities and timelines

required to implement the ADR recommendations have not been indicated in the table below.

<p><b>Evaluation Recommendation 1: By building on its track record, and taking account of the Government of Ethiopia’s (GoE’s) Growth and Transformation Plan II priorities, UNDP should continue to support institutional building and capacity development particularly in sustainable economic growth, democratic governance and climate-sensitive and resilient development. At the same time, continued attention to the private sector and community-level development will be necessary to support expected development outcomes. An explicit focus on resilience should be included.</b></p>				
<p><b>Management Response:</b> The recommendations raised are well aligned with the CO’s current thinking on what will constitute our programme priorities over the next CPD, and we agree that more resources and support to GoE should be sustained. This will ensure that the whole realm of public governance continues to be strengthened to safeguard current democratic dividends, while ensuring that the country stays on a rapid path of democratization and development. On the later aspect of ensuring sustainable development, the CO agrees that building a programme to enhance capacities to delivery economic rights and freedoms is important in promoting inclusive development in general, and private sector development in particular. We also agree to take up a greater leadership and coordination role on resilience and early recovery within the UNCT system and with development partners; and to deepen our downstream interventions in communities that are most vulnerable to droughts and climate hazards, with targeted responses on women, youth and children, and marginalized groups.</p>				
Key Action(s)	Time Frame	Responsible Unit(s)	Tracking*	
			Status	Comments
<p><b>Evaluation Recommendation 2: UNDP should maintain and use its strong relationship with the GoE to engage in policy dialogue, but strengthen its sustainable human development perspectives. These are critical to meeting the needs of Ethiopia’s people and are consistent with the UNDP Strategic Plan priorities and engagement principles, including participation and citizens’ empowerment</b></p>				
<p><b>Management Response:</b> UNDP management recognizes the privileged position as Ethiopia’s trusted partner—the goodwill that has been built over years of repeated interaction with the senior leadership of the Government of Ethiopia. This goodwill and trust will be leveraged by UNDP (and the UN Resident Coordinator’s Office) to enhance strategic dialogue with the government, especially on politically strategic issues where such levels of trust as they exist now are important in brokering dialogue with government. UNDP will, however, remain astute and careful in its engagement with government so as to maintain and deepen the trust and respect it has earned, and ensure that this privileged position is sustained in the coming years.</p>				
Key Action(s)	Time Frame	Responsible Unit(s)	Tracking	
			Status	Comments

(Continues)

**Evaluation Recommendation 3: To enhance sustainability, UNDP should incorporate well-defined exit strategies into all its programmes and projects, as well as explicit learning. It should scale up strategies for pilot projects. This should be complemented by building synergies horizontally across programming units and vertically through clear articulation of macro–micro linkages between local projects and upstream policy and institutional reform where relevant.**

**Management Response:** UNDP programming in Ethiopia is executed through the national implementation modality (NIM). Upstream and downstream interventions are designed and implemented through and within existing government structures. This approach has an in-built sustainability mechanism that will need to be strengthened further by making exit strategies and other sustainability benchmarks more explicit in our programme documents and work plans as we move to implement the forthcoming CPD. We also welcome the recommendation to strengthen and leverage upstream interventions to support greater impact of our downstream interventions. We think that as Ethiopia is DaO country, further efforts will be made to coordinate UNDP interventions with other UN agencies to foster synergies on downstream and upstream interventions across the UN system wherever possible, and thereby enhance the impact and sustainability of results at project and outcome levels. We will also be looking into entry points for harnessing macro–micro linkages to strengthen programme delivery and impacts at project and outcome levels.

Key Action(s)	Time Frame	Responsible Unit(s)	Tracking	
			Status	Comments

**Evaluation Recommendation 4: UNDP should ensure the clear articulation and ownership of theories of change at the time of programme design by engaging key stakeholders. This should be complemented by appropriate outcomes indicators and baselines as part of systematic and more institutionalized approach to monitoring and evaluation (M&E). While UNDP should continue to strengthen its results-based management approach, it will have to be prepared to deal with natural hazard and socioeconomic shocks and stresses. This will require flexibility and adaptive management.**

**Management Response:** The CO will continue to improve programme design and content and ensure more clarity on the theory of change that underpins our programme rationale and its relevance to results and outcomes. As part of these initiatives, UNDP will also provide training to its IPs to ensure that the implementation process is also in line with the programme document and M&E framework for the project’s ‘SMART’ indicators.

Key Action(s)	Time Frame	Responsible Unit(s)	Tracking	
			Status	Comments

**Evaluation Recommendation 5: More systematic participatory assessments of community assets and needs are required to better align UNDP’s projects to specific community priorities and at the same time ensure greater ownership and sustainability at that level and to nurture bottom-up processes of self-empowerment. Supporting bottom-up self-empowering engagement processes with communities will also increase communities’ voice and participation.**

**Management Response:** UNDP utilizes various approaches to engage with local communities in programme formulation and implementation, and ensures that all projects and programmes implemented at the local level are endorsed by the community and local government structures. Local government representatives are also called in to participate in the local appraisal committees that approve beneficiary selection and, subsequently, the project document before it is submitted to government for signature. More efforts will, however, be made to enhance documentation of this process in future projects. Moving forward, we will take on this recommendation to strengthen collection and documentation of baseline information at the community and project levels, including on household and community assets to support future programming, progress evaluation and impact monitoring. Also, local authorities, civil society organizations and other representation groups/associations will be supported to enhance their skills for effective engagement and participation in project formulation and monitoring, decision-making, policy engagement, and also to enhance their abilities to demand greater participation and voice as may be necessary and relevant to the project and local context.

(Continues)



Key Action(s)	Time Frame	Responsible Unit(s)	Tracking	
			Status	Comments
<p><b>Evaluation Recommendation 6: UNDP should prioritize gender mainstreaming in the next country pro-gramme. The 2014 Gender Equality Strategy (GES) must be accompanied by an operational implementation framework with dedicated staff to ensure that necessary systems and structures are in place to contribute to gender transforma-tive results.</b></p>				
<p><b>Management Response:</b> The CO agrees with this recommendation. Efforts will be undertaken to strengthen the gender dimension in the new CP, and to increasingly target women as beneficiaries and actors of change. The office will continue to support the mainstreaming of gender across programme components, as outlined in the UNDP GES, and will monitor progress using the gender marker and Gender Equality Seal. To that intent, the office will develop an operational implementation framework that accompanies the GES in the next programme cycle. The M&amp;E system will be strengthened to include more explicit reporting of gender results throughout the CPD period.</p>				
Key Action(s)	Time Frame	Responsible Unit(s)	Tracking	
			Status	Comments

\* The implementation status is tracked in the UNDP Evaluation Resource Center (ERC).







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