MID-TERM REVIEW OF UNITED NATIONS DEVELOPMENT ASSISTANCE FRAMEWORK ETHIOPIA

(UNDAF 2016-2020)

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AfDB	Africa Development Bank
AFP(s)	Agencies, Funds and Programmes
ATA	Agriculture Transformation Agency
BOS	Business Operation Strategy
CSA	Central Statistical Office
CSO(s)	Civil Society Organisation(s)
CRRF(s)	Comprehensive Refugee Response Framework(s)
DaO	Delivering as One
DRM	Disaster Risk Management
DTM	Displacement Tracking Matrix
ECRA	Ethiopia Customs and Revenue Authority
ES/NFI	Emergency Supplies/Non-Food Items
FAO	Food and Agriculture Organisation
FCA	Federal Cooperative Agency
FEACC	Federal Ethics and Anti-Corruption Commission
FGD(s)	Focus Group Discussion(s)
FTS(s)	Farmer Training School(s)
GoE	Government of Ethiopia
GTP	Growth and Transformation Plan
HoA(s)	Head of Agency(ies)
HDI	Human Development Index
HDR	Human Development Report
HICES	Household Income Consumption Expenditure Survey
HLSC	High Level Steering Committee
HRC	Human Rights Commission
HRD	Human Requirements Document
IAIP(s)	Integrated Agro Industrial Park(s)
IDP(s)	Internally Displaced Person(s)
IGA	Income Generating Activity
ILO	International Labour Organisation
ITC	International Trade Center
JPAT	Joint Policy Advisory Team
MIS	Management Information System
MoANR	Ministry of Agriculture and Natural Resources
MoE	Ministry of Education
MoFEC	Ministry of Finance and Economic Cooperation

MoH	Ministry of Health
MoI	Ministry of Industry
MoJ	Ministry of Justice
MoLF	Ministry of Livestock and Fisheries
MoT	Ministry of Trade
MoWCYA	Ministry of Women, Children and Youth Affairs
MTR	Mid Term Review
NDRMC	National Disaster Risk Management Commission
NIM	National Implementation Modality
NWoW	New Way of Working
OCHA	Office for the Coordination of Humanitarian Affairs
OMT	Operations Management Team
PASDEP	Plan for Accelerated and Sustainable Development to End Poverty
PDA	Peace and Development Advisor
PIM	Programme Implementation Manual
PLHIV	People Living with HIV
PMT	Programme Management Team
RCO	Resident Coordinator's Office
RG(s)	Results Group(s)
SDG(s)	Sustainable Development Goal(s)
SME(s)	Small and Medium Enterprise(s)
SOP(s)	Standard Operating Procedure(s)
SSA	Sub-Sahara Africa
TOT	Training of Trainers
UNAIDS	UN Joint Programme on HIV and AIDS
UNCDF	United Nations Capital Development Fund
UNCG	UN Communications Group
UNCT	United Nations Country Team
UNCTAD	United Nations Conference on Trade and Development
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organisation
UNODC	United Nations office on Drugs and Crime
UNRC	United Nations Resident Coordinator
UNHCR	United Nations High Commission for Refugees
UNRCO	United Nations Resident Coordinator's Office
UNREDD	UN Programme for Reducing Emissions from Deforestation and Forest Degradation
WASH	Water, Sanitation and Hygiene
WFP	World Food Programme
WHO	World Health Organisation

ACRONYMS

EXECUTIVE SUMMARY

The United Nations Country Team (UNCT) in Ethiopia, jointly with the Ministry of Finance and Economic Cooperation (MOFEC) commissioned a mid-term review (MTR) of the United Nations Development Assistance Framework (UNDAF 2016 – 2020). The purpose of the MTR was to assess the achievement and progress made against the planned results, assess challenges, and draw lessons learned over the first half of the UNDAF 2016-2020; and to generate evidence and possible recommendations for fine-tuning the UNDAF for the remaining period.

The review was undertaken by a team of independent evaluators, including one international consultant as team leader supported by a national consultant. The review was undertaken over a period of 26 working days during the period 13 August to 5 November 2018. The specific objectives of the MTR were:

1) To validate the continued relevance, effectiveness, efficiency, coherence, sustainability and the impact of UNDAF in delivering on the outcomes and their contribution to national development efforts;
2) To review adequacy of the existing systems and coordination structures (the UNCT working groups and UNDAF Results Groups) for implementation of the UNDAF; conduct mapping and alignment of the UNDAF structures with the Government sector working groups;
3) To provide inputs for the preparation of Joint Work Plans for the second half of the UNDAF July 2018 – June 2020 and M&E plan as needed;
4) To provide input for UN agencies' CPD review processes or equivalent processes, the Resident Coordinator's annual report, and donor reports; and,
5) To identify implementation challenges and operational issues, and provide inputs and early lessons learned for the preparation of the next UNDAF.

Methodology

The evaluation was mainly based on analysis of secondary data contained in various reports, including UNDAF Results Groups' annual reports and relevant UN agency files and reports. Focus group discussions (FGD) were undertaken with all the Results Groups as well as other key UNDAF teams, including the Programme Management Team (PMT), Operations Management Team (OMT), and the Monitoring and Evaluation Group (M&E Group). Individual interviews were also conducted with key informants, including UN head of agencies and senior government officials from selected key line Ministries.

Limitations

The major limitation of the MTR was that it was planned and undertaken as a light review, with primary data collection confined only to Addis Ababa, and consequently the evaluators were not able to get a feel of the implementation processes and attendant results subnational levels. The second limitation was lack of relevant data, as most of the reports that were reviewed contained narrative and descriptive information on activities and processes rather than actual results based on UNDAF indicators and targets.

Summary of findings

Finding 1. The UNDAF is aligned to national development priorities and SDGs

All 15 UNDAF outcomes are directly aligned to the GTP-II priorities, while also the M&E indicators were aligned with the national Growth and Transformation Plan (GTP). The UNDAF, responds to eight of the nine GTP pillars showing an alignment rate of 89 per cent. While the UNDAF outcomes fit naturally into the framework of the UN Agenda 2030 on Sustainable Development, it was formulated in 2015 prior to finalisation of the Sustainable Development Goals (SDGs). consequently its alignment with the SDGs was rather weak, particularly with respect to alignment and localisation of SDG indicators.

Finding 2. The country context has not changed significantly to affect UNDAF priorities

At the time of this review, the Government of Ethiopia (GoE) had also completed its mid-term review of the GTP, and the indications were that there would be no major changes in terms of its strategic priorities. However, the country context in Ethiopia was undergoing changes, some of which could impact UN programming in a profound way. The most significant of these changes include:

- The opening up of the democratic space, including review or repel of the law limiting civil society activities, media freedom and human rights issues.
- A shift towards more private sector-led growth and privatisation of state enterprises.
- A number of sectors were revising or developing their sector road maps, including the Education sector, which opens up opportunities for policy advocacy and advisory services.

Finding 3. The UNDAF lacks the strategic focus required to make it a framework for integrated programming

The UNDAF has 15 outcomes, 63 outputs and 313 outcome/output indicators. The UN senior management and programme staff agreed to compartmentalise them into their respective mandate silos.

Finding 4. Many UN interventions have a humanitarian-development interface, which needs to be more systematically integrated and harmonised in programming
As a country, Ethiopia has a huge humanitarian footprint, and the bulk of UN funds are delivered in humanitarian work including for recurrent droughts and a large refugee population. A number of the UNDAF outcomes, notably Outcome 3 (Disaster risk management) and Outcome 4 (Social protection) very much speak to the nexus between development and humanitarian work, but this needs to be more systematically mainstreamed across the UNDAF.

Finding 5. UNDAF outcomes and outputs reflect the UN's core values and principles
The UNDAF outcomes and outputs reflect the UN's core principles of (i) leave no one behind; (ii) human rights, gender equality and women's empowerment; (iii) sustainability and resilience; and (iv) accountability. Notably, Nineteen out of 63 outputs (30%) specifically mention and target vulnerable groups (leave no one behind), and for each outcome, there is at least one output focusing on building capacity of national institutions, thereby ensuring both sustainability and accountability of UN results to national priorities. In addition, there are specific outcomes on gender equality and women's empowerment as well as human rights under the governance pillar.

Finding 6. Joint work plans are a collection of individual UN agencies' activities and do not enhance joint implementation, monitoring or reporting
Joint planning was mostly done independently by UN agencies, followed by one or two meetings to compile and consolidate the work plans through the Results Groups (RGs). Consequently, the work plans have over a thousand activities listed, which just illustrates the absence of joint planning. There was also no evidence of joint monitoring, and all the Results Groups noted that they had difficulty in compiling joint reports due partly to the fragmented nature of the UNDAF.

Finding 7. The indicator framework does not support effective reporting of progress
The UNDAF's indicator framework has a number of inherent weaknesses that constrains effective reporting by the RGs, including notably:
- o Inconsistences with respect to the unit of measurement for some of the indicators,
- o Use of national-level targets taken directly from the GTP that do not measure the UN's contribution, and
- o Lack of baseline data and targets for some of the indicators – for example, 15 indicators either have no baseline data or targets.

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Finding 8. Progress towards results varies across Results Groups and outputs

While it was quite evident that a lot of work and results were being achieved through the respective UN agencies, it was difficult to measure the UN's collective results at outcome level. This was partly due to the weaknesses of the M&E framework as noted above, and also partly because RGs tended to provide narrative and descriptive information about their activities and processes rather than focusing on measuring progress against baselines and targets.

However, through the UN's collective efforts, a lot of significant results were noted, particularly with respect to normative work, including capacity building, resilience building, environment and climate smart agriculture, establishment of systems, policies and standards, as well as for some outcomes, direct service delivery such as for example in health, nutrition, water sanitation and hygiene.

Finding 9. The UN has made progress towards harmonising operations

Through implementation of the Business Operations Strategy, (BOS 2.0), the UN enhanced its coherence and harmonised some of its operational activities. Some of the more notable results include:

  o Savings of US$ 2,460,254 arising from adoption of common Long Term Agreements (LTAs), conducting joint training such as the Certificate in Public Procurement (CIPS), PRINCE 2 Project Management and Competency-based Interview Skills (CBIS), as well as advocacy for an arrangement to re-claim the value-added tax (VAT).
  o Reduction in recruitment time for staff and consultants through the CBIS training which was attended by 71 UN staff from 21 UN agencies.

Finding 10. Weak financial reporting by Results Groups does not reflect actual performance

Financial data for some of the outcomes was incomplete, however, available data suggests that the UN delivery during the first two years of UNDAF implementation was $830.3 million against a planned budget of $884.6 which is a delivery rate of 93.9 percent. However, if we remove RG 3 (Resilience and Disaster Risk Management) which has very high expenditure reported in the second year, the combined delivery was $228,997,504 against planned budget of $657,790,803 which is a delivery rate of 34.8 percent.

Finding 11. The UN has adequate structures for coordinating UNDAF implementation and Delivering as One (DaO)

The UN coordination structure has all the relevant and essential structures required for UNDAF coordination and DaO although not all of them were effective or functional.

- **Joint UN-GoE Steering Committee**. The High-level Steering Committee (HLSC) provides strategic direction and oversight of the UNDAF, and is co-chaired by the State Minister of MoFEC and the UN Resident Coordinator (UNRC). However, its membership s rotational annually from among GoE line Ministries and UNCT members. The HLSC last met in June 2017 to approve the joint biennium work plan and has been dormant since.
- **UN Country Team**. The UNCT meets weekly. The evaluation team noted however that it did not prioritise the UNDAF, and did not adequately hold the inter-agency working groups and results groups to account. For example, the practice in earlier days for the PMT and OMT to report back to the UNCT in alternate sessions was discontinued in 2017.
- **Programme Management Team (PMT)**. As the senior programme coordination structure, the PMT ensures commonality of approach across the UN system as well as adherence to DaO principles. However, PMT members were overwhelmed with too many meetings, and they did not see the UNDAF's added-value, mainly because of its structure, which they felt was a '*listing of what UN agencies do, and not what the UN should do together*'.
- **Operations Management Team (OMT)**. The OMT brings together the Operations Managers of UN entities in Ethiopia. Although it did not report regularly to the UNCT, the OMT has been effective in enhancing coherence and harmonising operations as noted in Finding 8 above.
- **UN Communications Group (UNCG)**. Although the UNCG is functional and supported by the Communications Specialist in the UNRCO, it faces funding challenges because UN agencies are not always willing to contribute funds for joint communications and events. The UNCG produces a monthly electronic newsletter.
- **Result Groups**. UNDAF Results Groups were not operating as intended. They only met twice to compile their respective UN agency work plans into a "joint" work plan; and also to compile their respective agency reports into a "joint" report. Almost all the results Group conveners said they had difficulty even bringing together members to a meeting.
- **M&E Working Group**. The M&E working group is accountable to the PMT for M&E, including during planning and design of the UNDAF and joint work plans, as well as reporting. The evaluators noted however that the M&E Group did not provide much quality assurance, especially for UNDAF design and reporting, which had basic errors in formulation of indicators and targets.

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- **Other Working Groups**. The UNDAF provides for the establishment of other working groups such as the UN Gender Theme Group, Joint UN Team on HIV and the Joint Policy Advisory Team (JPAT). The Joint UN Team on HIV and Gender Theme Groups were merged under the Results Group 9 for HIV and Results Group 12 for Equity and Empowerment respectively. With respect to the JPAT, it was not yet functional at the time of the evaluation, although plans were at an advanced stage to establish it.
- **Youth Task Force.** It was noted that there was also a Youth Task Force which focused on youth employment. The MTR team was of the opinion that this task force could also be merged under the relevant RG.

Finding 12. The UNRCO has adequate capacity and structure to support UNDAF coordination and DaO

The UN Resident Coordinator's Office has a staff complement of 14 staff, of which six are international and eight national staff. However, two positions Development Effectiveness Specialist and SDGs Support Officer were vacant at the time of the review; as was also the UNRC.

Finding 13. UNDAF implementation through government structures both at federal and regional levels promotes national ownership and capacity building

The UN uses the national implementing modality (NIM) at federal and regional levels whereby funding is either transferred directly to the coordinating line Ministry or through the regional Bureaus of Finance and Economic Development (BoFED) to the sector Bureaus. This supports national capacity building and also enhances national ownership of UNDAF processes and results.

Finding 14. The UN has not fully harnessed the potential impact for sustainable development that can be realised through the New Way of Working (NWoW)

Although some of the UN interventions by their nature already reflect the development-humanitarian interface, more could still be done to leverage humanitarian work as a stepping stone for development work. For example, some key informants noted how some regions in Ethiopia have experienced recurrent droughts and cholera outbreaks, yet until recently, the UN has not used its humanitarian response to develop longer term water infrastructure.

Good Practices

- ✓ **Alignment with national priorities.** Alignment with national priorities is a good practice that enhances national ownership and leadership, and is also a requirement for an UNDAF. In addition, it enables the UN to use national data to track and measure its performance while also providing the opportunity to strengthen national information management systems where such data is lacking.

- ✓ **Joint programming**. Although joint work planning has been noted as weak, there were a number of joint initiatives and joint programming that was underway, including notably the Ethiopia-Kenya cross-border programme. The objective of the programme is to reduce vulnerability and increase the resilience of communities affected by conflict and other recurrent shocks in these border districts. This is a good practice with potential to enhance the 'nexus' issues in both countries, as well as replication potential in other border areas. Other notable joint initiatives include Climate Resilience WASH, Integrated Health and Nutrition Extension, as well as in Recovery and Resilience.

- ✓ **Coordination and harmonising operations.** As a self-starter DaO country, the UN has fully adopted the joint annual work plans in place of individual UN agency country programme action plans. This is a good practices which contributes to enhanced coherence and reduction of overlap. The UN also successfully harmonised some of its operations through the BOS 2.0, such as for example procurement and other common services, which resulted in cost savings.

Lessons Learned

❶ **To become the effective One Programme for the UN, there should be commitment and ownership of the UNDAF at all levels.**

UN agencies have a corporate obligation to align their work with the UNADF. However, there are some systemic challenges at the level of UN agencies' corporate headquarters that constrain harmonisation at country level. Nonetheless, since the UNDAF is mandatory and the UN already invest substantive amounts of staff time and money in formulating and implementing it, there should be sufficient commitment at all levels to make it work. UN agencies and in particular the UNCT can demonstrate this commitment by a willingness to look beyond their individual mandates and focus on collective outcomes.

❷ **Demonstrating the UN's value-added requires its collective performance to be measured through specific indicators and targets.**

Although it is a good practice to adopt national indicators for the UNDAF's monitoring and evaluation framework the UN also needs to have its own specific targets in order to effectively

monitor and report on its performance and contribution. The government is accountable for performance on GTP outcomes, and by the same token the UNCT should be accountable for UNDAF outcomes, while individual UN agencies are accountable for outputs.

❹　**Integrated joint programming requires the UNDAF to be strategically focused with an explicit theory of change**

Collective UNDAF best practice captured through UNDG guidelines suggests that it is more effective and easier to coordinate an UNDAF with no more than 3-5 outcomes. With 15 outcomes, the current UNDAF not only looks fragmented, but also encourages UN agencies to settle into their respective silos and avoid working together; while also it increases the workload for programme staff who have to participate in several Results Groups.

❹　**Programme staff fail to see the UNDAF's added value if it does not support and enhance joint resource mobilisation.**

Despite that the UN has realised significant cost and time savings by developing and implementing the common Business Operating Strategy (BOS 2.0), programme staff working within the Results Groups said that the single most important constraint was lack of joint resources for UNDAF implementation. There was a sense that UN agencies compete for scarce resources, and have no appetite to work together in the absence of joint funding.

❺　**UN interventions can have more lasting impact by enhancing the humanitarian-development nexus.**

With its large humanitarian footprint in Ethiopia, the UN can leverage it as a platform for development work and also mitigate the impact of dwindling development funding.

CONCLUSIONS

UNDAF implementation was not very effective due to variety of factors. With respect to its structure, the UNDAF's 15 outcomes and 63 outputs encourage UN agencies to work in silos. There is scope to collapse the 15 outcomes into about five at a minimum if the UNDAF pillars were to be appropriately formulated as collective outcomes. Besides, the notion of having strategic pillars implies that the 15 outcomes are subordinate outcomes, which is not consistent with UNDAF guidelines which prescribe only one level of outcomes.

Furthermore, the number of outputs and indicators rendered the UNDAF unfriendly for coordination, and hence the programme staff viewed it as burdensome. It did not help that there was also neither an explicit theory of change model for the UNDAF as a One Programme, nor was there joint resourcing for UNDAF activities.

There was also a seeming lack of commitment and ownership of the UNDAF at all levels by UN senior management and programme staff. Most of those interviewed characterised it as 'a listing of what UN agencies do separately as opposed to what UN agencies intend to do together'. Nonetheless, the UNDAF was very closely aligned to the government's priorities as articulated in the GTP-II. On its part, the government was quite happy with the UNDAF structure, and looked at it as comprehensive and a one-stop compendium of UN agency work. Clearly, the government's view of the UN is through the sectoral lens of UN agencies rather than as a collective and integrated entity. In that regard, the UN's advocacy work to position itself as a DaO is well cut out.

If indeed it is true that the UN is stronger together, it follows that there is potential to increase the UN's impact in Ethiopia by further enhancing its coordination through more effective UNDAF implementation. In that regard therefore, there are two pressing questions for the UNCT at the UNDAF midterm: (1) As government does not plan a major shift of its GTP priorities, what are the minimum changes necessary to enhance UNDAF implementation effectiveness in the remaining two years? (2) Given that UNDAF is mandatory and also time consuming, what are the necessary changes required to make the next UNDAF more useful as a collective planning tool for the UN? These questions form the basis of the following recommendations.

Recommendations

The review team recommends that the UNCT should take into account the recommendations made by the respective RGs in their UNDAF annual reviews, as it relates to adjustment of outputs and indicators. In this context, the UNRC should engage with the GoE to enable some of the outputs to be removed or adjusted as recommended by RGs. In addition, the UNCT should also consider the following nine strategic recommendations for the remaining two years and the next UNDAF.

Recommendation 1. The UNRC/UNCT and GoE should revive and reactivate the HLSC. The HLSC should also consider abolishing the system of rotational membership. In order to enhance the 'nexus', the GoE/UN may also consider including the National Disaster Risk Management Commission in the HLSC.

Recommendation 2. The HLSC should consider and make the following decisions to enhance UNDAF implementation and UN results in the remaining period of UNDAF implementation:

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a) Acknowledge that the current UNDAF structure and content has not been conducive for Results Groups to undertake joint programming, implementation and reporting against indicators,

b) Results Groups in collaboration with the PMT and M&E Group should make necessary changes through the joint AWP, including:

    (i) Revision, removal and addition of UNDAF outputs,

    (ii) Revision, removal and addition of UNDAF outcome and output indicators.

Recommendation 3. The UNCT should give specific directions and instructions to ensure that the next UNDAF is considerably inclusive and simplified. This may include:

a) The next UNDAF should be informed by a UN-led comprehensive common country assessment (CCA),

b) The next UNDAF should have outcome-level results only, with outputs articulated in the joint AWPs,

c) The next UNDAF should contain no more than 5 collective outcomes that enhance the UN's development, humanitarian, human rights and peace building agenda.

Recommendation 4. The UNCT should commit to strengthen UNDAF implementation and its use as the principal planning document for their respective country programme. This commitment should include at a minimum:

a) Ensuring that UNDAF implementation is included in individual performance appraisal for key staff (e.g. PMT staff, senior programme staff),

b) Ensuring that every UN agency contributes in at least one joint programme or joint initiative.

Recommendation 5. The UNRC/UNCT should take necessary measures to establish the One Fund by enhancing joint resource mobilisation. As a starting point, the UN may leverage on specific joint initiatives or flagship programmes such as for example:

a) Joint UN low-land strategy,

b) Joint UN initiative on resilience and reducing vulnerability and inequality.

Recommendation 6. The UNRCO should simplify the UNDAF reporting template:

a) to make it more user-friendly, and

b) to adequately reflect and report performance linked to the UN's core principles and standards, including reporting on SDGs. The structure of the template may be in two parts, including a narrative section and matrix.

Recommendation 7. The UNRCO should develop an online UNDAF training module for all UN staff. The module should be developed along the lines of the mandatory Basic Security in the Field Manual, with prescribed validity of up to 3 years. The UNCT should commit to ensuring that the training is mandatory.

Recommendation 8. The UNCT should ensure that programme staff are not too overwhelmed with coordination work, including by limiting and merging some of the coordination platforms with Results Groups that have similar focus, such as for example the Youth Task Force.

Recommendation 9. The UNCT should consider establishing Regional Coordination Offices. The UN may consider piloting these in regions where there is already larger presence of UN agencies, such as Somali and Amhara regions.

EXECUTIVE SUMMARY

1. INTRODUCTION

The United Nations Development Assistance Framework (UNDAF 2016 – 2020) is the overarching strategic programme framework that guides the UN's collective support to the Government's national development priorities as articulated in its Growth and Transformation Plan II (GTP II). The United Nations Country Team (UNCT) jointly with the Ministry of Finance and Economic Cooperation (MOFEC) have commissioned a mid-term review (MTR) of the UNDAF (2016 – 2020) to assess the results at the mid-point of the implementation period and asses the need for any mid-term adjustments to the current UNDAF so that it remains relevant to the national context, and the current dynamics in the global development discourse in light of the Sustainable Development Goals (SDGs), the Secretary-General's reform agenda, and the New Way of Working approach.

The review was undertaken by a team of independent evaluators, including one international consultant as team leader supported by a national consultant. The MTR was undertaken over a period of 26 working days during the period 13 August to 5 November 2018.

This report presents the findings and conclusions of the mid-term review. The final version of the report incorporates comments made by United Nations Country Team (UNCT) and other stakeholders after reviewing the draft report. The report is presented in six chapters as outlined below.

- Chapter 1 introduces the report and background for the evaluation.

- Chapter 2 describes the evaluation purpose, objectives, scope and methodology.

- Chapter 3 presents the programme's background, including the country's development context, and a description of the UNDAF 2016 - 2020.

- Chapter 4 contains the evaluation's findings, structured around the evaluation criteria of relevance, effectiveness, efficiency, sustainability and impact as defined by the United Nations Evaluation Group (UNEG).[1]

- Chapter 5 presents the emerging lessons based on analysis of the evidence and findings.

- Chapter 6 wraps up the report with a discussion of evaluators' conclusions, and recommendations to the UNCT.

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[1] http://www.uneval.org/document/guidance-documents

II. PURPOSE, OBJECTIVES, SCOPE & METHODOLOGY

This chapter outlines the scope, purpose and objectives of the evaluation as prescribed by the terms of reference. The methodology used by the evaluators in carrying out the mid-term review was agreed with the Evaluation Reference Group (ERG) through the Inception Report, submitted prior to start of the field work in Ethiopia.

2.1. Evaluation Scope, Purpose and Objectives

2.1.1. Scope

The evaluation covered the UNDAF implementation period from July 2016 to June 2018, including all its outcomes and related outputs. The analysis and findings were based mainly on reported information and data, which was further triangulated with primary data collection conducted Addis Ababa.

2.1.2. Purpose

The purpose of the MTR was to assess the achievement and progress made against the planned results, assess challenges, and draw lessons learned over the first half of the UNDAF 2016-2020; and also generate evidence and possible recommendations for fine tuning the UNDAF for the remaining period. The MTR also aimed to assess whether or not there were any emerging issues that may not have been reflected in the design of the UNDAF, and if so, how this could impact the achievement of its outcomes, and make recommendations to ensure the continued alignment of UN assistance with national priorities and global goals.

2.1.3. Objectives

Based on the evaluation TORs, the specific objectives of the evaluation were:

1) To validate the continued relevance, effectiveness, efficiency, coherence, sustainability and the impact of UNDAF in delivering on the outcomes and their contribution to national development efforts;
2) To review adequacy of the existing systems and coordination structures (the UNCT working groups and UNDAF Results Groups) for implementation of the UNDAF; conduct mapping and alignment of the UNDAF structures with the Government sector working groups;
3) To provide inputs for the preparation of Joint Work Plans for the second half of the UNDAF July 2018 – June 2020 and M&E plan as needed;
4) To provide input for UN agencies' CPD review processes or equivalent processes, the Resident Coordinator's annual report, and donor reports; and,

5) To identify implementation challenges and operational issues, and provide inputs and early lessons learned for the preparation of the next UNDAF.

2.2. Evaluation Methodology

The evaluation was based on the five criteria laid out in the Organisation for Economic Cooperation and Development – Development Assistance Committee (OECD-DAC) Principles for Evaluation of Development Assistance,[2] as defined in the United Nations Evaluation Group (UNEG) guidelines.

The evaluation was mainly based on analysis of secondary data contained in various reports, including UNDAF Results Groups' annual reports and relevant UN agency files and reports. Focus group discussions (FGD) were undertaken with all the Results Groups as well as other key UNDAF teams, including the Programme Management Team (PMT), Operations Management Team (OMT), and the Monitoring and Evaluation Group (M&E Group). Individual interviews were also conducted with key informants, including UN head of agencies and senior government officials from selected key line Ministries.

The main data sources and tools used were:
   a) Desk review of UNDAF programme files and reports. The list of documents reviewed is in Annex 1.
   b) Fifteen (15) FGDs with the key UNDAF implementation and coordination structures.
   c) Semi-structured individual interviews with a total of 24 key informants, representing a cross section of stakeholders, including UNCT heads of agencies, government officials, development partners and donors. The list of individuals interviewed is in Annex 2.
   d) A validation workshop was undertaken to present the evaluation findings to the UNCT and stakeholders. The final version of this report incorporates their comments.

With regards to the FGDs, the evaluators used a discussion guide, with each FGD lasting for one-and half hours (90 minutes), and designed to cover the key evaluation questions prescribed in the TOR. The discussion guide (Table 1) contained guiding questions to enable participating members of the Results Groups to focus on specific issues within a prescribed time.

Table 1: FGD format

Focus area	Guiding questions	Time allotted
Introduction	- Setting ground rules	5 minutes
Relevance: UNDAF context	- What has changed since the formulation of the UNDAF? - Are current interventions still relevant? - How has UN adopted New Way of Working (NWoW)?	15 minutes
Efficiency: Implementation	- Do you feel that there is sufficient inter-agency collaboration in the context of DaO?	

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[2] The five evaluation criteria are: Relevance, Effectiveness, Efficiency, Sustainability and Impact.

PURPOSE, OBJECTIVE SCOPE & METHODOLOGY

Coordination	- What are the challenges with respect to adopting Business Operating Strategy - BOS 2.0.? - Do you feel that as a Results Group you get sufficient support from RCO, PMT, OMT, etc.?	20 minutes
Effectiveness: Progress made Partnerships Sustainability	- What are the key results achieved (based on output indicators) from 2016 to date? - Do you feel that there is ownership of UNDAF results by national partners at all levels (central, regional, woreda)? - What risks do you see with regards to sustainability of interventions? How can they be mitigated?	30 minutes
Emerging Lessons:	- What are the major challenges experienced? - What key lessons have been learned? - Recommendations for the remaining part of the UNDAF.	20 minutes

With regards to the other stakeholders and key informants, the evaluators used semi-structured interviews with the aim of firstly, triangulating the information already obtained through the desk research, and secondly, to obtain their respective views and perspectives about the UNDAF. The specific focus of the interviews was to obtain a wide cross section of opinions and views on the key evaluation issues that were identified and agreed with the ERG during the inception phase.

> *Evaluation issues identified during inception phase*
> o *What (if any) are the most significant changes in the country and global context that could have impact on the UN in the remaining two years of the UNDAF?*
> o *To what extent has the UN responded to the call for NWoW, and what are the potential response strategies?*
> o *If there is need for adjustment and refocus of the UNDAF, what is the most realistic scope of adjustment that can be made in the remaining two years?*

2.3. Limitations

The UNCT had decided to do a light review, and consequently the evaluation relied mainly on secondary data with primary data collection confined only to Addis Ababa. This meant that the evaluators were not able to get a feel of the implementation processes and attendant results in situ at the regional and woreda levels. This was however, mitigated through extensive desk and literature research, as well as intensive focus group discussions with key informants.

The second limitation was lack of data. While acknowledging that as a mid-term evaluation, outcome level data may not have been available yet, it is imperative for UN agencies to monitor and track output indicators on an annual basis for purposes of their annual reporting. However, available reports used narrative description, focusing mainly on process rather than measuring progress towards indicators benchmarked against the baseline and targets.

PURPOSE, OBJECTIVES, SCOPE & METHODOLOGY

III. PROGRAMME CONTEXT & BACKGROUND

This chapter describes the background to the UNDAF 2016-2020, including the country context in Ethiopia, the development context and government's response strategy. This is followed by a description of the UNDAF, including its theory of change model, as well as the results, monitoring and evaluation framework.

3.1. Country Context

Ethiopia has been using five-year national development plans since 2005, and to date has gone through with implementation of the first two:

o The Plan for Accelerated and Sustained Development to End Poverty (PASDEP) was implemented from 2005/06 to 2009/10.

o The Growth and Transformation Plan (GTP I) was implemented from 2010/11 - 2014/15).

The UN has been a consistent partner throughout this period, and the UNDAF (2012-2016) was fully aligned with six of the GTP's seven pillars, the exception being infrastructure.[3]

3.1.1. Economic context

The Federal Government of Ethiopia (FGE) reported that, *"real GDP growth averaged 10.1% per annum during the period of GTP I".*[4] Although this growth slowed down in the last two years, there were signs that the economy had begun to recover. According to the Africa Development Bank (AfDB), *'Ethiopia is steadily recovering from the 2015/16 and 2017 droughts, with continued expansion of services and industry and a rebound in agriculture. Real GDP growth during 2017/18–2018/19 will be led by greater agricultural productivity and strong industrial growth'.*[5]

Sector	Share of GDP	
	2015/16	2016/17
Services	47.3%	39.3%
Industry	16.7%	25.6%
Agriculture	36.0%	36.0%

The AfDB further noted that the government had pursued a 'contractionary fiscal policy' in 2016/17, prioritizing spending in pro-poor and growth-enhancing sectors, including education, health, agriculture, and roads. However, the bank also noted that the country's major downside risks included weak exports, climate change, and youth unemployment. The World Bank also appears to share a similar view: *'Ethiopia's main challenges*

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[3] UNDAF (2016 – 2020), p3

[4] GTPII, p 7

[5] https://www.afdb.org/en/countries/east-africa/ethiopia/

are sustaining its positive economic growth and accelerating poverty reduction, which requires progress in job creation and improved governance'[6].

The country's inflation increased to 15.6% in February 2018[7], up from the single digits of the previous year. This had a huge impact on the prices of goods and affected mostly the poor and disadvantaged groups. The literature suggests that while measures were taken to address persistent Birr overvaluation, large external imbalances, foreign exchange shortages, and rising external debt, key challenges have persisted, including limited competitiveness, an underdeveloped private sector, and political disruption. The lack of competitiveness constrains the development of manufacturing, the creation of jobs and the increase of exports, even though a larger and stronger private sector is essential for strengthen Ethiopia's trade competitiveness and resilience to shocks.

Yet despite the foregoing, according to an online publication, "*Despite progress toward eliminating extreme poverty, Ethiopia remains one of the poorest countries in the world, due both to rapid population growth and a low starting base. Changes in rainfall associated with world-wide weather patterns resulted in the worst drought in 30 years in 2015-16, creating food insecurity for millions of Ethiopians"*[8].

3.1.2. *Political and regional context*

The most notable political development in the country was the resignation of the Prime Minister in February 2018. Although a full discussion of the issues surrounding the resignation are beyond the scope of this report, suffice to note that this followed a period of political unrest which resulted in loss of life and displacement of many. Following his election into office, the new Prime Minister changed the cabinet and effectively ushered in a new government.

A few months after assuming office, the new GoE announced it would fully implement the provisions of the Algiers Agreement of 2002 which required it to cede disputed land with Eritrea, which it has occupied for almost two decades. This was followed by a joint declaration by the two heads of states, covering:[9]

- An end to the state of war.
- Closer political, economic, social, cultural and security cooperation.
- Transport, trade and communications links between the two countries.
- Implementation of the boundary ruling.
- Both countries will jointly endeavor to ensure regional peace, development and cooperation.

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[6] World Bank: Ethiopia Economic Update

[7] Ibid.

[8] https://www.indexmundi.com/ethiopia/economy_overview.html

[9] www.ethpress.gov.et/.../12312-ethiopia-eritrea-sign-peace-friendship-declaration

However, in spite of these positive developments, there were also growing concerns at the increase of political conflict and displacement of people within the country. According to an IOM report,[10] *"…The 9th round of the Displacement Tracking Matrix (DTM) - a joint data collection exercise led by IOM in collaboration with the National Disaster Risk management Commission (NDRMC) - was conducted between 2 January and 6 February 2018. According to this tracking tool, a total of 1,737,752 persons displaced by climatic and conflict factors are settled in 916 sites across the country (this excludes sites in SNNPR, which are not covered by DTM). Seventy per cent of these internally displaced persons (IDPs), - approximately 1,222,123 persons - have been displaced by conflict or social tensions."*

In addition, Ethiopia has a long standing history of hosting refugees. These groups were among the most vulnerable and disadvantaged. According to the United Nations High Commission for Refugees (UNHCR)[11], "*it is anticipated that Ethiopia will host 919,134 refugees by the end of 2018, mainly from South Sudan (485,000), Eritrea (131,343) and Somali (231,348). Within a climate of decreasing humanitarian and development financing; that has led to critical shortfalls in food assistance, limited opportunities for third-country resettlement, together with only modest support to youth and a growing population of unaccompanied and separated children, bold financial commitments* will be needed to harness the Comprehensive Refugee Response Framework's (CRRF's) transformational agenda.".

3.1.3. *Social and human development context*

In April 2018, Ethiopia launched the Human Development Report (HDR) 2016. Highlights of the report show that Ethiopia's Human Development Index (HDI) value for 2016 (0.448), increased by 58.2 percent from the previous year's HDI value. The country's HDI value for 2016 still placed the country in the low human development category with the position of 174 out of 188 countries included in the report.

According to a Norwegian Institute of International Affairs report,[12]

"*Ethiopia today is characterised by two contrasting aspects – poverty and economic growth. These aspects are* spatially distributed. Poverty is more pronounced in and characteristic to the rural hinterlands, whereas the economic growth taking place in Ethiopia is more conspicuous in central and urban areas, although urban poverty and inequalities are indeed tangible and exacerbated by *proliferating urbanisation and unemployment rates. The urban–rural divide frames many aspects of Ethiopian society and economy: the vast majority of the population, close to 80%, live in rural areas as subsistence smallholder farmers, vulnerable to drought and*

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[10] IOM, Displacement Tracking Matrix 9

[11] Ethiopia Country Refugee Response Plan 2018 : The integrated response plan for refugees from Eritrea, Sudan, South Sudan and Somalia (January - December 2018)

[12] NIIA (2018); Ethiopia: A Political Economy Analysis, p3

land scarcity. The urban minority seek work in the industrial or service sectors, but unemployment is a challenge, further exacerbated by an increasing rural–urban migration".

In addition to the spatial disparities as noted above, the country also has a huge gender gap. According to the Central Statistical Agency (CSA):[13]

Employment and earnings: Forty-eight percent of currently married women age 15-49 were employed in the 12 months before the survey, compared with 99% of currently married men age 15-49. More than half of the men (53%) and just under half of the women (49%) were not paid for their work. The percentage of women who were not paid for their work was highest in the 15-19 age group (66%). Sixty-two percent of the currently married women with cash earnings report that decisions about how their earnings are used are usually made jointly with their husbands. Thirty percent of women make most of these decisions independently.

Ownership of a home and land: Half of all women own a house, either alone or jointly with someone, while just over one-third of women who own a house report that there is a title or deed for the house which includes their name. Similarly, 40 percent of women own land but only one in two of the women who own land say there is a title or deed in their name for the land.

Decision to marry: The majority (61%) of ever-married women say their parents made the decision that they would get married the first time. Only 35% say they made the decision to marry by themselves.

Schooling after marriage: Twenty-five percent of women were attending school at the time they first married, and the majority (75%) of these women stopped going to school after they married.

Participation in decision making: Seventy-one percent of currently married women participate in three specified household decisions (own health care, household purchases, and visits to their family), while 10% are not involved in any of these decisions.

Reproductive health: Use of contraception and access to antenatal care, delivery assistance, and postnatal care increases with women's empowerment.

3.2.   Government Strategy

In 2015, the GoE developed the Growth and Transformation Plan II (GTP II) covering the period 2016 -2020. The Plan is anchored on the country's vision "*to become a lower middle-income country by 2025… (and) reach the level of lower middle-income countries where democracy, good governance and social justice are maintained through people's participation*"[14].

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[13] Ethiopia Demographic and Health Survey, 2016

[14] Ibid, p 80

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Based on review of the GTPII, the government aims to achieve its long term vision by pursuing the following pillar strategies:

❶ Sustain the rapid, broad based and equitable economic growth and development witnessed during the last decade;

❷ Increase the productive capacity and efficiency to reach the economy's production possibility frontier through concurrently improving quality, productivity and competitiveness of productive sectors (agriculture and manufacturing industries);

❸ Speed up and catalyse transformation of the domestic private sector and render them a capable development force;

❹ Build the capacity of the domestic construction industry, bridge critical infrastructure gaps with particular focus on ensuring the quality of infrastructure services through strengthening the implementation capacity of the construction sector;

❺ Properly manage and administer the on-going rapid urbanization to unlock its potential for sustaining growth and structural transformation of the economy;

❻ Accelerate human development and technological capacity building and ensure its sustainability;

❼ Establish democratic and developmental good governance through enhancing implementation capacity of the public sector and mobilization of public participation;

❽ Promote women and youth empowerment, ensure their participation in the development process and enable them equitably benefit from the outcomes of development;

❾ Build climate resilient green economy.

According to an official report of the GTP II mid-term review[15], there was mixed progress towards expected results, with some sectors performing better than others.

Macro-economy sector. Average economic growth in 2016 was 9.5 percent against planned two digit growth rate of 11 percent. This was due to the severe drought during the 2015/16 agricultural season. Growth rebounded to 10.9 percent in 2017.

Agriculture sector. The sector had the lowest ever growth of 4.5 percent in 2016 due to the drought. In 2017 the growth rate increased to 6.5 percent signaling the start of recovery.

Manufacturing sector. The manufacturing sector grew by 18.7 percent in 2017 and contributed 4.4 percent of the overall economic growth of 10.9 percent. However, the growth of micro-enterprise sector was below expectations.

Infrastructure sector. The national plan was to expand the all-weather road network in the country by 43%, and only 10% was achieved. Corruption, limited capacity of contractors, limited

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[15] GTP II Mid-term Review Report (Amharic version)

budget and other factors were responsible for the poor performance of road infrastructure sector.

Electric power sector. *In the power sector, the country achieved 63 percent of the planned target to generate 6889 MW by 2017.*

Water supply sector. *The national coverage of access to potable water supply reached 65.7 percent; out of which 68.5 percent was in rural areas, and 54.7 percent in urban areas.*

Education: *In 2017, the national coverage of access to first cycle education (1-4 grades) reached to 100 percent, and 74 percent for second cycle education (5 – 8 grades). The national coverage for high school education (9-10 grade) was 47 percent and college preparatory schools (11-12 grades) 12.5 percent. Adult education coverage was 34 percent. These numbers are below expectations due to, among other factors: (i) dependence of rural families on child labor and (ii) limited efforts made to create an education system that is convenient to the context of rural livelihoods including pastoral and agro-pastoral areas, such a system of mobile schools, school feeding programs, evening education programs and others.*

Health sector. *National coverage of family planning service reached 73 percent by mid-2018. However, regional disparities remain. The national coverage of mothers giving birth in the health centers was only 26 percent by 2017, but highly skewed across regions ranging from 97 percent for Addis Ababa and 15 percent for Afar region.*

Justice sector. *Acute public dissatisfaction from prolonged and inefficient judicial processes and human rights violation of detainees and prisoners was still high. Anti-human trafficking institution has also been established at directorate level in 2017 and started implementation following preparation of its own strategic and annual plans.*

Cross-cutting issues. *By 2017, the share women in decision makers in higher political positions was 28 percent in federal institutions, and 25 percent in house of federation. Fixed term and temporary job opportunities were created for 1.6 million youths in rural areas and 1.2 million youths in urban settings. These results are below the planned targets.*

3.3 UN Programme Context (UNDAF 2016 – 2020)

The United Nations in Ethiopia is committed to support the Government's National development plan - GTP II; and to that end, has developed the UNDAF 2016-2020. The UNDAF interventions are clustered around five pillars:

- Inclusive growth and structural transformation;
- Resilience and green economy;

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- Investing in human capital and expanded access to quality social services;
- Good governance, participation and capacity development;
- Equity and empowerment.

The UNDAF results framework comprises of 15 outcomes, 63 outputs and 313 indicators at both output and outcome level (Table 2). The complete UNDAF Results Framework is in Annex 1. The implementation of the UNDAF 2016-2020 was launched in July 2016, and is executed through Government implementing partners at the federal, regional and woreda levels. The joint UN/GoE High-Level Steering Committee comprising the Government, the UN and development partners provides strategic direction and oversight to the planned UNDAF results.[16]

Table 2: UNDAF 2016 – 2020 at a glance

	Pillars	Outcomes	Outputs	Indicators		Budget (US$)
				outcome	Output	
1	Inclusive growth and structural transformation	2	9	12	45	197,914,619
2	Resilience and green economy;	3	13	8	55	1,932,7116,491
3	Investing in human capital and expanded access to quality social services;	5	25	17	93	718,726,187
4	Good governance, participation and capacity development;	3	8	7	44	121,080,000
5	Equity and empowerment.	2	8	6	26	67,887,394
	Total	**15**	**63**	**50**	**263**	**3,038,324,691**

Source: UNDAF 2016 – 2020, p viii

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[16] UNDAF 2016-2020, p 15

IV. FINDINGS OF THE MID-TERM REVIEW

This chapter provides the authors' findings based on the evaluation questions as articulated in the evaluation TORs. The findings are structured around the evaluation criteria, firstly to establish the link between each finding and the evaluation criteria, and secondly to enhance the readability of the report.

Overall, the findings show mixed performance, with respect to expected results based on established benchmarks, including planned targets as well as common practices as articulated in various UN guidelines. A summary of the key findings is provided at the end of each respective section.

4.1. Relevance of the UNDAF and Delivering as One

Assessment of relevance is about establishing the degree to which the programme is related or useful in relation to a pre-defined standard or benchmark. In this connection therefore, the evaluators' looked at the relevance of the UNDAF in relation to (a) the national development priorities, (b) Agenda 2030 for sustainable development, (SDGs), and (c) the needs of the country in light of the emerging and changing global and country context. The findings are informed by a combination of secondary data and key informant interviews.

Finding 1: *The UNDAF is aligned to national development priorities and SDGs*

As noted on pages 10 and 12 above, the government's GTP-II framework has nine pillars, while the UNDAF has five. Based on a review of the UNDAF, "*it responds to eight of the nine GTP pillars showing an alignment rate of 89 per cent. This means that the UNDAF responds to all except the GTP pillar related to "building the capacity of the domestic construction industry, bridge critical infrastructure gaps with particular focus on ensuring quality provision of infrastructure services*[17]."

All 15 UNDAF outcomes are directly aligned to the GTP-II priorities (Table 3), while also the indicators were taken directly from the GTP. Alignment to national priorities is good and is also a requirement for the UNDAF. However, it is also important to note that alignment does not mean doing everything. The UNDAF guidelines clearly state that the UN should identify its comparative advantages, i.e. the specific strengths that members of the UNCT bring individually and collectively in relation to other partners. Since the UN may not have adequate resources compared to other bilateral and multi-lateral partners, the identification of comparative advantages enable the UN to focus in those areas where it can make a difference.

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[17] UNDAF 2016-2020, p 19

Table 3: UNDAF alignment to GTP-II and SDGs

UNDAF Pillars and Outcomes	GTP-II Pillars	SDGs
Pillar 1. **Inclusive growth and structural transformation** **Outcome 1. Agriculture** **Outcome 2. Industrial growth**	**Pillar 1**. Sustain rapid, broad-based and equitable economic growth and development **Pillar 2**. Increase productive capacity and efficiency to reach the economy's productive possibility frontier through improving the quality, and competitiveness of the productive sectors **Pillar 3**. Enhance transformation of the domestic private sector to enable it to become a capable development force **Pillar 5**. Proactively manage the ongoing rapid urbanisation to unlock potential for promoting sustained rapid growth and structural transformation of the economy	**Goal 1.** End poverty in all its forms everywhere. **Goal 2:** End hunger, achieve food security and improved nutrition and promote sustainable agriculture. **Goal 8:** Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all. **Goal 9:** Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation. **Goal 10:** Reduce inequality within and among countries. **Goal 12:** Ensure sustainable consumption and production patterns.
Pillar 2. **Resilience and green economy;** **Outcome 3. Disaster Risk Management** **Outcome 4. Social Protection** **Outcome 5. Climate Change**	**Pillar 9.** Build a climate-resilient green economy	**Goal 7:** Ensure access to affordable, reliable, sustainable and modern energy for all. **Goal 11:** Make cities and human settlements inclusive, safe, resilient and sustainable. **Goal 13:** Take urgent action to combat climate change and its impacts. **Goal 15:** Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss
Pillar 3. **Investing in human capital and expanded access to quality social services;** **Outcome 6. Health**	**Pillar 6.** Accelerate human development and technological capacity-building and ensure its sustainability	**Goal 3:** Ensure healthy lives and promote well-being for all at all ages. **Goal 4:** Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all.

Outcome 7. Nutrition **Outcome 8. HIV** **Outcome 9. WASH** **Outcome 10. Education**		**Goal 5:** Achieve gender equality and empower all women and girls. **Goal 6:** Ensure availability and sustainable management of water and sanitation for all. **Goal 10:** Reduce inequality within and among countries.
Pillar 4**. Good governance, participation and capacity development;** **Outcome 11. Rule of Law** **Outcome 12. Gender equality** **Outcome 13. Data**	**Pillar 7**. Continue to build democratic and developmental good governance through enhancing the implementation capacity of public institutions and actively engaging citizens.	**Goal 11:** Make cities and human settlements inclusive, safe, resilient and sustainable. **Goal 10:** Reduce inequality within and among countries. **Goal 16:** Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels. **Goal 17:** Strengthen the means of implementation and revitalize the global partnership for sustainable development.
Pillar 5**. Equity and empowerment.** **Outcome 14. Women empowerment** **Outcome 15. Youth**	**Pillar 8**. Promote the empowerment of women any youth, ensure their effective participation in the development and democratisation process and enable them equitably to benefit from the outcomes of development	**Goal 5:** Achieve gender equality and empower all women and girls. **Goal 8:** Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all.

Source: UNDAF Joint Work Plan 2016 - 2018

Majority of key informants within the UN system, however felt that the UNDAF outcomes above resemble a listing of what UN agencies do according to their mandates. They noted that, while the outcomes are very much aligned to the GTP, they hardly represent the collective outcomes of the UN working together, nor do they reflect the UN's collective comparative advantages. Majority of programme staff also said that the structure of the UNDAF only served to compartmentalise them into silos and was not conducive for joint programming and implementation. Furthermore, programme staff noted that due to the many number of outcomes/result areas, they were overstretched, and some of them had to participate in more than two result areas. In one particular case, one staff member said he was participating in 5 Results Groups.

There is potential to collapse the 15 outcomes into fewer outcomes if the five UNDAF pillars were formulated as the outcomes. In order to achieve this for the next UNDAF, the UN should undertake a comprehensive country analysis as well as analysis of the UN's collective comparative advantages. According to the 2017

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UNDAF Guidelines, comparative advantage analysis '...is not necessarily based on those activities with which the UN system is most familiar and comfortable, focusing instead on those where the UN system can best add value' (page 22).

> **Finding 2**: *The country context has not changed significantly to affect UNDAF priorities*

The GoE undertook a mid-term review of the GTP-II in June/July 2018. At the time of the review, the English version of the report was not yet published, although the evaluators had access to the Amharic version.

The GoE was not planning any major changes to the GTP. The mid-term review only focused on revising the targets based on government's assessment of the likelihood of their achievement. To the extent that UNDAF targets for some indicators were also GTP targets, there may be need to review these targets as well. However, as will be elaborated in section 4.2 below, the UN should develop its own targets that measure and reflect its own work and contribution rather than using GTP targets.

Key informants from both the UN system and GoE acknowledged however that the context in Ethiopia was changing, and notably in the democratic governance sector, which may have some implications on UN programming. Most of the expected changes were still at the level of 'government intent, and had not yet been institutionalised in the national statutes or policy frameworks. The most significant changes were expected in the following areas:

- Governance. The opening up of the democratic space, including review or repel of the law limiting civil society activities, media freedom and human rights issues. The UN may wish to keep a close eye on this in order to influence and align the new legislation with its core values, principles and international treaties.
- Economic sector. The move towards more private sector-led growth and privatisation of state enterprises. This may entail a refocus of UN strategies, particularly as it relates to decent work, and sustainable environment as well as leave no one behind.
- Other sectors. A number of sectors were revising or developing their sector road maps, including the Education sector and Industry. The UN and particularly the policy analysis and advisory structures should monitor these developments closely to identify any emerging opportunities and risks.

> **Finding 3**. *The UNDAF lacks the strategic focus required to make it a framework for integrated programming*

As noted above, the UN contributes to 15 outcomes from which it would not be farfetched to conclude that they were largely informed by a desire by UN agencies that their respective mandates should be directly included and reflected therein.

The importance of 'strategic focus' is that it enables the UN to limit its activities to areas where it can pursue its core values and has a distinct comparative advantage. In order to be able to do this, the UNDAF should be based on a specific 'theory of change' that describes the developmental pathway to change. A word search for '***theory of change***' in the UNDAF 2016-2020 does not yield any hits, indicating that it does not have a distinct theory of change model other than the results framework. According to 2017 UNDAF guidelines:

> *"UNDAFs are founded on a clearly articulated, evidence-based theory of change that describes everything that needs to happen for development change to occur. As such, the theory of change allows the UNCT to understand the ways in which the results of the UNDAF results framework relate to one another. It explains the causal relationship between different types and levels of results, and makes explicit both the risks and assumptions that define the relationship. By doing so, it allows the UNCT and its partners to interrogate those assumptions and risks when subsequently developing programmes and projects"* (page 25).

The linkages between the UNDAF and SDGs are not very explicit, in part due to its lack of theory of change. A cursory review of the UNDAF shows that it purports to contribute and align with 15 SDGs (all except SDG 12 and 14). However, the UNDAF outcomes address the SDGs within their own respective silos, rather than complementing each other in a coherent manner. The 2017 UNDAF guidelines assert that "…to effectively support national efforts to achieve the transformative ambitions of the 2030 Agenda, the UN system needs to take an integrated approach to programming that combines actions across sectors and involves all relevant stakeholders. This recognizes links among the SDGs and their normative foundations"[18].

According to one senior UN official *"…what is lacking here is a UN collective vision for the country. This UNDAF tells you what we do in our agencies, but it does not tell you why we are doing it."* Clearly, there is an opportunity for the UN to rethink its contribution to the SDGs, by first interrogating what the government is doing, and articulating how the UN can apply the Mainstreaming, Acceleration and Policy Support (MAPS) approach to support the country to achieve the SDGs in a systematic, evidence-informed and results-focused way (2017 UNDAF Guidelines, p 6).

Finding 4*: Many UN interventions have a humanitarian-development interface, which needs to be more systematically integrated and harmonised in programming*

The integration of development, humanitarian and peace building work is a new concept approach that the UN is adopting as part of its reform agenda, which is now widely referred to as the new Way of Working (NWoW). In the context of Ethiopia, the country has a huge humanitarian footprint, and the bulk of UN funds

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[18] 2017 UNDAF Guidelines, p 9

are delivered in humanitarian work, so much that it makes sense to reflect how this work contributes to overall development.

UNDAF outcomes 3 (Disaster risk management) and 4 (Social protection) very much speak to the nexus between development and humanitarian work. The Result Group members interviewed also confirmed that at the individual UN agency level, the nexus is applied by default and sometimes as joint initiatives between two UN agencies. For example, the Recovery and Resilience joint programme in Somali and Gambela regions focuses on building institutional capacity for Disaster Risk Reduction and resilience and recovery capacity of communities prone to disaster, including IDPs.

There is also much work on resilience and durable solutions that is done under the other Result Groups as will be elaborated in Section 4.2 below. For example, under the WASH outcome 9, there was work being done on climate resilient WASH as well as durable solutions for IDPs through ground water mapping and deep boreholes in drought-prone regions[19].

However, as currently formulated the UNDAF outcomes do not constitute '***collective outcomes***' which by definition can be described as the result that development, humanitarian (and other) actors want to achieve at the end of the 3-5 year period[20]. In addition, this can also be integrated by way of specific indicators that reflect the integration of the **nexus** into the programme of work. While many programme staff interviewed were familiar with the concept of NWoW, there were also others who were not familiar with it. Furthermore, the evaluation also noted that the UNDAF did not address

> "Planning for collective outcomes requires a review of which actor can contribute what capacity to the collective outcome, and agreement on how best humanitarian and development programmes can be sequenced, layered and integrated to best address the most vulnerable people. In all cases, it is about providing assistance to the same – the most vulnerable – households in the same geographical areas."
>
> **Source: OCHA, New Way of Working, p 9**

the development-peace building nexus at all. The geographic location of Ethiopia in the Horn of Africa and its proximity to conflict countries such as Somalia and South Sudan, both of which it shares boarders with, make peace building an important consideration for UN programing.

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[19] Other UN interventions that enhance the nexus include: (i) UN joint programme in Gambella to improve access to justice for refugees and host communities; (ii) UN integrated initiative in Somali region to improve livelihoods of drought affected households and build resilience of vulnerable populations

[20] OCHA, New Way of Working, p 6

Summary of Key Findings on UNDAF Relevance

According to the UNDG guidelines, the criterion for assessing the UNDAF's quality of its relevance and strategic focus, is measured against six specific quality standards using a rating scale of 1 – 5; where a ranking of "5" means that the quality criterion has been fully met; and "1" means that it is not reflected at all.[21]

Table 4: Assessment of UNDAF Relevance

#	Detailed description of quality standard	Ranking	Basis for the assessment
1.	The UNDAF supports national sustainable development priorities, and supports the localization, implementation and monitoring of the SDGs.	3	UNDAF pillars and outcomes have strong alignment to GTP-II, but less explicit linkages to SDG indicators
2.	The UNDAF supports and contributes to internationally-agreed sustainable development goals and regional sustainable development priorities.	3	The UN's collective contribution to SDGs is not explicit.
3.	The UNDAF priorities are underpinned by a theory of change based on available evidence and disaggregated data, including evaluations from earlier programme cycles.	1	The UNDAF lists what UN agencies do individually and lacks explicit theory of change
4.	The UNDAF addresses immediate, underlying and root causes of poverty and inequalities, fosters inclusiveness, and reduces inequalities and discrimination to ensure no one is left behind.	4	UN outputs and indicators are pro-poor and target the most vulnerable
5.	The UNDAF builds upon a holistic and objective country assessment of the current situation, evidence of the UN system's comparative advantage, evidence-based approaches and potential future risks.	3	Weak application of collective comparative advantage led to fragmented outcomes.
6.	The UNDAF adequately considers the likelihood of crisis, instability, conflicts, serious violations of human rights and humanitarian law, and who might be affected.	2	The nexus between development, humanitarian and peace building is not explicit in all outcomes and indicators.

4.2. Effectiveness of UNDAF Implementation and Results Achievement

UNDAF effectiveness and progress towards outcome and output indicators was based on the annual reviews undertaken by Results Groups independently of the evaluation. Their assessments were further corroborated in FGDs with members of the Results Groups. It is noteworthy at this juncture to note that the FGDs were not all inclusive as some of the participating UN agencies did not attend, and in the case of Results Group 1 (Agriculture) and 6 (Health), they did not show up for the FGD. For purposes of clarity and consistency, the

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[21] UNDAF Guideline 2017; Annex 1, p 33

section is divided into two parts; the first covers general findings, and the second is more specific to respective Results Groups.

Finding 5: *UNDAF outcomes and outputs reflect the UN's core values and principlesies*

The UN should reflect its core programming principles grounded in the norms and standards that it is tasked to uphold and promote – leave no one behind; human rights, gender equality and women's empowerment; sustainability and resilience; and accountability.

The UNDAF outcomes and outputs reflect these core principles. According to UNDAF guidelines, '*…as the overarching programming principle for UNDAFs in all country contexts, leaving no one behind requires that the UN system prioritize its programmatic interventions to address the situation of those most marginalized, discriminated against and excluded, and to empower them as active agents of development*' (page 9). Nineteen out of 63 outputs (30%) specifically mention and target vulnerable groups, while the others mention specifically the other programming principles.

Particularly notable, is the fact that for each outcome, there is at least one output that is focusing on building capacity of national institutions, thereby ensuring both sustainability and accountability of the UN results to national priorities. In addition, there are specific outcomes on gender equality and women's empowerment as well as human rights under the governance pillar. In this connection, it is noteworthy that programme staff observed that there were significant changes in the country's landscape which provide increased opportunities to engage more comprehensively on human rights. For example, the government had relaxed some of the restrictive policies and legislation on civil society organisations (CSOs), thus opening up space for more engagement.

With regards to sustainability and resilience, nine of the 15 outcomes[22] have reference to sustainable and resilient products.

Finding 6: *Joint work plans are a collection of individual UN agencies' activities and do not enhance joint implementation, monitoring or reporting*

The UNDAF Results Groups (RGs) were involved in the formulation of the UNDAF and are also responsible, according to their TORs, for joint planning culminating in the joint Annual Work Plan (AWP). In that regard, the RGs developed a biennial joint work plan for 2016 and 2017.

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[22] Outcomes 2, 3, 4, 5, 6,9, 10, 11 and 12.

As a self-starter Delivering as One (DaO), Ethiopia is guided by the Standard Operating Procedures (SOPs) for DaO (Figure 1). However, according to RG members interviewed in FGDs, the joint planning process was mostly done independently followed by one or two meetings to compile and consolidate the work plans. Consequently, the work plans have over a thousand activities listed, which just illustrates the absence of joint planning. In fact, most of the RG lead agency/convenors noted that UN agencies rarely showed up to these meetings, and they had to resort to bilateral meetings to incorporate inputs from respective UN Agencies, Funds and Programmes (AFPs).
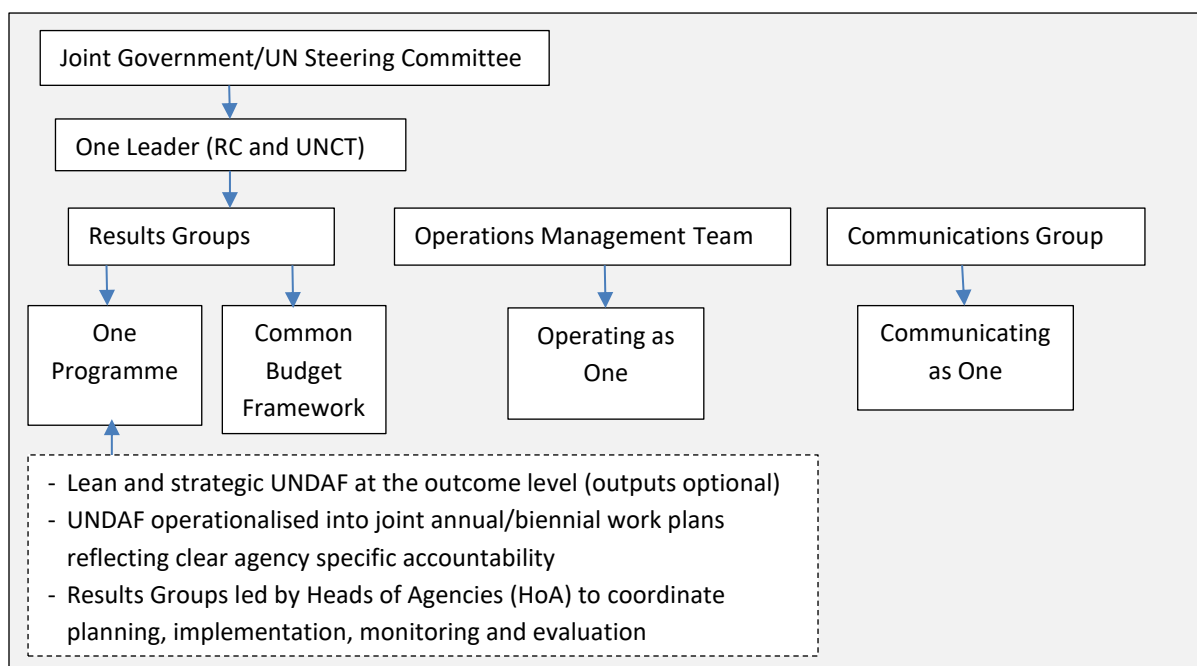
Source: UNDG, Standard Operating Procedures

Figure 1: Programming Framework for Delivering as One

Based on the collective experience of DaO countries, Figure 1 above illustrates some best practice approaches and tools that facilitate coherence and collaboration. However, available evidence suggests that application of these tools in Ethiopia was at best perfunctory, or not at all. For example, as already noted earlier, the UNDAF is neither lean nor focused, comprising of 15 outcomes, 63 outputs and over 300 indicators. The RG convenors are junior level staff, and all of them said they had difficulty bringing all UN agencies to the table. They observed that there was very minimal coordination, and they only ever met twice – first to compile the annual work plans, and secondly to put together the annual reports.

Clearly, a certain level of commitment is required from members of the UNCT in order to implement some of the best practices as illustrated in Figure 1 above, and position the UNDAF as the 'single most important UN planning document"[23] in Ethiopia.

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[23] Report of the Secretary-General: Repositioning the UN development system to deliver on the 2030 Agenda, Dec 2017, p 10

Other tools that may also contribute positively to 'joint' programming are joint programmes. According to a key informant in the Resident Coordinator's Office (RCO), "*while there were a number of ongoing joint programmes, only a few had been developed during this UNDAF cycle*"[24]. The 2017 UNDAF guidelines also note that 'joint programmes can be attractive to funding partners, since the modality provides greater assurance of UN coherence in delivering results' (page 30).

Notably, the UNDAF contains a common budgetary framework. However, many key informants observed that the budgetary framework was initially developed as a wish list. Some of the AFPs, did not provide the resources that they had initially indicated as '***available resources***'. There are many examples pointed out by RG convenors in which some AFPs that are cited as contributors to respective UNDAF outcomes and outputs did not have any activities associated with the outputs. Moreover, the evaluators further noted that the budgetary framework lacked clarity. The rows in the results matrix suggest that planned resources were disaggregated per indicator (implying of course, that these were not collective indicators). However, some RG members did not have adequate clarity whether or how they should link the budget reporting to results. For example, one RG noted that activities may be completed and results achieved, but without corresponding expenditure by the responsible AFP. The RCO said they had clarified this to RG members, but given the frequent turnover of staff and RG focal points, this appears to have remained unclear to some of the RG members that were responsible for reporting.

Finding 7: *The indicator framework does not support effective reporting of progress*

The UNDAF's indicator framework has a number of inherent weaknesses that constrains effective reporting by the RGs. This is even more apparent because the UN agencies generally implement their interventions independently and only submit reports to the RG secretariat/lead agency for compilation into the consolidated report.

(a) *Inconsistent measures*. There are some inconsistences with respect to the unit of measurement for some of the indicators. The following examples are illustrative but not exhaustive:

[24] JP on FGM/C: Accelerating Change; Rights-based Approach to Adolescent and Youth Development; Ethiopia-Kenya Cross Border Integrated Programme; and UN-Rome based Agencies' Action Plan for Ethiopia.

Table 5: Illustrative indicator inconsistences

Indicator #	Indicator, baseline and target	Nature of inconsistence
1.1.4.	Number of farmers (Households, Cooperatives, Unions) who use improved on-farm storage and other post-harvest handling practices **Baseline**: 30 unions **Target**: 7,500 HH; 210 Coops, 45 Unions	Firstly, it is not clear what will be measured: on-farm storage **or** post-harvest handling practices. Secondly, there is no baseline for HH and Coops (is there an assumption of 0 baseline).
8.2.4	Number of children/adolescent/key populations who received testing and counselling and know their result in the past 12 months **Baseline**: 23% **Target**: 90% of HIV infants and children; 90% of adolescents	Firstly the indicator measures the absolute number while the baseline and target are in percentage Secondly, what happens if only testing is received but not counselling Thirdly, there is no baseline and target for key populations

The above examples illustrate some of the challenges faced by RGs for reporting. Consequently, they use narrative information in the results matrix, because of the vagueness of the indicators.

(b) **Ambitious targets**. Many of the outcome and output indicators have national-level targets taken directly from the GTP. While it is clear that the UN contributes to outcome-level results, it is still prudent that the indicator targets are realistic and attributable to the UN; otherwise the causal link between its outputs and outcomes would not be apparent. For output-level indicators however, the UN is fully accountable for their achievement, and therefore these need to be realistic, achievable and consistent with the amount of resources that will be invested. The target for indicator 6.6.3 for example is to increase the proportion of health facilities accessing safe blood supply to 100%. While this may be realistic, its achievement would be out of the UN's control due to other factors.

(c) **Lack of data**. Some of the indicators are impractical to measure. One of the problems was that the baseline data and targets was never established for some of the indicators. A cursory review shows that 15 indicators either have no baseline data or target. While it is not uncommon that some of the data may not have been available at the time of planning, it is important that the UNDAF should be updated when such data becomes available, particularly during the annual review process. In the event such data continues to be unavailable up until the mid-term review, then the indicator must either be removed or revised. The other problem with respect to data is that it is not practical to get that kind of data without a dedicated survey. For example, indicator 5.1: tons of carbon dioxide equivalent reduced. Generally data is either administrative, i.e. government-generated or from independent surveys. It is always prudent to use administrative data, and if it is not reliable, or not available, then it is incumbent on the UN system invest resources to strengthen the national data information system. With regards to survey data, a lot of care needs to be taken in selecting any

sources that are periodical. For example, some surveys are conducted every 5 years or even 10 years – it therefore would not make sense to use these as sources if the programme cycle falls outside these timelines.

Finding 8: *Progress towards results varies across Results Groups and outputs*

As noted in chapter 3 above, the evaluators undertook FGDs with all the Result Groups (RG), except RG 1 and RG 6 which did not show up at the planned time. All RG members that participated said they had challenges reporting against UNDAF indicators. It was noted that the UNDAF was often developed after UN agencies already had produced their individual country programme frameworks. Thus, while in theory the individual UN agency frameworks, have to be aligned with the UNDAF, in practice the alignment was only perfunctory.

Some of the RGs also observed that there was no information sharing among UN agencies. Activities were implemented separately and the RGs only came together to compile the reports. Even then, some of the RG conveners also reported that they had difficulty convening meetings and sometimes had to resort to bilateral engagement in order to get information for the reports. The overall effect is that the reports are very activity-centric and sometimes do not speak to the UNDAF indicators. The progress analysis of UNDAF indicators is in Annex 3.

4.2.1. Result Group 1. Agriculture

The UN Result Group for Agriculture focused on the UNDAF Outcome 1: By 2020 Ethiopia will achieve increasingly robust and inclusive growth in agricultural production and productivity and increased commercialization of the agricultural sector. Based on review of the joint biennial work plan (2016 – 2018), six UN agencies were contributing to this outcome, with FAO and UNDP as the co-conveners.[25] However, analysis of the UNDAF annual reports shows that two of the participating UN agencies (ITC and UNIDO) did not undertake any interventions under this outcome.

UNDAF consolidated reports show significant results, including; (a) distribution of 400 MT of improved seed to 169,000 households, of which 33,490 (20%) are women headed households; (b) establishment of Input Voucher System (IVS), which benefitted a total of 3.5 million smallholder farmers who accessed 4.7 million quintals of agricultural inputs through the system; (c) establishment of the Interactive Voice Response and SMS platform, which benefited over a million smallholder registered callers to obtain real-time agronomic information. In 2017/18, the UN continued support to Small Holder Farmers (SHFs), Pastoralists and Agro-pastoralists (PAP) reaching a total of 448,855 beneficiaries out of who 218,540 SHFs adopted new crop seed varieties and applied improved cropping practices such as Climate Smart technologies, improved agricultural

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[25] FAO, ITC, UNDP, UNIDO, UNWOMEN and WFP

technologies and fishery resources management; while 230,315 PAPs benefitted through livestock feeds and animal health interventions, including Community-Managed Disaster Risk Reduction (CMDRR), developing community investment plans, conducting Agro-Pastoral/Pastoral Field School (APFS) training.

The UN also supported the GoE to develop and implement adopting various agricultural strategies, regulatory frameworks and standards, including notably:
- Camel Milk Value Chain Development Strategy for pastoral areas,
- Resilience strategy and pastoral resilience approach, and
- National post-harvest handling strategy.

The above results do not sufficiently reflect the disaggregated contribution of the UN, and likely reflect the national results achieved under the GTP. However, within their respective programmes, UN agencies contributed to these results, as illustrated by the following examples. The UN supported integration of Climate-Smart Agriculture (CSA) into the current Program Investment Framework (PIF) to MoANR and Ministry of Livestock and Fisheries (MoLF), including through three studies on the integration of CSA in the tertiary education system of Ethiopia, cost-benefit CSA technologies and practices and private sector engagement in promoting CSA. The UN also supported a programme on flood mapping and development of strategies and plans to meet the energy needs of refugees and host communities in Gambela Region, which was reported to have reached 15,000 households.

The UN supported Nutrition Sensitive Agriculture has been promoted through establishment of 75 demonstration gardens at 50 Farmer Training Schools (FTCs) and 25 schools. Capacity building was also provided for 47 Development Agents in the area of household food reserve management, good nutrition practices, including dietary diversity and complementary food preparation. In addition, preliminary analysis on agro-infrastructure in the Agro-Commercial Processing Zone (ACPZ) of the Central-Eastern Oromia Integrated Agro-Industrial Park (IAIP) were also undertaken.

The above are examples of the actual contributions of the UN system, which need to be captured through the UNDAF results, monitoring and evaluation framework. Overall, 14 out of 22 output indicators (64%) were on track. At outcome level, only one indicator has been reported as achieved; there was no data reported for the other 5 indicators in 2016 and 2017. Some key issues for consideration by the RG are noted below.

- **Outcome indicators.** All the six outcome indicators (1.1 to 1.6) were not reported in both years against indicators. The reports for both years have narrative information instead of quantitative data as per the indicator targets. The RG should establish whether these need to be maintained, modified or completely removed depending on data availability. The RG may also need to reconsider indicator 1.5 because there do not seem to be any outputs supporting fisheries specifically.

- **Misreporting:** Mismatch between measuring scale, where the indicator measure is in # and reporting is in % (e.g. 1.1.2). Indicator 1.2.1 has irrelevant information reported: instead of "% increase of value added commodities" as per indicator, the reports narrate about capacity building and investment.

- **Blank data.** The status of indicators should be reported even if no activities were undertaken; there should be no need to leave blank as is the case for indicators 1.2.4 and 1.3.4.

- **Duplication.** The same information was provided for indicators 1.1.4 and 1.3.3 in the first year reporting despite that the indicators are different.

- **Vague indicators.** Indicator 1.4.1 and 1.4.4 are vague and difficult to measure, For example, 1.4.1 "number of rural women accessing integrated agricultural services" is vague and not specific.

4.2.2. Result Group 2. Industrial Development

Result Group 2 is co-convened by ILO and UNIDO, with planned participation of seven UN agencies.[26] According to key informants however, some of these UN agencies did not undertake any interventions, due to lack of resources. The RG focused on the UNDAF outcome 2: By 2020 private- sector driven industrial and service sector growth is inclusive, sustainable, competitive and job rich.

The Government's initiatives to establish small scale industrial clusters across some 900 towns in the country, as well as establishment of Integrated Agro-industrial Parks (IAIP) in the four main regions of the country were reported to be on track. The UN contributed to these national outcomes, to the extent that it supported the government's initiatives. However, a review of UNDAF reports shows that there were no reports against the UNDAF outcome indicators. This by itself is not unusual at the mid-term. However, it was also noted that the targets were national GTP targets, which do not measure specifically the UN's contribution. The issue of 'contribution' and 'attribution' needs to be clarified and standardized across all UN agencies as there were different perceptions about what this entails. In the evaluators' opinion, UN agencies contribute to outcomes in their individual entities, but as a collective, they should have full attribution for their outcomes. This means that the UN should develop outcomes (and indicators) that are not only measurable, but also achievable and realistic. The UN's specific contribution should ideally be captured through its own indicators. UN agencies, individually and collectively undertook significant work, examples of which are illustrated below.

The UN conducted an assessment in 46 Garment and Textile factories to identify social and labour compliance gaps. Ten of the factories were selected and provided technical support to meet the social and labour compliance requirements, and 1,584 workers and managers were trained on labour law, Human Resource Management, Occupational safety and health, grievance handling and soft skills. The UN also undertook a feasibility study for coffee roasting units, including moringa-based Traditional/Herbal Medicines and Herbal supplements policy. In addition, 26,541 entrepreneurs (10,392 female and 16,149 male) were supported with entrepreneurship training, as well as Training of Trainers (TOT) for 30 Small and Medium Enterprises (SMEs) based on the UN's model of "Start &Grow" training toolkit. Entrepreneurship training was also provided for 370 displaced farmer households at Yirgalem town, to help farmers develop the skills and effectively use the compensation fund received from the government for their relocation because of IAIPs. Support was also provided for development of a strategy for Ethiopian Tourism Destination, resulting in

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[26] FAO, ILO, ITC, UNCDF, UNCTAD, UNDP, UNESCO, UN Habitat, UNIDO and WHO

production of Site Maps to delineate the site boundaries, and preliminary studies for legal protection and Site Management Plans. Other pertinent issues and observations are discussed below.

- **Indicators removed.** Some output indicators (2.1.3, 2.2.4, 2.4.3 and 2.4.4) were not reflected in 2016/17 reporting; but indicator 2.4.3 reappeared in the 2017/18 report.
- **Indicator modification.** The target for indicator 2.2.1 on UNDAF document is "10% annual increase", but this was modified to 4% during reporting. The same applies for indicators 2.2.3, 2.2.5 and 2.3.3.
- **Misreporting**. While indicator 2.2.3 required feasibility study to be conducted, the reports refer to value chain and policy studies.
- **Indicator omitted**. Two output indicators (2.1.1 and 2.1.4) were not reported in both years. In addition, some of the indicators not reported in the first year were reported for the second year (2.1.2, 2.2.1, 2.2.2, 2.2.5, 2.3.1, 2.3.2). This makes it difficult to assess cumulative progress.

4.2.3. *Result Group 3. Disaster Risk Management*

Result Group 3 coordinated the results for the UNDAF outcome 3: By 2020, the Ethiopian people, particularly in disaster prone areas are resilient, have diversified sources of income and are better able to prepare, respond to and recover from emergencies and disasters. The UNDAF itself shows nine UN agencies participating,[27] with WFP and UNDP as co-conveners. However, a review of the UNDAF biennial work plan (2016-2018) shows only three UN agencies (IOM, UNDP and UNHCR) with committed funding.

As noted previously, much of the UN work undertaken under this RG was aligned to the NWoW. Some notable and illustrative examples are shown below. The UN undertook assessment of displacement sites in 481 kebeles, 173 woreda and 44 zones to identify the multi-sectoral needs of the communities using the Displacement Tracking Matrix (DTM). In Somali region, a durable solution Working Group for IDPs was established, comprising of regional bureaus, UN agencies and international NGOs and its terms of reference include monthly coordination meetings.

Three Disaster Risk Management (DRM) units (i.e. NDRMC at Federal level and Somali and Gambella DPPB/O) track the Emergency Supplies/Non-Food Items (ES/NFI) stock and needs and shares the data at federal and regional level in Gambella and Somali during regional ES/NFI cluster meetings that are held monthly at the region and twice at federal level. Through this support, the UN distributed 51,601 ES/NFI kits to targeted beneficiaries, comprising 17% men, 18% women, 33% boys and 32% girls.

The UN also supported youth groups from 210 households (130 refugees and 80 host communities) representing 1,155 individuals in Melkadida, Bokolmanyo and Dollo Ado camps and nearby hosting kebeles, and provided them vocational and life skills training. Livelihood support through income generating activities (IGAs) was provided to a total of 1,210 households (800 refugee households and 410 host community)

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[27] FAO, IOM, OCHA, UNDP, UNFPA, UNHCR, UNICEF, WFP and WHO

representing 6,050 individuals in Gambella region; 530 households (400 refugee households and 130 host community) representing 2,650 individuals in Benshangul Gumuz region .

In 2016 alone, through the joint food pipeline of NDRMC and WFP, the UN's relief assistance reached 7.8 million beneficiaries in nine months of distributions. WFP alone distributed 218,671 MT of food and US$ 26,720,913 cash transfer. A further 263,603 MT of food and $3,340,218 cash transfers were provided in 2017. Despite these achievements, some issues that the RG should address to strengthen its reporting are outlined below.

- **No progress report received for first year:** The evaluators were unable to get the progress report for the first year.
- **Broad indicator:** Indicators should be specific and achievable. However, it will make measurement difficult if we specify broad indicators, such as 3.3 which seems to be a global indicator.
- **Inconsistent indicators.** Some indicators with measurement units in % were reported as #; e.g. 3.1.2 and 3.3.3, while in other cases such as 3.3.2, the measurement unit is % but the target is in #.
- **No progress reported:** Progress was not reported for the following indicators: outcome indicators 3.1 – 3.3, and output indicators 3.2.1, 3.2.3, 3.4.2, 3.4.3.
- **Similar indicators.** Some of the indicators seem to measure the same thing, such as 3.3.2 and 3.3.3 and these could be merged because what was reported was closely similar. 3.2.4 and 3.2.5 could also be merged.

4.2.4. *Result Group 4. Social Protection*

Based on review of the 2016-18 work plan, RG 4 involved coordinating the work of six UN agencies[28] focusing on UNDAF outcome 4: By 2020, the GoE uses a social protection systems approach which ensures increased access to a comprehensive package of social protection programmes, interventions and services to poor and vulnerable citizens coping with social and economic risks, vulnerabilities and deprivations.

Some of the UN's notable contributions include the following:
- National Social Protection (SP) platform was established and functional, while also regional SP platforms were reviewed, including Concept Note and Road Map for Single Registry and SP management information system (MIS) was finalized,
- The institutional and coordination framework for implementation of the SP platform was completed and participatory validation workshops were carried out with key federal and regional stakeholders,
- Assessment of existing child protection case management system and procedures was undertaken in five regions - Addis Ababa, Amhara, Oromia, SNNP and Tigray, resulting in the development of a national child protection case management framework and standard operating procedures (SOPs).

However, there is an apparent disconnect between outputs and outcome indicators which brings into question the causal association in the theory of change. Under this RG, it is reported that 8 out of 14 indicators (58%)

[28] FAO, ILO, UNAIDS, UNDP, UNICEF and WFP

were off-track, either because activities were not yet started or just not reported. Only five of the 14 indicators (35%) were on-track. However, the outcome has two indicators, of which one of them (4.1) is on track and the other (4.2) partially achieved. Other specific issues to note are outlined below.

- **Progress duplication.** Indicators 4.1.5, 4.2.2, 4.3.3, and 4.4.2 have duplicate narratives reported in both years. It therefore appears that there was double counting and some level of exaggeration of overall achievement. The second year reporting should reflect only new progress made since the first year reporting; or clearly state '*no new progress made*' instead of repeating what was previously reported.

4.2.5. *Result Group 5. Climate Change*

Results Group 5 brings together seven UN agencies[29] to coordinate their work towards UNDAF Outcome 5: By 2020 key government institutions at federal and regional level are better able to plan, implement and monitor priority climate change mitigation and adaptation actions and sustainable natural resource management.

The RG members engaged in FGDs said that coordination was a challenge, which was beyond the country level, as it was impacted by the different corporate requirements that UN agencies had to adhere to from their respective headquarters. They also noted that some UN agencies had initially pledged to contribute to the outcome but had not done so when implementation started. Despite these challenges, they observed that there were a number of ongoing joint programmes, such as the United Nations Programme on Reducing Emissions from Deforestation and Forest Degradation (UNREDD), although most were global and did not start during this UNDAF cycle.

Out of 28 output indicators, thirteen (46%) were reported on track, 12 were off track (42%), while three were in progress. The outcome has 3 outcome indicators of which one was reported on track and two were off-track. However, the RG also reported notable achievements, including, (i) support for the development and publication of the national Forestry Action Plan, (ii) development of the National Waste Management Strategy and National Short-lived Climate Pollutants Unit. The UN was also supporting the waste management and urban greenery initiatives, thereby contributing to the overall objective to reduce carbon emission.

Some of the reporting challenges observed with regards to the indicator framework include:

- **Omission of indicators**. Eight indicators were not reported for both years (5.1.5, 5.2.1, 5.2.3, 5.2.4, 5.3.4, 5.3.5, 5.3.6 and 5.3.7) and it is not clear whether this is due to lack of data or that the indicators had become irrelevant.
- **Revision of indicators.** While the RG has the prerogative to review and revise indicators, there has to be some consistency. Indicators cannot be changed back and forth from one year to the other as

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[29] FAO, IOM, UNDP, UNEP, UNESCO, UNIDO and WHO

was the case for indicator 5.3.5 and indicators 5.4.1 – 5.4.4. New indicators for output (5.3.8 and 5.3.9) were also added in the second year reporting.

- **Narrative reporting**. There was a lot of narrative reporting against quantitative indicators.

4.2.6. *Result Group 6. Health and Nutrition*

The joint AWP 2016-2018 shows that 7 UN agencies[30] coordinated their work under this RG. The first year report was incomplete except for a few indicators, while the second year progress report did not use the standard UNDAF template.

However, some of the notable results achieved during the first two years include, vaccination of more than 95 percent of refugee children between the ages of 6 months to 15 years; and completion of 17 annual nutrition and health surveys in six regions to monitor the nutrition and health status of refugees. The UN also contributed to national level results, including the following major milestones:

- Ethiopia received validation for Maternal and Neonatal Tetanus elimination from Ethiopia; Somali region was accredited for maintaining polio free status
- A study on equity bottleneck analysis of routine immunization in low performing woredas was conducted. Preliminary findings indicated an increasing trend of immunization coverage in priority woredas through Expanded Programme Immunization, including equity-based planning, supply chain management, and reaching unvaccinated children.
- Somali region was accredited for maintaining polio free status
- Strategies for Integrated Management of Newborn and Childhood Illnesses and Integrated Community-based Case Management of childhood illnesses (IMNCI/ iCCM) were revised; quality transformation guideline for the health sector and hospitals was adopted; and national adolescent health strategy was developed
- A national multi-sectoral coordination team for nutrition was established
- Under the Targeted Supplementary Feeding Programme, a total of 1.1 million children (6 to 59 months) with moderate acute malnutrition and 1.1 million acutely malnourished pregnant and lactating women were identified and provided assistance

4.2.7. *Result Group 7. Water, Sanitation and Hygiene*

Five UN agencies[31] coordinated their work under Result Group 7, with UNICEF and UNOPS as co-conveners. While progress for the outcome indicator was difficult to ascertain due to lack of disaggregation of both baseline data as well as the planned targets, some of the UN's notable results are outlined below.

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[30] FAO, IOM, UNFPA, UNHCR, UNICEF, WFP and WHO

[31] UNESCO, UNICEF, UNHCR, UNOPS and WHO.

By end of 2016, 38.4 percent of primary schools had access to clean water supply, and 86 percent of primary schools were reported to have some kind of latrines. However, only 3.2 percent of schools had access to full package of WASH facilities. According to a 2017 WASH KAP survey, 23 percent of women and 13 percent of men reported that they wash their hands with soap or ash at all the three critical moments (before eating, after defecation / using a toilet and before handling and/or preparing food) during the preceding 24 hours of the survey.

The UN also targeted specifically the refugee population, and in that target group, 75 percent of the camps were above 20 liters per person per day whilst household latrine coverage was on average 57 percent.

Although functional WASH coordination mechanisms were reported to have been established at Federal and regional levels, overall only 40 percent of output indicators (6 out of 15) had made progress greater than 50 percent of planned targets. Five indicators (33%) were reported off-track with progress below planned targets. Some specific issues requiring the attention of the RGs are listed below.

- **Measurement unit**. There were inconsistences in the reporting of some indicators, such as 9.4.1, 9.4.2, and 9.4.3 in which the first year reports progress in % terms and in # terms in the second year. Other indicators, such as 9.3.3, 9.3.4, 9.4.1, 9.4.2, 9.4.3 also have inconsistence of measurement unit.
- **Target modification.** The target for indicator 9.1, is 83%, but it was changed to 61% in the reports. The reports also specifically refer to drinking water only, while the indicator itself is for WASH, which includes sanitation.
- **Adding outcome indicators.** The UNDAF outcome has one indicator (9.1), but an additional indicator surfaced in the 2017/18 report even though it is was not there in AWPs.
- **Progress duplication.** The same narrative was reported as progress for both 2016/17 and 2017/18 for output indicators 9.1.4, 9.2.1, 9.3.1, 9.3.2, 9.3.3, 9.3.4.
- **Vague indicators.** The outcome indicator (9.1) measures '% of populations using safe and adequate WASH services disaggregated by rural and urban areas'. However, the baseline is not adequately disaggregated.

4.2.8.   Result Group 8. Education

The UNDAF joint biennial work plan shows that three UN agencies[32] were coordinating their activities under Result Group 8 to contribute to Outcome 10: By 2020 equitable access created and quality education and training provided to all learners at pre-primary, primary and post primary with a focus on the most disadvantaged and vulnerable children, populations and localities.

While UN agencies achieved some progress from their respective interventions, the challenge of setting national level indicators and targets is apparent. For example, one of the output indicators was to measure

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[32] UNESCO, UNFPA and UNICEF

the '*proportion of education budget allocated for early learning at subnational level*'; but the UN reported in 2016 that it was difficult to get the actual percentage of education budget allocated for pre-primary education at sub national/Regions levels[33].   Overall however, net enrolment rates, and primary education completion rate are reported as improved.

Three of the five outcome indicators were reported as achieved, one was on track and the other was not implemented. At the level of outputs, there are 21 indicators, out of which 11 were on track (52%). Three output indicators were removed and replaced with new ones. Some issues to note are discussed below.

- **Indicator replacement.** While indicators can and should be revised if they are deemed inappropriate, as was the case for indicators 10.2.2, 10.2.3, 10.2.4 and 10.3.1, this should be accompanied by adequate explanation. It is difficult to justify such practice if it is only done at the time of reporting, since it may be misconstrued as cover-up for poor performance.
- **Measurement unit.** Indicators 10.4.1, 10.4.2, 10.4.3 have designed measurement unit as %, while the reporting is in absolute number (#).This presents difficulty for assessing progress.
- **Inconsistency of reporting:** There is inconsistent reporting on the same indicators. For example, indicators 10.1.2 and 10.1.3 provide inconsistent information in the first and second years, where first year performance for 10.1.2 was 60 percent, while it was reported as 45.9 percent in the second year.

4.2.9.   Result Group 9. HIV

The joint biennial work plan lists six UN agencies as coordinating their work under Results Group 9 on HIV[34]. Some key informants observed that this did not reflect the actual reality, because the UN Joint Team on HIV is globally composed of 11 UN agencies (including in addition to the six: ILO, UNDP, UNESCO, UNODC, UN Women and World Bank), with each one having a specific mandate and role. The informants also observed that the work plan had 30 indicators, whereas the global joint programme had only 11 indicators. There was generally lack of data, which made it difficult to measure progress based on all 30 indicators, while also the UNDAF had adopted national targets which could not be achieved by the UN.

Overall however, UN Agencies reported positive progress in various areas. Through UN advocacy and support, the minimum HIV prevention service package was adopted in educational institutions, while also procurement and distribution of HIV protective kits continued. The proportion of at-risk groups, such as people living with HIV and AIDS (PLWHA) accessing Anti-retroviral treatment increased, as did the number of people living with HIV (PLHIV) who received livelihood and income-generating activities (IGA). While other planned activities were reported to have been delayed, some specific issues related to reporting against the indicator framework are outlined below.

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[33] 2016-2017 joint work plan report, p 56

[34] UNAIDS, UNFPA, UNHCR, UNICEF, WFP and WHO

- **Missing indicators**. There was no data reported against 3 outcome indicators (8.1, 8.2 and 8.3) as well as seven output indicators (8.1.4, 8.1.6, 8.1.7, 8.2.1, 8.2.2, 8.4.2, 8.4.4).   The practice of leaving blank spaces is not helpful.
- **Inconsistent measures**. A number of indicators have inconsistent measuring units, such as for example 8.2.3 which provides an indicator to be measured in both % and numbers, while the reporting eventually ended up in % only. There are also cases where the indicator measures a number, but baseline, target and reporting is in %, (8.2.4).
- **Overlapping indicators:** Indicator 8.3.3 provides % of children <15 while 8.3.4 provides % of adolescents 10-19 years, which may potentially result in double counting. Indicator 8.3.2 also broadly refers to % of adults, without specificity about their age range.

4.2.10. Result Group 10. Governance

UN joint work on two UNDAF outcomes under the Governance Pillar was coordinated by Result Group 10. The two outcomes are:
- **Outcome 11**. By 2020, key government institutions and other stakeholders apply enhanced capacities to ensure the rule of law; an efficient and accountable justice system; and the promotion and protection of human rights in line with national and international instruments, standards and norms,
- **Outcome 12**. By 2020, key government institutions and other stakeholders utilize enhanced capacities to ensure equitable, efficient, accountable, participatory and gender responsive development.

This RG seems to have had many challenges in discharging its coordination role. According to FGD information, in 2016, RG members were meeting monthly, then they reduced number of meetings to quarterly and by mid-2017 they had stopped meeting altogether, only to convene in 2018 for reporting. This was rather unfortunate because as noted in Finding 2 above, UN programmes under this Result Groups were more likely to be affected by the ongoing changes in country context, and therefore there was a much greater need for information sharing.

Notwithstanding, through their respective interventions, UN agencies contributed to strengthen access to justice, human rights and democratic participation of all. Some notable and illustrative results are outlined below.

UN supported establishment of legal aid services, with reported beneficiaries of more than 2,235 children, while also child friendly benches were set up in 20 new woredas; and in partnership with the Federal Supreme Court and Ministry of Justice the UN supported a national assessment on justice for children. The National Human Rights Action Plan was launched with UN support, including its translation and publication. Further technical support was provided to the government to establish a standing human rights National Mechanism of Reporting and Follow-up (NMRF) to regional and international human rights mechanisms.

The UN also supported development of elections dispute resolution mechanism, including the draft document which was discussed and endorsed by stakeholders. A high profile national all-inclusive policy dialogue

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platform was established on religious tolerance and peace building, civic participation in governance, and on federalism.

The Results Group should also pay attention to following issues in its reporting:

- **Missing indicators.** Many indicators were not reported in the first year, but some of them reappear in the second year without explanation (11.1.1, 11.1.2, 11.1.6, 11.1.7, 11.2.1, 11.2.2, 11.2.3, 11.2.5, 11.2.6, 11.2.7, 11.2.8). Some of the indicators were also removed and replaced (such as, for example 11.3.2 was replaced with 11.3.3, while 11.3.6 was completely removed). The same is true for output 12, where 12.1.1 – 12.1.5 and 12.1.11 – 12.1.17; and almost all of the indicators for outputs 12.2 and 12.3 were removed.

- **Inconsistences between UNDAF and report.** The wording and formulation of some of the indicators has been varied between the reporting years. For example, in the first year 12.1.5 read "Presence of a national anti-corruption strategy targeting high risk sectors"; but in the UNDAF document as well as second year report it reads "Percentage of audit coverage at federal levels". Similarly, 12.1.3 reported against "% of population reached by civic and voters' education" as per the UNDAF document in the second year; while in the first year the reported indicator was "availability of a robust election-related dispute resolution mechanisms". While Results Groups may change indicators, it cannot be acceptable to remove the indicator in the first year and then bring it back in the second year.

4.2.11. *Result Group 11. Data and Demographic Dividends*

This results group coordinates UN work towards UNDAF outcome 13: By 2020, national and sub-national institutions apply evidence-based, result-oriented and equity-focused decision making, policy formulation, programme design, monitoring, evaluation and reporting.

While the UNDAF shows that six UN agencies [35]initially pledged to contribute to the outcome, but two of them (UNCDF and UNCTAD) did not participate. In the course of implementation however, one UN agency (IOM) has begun to participate under the RG while another agency (UNHCR) has expressed interest and relevance to join the RG in the future.

The outcome has one indicator, which does not have a baseline. While performance can be measured for as long as there are performance targets, the absence of a baseline makes it difficult to track actual development changes over time. In addition, most of the qualitative indicators used at output level are difficult to measure, either due to lack of data or vagueness of the indicators. Nonetheless, the RG reported some notable progress, including support for establishment of functional civil registration and vital statistics system in most woredas in the country; as well as ongoing comprehensive and disaggregated national data and household surveys and census through electronic-based platforms.

Some discrepancies on the indicator framework are noted below:

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[35] UNCDF, UNCTAD, UNDP, UNFPA, UNICEF and UN Women

- **Inconsistent measures.** The outcome indicator is difficult to measure since the measurement unit is in numbers but the indicator itself is qualitative. Also indicators 13.1.1 and 13.2.2 have inconsistent measurement units.
- **Missing baseline data.** There is no baseline data for indicators 13.1 and 13.3.3.

4.2.12. Result Group 12. Equity and Empowerment

The joint biennium work plan lists six UN agencies[36] coordinating work towards two UNDAF outcomes under this Results Group:

Outcome 14: By 2020, increasingly women and girls are protected from violence, HTPs, exploitation, discrimination and are rehabilitated and reintegrated to enjoy and exercise their human rights.

Outcome 15: By 2020, women, adolescents and youth are empowered to influence decisions that concern their life and the development of the country.

The RG members noted that UN agencies were very active although they faced coordinating challenges, particularly as they had to focus on two distinct thematic areas – gender and youth. They also observed that reporting was difficult due to lack of data. Despite these challenges, some notable results were achieved, including:

(a) Support for the establishment of special investigation and prosecution unit to provide specialized services to survivors of gender-based violence; as well as institutional capacity building leading to establishment of platforms for awareness raising and controls of harmful traditional practices (HTPs) at regional and national level. A national data management system was established and tested to help in the generation and dissemination of gender disaggregated data.

(b) Support for life skills and peer education training, reaching over 25,679 (men: 49.2%; women: 51.8%) youth during the first year, and also youth friendly services reaching over 32,439 (men: 45.5%; women: 54.5%) targeted youth.

The RG should take note of the following issues regarding their indicators:

- **Missing indicators. Some indicators are missing in the reports** 14.1.1 (1st year); and indicators 15.2.2, 15.3.2, 15.3.3, in both years.
- **Duplication.** For instance, second year progress reporting of indicator 14.1.2, 14.1.3, 14.2.5, 15.2.3 and 15.3.1 duplicates the first year reports.
- **Measurement unit.** Cases where indicator requires the progress to be reported in %, but the progress has been reported both in # and in %; e.g. 14.1.3 .

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[36] IOM, UNDP, UNFPA, UNICEF, UN Women and WHO

- **Using narrative for quantitative indicators.** This was the case for indicators 14.4.1 and 14.4.2.

Summary of Key Findings on UNDAF Effectiveness

The evaluators' assessment based on the UNDG criteria of five specific quality standards is shown in Table 6 below.[37]

Table 6: Assessment of UNDAF Effectiveness

#	Detailed description of quality standard	Ranking	Basis for the assessment
1.	**Results-focused programming**: (a) The UNDAF supports the use of evidence and disaggregated data, including data collection and analysis from national institutions, partners, civil society organizations and marginalized groups. (b) The UNDAF applies a results-based management approach, such as through clear results chains, and has a plan for monitoring and evaluation.	2	a)The UNDAF M&E framework has inherent design weaknesses, including inconsistence of indicators, and national-level targets that do not measure the UN's contribution b)The UNDAF lacks a clear theory of change model
2.	**Risk-informed programming**: (a) The UNDAF identifies risks and defines risk management to ensure timely and effective programme delivery. (b) The UNDAF rigorously assesses and mitigates social and environmental impacts to ensure that the country programme does not cause harm to people and the environment.	4	The UNDAF has specific outcomes on environmental sustainability
3.	**Development, humanitarian and peace building linkages.** The UNDAF demonstrates coherent response across development, humanitarian and peace building agendas, underpinned by human rights, in crisis and post crisis settings: (a) UN joint multi-dimensional conflict and risk analysis was undertaken, where appropriate. (b) The CCA considers multi-hazard risks, human rights, humanitarian and peace building dimensions in a holistic way, as well as existing coping and response capacities and resilience systems. (c) When appropriate for the context, the UNDAF has collective outcomes articulated based on joint analysis and multi-year planning, building on the	3	UNDAF has outcomes that enhance the nexus, but it is not explicit in all outcomes and outputs There was no comprehensive CCA done Linkages between UNDAF and HRP are weak

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[37] UNDAF Guideline 2017; Annex 1, p 35 {The rating scale is: 1 – 5; where a ranking of "5" means that the quality criterion has been fully met; and "1" means that it is not reflected at all}

	comparative advantages of a diverse group of partners. (d) In contexts where UNDAFs and HRPs exist side by side, direct links are made between the UNDAF and Humanitarian Response Plans/Refugee Response Plans to ensure complementarity, sequencing of development and humanitarian activities and compatibility of results frameworks		
4.	**Coherent policy support.** (a) The UNDAF enhances policy coherence at the country, regional and multilateral levels, leading to action (policies and programmes) that build upon and reinforce each other. (b) The UNDAF promotes issue-based approaches to support joint/interagency programming.	3	UN outputs and indicators are pro-poor and target the most vulnerable
5.	**Partnership.** (a) The UNDAF considers the development partnership landscape within countries to tap the full potential of partnerships, including with the private sector. (b) The UNDAF considers the development of trans boundary national partnerships at the sub-regional, regional and global levels, including through promoting the use of South-South and triangular cooperation.	3	UN agencies have strong partnerships with national counterparts and donors However, no joint resource mobilization was done to leverage on strong partnerships

4.3. Efficiency of UNDAF Implementation and Coordination

In order to respond to the TOR, efficiency has been assessed from a perspective of the UNDAF's capability as a platform for DaO as well as for obtaining and use of resources. The evaluators were also cognizant that the UNDAF was formulated fully in line with DaO principles as noted therein: '*in order to operationalise the DaO approach, the UNCT has developed a strong DaO governance framework in line with the UNDG Standard Operating Procedures for DaO…"(p 15).*

Finding 9: *The UN has made progress towards harmonising operations*

In line with the UNDAF in Ethiopia for 2016-2020, the Operations Management Team (OMT) and BOS Committee developed the BOS 2.0 2016-2020 with the objective of applying a comprehensive approach to the UN's business operations in Ethiopia with the aim of continuing to enhance quality, effectiveness and efficiency of joint common services across UN System Agencies in Ethiopia[38].

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[38] Progress Report: Business Operations Strategy (BOS) 2.0

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Through implementation of the BOS 2.0, the OMT contributed to increased coherence and harmonisation of UN operations, including notably the following:

o UN Organizations were able to save US$ 2,460,254 from using common Long Term Agreement (LTAs), conducting joint training such as the Certificate in Public Procurement (CIPS), PRINCE 2 Project Management and Competency-based Interview Skills (CBIS), as well as advocacy for an arrangement to re-claim the value-added tax (VAT).

o As a result of joint training in CIBS by 36 programme and operations staff, savings of US$ 125,532 were realised.

o LTAs for vehicle insurance and printing services were finalized.

o Recruitment time for staff and consultants was reduced through the CBIS training which was attended by 71 UN staff from 21 UN agencies.

o In order to strengthen Delivering as One (DaO), the UNCT endorsed the introduction of the Model Award Framework in June 2017 to acknowledge individuals and teams on the basis of their efforts, performance and accomplishments in inter-agency work.

o In September 2017, the report on the Macro Assessment valid until 2021 was approved by the Ministry of Finance and Economic Cooperation (MoFEC).

Based on key informants, one of the factors that contributed to successful implementation of the BOS 2.0 culminating with enhanced coherence of UN operations was the provision of dedicated secretariat to the OMT by the UNRCO. The OMT Secretariat is a part of the RCO under the Operations pillar of the Delivering as One (DaO) structure. The Secretariat has three staff members: 1 international staff (P 2) and 2 national staff (SB 4).

The evaluators noted that the UNCT was fully committed to funding the BOS 2.0 (Table 7). The OMT work plan outlined its funding requirements for the four-year UNDAF period as $1,780,930, and based on the funding received in 2016-2017, the OMT's budgetary requirements are on track.

Table 7: Resource requirement for the BOS 2.0

	2016-17 ($)	2017-18 ($)	2018-19 ($)	2019-20 ($)	Unfunded 2017-20
Total budget requested	420,880	552,650	381,450	425,950	1,360,050
Total received from UNCT	444,600				
Total mobilized from DOCO	198,580				
Carried forward from 2016-2017					(220,300)
Funding gap 2017 - 2020					**1,137,750**

Source: BOS 2.0 Progress Report, August 2018

The evaluators also noted however that out of the 28 members of the UNCT, 23 were currently participating in the BOS 2.0. According to the OMT, the UN agencies that do not participate in any / some of the BOS arrangements had valid reasons or limitations:

- **IFAD** - their operations (HR, Procurement, M&E etc.) are implemented by the Government of Ethiopia,
- **UNODC** - there was no country representative appointed, while also their local staff did not yet have formal contracts,
- **World Bank** and **IMF** - they are not part of UNDAF and do not participate in the common UN system,
- **ITC** – It is basically a non-resident agency (NRA), with only two local staff in-country,
- **UNISDR -** Also a NRA with one international and one national staff.

Finding 10: *Weak financial reporting by Results Groups does not reflect actual performance*

The reporting template provided by RCO contains guidelines. However, there was no clarity and harmonised reporting by different Results Groups, which may be due partly to staff turnover within the RGs. In the FGDs different members of the RGs said they were not sure what data was required for financial reporting.

For example, in one Group they did not know whether financial data should include only project expenditures or whether to include administrative expenditures such as staff salaries and other operational costs. It was also noted that the format and content of the data reported in the first year was different from that reported in the second year. It is therefore difficult to assess and compare the financial performance of RGs based on the available data.

Nonetheless, the data seems to indicate that resource mobilisation targets were not achieved and weak delivery of available resources (Table 8). With regards to resource mobilisation targets, based on the planned budget as contained in the joint biennial work plan for 2016 – 2018, the total planned budget was US$883,610,072 while actual available resources over the two year period was $753,719,668 (85.3 percent of budget), leaving a funding gap of $129,890,404 over the two-year period.

Table 8: UNDAF Financial data for 2016 - 2018

Results Group	Outcome	2-year budget*	Available resources		Expenditures USD	
			2016-17	2017-18	2016-17	2017-18
1: Agriculture	Outcome 1	63,082,388	30,514,108	7,740,070	-	12,222,396
2: Industrial Development	Outcome 2	25,625,902	20,975,902	4,661,563	590,547	1,156,578
3: DRM	Outcome 3	225,819,269	86,603,470	-	-	601,328,115
4: Social Protection	Outcome 4	14,499,293	12,974,293	2,412,959	14,499,297	4,236,594
5: Climate change	Outcome 5	38,868,395	38,152,442	33,451,894	2,963,512	2,808,054

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6: Health and Nutrition	Outcome 6	253,233,197	188,541,668	132,087,831	-	56,858,924
	Outcome 7				-	11,643,483
7: WASH	Outcome 9	148,981,946	78,682,975	1,399,524	50,750,000	35,815,000
8: Education	Outcome 10	62,043,627	49,326,418	12,717,209	2,963,512	2,808,054
9: HIV/AIDS	Outcome 8	15,304,817	9,718,167	7,006,550	2,402,884	4,807,046
10:Governance	Outcome 11	6,496,857	5,766,857	1,872,122	6,701,083	3,703,073
	Outcome 12				9,850,000	No data
11: Data and Demographic Dividend	Outcome 13	13,261,779	10,433,091	1,963,064		No Data
12: Equality and Empowerment	Outcome 14	16,392,602	10,833,491	5,984,000	1,473,000	1,824,467
	Outcome 15					
	TOTAL	**883,610,072**	**542,522,882**	**211,296,786**	**92,193,835**	**739,211,784**

* Data from Joint biennial work plan

Although incomplete, the data in table 8, suggests that the UN delivery during the first two years of UNDAF implementation was $830.3 million against a planned budget of $884.6 which is a delivery rate of 93.9 percent. However, if we remove RG 3 as an outlier, due to the high expenditure reported in the second year, the combined delivery was $228,997,504 against planned budget of $657,790,803 which is a delivery rate of 34.8 percent. Since most of UN expenditure under RG 3 is humanitarian, this means the UN has low delivery on development work.

> **Finding 11:** *The UN has adequate structures for coordinating UNDAF implementation and DaO*

The context of DaO in Ethiopia started when the country decided to adopt it as a self-starter. This is important to acknowledge because it means different things to different people. For some, it means that as a self-starter, it is not bound to fully comply with all the principles outlined in the SOPs for the DaO Pilot Countries. For others however, it means that since Ethiopia had an option not to 'deliver as one' but chose to, then it has to demonstrate its full commitment and compliance with the SOPs.

This discussion is beyond the scope of this evaluation. And so is the discussion about the complicated nature of UN DaO arising from the way in which Agencies, Funds and Programmes (AFPs) operate with their headquarters and with their donors. What is important to note is that Ethiopia is a DaO self-starter and therefore aspires to enjoy the benefits thereof, including increased effectiveness from enhanced coherence and harmonisation of procedures, as well as from reduced duplication and transaction costs.

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The UN coordination structure has all the relevant and essential structures required for UNDAF coordination and DaO (Figure 2). This is not to say that the structures work effectively, but to acknowledge that the structures are appropriate for UNDAF coordination.
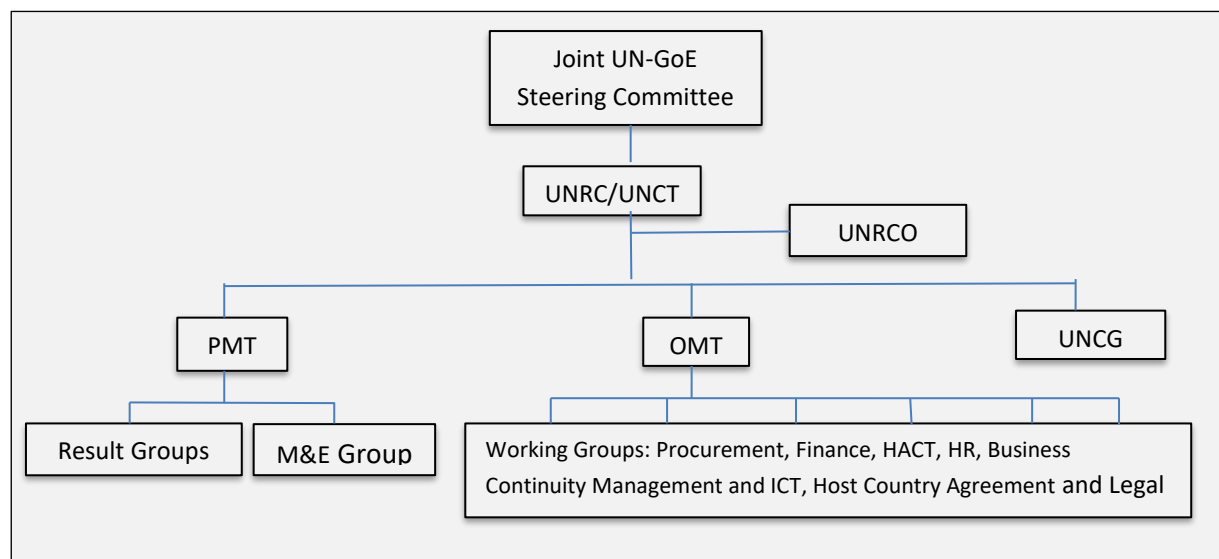
Figure 2: UNDAF and DaO Coordination Structure

Joint UN-GoE Steering Committee. The High-level Steering Committee (HLSC) was established 'to provide strategic direction and oversight of the UNDAF process throughout its implementation cycle'[39]. It is co-chaired by the State Minister of MoFEC and the UN Resident Coordinator (UNRC), with its membership comprising representatives of GoE, UNCT and development partners rotating annually.

The HLSC last met in June 2017 to approve the joint biennium work plan and has been dormant since. According to key informants, some of the reasons why it has been dormant include:

- Its membership also attend other coordination, such as the Development Assistance Group (DAG) and Sector Working Groups, which overwhelmed them,
- The idea of rotational membership was not conducive for continuity,
- There were too many changes of personnel both in GoE and in the UNCT during the 2-year period.

UN Country Team. The UNCT comprises of the Heads of Agencies (HoA) of all UN entities accredited to Ethiopia under the leadership of the UNRC. It oversees the development and implementation of the UNDAF and the work of all inter-agency working groups and results groups. The UNCT meets weekly. The evaluation noted however that the UNCT did not prioritise the UNDAF in its routine, and did not adequately hold the

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[39] UNDAF 2016 – 2020, p 45

inter-agency working groups and results groups to account. For example, the practice in earlier days for the PMT and OMT to report back to the UNCT in alternate sessions was discontinued in 2017.

Programme Management Team (PMT). The PMT is the senior programming coordination structure, which ensures a commonality of approach across the UN system as well as adherence to DaO principles. The chairperson of the PMT is required to report regularly to the UNCT on progress towards UNDAF results[40].

According to information obtained during FGD, the PMT members were overwhelmed with too many meetings, and they did not see the UNDAF's added-value, mainly because of its structure, which they felt was a '*listing of what UN agencies do, and not what the UN should do together*'. In addition, they also noted that the UNCT did not require accountability, and this contributed to general perception that UNDAF was not that important.

The PMT exercises oversight of the Results groups and the M&E Working Group, but they only call on them when it is time to produce annual work plans and joint annual reports. Besides this, they have no other formal interaction with the Results Group or M&E Group specifically for the UNDAF.

Operations Management Team (OMT). The OMT brings together the Operations Managers of UN entities in Ethiopia. Although it did not report regularly to the UNCT, the OMT has been effective in enhancing coherence and harmonising operations as noted in Finding 8 above.

UN Communications Group (UNCG). The purpose of the UNCG is for the UN to 'communicate as one'. Although the UNCG is functional and supported by the Communications Specialist in the UNRCO, it faces funding challenges because UN agencies are not always willing to contribute funds for joint communications and events. Key informants noted that, activities in the UNCG work plan are funded by contributions, and events such as UN Day Commemorations are hosted by UN agencies on a rotational basis. However, when one agency is hosting, other agencies tend not to contribute or participate.

The UNCG produces a monthly electronic newsletter. In its work plan, it was planned that one UNCG member should be assigned to each Results Group and attend its meetings, but this has not worked so well, firstly because the Results Groups hardly ever met, and secondly because of the reluctance of the UNCG members.

Result Groups. The UNDAF states: "in line with UNDG SOPs and best DaO practice, UN agencies will form Results Groups to ensure greater focus and foster synergy between and among results areas to support realisation of anticipated end results".[41]

According to FGD, it was noted that the UNDAF Results Groups were not operating as intended. They only met twice to compile their respective UN agency work plans into a "joint" work plan; and also to compile their respective agency reports into a "joint" report. Almost all the results Group conveners said they had difficulty

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[40] Ibid. p 46

[41] UNDAF 2026 – 2020, p 46

even bringing together members to a meeting. In their view, the UNDAF was not seen as useful because it did not provide joint funding, and therefore there was hardly any joint programming by UN agencies. They also felt that the UNDAF structure had too many outcomes, outputs and indicators, which made it very difficult to coordinate.

M&E Working Group. The M&E working group is accountable to the PMT for M&E, including during planning and design of the UNDAF and joint work plans, as well as reporting. The evaluators noted however that the M&E Group did not provide much quality assurance, especially for UNDAF design and reporting, which had basic errors in formulation of indicators and targets. On its part, the M&E Group felt that their comments during UNDAF design were not taken seriously, leading to indicators of poor quality.

Other Working Groups. The UNDAF provides for the establishment of other working groups such as the UN Gender Theme Group, Joint UN Team on HIV and the Joint Policy Advisory Team (JPAT).

The Joint UN Team on HIV and Gender Theme Groups were merged under the Results Group 9 for HIV and Results Group 12 for Equity and Empowerment respectively. According to available evidence, the Joint Team on HIV had been dormant due to some internal challenges within the responsible UN agency, but it was revived through the merger into Result Group 9. In the evaluators' opinion, the mergers were appropriate because the existence of the two groups was unnecessary duplication.

With respect to the JPAT, it was not yet functional at the time of the evaluation, although plans were at advanced stage to establish it. While cautioning against establishment of more structures, which often overwhelm staff, the evaluators are of the opinion that the JPAT will be a useful to provide value-addition to UN agencies. Some key informants observed that one reason why the UNDAF was regarded as a burden was because the RCO is '*only demanding from UN agencies (joint plans, joint reports, etc.) but does not give back anything*'. With a functioning JPAT, the RCO will be able to provide 'joint' policy analysis, which should add value to UN agencies' programming processes.

It was noted that there was also a Youth Task Force which focused on youth employment:

> *Backed by the UN Youth Empowerment and Innovation Fund, an Employment Task Team composed of a lead and participating UN Agencies will undertake joint initiatives that provide greater focus on employment creation, as well as developing entrepreneurship and business development skills of targeted youth[42].*

According to the Task Force terms of reference, "all (UN) agencies will designate focal person (and alternates) for the task force". This means that the Youth Task Force is a de facto Results Group on youth empowerment, and at some level duplicates the work of Results Group 12. In the evaluators' opinion, there are two options available to the UNCT. The first one is to split Results Group 12 into two – one for Gender

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[42] Concept Note: The Youth Employment Pillar under the UN Youth Innovation Fund, p 3

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and the other for Youth. However, this will add on to the burden of participating UN agencies. The second option is to merge the Youth Task Force into Results Group 12.

> **Finding 12:** *The UNRCO has adequate capacity and structure to support UNDAF coordination and DaO*

The RCO is the institutional mechanism for effective functioning of the UNRC, and also provides coordination support to UNDAF structures, including support to the UNCT and its working groups. The RCO in Ethiopia is quite big relative to other countries (Figure 3), with a staff complement of 14 staff, of which six are international and eight national staff. Two positions of Development Effectiveness Specialist and SDGs Support Officer were vacant at the time of the review; as was also the UNRC.
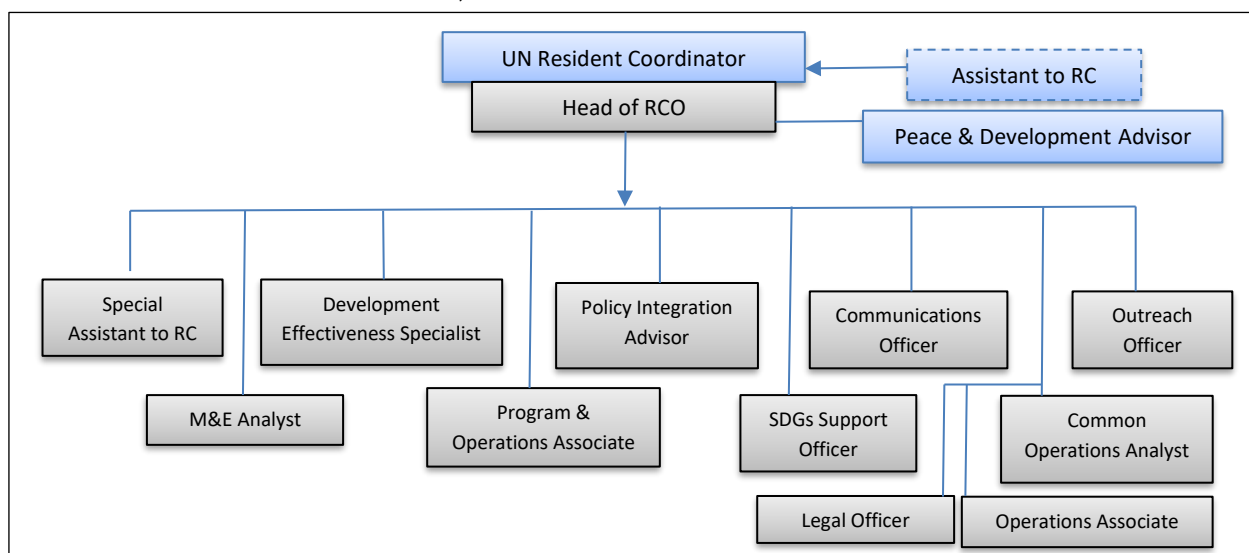
Figure 3: RCO Structure

In its coordination support role, the RCO provides dedicated secretariat support to the PMT and Results Groups, the OMT and UNCG. In the evaluators' opinion, the RCO is quite well positioned and structured to provide adequate support for UNDAF coordination and DaO.

In addition to coordination support, the RCO also provides analytical and policy support through the following staff functions.

- The Head of Office provides leadership of the RCO team, and is the DaO focal point for UN System in Ethiopia, including engagement with Government and support to the HLSC. Also responsible for advising the UNRC/UNCT on the strategic agenda, facilitating joint resource mobilization initiatives, and chairing the JPAT, supports HLSC, UNCT and coordination with DAG.
- Peace and Development Advisor (PDA) - provides support to the UNRC/UNCT on conflict analysis in the context of the UN's peace building agenda.
- Policy and Integration Advisor – provides support on joint policy analysis, including nexus issues.

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- SDGs Support Officer – support to SDGs sensitisation and coordination, as well as implementation of the UN external outreach strategy, and focal point for specific outreach initiatives and Youth Task Force activities.
- Development Effectiveness Specialist - support to inter-agency programme collaboration, including joint programme (JP) initiatives and management of JPs. Also provides support to inter-agency capacity building efforts for advancing DaO initiative, as well as support to missions/visits of the RC and partnership building.

Summary of Key Findings on UNDAF Efficiency

The evaluators' assessment of UNDAF efficiency below as per UNDG's quality standards, where a ranking of "5" means that the quality criterion has been fully met; and "1" means that it is not reflected.[43]

Table 9: Assessment of UNDAF Efficiency

#	Detailed description of quality standard	Ranking	Basis for the assessment
1.	The UNDAF underpins UN transparency and accountability to the beneficiaries of assistance, including through clear mechanisms for accountability.	4	The UNDAF accountability framework is sufficiently detailed, despite weak indicators.
2.	The UNDAF considers available resources and realistic resource mobilization targets, accompanied by a resource mobilization strategy/action plan.	2	The resource mobilization targets were ambitious and were not achieved.
3.	The UNDAF demonstrates a complementary and coordinated approach by the UN, including consideration of joint programming and common positions on situations of concern.	2	The UNDAF is fragmented and has not encouraged joint programming.
4.	The UNDAF's proposed/planned programming activities are cost-efficient, providing "value for money."	3	To the extent that some interventions enhance long term solutions.
5.	The UNDAF adequately explores opportunities for harmonizing joint communications and business operations to support UNDAF programming.	5	The BOS 2.0 provides effective framework for harmonizing operations

4.4. Sustainability of UNDAF Results and Processes

This section addresses the evaluation criteria for sustainability, and assess the probability that UN processes and results would be likely to continue after the end of programme funding. In the context of Ethiopia, the question of sustainability has even more importance given the country's vision to transition towards middle income status. This means that the country should establish the necessary systems and infrastructure for

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[43] UNDAF Guideline 2017; Annex 1, p 36

basic social service delivery, and hence systems development and capacity building take on increased importance in such a context.

> **Finding 13:** *UNDAF implementation through government structures both at federal and regional levels promotes national ownership and capacity building*

The UN uses the national implementing modality (NIM) at federal and regional levels. In practice, this means that when UN projects are developed, relevant government line Ministries and departments are engaged as the implementing partners (IPs), and funds are either transferred directly to the coordinating line Ministry or through the regional Bureaus of Finance and Economic Development (BoFED) to the sector Bureaus.

An analysis of the UNDAF outputs shows that a majority of them (almost all) seek to strengthen national technical capacity or systems. The output indicators however do not seem particularly designed to measure the UN's contribution towards this capacity building. To the extent that UNDAF indicators and targets are direct GTP targets, they reflect more of direct service delivery results. In the UNDAF the UN noted that "…making the indicators less ambitious, especially at the outcome level, in order to allow for better attribution of outcomes to UN programme work" (p 16).

Based on key informant interviews, it was noted that the UN lacks a shared understanding of the 'contribution' versus 'attribution' theory of results-based management. Most discussants have the generalised notion that the '***UN is accountable for outputs, but only contributes to outcomes***'[44]. While this is not necessarily incorrect, it should however be taken in its appropriate context. In the evaluators' opinion, as individual entities, indeed UN agencies only contribute to UNDAF outcomes, but as a collective, the UNCT should be accountable for the delivery of planned results at the outcome level. This requires the UN to develop SMART (Specific, Measurable, Achievable, Realistic and Time-bound) indicators. The UNCT may wish to elaborate and advise a specific position and instruction for Results Groups in order to harmonise this.

As noted in Chapter 2 above, there was no data collection undertaken at regional level. However, some of the regional stakeholders participated at the mid-term review presentation of preliminary findings that was undertaken at the end of the primary data collection. They observed that coordination between the government and the UN at regional level was weak. Given the country's geographic spread, as well as the diversity of issues between the regions, the UN may consider setting up regional coordination offices. This will contribute to strengthen UNDAF coordination since regional governments are one of the major implementation partners.

> **Finding 14:** *The UN has not fully harnessed the potential impact for sustainable development that can be realised through the New Way of Working (NWoW)*

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[44] This is especially true for those UN agencies whose corporate policies are to adopt UNDAF outcomes in their country programme documents

FINDINGS OF THE MID-TERM REVIEW

As already discussed under Finding 4, many UN interventions by their nature already reflect the development-humanitarian interface. In a working paper in 2017, the UNRCO mapped some of the areas where UN work enhanced the nexus, and noted that, for the first-time longer-term investments were included in the Humanitarian Requirements Document (HRD), drilling deep boreholes, the construction of large water schemes, and professionalizing the management of these systems.

While these are commendable efforts, key informants also narrated other examples which illustrate that more can be done to leverage humanitarian work to develop more long-term solutions. For example, one key informant noted that Ethiopia has experienced annual cholera outbreaks in the Awash River basin for more than two decades, but still the UN's response has focused on the health dimension of the problem, rather than on the longer term water infrastructure aspects of the solution.

Increasingly, the GoE and its development partners are beginning to recognise the unsustainable nature of continued emergency response that is devoid of long term solutions. A draft UN working paper reviewed by the evaluators noted that:

> "Current development financing practice is underpinned by the principle of investing to achieve maximum efficiency and high population density capture. Development-investment decisions are largely governed by political and economic imperatives; whereas humanitarian response focuses on the most vulnerable population irrespective of their geographic location or their development potential. This raises pertinent questions: Are equity and efficiency really mutually exclusive? Is there a way for the two concepts be constituted to embrace the 'Leave No One Behind' principle of the 2030 Agenda for sustainable development, while ensuring the value-for-money formula? Acknowledging that there is a need to have shared understanding of equity and efficiency issues in order to ensure development investments produce better results in an efficient manner. The focus on achieving national target in aggregate, must not exclude the most vulnerable and most-at-risk people. It is about ensuring that the development investments have an approach of universal coverage, including refugees and internally displaced people".

As noted by some key informants, the UN has limited resources, while also development funding was declining globally. In light of this, the major question for the UN is therefore to determine where and how it can add value and make a difference in pursuit of its core values of 'leave no one behind'. Should the UN focus on provision of direct basic social services to the most vulnerable, or should it strengthen advocacy to ensure more inclusive and equitable development? What are the **collective outcomes** that can bring UN agencies to contribute together? These are some of the emerging questions that underpin the new way of working; and they were aptly summarised in the draft working paper as follows:

> "The new way of working is about making: (a) strong investments to prevent predictable shock, such as disease outbreak in the face of acute water crisis; and (b) investments to better prepare for potential humanitarian emergencies through building community capacities – e.g. putting in

place insurance scheme, provision for a systematic consumption for small scale farmers etc. - and system strengthening that is about building and enhancing national surge capacity".

Summary of Key Findings on Sustainability

The following assessment based on UNDG criteria used the rating scale of 1 – 5; where a ranking of "5" means that the quality criterion has been fully met; and "1" means that it is not reflected at all.[45]

Table 10: Assessment of UNDAF Sustainability

#	Detailed description of quality standard	Ranking	Basis for the assessment
1.	**Capacity development**: (a) The UNDAF supports the capacity development of national and subnational institutions, civil society organizations and other stakeholders, including agencies and bodies in charge of statistics and data utilization. (b) The UNDAF provides for the systematic assessment of capacity needs and assets to inform capacity development strategies.	4	UNDAF outputs address capacity development of national institutions and establishment of national systems. There is no evidence of capacity needs assessment, which is reflected by lack of data for reporting.
2.	There are explicit links to national plans to ensure UNDAF results respond to national priorities.	5	UNDAF outputs complement national priorities
3.	The UNDAF recognizes different programming contexts and diversity among UN agencies, and considers options for operational modalities accordingly.	5	Interventions reflect UN agency programmes.
4.	The UNDAF supports and encourages innovation, learning, and knowledge gathering and transfer.	3	Evidence suggests that agencies did not go outside their usual way of working.

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[45] UNDAF Guideline 2017; Annex 1, p 36

V. GOOD PRACTICES & LESSONS LEARNED

In this chapter, the authors lay out some of the good practices and key strategic lessons from the mid-term review of the UNDAF. A number of good practices and lessons have been highlighted throughout the analysis, but here, only the more significant ones are further highlighted as a foundation for the recommendations that will follow.

5.1.   Good Practices

5.1.1.   Alignment with national priorities

As noted on page 13 above, the UNDAF outcomes are directly aligned to the GTP-II priorities, which in itself is a requirement for an UNDAF. In addition, the UN adopted the national indicators as per the GTP, which enables it to use national data to track and measure its performance while also providing the opportunity to strengthen national information management systems where such data is lacking. It is noteworthy however, that while the adoption of national indicators is commendable, UNDAF targets should be formulated such that they enable the UN to measure its attributable results at outcome level.

5.1.2.   Joint programming

The UNCT in collaboration with the UNCT in Kenya established a cross-border programme.[46] The objective of the programme is to reduce vulnerability and increase the resilience of communities affected by conflict and other recurrent shocks. This is a good practice with potential to enhance the 'nexus' issues in both countries, as well as replication potential in other border areas.

Although not always considered as UNDAF implementation, UN agencies have developed a number of bilateral joint initiatives through area-based approaches. Some notable examples where two or more UN agencies work together include Climate Resilience WASH, Integrated Health and Nutrition Extension, as well as Recovery and Resilience.

The UNDAF outcomes and outputs reflect the UN's core principles of leave no one behind; human rights, gender equality and women's empowerment; sustainability and resilience; and accountability. Nineteen out of 63 outputs (30%) specifically mention and target vulnerable groups, while the others mention specifically the other programming principles.

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[46] Croos-Border Integrated Programme for Sustainable Peace and Socio-Economic Transformation: Marsabit County, Kenya and Borana/Dawa Zones, Ethiopia.

5.1.3. Coordination and harmonising operations

As a DaO country, the UN has fully adopted the joint annual work plans in place of individual UN agency country programme action plans. This is a good practices which contributes to enhanced coherence and reduction of overlap. This practice needs to be further strengthened by ensuring that Results Groups do proper joint work planning, and not compilation of work plans that are done separately.

The UN has also successfully harmonised its operations through the BOS 2.0. This has resulted in cost savings as discussed in Chapter 4 above, as well as harmonising procurement, including taking the lead in the development of Long Term Agreements (LTAs) for common procurement covering six countries in the Eastern and Southern Africa region.[47]

5.2. Lessons Learned

Lesson 1. To become the effective One Programme for the UN, there should be commitment and ownership of the UNDAF at all levels

UN agencies have a corporate obligation to align their work with the UNDAF. There are some systemic challenges at the level of UN agencies' corporate headquarters that constrain harmonisation at country level. However, the GoE and the UN decided to be a self-starter DaO, and accordingly decided to adopt the standard operating procedures for DaO countries, of which the UNDAF is the central planning document. The expected benefits of working together cannot be realised unless there is commitment at all levels to work together through the UNDAF. Such commitment should be demonstrated throughout the UNDAF process. During formulation and design, UN agencies should demonstrate a willingness to look beyond their individual mandates and focus on outcomes that define developmental change for target populations as a result of UN collective work. During implementation, UN agencies should demonstrate their commitment by looking beyond agency funding, and participating in more joint programming. UN agencies should also commit to report on collective results that demonstrate the UN's contribution to development change. This commitment should also translate into a shared understanding and definition of terminology for UNDAF programming, including by making it mandatory criteria for individual performance appraisals.

GOOD PRACTICES & LESSONS LEARNT

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[47] According to the BOS Progress Report, Ethiopia led the development of 7 LTAs out of 11, page 5.

Lesson 2. Demonstrating the UN's value-added requires its collective performance to be measured through specific indicators

Structurally, the UNDAF's monitoring and evaluation framework is sound, with indicators, baseline data and targets. However, the notion that the UNDAF should adopt GTP targets makes it difficult for the UN to clearly measure its performance and demonstrate its added value.

There is therefore an overarching need to develop a shared position with regards to the question of attribution versus contribution. The general assumption that the UN is not accountable for UNDAF outcomes presupposes that those outcomes are shared by other contributing entities outside the UN. However, the UN's partners including government and donors have their own respective programme frameworks, which articulate their own outcomes. The government is accountable for performance on GTP outcomes. The fact that the UN

> **"Since UNDAF Outcomes are the UN's contribution to national development goals, UNDAF outcomes should be attributable to the UNCT"**
>
> **RBM Handbook, p 8**

develops partnerships with government in order to realise its outcomes should not be taken to mean that the government also has singular focus on the same outcomes. As a collective, the UN is an organisational entity, whose performance should be held accountable for its planned results. In their individual capacities, UN agencies are accountable for performance at output level, but collectively they should be accountable for UNDAF outcomes.

Lesson 3. Integrated joint programming requires the UNDAF to be strategically focused with an explicit theory of change

Collective UNDAF best practice captured through UNDG guidelines suggests that it is more effective and easier to coordinate an UNDAF with no more than 3-5 outcomes. With 15 outcomes, the current UNDAF not only looks fragmented, but also encourages UN agencies to settle into their respective silos and avoid working together. Apart from increasing the workload for programme staff who have to participate in several Results Groups, the structure also rendered coordination counterintuitive, where the outcomes require that you work separately, while reporting collectively. In addition, the mandate centric focus also made it difficult to come up with an explicit theory of change for the UNDAF, because already the starting point was already fragmented.

Lesson 4. Programme staff fail to see the UNDAF's added value if it does not support and enhance joint resource mobilisation

Despite that the UN has realised significant cost and time savings by developing and implementing the common Business Operating Strategy (BOS 2.0), programme staff working within the Results Groups said that the single most important constraint was lack of joint resources for UNDAF implementation. There was a sense that UN agencies compete for scarce resources, and have no appetite to work together in the

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absence of joint funding. At a more global scale, perhaps it can also be said that partial implementation of DaO through the One Leader and One Programme may not realise intended results without concurrent establishment of the One Fund. This remains to be seen when the anticipated reforms for strengthened RC system are rolled out next year.

Lesson 5. UN interventions can have more lasting impact by enhancing the humanitarian-development nexus

Several examples demonstrate how the impact of UN interventions can be increased from a perspective of cost efficiency as well as programmatic when long-term solutions are integrated into humanitarian work. The UN has a large humanitarian footprint in Ethiopia, given its recurrent droughts and other humanitarian emergences, while on the other hand funding is becoming scarce in light of increased priorities around the world. It is therefore imperative that the UN should develop more lasting solutions, particularly for predictable emergencies.

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VI. CONCLUSIONS & RECOMMENDATIONS

This chapter provides a summary of the main conclusions of the mid-term review, and the evaluators' recommendations for the short term for the UNCT's consideration during the remaining two years of the UNDAF, and long-term for consideration in the next UNDAF.

6.1.   Conclusions

In the two years ending June 2018, the UN in partnership with the GoE, implemented the UNDAF 2016 – 2020 based on its joint biennial work plan 2016 – 2018. While individual UN agencies had some notable results, the Results Groups had difficulty reporting these results in the context of, and within the framework of the UNDAF indicator framework.

The UN formulated and developed the UNDAF 2016 – 2010 in the context of DaO as noted in the UNDAF document (page 15). However, implementation of the UNDAF fell short of what would be required in a DaO approach, despite the establishment of relevant coordination infrastructure such as Result Groups among other mechanisms.

Through the BOS 2.0 the UN successfully harmonised its operations and realised considerable cost savings as well as efficiencies in several other areas, including recruitment and common services. In addition, at leadership level, the UNCT was quite effective, although the position of UNRC became vacant towards the end of the two-year period. Furthermore, the UNCT established and effectively funded an adequate UNRCO to provide dedicated support for UNDAF implementation and coordination as well as policy and analytical support to the UNRC and UNCT.

However, UNDAF implementation was not as effective due to multiple factors, which can be conveniently grouped into two categories - its structure and commitment. With respect to its structure, the UNDAF has 15 outcomes grouped into five pillars, as well as 63 outputs and over 300 indicators. In the first instance, the five Pillars by themselves constitute a strategic priority area, which could quite realistically be formulated as an outcome. In that connection, the addition of outcomes under the pillars implies creation of subordinate or intermediate results, which probably only serves to further fragment the UNDAF. Secondly, as observed by many UN senior management and programme staff, the number of outcomes were too many, and only served to emphasise and compartmentalise UN agencies into their mandate-centric silos. Finally, the number of outputs and indicators rendered the UNDAF unfriendly for coordination, and hence the programme staff viewed it as burdensome. It did not help that there was also no explicit theory of change model for the UNDAF as a One Programme. A theory of change would help to elaborate the role of contributing UN agencies in the overall strategy, thereby enhancing opportunities for joint programming and collaboration.

Above all else, there was a seeming lack of commitment at all levels towards the UNDAF. Even among UN senior management, there was no ownership of the UNDAF, with most of them characterising it as a listing of what UN agencies do separately as opposed to what UN agencies intend to do together.

Nonetheless, the UNDAF was very closely aligned to the government's priorities as articulated in the GTP-II. On its part, the government was quite happy with the UNDAF structure, and looked at it as comprehensive and a one-stop compendium of UN agency work. Clearly, the government's view of the UN is through the sectoral lens of UN agencies rather than as a collective and integrated entity. The UN's advocacy work to position itself as a DaO is well cut out.

There is therefore potential to increase the UN's impact, if it is accepted that DaO increases effectiveness. Furthermore, while many UN interventions already contain a certain level of humanitarian-development interface, this nexus was not explicitly integrated as programming approach. Rather, it was apparent in specific outputs, such as for example in DRM and WASH interventions.

The UNDAF's indicator framework also presented challenges for programme staff. In the first instance, the indicators were too many for effective coordination. For example, as noted by one Result Group, the global framework for HIV indicators has 11 indicators while the UNDAF has over thirty. In addition, the indicators adopted national GTP targets and thereby not amenable for measuring UN performance.

Based on review of this evaluation terms of reference, the UN is aware of these challenges, and would like to use the mid-term review as an opportunity to refocus and adjust. The overarching question is how much can realistically be changed in the remaining two years of implementation. Two important issues should inform this decision; (1) the government does not planning a major shift of its priorities, and to the extent that the UNDAF should align to the GTP, the broad priority areas are a given, (2) UNDAF planning is a time consuming process, and takes anywhere between 12 – 18 months to formulate from scratch. The UNCT should consider the scope of changes in that light. It is with this in mind that the following recommendations are made.

6.2. Recommendations

The following nine recommendations include both strategic and operational considerations that the UNCT should decide on for the remaining period of UNDAF implementation as well as for the next UNDAF. These recommendations are not intended as an alternative, but rather as additions to what the Results Groups have recommended through their annual reporting.

Recommendation 1. The UNRC/UNCT and GoE should revive and reactivate the HLSC. The HLSC should also consider abolishing the system of rotational membership. In order to enhance the 'nexus', the GoE/UN may also consider including the National Disaster Risk Management Commission in the HLSC.

Recommendation 2. The HLSC should consider and make the following decisions to enhance UNDAF implementation and UN results in the remaining period of UNDAF implementation:

    a) Acknowledge that the current UNDAF structure and content has not been conducive for Results Groups to undertake joint programming, implementation and reporting against indicators,

    b) Results Groups in collaboration with the PMT and M&E Group should make necessary changes through the joint AWP, including:

        (i) Revision, removal and addition of UNDAF outputs,

        (ii) Revision, removal and addition of UNDAF outcome and output indicators.

Recommendation 3. The UNCT should give specific directions and instructions to ensure that the next UNDAF is considerably inclusive and simplified. This may include:

    a) The next UNDAF should be informed by a UN-led comprehensive common country assessment (CCA),

    b) The next UNDAF should have outcome-level results only, with outputs articulated in the joint AWPs,

    c) The next UNDAF should contain no more than 5 collective outcomes that enhance the UN's development, humanitarian, human rights and peace building agenda.

Recommendation 4. The UNCT should commit to strengthen UNDAF implementation and its use as the principal planning document for their respective country programme. This commitment should include at a minimum:

    a) Ensuring that UNDAF implementation is included in individual performance appraisal for key staff (e.g. PMT staff, senior programme staff),

    b) Ensuring that every UN agency contributes in at least one joint programme or joint initiative.

Recommendation 5. The UNRC/UNCT should take necessary measures to establish the One Fund by enhancing joint resource mobilisation. As a starting point, the UN may leverage on specific joint initiatives or flagship programmes such as for example:

    a) Joint UN low-land strategy,

    b) Joint UN initiative on resilience and reducing vulnerability and inequality.

Recommendation 6. The UNRCO should simplify the UNDAF reporting template (Figure 4);

    a) to make it more user-friendly, and

    b) to adequately reflect and report performance linked to the UN's core principles and standards, including reporting on SDGs. The structure of the template may be in two parts, including a narrative section and matrix.

Section A: <narrative in word format – this section should provide targeted questions, with prescribed word limit as in the examples below>
1. List the key outputs delivered in this reporting period such as: a) Laws, policies, strategies, plans developed b) Trainings conducted, disaggregated by region, gender, etc.
2. Describe how these outputs contribute to the SDGs?

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a) Identify the specific SDG goal and indicators							
b) Etc.							
3. Describe how the results will be sustained after the intervention.							
4. Etc.							
Section B : <matrix format in word or excel format – this section should only report against the indicator and target as illustrated in example below>							
Indicator	**Baseline**	**Target 2020**	**2016 - 17**	**2017 - 18**	**2018 - 19**	**Cumulative**	**Remark**
# of woredas with access to potable water	10	40	5	10	15	30	On track
Availability of climate smart (CS) strategic plan	Not available	The CS strategic plan will be prepared & implemented	Draft prepared	Draft validated	Draft endorsed by MoANR	Plan under implementation	Achieved
Etc.							

Figure 4: Proposed UNDAF Reporting Template

Recommendation 7. The UNRCO should develop an online UNDAF training module for all UN staff. The module should be developed along the lines of the mandatory Basic Security in the Field Manual, with prescribed validity of up to 3 years. The UNCT should commit to ensuring that the training is mandatory.

Recommendation 8. The UNCT should ensure that programme staff are not too overwhelmed with coordination work by limiting and merging some of the coordination platforms with Results Groups that have similar focus, such as for example the Youth Task Force.

Recommendation 9. The UNCT should consider establishing Regional Coordination Offices. The UN may consider piloting these in regions where there is already larger presence of UN agencies, such as Somali and Amhara regions.

ANNEX 1   DOCUMENTS REVIEWED

1.   Terms of Reference: Operations Management Team.
2.   Business Operations Strategy (2016 – 2020).
3.   Progress Report: Business Operations Strategy (July 2018).
4.   Growth and Transformation Plan: Vol 1 – Main Text (May 2016).
5.   Growth and Transformation Plan II: Vol. 2 - Policy Matrix (July 2016).
6.   Growth and Transportation Plan II: Annual Progress Report 2015-2016 (April 2017).
7.   Guidance Note for UNDAF Results Group Secretariats on Review of 2nd UNDAF Year 2017-2018.
8.   New Wa of Working: Advancing Implementation Opportunities in Ethiopia (GoE, 2017).
9.   High-level Notes on New Way of Working: Speeches (Jan 2018).
10. High-level Retreat (2017); Linking Humanitarian and Development Interventions.
11. Humanitarian-Development Nexus in Drought Response as it relates to Human Mobility in Ethiopia.
12. The Need for a New Way of Working to address predictable humanitarian needs (July, 2018).
13. Issue Paper on the Humanitarian-Development Nexus in Ethiopia.
14. Joint GoE-RC/HC Mission Read Out (March 2018).
15. Report of High-level Mission to Somali Region.
16. Strengthening the Rule of Law and Human Rights for Sustainable Peace and Fostering Development (June 2018).
17. GoE-UN Breakfast Meeting on Climate Resilience: WASH (March 2018).
18. World Humanitarian Summit: Commitment to Action.
19. Ethiopia One UN Country Results Report for 2016 -2017.
20. UNDAF Joint Work Plan 2016 – 2018.
21. Annual Progress Reports for UNDAF Results Groups.
22. Cross Border Integrated Programme for Sustainable Peace and Socio-Economic Transformation: Agreement Framework.
23. UN Youth Fund Action Plan for 2018.
24. Mid-term Review of GTP II [Amharic version].
25. UNDG: UNDAF Guidance, 2017

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ANNEX 2   INDIVIDUALS INTERVIEWED (INCLUDING INDIVIDUAL AND FGDs)

S.No.	RG	Name	Organization	Designation
1	**PMT**	Vineenzo Vinci	UNICEF	OIC Chief Social Policy
2		Getachew Adugna	FAO	National M & E Officer
3		Anna Parim	UNW	Deputy Representative
4		Kristine Hambrouce	UNHCR	Ass. Rep. Programe
5		Ambe Laura	UNESCO	AU Volunteer
6		Rekha Shrestha	RCO	Policy Advisor
7		Varsha Redkar-Palepu	RCO	Head of UNRCO and Senior Policy Adviser
8	**OMT**	Saman Mastiaga	UNHCR	OMT Co-chair
9		Marti	UNRCO	
10		Yehalu Fisseha	UNRCO	
11	**RG 2: Industry**	Asegid Adane Mebratu	UNIDO	Program Officer
12		Olivia Ya Gao	UNIDO	Assistant/Intern
13		Selamawit Alebachew	UNDP	Program Specialist
14	**RG 3: DRM**	Temesgen Berisso	UNDP	Programme Analyst (DRM & Resilience Building)
15		Ezgi Meles Tecleab	WFP	Programme Officer
16		Rasha Elalin	UN-WOMEN	Humanitarian Specialist
17	**RG 12: Equality and Empowerment**	Yelfigne Abegaz	UN-WOMEN	NPC
18		Esete Berile	UN-Women	Coordination Officer
19		Winta Ermias	UN-Women	EVAW Specialist
20		Etseriwot Eguale	UN-Women	EVAU Program Officer
21		Muthoni Kahuho	UNESCO	Intern
22		Ambe Laura	UNESCO	AU Volunteer
23		Tsehay Gette	UNFPA	Program Officer
24		Ellen Alem	UNICEF	Gender and Development Specialist
25	**RG 4: Social Protection**	Hannah Haaij	WFO	Social Protection & Gender
26		Getachew Berhanu	UNICEF	Social Protection Specialist
27	**RG 5: Climate Change**	Ababu Anage	UNDP	National Climate Change Specialist
28		Deribe Gurum	UNHCR	E & E Officer
29		Kwesi		
30	**RG 7: WASH**	Jorge Alvarez-Sala	UNICEF	WASH Manager & Specialist
31	**RG-8: Education**	Samuel Asnake	UNESCO	
32		Rahel Yegrashewa	UNICEF	Education Specialist
33	**RG 9: HIV**	Hind Hassan	UNAIDS	Fast Track Advisor
34		Yayeh Negash	UNICEF	Health Specialist
35		Muluwork Befekadu	UNESCO	NPO-CSE
36		Seblewongel Abate	WHO	HIV-NPO
37	**RG 10: Governance**	Anand Chand	UNHCHR	HRO
38		Afework Fekadu	UNDP	Governance

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S.No.	RG	Name	Organization	Designation
39		Tsega Gebremeskel	UN Women	Governance & Leadership
40		Marti Romero	UNHCR	Senior Program Officer
41		Zeleka Paulos	UNICEF	Social Policy Specialist
42		Aderaw Genetu	UNESCO	Information
43		Ellen …..	UNICEF	Gender Specialist
44	**RG 11: Data and**	Vincenzo VINCI	UNICEF	OIC Specialist
45	**Demographic**	Teshome Yeshambel	UNFPA	Program Specialist
46	**Dividend**	Marti Romero	UNHCR	Senior Program Officer
47	**UNRCO**	Getachew Dibaba	UNRCO	Communications Specialist
48		Sansculotte-Greenidge, K.	UNRCO	Peace and Development Advisor
49	**M & E Team**	Berhanu Alemu	UNDP	M & E Specialist
50		Esete Berile	UN Women	Coordination Office
51		Dinksew Taye	UNRCO	M & E Analyst
52		Tarmo Heikkila	UNRCO	
53	**UN Agency**	Akpaka Kalu	WHO	WHO representative
54		Nwanneakolam Vwede-Obahor	UNHCHR	Regional Representative
55		Louise Chamberiain	UNDP	Country Director
56		Njeri Ramau	UNDP	PMU Team Leader
57		Prossy Namale	IOM	Migration Policy Support Officer
58		Eriasafu Lubowa	UNFPA	M & E Specialist -IUNV
59		Victor Rakoto	UNFPA	Deputy Representative
60		Behailu Gebremedhin	UNFPA	M & E Officer
61		Clementine	UNHCR	Country Representative
62		Kristine Hambrouce	UNHCR	Assistant Resident Rep
63	**Donors**	Erik Habers	EU	Minister Counsellor, Head of Operation
64		Moreten Heide	Royal Norwegian Embassy	Counsellor, Head of Development Cooperation
65		Tsigie Alemayehu	Royal Norwegian Embassy	Senior Program Officer
66	**Government**	Yonas Getahun	MOFEC	Director ,UN Agencies, CRGE Facility and Regional Economic Cooperation Directorate
67		Solomon Tesfaselase	NPC	Director of Development Projects Monitoring
68		Mr. Bogale	MOI	State Minister
69		Mulumebet Tilahun	MOE	Project M & E Team Leader
70		Yoseph Abera	MOE	Senior Expert

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S.No.	RG	Name	Organization	Designation
71		Mohammed Abubeker	MOE	Director of Adult Education
72		Mesfin Kebede	MOH	Case Team Leader
73		Habtamu Abelneh	MOH	Officer
74		Kalkidan Adamu	FEACC	Planning Team Leader
75		Girma Worku	FEACC	Director

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ANNEX 3   UNDAF Performance Matrix

The UNDAF performance is measured against the planned four-year targets (2016-2020). Green represents performance >50% at mid-term; yellow depicts performance between 40-49% at mid-term; and red indicates performance of <39% by mid-term. The grey assessment indicates 'not assessed' due to insufficient data or mismatch or reporting scale.

Indicator	Baseline	Target 2020	1st year Progress	2nd Year Progress	2 year Cumulative	MTR Assessed
Outcome 1. By 2020 Ethiopia has achieved robust and inclusive growth in agricultural production, productivity and commercialization of the agricultural sector.						
1.1. Total major food crop (cereals, pulses & oil seeds) production disaggregated by farmer type (Quintals/hectare)	Total: 251.05 million; Smallholder farmers: 241 million; Commercial farms: 10million(2012/2013)	8% annual increase	Narrative reporting	Narrative reporting	Narrative reporting	⬤
1.2. % annual increase in crop production and productivity	Production: 5.3% (2012/13)	8% annual increase	Narrative reporting	Narrative reporting	Narrative reporting	⬤
	Productivity: 9.1% (2012/13)	8% annual increase	Narrative reporting	Narrative reporting	Narrative reporting	⬤
1.3. Agriculture, value added (% of GDP)	40% (2013/2014)	5% annual increase	Narrative reporting	Narrative reporting	Narrative reporting	⬤
1.4. Volume and value of export of agricultural products.	USD2.3 billion (2013/14) Value	TBD (GTPII	No target	No target	No target	⬤
1.5. Increase in livestock and fisheries production and productivity	30% of Ag GDP (2013/14) or 16% of GDP	10 % annual increase	Not reported	Narrative reporting	Narrative reporting	⬤
1.6: % pre and post-harvest crop losses reduction on key commodities	Pre-harvest: 30%	Pre-harvest: 3% annually	Not reported	Narrative reporting	Narrative reporting	⬤
	Post-harvest: 15-20%	Post-harvest:10% increase annually	Narrative reporting	Narrative reporting	Narrative reporting	⬤
Output 1.1: Farmers and pastoralists have strengthened technical capacity and skills to adopt improved farming practices and inputs for increased production and productivity.						
1.1.1. Number of farmers and pastoralists , agro-pastoralists (men and women) households in using enhancing technology by type (fertilizer, improved seeds, pesticides)	15,200,000 households (hhs) (farmers + pastoralists): Improved seed: 3.1m quintal; Fertilizer: 1,273,000tons/year	6% annual increase	3,822,264	448,855	4,271,119	🟢

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1.1.2: Number of farming and pastoral households and communities applying climate smart agriculture practices	TBD	3% annual increase	Not reported	Narrative reporting	Narrative reporting	◯
1.1.3. proportion of HHs that practice homestead gardening	5500 households	5%	11,686	43,190	54,876	🟢
1.1.4 Number of farmers (HH, co-ops, unions) who use improved on farm storage and other post harvest handling practices	30 unions	7,500 HH, 210 coops; 45 unions	2870 HHs, 32 coops & 302 unions & coops.	16 coops, 13995 HHs	16,865 HHs, 48 coops, 302 unions	🟢
1.1.5. Number of HHs benefiting from irrigation schemes (million farmers)	NA	30,000 additional households	1,201,496	25,920	1,207,496	🟢
1.1.6. Number of Farmers Training Centers (FTCs) demonstrating improved post-harvest management technologies and practices	0	70	120	18	138	🟢
Output 1.2: Farmers and different value chain actors have strengthened technical capacity and skills to adopt inclusive value chain approaches in the commercialization of selected agricultural commodities.						
1.2.1. Percentage increase of value added selected commodities	500 households	5% annual	Narrative reporting	Not reported	Narrative reporting	🔴
1.2.2. Proportion of farmers (disaggregated by sex) switched to high value commodities	2000 households	5% annual increase of high value products	Not reported	41,904	41,904	🟢
1.2.3. Percentage of private agro-processing/ business investment in selected commodities	5	4% increase in annual level agricultural investment	Not reported	Narrative reporting	Narrative reporting	◯
1.2.4. Percentage increase in proportion of marketed	NA	3% annual increase of agricultural production earning	Not reported	Not reported	Not reported	◯

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selected agricultural commodities						
1.2.5. Number of farmers/coops linked with buyers through contractual agreement and linked with other remunerative markets	270 primary cooperatives and 30 unions	405 primary cooperatives and 45 unions, 10 women SACCOs	3 women groups & 31 youth groups	4 associations, 40 fish coops, 3 women based coops	50 groups/coops/ associations, 31 youth groups,	🔴
Output 1.3: Federal and regional institutions have strengthened capacities to plan, deliver and monitor agricultural services including financial services.						
1.3.1 Total number of smallholder farmers, pastoralists and semi-pastoralists in selected areas benefiting from agricultural extension services	Total: 11.66 million: 10.88 Smallholders; 469,000 Pastoralists:(30% female; 10% youth) (2012/13)	11.66 million (10.88 SMHs, 489000 pastoralists, (30% F,10 Youth)	27, 244	Narrative reporting	27,244	🔴
1.3.2.Number of DAs and Subject Matter Specialists (SMS) with improved technical skills and knowledge to provide better services to farmers on selected priority crops and irrigated agriculture	36,813	40,000	19,500	947	20,447	🟢
1.3.3.Number of farmers with increased access to market information by SHFs	157,643	200,000	1,000,000	Not reported	1,008,471	🟢
1.3.4.Amount of loan (and other savings products including savings/deposits) provided by cooperatives and MFIs to SHFs	NA	100 Mill Birr per year (500 Mill birr in total); 18.5 billion (ETB	No status report	Not reported	Not reported	🔴
1.3.5 Number of farmers and agro-pastoralists involved in integrated pest management (IPM) technology packages	1,400 households	14,000 households	4,168	10,000	14,168	🟢
1.3.6: Number of agricultural strategies,	6 policies/ proclamations and 40 strategies/ regulations/ guidelines have been developed/	6 more - Horticulture, Livestock Fertilizer	5 strategies/ guidelines developed 4 strategy documents and 1 guideline during the reporting period	14 strategies/ guidelines developed	24	🟢

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regulatory frameworks and standards developed	revised in collaboration with ATA and MoA	Blending, Commercial Farm				
Output 1.4: Vulnerable groups, particularly women, girls, youth and targeted pastoralist communities have increased access to productive resources and community demand driven economic and social services.						
1.4.1: Number of rural women accessing integrated agricultural services	21232	23 232	24,082	3382	27,464	🟢
1.4.2: Number of rural female headed households with access to market for their products	2,486,630	3,733,391	14	180	194	🔴
1.4.3. Number of institutions and communities advocating for women and girls' economic rights.	TBD	4 women associations and 8 Women SACOs	78 women received trainings	117 women received various trainings	195 women received various trainings	🟢
1.4.4. Number of households in project kebeles with access to selected public services by type of service	1.9m Households	2.8m Households	3.5 million	275	3,500,275	🟢
1.4.5: Number of targeted pastoralist households participating in IGAs	300	800	413 women received trainings on IGAs	400 started IGAs	400	🟢
Outcome 2: By 2020 private- sector driven manufacturing and service industry sector growth is inclusive, sustainable, competitive and job rich						
Indicator	**Baseline**	**Target 2020**	**1st year Progress**	**2nd Year Progress**	**2 year Cumulative**	**MTR Assessed**
Indicator 2.1: Share of manufacturing sector in the GDP	14.2% (MOFED 2013)	22.8	Not reported	Not reported	Not reported	⚪
2.2:Share of the service sector in the GDP	46% (MOFED 2013)	GTP II	Not reported	Not reported	Not reported	⚪
2.3: Share of employment in the manufacturing industry sector	7.2% (Labour force survey 2013)		Not reported	Not reported	Not reported	⚪

2.4: % Share of manufacturing exports out of merchandize exports	13.4	25	Not reported	Not reported	Not reported	⬤
2.5: % share of manufacturing in GDP	4%	8%	Not reported	Not reported	Not reported	⬤
2.6: Income generated from tourism	USD 633,765,875 (2014)	TBD	Not reported	Not reported	Not reported	⬤
Output 2.1: Micro, Small and Medium Scale Enterprises (MSME's) have increased and expanded access to innovative, inclusive, and client-oriented financial products and services.						
2.1.1. 2.1.1: No. of MSMEs with access to new financial products	0	100	Not reported	Not reported	Not reported	⬤
2.1.2: No of targeted financial institutions which have innovative and gender responsive financial products for MSMEs	0	4	Not reported	**3**	**3**	🟢
2.1.3. % of population with access to financial services (men, women, youth and migrants)	8% (Household Consumption Income and Expenditure Survey)	GTP II	Indicator removed	Indicator removed		⬤
2.1.4 Number of innovative financial products offered by financial institutions.	0	5	Not reported	Not reported	Not reported	⬤
Output 2.2: Priority manufacturing sectors identified in the GTP are more inclusive, job-rich, productive and competitive in regional and international markets						
2.2.1: No of men, women and youth employed in manufacturing sector	350,000	10% annual increase (140,000 new jobs in 4 years)	Narrative reporting	Not reported	Narrative reporting	⬤
2.2.2. Number of sectors at national level meeting social and labor standards.	1	4	Narrative reporting	Not reported	Narrative reporting	⬤
2.2.3. No. of feasibility studies of current and emerging industries completed.	1	6	Narrative reporting	Financial part not done, but environmental & social impact assessment done.	Narrative reporting	⬤
2.2.4. No. of cities and human settlements that have introduced integrated	0	4	Indicator removed	Indicator removed	Indicator removed	⬤

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spatial plans for industrial zones and parks.						
2.2.5. No. of pharmaceutical manufacturing enterprises certified for compliance to international GMP standards	4	9	Narrative reporting	Not reported	Narrative reporting	⚪
Output 2.3: Private sector enterprises have improved skills, knowledge and technological capacity for increased productivity and competitiveness.						
2.3.1 No. of institutions that receive accreditation as per established quality standards.	1	3	Not reported	Narrative reporting	Narrative reporting	⚪
2.3.2. Occupational safety and health institute established	0	1	Not reported	No institute established yet, but training provided for individuals	Narrative reporting	🔴
2.3.3. Number of entrepreneurs (disaggregated by sex) with strengthened business knowledge, skills and capacity	23,000 (EDC 2014) Women 7,785 Men 15,215	300,000 (150,000 Men 150,000 women)	26,911	90	27,001	🔴
2.3.4. Number of entrepreneurs (disaggregated by sex) provided with investment advisory services	Men 2,168 Women: 2,359	80,000 entrepreneurships (Men: 40000 Women:40000)	896 entrepreneurs (466 female and 430 male)	728 (356 Women owned enterprises)	1624	🔴
2.3.5 Number of private sector support giving institutions with improved knowledge, skills and technical capacity	3 (IDP Progress report 2014)	6	Narrative reporting	10 (much of descriptions)	10	🟢
2.3.6: Industrial information system in place/established/ functional	0	1 fully functional system	1	Narrative reporting	1	🟢
Output 2.4: Improved services and products and enabling environment for an expanded and sustainable tourism sector						
2.4.1: No. of new tourism destinations operational	0	5	Narrative reporting	Narrative reporting	Narrative reporting	⚪

2.4.2: No. of tourism service centers operational in selected regions	1	5	Narrative reporting	Narrative reporting	Narrative reporting	⬤
2.4.3. No of tourism (heritage) sites protected and promoted.	DDG Achievement Project	4 World Heritage Sites	Indicator removed	Indicator back and Narrative	Narrative reporting	⬤
2.4.4. Number of tourist inflows	629,050 (2014)	1 million	Indicator removed	Indicator removed	Indicator removed	⬤

Outcome 3: By 2020, the Ethiopian people, particularly in disaster prone areas are resilient, have diversified sources of income and are better able to prepare, respond to and recover from emergencies and disasters.

Indicator	Baseline	Target 2020	1st year Progress	2nd Year Progress	2 year Cumulative	MTR Assessed
3.1: Disaster Preparedness Index (DPI)[1].	5	8	No report received	Not reported	Not reported	⬤
3.2: Proportion of beneficiaries targeted for emergency assistance that receive timely food and non-food assistance [4]	70%	75%	No report received	Not reported	Not reported	⬤
3.3: Global acute malnutrition rate (GAM)	10-12% (2014)	< 10%	No report received	Not reported	Not reported	⬤
Output 3.1: Enhanced capacity of households and communities in disaster prone areas to diversify livelihood opportunities, and invest in natural resource management						
Indicator 3.1.1. Number of kebeles in disaster prone areas able to create community assets.	260	1500 (40-50%)	No report received	865	865	🟢
3.1.2: Percentage of assisted households that have created productive assets. [5]	66%	90%	No report received	280,000 households	280,000 households	Target in %; reported in #
3.1.3. Number of woredas with Disaster Risk Profile and multi-sectorial DRR plans.	308 Woredas	558 Woreda	No report received	Narrative reporting	Narrative reporting	🔴
Output 3.2: Capacity of national and sub-national institutions and partners to effectively anticipate and respond to hazards of emergencies enhanced.						
3.2.1. Number of DRM unit at national and sub-national level with effective, comprehensive, gender sensitive and multi-	National 0 Regional 8 and woreda 65	National 1, Regional 11, woreda 718 (CB and it is GTP 2 target and UN agencies can	No report received	Not reported	Not reported	⬤

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hazard and multi-sectorial early warning system and contingency plans		make little contribution)				
3.2.2. Number of DRM units at federal and regional level with effective commodity tracking and reporting system.	1	9	No report received	Narrative reporting	Narrative reporting	○
3.2.3. Number of DRM units at national and sub-national level that have food and non-food reserves.	B:1 National; 3 Regional level	3 (Gambela, Somali and Tigray)	No report received	Not reported	Not reported	○
3.2.4. % of women, men, girls and boys who received food and non-food assistance, as percent of those affected.	60%[3]	100%	No report received	4,461,028	4,461,028	Target in %; reported in #
3.2.5. Type and amount of food and non-food assistance distributed/ provided, as percent of required	Food - 70% Non-food - 33 %	Food - 75% Non-food - 50%	No report received	423,236 MT 534 Million USD	423,236 MT 534 Million USD	Target in %; reported in #
Output 3.3: Livelihood, environment and basic social services of disaster affected communities restored, and improved to withstand impact of future disasters.						
3.3.1 % of IDPs, refugees and host communities households assisted with livelihood restoration activities including durable solutions based on their local livelihoods and specific needs.	5% of the total refugee population in Ethiopia	8% for refugees	No report received	Narrative reporting	Narrative reporting	○
	7% for IDPs	50% for IDPs	No report received	Narrative reporting	Narrative reporting	○
3.3.2. % of community assets rehabilitated.		15,000 HHs; 180 Community assets (Range lands, water points);	No report received	20 community infrastructures	20 community infrastructures	●

Output 3.4: Enhanced technical capacity of the DRM governance system at all levels, including communities, to effectively manage, coordinate and mainstream DRM programmes.

3.4.1: Number of government staff (women and men) at all levels who have improved their technical capacity on DRM system (risk assessment, early warning, contingency plan, DRM policy and its SPIF, and coordination).	1300 Government staff	1800 government staff;	No report received	192 staff	192 staff	🔴
3.4.2: No. of community DRR committees/ task force established members who have improved their technical capacity on DRM system (risk assessment, early warning, contingency plan, DRM policy and its SPIF, and coordination).	169	319 community task forces	No report received	Not reported	Not reported	⚪
3.4.3. Number of regions that have coordination fora established and been supported in mainstreaming DRM	5 for regional coordination	11 regions	No report received	Not reported	Not reported	⚪

Outcome 4: By 2020, the GoE has a social protection systems approach in place which ensures increased access to a comprehensive package of social protection programmes, interventions and services for poor, vulnerable and excluded citizens coping with social and economic risks, vulnerabilities and deprivations

Indicator	Baseline	Target 2020	1st year Progress	2nd Year Progress	2 year Cumulative	MTR Assessed
4.1: % of households covered by at least one Social Protection program or intervention	11% of rural HH- 10% of male headed rural HH, 15% of female headed rural HH (Mini-DHS 2014)- 9% (10% Male, 8% Female) of pop. aged 60 years and above benefiting from a pension (2010- Decent Work Country Profile, Ethiopia)	15% of the total population	9%	Not reported	9%	🟢

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4.2: A functional federal social protection council in place	A federal social protection council does not exist	Federal social protection council in place and functional	Favorable conditions in progress	Not reported	In progress	🟡
Output 4.1: Strengthened national capacity to develop, implement, coordinate and monitor the social protection system.						
4.1.1. No. of functional Social Protection Coordination mechanisms/platforms at National and Regional levels.	Social Protection Platform is functional at Federal level	At least 4 regions have established functional mechanism	In progress	5	5	🟢
4.1.2: Established and functional single registry and MIS for social protection sector.	Single Registry and MIS not in place	Single Registry and MIS established and functional	Narrative reporting	MIS established & functional in 4 woredas, 2 regions and Federal levels	Achieved	🟢
4.1.3. Functional M&E framework in place	M&E Framework does not exist	M&E Framework is functional	Not done due to fund shortage	Not started due to delay of PSNP MIS	Not done	🔴
4.1.4 Institutional or coordination framework for decentralization of social protection system developed	No coordination framework exists	One framework is in place	Framework completed	Achieved as planned	Achieved	🟢
4.1.5 No. of costed national and regional Social Protection Action Plans developed and implemented in all regions.	No costed social protection action plan exists	12 (1 Federal and 11 regional)costed SPAP developed and implemented	5 (1 Federal and 4 regional SPAPs finalized)	0 (scaling up in progress)	5	🟡
Output 4.2: A functioning Social Welfare Workforce and Community Based Structures (CCCs) system providing social welfare services to the most vulnerable, deprived and excluded citizens in place						
4.2.1. Number of woredas in which effective and functional case management system established.	0	50	4	7	11	🔴
4.2.2. Number of qualified and deployed social workers	805 SW trained in AA University	4,000 SW trained	800 trained & 560 deployed	0 (no new progress)	800 trained & 560 deployed	🔴
4.2.3. Number of organized and strengthened	1,590 kebeles	15,761 kebeles	6,282	7,000	13,282	🟢

community care coalitions (in kebeles)						
Output 4.3: GoE's capacity is strengthened to expand the coverage of contributory social protection insurance schemes (pension schemes and health insurances).						
4.3.1. Number of woredas covered by community based health insurance	200 woredas (MoH)	718 as per GTP 2 target	Favorable conditions (FC) in progress	FC still in progress	In progress	🔴
4.3.2. Number of officials who have acquired knowledge and skills on good governance and administration of social security schemes	27	1000	Not started	Not yet started	0	🔴
4.3.3: Number of households that receive crop and livestock insurance (disaggregated by male and female headed households in the indicator, baseline and target depending on availability of data)	30,000	100,000	FC & registration in progress	No new progress	In progress (narrative)	🔴
Output 4.4: GoE's capacity is strengthened for evidence based planning, policy dialogue, formulation, revision and implementation of legal frameworks on social protection.						
4.4.1: Number of newly generated studies conducted, number of newly enacted proclamations, regulations, directives and guidelines.	2 (Mapping and Gap Analysis on Social Protection, Investing in Boys and Girls). 3 existing -SP policy (2014), Public and private organization workers' pension (2011), Urban food security strategy (2015)	4	3	1	4	🟢
4.4.2 Number of newly generated and used evidence on available fiscal space and financing for social protection	0	3 studies (incl. feasibility study conducted on social protection fund, study on domestic financing for social protection)	Narrative reporting	Narrative reporting	Narrative reporting	⚪
4.4.3. Number of international and regional	0	3 (mirroring the …….	Not started	Not started	0	🔴

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proclamations and instruments on social protection ratified and implemented						
4.4.1: Number of newly generated studies conducted, number of newly enacted proclamations, regulations, directives and guidelines.	2 (Mapping and Gap Analysis on Social Protection, Investing in Boys and Girls). 3 existing -SP policy (2014), Public and private organization workers' pension (2011), Urban food security strategy (2015)	4	3	1	4	🟢

Outcome 5: By 2020 Key government institutions at federal and regional level are better able to plan, implement and monitor priority climate change mitigation and adaptation actions and sustainable natural resource management

Indicator	Baseline	Target 2020	1st year Progress	2nd Year Progress	2 year Cumulative	MTR Assessed
Indicator 5.1: Tons of CO2 equivalent reduced	150 million tons of CO2	Maintain the 2010 emission level by 2030	150 million tons of Co2 equivalent maintained by 2030	Not reported	150 million tons of Co2 equivalent maintained by 2030	🟢
5.2: Coverage of affordable, clean and efficient renewable energy in rural and urban areas	8702GWH	58703GWH	Not reported	Narrative reporting	Narrative reporting	◯
5.3 Hectares of Forests and other natural resources protected and sustainably managed for their social, economic and ecosystem services	1.2 million hectare	6.7 million hectare	87,000 ha	6345ha	93,345	🔴
Output 5.1: Support the government in the implementation of CRGE Strategy.						
5.1.1. Number of sectors that have developed Climate Resilient Strategies	CR strategies for Energy and Agriculture	CR strategies for MoH MOT & MOUDHC and Addis Ababa City	Drafted for 1 sector	1 sector completed	1 sector completed	🔴
5.1.2: Number of Woredas implementing mitigation and adaptation plans	50 woredas	56 woredas	9	5	14	🔴

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5.1.3. Number of cities implementing waste management and urban greenery initiatives	3 cities	16 cities	8	6	14	🟢
5.1.4 National waste management strategy in place	Solid waste management strategy in place.	A national waste management strategy in place.	Approved and in place	Approved and in place	Approved and in place	🟢
5.1.5 National Short lived Climate Pollutants Unit in place	Environmental Pollution Control proclamation	A dedicated staff (3) is establish and sits at MOWIE SLCPs embedded in National Policies	Progress not reported	Unit in place	Unit in place	🟢
Output 5.2: Capacity of key institutions strengthened for climate information and early warning systems including institutional arrangements and data managements systems to support the national and relevant sectors Measuring Reporting and Verification (MRV) system in place and fully operational.						
5.2.1. Number of climate information centers established and strengthened	70 AWS	110 AWS	Not reported	40	40	🟠
5.2.2. Number of woredas benefiting from climate information and early warning	74	250	176	Narrative	176	🟢
5.2.3. Existence of operational MRV institutional arrangement and data storage management system designed	Landsat 8 imagery of 2013 and the ongoing MRV system	• 1 operational institution established • 1 data storage and management system designed	Not reported	System developed	System developed	🟢
5.2.4. Number of institutions using MRV to monitor REDD+ activity data	0	All MRV institutions	Not reported	Not reported	Not reported	⚪
Output 5.3: Technologies and practices including finance and market mechanisms that promote a climate resilient green economy introduced and scaled up						
5.3.1. Number of green technologies introduced at national level	16	20	1	4	5	🔴
5.3.2. Number of rural house holds especially	9,000,000 HHs	9,800,000 HHS	2500	Narrative	2500	🔴

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women accessing green technologies						
5.3.3 Volume of resources mobilized from (GCF, NAMA facility, carbon trading and others climate finance Black Carbon Finance)	34 million USD through the facility and GEF	57 million USD through GEF and CRGE Facility	80 million USD	7.9 million USD	87.9 million USD	🟢
5.3.4 number of public green financing mechanism established at national and regional levels	0	1 at national level (PES) and 6 at regional level	Not reported	Narrative reporting	Narrative reporting	⚪
5.3.5 Number of Woreda where Local Climate Change Adaptation Fund is established and operational	50 woredas have started implementation of CCA plans, CRGE Facility, M&E framework	20 woredas	Not reported	Indicator removed & replaced	Initial indicator removed & replaced	⚪
5.3.6 Number of GE transition plans developed at local level	0	50 local experts have capacity to develop and implement a green economy transition plan at the local level	Not reported	Narrative reporting	Narrative reporting	⚪
5.3.7 Availability of geothermal policy	0	1 policy developed with about 30 geothermal scientists and engineers will be trained	Not reported	In progress	In progress	🟡
Output 5.4: Capacity of region and city administration to plan, implement and monitor/ sustainably manage forests and other natural resources for their social, economic and ecosystem services including NFI in the context of REDD+						
5.4.1: Number of regions and city administrations with forest conservation and development programmes	Regional Forest Action Programs (1994)	11 regional Forest conservation and development programs	Preparation in progress	Indicator removed	In progress	🔴
5.4.2 National Forestry Action Plan designed	Ethiopian Forest Action Program (1994)	National Forestry Action Plan	Plan prepared	Indicator removed	Plan prepared	🟢
5.4.3 Number of forestry and bio diversity	0	11 forestry institutions and 8 biodiversity institutions	9	Indicator removed	9	🟢

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institutions established and capacitated						
5.4.4 Hectares of degraded forest resources rehabilitated through Afforestation and Reforestation	1.2 million hectare	330,000 hectares	95,000	Indicator removed	95,000	🔴
5.4.5 National Forest Inventory (NFI) in the context of REDD+	0	National Forest Inventory completed	In progress	Completed	Completed	🟢
5.4.6 National reference levels (RLs)/ reference emission levels (RELs) and relevant policies are developed and endorsed	0	National Reference Levels and relevant policy developed	Developed	Developed	Completed	🟢
5.4.7 Number of trans boundary integrated ecosystem management plans developed	Ethiopia and Kenya have signed a joint project on Lake Turkana ecosystem	1 Trans boundary management plan based on environmental and socio economic assessment	In progress	In progress	In progress	🟡
5.4.8 MRV for forest and REDD+ in place	0	Put in Place MRV	Not reported	Established	Established	🟢
Output 5.5: Sustainable Consumption and Production (SCP) for a Low-Carbon Economy is advanced and measured in Ethiopia						
5.5.1: Number of guidelines for reliable consumer information	0	5 guidelines for reliable consumer information	In progress	In progress	In progress	🔴
5.5. 2: Number of guidelines on NAMA opportunities in SCP sectors/10YFP programmes developed	0	5 guidelines for reliable consumer information2 guidelines on NAMA opportunities	Narrative	Not reported	Narrative reporting	⚪
5.5.3: High impact areas for SCP and GHG emission reductions identified	0	4 NAMA proposals	5	Not reported	5	🟢
5.5. 4: Number of consumer information	0	10 tools or actions	1	Not reported	1	🔴

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tools or actions developed and implemented						

Outcome 6: By 2020, Ethiopian Population in particular Women, New born, Children, Adolescent and Youth including vulnerable groups have improved access to and utilization of quality and equitable health services

Indicator	Baseline	Target 2020	1st year Progress	2nd Year Progress	2 year Cumulative	MTR Assessed
6.1: Proportion of births attended by skilled birth attendants	15%	80%	Not reported	Not reported	Not reported	◯
6.2: Proportion of children aged under one year vaccinated with Penta 3 and measles	Penta 3; 87%: Measles: 84%	Penta 3; 97%; Measles: 96%	Not reported	Not reported	Not reported	◯
6.3: % of teenage pregnancies from overall pregnancies	12%	3%	Not reported	Not reported	Not reported	◯
6.4: % of unmet need for family planning for adolescents and youth	33%	22%	Not reported	Not reported	Not reported	◯
6.5: % of the refugee population with access to primary health care services	NA	100%	100%	Not reported	Not reported	🟢

Output 6.1: Capacity of health system strengthened to ensure universal access to quality and evidence-based package of basic high impact maternal, new born and child health interventions.

Indicator	Baseline	Target 2020	1st year Progress	2nd Year Progress	2 year Cumulative	MTR Assessed
6.1.1: Percentage of service delivery points offering at least three (for primary) to five (for secondary and tertiary) modern methods of contraceptives to clients (disaggregated for type SDPs)	81 (primary)	90 (Primary	Not reported	Not reported	Not reported	◯
6.1.2: Proportion of health facilities providing: Community and facility Maternal and Perinatal Death Surveillance and Response (MPDSR)	1%	90%	Not reported	8%	8%	🔴
newborn corners (HC)	41%	100%	Not reported	No reported	No reported	

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ICCM/CBNC services (HP)	21%	95%	Not reported	94%	94%	●
IMNCI services (HC)	72%	90%	Not reported	84%	84%	●
-Basic EmONC services (HC)	54%	100%	Not reported	74.6%	74.6%	●
-Comprehensive EmONC services (Hosp)	83%	100%	Not reported	58%	58%	●
6.1.3: Percentage of women receiving early Postnatal care within 48 hours	12%	50%	17%	65%	65%	●
6.1.4: Percentage of women who had at least 4 ANC visits	32%	95%	32%	72%	72%	●
6.1. 5: Percentage of districts that have integrated PHEM and MPDSR systems	1%	90%	Not reported	Not reported	Not reported	○
6.1.6: Proportion of estimated maternal and perinatal deaths reviewed disaggregated by type of deaths	<1%	80%	Not reported	8%	8%	●
6.1. 7: Proportion of zones achieving at least 80% Penta3 vaccination coverage	48%	100%	Not reported	72%	72%	●
6.1.8: % refugee populations between 6 months to 15 years vaccinated against measles	20%	95%	95%	95%	95%	●
Output 6.2: Strengthened capacity of national institutions to provide quality adolescent and youth friendly sexual and reproductive health information and services						
6.2.1: Proportion of health facilities providing AYFHS	20%	100%	Not reported	Narrative reporting	Narrative reporting	○
Output 6.3: By the year 2020, National capacity strengthened to reduce the burden of communicable diseases (Malaria, Tuberculosis and neglected tropical diseases)						
6.3.1: Proportion of health posts providing Community based TB care (CBTC)	34%	100	Not reported	Not reported	Not reported	○
6.3.2: Number of Visceral Leishmaniasis treatment centers in the endemic region	18	25	Not reported	Not reported	Not reported	○

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6.3.3: Number of confirmed malaria cases	5.28 million	2.72 million	Not reported	1.2 million	1.2 million	🟡
6.3.4: % of refugee families receiving LLINs to protect against malaria	10%	95%	51.2%	51.2%	51.2%	🟢
Output 6.4: Enhanced preventive, curative and rehabilitative capacity of health service delivery to address noncommunicable diseases including injuries/violence, elderly and disabled						
6.4.1: % premature deaths secondary to cancer	4% cancer proportional deaths	3% cancer proportional deaths	Not reported	Not reported	Not reported	⭕
6.4.2 % of of premature deaths secondary to cardiovascular diseases	15% CVD proportional deaths	11% CVD proportional deaths	Not reported	Not reported	Not reported	⭕
Output 6.5: Improved national capacity for minimizing the health related outbreaks by early detection, rapid response and recovery to reduce morbidity and mortality.						
6.5 1 Proportion of Woredas with Epidemic Preparedness and response plans in place	20%	>80%	Not reported	Not reported	Not reported	⭕
6.5.2: Proportion of Health workers with both outbreak risk identification and communication skills	0%	100% (WHO Remark:30%)	Not reported	Not reported	Not reported	⭕
6.5. 3: Proportion of health facilities submitting daily or weekly surveillance reports on time to the district	80%	>90%	Not reported	Not reported	Not reported	⭕
6.5.4: Proportion of reported outbreaks or rumors verified and investigated by Woreda Health office	60%	>90%	Not reported	Not reported	Not reported	⭕
Output 6.6: Enhanced national health system capacity to plan, mobilize domestic and external resources, implement, monitor and evaluate health programmes towards universal health care and quality of health care services						
6.6.1 Proportion of woredas with available essential drugs (including MNCH commodities) in health facilities						

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1) Amoxicillin as a tracer drug for the treatment of pneumonia in Health post	23%	100%	Not reported	88%	88%	●
2) Sulfate Magnesium as tracer drug n in health facilities doing delivery.	22%	100%	Not reported	78%	78%	●
3) Oxytocin tracer drugs for facility doing delivery	67%	100%	Not reported	83%	83%	●
6.6.2: Proportion of health facilities providing notification of births	0%	100%	Not reported	61%	61%	●
6.6.3: Proportion of health facilities accessing safe blood supply	90%	100%	Not reported	Not reported	Not reported	○

Outcome 7: Enhanced appropriate feeding and care practices for improved nutrition status of children under five years, adolescents, pregnant and lactating women.						
Indicator	**Baseline**	**Target 2020**	**1st year Progress**	**2nd Year Progress**	**2 year Cumulative**	**MTR Assessed**
7.1. Proportion of children 6 to 23 months with minimum acceptable diet	4.1% (EDHS 2011)	10%	No reported	Not reported	Not reported	○
7.2. Proportion of children under 6 months exclusively breastfed (disaggregated by national & refugee population)	National: 52% (EDHS 2011) Refugee: 50%	National: 70%; Refugee> 90%	75.8% Not reported	Not reported	National 75.8% Not reported	●
7.3. Proportion of women age 15-49 with BMI < 18.5	26.9% (EDHS 2011)	19%	No reported	Not reported	Not reported	○
Output 7.1: National, subnational and partner capacity (multi-sectoral nutrition technical committees and nutrition coordination bodies at all levels) strengthened for National Nutrition Programme (NNP) implementation, coordination, monitoring and reporting.						
7.1.1: Federal and regional coordination bodies and technical committees (NNCB, NNTC, RNCBs, RNTCs) meet as per schedule	N/RNCB: 1 meetings/ year	N/RNCB: 2 meetings/ year	No data	No data	No data	○
	N/RNTC: 4 meetings/ year	N/RNTC: 4 meetings/ year	No data	No data	No data	○
7.1.2: NNP monitoring mechanism (scorecard) established at federal and regional level and updated on a regular basis	0	NNP sectoral "scorecard" developed and in by regions by the end of 2016.	No data	No data	No data	○

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Output 7.2: Improved nutrition care practices for infants, young children, adolescents, and pregnant and lactating women (P LW).						
7.2.1: Percent of GMP participation for girls and boys under 2 year of age	51.2 % for girls under 2 48 % for boys under 2 (NNP Monitoring Tool, Feb 2015)	65% for both girls and boys under 2		60 For girls, 47% for both boys and girls		🟢
7.2.2: Number of woredas in developing regions with active Women-to-Women support groups.	4 in Afar 10 in Benshangul 10 in Somali 24 refugee camps	34 in Afar 20 in Benshangul 35 in Somali 24 reguee camps	11 refugee camps	34 in Afar, 21 in BG, 12 in Gambella, and 26 in Somali. 11 in refugees camps	34 in Afar, 21 in BG, 12 in Gambella, and 26 in Somali. 11 in refugees camps	🟢
7.2.3: Percent of pregnant women who received deworming tablet	0	40%	Not reported	0	0	🔴
Output 7.3: Enhanced capacity of the health system to provide quality preventive and curative nutrition services for infants, young children, adolescents, and pregnant and lactating women.						
7.3.1: Percent of children under 5 (6 to 59 months) receiving vitamin A supplementation	94.60% (baseline is 84% HSTP -51)	95%	No data	0	0	🔴
7.3.2:. Percent of health facilities providing SAM treatment	% HPs with SAM treatment service: 81.2%	90%	No data	91%	91%	🟢
7.3.3: Number of health posts or mobile health and nutrition teams (MHNT) providing MAM treatment	1370	3600	No data	No data	No data	⚪
7.3.4: Number of woredas with schools providing nutrition programmes including adolescents	10	82	No data	No data	No data	⚪
7.3.5: Number of SAM cases treated among refugee populations	3,500	>90%	5,850 under five children were treated for SAM	5,850 under five children treated for SAM	5,850 under five children treated for SAM	Target in % ; report in #
Output 7.4: Strengthened nutrition information monitoring and utilization for effective evidence based decision making for the National Nutrition Programme.						
7.4.1: Integrated NNP monitoring tool established at different	0	8 regions by the end of 2016	No data	2	2	🔴

levels (national and woreda)						
7.4.2: Number of annual nutrition and health surveys conducted in 6 regions to monitor the nutrition and health status of refugee population.	6	10	17 surveys done in refugee camps	26	26	🟢

Outcome 8: By 2020, targeted population groups have improved access to and use of quality, equitable, gender responsive and sustainable, HIV prevention , treatment, care and support services so that 90% of those HIV infected know their status, 90% of those tested positive have got treated and 90% of those treated have got viral suppression.

Indicator	Baseline	Target 2020	1st year Progress	2nd Year Progress	2 year Cumulative	MTR Assessed
8.1: Number of new HIV infections in a year (M/F)	22,986	18,678 (Final draft spectrum HIV estimate)	Not reported	Not reported	Not reported	⚪
8.2: Number of deaths due to AIDS (M/F)	23,532	7,286 (Final draft spectrum HIV estimate)	Not reported	Not reported	Not reported	⚪
8.3: Percentage of adult (15-49) population having comprehensive knowledge about HIV AIDS (M/F)	24% Female; 34% Male	TBD	Not reported	Not reported	Not reported	⚪
Output 8.1: High impact HIV prevention program institutionalized nationwide and minimum package for prevention implemented in key sectors/ key populations.						
8.1.1: Number of Key sectors that have institutionalized the delivery of minimum HIV prevention service package for targeted population	7	13	3	Narrative reporting	3 (but more of narration)	🔴
8.1.2: Number of schools implementing a minimum package for higher education institutes, high schools and upper primary schools	120	150	116	167	167	🟢
8.1.3:Number of policy briefs to create enabling environment for	0	1	In progress	1	1	🟢

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interventions on Key Populations						
8.1.4: Number of Key Populations/ out of school adolescents and youth reached by minimum HIV prevention Package	196,500 (out of school youth)	446,500 (out of school youth)	Not reported	73,300	73,300	🔴
8.1.5: Number of primary, secondary, university students reached with minimum HIV/ SRH prevention Package.	589,500 (in school youth)	1,089,500 (in school youth)	90,271	105,554	105,554	🔴
8.1.6 : Number of male and female condoms distributed	200,000 (Female condoms) ; 147m male condoms	190 million female condom; 1.9 million male condom	Not reported	1 million male condom and 40,000 female condom	1 million male condom and 40,000 female condom	🔴
8.1.7: Number of PWIDs accessing the comprehensive package	34,000 (prisoners)	60,000 (prisoners)	Not reported	Narrative reporting	Narrative reporting	⚪
Output 8.2. Enhanced technical and institutional capacity at national and sub-national level for the provision of comprehensive HIV awareness and testing services						
8.2.1:Number of targeted population (daily laborers, transport workers, mobile and seasonal workers, population in emergency situations, etc) received HIV testing and counseling and know their results in the past 12 months	9.6 million	42.5 million (8.5M/yr.)	Not reported	8.9 million	8.9 million	🔴
8.2.2: Number of FCSW received HIV testing and counselling and know their results in the last 12 months	112,000	480,000	Not reported	64,334 FSW tested	64,334 FSW tested	🔴
8.2.3: Number and Percentage (%) of women who were tested for HIV and received their results - during pregnancy, labor and delivery, and lactation	54% (UA for 2014)	95%	79%	96%	96%	🟢

8.2.4: Number of children/ adolescent/Key Populations who received testing and counselling and know their results in the past 12 months	23%90% of HIV infants and children,	90% of adolescents	51,227	No data provided	51,227	Target in %; report in #
Output 8.3: Strengthened capacity of relevant service providers and partners to ensure access and retention of eligible population on quality care and treatment.						
8.3.1: Proportion of eligible PLHIV accessed Anti-retroviral treatment	49.8% (362,041/727,000 preliminary estimate, end 2014)	90%	59%	71%	71%	🟢
8.3.2: Proportion of eligible adults currently on ART	54.30%	90%	62%	75%	75%	🟢
8.3.3: Proportion of children (<15) living with HIV currently on ART	23%	85%	32%	34%	34%	🔴
8.3.4: Proportion of adolescent (10-19) living with HIV currently on ART	23%	90%	No data	No data	No data	⚪
8.3.5: % of people on ART tested for viral load (VL) with VL below <= 1000 copies after 12 months of therapy (2014) (cohort)	53% (UA end 2014)	95%	67%	51%	51%	🟢
8.3.6: Proportion of PLHIV received NACS	18%	70%	38%	No data	65%	🟢
8.3.7: Percentage (%) of HIV-positive pregnant and lactating women who received antiretroviral to reduce the risk of Mother to-Child transmission during pregnancy, delivery and lactation	73%	90%	59%	59%	59%	🟢
8.3.8: Proportion of HIV exposed infants receiving ARV prophylaxis in the first 6 weeks of life	34% (UA, end 2014)	90%	31%	36%	36%	🔴
8.3.9: Percentage (%) of infants born to HIV-	25% (UA, end 2014)	90	34%	38%	38%	🔴

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positive women receiving a virological test for HIV within 2 months of birth						
8.3.10 Proportion of pregnant and lactating women attending EMTCT service received NACS	36%	60%	44%	No data	44%	🟢
Output 8.4: HIV sensitive social protection minimum package accessed by HIV infected, exposed and vulnerable children, adolescent and most at risk women , men and PLHIV.						
8.4.1: Number of needy PLHIV and vulnerable children/ adolescent received care and support	346,387	356,387	113000	Narrative reporting	78,471	🔴
8.4.2: Number of affected and infected adolescents and young people who received livelihood and IGA support	9732	12,654	Not reported	2736	2736	🔴
8.4.3: Number of PLHIV who received livelihood and IGA support	25,600	50,600	25000	12,810	37810	🟢
8.4.4: % of population having discriminatory attitude towards PLHIVs	60%	0%	Not reported	3,598 received training	3,598 received training	target in % , report in #
Output 8.5: All regional and national program generate and make use of quality gender disaggregated evidence to design and implement holistic sustainable policy and programmes.						
8.5.1: Number of Strategic information products showing granularity of epidemic including regional KYE/KYR reports and subnational estimates of infection	2	11	8	2	10	🟢
8.5.2: Number of annual surveillance report IBBS among KPs according to strategic surveillance roadmap of Ethiopia	1	6	Narrative	Narrative	Narrative	🔴
8.5.3: Number of regions utilising Electronic Multisectoral response	0	7	6	6 regions are utilizing	6 regions are utilizing	🟢

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information system (EMRIS)						
8.5.4: Mid-term and end term evaluations of programs completed	0	7	3	1	4	🟢

OUTCOME 9: By 2020, the Ethiopian population, in particular women, children and vulnerable groups will have access to/ and use of affordable, safe and adequate WASH services.						

Indicator	Baseline	Target 2020	1st year Progress	2nd Year Progress	2 year Cumulative	MTR Assessed
9.1: % of populations using safe and adequate WASH services disaggregated by rural and urban areas	58%	83%	Not reported	40% for water & 7% for sanitation	40% for water & 7% for sanitation	🟡
9.2 Proportion of population practicing Open Defecation	0	500	This indicator was not there in 1st year	27%	27%	Target in # report in %
Output 9.1: Strengthened capacity of WASH sector Ministry (water, health & education) in conducting strategic planning, coordination, leveraging, advocacy and implementation of development and emergency WASH interventions.						
9.1.1: No. of annual Joint Technical Review and WASH MSF held	0	5	1	1	2	🟡
9.1.2: % of key MSF undertakings implemented.	40%	80%	40%	Narrative –no data	40%	🟢
9.1.3: No. of functional WASH coordination mechanisms at Federal and Regional levels	4	9	8	Narrative – no data	8	🟢
9.1.4: # of Refugee WASH coordination mechanisms {RWCM} established	1	4	1	0	1	🔴
Output 9.2: Strengthened sector WASH capacity in knowledge management that informs improvements in service delivery, policies, procedures, monitoring and evaluation at the federal and regional levels.						
9.2.1: # of WASH knowledge management activities completed and conclusions applied	0	15	5	0	5	🔴
9.2.2: National WASH M&E framework developed	0	1	0 (still on-going)	0	0	🔴

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Indicator	Baseline	Target				Status
9.2.3: National WASH inventory updated yearly	1	5	0	Postponed to 2nd half of 2018	0	🔴
Output 9.3: Enhanced support for children and families leading to resilient and equitable, access to and use of safe and adequate water and sanitation services and adoption of appropriate hygiene practices in households and institutions in urban and rural areas.						
9.3.1: % of Ethiopian population and refugee users of safe, adequate and resilient water supply services disaggregated by urban and rural areas	57% - National (Rural – 47%, Urban 97 %) data?	98% National (Rural – X%, Urban x %) data?	64%	0 (no new progress)	64%	🟢
9.3.2: % of Ethiopian population and refugee using safe, adequate and resilient sanitation services disaggregated by urban and rural areas	28% National (Rural – 29%, Urban28 %)	70% National (Rural – 50%, Urban 90 %)	14%	0 (no new progress)	14%	🔴
9.3.3: # of institutions with safe, adequate water supply and sanitation services disaggregated by type of institution in rural/urban areas	35% (Health, schools)	75% (Health, schools)	38%	0 (no new progress)	38%	🟢
	22% (Health, schools, govt)	78% (Health, schools, govt)	Not reported	Not reported	0	🔴
9.3.4: # of people adopting appropriate hand washing practices	20%	70%	36%	0 (no new progress)	36%	🟢
Output 9.4: Populations affected by WASH Emergencies receive WASH services in line with minimum standards.						
9.4.1: # of people affected by WASH emergencies provided with safe and adequate water supply as per minimum emergency standards	45%	100%	75%	1,010,65 refugees	% and # not additive	Inconsistent reporting of # and %
9.4.2: # of people affected by WASH emergencies provided with appropriately designed emergency latrines	34%	100%	Indicator is # of people, but what is reported is # of toilets built (119,769 toilets)	12,000 people and 764,832 refugees with access to latrine	776,832 people	Inconsistent reporting of # and %
9.4.3: # of people affected by WASH emergencies participating in hygiene promotion activities	45%	100%	20%	1,121,300 emergency affected people &	% and # not additive	Inconsistent reporting of # and %

				764,832 refugees		

Outcome 10: By 2020 equitable access created and quality education and training provided to all learners at preprimary, primary and post primary with a focus on the most disadvantaged and vulnerable children, populations and localities

Indicator	Baseline	Target 2020	1st year Progress	2nd Year Progress	2 year Cumulative	MTR Assessed
10. 1: GER at pre-primary by gender	33% (33% girls, 50% boys)	80% (50% girls, 50% boys)	Not reported	45.9%	45.9%	🟡
10.2: Primary Education Completion Rate by gender	46.7% (46.7%F)	75%	Not reported	54.1%	54.1%	🟢
10. 3: NER at primary and secondary education by gender	93% (90.1%F,95.1%M)98% Primary ,	47% Secondary	Not reported	99.9% for primary & 24.6% for secondary	99.9% for primary & 24.6% for secondary	🟢
10.4: Gender Parity Index at Primary Education	0.94	1	Not reported	0.90 for primary & 0.91 for secondary	0.90 for primary & 0.91 for secondary	🟢
10. 5: % of grade 4, grade 8 and grade 10 students who score 50% or above the composite scores in NLA	Grade 4 = 43% (2012)	50% (50% girls, 50% boys)		NLA not done	NLA not done	🔴
	Grade 8 = 44% (2012)	50% (50% girls, 50% boys)				
	Grade 10 = 23% (2-14)	50% (50% girls, 50% boys)				

Output 10.1: Enhanced capacity of the education system to provide equitable access to early stimulation and quality school readiness programs to all children 4-7 years focusing on the disadvantaged and vulnerable children.

10.1.1: National strategy, guidelines and quality curriculum for accelerated school readiness and the full ECD program in place.	0	1	Draft developed	Draft validated & 5 regions contextualized	In progress	🟡
10.1.2: Proportion of children entering grade 1 with school readiness	0	90%	60%	45.9% (has it declined?)	60%	🟢
10.1.3: Proportion of education budget allocated for early	0	5%	7% for 2016/17	4% for 2016/17 (not consistent)	7%	🟢

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learning at subnational level.						
Output 10.2: Enhanced technical and institutional capacity for equitable and improved delivery of quality general education provided to all children and youth of school age supported by strong alignment of quality curricula, teacher training, classroom practices, quality assurance and learning assessment to improve the learning outcomes.						
10.2.1: Standardized competency based continuous assessment system for general education in place.	Not available	Competency-based CA System in place	On progress	A classroom assessment system in place	The system is in place	🟢
10.2.2 Primary teachers who received training with funding provided by UNICEF.	0	5400	7, 200	0 (no new progress)	7200	🟢
10.2.3 Availability of a well-functioning student learning assessment system for the first cycle of primary.	0	1	In progress	School based Assessment for Learning (AfL) package developed	Package developed	🟢
10.2.4 Number of primary schools supported by UNICEF applying alternative/flexible education model	costed road map on introduction of Activity Based Learning (ABL) completed	ABL strategy developed in 100 schools	0	0	0	🔴
Output: 10.3: Strengthened capacity of national and subnational institutions to ensure equitable and inclusive access and retention for in and out of school children in primary and secondary focusing on the vulnerable and disadvantaged groups including girls, pastoralist children and the urban poor.						
10.3.1 Holistic mechanisms of School Related Gender Based Violence (SRGVB) prevention and response established at national, sub-national and local levels. (Rubric with 1 to 4 scale)	score 2.5	score 3	In progress	No new progress	Narrative reporting	🔴
10.3.2: Number of children provided with school meals	450,000	250,000	Data not available	Not reported	Not reported	⚪

10.3.3: existence of a national education strategy/plan that promote equity in terms of access and learning.(Rubric with 1 to 4 scale)	score 3	score 3	Narrative	Narrative – no data	Narrative – no data	⬤
10.3 4: National school meal programme developed	National school meal programme not available	School meal programme developed and implemented	Not reported	Not reported	Not reported	⬤
10.3. 5: Number of regions implementing EPR plans for education	8	8	8	No new progress	8	⬤
10.3. 6: Proportion of emergency affected children supported to continue their education.	85%	100%	70%	No new progress	70%	⬤
Output 10.4: Enhanced capacity of national and subnational institutions to provide and incorporate in the Teacher Training Colleges curriculum, culturally relevant and age appropriate comprehensive health (school hygiene and sanitation, personal hygiene, healthy lifestyle) for children in upper primary schools and above.						
10.4. 1: % of schools that accessed CSE	12.50%	52.80%	12 secondary schools	1300 primary schools	1312	Target in %; Report in #.
10.4.2: % of teachers who received training on life skills-based HIV and sexuality education	10%	60%	750 Lecturers and 2500 secondary school teachers	36, 000 primary school teachers	39,250	Target in %; Report in #.
10.4.3: % of schools with minim media as source of information on school hygiene and sanitation, personal hygiene, healthy lifestyle and sexuality/ reproductive health education	Baseline to be established by 1st quarter of 2016	50%	12 secondary schools	300 primary and secondary schools	312	Target in %; Report in #.
10.4.4: Number of teacher training institutions (TTIs) which adopted comprehensive health	0	11	3	12 CTEs	15	⬤

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modules into their curriculum framework						
Output 10.5: Capacity of the education system enhanced for the creation, dissemination and use of knowledge for policy development, advocacy, governance, program and school management for enhanced quality education and learning.						
10.5.1:EMIS interfaced with GIS/RALS and interactive mapping and SMIS in place	GIS based EMIS and functional SMIS in place at national and regional level	GIS-based and functional SMIS available at national and regional level	Amhara, Oromia and Tigray regions use EMIS interface with GIS/RALS interactive mapping	X-y coordinates collected for few pilot schools	EMIS interface being used	🟢
10.5.2: Number of regions with latest data and use the MIS to make program decisions	No GIS	11	6	5	11	🟢
10.5.3: Number of research/ case studies/evaluations/ assessments carried out for knowledge generation, dissemination and utilization	6	10	2 conducted (then 8 studies cumulative)	1 (then cumulative becomes 9)	3 (cumulative 9)	🟢
Output 10.6: Youth and adults, especially women access and benefit from a demand-driven, enhanced quality integrated functional youth and adult education and skills training.						
10.6.1:capacity development strategy put in place to deliver adult education and skill training courses for trainees;	10.50%	20.50%	Narrative	Narrative reporting	Narrative reporting	⚪
10.6.2: Number of illiterate women that obtained business skills through functional adult literacy programs	400	50,000	4,500	450	4,950	🔴
Outcome 11: By 2020, key government institutions and other stakeholders apply enhanced capacities to ensure the rule of law; an efficient and accountable justice system; and the promotion and protection of human rights in line with national and international instruments, standards and norms						
Indicator	**Baseline**	**Target 2020**	**1st year Progress**	**2nd Year Progress**	**2 year Cumulative**	**MTR Assessed**

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11.1: Proportion of citizens (disaggregated by sex and age) expressing the justice system as being physically and financially accessible, efficient and equitable;	45%	60%	Narrative reporting	Not reported	Narrative reporting	⦿
11.2: Number of UPR recommendations implemented	25%	75%	Not reported	Not reported	Not reported	⦿
Output 11.1: Enhanced institutional and technical capacity of the justice system to deliver accessible, efficient and accountable justice to all (with a focus on vulnerable groups).						
11.1.1: National legal aid strategy and standards adopted	0 (draft strategy in the making)	National legal aid strategy and standards in place	Indicator removed	Draft ready	Draft ready	🟢
11.1.2: Number of operational legal aid clinics	126 (4 community based)	200 (16 community based)	Indicator removed	19	19	🔴
11.1.3: No. of beneficiaries, particularly vulnerable groups, provided with free legal aid service, disaggregated by sex, disability, age and income status	20,000	200,000	2,235	6,023	8258	🔴
11.1.4: Number of operational child friendly and gender sensitive justice mechanisms (child-friendly benches, child protection units, special prosecutor units)	53	163	20	124	124	🟢
11.1.5: National strategy on justice for children adopted	0	1	In progress	1	1	🟢
11.1.6: Number of regions with structures in place for implementation of the UN Convention on the Rights of Persons with Disabilities (CRPD)	5 regions have established structures to implement the UN CRPD	9 Regions to have CRPD implementing structures and start taking actions	Indicator removed	Indicator removed	Indicator removed	⦿

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11.1.7: Adoption and implementation of crime prevention strategy	0 -No crime prevention strategy in place	Crime prevention strategy adopted	Indicator removed	Indicator removed	Indicator removed	⚪
Output 11.2: Enhanced capacity of key government bodies, human rights institutions and other stakeholders to promote, coordinate, report and follow up on their human rights obligations in line with international and regional standards.						
11.2.1: A fully functional coordinating standing body on reporting and integrated follow-up to international human rights mechanisms in place	0 2 inter-sectoral coordination bodies in place at national and sub national levels	1 262 (1 federal, 11 regional, 250 weredas) inter-sectoral coordination bodies in place	Indicator removed	Narrative reporting	narrative reporting	⚪
11.2.2: Proportion of human rights mechanisms accepted and # of recommendations implemented	2014 UPR: 188 out of 252 recommendations accepted;2009 UPR: 98 out 142 recommendations accepted; A NHRAP has been implemented for the last 2 years ;A subsequent NHRAP II is being developed; CRC: 2015;	100% of the accepted recommendations; and 90% all the recommendations; CRC 85%;	Indicator removed	20%	20%	🔴
11.2.3: No. of reports submitted by state, NHRIs and CSOs to the UN and regional treaty bodies and other mechanisms as per the time frame	Submission of last report: CRC – 18/05/2012;	CRC – 12/6/2020;	Indicator removed	1	1	🟢
11.2.4: A successive National Human Rights Action Plan – II developed and adopted	The existing NHRAP ended in June 2015; a successive NHRAP is under formulation	New NHRAP adopted by 2016	Action plan available	Action plan developed	Action plan developed	🟢
11.2.5: Number of ratified core international and regional human rights treaties and optional protocols	7	9	Indicator removed	Not reported	Not reported	⚪
11.2.6: Number of cases and complaints submitted to EHRC	2014: 2,000 cases/complaints	5000	Indicator removed	1558	1558	🔴
11.2.7: Percentage of cases and complaints effectively	85% of cases/complaints investigated and	95%	Indicator removed	97%	97%	🟢

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and timely resolved by EHRC	addressed through different mechanisms within the year of submission					
11.2.8: Number of published reports on human rights situations, including HRs monitoring reports	3 human rights situation/ monitoring reports have been published so far and two are in progress	13 new published reports (situation reports, monitoring reports, …)	Indicator removed	6	6	🟢
Output 11.3: Strengthened technical capacity of key government institutions and other stakeholders to combat illicit trafficking, irregular migration and organized crime.						
11.3.1: No. of laws revised/ enacted to combat trafficking in persons, smuggling of migrants, drug trafficking and organized crimes	0	4	No progress	Indicator removed	No progress	🔴
11.3.2: Number of treaties and conventions ratified in the area of organized crime, terrorism, drug trafficking and migration	1	8	Indicator removed	Indicator removed	Indicator removed	⚪
11.3.3: Number of Emergency Migration Response Centers established and providing support to victims	2	4	In progress	Indicator removed	In progress	🟡
11.3.4: Percentage increase in the rate of reporting and conviction of trafficking in persons, drugs and cultural goods, mugling of migrants, money laundering and terrorism	N/A	50%	No progress	Indicator removed	No progress	⚪
11.3.5: Adoption of guidelines and SOPs for identification of and support to VoT	0	1	1	Indicator removed	1	🟢
11.3.6: No. of bilateral and multilateral agreements signed on trafficking,	1	5	Indicator removed	Indicator removed	Indicator removed	⚪

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organized crimes and irregular migration						
11.3.7: Adoption and implementation of the Anti-TIP National Plan of Action by federal and regional government institutions and stakeholders	0	1	1	Indicator removed	1	🟢
11.3.8: Number of functioning referral mechanisms and Anti-TIP/ Smuggling Councils at federal and regional levels	20	60	2	Indicator removed	2	🔴
11.3.9: Number of established UN CRPD Implementation and Coordinating Committees (ICCs) for the promotion of disability rights	CRPD ICCs already established in 5 Regions	Target is to reach 9 regions	Indicator removed	Indicator removed	Indicator removed	🔴
11.3.1: No. of laws revised/ enacted to combat trafficking in persons, smuggling of migrants, drug trafficking and organized crimes	0	4	No progress	Indicator removed	No progress	🔴

Outcome 12: By 2020, key government institutions and other stakeholders utilize enhanced capacities to ensure equitable, efficient, accountable, participatory and gender-responsive development.

Indicator	Baseline	Target 2020	1st year Progress	2nd Year Progress	2 year Cumulative	MTR Assessed
12.1: % of public rating of the Ethiopian Civil Service as being accountable, transparent, responsive and efficient in doing its businesses;	60%	85%	Not reported	Not reported	Not reported	⚪
12.2: % of public rating of key democratic institutions vis-àvis their independence and professional integrity;	50%	75%	Not reported	Not reported	Not reported	⚪

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12.3: Percentage of women MPs at national and regional levels;	38.8% (federal);40.7% (regional)	43% (federal);45% (regional)	Not reported	Not reported	Not reported	⚪
12.4: Percentage of women in top executive leadership/cabinet at federal level	13% of the Cabinet Ministers (2012)	20%	Not reported	Not reported	Not reported	⚪
Output 12.1: Strengthened capacity of key democratic institutions to deliver on their mandates and to promote participation, transparency, accountability and responsiveness.						
12.1.1: Number of cases and complaints submitted to EIO and FEACC	EIO (UNDP has committed to provide the baseline in the first six months of UNDAF); FEAC: 4,592 cases/annum (2014)	EIO (UNDP has committed to provide targets in the first six months of UNDAF):; FEACC: 6,000	Indicator removed	4,477	4,477	🟢
12.1.2: Percentage rate of cases resolved by FEACC and EIO within the year of submission	EIO (UNDP commits to provide baseline) ; FEACC: Investigation = 40%;Prosecution =46%	EIO (UNDP commits to provide target) ; FEACC: Investigation =60%; Prosecution 60%= TBD	Indicator removed	54.29% investigation and 52.65% prosecution cases resolved	54.29% investigation and 52.65% prosecution cases resolved	🟢
12.1.3:%age of population reached by civic and voters' education	48%	70%	Indicator removed	Not reported	Not reported	⚪
12.1.4: Percentage of follow up actions taken on parliamentary oversight recommendations	TBD (UNDP has committed to provide baseline in the first six months)	UNDP has committed to provide targets in the first six months	Indicator removed	Not reported	Not reported	⚪
12.1.5: Percentage of audit coverage at federal levels	70%; 60%	80%; 75%	Indicator removed	Not reported	Not reported	⚪
12.1.6: Availability of a robust election-related dispute resolution mechanisms	One, but incomplete and fragmented	One comprehensive mechanisms in place	Draft document available	Not reported	Not reported	⚪
12.1.7: All EITI minimum standards fulfilled;	Almost none	Ethiopia complies with EITI minimum standards	Indicator removed	Not reported	Not reported	⚪
12.1.8: Existence of rights monitoring & supervision mechanisms for vulnerable groups;	0 (for child rights)	2 supervisory mechanisms 12 Institutions (for child rights)	Indicator removed	Not reported	Not reported	⚪

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12.1.9: Number of participation platforms established and/ strengthened for specific population groups;	2 (child friendly frameworks and participatory platforms established and accredited)	12 (child friendly framework and participatory platforms established and accredited: 1 federal and 11 regions)	Indicator removed	Not reported	Not reported	○
12.1.10: Number of sector ministries and bureaus who have cascaded the leveling tool to measure the performance of gender mainstreaming across sectors	4 sector ministries	21 sector ministries	Indicator removed	Not reported	Not reported	○
12.1.11. Number of gender responsive laws, Policies and strategies adopted by democratic institutions and governance bodies;	TBD	5	Indicator removed	Not reported	Not reported	○
Output 12.2: Local government in targeted regions enabled to design and implement sustainable, inclusive and result-oriented development strategies and to promote accountability and participation ILO, UNICEF, UNWOMEN and UNDP						
12.2.1: Number of mechanisms put in place to promote participation, transparency, and accountability at regional and woreda levels;	10	20	Indicator removed	Indicator removed		○
12.2.2: Number of regions and woredas with functioning citizens feedback and redress mechanisms	20	100	Not reported	Indicator removed		○
12.2.3: Number of government partners and DPOs capacitated through Disability Equality Training (DET)	5 organizations already capacitated through DET	Target is to reach 9 government organizations and DPOs	Indicator removed	Indicator removed		○
12.2.4: Number of regions using innovative tools to monitor development	5	10	Indicator removed	Indicator removed		○

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plans (such as DevInfo customization);						
12.2.5: Number of federal institutions and regions that produced timely semi-annual and annual results-based reporting against set targets;	7 (1 federal + 6 regions)	12 (1 federal + 11 regions)	Indicator removed	Indicator removed		⭘
12.2.6: Number of woredas using RBM and human rights – based approach to programming;	282	416	Indicator removed	Narrative & not related to indicator		⭘
12.2.7: Number of sectors that have budget tracking systems in place for particular population groups (children, women, etc.);	0	10	Indicator removed	Indicator removed		⭘
Output 12.3: Enhanced capacity of national and subnational actors for conflict prevention, peaceful resolution and transformation Responsible						
12.3.1: Number of potential conflicts detected, prevented and effectively resolved	Generally low capacity	All	Indicator removed	Indicator removed		⭘
12.3.2: Number of conflict early warning and response systems established/ strengthened;	39	75	41	Indicator removed		⭘
Output 12.4: Enhanced Capacity of National, Regional and local governments to make cities productive, inclusive, resilient and sustainable						
12.4.1: Number of national, regional and city specific studies and spatial plans developed	Structural Transformation in Ethiopia: The Urban Dimension, National Urban Development spatial plan in place	2 National strategic documents (Assessment of Ethiopia's urban legidlation, planning and economy), 6 regional spatial plans and 5 city specific documents (City prosperity Index and state of a city report	Indicator removed	Indicator removed		⭘
12.4.2:Number of cities capacitated through trainings and technical	25 cities benefited	150 cities (142 cities with population 20,000 and above)	Indicator removed	Indicator removed		⭘

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support on strategic approaches to sustainable urban development						

Outcome 13: By 2020, national and sub-national institutions apply evidence-based, result-oriented and equity-focused decision making, policy formulation, programme design, monitoring, evaluation and reporting						
Indicator	**Baseline**	**Target 2020**	**1st year Progress**	**2nd Year Progress**	**2 year Cumulative**	**MTR Assessed**
13.1: Number of national/regional policies and/ strategies revised/ adopted after analyses, including programme evaluations	NA	Population policy, - National Adolescent and Youth RH Strategy	1	1	1	🟡
Output 13.1: Improved capacity of federal and regional government institutions to operationalize a conventional and decentralized system of civil registration and vital statistics						
13.1.1: No. of woredas with functional civil registration and vital statistics systems;	0	100%	14,264 (77.3%).	88%	88%	🟢
13.1.2: Percent of children (under 1 year) whose births are registered;	7%	50% (VERA's targets)	10%	18.4%	18.4%	🔴
Output 13.2: Enhanced capacity of government institutions and national/regional actors to collect, analyse and utilize socioeconomic, gender, environmental, governance and other disaggregated data to formulate equity and evidence based development policies, strategies and programmes						
13.2.1: Availability of comprehensive disaggregated national household surveys/ census and their dissemination through accessible and functional electronic based platforms;	0	4 (Census; EDHS; Child Labour; HICE; and WMS)	1	3	4	🟢
13.2.2: Availability of local development financing diagnostic assessments and policies approved by the GoE to leverage, promote and sustain local development;	0	- 5 (3 assessments (Local Public Sector assessment, Sub-national Public Expenditure and Fiscal Accountability assessment, Local Economy assessment)	No data	Data not available		⚪

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		- 1 roadmap; and 1 policy				
13.3.3 Number of gov't institutions with improved capacity to use evidence from disaggregated demographic, socio-economic, environmental and governance data for evidence-based planning and programming;	NA	10; 1 comprehensive Gender Profile	3	3	6	⚪

Outcome 14: By 2020, increasingly women and girls are protected from violence, HTPs, exploitation, discrimination and are rehabilitated and reintegrated to enjoy and exercise their human rights

Indicator	Baseline	Target 2020	1st year Progress	2nd Year Progress	2 year Cumulative	MTR Assessed
14.1: Proportion of accepted CEDAW recommendations implemented	0	70%	No progress	No progress		🔴
14.2: Prevalence of sexual, physical, psychological violence against women and girls, child marriage and FGM	TBD for sexual, physical and psychological violence (surveys being conducted in 2016 to generate baseline) FGM 23.4 % and Child Marriage 41 %	Physical Violence(reduction by 40%), Psychological Violence (reducton by 40%) Sexual Violence(reduction by 70%) , (0.5% Child Marriage, 0.5% FGM)	23% Physical violence, 10% Sexual Violence, 34% Spousal Violence	No new progress	23% Physical violence, 10% Sexual Violence, 34% Spousal Violence	🟡
14.3: Number of women and girls survivors of violence and TIP (Trafficking in persons) accessing standardized and comprehensive services	4500 Survivors of Violence and 300 TIP, 3600 survivors from OSCs	15,000(Survivors and TIP) 9000 from the OSC	500 survivors and their children have accessed comprehensive services	1314 refugee women and girls	1814	🔴
14.4: % of reported cases convicted in targeted areas	82%	92% out of the prosecuted cases	65%	54%	65%	🟢

Output 14.1: Law enforcement agencies and judiciary have enhanced capacity to prevent and respond to violence against women and girls, including in humanitarian context.

14.1.1: No. of special investigation and prosecution units providing	20	100	Not reported	202	202	🟢

specialized services to survivors of violence						
14.1.2: No. of regions having a data management system on violence and TIP	0	4 regions set up database on violence and TIP survivors	1	1	1	🔴
14.1.3: % of reported cases which have been prosecuted	0.42	60% out of the investigated cases	116	75%	75%	🟢
Output 14.2: Improved coordination and accountability mechanism of government and nongovernment actors on ending child marriage, FGM/C and VAW						
14.2.1: Functioning secretariat tasked with coordinating key actors on ending child marriage and FGM/C at federal and regional levels	0	7(1 federal and 6 regions)	Not reported	Narrative reporting	Narrative reporting	⚪
14.2.2: No of regions with functional HTP platform	0	11	Not reported	6	6	🟢
14.2.3: No of sectors and non-government actors that are annually reporting on ending child marriage and FGM/C to the national/ regional HTP platforms	0	11	Not reported	Narrative reporting	Narrative reporting	⚪
14.2.4: No. of regions with coordination mechanisms and strategies to prevent and respond to violence against women and girls	5	11(including city administrations)	2	Narrative reporting	2	🔴
14.2.5: National Survey on VAW/G and HTPs made available	0	1	1	1	1	🟢
14.2.6: Number of member sectors reporting to the National Coordinating body on EVAWG	5	8	Not reported	Narrative reporting	Narrative reporting	⚪
Output 14.3: Increased capacity of community members, religious institutions and CBOs to eradicate negative stereotypes that perpetuate human rights violations of women and girls.						
14.3.1: No. of woredas that have declared	213 Kebeles, 92 Weredas	600 Kebles 300 Weredas	2 districts	169 kebeles 20 districts	169 kebeles 22 districts	🟡

abandonment of TIP and HTPs						
14.3.2: No. of community members participating in community conversations disaggregated by sex	1500	100,000	Narrative	403,084 ??	403,084	🟢
Output 14.4: Increased availability and accessibility of standardized and comprehensive services to survivors of violence including in humanitarian settings						
14.4.1: No. of service centres providing standardized and comprehensive services for women and girls survivors of violence and TIP	18 (12 safe houses/ Shelters, 3 one stop centres, 3 centres for trafficking in person)	34(16 safe houses/ Shelters, 11 one stop centres, 7 centres for trafficking in person)	4 safe houses & 1096 beneficiary survivors	4 safe houses & 870 survivors	8 safe houses & 1966 survivors	🟡
14.4.2: No. of referral pathways providing comprehensive services for women and girls survivors of violence and TIP	18	One national referral pathway (trafficking in person) and 97 referral pathways	Narrative reporting	Narrative reporting		⚪
Output 14.5: Enhanced capacities of institutions to coordinate, implement, track and report on national and international gender equality commitments						
14.5.1: No. of sector ministries with improved gender responsive and plans and budgets and reporting as per the gender/performance levelling tool	0	8 (level 4)	Not reported	1	1	🔴
14.5.2: No of sector ministries with gender sensitive plans and budgets as per the gender/ performance levelling tool	8	22 (Level 3)	1	1	1	🔴
14.5.3: A national data management system in existence for generation and dissemination of gender disaggregated data	0	1 (MoWCYA	Not reported	System has been tested		🟢
14.5.4: Number of functional gender coordination mechanisms at federal and regional level	1 (Federal level)	5 region	Not reported	6	6	🟢

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| 14.5.5: Action plan for the implementation of CEDAW recommendations developed and implemented | 0 | 1 | Not reported | In progress | In progress | 🟡 |
| 14.5.6: No. of national and local institutions' staff provided with capacity development on gender mainstreaming in education | A national needs assessment will provide the baseline and target for this indicator | | Not reported | Narrative reporting | Narrative reporting | 🔴 |

Outcome 15: By 2020, women, adolescents and youth are empowered to influence decisions that concern their life and the development of the country						
Indicator	**Baseline**	**Target 2020**	**1st year Progress**	**2nd Year Progress**	**2 year Cumulative**	**MTR Assessed**
15.1: Proportion of leadership positions at regional level held by women and youth	22%(Medium level-Women), 9.7%(Higher levelWomen) % Youth at regional council-TBD	50%(Women-Medium level), 30%(WomenHigher level) 35% Youth at regional council	No data	Not reported	No data	⚪
15.2: Number of young people(disaggregated by sex) that benefited from interventions (standardized livelihood and youth friendly services) that facilitate their active and meaningful participation in matters affecting their lives.	400,000	921, 600 (50% male/ female ratio)	Not reported	28,175	28,175	🔴
Output 15.1: Enhanced capacity of adolescents and youth to lead a healthy and productive life with a special focus on the vulnerable including in the humanitarian settings						
15.1.1: No. of out of school adolescents and youth who received youth friendly services including life skill education disaggregated by sex	390, 000	900,000 (50% male/ female ratio)	84,673	16215	100,888	🔴
15.1.2: No. of adolescents and youth who received	19294	31895 (50% male/ female ration)	1,650	1017	2,667	🔴

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livelihood support disaggregated by sex						
Output 15.2: Enhanced institutional capacities to update and implement existing policies, strategies and programmes targeting youth and adolescents						
15.2.1: Adolescent and youth development package and policy revised and endorsed at the national level	Adolescent and Youth Development package and policy	Revised policy and package	Draft ready	Still at draft stage	Draft stage	🟡
15.2.2: No. of regions that endorses and implement the revised adolescent and youth development package	0	7	Not reported	Not reported	Not reported	⚪
15.2.3: No of institutions that are providing youth friendly services as per the nationally set standards	179	300	80	No new progress	80	🔴
Output 15.3: Increased capacity of women, youth and adolescents to participate, organize and network for effective participation, leadership and decision making						
15.3.1: No. of functional youth organizations that effectively mobilize youth and adolescents to demand accountability by duty bearers	0	10	67	No new progress	67	🟢
15.3.2: No of regions that endorsed and implemented adolescent development and participation strategy	0	7	Not reported	Not reported	Not reported	⚪
15.3.3: National level standards for ethical and meaningful participation of youth developed and endorsed	0	Standards in place	Not reported	Not reported	Not reported	⚪
15.3.4: No of women civil servants and youth who acquired support for obtaining leadership and decision making skills	40	800	13	531	544	🟢

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ANNEX 4   MTR TERMS OF REFERENCE

I.   CONTEXT AND RATIONALE

The United Nations in Ethiopia is committed to support the Government's National development plan - Growth and Transformation Plan II (GTP II) - through the United Nations Development Assistance Framework (UNDAF 2016-2020). The UNDAF interventions are clustered around five pillars: Inclusive growth and structural transformation; Resilience and green economy; Investing in human capital and expanded access to quality social services; Good governance, participation and capacity development; Equity and empowerment. The UN's support through the UNDAF is mainly executed through Government implementing partners at the federal, regional and woreda level. The implementation of the UNDAF 2016-2020 was launched in July 2016. Following that two years Joint Work Plan for 2016-2018 has been prepared.

The Mid-Term Review (MTR) is not a mandatory requirement as per the United Nations Development Group (UNDG) Standard Operating Procedures (SOPs). Nonetheless, having reached the midpoint of the current UNDAF, the UNCT and MOFED have agreed to conduct a MTR to assess the results at the mid-point of the implementation period and asses the need for any mid-term adjustments to the current UNDAF so that it remains relevant to the national context, the current dynamics in the global development discourse in light of the SDGs and the SG's reform agenda including New Way of Working approach and Humanitarian-Development Nexus; to ensure improvements in performance and results in the remaining period of the UNDAF cycle by identifying implementation challenges and ways to overcome; and to provide early lessons learned which can support the preparation of the next UNDAF. The MTR will also satisfy the requirements for the annual review for second year of UNDAF 2017-2018.

II.   Purpose and Expected Results

Overall, the MTR will provide a common discussion forum between the UN, Government and partners on UNGovernment joint achievements through the UNDAF, challenges, and way forward in support of the Growth and Transformation Plan II and the emerging needs of the country. The revised UNDAF is also expected to have deeper linkages with the SDGs; and include more integrated approach to development and humanitarian nexus in line with New Way of Working approach. The UNDG programming principles, crosscutting themes, RBM principles in result framework, attention to vulnerable groups (incl. refugees, migrants, IDPs, persons with disabilities), regional dynamics and Cross-border programme with Kenya will be incorporated. More specifically, the purpose of this UNDAF MTR is to assess the achievement and progress made against the planned results, assess challenges, and draw lessons learned over the first half

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of the UNDAF 2016-2020. The review will also help to generate evidence and possible recommendations for fine tuning the UNDAF for the remaining period.

The MTR also will assess how emerging issues that were not reflected during the design of the UNDAF could impact the achievement of its outcomes, and make recommendations to ensure the continued alignment of UN assistance with national priorities and global goals to achieve robust results in the remaining period.

The MTR will assess the UNDAF results achieved thus far using commonly agreed criteria to validate the continued relevance, effectiveness, efficiency, coherence, sustainability and to some extent the impact of UNDAF in delivering on agreed outcomes. The MTR will serve as an input for the preparation of the joint work plans in the remaining two years.

The main objectives of the MTR process therefore include the need:

- To validate the continued relevance, effectiveness, efficiency, coherence, sustainability and the impact of UNDAF in delivering on the outcomes and their contribution to national development efforts;
- To review adequacy of the existing systems and coordination structures (the UNCT working groups and UNDAF Results Groups) for implementation of the UNDAF; conduct mapping and alignment of the UNDAF structures with the Government sector working groups;
- To provide inputs for the preparation of Joint Work Plans for the second half of the UNDAF July 2018 – June 2020 and M&E plan as needed;
- To provide input for agencies' CPD review processes or equivalent processes, the Resident Coordinator's annual report, and donor reports;
- To identify implementation challenges and operational issues, and provide inputs and early lessons learned for the preparation of the next UNDAF.

III.   Management of the Mid-Term Review

The MTR will be participatory and consultative process involving government and other implementing partners along with UN agencies participating in the UNDAF. The MTR process will be jointly lead by the UNCT and MOFEC. The consultations at various levels will be facilitated by MOFEC, the UN working groups and external consultant(s).

Taking in to consideration the participatory nature of the MTR process, the major role of the consultant (s) will be to review and analyse relevant documents from UN agencies, UN working

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groups, UNDAF results groups and implementing partners; collect any additional relevant information (such as through interviews with UN stakeholders and partners, conducting original research); preparing and presenting the draft MTR report based on the information collected at various level, finalizing the MTR report.

A MTR reference group from the government (MOFEC) and UN (PMT, representatives UNDAF results groups, M&E TWG, OMT and RCO) will support and guide the overall conduct and implementation of the MTR. The UN focal point for the UNDAF Mid-Term Review will be based in the RCO working under the direct supervision of the head of RCO supported by the M&E TWG and M&E analyst. The MOFEC focal point will be from the UN and regional economic cooperation directorate.

IV.   Responsibility of the Consultancy

The consultancy firm will be hired for a period of 4-6 weeks to support the MTR process at the national level and prepare the MTR report. The consultancy team should have highly qualified international and national consultants. The international consultant should team up with a national consultant to support the process in the best way possible to ensure the deliverables are achieved as outlined in this TOR. The consultants are expected to be on board in May 2018.

Overall the consultancy will be responsible for:

- Carrying out a thorough desk review of available progress and UNDAF annual reports from the UNDAF Results groups and participating agencies; and reports from implementing partners as provided by the MOFEC;
- Data collection and interviews to validate and complement the findings of the desk review;
- In close coordination with UNDAF Results groups, the M&E TWG, PMT, the UN Resident Coordinator's Office and MOFEC, producing a comprehensive analytical report for the UNDAF MTR on key results/achievements, strategic issues, gaps, relevance to emerging issues, review of the existing UNDAF coordination structures, lessons learned and recommendations;
- Supporting the Resident Coordinator's Office and MOFEC in organizing the national level MTR consultation workshop and presenting the key findings to discuss the findings, recommendations and implementation plan; and finalizing the MTR report thereafter reflecting comments received;
- Review and consolidate proposed changes to the UNDAF Results framework and narrative section;

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- Identify implementation/ operational challenges and provide recommendations.

V.   METHODOLOGY AND PROCESSES

The UNDAF MTR will be a participatory process jointly led by MOFEC and the UN supported by the external consultants. The consultants will be significantly involved in the collection and consolidation of primary and secondary data to beef up the report writing. The MTR exercise should be informative and forward looking.

The methodology of the MTR will involve both primary and secondary data collection through conducting various consultations with regional and national level implementing partners and the UN working groups. The primary data gathering process may include interviews with key stakeholders/partners and focus group discussions; these interviews may cover UN heads of agencies, UN programme staff, relevant government officials at both regional and federal levels, development partners, and civil society representatives. The MTR will use the UNDAF and Results groups Joint work plans as a basis for reporting on results. The consultants may consult relevant UN agency documents, including evaluations of specific agency programme documents, Annual Work Plans (AWPS), annual review reports, GTP II Annual report, DHS report, National survey and statistics, UNDAF annual results reports, global level documents on UN reforms, such as the QCPR, the SG's reform agenda and report to the UNGA and any other relevant documents. The consultants may also refer to other countries' experiences to cross-fertilize global experiences to enhance their recommendations.

The consultants shall touch base with Operations Management Team (OMT) representatives to discuss operational issues and BOS' support to the UNDAF implementation and identify operational challenges and opportunities.

UNDAF Results Groups, in consultation with the respective government IPs, will conduct thematic assessments of the overall progress towards UNDAF results against the indicators in the UNDAF results matrix/ M&E plan and the Joint work plans. The thematic assessments by the Results groups shall address:

- Describe key results achieved against each indicator (key achievements against the results in the UNDAF results framework and the joint work plan);
- Good practices, that should continue and/or replicated;
- Challenges, lessons learned and proposed actions to address the challenges;
- Provide inputs in to the development of Joint work plans;
- Issues for strategic-level discussion.

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During the preparation process the following steps will be taken:

- UNDAF Results groups shall prepare result reports indicating progress of the results against each indicator and provide brief progress analysis;
- Results groups shall collect data on financial expenditure from each contributing agency and generate a summary financial report per outcome;
- Results groups shall prepare a timeline for reporting and internal meetings in accordance with the overall timeline developed by the MTR reference group;
- M&E TWG and OMT will assign focal points to the results groups to provide support during the preparation;
- MOFEC will ensure that relevant federal government ministries will be fully engaged with the results groups during the preparation of analytical report;
- Lastly, there will be national workshop in late July to review the major findings emanating from the MTR. The consultations will encourage discussion on key strategic issues and proposed recommendations to inform fine tuning of the UNDAF for the remaining period. A summary report will be presented to the UNDAF high level steering committee for final endorsement.

VI.   DELIVERABLES

- Brief Inception report of the MTR.
- Secondary and primary data and analytical information.
- Draft UNDAF MTR report produced and shared with the UN and MOFEC.
- Final UNDAF MTR report.

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