

# Mid-Term Evaluation

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**ETHIOPIA**

MDG F- 1679

**Thematic Window:**     *Environment & Climate Change*

**Programme Title:**     *Enabling Pastoral Communities to  
Adapt to Climate Change and  
Restoring Rangeland Environment*

Project duration: 21.10.09–21.10.12

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Ethiopia Somali Region

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## Currency rates as of January 2012

100	Euro	2207	Birr
1000	Birr	45	Euro
100	US\$	1729	Birr
1000	Birr	58	US\$

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## Abbreviations

AWP	Annual Work Plan
BoARD	Bureau of Agriculture and Rural Development
BoEP	Bureau of Environment Protection or equivalent
BoFED	Bureau of Finance and Economic Development
CAHWs	Community Animal Health Workers
CC	Climate Change
CDM	Cleaner Development Mechanism
CRGE	Climate Resilient Green Economy
EPA	Environment Protection Authority
FAO	Food and Agriculture Organization
IAS	Invasive Alien Species
IGA	Income Generating Activities
IP	Implementing Partner
JP	Joint Programme (UNDP, UNEP, FAO)
LCRDB	Livestock, Crop and Rural Development Bureau (Somali)
LMC	Livestock Marketing Cooperatives
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MDT-F	Multi-Donor Trust Fund
MoA	Ministry of Agriculture
MoFED	Ministry of Finance and Economic Development
MTE	Medium Term Evaluation
NAPA	National Adaptation Plan of Action
NEX	National Execution Mode
NSC	National Steering Committee
OPADC	Oromia Pastoral Area Development Commission
PA	Pastoral Association
PARDB	Pastoral Agriculture & Rural Development Bureau
PASC	Pastoral Affairs Standing Committee of Ethiopia
PASDEP	Plan for Accelerated and Sustained Development to End Poverty
PC	Programme Coordinator
PCO	Programme Coordination Office
PEF	Pastoral and Environment Forum
PIT	Project Implementation Team (Kebele; Wereda)
PMC	Programme Management Committee
PMT	Programme Management Team
PMU	Programme Management Unit
PO	Project Officer (in the six districts)
PPR	Programme/Project Progress Report
PSC	Programme Steering Committee
RC	Resident Coordinator (UN)
RCO	Resident Coordination Office
SDPRP	Sustainable Development and Poverty Reduction Programme
SME	Small and medium-sized enterprise
SNNPR	Southern Nations Nationalities and Peoples' Regional State
SPIF	Disaster Risk Management Strategic Programme Investment Framework
SRS	Somali Regional State
TG	Target Group
TOR	Terms of Reference
ToT	Training of Trainers
UN	United Nation
UNCT	UN Country Team

UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
WATSAN	Water and Sanitation
WASH	Water Supply, Sanitation & Hygiene
WFP	World Food Programme

## I. SUMMARY

### The Situation in Brief

<b>Country</b>	<b>Ethiopia</b>					
<b>Region</b>	<b>Afar, Somali, SNNPR, Oromia</b>					
<b>Project Title</b>	<b>Enabling pastoral communities to adapt to climate change and restoring rangeland environments</b>					
<b>Project No:</b>	<b>MDGF-1679</b>					
<b>UN Agency</b>	<b>UNDP United Nations Development Programme</b> <b>UNEP United Nations Environment Programme</b> <b>FAO Food and Agriculture Organization of the United Nations</b>					
<b>Implementing Agency</b>	<b>MoA Ministry of Agriculture</b> <b>EPA Environmental Protection Authority</b>					
<b>Project Duration</b>	<b>PN</b>	<b>Start</b>	<b>End</b>	<b>Months</b>		
	<b>MDGF-1679</b>	<b>21.10.2009</b>	<b>21.10.2012</b>	<b>36</b>		
<b>Finance</b>			<b>Total Budget including indirect support cost</b>	<b>Total Budget</b>	<b>Total Budget disbursed to UN agencies</b>	<b>Released Budget Remainder</b>
			<b>US\$</b>	<b>%</b>	<b>US\$</b>	<b>% US\$</b>
	<b>1</b>	<b>UNDP</b>	1,548,290	38	1,245,273	80% 303,017.0
	<b>2</b>	<b>UNEP</b>	422,650	11	422,650	100% -
	<b>3</b>	<b>FAO</b>	2,029,060	51	1,747,968	86% 281,092.0
		<b>Total</b>	<b>4,000,000</b>	<b>100</b>	<b>3,415,891</b>	<b>85% 584,109</b>
<b>Brief-Situation</b>	<ul style="list-style-type: none"> <li>MTE 27 months after programme start or 8 months before project ends</li> <li>65% of the total approved budget (of \$4 million) still remaining (compare to 22% of the remaining project life).</li> <li>\$1.6 million has been disbursed (43% of the total budget); of which \$1.3 million has been utilized (80%).</li> <li>Many of activities related to <i>Outcome 2</i> and <i>Outcome 3</i> are delayed. Activities related to <i>Outcome 1</i> are well underway.</li> </ul>					



## 1 Introduction

1. The mid-term evaluation is part of the efforts being implemented by the MDG-F-Secretariat, as part of its monitoring & evaluation strategy, to promote learning and to improve the quality of the 128 joint programs in 8 development thematic windows with respect to the basic evaluation criteria inherent to evaluation: relevance, efficiency, effectiveness and sustainability.
2. This evaluation was conducted in line with the principles outlined in the Evaluation network of the Development Assistant Committee (DAC) - as well as those of the United Nations Evaluation Group (UNEG).
3. Because of the limited time period for implementation of the programs (3 years at most), the mid-term evaluations have been devised to serve as short-term evaluation exercises.
4. In this case the MTE comes rather late and the analysis it contains focuses on the joint program about 27 months after the programme was officially launched (21.10.09).
5. It focuses in particular on the utility and use of the evaluation as a learning tool to improve the joint programs and widely disseminate the lessons learned.
6. On the one hand, this MTE offers an independent snapshot of the programme progress, and on the other hand it should reflect the challenges posed by initiatives of the MDG-F; the change in living conditions for the various populations vis-à-vis the Millennium Development Goals, the improved quality of assistance provided in line with the terms and conditions outlined by the Declaration of Paris, as well as progress made regarding the reform of the United Nations system following the “*Delivering as One*” initiative.

## 2 Relevance

7. Because of the frequency and intensity of drought, coupled with increased frequency of other extreme weather events due to climate change, such as rising temperatures, the project has high priority regarding the mostly livestock-dependent people in the pastoral areas in Ethiopia. The people here have an urgent need to plan and manage the drought cycle and understand drought risks for better preparedness, which can contribute to the poverty reduction in this region. For the pastoralists, there is an urgent need to develop adaptation approaches which are then reflected in the country’s political development strategies. It is essential to reframe policy towards responses that shift the development paradigm which cause the climate problems and vulnerability in the first place.
8. The Government of the Federal Democratic Republic of Ethiopia has initiated the Climate-Resilient Green Economy (CRGE) initiative to mitigate the adverse effects of climate change on the country and to build a green economy that will help realise Ethiopia’s ambition of reaching middle income status before 2025.
9. At the COP 17 climate negotiations in Durban in December 2011, shortly before this MTE was conducted, Ethiopia launched a strategic partnership on climate change, to collaborate on international climate policies that provide support for Ethiopia’s Climate-Resilient Green Economy. The whole society will be integrated in this ambitious effort, which aims to create jobs through the development and greening of the seven economic sectors: power supply, cities and buildings, forestry, livestock, agriculture, industry and transport.

10. The Government of Ethiopia has made and continues to make significant efforts to address poverty in rural areas. Its five-year Growth and Transformation Plan (GTP) for 2010/11-2014/15 carries forward the successful strategies of the previous Plan for Accelerated and Sustained Development to End Poverty (PASDEP) and will directly address the climate change and environment issues in a separate section. Here, this programme will provide policy support which can play a constructive role in mainstreaming climate change adaptation and mitigation options into the development plans, key sector policies and strategies. The contributions of the Climate Change Adaptation & Mitigation Plan for the integration in the Growth and Transformation Plan (GTP) are expected to be effective at least up to year 2015.
11. Ethiopia adopted the Millennium Declaration in 2000. The main development objective of the Ethiopian Government is poverty eradication, and the development policies and strategies of the country are geared towards this end. The 2010 MDG progress report published in September 2010 reveals Ethiopia's position in achieving of the targets set for each goal. By spending more than 60 percent of its total expenditure on poverty-oriented sectors such as agriculture, education, health, water and road development during the last seven years, the government has maximized its efforts and shown the highest level of dedication to bring about pro-poor economic growth. The percentage of the population living below the poverty line had declined to 29% as of 2009/10.
12. The joint programme's relevance is enhanced by its ability to develop the Ethiopian government's Growth and Transformation Plan (GTP) and the country's Climate Resilient Green Economy (CRGE) towards climate change adaptation and mitigation issues.
13. Consulted stakeholders from government institutions confirmed the high relevance of this programme to their institutional policy and environmental views.
14. Relevance of the programme with regard to the UN priorities in the country is reflected in the UNDAF programme document, which describes five collective actions and strategies that are in line with the Ethiopian government's Growth & Transformation Plan (GTP).

### 3 Effectiveness

15. The programme has been delayed due to a slow start-up phase. Undecided initial ownership and a slow project implementation process caused a delay of about nine months. In addition the delay has been exacerbated by a significant lag in the programme implementation, resulting from the programme's process design and the delays in budget transfers particularly to the IPs.
16. The delay is significant, and makes it highly uncertain that the activities can be implemented and the results achieved within the original time frame.
17. The programme contributes to the objectives and the thematic windows of the MDG-F objectives. It produced climate change concepts (Climate Change Adaptation & Mitigation Plan) which are intended to be integrated into the country's Growth and Transformation Plan (GTP) and may also contribute to Ethiopia's recently launched Climate Resilient & Green Economy strategy (CRGE). The programme also produced toolkits and its climate change adaptation manual will mainstream climate change mitigation and adaptation options into the policy frameworks.
18. The programme contributes actively to the achievement of MDGs through programme contributions that link policy-level and strategy-level activities in the country. However, at this early stage of programme implementation and due to the lack of an impact monitoring



system, it can be only assumed that all Outcomes will contribute positively towards MDGs.

19. Capacity development is a cross-cutting issue in the programme. Trainings for the beneficiaries on the climate change and mitigation were perceived as very helpful and were very much appreciated by the participants.
20. However, no assessment has been made of the capacity needs of existing pastoral communities institutions and relevant federal, regional and local government institutions to define immediate and critical capacity needs of key government and community institutions, and no community based early-warning and response systems (EWS) integrated into existing national EWS have been adopted as yet.
21. Possible synergistic effects of the joint programmes are largely unexplored but it can be assumed that, due to the cooperation of the various agencies in the improved planning, designing, and information sharing, the joint programme has added value to the programme.
22. The MTE confirmed a high level of national ownership of the programme. Government ownership is enhanced by establishing a mainstreamed programme implementation governance structure from the federal down to the community level. Community members are motivated to own the activities and will continue programme initiated livelihood activities in future.
23. The JP will serve as a catalyst through pilot interventions at the national and sub-national levels in mainstream CC adaptation options as well as in the improvement of a sustainable livelihood base for the pastoral communities. The initiated pilot activities (Outcome 3) in the four regions aimed to achieve tangible and sustainable impacts that will be replicable for other pastoral communities in the country. However, most of these components have not been accomplished, or major activities have not yet begun, and diffusion of project activities to other areas cannot be detected as yet.
24. Management of MDG-F resource distribution was set up to include clear roles and responsibilities for each UN agency as well as clear fund management arrangements. Each UN agency has been linked to specific programme activities and is technically and financially responsible for this implementation.
25. Each of the three UN organisations has its own regulations and process requirements. This disharmony of regulations has contributed to a cycle of delays resulting in ineffective programme implementation (corrective actions, loss of momentum in project execution) and work overload on the part of implementers.

#### **4 Efficiency**

26. The overall operation of the programme is anchored in a coordination system between the independent UN and government agencies that are responsible for the implementation of joint programme activities. According to the stakeholders interviewed, the principal set-up of these mechanisms is adequate and joint programme organisation units are in place and functional.
27. The program coordination office (PCO) in its operational sphere between UN agencies and government agencies lacks the authority and assertiveness to take immediate action to eliminate revealed shortcomings of the programme. Therefore the efficiency of the PCO

should be reviewed with regard to its mandatory power and the decision-making authority for the joint programme.

28. The JP is far behind schedule. Many programme activities had to be postponed again and again over time and the accumulated project activities for this year put all of the programme participants under pressure to accomplish activities within the remaining project period.
29. There is a significant lag in the programme implementation that is traceable to the programme's process design and operating system, resulting issues included, for example: late recruitment & frequent changes of regional programme focal persons, reshuffling of district administrations, weak regional human resource management & support by the programme, lack of transport facilities for M&E, inconsistency of financial procedures and the associated delays of fund disbursements to the IPs, communication and inefficiency of the programme monitoring-system.
30. Unless the JP addresses these shortcomings (planning, financial and resource management, monitoring, etc.) immediately, they will not achieve the planned programme results as originally planned.

## **5 Sustainability and Potential Impacts**

31. No strategy for the sustainability of JP achievements has been drawn up for the programme, but the high level of ownership is nonetheless a good precondition towards sustainability.
32. The policy support provided by the JP can play a constructive role in mainstreaming climate change adaptation and mitigation options into Ethiopia's development plans, key sector policies and strategies, which can have a sustained impact since this will be reflected in the current Growth & Transformation Plan (GTP), which is effective at least up to 2015.
33. Activities such as capacity building measures can raise the awareness of political decision-makers as well as pastoral communities with regard to climate change and environmental issues, who in turn can act as multipliers, applying ideas and knowledge on climate change in their respective areas of life.
34. The integration of appropriate livelihood measures has motivated pastoralists to participate actively in the programme execution and has engaged them in self-development efforts.

## **6 Conclusion**

35. The weak programme planning led to an inefficient operationalizing set-up of the JP. Aspects of a participatory approach in programme planning, budget and resource planning as well as in conducting essential surveys for the inception phase have been neglected.
36. These programmes are highly relevant for the country and can enhance and contribute to, at least in the medium term, the development of the Ethiopian government's Growth and Transformation Plan (GTP) towards climate change adaptation and mitigation issues.
37. In respect of effectiveness, the programme is far behind schedule. In aspects of outputs it has some positive effects (ownership, catalyst through pilot interventions), but the overall effectiveness of the programme is being negatively affected by its low performance in the implementation and the achievement of programme results (especially Outcome 2+3).

38. It is very unlikely that the programme can be completed in the remaining eight months' time. A substantial improvement of the operational programme procedure is crucial to implement activities if the expected results are to be achieved in the remaining project time or with an extension of another eight months.
39. An integrated Communication & Advocacy Strategy for the programme has been developed but not implemented because of the failed budget allocation for this activity. Therefore the JP with its achievements lacks visibility in the country.
40. The overall efficiency of the joint programme is affected by the delay of the start-up and the low performance caused by its process design and in the operating system (human resource management, financial procedures, monitoring and evaluation system) and the lacks of authority of the programme coordination office (PCO).
41. These deficiencies must be eliminated immediately to increase the likelihood of achieving the planned programme results as scheduled. Furthermore, at this stage they are not eligible for an extension of this programme according to the implementation guidelines for MDG-F programmes.
42. The strong ownership of the programme by the national partners is a good precondition towards sustainability of the project.
43. The implementations of income-generating activities which mainstream gender issues have not started yet and in the short programme period remaining, the responsibility for follow-up support is not yet clear. In view of the remaining time the MTE recommends a thorough review of this programme module.
44. An appropriate monitoring system in accordance with the Programme Monitoring Framework (PMF) and the overall M&E guidelines set by the MDG-F Secretariat to assess impacts of this programme has been not installed.
45. The sustainability of the programme intervention may be high due to the high ownership but this depends very much on the outstanding commitments (e.g. of governmental authorities and their extension services) and a well-thought-out exit strategy, or on a sustainability strategy developed by the responsible local partners. Furthermore there is a need for enhanced linkage of MDG-F Project with DRR and DRS projects being implemented in the same region (Afar, Somali).

## 7 Lessons Learned

46. The design and preparation of such programmes should include a well elaborated inception phase that requires a participatory approach (integration of the community).
47. A participatory programme design leads to strong ownership which in turn increases the sustained impact of interventions.
48. To encourage pastoralists in the use of new innovative approaches, a much longer support programme which includes trainings and intensive practical assistance is required.
49. The combination of disaster risk management activities e.g. capacity building (software component) and poverty reduction measures e.g. water construction (hardware component) has synergistic effects in the mobilization of the target group.
50. Programmes should take adverse external factors (climate) into account, as well as unfavourable periods for starting and financing activities, especially in agricultural and

construction sectors which comprise components that depend solely on climatic season.

51. The development of an exit strategy should be an integrated part of each programme to strengthen the capacity-building process, enabling country agencies to sustain initiatives.

## **8 Recommendation**

1. In consideration of the current situation, the programme has to accelerate the implementation process and act immediately to implement activities in order to achieve the expected results in eight remaining months of the project duration.

### **Workshop**

2. The JP should carry out a *General Workshop* under consideration of all identified key recommendations.
  - 2.1. This workshop with all relevant joint programme stakeholders should elaborate new strategies to overcome administrative & process challenges to take rapid measures and take into consideration strengths and weaknesses as described in this report.
  - 2.2. Outcomes of the workshop should be available within thirty days of the final version of the MTE report, and before a no-cost extension request or third year disbursement can take place.

### **Revision of the joint programme**

3. In consideration of the remaining project period as well as the special demands of the implementation of innovative pilot projects, the revision of Outcome 3 (especially Output 3.3 "*Income-Generating Activities*") is recommended by the MTE.

### **Efficiency**

4. To increase the efficiency of programme implementation, the JP should consider the option of establishing a professional team for monitoring and technical backstopping of regions that require immediate support to accomplish activities within the remaining period.
5. The JP should ensure regular and timely salary payments. Budget lines for salaries as well as for operational costs should be independent of programme activities to ensure smooth disbursements.

### **Communication & Management**

6. The JP should encourage transparent and vital communication processes between all levels of the programme to develop a corporate project identity, increase commitments to the JP, encourage knowledge sharing and increase transparency.
7. The programme should conduct a need assessment of the regional programme staff in terms of the joint programme requirements for administrative procedures, reporting, budgeting, and technical skills required by the programme.
8. Project Management Committee meetings should be institutionalized for closer follow up. Information about the outcomes of these meetings should be made available to all stakeholders involved in this programme immediately.
9. The efficiency of the program coordination office (PCO) should be reviewed by the JP management stakeholders with regard to its mandatory power and the decision-making authority for the JP.

10. The allocation of transport facilities is crucial in order to monitor the implementation of project activities and ensure the quality of execution. The provision of motorcycles for the focal persons in the six implementation weredas has still not been realized. The PMC in cooperation with the IPs should find an immediate solution to this issue.
11. The release of UNDP funds on a basis of six months (instead of three months) should be considered by the UN and UNDP. It would improve the continuity of the project execution.
12. The financial delivery procedure of the JP should be improved. The introduction of a financial tracking system by the JP could help to pinpoint bottlenecks and obstacles in the financial distribution system.

### **Monitoring and Evaluation**

13. In order to ensure the sustainable quality and the progress of the joint programme, the establishment of a reliable and appropriate monitoring system in accordance with the Programme Monitoring Framework (PMF) and the overall M&E guidelines set by the MDG-F Secretariat is recommended.
14. The programme should link the design of an adequate M&E system, with verifiable thematic indicators, to the recently conducted baseline survey to form a reference system for investigations and assessments of program impacts

## II. MAIN TEXT

### 1 Introduction and Background

- 1 The MDG Achievement Fund (MDG-F) is an initiative funded by the Government of Spain and implemented by UN agencies to support countries in their progress towards the Millennium Development Goals (MDGs) and other development goals by funding innovative programmes that have an impact on the population and potential for duplication.
- 2 The Fund operates through UN teams in each country and uses a joint programme (JP) mode of intervention that is divided into eight thematic windows corresponding to the eight MDGs. There are currently a total of 128 approved joint programmes in 50 countries.
- 3 The MDG-F supports in total five UN joint programmes in Ethiopia with a value of about US\$ 25 Mio. (see Table 1).

**Table 1. MDG-F Joint Programmes in Ethiopia**

JP-Ethiopia	US\$
MDGF-2053-D-ETH- Edible Oil Value Chain	3,000,000
<b>MDGF-1679-E-ETH Enabling pastoral communities...</b>	<b>4,000,000</b>
MDGF-1791-G-ETH Harnessing Diversity	5,000,000
MDGF-2034-I-ETH National Nutrition	7,000,000
MDGF-1644-B-ETH Leave No Woman Behind	7,500,000
<b>TOTAL</b>	<b>≈25,000,000</b>

Source: MDG-F-Ethiopia programme documents

- 4 The programme evaluated herein, *Enabling pastoral communities to adapt to climate change and restoring rangeland environments (MDGF- 1679)*, is one of the United Nations joint programmes (JP) and belongs to the thematic window *Environment and Climate Change*. This thematic window aims to help reduce poverty and vulnerability in eligible countries by supporting interventions that improve environmental management and service provision at the national and local levels, as well as by increasing access to new funding mechanisms and expanding the ability to adapt to climate change. This window seeks to contribute to three types of result: (i.) mainstream the environment, natural resource management and actions against climate change in all public policy; (ii.) improve national capacities for planning and implementing concrete actions that benefit the environment; and (iii.) assess and improve national capacities for adapting to climate change.
- 5 This programme contributes towards the attainment of MDG Goal 7, ensuring environmental sustainability, and at the same time contributes to the achievement of MD Goals 1 (poverty eradication), 2 (education), 3 (gender equality), and 4 (health).
- 6 This programme is supported by funding in the amount of US\$ 4 million for a period of three years. The programme was approved in August 2009 and the official programme starting date was 21 October 2009. The first funds were transferred in that same month. The three year programme will end 21 October 2012.
- 7 This JP has been signed on behalf of the Government of Ethiopia (GoE) by the Ministry of Finance & Economic Development (MoFED), the Environment Protection Authority (EPA), the Ministry of Agriculture and Rural Development (now Ministry of



Agriculture) and on behalf of Spain, the Embassy of Spain in Ethiopia. The UN Resident Coordinator is signatory on behalf of the United Nations, together with the three participating UN JP agencies UNDP, UNEP and FAO. The UNDP is the administrative agent (AA) for the joint programme.

- 8 The JP will primarily be implemented through government partners (MoA, EPA, BoARD, and regional IPs) and is coordinated by the MoA and the BoARD's district counterpart offices. Funds from participating UN agencies will be channelled to the regional Bureau of Finance and Economic Development (BoFED) for regional-level activities. The three UN agencies (FAO, UNEP, UNDP) within the framework of UNDAF and the "Delivering as One" agenda provide technical support for these implementing partners.

## 1.1 Objectives of the Evaluation

- 9 The unit of analysis or object of study for this mid-term evaluation is the joint programme "Enabling pastoral communities to adapt to climate change and restoring rangeland environments (MDGF-1679)", understood to be the set of components, outcomes, outputs, activities and inputs that are detailed in the joint programme document and in associated modifications made during implementation. The mid-term evaluation has the following specific objectives:
  - 9.1 Discover the programme's design quality and internal coherence (needs and problems it seeks to address) and its external coherence with the UNDAF, the National Development Strategies and the MDGs, and determine the degree of national ownership as defined by the Paris Declaration and the Accra Agenda for Action.
  - 9.2 Understand how the joint programme operates and assess the efficiency of its management model in planning, coordinating, managing and executing resources allocated for its implementation, through an analysis of its procedures and institutional mechanisms. This analysis will seek to uncover the factors for success as well as limitations in inter-agency tasks within the One UN framework.
  - 9.3 Identify the programme's effectiveness among its participants, its contribution to the objectives of the Economic Governance thematic window, and the MDGs at the local and/or country level.

## 2 Scope of the Evaluation

- 10 The assessment in this evaluation considered programme elements from the actual programme start in October 2009 until January, 2012.
- 11 The JP officially started on 21 October 2009 when the first funds were transferred to the UN agencies. In this case this MTE comes rather late and the analysis contained focuses on the joint program about 27 months after the programme was official launched. However, the actual or *practical* programme start-up was on 8 July 2010 and thus nine months later.
- 12 The evaluation used an expedited process to carry out a systematic, fast-paced analysis of the planned, on-going, or completed joint programme interventions with the goal of determining the programme's relevance, efficiency, effectiveness, impact and sustainability.
- 13 The evaluation will assess three levels of the programme:

- 14 **Design level: Relevance** within an evaluation relates to the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, the MDGs, global priorities and partners' and donors' policies.
- 15 With respect to the ownership of the programme design, the evaluation examined the extent to which the country's national and local authorities and social agents have been taken into consideration, have participated, or have become involved at the design stage of the development intervention.
- 16 **Process Level: Efficiency** measures how economically resources/inputs (funds, expertise, time, etc.) are converted to results including cost-efficiency, timely achievement, and whether the project was implemented in the most efficient way. Furthermore the evaluation assessed the extent to which the target population have taken ownership of the programme and its achievements and whether counterpart resources have been mobilized.
- 17 **Result Level: Effectiveness** reveals the extent to which development intervention objectives were achieved, or are expected to be achieved, taking into account their relative importance. In addition, it measures the extent to which an intervention has attained, or is expected to attain, its major objectives efficiently and sustainably.
- 18 **Sustainability** means the continuation of benefits from a development intervention after major development assistance has been completed, i.e. the probability of continued long-term benefits and the resilience to risk of the net benefit flows over time.

### 3 Methodological Approach

- 19 Preparations for the evaluation were made in Germany in coordination with the MDG-F evaluation secretary and the PCO in Ethiopia, on the basis of various documents from the evaluated project (e.g. monitoring reports, MDG-F mission reports, minutes from management meetings and correspondence, as well as an initial briefing with the focal point in the MDG-F Secretariat for the country programme, and communications between the consultant and the country team to agree on priorities for the in-country visit agenda). As references, official and grey documents on the general poverty situation and official strategic poverty alleviation by various international organizations were also consulted. Questionnaires were submitted to the programme management office to gather basic information for the country mission in Ethiopia.
- 20 The in-country mission was carried out between January 23 and February 3, 2012 (see work plan Annex 6). The main data collection techniques comprised literature reviews, briefings, debriefings, structured and unstructured interviews, group meetings and Focus Group discussions. The field visits to two of the four project regions (Somali Region, Oromia; see Figure 2) allowed the collection of information from the pastoral beneficiaries. Interviews with all key stakeholders (final and institutional beneficiaries, implementation and external stakeholders) were conducted.
- 21 A debriefing to present preliminary findings was held in Addis Ababa with country team staff to discuss results and the most important findings of the MTE.
- 22 A draft MTE report was prepared and shared with the MDG-F and country team in accordance with the timeline set out in the TOR.
- 23 A revised version will be submitted after corrections and the evaluator's consideration of comments from the Evaluation Reference Group and the MDG-F Secretariat.

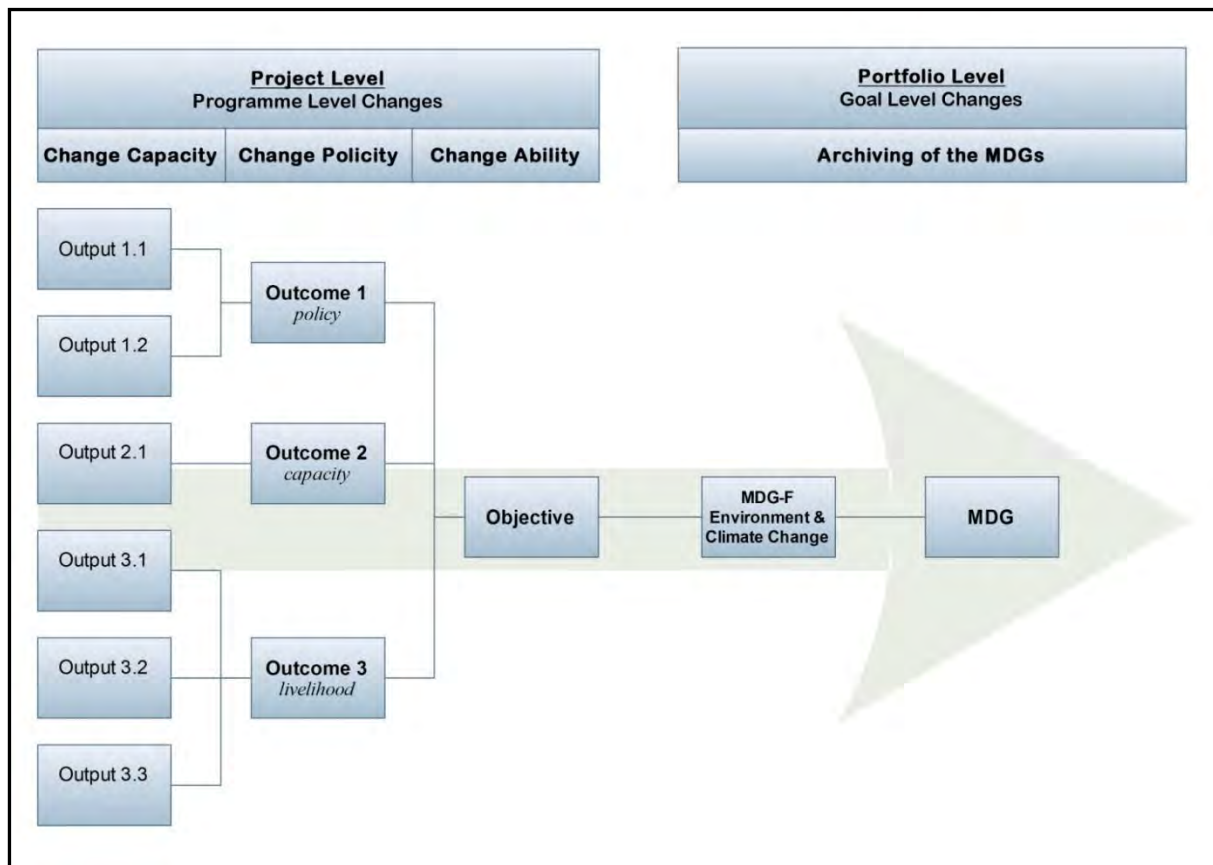
### 3.1 Limitations

- 24 The security ID application process at UN-HQ took an entire afternoon, necessitating cancellation of two meetings scheduled for that day.
- 25 Due to high staff turnover the history and institutional knowledge with respect to the programme planning and execution was not always ensured.
- 26 Due to a puncture that occurred while in the Oromia Region, the Evaluation Team lost a half day in the time schedule.
- 27 The MTE schedule was initially overbooked, especially in Addis Ababa. The temporal sequence of appointments was set too close to permit detailed discussions with the UN agencies and IPs in the first days.

### 3.2 Expected Results

- 28 The JP believes that the project will contribute significantly to the objectives of environmental policy in Ethiopia and enhance the policy environment to enable effective planning and execution of pastoralist-related climate change adaptation and mitigation measures. It would enable the communities to generate additional income through livelihood diversification, thus contributing toward achievement of the country's growth and poverty-alleviation targets.
- 29 The programme, addressing the objectives of climate change adaptation and mitigation among pastoral communities, is aligned with the principles and objectives of the MDG-F in that it is an intervention-based programme, in line with MD Goal 7, ensuring environmental sustainability of interventions (Figure 1 ).

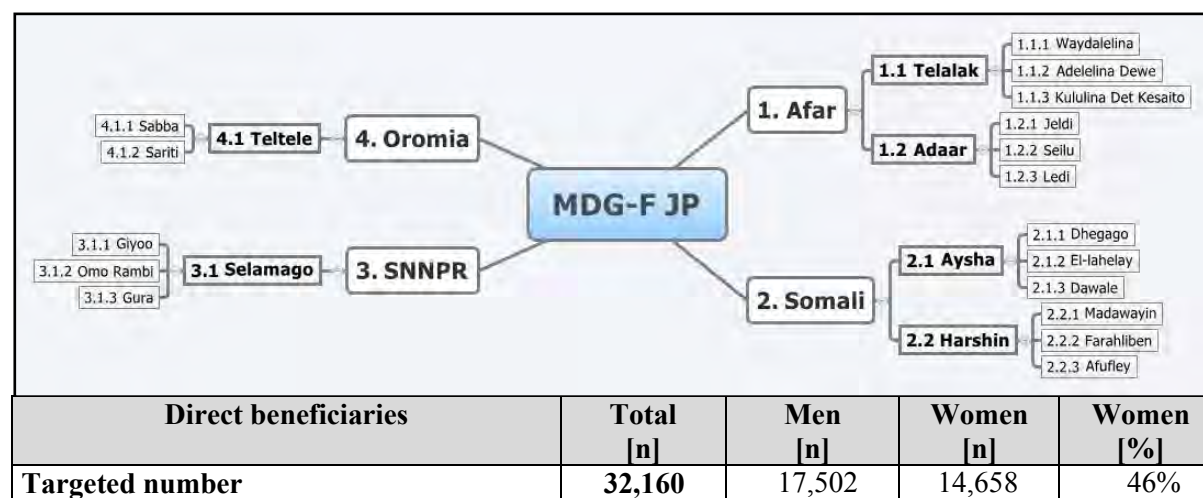
**Figure 1: Project-level outputs, outcomes, objectives and the objectives & goals of the MDG-F thematic windows for adaptation.**



Source: Author

- 30 Through capacity building and promoting the integration of climate change adaptation into policy and plans, the JP shall provide key lessons and instruments for ensuring sustainability of the initiatives aimed at reducing community vulnerability to drought risk and climate change in six districts in Afar, SNNPR, Somali and Oromia regional states, with a planned total of about 32,160 direct beneficiaries (M: 17,502 F: 14,658) (Figure 2).
- 31 In view of limited funds, the aim is to achieve a tangible and sustainable impact on the community by concentrating on a few areas in the four regions, characterized by a large pastoral community dependent on livestock under fragile ecological conditions that are highly vulnerable to climate change. Six project weredas were selected by the regional government institutions, BoFED (Bureau of Finance and Economic Development), PARDB (Pastoral Agriculture & Rural Development Bureau (Afar) and LCRDB (Livestock, Crop and Rural Development Bureau (Somali) as well as pastoral commissions in Oromia and SNNPR. The four selected regions should be pilot areas for policy/capacity and innovative alternative livelihood approaches that can be replicated among various pastoral communities. Target Kebeles were selected by the respective wereda offices in collaboration with the regional Bureaus. The selection criteria were: level of vulnerability, localities most affected by climate change, accessibility (for follow-up and M&E), and the potential to serve as models for other pastoral communities.

**Figure 2: Target region and number of target beneficiaries of MDGF-1679 (Enabling pastoral communities to adapt to climate change and restoring rangeland environments), Ethiopia**



Source: Author (data from MDGF-F 1679)

- 32 The programme's approach is in line with the needs of the vulnerable groups and with Ethiopia's general policies of strengthening nationwide actions related to climate change adaptation and greenhouse gas emission mitigation. The programme recognizes that the achievement of the MDGs is very much dependent on the impacts of climate change where pastoralists in particular are becoming increasingly vulnerable.
- 33 With regard to the theory of change, the project has three main strategies (outcomes) to achieve these changes.

### **Outcome 1:**

Climate change mitigation and adaptation options for pastoralists are mainstreamed into national/sub-national development frameworks (development plans, strategy, policies)

### **Outcome 2:**

Government and pastoral institutional capacities to effectively respond to the climate change risks and challenges are strengthened

### **Outcome 3:**

Pastoral community coping mechanisms/sustainable livelihoods are enhanced

## **4 Relevance**

**Relevance** within an evaluation relates to the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.

### **4.1 Relevance to Core Problems of the Target Group**

- 34 Ethiopia has an estimated total pastoral area of about 625,000 km<sup>2</sup>, or 57% of the country's total area, of which the Afar, Somali, SNNPR and Oromiya rangelands comprise 52, 24, 14 and 5 percent respectively. The primary resource for the livelihood of the pastoralists (12-15 million) is animal husbandry, which depends highly on the

rangelands. The productivity of rangelands in Ethiopia is primarily dependent on climate (rainfall).

- 35 Because of the frequency and intensity of drought, coupled with increased frequency of other extreme weather events due to climate change, such as rising temperatures, the project has high priority regarding the mostly livestock-dependent people in the pastoral areas in Ethiopia. The people here have an urgent need to plan and manage the drought cycle and understand drought risks for better preparedness, which can contribute to the poverty reduction in this region.
- 36 For the pastoralists, there is an urgent need to develop adaptation approaches which are then addressed in the country's political development strategies. It is essential to reframe policy towards responses that shift the development paradigm which cause the climate problems and vulnerability in the first place.

## 4.2 Objectives of the Partner Country

- 37 Climate change poses a serious threat to the alleviation of poverty in Ethiopia. In terms of policy, Ethiopia adapts and mitigates the impacts of climate change through the development of responsive and nationally appropriate policy and practical adaptation and mitigation measures while lobbying for international solidarity, equity and climate justice.
- 38 Accordingly, Ethiopia has ratified the UNFCCC (1994) and its related instrument, the Kyoto Protocol (2005), and submitted its initial national communications (in 2001) and *National Adaptation Programme of Action* (NAPA) (in 2007) to the UNFCCC. The country also submitted its *Nationally Appropriate Mitigation Action* (NAMA) plan to the UNFCCC by the end of January 2010. The country has completed the preparation of a new work programme for action *Ethiopian Programme of Adaptation to Climate Change* (EPACC), which replaces the project-based NAPA (Epsilon, 2011). The draft of the Disaster Risk Management Strategic Programme Investment Framework (SPIF) with the overall goal of reducing disaster risk and the impact of disasters through the establishment of a comprehensive and integrated disaster risk management system is currently being prepared in Ethiopia.
- 39 At the international launch of the country's *Climate Resilient Green Economy* (CRGE), at the COP 17<sup>1</sup> climate negotiations in Durban, the governments of Ethiopia, Britain and Norway launched a strategic partnership on climate change, to collaborate on international climate policy and provide support for Ethiopia's CRGE. This CRGE is an Ethiopian vision to build a climate-resilient green economy by 2025. It will require a co-ordinated and sustained effort by all parts of Ethiopian society – the government, civil society, academia and, most importantly, the public. The Climate Resilient Green Economy Strategy aims to create jobs through the development and greening of seven economic sectors: power supply, cities and buildings, forestry, livestock, agriculture, industry and transport.
- 40 Under the *Plan for Accelerated and Sustained Development to End Poverty* (PASDEP), implemented from 2005/06 to 2009/10, Ethiopia achieved rapid economic growth and laid a foundation for future growth by making substantial investments in infrastructure and human capital. The *Growth and Transformation Plan* (GTP) for 2010/11–2014/15

<sup>1</sup> Climate Conference Durban: The 17th Conference of the Parties (COP17) to the United Nations Framework Convention on Climate Change (UNFCCC) (28 November to 11 December 2011)



formulated by the Ethiopian government carries forward the important strategic directions pursued in the PASDEP and directly addresses the climate change and environment issues in a separate section. The GTP aims to i) Enhance productivity and production of smallholder farmers and pastoralists, ii) Strengthen marketing systems, iii) Improve participation and engagement of the private sector, iv) Expand the amount of land under irrigation, and v) Reduce the number of chronically food insecure households. The overall target is at least 8.1% annual agricultural growth over the five-year period. Sub-sectoral targets include tripling the number of farmers receiving relevant extension services, reducing the number of safety net beneficiaries from 7.8 to 1.8 million households, and more than doubling the production of key crops from 18.1 million metric tonnes to 39.5 million metric tonnes (ATA 2012).

### 4.3 Relevance to the UN Objectives and the Joint Programme

- 41 Ethiopia was one of the 189 member states that adopted the Millennium Declaration in 2000 and committed itself to the achievement of the Millennium Development Goals (MDGs). The main development objective of the Ethiopian Government is poverty eradication, and the development policies and strategies of the country are geared towards this end. The 2010 MDGs progress report published in September 2010 reveals Ethiopia's position in achieving the targets set for each goal (Annex 3 summary of MDGs)
- 42 The UNDAF provides a framework under consideration of the UN reform process (*One UN*) and the commitments laid out in the Paris Declaration on Aid Effectiveness and Accra Agenda for Action and identifies new key priorities for the next five years (2011-2015) in alignment with key areas of the Government's Growth and Transformation Plan (GTP) (2011-2015) of Ethiopia. Key areas here in relevance to the JP are: natural resource management (including water resources, biodiversity, land productivity), climate change, community capacity to manage food security, disaster risk management (DRM); water resources/supply and food security, Water Supply, Sanitation & Hygiene (WASH), community capacity, participation and accountability, community level awareness, education, employment opportunities (IGAs).
- 43 This joint programme has a high relevance for the country because climate change poses a serious threat to the alleviation of poverty in Ethiopia. It is in alignment with Ethiopia's policy of adapting to and mitigating the impacts of climate change through the development of responsive and nationally appropriate policies and practical measures.
- 44 The joint programme's relevance is further enhanced by its ability to develop the Ethiopian government's Growth and Transformation Plan (GTP) and the country's Climate Resilient Green Economy (CRGE) for climate change adaptation and mitigation issues.

## 5 Effectiveness

*Effectiveness reveals the extent to which development intervention objectives were achieved, or are expected to be achieved, taking into account their relative importance. In addition, it measures the extent to which an intervention has attained, or is expected to attain, its major objectives efficiently and sustainably.*

- 45 The joint programme has been affected by a slow start up. The MDG-F JP was signed in August 2009 and the official start-up date of the programme is 21 October 2009. The first budget tranche was transferred from the MDG-F Secretariat in October 2009.
- 46 Initially the EPA was the leading institution for JP implementation but this was changed by MoFED, and MoA took over the lead. However, undecided initial ownership of the project implementation process and delays in the selection of the Programme Coordinator hindered the programme start-up in 2009. The MoA was initially not fully engaged in the preparation process. The EPA was the only IP involved in the initial planning processes. Hence, these shortcomings resulted in programme delay of about nine months. When moved to MoA the PCO-unit was formed and the PCO-focal person was assigned (May 2010). One reason mentioned for the change of responsibility was that the MoA has a well-established agricultural infrastructure in the target regions (e.g. Agricultural Bureaus) which is more favourable for implementing the programme modules.

### 5.1 Achievement of Outcomes/Results

- 47 The result framework defines three outcomes and six outputs. Each output is defined with an indicator which, however, was not filled with parameters. Outcomes are not associated with indicators that enable tracking, monitoring and verification of results at a higher level. The three defined outcomes are related to each other and define the achievement of the project objective in principle. The outlined activities are likewise appropriate for achieving the objective of this programme but some of these measures appear to be overly ambitious for a three year programme (Outputs 3.2+3.3).
- 48 The baseline survey of this programme was completed in December 2011, or 26 months after the programme start. The survey comes late but is very valuable for the programme and very useful for future impact monitoring and assessment. Unfortunately, cross-cutting issues (e.g. gender equality) and MDG indicators were not addressed in that survey.
- 49 The internal project M&E system exists only in a basic form and reflects the physical progress of the joint programme. No methodical impact monitoring system was installed to measure the effect and impact of this programme in terms of the improvements defined in the objectives, outcomes and outputs including defined indicators of this joint programme. The project monitors the programme with its sub-projects more on the progress of the implementation. General reports with assessments on outcomes and indicators as defined in the result matrix were not available.
- 50 The progress made by the programme in achieving its expected outcomes and outputs is overshadowed by the general delay of the programme. In addition the delay is exacerbated by a significant lag in the programme implementation due to its process design and operating system (see chapter 6). The time lag is significant and it is highly

uncertain whether the implementation of activities can be implemented and the planned results achieved within the original time frame.

- 51 There are differences in the estimation of the delay, as to whether some project components were significantly or only slightly delayed. All programme stakeholders at the various levels recognized the problem of the delay and agreed that clear efforts should be made to remedy this problem.
- 52 However, ready and viable thoroughgoing solutions developed by the joint programme stakeholders have yet to be developed.
- 53 Key outputs delivered to date are presented in table 2 below.

**Table 2. List of MDGF-1679 Achievements as of December 31, 2011**

UNDP UNEP FAO	Expected Results (Outcomes & Outputs)	Indicators	Activity	Achievements as of December 31, 2011
1000	<b>Outcome 1.: Climate change mitigation and adaptation options for pastoralists mainstreamed into national/sub-national development frameworks (development plans, strategy, policies)</b>			
1101	<b>Output 1.1:</b> Improved national/ regional/ local development plans, key sector policies, strategies and partnership to mainstream climate change mitigation and adaptation options into policy frameworks	1. Existence of national/ regional development plans/strategic document for pastoralists that adequately mainstreamed climate change mitigation and adaptation options.	1. Assessment of CC related risks/vulnerabilities of the pastoral communities (in various sub-sectors) - vulnerability profile of different geographic zones prepared	The climate related risks/vulnerabilities of the pastoral communities (in different sub-sectors) has been discussed in the climate change adaptation programme documents of the 4 regions. <ul style="list-style-type: none"> <li>• Final version of <b>website</b> produced</li> <li>• 3-day "Environment System" <b>training</b> to professionals (37 (4 female=12%)) to manage website (4 regional environ bureaus; 6 wereda environ protection offices).</li> <li>• Training organized by Information Technology Directorate of Federal EPA;</li> <li>• Resource persons from Syber Soft PLC.</li> <li>• IT <b>equipment</b> purchased &amp; distribution started to region &amp; weredas:</li> <li>• <b>Toolkits:</b> EPA; first draft script completed and submitted to civil societies, education institutes, government org. for review.</li> <li>• <b>Publish Action Plan:</b> - not yet –</li> </ul>
1102			2. - Undertake Federal and 4 Regional States CC policy and <b>strategy gap analysis</b> - prepare <b>alternative policy enhancement proposal</b> for effectively address observed and anticipated CC related threats and opportunities	• The CC adaption should be integrated into the National Growth & Transformation Plan (GTP): In the climate change adaptation program documents of the 4 regions and the Draft Programme of Adaptation to Climate Change (EPACC), the federal and four regional states CC policy and strategy gap analysis has been done and alternative policy enhancement proposals have been included.
1103			3. Prepare a Federal, 4 Regional + 6 District comprehensive and integrated CC adaptation/ mitigation <b>Strategy &amp; Action Plans</b> , - prepare communication strategy and public awareness <b>Toolkit</b> , -CC adaptation <b>integrated into the PRSP</b>	• <b>partly done:</b> The Ethiopian Climate Resilient Green Economy (CRGE) Strategy is a National Strategy launched at Durban COP 17 and at national level too. Base on that the four pastoral Regions and the rest seven Regional Governments have prepared their own respective adaptation programmes. Ethiopia has also submitted 75 NAMA projects that will help in mitigation to climate change. Besides that 11 pastoral weredas (districts) have entered into climate change adaptation program development process, and eight of them have

UNDP UNEP FAO	Expected Results (Outcomes & Outputs)	Indicators	Activity	Achievements as of December 31, 2011
				completed while the remaining three are on the verge of concluding their program document preparation. • <b>partly done:</b> Draft public awareness and communication toolkit has been produced by expert groups drawn from NGOs, other federal agencies and EPA professionals and is being reviewed by different sections within the organization, after which it shall be delivered to the concerned regional bureaus and for other stakeholders' consultation.
1201	<b>Output 1.2.</b> Tools/ guidelines for mainstreaming CC adaptation and mitigation into federal, regional and district development planning system developed	1. Existence of <b>tool/manuals</b> for <b>mainstreaming</b> CC adaptation and mitigation for pastoralist:	1. Develop mainstreaming methodology/ <b>tools</b> / guidelines/ <b>manuals</b> / indicators for different sectors at Federal/-Regional/-District levels	• partly done: Climate Change Mainstreaming Guideline is prepared, and consolation workshops have been conducted and produced the final draft. Further editing and publication remains to be done.
1202			2. Develop coping / adaptation programme planning, management and <b>M&amp;E training manual</b> (for professionals, extension agents, community members);	• not yet done:
1203			3. Prepare <b>toolkits</b> of different adaption appropriate <b>technologies</b> and practices ( in English + Amharic)	• partly done: Assessment of adaptation technologies, being tested in the different parts of the country, has been undertaken by a team of experts from the EPA, and the selected technologies are documented. Consultation will be carried out on this document and will be printed in the next quarter
1204			4.publish and disseminate tools and toolkits	• not yet done:.
2000	<b>Outcome 2.: Government and pastoral institutional capacities strengthened to effectively respond to the climate change risks and challenges</b>			
2101	<b>Output 2.1:</b> Federal/Regional/ district and pastoral communities' institutions capacities and service delivery to respond to pastoralist community needs enhanced	1. Increased satisfaction of pastoral communities for service delivered by govt organs to respond to their needs	1. Undertake ToT for 60 federal & regional experts/specialists on CC adaptation planning, implementation, M&E and on resource related conflicts prevention and management	• done: ToT was conducted in Adama from October 4th - 13th / 2011 by MoA Program coordination Office in collaboration with UNDP. In the ToT a total of 50 participants and guests took part.
2102			2 Undertake <b>study tour</b> / peer learning for <b>Parliamentarians</b> , regional + district council members + pastoral community leaders, 2.1 conduct <b>dialogue</b> workshop at federal, four regions, and six districts (wereda)	• not yet done: Study tour/peer learning remains to be done in the future. • partly done: A 2-day training workshop with a theme of "Integrating Gender and Youth Issue in Building Climate Resilient Green Economy at Wereda Level" has been organized for 67 participants, comprised of the regional + Wereda offices from the 4 regions and 6 Weredas which

UNDP UNEP FAO	Expected Results (Outcomes & Outputs)	Indicators	Activity	Achievements as of December 31, 2011
				are engaged in CC-adaptation projects. Additional workshops at Wereda and region levels, focusing on CC impacts on and adaptation options for the pastoral communities, to shall be organized in the future in 4 Regions.
2103			3. <u>Assess capacity needs</u> of existing pastoral communities institutions and relevant federal, regional and local government institutions; define immediate and critical capacity needs of key government and community institutions	• not yet done: One bid process has failed to recruit a consultant to do the capacity needs assessment. The second bid is now in process, candidates have appeared and the bid will be awarded soon and the assessment will be carried out in the next quarter.
2104			4. <u>Personnel, motor cycles, office equipment</u> / furniture and supply, software, GIS, M+E	<ul style="list-style-type: none"> <li>• partly done: 10 computers are purchased for 4 wereda + 6 pilot districts and being collected by the Regions + weredas. Training was given on climate data exchange for the representative of the 4 Regions and 6 districts. Appropriate data exchange software to be used for data exchange is uploaded for facilitating the climate change information exchange, through the “Climate Action Registry Information System”. Participating weredas and the corresponding regions environmental agencies are capacitated in materials used for climate change data exchange. SNNPR IP: procurement on process</li> <li>• motor bikes still has not been realised by customs since regions affected by this tax did not allocate the expense in their budget</li> </ul>
2105			5. Undertake <u>Training of Trainers (TOT)</u> and training of target beneficiaries (Federal, Regional, Woreda experts , extension agents on <u>adaptation programme planning &amp; management, early warning</u> + response systems, various adaption thematic areas: <u>livestock, rangeland</u> management, <u>water</u> technology, sustainable land management, animal, human health, IAS prevention + management, community mobilization and communication, cooperatives management etc.) based on the capacity needs assessment under 2.3 ;	<ul style="list-style-type: none"> <li>• done: ToT was conducted in Adama from October 4th - 13th / 2011 by MoA Program coordination Office in collaboration with UNDP. In the ToT a total of 50 participants and guests took part</li> <li>• done: Afar: 5-days training; 80 Woreda experts (13 female): Invasive species management techniques, rangeland management, forestry, nursery establishment agro forestry, CC- adaptation &amp; mitigation (facilitated: pastoral agricultural development Bureau, Natural resource for process expert, FARM- Africa Officer, Worer Agricultural Researchers.</li> <li>• done: SNNPR: 4-days training; 44 woreda school teachers (5 female): CC-adaptation &amp; mitigation; Disaster risk management system.</li> <li>• done: ToT: 5 regional, zonal, woreda staff members;</li> </ul>



UNDP UNEP FAO	Expected Results (Outcomes & Outputs)	Indicators	Activity	Achievements as of December 31, 2011
				organized at federal level.
2106			6.-Prepare <b>information package</b> in different languages (English, Amharic, Oromia, Afar, Somali) -dissemination of climate mitigation/adaptation information (project objectives, strategies and their role in the execution of the program)	not yet done:
2107			7.-Prepare and adopt district/ community user friendly adaptation early warning and response mechanism (EWS) (indicators, <b>manuals, working procedures</b> ) for <b>information exchange</b> ; climate information downscaled and delivered to the pastoralist; provide proper advise to the pastoralists on short and long term measures based on real-time climate information	• not yet done: shortage of budget; preparation of adopt district/ community user friendly adaptation early warning and response mechanism remains to be done in the future
2108			8.-Monitoring, Reporting and effective evaluation: <b>M&amp;E reporting database, guideline development</b> and conducting performance based analysis	not yet done:
2109			9. Undertake <b>local institutional analysis</b> to explore scenarios of coordination arrangements, - undertake stakeholders consultation; - establish local CC pastoral coordination mechanisms (a body and secretariat)	not yet done:
2110			10. Organize / undertake <b>regular M&amp;E of project implementation</b>	• partly done: but field monitoring of project activity not done in quarter 3/'11 → no budget allocated for the time. (additional budget from UNDP was not released, except budget which has been released in the 1 <sup>st</sup> quarter/2011, which has been used up to pay back loans for the field monitoring expenses undertaken in the previous quarter.
3000	<b>Outcome 3.: Pastoral community coping mechanism/ sustainable livelihood enhanced</b>			
3101	<b>Output 3.1:</b> Climate sensitive needs identified, assessed and priority interventions agreed	1. A well elaborated assessment report with priority interventions agreed by project appraisal committee	1. Undertake participatory assessment to generate baseline information and data on:- i) potential, accessibility and management of water resources; ii) availability and alternative mechanism to improve feed resources; iii) current situation and mechanisms by which pastoralist community improve livestock productivity and access to better	• done: baseline survey: completed • MoA delegated FAO Ethiopia to carry out the consultancy Service for baseline survey. Lead Consultant recruited and seven MoA staff trained and participated on data collection. The study had covered 17 target Kebeles/PAs in the six weredas/Districts of the four project regions. Baseline information was collected and

UNDP UNEP FAO	Expected Results (Outcomes & Outputs)	Indicators	Activity	Achievements as of December 31, 2011
			market and, renewable energy.	analysed on climate change, water and feed resources, livestock productivity/marketing and income generating activities of the weredas. Final report submitted by the lead Consultant on December 2011 and MoA accepted the report
3201	<b>Output 3.2.</b> Integrated Rangeland Management practices promoted in the targeted districts for better livelihoods and coping with adverse climatic effects:	1. No of villages' form the target districts get access to functional water schemes among those don't have	Access to functional water schemes improved through:	<ul style="list-style-type: none"> <li>partly done: Assessment on water resources and consultation with Community members on identification of the type and location of water schemes development carried in all regions with exception of Telalak Wereda in Afar.</li> <li>partly done: Design and specification for water schemes to be constructed prepared in Somali, Oromiya and SNNP regions and Adaar Wereda of Afar completed (exception being in Telalak).</li> </ul>
3201.1			1. <b>Construct dams</b> (earth/surface/sub-surface) 300 people x1 USD/day x 150 days x 6 districts =270,000 USD + for inputs=390,000 USD	<ul style="list-style-type: none"> <li><b>Oromiya:</b> one earthen dam (27,900m<sup>3</sup>) construction completed in Sabba</li> <li>(Teltale) with beneficiaries 478 HH (106F +372M)</li> <li><b>SNNP:</b> One spring development completed in Selamago</li> <li><b>Afar,</b> design and specification is ready for Jeldi site in Adaar for</li> <li>contracting out to Regional Water Works Agency</li> <li><b>Somali:</b> design and specification for sites in Harshin and Ayshia is</li> <li>ready for contracting out to Regional Water works</li> </ul>
3201.2			2. <b>Rehabilitate wells/ponds</b> (11,000 USD x 30 wells=330,000 USD)	<ul style="list-style-type: none"> <li><b>Oromiya:</b> Two ponds construction completed in Sarite and Sabba holding capacity of 9,53m<sup>3</sup> and 13,570m<sup>3</sup> and beneficiaries of 320HH (76F+244M) and 412HH (67F+345M) respectively; <b>SNNP:</b> one pond is under construction in Selamago</li> <li><b>Afar,</b> pond/well construction Afar (Adaar and Telalak) are under preparatory stage</li> <li><b>Somali:</b> one pond each in Harshin and Ayshia under preparatory stage</li> </ul>
3201.3			3. <b>Establish</b> / strengthen <b>WATSAN committee</b>	<ul style="list-style-type: none"> <li><b>Oromiya:</b> Two WATSAN established in Sarite and Sabba Kebele and 3</li> <li>day training was given for 28 (6F+22M) water management committee</li> <li>members 14 each for Sarite (2F+12M) and Sabba (4F+10M)</li> </ul>

UNDP UNEP FAO	Expected Results (Outcomes & Outputs)	Indicators	Activity	Achievements as of December 31, 2011
				<ul style="list-style-type: none"> <li>• <b>SNNP</b>: one WATSAN established in Selamago</li> <li>• <b>Afar</b>. <i>Yet</i> waiting for construction of water schemes</li> <li>• <b>Somali</b>: one WATSAN established in Farah Liben Kebele (Harshin),</li> <li>• <b>Yet</b> in Ayesha (Somali)</li> </ul>
3201.4			4. Conduct <b>workshop</b> on <b>Sanitation</b> and <b>Hygiene</b> for community water managing committees (10 people X 30 PAs X 7 days x 8 USD =12,000 USD+ 9,318 USD training materials =21,000 USD)Construct water harvesting facilities such as cisterns and birkas.	<ul style="list-style-type: none"> <li>• <b>Oromiya</b>: A three day workshop conducted for 12 (4F+8M) water management committee members 7 for Sarite (2F+5M) and 5 for Sabba (2F+3M)</li> <li>• <b>SNNP</b>: Two Workshops conducted for 111 water management committee member</li> <li>• <b>Afar</b>: yet to be conducted after construction of water schemes</li> <li>• <b>Somali</b>: yet to be conducted after construction of water schemes</li> </ul>
3201.5			5. <b>Construct water harvesting facilities</b> such as <b>cisterns</b> and <b>birkas</b> . (12 Cisterns x 10,000 USD =120,000 USD)	<ul style="list-style-type: none"> <li>• <b>Oromiya</b>: Two water harvesting Cisterns of water holding capacity of 60 m<sup>3</sup> each and 50m3 and beneficiaries of 185HH (23F+162M ) and 197HH(32F+165M) respectively completed</li> <li>• <b>SNNP</b>: three are under construction</li> <li>• <b>Afar</b>: planned</li> <li>• <b>Somali</b>: <b>one under construction (excavation completed)</b></li> </ul>
3202		2. No of villages from the target districts start practicing better feed resource management (Systems and technologies that enhance availability of feed resources)	Systems and technologies that enhance feed availability promoted through:	<ul style="list-style-type: none"> <li>• partly done: Assessment on status and potential and consultation with community leaders on for improvement to promote feed resources development undertaken in <b>Afar</b>, <b>SNNP</b>, <b>Oromiya</b> and <b>Somali</b> (Ayesha), planned in Harshin Wereda of Somali Region</li> </ul>
3202.1			1. Promote area closure for <b>rangeland</b> regulation and/or rehabilitation (3,000 USD x 5 ha x 12 PAs=180,000 USD)	<ul style="list-style-type: none"> <li>• <b>Oromiya</b>: <b>125</b> hectares of rangelands (70 ha in Sarite and 55 ha in Sabba) enclosed by fencing, community guarding (committee selected for each) <b>and use of</b> bylaws to manage enclosure and use</li> <li>• <b>SNNP</b>: 10 hectares in Telalak and Adaar (5 hectares each) enclosed</li> <li>• <b>Afar</b>: 10 hectares of rangelands enclosed</li> <li>• <b>Somali</b>: 12 hectares of rangelands enclosed</li> </ul>
3202.2			2. Reseed/re sow degraded rangelands (60kg	<ul style="list-style-type: none"> <li>• <b>Oromiya</b>: 26.5 hectares of enclosed rangelands re seeded with improved forage and browsing species</li> <li>• <b>SNNP</b>: 10 hectares of enclosed rangelands re seeded with improved forage and browsing species</li> </ul>

UNDP UNEP FAO	Expected Results (Outcomes & Outputs)	Indicators	Activity	Achievements as of December 31, 2011
				<ul style="list-style-type: none"> <li>• <i>Afar</i>: 10 hectares of enclosed rangelands re seeded with improved forage and browsing species (pannicum grass)</li> <li>• <i>Somali</i>: 12 hectares of enclosed rangelands re seeded with improved forage and browsing species</li> </ul>
3202.3			3. Promote control and management of bush and invasive plants	<ul style="list-style-type: none"> <li>• <i>Oromiya</i>: 155 hectares of rangelands cleared of bush encroachment and managed with participation of 379 people (111F+269M), beneficiaries being 487HH(66F+414M)</li> <li>• <i>SNNP</i>: four hectares of rangelands cleared from bushes for grazing management</li> <li>• <i>Afar</i>: 10 hectares cleared from invasive plants and prosopis</li> <li>• <i>Somali</i>: 12 hectares of rangelands cleared</li> </ul>
3202.4			4. Undertake cross visits for community members(Six cross visits=6 x7,500 USD/visit =45,000 USD)	• <i>not done: Planned for second year</i>
3202.5			5. Conduct awareness creation workshop on better utilization of rangeland resources for community members	<ul style="list-style-type: none"> <li>• <i>Oromiya</i>: an eight day workshop was conducted at Wereda level in Oromiya for 26 pastoralists (6 women and 22 male)</li> <li>• <i>SNNP</i>: on preparation</li> <li>• <i>Afar</i>: workshop in Adaar Wereda for 42 pastoralists</li> <li>• <i>Somali</i>: on preparation</li> </ul>
3202.6			6. Establish Nurseries for multiplication of native and improved fodder species (7,500 USD/nur X 5 Nurseries= 45,000 USD)	<ul style="list-style-type: none"> <li>• <i>Oromiya</i>: one nursery established in Sabba with capacity of 150,000 seedlings</li> <li>• <i>SNNP</i>: one nursery established in Selamago</li> <li>• <i>Afar</i>: one nursery established in Adelil Kebele Telalak</li> <li>• <i>Somali</i>: One nursery each established near Harshin town and Ayishia</li> <li>• <i>nursery: established last year in 2 target weredas.</i></li> <li>• <i>Somali (Harshin): supplied with equipment+ materials; seeds have been purchased; short backstopping by a forestry expert from regional;</i></li> <li>• <i>SNNPR: fencing, collection of compost, forest soil, seed bed preparation started; purchase essential equipment + supplies completed.</i></li> </ul>
3202.7			7. Plant native fodder trees	<ul style="list-style-type: none"> <li>• <b>Oromiya</b>: 67,500 seedlings of lucenea, Sesbania, Moringa raised in nursery; 58,000 planted</li> <li>• <b>SNNP: seedling production is ongoing but plantation</b></li> <li>• <b>Afar</b>: planting carried on 5 ha from Wereda source and seedling production is ongoing in Telalak</li> <li>• <b>Somali</b>: no planting carried as seedling production is ongoing in Harshin</li> </ul>

UNDP UNEP FAO	Expected Results (Outcomes & Outputs)	Indicators	Activity	Achievements as of December 31, 2011
3202.8		3. No of villages from the target districts start utilizing vet services and market facilities in reasonable walking distance	8. Promote control of soil erosion (gully treatment) (6 ha Demonstration x 1,500 USD/ha = 9,000 USD)	<ul style="list-style-type: none"> <li>• <b>Oromiya:</b> Soil conservation on soil bund construction promoted on 13.75 km (6.5 km and 6.25 km in Sarite and Sabba respectively by soil bund construction)</li> <li>• <b>SNNP:</b></li> <li>• <b>Afar:</b></li> <li>• <b>Somali:</b></li> </ul>
3203			<b>Mechanism to increase livestock productivity &amp; access to better market put in place through:</b>	partly done:
3203.1			1. Construct/rehabilitate vet posts (10,000 USD/vet x 12 vet = 120,000 USD)	• not yet done: planned for second year
3203.2			2. Conduct <b>refresher training to vet staff</b> Community Animal Health Workers (CAHWS) (5 staff/dist x 6 dist x 2 refresh training x 12 USD/day = 7,200 USD = (cost of 2 trainers = 2 trainers x 2 refresh training x 20 days x 20 USD = 1,600 USD = 1,200 cost of training materials) = 10,000 USD	<ul style="list-style-type: none"> <li>• <b>Oromiya:</b> Refresher training for Community Animal Health Workers</li> <li>• <b>(CAHWS)</b> carried for 18 (2 women and 16 men)</li> <li>• <b>SNNP:</b> under preparation</li> <li>• <b>Afar:</b> 30 CAHWS received refresher training</li> <li>• <b>Somali:</b></li> </ul>
3203.3			3. Provide drugs to vet posts (lump sum = 65,000 USD)	<ul style="list-style-type: none"> <li>• <b>Oromiya:</b> Identification of requirements and procurement is completed</li> <li>• <b>SNNP:</b> Identification of requirements and procurement is underway</li> <li>• <b>Afar:</b> Identification of requirements and procurement is completed and 18 types of veterinary equipment and seven types of veterinary drugs purchased and distributed</li> <li>• <b>Somali:</b> Identification of requirements and procurement completed but equipment and drugs not distributed to the two Wereda</li> </ul>
3203.4			4. Establish <b>Livestock Marketing Cooperatives</b> (LMC) facilitated with information service (7,500 USD/LCM x 6 = 45,000 USD)	<ul style="list-style-type: none"> <li>• <b>Oromiya:</b> Three livestock marketing cooperatives established in Robi, <b>Saba</b>. Liban and Gerdo with members of 32 (2F+30M), 33 (3F + 30M) and 31 (2F+29M); seeding funds not distributed yet in Saba (interview of members by evaluator (29. 01.'12).</li> <li>• <b>SNNP:</b> process of establishing the cooperative/s</li> <li>• <b>Afar,</b> is under planning</li> <li>• <b>Somali:</b> six livestock marketing cooperatives established</li> </ul>
3203.5			5. Organize training and cross visits for Cooperative board members on cooperative principles, book keeping, business planning etc. by linking to	• <b>Oromiya:</b> Six day training for 21 livestock marketing cooperatives members (3F+18M) in the three cooperatives carried

UNDP UNEP FAO	Expected Results (Outcomes & Outputs)	Indicators	Activity	Achievements as of December 31, 2011
			output 3.3	<ul style="list-style-type: none"> <li>• <b>SNNP</b>: planned</li> <li>• <b>Afar</b>: planned</li> <li>• <b>Somali</b>: planned</li> </ul>
3203.6			6. Link LMC to community development fund to get access to initial capital (10,000 USD/LCM x 6=60,000 USD)	<ul style="list-style-type: none"> <li>• <b>Oromiya</b>: planned</li> <li>• <b>SNNP</b>: planned</li> <li>• <b>Afar</b>: Planned for second year</li> </ul>
3203.7			7. Provide office space, materials and necessary document to Cooperatives by linking to output 2.4	<ul style="list-style-type: none"> <li>• <b>Oromiya</b>: Provision of materials (office facilities) and supplies for the three LMC and office space for two LMC provided</li> <li>• <b>SNNP</b>: Planned for the organized livestock marketing cooperatives</li> <li>• <b>Afar</b>: under planning</li> <li>• <b>Somali</b>: Planned for the 6 organized livestock marketing cooperatives</li> </ul>
3203.8			8. Construct/rehabilitate primary market posts (25,000 USD/market posts x 6 = 150,000 USD)	• <b>Planned for second year</b>
3301	<b>Output 3.3</b> A system that enhance income generating capacity of the pastoralist communities to cope up with climate change related livelihood risks established and made functional in selected villages of the targeted six districts	1. No of community development fund established and made functional in the target districts	Alternative income generating schemes identified and/or designed (in the 1st year of the project) to be implemented by both men + women of the pastoralist community over the project life and beyond (UNDP)	• done: IGA assessment conducted July'11 by a team comprised of various professionals from MoA and JP focal persons from the IP regions and districts.
3301.1		2. No of target community members acquire income diversification skills	1. Conduct participatory assessment on viability of potential income generating activities	• partly done: SNNPR: organizing woman & youth community members in to different IGA-cooperatives started
3301.2			2. Organize ToT for 4 federal, 8 regional and 12 wereda experts on identified/designed viable income generating	not yet done:
3301.3			3. Adapt technical manuals in local languages in the context of pastoral communities on identified schemes	• partly done: Community Development Fund Management Manual preparation started by concerned experts to utilize the allocated budget.
3301.4			4. Provide training both for women and men pastoralist community members (120) on Business Development skills	not yet done:
3301.5			5. Translation and production of training materials	not yet done:

Source: Data and information extracted from Programme Progress Reports



- 54 The toolkits in the form of brochures, posters etc. are being prepared by the EPA; they are in the draft stage and will be finalized soon.
- 55 The Climate Change Adaptation & Mitigation Plan for integration in the GTP is in progress. The manual was discussed with the members of parliament of the Pastoral Affairs Standing Committee (PASC) in the House of Representatives in the Parliament for further action.
- 56 The CC adaptation manual initially developed by the respective pastoral regions has been submitted to the EPA for final editing. The manual is in progress and the final form of the manual will be presented in the workshop in two weeks' time, finalized and distributed to the regions.
- 57 Important components of Outcome 2 lag behind: So far no assessment has been made of the capacity needs of existing pastoral communities institutions and relevant federal, regional and local government institutions to define immediate and critical capacity needs of key government and community institutions, and no early-warning and response systems have been adopted as yet.
- 58 Activities that are most affected by the budget delay (see 6.1 Financial management) and their dependence on adverse external factors (such as conditions of climate):
- 58.1 Bush clearing: The bush clearing should be carried out months before the onset of rain; otherwise, the bushes will rejuvenate faster and make clearing less effective. However, due to the budget delay it will not be possible for the community to perform this work (1,000 ha bush in Yabello) before the rain starts in March-April.
- 58.2 The awarding of cistern constructions in Afar region has not taken place, and it will again be difficult to construct cisterns during the rainy season.
- 58.3 The production of seedlings: The production of the required amount of seedlings was planned for September/October<sup>2</sup>. However, the raising of seedlings in the nursery had to be postponed for one growing season due to the delay in funding for this activity. The period for replanting depends solely on the onset of the rainy season, which starts in two months' time (March/April).
- 59 The Livestock Cooperative (Teltele/Saba) (members: 3 female/20 males): The cooperative was established in January 2011 and officially registered by the wereda cooperative office in May 2011. The cooperative was provided with newly constructed office, office furniture, and training in livestock marketing and bookkeeping. Members were very eager to start with the cooperative activities (fattening of goats and cattle). The community members could accumulate own contributions of about ETB 2,300. The JP intended to provide ETB 50,000 as seed money in loan form. The Cooperative has not received any money to date because there is a delay in the budget transfer. Thus, since nine months the community could not yet start their activities.
- 60 Income-generating activities (IGAs): Between June and July 2011 one income-generating activity assessment has been conducted in the programme implementing areas with the major objective of identification, prioritization & development of viable IGAs. The assessment was conducted by a team comprised of various professionals from MoA (i.e. experts on natural resources, livestock, socio-economics, project management and gender issues) and JP focal persons from the IP regions and districts.

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<sup>2</sup> Teltele wereda

- 61 The areas of interest for IGAs were rated as follows by the respondents: (i) Milk processing; (ii) Animal fattening; (iii) Hide and pelt preparation; (iv) Bee-keeping; (v) Poultry; (vi) Farming; (vii) Petty trade.
- 62 For a three-year programme with the aim of familiarizing pastoralists with innovative income-generating alternatives, this assessment came very late (21 months after JP start). Most of the pastoralist IGAs are new challenges which require long-term professional support, especially in terms of capacity building and technical back-up, to ensure sustainability.
- 63 However, none of these activities have been started as yet. In view of the remaining project period, it is highly questionable whether these pilot activities can be implemented with sustainable impact for the pastoralist beneficiaries.

## 5.2 MDG Contribution

- 64 Since the 1990s, reducing poverty and ensuring human development in Ethiopia have been the objectives of the Ethiopian government. This vision is explicitly incorporated in various government development policy documents, and several national and sectoral policy documents are strongly aligned with the MDGs. The country's medium-term development plans, such as the Plan for Accelerated and Sustained Development to End Poverty (PASDEP-2005/06-2009/10) and its successor Growth and Transformation Plan (GTP-2010/11-2014/15), are MDG-based development plans that were designed to be implemented in the medium term. As mentioned above, the MDG progress report that was published in 2010 reveals Ethiopia's position in achieving of the targets set for each goal. An overview in Annex 3 provides a summary of the MDGs.
- 65 This joint programme actively contributes to the achievement of the MDGs through programme contributions that link policy and strategy level activities in the country. Unfortunately the programme does not establish an impact monitoring system to assess the contribution to the MDGs. However, it can be assumed that all Outcomes including the livelihood activities (e.g. awareness creation on climate change, training in capacity building and rangeland management, drinking water systems, income-generating activities) will contribute to achievement of MDGs (see table 3 ).

**Table 3. Potential contribution of the MDG-F-1679-programme to the Millennium Development Goals (MDGs)**

MD Goals	Comments	Tendency
<b>Goal 1: Eradicate Extreme Poverty and Hunger</b>	<ul style="list-style-type: none"> <li>Land-use-training and improved land management activities → improved livestock systems → generates income → reduced poverty &amp; hunger → secures food &amp; nutrition for the families</li> <li>Income-generating activities (IGA) → generate income</li> </ul>	↗
<b>Goal 3: Promote Gender Equality and Empower Women</b>	<ul style="list-style-type: none"> <li>Consideration of gender aspects especially in capacity building programmes and the field of income-generating activities</li> </ul>	↗

MD Goals	Comments	Tendency
<b>Goal 4: Reduce Child Mortality</b>	<ul style="list-style-type: none"> <li>Education in hygiene &amp; sanitation and the provision of clean drinking water (wells): → reduced incidence of disease → reduced childhood mortality</li> </ul>	↗
<b>Goal 5: Improve Maternal Health</b>	<ul style="list-style-type: none"> <li>Clean drinking water and the agriculture component improves the food and health situation for families</li> </ul>	↗
<b>Goal 7: Ensure Environmental Sustainability</b>	<ul style="list-style-type: none"> <li>Integration of climate change approaches into the governmental country policy strategies; capacity building, training, CC awareness and environmental issues</li> </ul>	↗

Source: Authors estimation

### 5.3 MDG-F Objectives, JP Norms

- 66 The programme contributes to the achievement of the global MDG-F objectives to reduce poverty and vulnerability by supporting interventions that improve environmental management and service delivery at the national and local levels and enhance capacity to adapt to climate change.
- 67 The *Climate Change Adaptation and Mitigation Plan* produced by the programme for integration in the country's *Growth and Transformation Plan* (GTP) is still in progress. The manual was discussed with the MPs of the pastoral affairs standing committee (PASC) in the House of Representatives in the Parliament for further action to be taken in the coming months.
- 68 The *Climate Change Adaptation Manual* initially developed by the respective pastoral regions has been submitted to the EPA for final changes and amendments. Thus the manual is still in progress and will be presented in the workshop in two weeks' time, and then finalized and distributed to the regions.
- 69 Capacity development is a cross-cutting issue in climate change adaptation and an integral part of the programme. Several trainings and workshops on climate change and environmental issues have been conducted. Trainings for the beneficiaries on climate change and mitigation were perceived as very helpful and were very much appreciated by the participants.
- 70 The so-called "Delivering as One"<sup>3</sup> scheme should enable organizations and their agencies to strengthen the collective capacity to support countries' efforts to achieve development priorities. Synergistic effects of this joint programme are largely unexplored because of more pressing concerns about the overall delay and the programme's current focus on operational issues. But it can be assumed that, due to the improved planning, designing, and information sharing in cooperation of the different agencies, the joint programme has added value to the programme. For example, UNEP could benefit from sharing resources, since that organisation has only limited transport

<sup>3</sup> adhering to the principles of the Paris Declaration and the resolutions taken in the Accra Agenda for Action (ownership, alignment, harmonization, managing for development results and mutual accountability)

facilities to conduct monitoring in the field. However, synergistic effects on joint programme approaches have to be explored much more systematically and in detail to obtain reliable indications.

- 71 On the other hand, each partner UN agency has its own rigid/stand-alone rules and common implementation procedures (e.g. finance transfer, regulations of UNDP 80% threshold) and there are no common binding procedures that are implemented by all. Harmonizing this issue would be a great advantage for the entire programme.
- 72 Synergy effects towards resource efficiency can be expected with the other UNDP-project initiatives, e.g. *Integrated Drylands Development Programme*. This programme is improving the livelihoods and coping mechanisms of pastoral communities in five weredas by enhancing their capacity to sustainably manage and use natural resources, through the implementation of on-the-ground adaptation activities identified in the weredas Climate Change Adaptation Programmes.
- 73 National Ownership<sup>4</sup>: All three UN Agencies (UNDP, UNEP, FAO) work through a National Execution Mode (NEX), in which programme activities are executed by national implementing agencies. The MTE confirmed a high level of national ownership of the JP. Government ownership is enhanced by establishing mainstreamed programme implementation governance structures from the federal level down to the community (PA) level. These include NSC, PMC, and federal lead agency PCO/U, regional PMT, WPIT and PA PIT<sup>5</sup>. The MTE perceived that community members are very motivated to own the activities and will continue rangeland activities in the future. The government has a strong influence in the programme. There is a government agreement that funds for the joint programmes are allocated according to government policy, which requires that allocations to the region are proportional to the size of the population in the program weredas. Thus, the budget allocations go to Somali, Afar, Oromia and SNNP, in descending order of amount.
- 74 On all levels, government implementing partners allocated funds to assigned experts for the implementation of the different JP activities (process owners). If needed they worked closely with the small and medium-sized enterprise agencies (contractor, trainer, consultant). The wereda in Harshin has a strong ownership of its JP components and feels responsibility for any budget deficit that occurs, and covers the budget as requested. In fact, the high level of ownership and the fact that the programme is an integrated part of the development framework of the country is a good precondition towards sustainability of the project. It is not yet clear whether these institutions can continue to support the project, especially when communities require outside support to access technical knowledge, expertise, funding, and other support for their innovative projects.
- 75 Some of the people who were questioned said that there is loose ownership among government implementing partners<sup>6</sup>, associated with mandate changes within the departments in the respective regions assigning focal persons in addition to their existing responsibilities.
- 76 An integrated Communication & Advocacy Strategy for the programme has been developed but not implemented because of the failed budget allocation for this activity. The overall strategic goal is "*Accelerating progress on the MDGs by raising awareness,*

<sup>4</sup> degree of national ownership as defined by the Paris Declaration and the Accra Agenda for Action.

<sup>5</sup> PIT: Wereda Project Implementation Team (Wereda, Kebele)

<sup>6</sup> Somali Region

*strengthening broad-based support and action, and increasing citizen engagement in MDG related policy and practice". This strategy may be very useful; as things stand, much more could be done to communicate what the JPs are doing and achieving on the ground and how these interventions are aiming to contribute to the attainment of the MDGs in Ethiopia.*

- 77 However, since Progress Report 07-12/2010 this issue is no longer mentioned in reports, indicating that this issue has not progressed as anticipated. Accordingly, Programme Coordination Office (PCO) funds for implementation of these initiatives were not set aside during the programme formulation and are now missing from the budget.

#### 5.4 Programme Outreach

- 78 The JP will serve as a catalyst through pilot interventions at the national and sub-national levels in mainstream CC adaptation options, as well as in the improvement of a sustainable livelihood base for the pastoral communities.
- 79 The initiated pilot activities (Outcome 3) in the four regions aimed to achieve tangible and sustainable impacts which are replicable for other pastoral communities in the country. These components have not been accomplished or have not yet begun (IGA) and diffusion of project activities to other areas cannot be detected as yet.
- 80 The Communication & Advocacy Strategy could play an important role in programme outreach towards disseminating information and increasing public communication about the programme. However, the plan has not yet been effectively implemented (see 5.3).

#### 5.5 Quality of Outputs

- 81 Trainings were well accepted and highly appreciated by the beneficiaries. Interviewed beneficiaries ranked the trainings in the order of popularity as follows<sup>7</sup>: *Area Closure & Bush Clearing, Water (cistern/ pond) Construction, Seedling Production, Climate Change Adaptation, trainings on Community Animal Health Workers (CAHW) and Livestock Marketing Cooperatives (LMC).*
- 82 During the MTE field visits in Oromia two water ponds and one cistern could be examined.
- 82.1 *Sarite Kebele 13,000 m<sup>3</sup> pond: completed; good construction; provides water to community and livestock. Construction work took 2 quarters involving 60 HHs (200 people) using manual labour and hand tools; the community participated in site selection; the wereda water dept. office provides technical support; pond are managed by 5 WASH-trained members (2 female).*
- 82.2 *Saba Kebele 20,000 m<sup>3</sup> pond: completed; poor construction; construction by a contractor SORDU using machinery, only little involvement of community, construction work took 45 days; ETB 750,000. At present, the shoulder of the pond is highly eroded; this will have a significant impact on the longevity of the pond. It requires protection mechanisms on the shoulder and the inlet area, as well as planting of grass or fodder species around the pond. According to the focal person, SORDU has been officially dunned to finalize the work including the correction measures recommended by the wereda technical committee.*

<sup>7</sup> Dedech Anu village (Teltele Woreda) –MTE meeting community members-

- 83 The challenge the project focal person has faced is by and large associated with delays in budget transfers and lack of transport to the two project Kebeles in order to monitor implementation of project activities and ensure the quality of execution:
- 83.1 The project focal person is still without any transport to support the two project sites, Sarite (76 km away) and Saba (34 km). Sometimes the wereda office was able to lend him a bike for project site visits but that was irregular and the bike is now broken.
- 83.2 The provision of motorcycles for the focal persons in the six implementation weredas still has not been realised (see 6.3.3)
- 84 The EPA is in the process of upgrading its website, which will serve as a CC data and information system within the framework of the *central clearing house mechanism*. The clearing house provides effective global information services to facilitate the implementation of the Strategic Plan for Biodiversity and of the national biodiversity strategies and action plans. The website has been established, but the retrieval of published information is not possible as yet.

## 6 Efficiency

*Efficiency measures how economically resources/inputs (funds, expertise, time, etc.) are converted to results including cost-efficiency, timely achievement, and whether the project was implemented in the most efficient way compared to alternatives.*

### 6.1 Financial management

- 85 Management of MDG-F resources distribution was set up to include clear roles and responsibilities for each UN agency as well as clear fund management arrangements. Each UN agency has been linked to specific programme activities and is technically and financially responsible for this implementation. Table 4 indicates these links.

**Table 4. UN Agency Joint Programme-1679 Output Responsibilities**

UN Agency	Output
UNEP	1.1
UNEP	1.2
UNDP	2.1
FAO	3.1
FAO	3.2
UNDP	3.3

- 86 The fund management arrangements were set up for efficient mobilization of MDG-F financial resources based on the “pass-through” fund management option as described in the UNDG guidance note on joint programming. UNDP acts as the Administrative Agent and accountability lies with the Executive Coordinator of the MDT-F Office, with some delegation of authority to the UN-RC in Ethiopia.
- 87 The UN agencies are requested to report financial commitments and disbursements on a quarterly basis and to provide annual financial reports according to a budget template that is provided by the MDT-F Office. Indirect costs for each agency are compensated by a 7% management fee applied to programme expenditures.



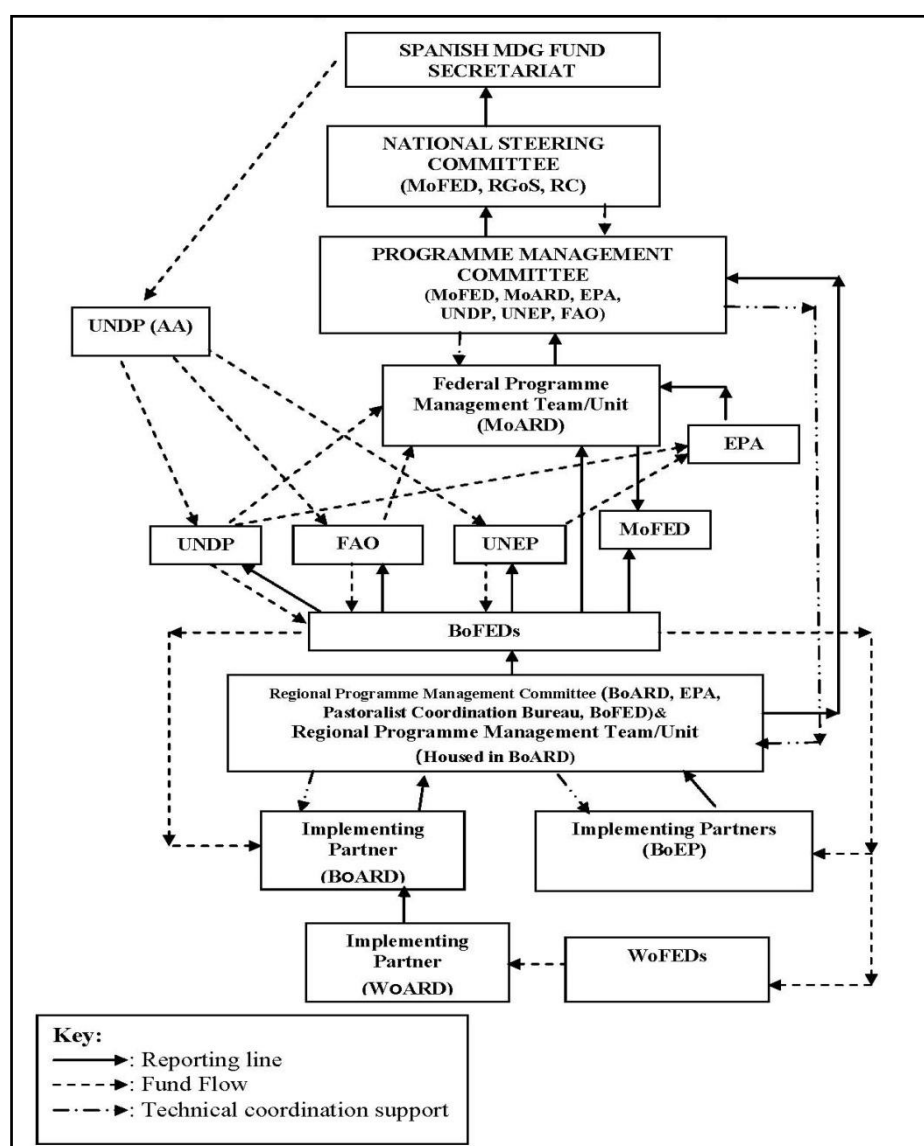
- 88 Instalments are released in accordance with Annual Work Plans approved by the National Steering Committee (NSC).
- 89 The release of funds is subject to a minimum commitment threshold of 70% of the previous fund release to the participating UN organizations as stipulated in the programme guidelines. If the 70% threshold is not met for the programme as a whole, funds are not released to any organization, regardless of any individual organization's performance.
- 90 After the first instalment the UNDP/IPs utilized the budget faster than the other UN organisations. According to the UNDP they ran out of financial resources and could no longer finance programme activities for a short time. This had some impact on the programme execution. However, there were more significant and continuous negative impacts on the programme execution caused by weaknesses within the operational programme process, in terms of fund transfer to the implementing partners (see 6.3).
- 91 UNEP has no finance facilitation office in the country and its budget transfers come directly from UNEP Nairobi. UNDP, UNEP and FAO have not harmonized fund management and funds are transferred to the regions separately. Each of the three UN organisations has its own regulations and process requirements. Unfortunately there are no common binding procedures that are implemented by all agencies, as would be expected in a joint programme and in the "Delivery As One" approach.
- 92 UNDP has the strictest rules. It can release funds only if 80% of the budget has been utilized by the respective IPs. All funds have to be utilized within six months. FAO can use direct cash transfer to the respective regional BoFEDs and does not have such strict rules as UNDP.
- 93 The transfer of funds from the federal level to the regional focal institutions (BoFED) and further on to the IPs (Wereda) takes time. The programme planning process follows the national regulations and principals and delay is mainly caused by the financial procedures and requirements on the part of the government and the UN agencies: The funds are released by the participating UN organisations (UNDP, FAO, UNEP) to the federal implementing partners upon receipt of fund release authorization from National PMT (MoA) for the federal level activities. The funds for regional level activities and/or after the request of BoARD are channelled via the regional BoFED. The IPs (implementing partners) report to the regional PMT (BoARD), which compiles reports and passes them to BoFED, which then reports to the participating UN agencies and MoA. New requests for the quarter are only submitted to the UN agencies once all districts have accounted for the funds. For UNDP applications, the above-mentioned requirements must be met (80% threshold). These processes take time and delays are inevitable, especially when there are delays in reporting and accountability.
- 94 The disharmony between release of funds (different requirements of fund releases among the UN agencies), fund transfer procedures and programme implementation leads to constant planning corrections at the operational level and frequent loss of the momentum of project executions, which in turn leads to delays and disharmony in the realization of this project.

## 6.2 Joint Programme Management Approach

- 95 The overall operation of the programme is anchored on a coordination system between independent UN and government agencies that are responsible for the implementation of activities (Figure 3 ).

- 96 All MDG-F joint programmes have one National Steering Committee (NSC) which provides oversight and strategic guidance to the joint programmes. It provides all the JPs in Ethiopia with a platform for aligning and harmonizing leadership and approves joint programme documents before submission to the Fund Steering Committee. On April 28, 2011 the High Level Steering Committee (HLSC), which oversees the UN reform agenda in Ethiopia and implementation of the UN Development Assistance Framework (UNDAF), made the decision to merge the NSC with the HLSC. Like the NSC the HLSC meets twice a year and is co-chaired by the State Minister of MoFED and the UN Resident Coordinator (RC). In addition to the Spanish Ambassador, the HLSC includes participation of the Ministry of Foreign Affairs, Ministry of Federal Affairs, Ministry of Agriculture, Ministry of Health and Ministry of Women, Youth & Children; six Representatives of the UN Country Team, including the three participating UN Organizations in the One UN Fund, as well as three donor Representatives comprising DFID, Norway and Spain as the lead donors providing financial and technical support to the UN reform agenda in Ethiopia.

**Figure 3: Management and Coordination of the Joint Programme MDG-F-1679.**



Source: MDG-F-1679 Programme Document

- 97 The Programme Management Committee (PMC) provides operational coordination to the JP especially between the UN agencies and MoA. The Committee consist of the participating UN organizations of the JP (UNDP, UNEP, FAO) and the relevant implementing government counterparts (MoA, EPA). The PMC can ensure synergy of the different programme components of the JP together with the participating organisations. The primary function of the team is to monitor the progress of the JP's implementation (e.g. joint monitoring visits). The team is supported by a professional Programme Coordinator (PC) and its Programme Coordination Office (PCO) who is hosted by the MoA.
- 98 It was mentioned that PMC meetings and technical meetings are not institutionalized for a closer follow-up of the daily implementation and the programme coordinator gets only incomplete and sporadic information of these meetings.
- 99 The coordinative nature of programme management is based on the fact that these agencies (UN and Government agencies) have their own functional autonomies and are ultimately accountable to their respective supervising units, which are already beyond the programme's managerial authority. The authority of the PCO is therefore very limited. Initially the office was poorly furnished (no staff allocated, no logistics in terms of transport, no budget allocation for M&E activities). Since then, additional full time government staff (cashier, secretary and messenger) for the PCO have been employed.
- 100 Programme Management Teams (PMT) were established at the regional level. The PMTs are technical and management teams which monitor programme implementation through technical backstopping support to district government implementers. They have their offices in the BoARDs/regional environment agency/pastoralist coordination bureaux<sup>8</sup> and are supported by a professional Programme Manager (focal person).
- 101 The team is composed of representatives from BoARD, Regional Environment Agency/Pastoralist Coordination Bureau, BoFED, Bureau of Water and Energy, Bureau of Health, Women's Affairs Bureaus, regional project focal person. In addition to technical functions, the team consolidates sectoral reports and forms the BoARDs coordination mandate. The regional PMT compiles and submits narrative JP reports to BoFED. Below the regions, the six districts in the four regions are supported by six recruited Project officers (PO) who coordinate with the regional PMT on programme implementation issues.
- 102 According to the stakeholders interviewed, the principal set-up of these mechanisms is adequate and the NSC, PMC and PMT are in place and functional. The regional BoFED and the implementing partners<sup>9</sup> report there is a good relationship and cooperation with MoFED and MoA, without any problems.
- 103 However, the MTE has the impression that there is no efficient communication system among the stakeholders, especially between upper and lower programme levels (PO-PMT-PCO), for providing all participants with real-time information for decision-making and knowledge transfer (see 6.3.4).

<sup>8</sup> Somali Region: in the Bureau of Livestock, Crop and Rural Development (LRCDB): Programme Management Team (PMT): composed of representatives from Health, Education Finance & Economic Development (BoFED), Women's Affairs, Water Resources, Somali Agricultural Research Institution (SARI), Jijiga University and Environment Protection Agency (EPA).

<sup>9</sup> here: Livestock, Crop and Rural Development Bureau (Somali)

### 6.3 Programme Set-up and Implementation

104 Generally the JP is far behind schedule. Undecided initial ownership, delayed operationalizing set-up, and inefficient programme processes caused a programme delay of about nine months.

105 Since the programme was launched (actively in July 2010) numerous activities that were supposed to be completed in 2010 were moved to 2011. Again due to delay in the transfer of funds, project execution activities for 2011 were moved to 2012. The accumulation of project activities for this year puts high pressure on all of the programme participants to accomplish activities within the remaining project period (Table 2).

106 The programme has numerous challenges which are summarized below.

#### 6.3.1 Joint Programme Set-up & Concept Development

107 The initial planning and concept of the JP was based on a top-down approach relying on surveys, and neither the beneficiaries nor their representatives<sup>10</sup> were involved in the planning<sup>11</sup>.

108 A baseline survey was not available for (i) obtaining detailed information about the situation in the target region, weredas/Kebeles and on the organizational level and (ii) extracting relevant and measurable indicators for an M&E system to provide benchmarks for performance development.

109 Undecided initial ownership on the national level between EPA and MoA as well on the regional level, particularly in the Somali Region, led to a long period of dispute regarding the institutional allocation of the programme, either to the EPA or to the LCRDB<sup>12</sup>, creating an enormous delay in project execution and fund utilization.

#### 6.3.2 Staff & Human Resources

##### 110 Timing & Continuity

111 Late recruitment of focal persons due to uncertainties associated with timely transfer of funds transferred to IP regions' bank accounts. (IP regions had preferred to hold the recruitment process until they secured fund transfers).

112 Frequent changes in regional focal persons (especially in Afar, Somali, SNNPR) led to a coordination gap in the start-up phase of the project.

113 Reshuffling of wereda administration<sup>13</sup> affected the project implementation due to delay in financial liquidation and subsequently of execution of project activities.

#### 6.3.3 Equipment & Appreciation

114 No reliable, regular salary payments: E.g. the focal persons in Harshin wereda have not been paid for the past year. The predecessors left the job because of outstanding payments. The JP budget keeps salaries and programme activities under one budget item. Some weredas are highly committed and make advance payments. There are no incentives for the regional JP focal persons: regional focal persons are employed by the

<sup>10</sup> regional level representatives, BoFED were involved in the initial planning

<sup>11</sup> these groups were integrated in the inception phase in July 2010 (workshop in Adama; July 2010)

<sup>12</sup> Livestock, Crop and Rural Development Bureau (Somali Region)

<sup>13</sup> in December '11 in Harshin

respective government bureaus. Staff assigned for JP activities have additional work activities but without any incentives. This is often reflected in the effective commitment of these staff members to JP activities.

115 Capacity building: Absence of capacity/need assessments and capacity trainings especially for new JP focal persons (e.g. M&E, JP-financial/reporting/administrative procedures, technical issues, etc.).

116 Transport & Mobility:

117 The vehicle problem has created a significant challenge in the day-to-day activities of the regional IPs by hampering field work such as M&E, project activities, and consultations with targeted weredas/Kebeles.

118 Provision of motorcycles for the focal persons in the six implementation weredas still has not been realised, and since January 2011 the motorcycles are not exempt from customs duty. The regions affected by this tax did not allocate the expense in their budget. This issue still has not been resolved.

### 6.3.4 Financial Transfer & Budgeting

119 Timing & Procedure: The delay in the opening of bank accounts in regions led to a cumulative delay of the start and a request for initial fund disbursement to the IPs. But in general the long and complex process of fund transfers at all levels (UN agencies and government decentralization system) in association with the delayed or incorrect liquidation reports to be submitted as per the guideline agreed for UN and government implementation modalities (see also chapter 5.1) Financial management) caused the major challenge for timely project execution.

120 Insufficient budget allocation for M&E, transport & mobility, stationary items and the delays of salary payments for wereda focal persons.

121 Lack of knowledge. Wereda administration and technical officers sometimes not familiar with joint programme regulations, which caused delays in implementation of project activities and reporting. The responsible offices are sometimes not aware of this shortcoming (e.g. LCRDB and BoFED in Somali Region).

122 The distribution and the financial procedures are sometimes hindered by lack of knowledge. For example the newly appointed wereda administration and technical officers in Harshin (Somali region) are not familiar with the MDG-F projects at wereda level; delay in the implementation of project activities and reporting has been observed. Only after noted by the evaluator did the LCRDB and the BoFED become aware of the weak performance of the accountants in the wereda. Now they want to take action and to create awareness to facilitate timely implementation of project activities, and they will look into replacing the accountant or providing support for the MDG-F project at the wereda level.

123 Technical skills required: Project officer had no clear understanding of income diversification execution modalities. They require more guidance on the implementation of these activities<sup>14</sup>. This lack was discovered during the joint monitoring visit and underlines again the significance of regular monitoring and the need of effective communication systems between the upper and lower organisation level of this programme.

<sup>14</sup> Joint field monitoring report SNNP; Oromia; May 23 to 30, 2011

### 6.3.5 Monitoring & Evaluation (M&E)

- 124 Set-up: No effective M&E system in accordance with the M&E Guidelines set by the MDG-F Secretariat have been installed. The budget allocated for an M&E system is too low<sup>15</sup>.
- 125 The JP has undertaken joint monitoring visits in (i) the Somali region: 21.03.-29.03.11; (ii) the Oromia and SNNPR region: 23.05.-30.05.11 and (iii) the Afar region: 16.08.-26.08.11. A field monitoring visit for the 4th quarter of 2011 was not conducted as there was a delayed fund disbursement for it at the time. However, monitoring – especially joint monitoring visits – is perceived as very valuable and informative for the participants to ensure in-depth oversight of the programme.
- 126 At the project level the programme is monitored and progress is reported in accordance with the result framework (outcomes and outputs) that was defined in the formulation of the programme. The Progress Reports were conducted first over a six month term (July-December 2010) and afterwards quarterly (latest: October-December 2011) and reporting is based on this result framework. The information contained in the progress reports is based on physical implementation and activities only. There are no statements or information elaborated in terms of the defined outcomes, outputs and indicators as set out in the result framework. Baseline data were not available in the beginning of the programme to assess direct and indirect contributions of the JP objectives and of the MDGs.
- 127 The Programme Progress Report (PPR) points out intervention to mitigate and improve the challenges and weaknesses in the programme. The possible remedial actions described in the PPR are rather vaguely formulated and it is not clearly recognisable what kind of action and follow up mechanism the management of the PCO follows to trace the improvement of these issues.
- 128 Monitoring visits conducted by focal persons at the regional or wereda level, however, are only possible to a limited extent because of the issues (see above). Focal persons do not receive training in how to conduct monitoring. Also there is no formal collection of elaborate monitoring information nor challenges identified and resolved. In addition there is no coordination system to transmit information immediately to the programme management unit to provide them with real-time information for decision-making.
- 129 The significance of regular monitoring was impressively demonstrated after the Joint Evaluation Mission in the Somali Region in March 2011 by the programme: *...such a monitoring mission should have been conducted much earlier so that it could enhance remedial interventions on implementation capacity and could have saved the 3rd quarter of 2010 for execution of the activities*<sup>16</sup>.

### 6.4 Financial Situation

- 130 The latest financial data according to the programme documents shows that the overall disbursement rate from the programme start until December 31, 2011 is 35%; this means 65% of the total allocated budget for the entire programme is still remaining for the last eight months of the project.

<sup>15</sup> about 2% of the total JP-budget is for M&E activities

<sup>16</sup> Joint-Monitoring Report: Somali Region; 2011-March



**Table 5. MDG-F-1679: Overall Budget and Disbursement Status to UN agencies (as of December 31, 2011)**

UN agency	Planned budget for JP	Estimated approved to date	Estimated disbursed to date	Estimated disbursed of approved to date	Remainder of TOTAL planned BUDGET
	[US\$]	[US\$]	[US\$]	[%]	[%]
<b>UNDP</b>	<b>1,630,000</b>	<b>757,900</b>	<b>485,552</b>	<b>64%</b>	<b>70%</b>
<b>UNEP</b>	<b>230,000</b>	<b>185,000</b>	<b>170,000</b>	<b>92%</b>	<b>26%</b>
<b>FAO</b>	<b>1,896,000</b>	<b>687,410</b>	<b>643,245</b>	<b>94%</b>	<b>66%</b>
<b>TOTAL</b>	<b>3,756,000</b>	<b>1,630,310</b>	<b>1,298,797</b>	<b>80%</b>	<b>65%</b>

Source: Authors estimates based on the Financial Report

131 UNDP and FAO have the bulk of the budget, and are furthest behind in terms of their commitment and delivery rates (Table 5).

132 Using the remaining budget as a proxy indicator for the accomplishment of activities (and thus the achievement of results), Output 2.1 (65%); Output 3.2 (67%) and especially Output 3.3 (89%) of the programme are significantly delayed (Table 6). The budget for Output 3.1 has been completely used up since the baseline report was finalized.

**Table 6. MDG-F-1679: Overall Budget and Disbursement Status to Outcomes & Outputs (as of December 31, 2011)**

Outcome/output	Total amount planned for the JP	Estimated approved to date	Estimated disbursed to date	Estimated disbursed of approved to date	Remainder of TOTAL planned BUDGET
	[US\$]	[US\$]	[US\$]	[%]	[%]
<b>1. Outcome</b>	<b>230,000</b>	<b>185,000</b>	<b>170,000</b>	<b>92%</b>	<b>26%</b>
1.1 Output	140,000	125,000	115,000	92%	18%
1.2 Output	90,000	60,000	55,000	92%	39%
<b>2. Outcome</b>	<b>1,280,000</b>	<b>707,900</b>	<b>447,802</b>	<b>63%</b>	<b>65%</b>
2.1 Output	1,280,000	707,900	447,802	63%	65%
<b>3. Outcome</b>	<b>2,102,161</b>	<b>737,410</b>	<b>680,995</b>	<b>92%</b>	<b>70%</b>
3.1 Output	15,000	15,000	15,000	100%	0%
3.2 Output	1,881,000	672,410	628,245	93%	67%
3.3 Output	350,000	50,000	37,750	76%	89%
<b>TOTAL</b>	<b>3,756,000</b>	<b>1,630,310</b>	<b>1,298,797</b>	<b>80%</b>	<b>65%</b>

Source: Authors estimates based on the Financial Report

133 In general the above-mentioned shortcomings of the JP in planning and management (financial, human resources, monitoring, communication etc.) must be remedied immediately, to increase the likelihood of achieving the programme outcomes as originally planned. Otherwise it is very unlikely that the programme can be completed in the remaining eight-month period.

## 7 Sustainability and Potential Impacts

- 134 Currently this joint programme is very much concentrated on the implementation and process activities, and there is no discussion of exit strategies nor thoughts about the sustainability of the programme.
- 135 However, there are indications that major programme elements will have a sustainable impact.
- 136 The policy support provided by the JP can play a constructive role in mainstreaming climate change adaptation and mitigation options into the development plans, key sector policies and strategies. The contribution of the Climate Change Adaptation & Mitigation Plan for the integration in the Growth and Transformation Plan (GTP) are expected to be effective at least up to 2015.
- 137 The capacity building activities promote the integration of climate change adaptation into the policy and into the society. Political decision-makers as well as pastoral communities benefit from capacity-building activities under this programme. They can act as multipliers to apply ideas and knowledge on climate change in their living environment.
- 138 The integration of poverty reduction measures (capacity building, land use management, improvement of water availability, IGAs) into the program has convinced and motivated the beneficiaries to participate actively in the programme execution and has engaged people in self-development efforts, which create ownership.
- 139 Assessment of economic and financial sustainability must take into consideration the fact that these communities have only recently started or will start with new piloting activities. Follow-up and monitoring will be crucial in helping them to gain confidence in handling these new businesses and activities successfully.
- 140 The need for developing an exit strategy ahead of the joint programme termination to ensure sustainability of achievements is crucial. To date, no clear exit strategy toward sustainability of the programme has been formulated. Questions such as the following remain unanswered: Who will be responsible for handling over activities? How will be the continuation of projects funded? How it will be monitored? What kind of role does the community play in managing? What kind of role do the local authorities have? What kind of commitments can be arranged?

## 8 Programme End

- 141 The official date of the programme start was 21 October 2009. The first funds were transferred in the same month. The three year programme will end on 21 October 2012.
- 142 The UN agencies and the implementing partners have reviewed their performance and see the need for a "*no-cost extension*" of the programme for implementing remaining project activities and achievement of results. Eight months remain and Outcome-component 2 (*Government and pastoral institutional capacities strengthened...*) and Outcome-component 3 (*Pastoral community coping mechanism/ sustainable livelihood enhanced*) in particular still lag behind, and it is most likely that these pilot activities cannot be completed as originally designed in the remaining time, or even with an eight month extension if substantial programme improvements are not made.
- 143 The MDG-F published the "Implementation Guidelines for MDG Achievement Fund joint programmes" that provides guidance to JPs about a no-cost extension. The request

for a no-cost extension is made by the National Steering Committee to the MDG-Fund Secretariat through the UN Resident Coordinator.

- 144 According to this guideline the approval of a no-cost extension request is granted only on an exceptional basis, and only if the request clearly articulates the effectiveness of the joint programme in a revised, realistic and time-bound results framework along with a joint work plan that illustrates when and how the expected results are to be achieved.
- 145 All the joint programmes are expected to be operationally closed no later than June 30, 2013.
- 146 However, there are some more basic requirements that have to be fulfilled for a non-cost-extension request by this programme. These are activities that either have not been started or have not been completed yet: (i) implementation of an M&E system, (ii) implementation of Communications & Advocacy activities, (iii) identification of Administrative & Processes challenges and active measures for improvements.
- 147 The programme has the option of applying for a no-cost extension if there is good justification for it. However, the overall programme delay and the absence of a ready and viable thoroughgoing solution by the programme make it rather questionable at the current stage whether this programme can qualify for a no-cost extension or third year disbursement. However, the final decision on a programme extension has to be made by the MDG-F and the MDG-F Steering committee.

## 9 Conclusions

### Design and Relevance

- 148 The weak **programme planning** led to an inefficient operationalizing set-up of the JP. Aspects of a participatory approach in programme planning, budget and resource planning as well as in conducting essential surveys for the inception phase have been neglected.
- 149 The outlined activities are appropriate for achieving the objective of this programme, but some of these measures appear to be overly ambitious for a three year programme (Outputs 3.2+3.3) that aims to achieve tangible and sustainable impacts that can be replicated for other pastoral communities in the country.
- 150 This joint programme has a high **relevance** for the country because climate change poses a serious threat to the alleviation of poverty in Ethiopia. It corresponds to Ethiopia's policy of adapting to and mitigating the impacts of climate change through the development of responsive and nationally appropriate policies and practical measures.
- 151 The programme's **relevance** is further enhanced by its ability to develop the Ethiopian government's Growth and Transformation Plan (GTP) towards climate change adaptation and mitigation issues.

### Effectiveness

- 152 The overall **effectiveness** of the JP is still being affected by a delay of about nine months in the programme start-up. Additionally, programme performance is poor in aspects of the accomplishment of programme activities and achievement of results (especially Outcome 2+3). It is very unlikely that the programme can be completed in the remaining eight-month period or even with an extension of a maximum of another eight months if substantial programme improvements are not made.
- 153 The lags in the implementation of programme activities are reflected also in the large amount of undisbursed funds. About 64% of the total approved budget<sup>17</sup> still remains, compared to the 22% of the remaining project life.
- 154 An integrated **Communication & Advocacy Strategy** for the programme has been developed but not implemented. Therefore the JP with its achievements lacks visibility in the country. Although previously announced by the programme<sup>18</sup>, this strategy was not pursued and therefore not implemented.

### Efficiency

- 155 Deficiencies in the JP process **design** and in the **operating system (human resource management, financial procedures, monitoring and evaluation system)** and the lack of authority of the **programme coordination office (PCO)** are essential issues for the programme **efficiency** and must be remedied immediately by the JP stakeholders to increase the probability of achieving the planned programme outcomes as originally planned.
- 156 The JP has a high level of national **ownership**. Government ownership is enhanced by establishing mainstreamed programme implementation governance structures from the federal down to the community level.

<sup>17</sup> \$4 million

<sup>18</sup> Progress Report 07-12/2010

- 157 The JP mainstreams **gender** as an integrated part of the programme in terms of trainings and participation in various alternative livelihood activities, and ensures that women benefit equally from the programme. The programme has designed schemes for women's empowerment by creating additional income sources for women.
- 158 However, the major part of implementation of **income-generating activities** has not yet begun, and responsibility for follow-up support has not been defined. These are new challenges that require professional long-term support, especially in terms of capacity building and technical back-up, to ensure sustainability. It seems unlikely that this can be accomplished in the short time remaining.
- 159 Pilot projects are supposed to encourage the submission of innovative livelihood development case studies which outline promising practices and lessons that can be replicated in other pastoral areas in the country. However, if a pilot project is poorly executed the conclusions drawn may be incorrect. With this in mind and in view of the short time remaining, the MTE recommends a **thorough review** of this programme module before continued.
- 160 The **baseline survey** was issued in December 2011, too late to combine it with an adequate **M&E System** to assess the effect of the programme on the project and portfolio level. Gender-specific issues and **MDGs** were not considered for further investigation in this survey.
- 161 No appropriate **monitoring system** in accordance with the Programme Monitoring Framework (PMF) and the overall M&E guidelines set by the MDG-F Secretariat has been installed to date.
- 162 The **vehicle** problem has created a significant challenge in the day-to-day activities of the regional IPs by hampering field work such as coordination, monitoring, project activities, and consultations with targeted weredas/Kebeles. The provision of motorcycles for the focal persons in the six implementation weredas still has not been realised. The tax clearance issue in effect since January 2011 has not been resolved and the regions affected by this tax did not allocate the expense in their budget.

### **Sustainability and Impact**

- 163 The sustainability of the programme intervention may be high due to the high ownership but this depends very much on the outstanding commitments (e.g. of local authorities and their extension services) and a well-thought-out exit strategy, or on a sustainability strategy by the responsible local partners.

## 10 Lessons Learned

- 1 The design and preparation of such programme should allow for a well elaborated inception phase requiring important aspects:
  - i) **Participation:**
    - a. Participatory approach through the integration of the community to use indigenous knowledge and local coping strategies as a baseline and starting point of adaptation planning.
  - ii) **Planning and Budgeting:**
    - a. Flexibility of the budgeting to allow some minor amendments during the course of the programme in response to e.g. external factors (inflation, trend of prices, climatic factors, change of needs, etc.)
    - b. Transport & Mobility: Elaborate carefully the need of transport and running costs to implement programmes as efficiently as possible (e.g. conducting regular field visits for monitoring & evaluation, technical support, etc.)
  - iii) **Baseline data:** Conduct a participative field survey as early as possible to get baseline data as a reference system with relevant thematic indicators for investigations and assessments of programme impacts. Indicators should be linked with an adequate programme planning matrix and impact monitoring system.
  - iv) **Personal-programme-management:** Capacity/need assessments and related trainings towards human resource development are aspects of capacity development in programmes which create ownership and generate an added value to implement programmes more effectively and efficiently in terms of both programme execution and sustainable results.
- 2 The MDG-F disbursement guideline (70% threshold) can be rather counter-productive for programme execution. Organisations that are fast in their execution of programme modules - and consequently in the utilization of their funds - cannot continue their work and must wait for the other joint programme members until all have reached the average of 70% disbursement rate before requesting the release of new funds.
- 3 In terms of the "One UN" initiative, the harmonization and alignment of rules and procedures (e.g. fund management) to maximize the implementation effectiveness and efficiency of the programme is essential.
- 4 The programme is active in the disaster risk management and climate change initiatives and contributes innovative strategies for the Growth and Transformation Plan (GTP) and Ethiopia's new climate resilient & green economy (CRGE) initiative.
- 5 A programme design that includes a strong participatory process leads to strong country ownership, which in turn can increase the impact and the sustainability of interventions.
- 6 To encourage pastoralists in the use of appropriate and new farming management, especially when these methods will be used to generate knowledge and experience for up-scaling new approaches to other pastoral districts, a much longer support programme that includes trainings and intensive practical assistance is required.



- 7 The combination of disaster risk management activities (e.g. capacity building: *software component*) and poverty reduction measures (e.g. establishment of improved drinking water structures, innovative drought preparedness activities: *hardware component*) has synergistic effects in the mobilization of the target group.
- 8 Programmes should be aware of adverse external factors (such as climatic conditions) and take into account unfavourable periods for starting and financing activities, especially in agricultural and construction sectors (nurseries, raising of plants, construction work) which comprise components that depend entirely on the cropping and climatic season.
- 9 The development of an exit strategy plan should be an integrated part of each programme to strengthen the capacity building process and enable country agencies to sustain initiatives.

## 11 Recommendations

- 1 In consideration of the current situation, the programme has to accelerate the implementation process and must act immediately to implement activities if the expected results are to be achieved in the remaining eight months of the project duration.

### **Workshop**

- 2 The JP should carry out a *General Workshop* under consideration of all identified key recommendations.
- 3 This workshop - coordinated by the PCO - should be conducted with all relevant joint programme stakeholders to elaborate new strategies for overcoming administrative & process challenges (review of activities, budget transfer processes and reporting, human & technical resource management issues, role of the PCO, strategy development for the remaining JP period, etc.) to take rapid measures, and should consider the strengths and weaknesses described in this report.
- 4 Outcomes of the workshop should be made available within thirty days of the final version of the MTE report, and before a no-cost extension request or third year disbursement can take place.
- 5 The outcomes of this workshop towards improvements of the JP should include:
  - 5.1 A *Plan of Improvement* which lists the operative implementation activities with a clear schedule for the remaining eight-month programme duration. This plan should also consider:
    - 5.1.1 the identification of administrative & processes challenges and concrete active measures for improvement
    - 5.1.2 the identification of partnerships which reflect the programme's sustainability and exit strategy
    - 5.1.3 the implementation of the Communications & Advocacy strategy and an appropriate M&E system.

### **Revision of the joint programme**

- 6 The MTE recommends a scaled-down revision of the programme.
  - 6.1 In consideration of the remaining project period as well as the special demands of the implementation of innovative pilot projects as described in this document, the revision of Outcome 3 is recommended as follows:
  - 6.2 Identify and delete IGA activities which have not yet started and which require technical support which can be not ensured after the project conclusion. This has to be reviewed and approved by the MDG-F and the NSC.

### **Efficiency**

#### **Task force**

- 7 To increase the efficiency of programme implementation and accelerate the progress towards the programme achievement the following two options should be considered by the programme:
  - 7.1 Establish and mobilize a special team (*task force*) from UN agencies and/or implementing partners for monitoring and technical backstopping in regions that

require immediate support (especially Afar, Somali Region) to accomplish activities within the remaining period. This team should be provided with permanent access to the necessary equipment (e.g. transport).

- 7.2 Assign an experienced technical coordination staff from the federal/regional level that will facilitate and coordinate quick transfers of funds, project activities and reports.

#### Staff

- 8 Staff are the backbone of this joint programme and their appreciation and recognition is important. The programme should ensure regular and timely salary payments for the wereda focal persons. Budget lines for salaries as well as for operational costs should be independent from programme activities, to ensure smooth disbursements.

#### Communication & Capacity

- 9 The JP should encourage transparent and vital communication processes between all levels of the programme (especially vertically) to develop a corporate project identity, increase commitments to the joint programme, encourage knowledge sharing and increase transparency of the programme progress. Regular, consistent two-way communication is critical to keep the programme's focal persons at the regional or wereda level informed on and connected to the programme management unit, as well as keeping the programme management unit informed regarding issues of the focal persons. A combination of phone and e-mail, as appropriate, is effective. The programme management have to maintain the on-going dialogue with the programme focal persons at the regional and wereda levels.
- 10 The programme should conduct a need assessment of the regional programme staff in terms of the joint programme requirements for the administrative procedures, reporting, budgeting, and technical skills required for the programme. Necessary trainings should be conducted immediately.
- 11 Project Management Committee meetings should be institutionalized for closer follow-up. The results of these meetings should be available directly for all stakeholders involved in this programme.

#### Program Coordination Office (PCO)

- 12 The efficiency of the program coordination office (PCO) should be reviewed by the joint programme with regard to its mandatory power and the decision-making authority. The Programme Coordinator should be strengthened with strong support from UNDP, UNEP, FAO and the RCO to guarantee its capability and its authority in the joint programme.

#### Transport

- 13 The allocation of transport facilities is crucial in order to monitor the implementation of project activities and ensure the quality of execution. The provision of motorcycles for the focal persons in the six implementation weredas has still not been realized. The PMC in cooperation with the IPs should find an immediate solution to this issue.

#### Budget

- 14 In light of the delay in budget transfers and likewise the delay in submission of technical and financial reports with the *80% threshold*<sup>19</sup> of UNDP, the UN should consider transferring six months' funding in advance to ease administrative pressure, as well as submitting quarterly reports on a regular basis. The release of funds on a six-month basis would improve the continuity of project execution.

<sup>19</sup> UNDP rule: release of funds only if 80% of previously released funds have been utilized

- 15 The introduction of a financial tracking system to follow the flow of funds from release all the way to the recipient could help to pinpoint bottlenecks and obstacles in the financial distribution system. The joint programme should prepare templates which include for example the following issues for reports or requests: input, output, accepted, rejected because of...; forwarded cash inflow/outflow history.
- 16 In terms of the "One UN" initiative, the UN should deliberate the harmonization and alignment of rules and procedures (e.g. fund management) to maximize the implementation effectiveness and efficiency of the programme.

#### M&E

- 17 In order to ensure the sustainable quality and the progress of the joint programme, the programme should establish a reliable and appropriate monitoring system in accordance with the Programme Monitoring Framework (PMF) and the overall M&E guidelines set by the MDG-F Secretariat.
- 18 The programme should link the design of an adequate M&E system, with verifiable thematic indicators, to the recently conducted baseline survey, to form a reference system for investigations and assessments of program impacts

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### **III. ANNEX**

- 1      ANNEX      Logframe**
- 2      ANNEX      Map of Ethiopia and Region of MDGF-1679**
- 3      ANNEX      MDG Ethiopia**
- 4      ANNEX      Documents and References**
- 5      ANNEX      Individuals consulted**
- 6      ANNEX      Schedule of in-country mission**
- 7      ANNEX      Terms of Reference (ToR)**