UNDAF Ethiopia Mid-term Review (MTR)

Draft Report Volume I

UNIVERSALIA

July 2014

Executive Summary

Introduction

This report provides the results of an mid-term review of the UNDAF stretching over the period 2012 to 2014 and involving over US$1 billion of a roughly $2.6 billion programme. The evaluation was commissioned by the Ethiopian Ministry of Foreign Affairs and Economic Development (MOFED) and the UNCT in Ethiopia and is intended to inform both parties on the next country development assistance framework, slated to begin in 2016, as well as **contribute to organizational learning** and good practices programming and partnerships in Ethiopia.

The evaluation was framed by an evaluation matrix which defines the **scope and focus of this evaluation** negotiated with and approved by a MTR Reference Group[1]. **Review methods** included extensive documentation review, secondary data analysis, in-person and telephone interviews, workshop sessions with each of the four pillar groups and site visits to regional offices in Ethiopia (Somali and Oromia), which provided a regional perspective on the MTR. The methodology and analytical process were comprehensive, providing rigor and validity through triangulation (of both sources and methods). The Evaluation Team consisted of one international and one national consultant, who were committed and adhered to ethical principles and standards of evaluation.

Profile of the UNDAF Support to the Government of Ethiopia

- **Significant UN agency presence** in Ethiopia across a range of sectors, and across a number of regions in Ethiopia. UN agency regional offices increasingly share resources and assets across agencies, and UNDAF resources are allocated to federal and sub-national levels.

- **Role of the UN in Ethiopia** combines efforts in policy development, technical assistance and capacity building, and service delivery in the country.

- **The UN continues to be responsive as an implementer to important needs** in Ethiopia such as support to emergency programmes or emerging issues in close coordination with government counterparts.

- **The Delivering as One UN programming structure as well as several joint programmes** are two examples where UN programmes have demonstrated improved harmonization and coherence in recent years.

- **Pilot programmes** across different intervention areas also demonstrate innovations which can be scaled-up or replicated.

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[1] A Reference Group was established for the MTR and included representatives from the Government of Ethiopia and members of the RCO and UNCT.

Ethiopian Context

Ethiopia's development context is framed through its **five-year growth and development plan (GTP)** for 2010/11-2014/15, with a vision to become a middle income country by 2025. The GTP aims to foster broad-based development in a sustained manner to achieve the MDGs. The plan envisages a major transformation of the national economic structure, seeking to double agriculture production and significantly increase the share of industry in the economy, while maintaining a focus on human development, women's empowerment and governance. In its most recent progress report, the government highlighted its strong economic growth and fiscal management while lamenting slow productivity improvements in agriculture, and weak growth in small medium sized enterprises. Infrastructure improvement in roads, telecommunications and energy has nevertheless been impressive.

The achievements of the GTP to date indicate that by sustaining the economic growth and strengthening the implementation of the undergoing social and economic programs, it is possible to achieve most of the **social development MDG goals by 2015**. The government's consistent focus on implementing poverty reduction programmes and its political commitment to achieve all the MDGs has enabled the country to consistently keep six of the eight MDGs (MDGs 1, 2, 4, 6, 7, 8) on track over the last decade. MDGs three and five require implementing innovative interventions to speed up progress and bring them back on track in the remaining few years before the MDGs completion due date in 2015.

The UN in Ethiopia is a long time and critically important contributor to the development efforts in Ethiopia in recent years. Global declarations (notably the Millennium Development Goals (2000), the UN Monterey Summit (2002), and the Paris Declaration on Aid Effectiveness (2005), a changing aid architecture and UN corporate priorities (such as collaboration and partnerships, leveraging, programmatic approaches and knowledge management) have all framed the work undertaken by UN during the last two years. Notably, Delivering as One has been one way in which harmonization efforts have been put forward by the UNCT.

Performance was examined from four perspectives relevance, effectiveness, sustainability and efficiency. The MTR also considered coherence as a final perspective.

Relevance: UNDAF objectives as defined in the UNDAF and UNDAF Action Plan were relevant to the needs and priorities of Ethiopia's Growth and Transformation Plan over the past two years and were found to be well aligned with the MDGs. The UN was seen as a relevant and trusted partner by the government, and was well appreciated for its focus on technical assistance, policy development support, and support with service delivery. The latter of these reflects a continued role for the UN in areas where government capacities remain inadequate. The UNDAF's programming in regard to the UNDAF cross-cutting priorities is also relevant to the existing and emerging needs of Ethiopia.

Effectiveness: UNDAF comprised of four pillar areas, each of which has made notable contributions to enhance local and national government capabilities with explicit attention to technical assistance and policy development and delivered in an integrated, multi-sectoral approach. Achievement as noted by the four UNDAF reflects consistently good progress according to the M&E framework set out by the UNDAF Action Plan. Most objectives which could be measured at the mid-term stage as defined in the UNDAF Action Plan are either fully on-target (51%) or close to target (44%).

However, the UN Pillar Groups missed opportunities to set out a more complete M&E matrix after two years of programming, and some progress is difficult to measure due to a lack of data or poorly defined targets. These have impeded UN's ability to measure progress towards outcomes in Ethiopia. Out of 250 indicators in the UNDAF Action plan, roughly 38% could not be measured.

Efficiency: The MTR highlighted some important value-for-money and efficiency gains through the harmonization efforts of DaO, most notably in regard to operations and procurement. There remains a scope for additional efficiency gains in these areas. While the UN and its key stakeholders invest

considerable time and resources in planning and reporting, they typically under-invest in analyzing the results of UN investments and managing for results. The absence of systematic approaches to pilot interventions reduces the potential cost-effectiveness of its investments. In spite of some efforts for the development of valuable joint programmes, these were often not accompanied by corresponding efficiency improvements, but rather led to additional efforts in planning and coordination, with few gains noticed by government partners.

Sustainability: While there are some strong examples of sustainable programmes in place at the mid-term stage, there was insufficient explicit attention to sustainability of results in the UNDAF. While capacity building was central to most programs, the absence of a common understanding, clear strategy, and systematic approach to capacity building contributed to its mixed performance in supporting sustainable capacity building results.

Coherence: The UNCT through DaO has developed a strong team atmosphere with good communication and coordination with most UN partners and development partners. The UN has played multi-faceted role in Ethiopia, with the RCO taking on some broader coordination efforts which have been applauded by government actors. Its niche – i.e., the role(s) in which it has greatest comparative advantage will continue to be driven by its balance of service delivery, policy support and technical assistance to government. Clear and appropriate frameworks across pillars to assess pilots and the strength of capacity building across each of these areas will be critical to meaningful assessment and UN's ability to claim success. This includes the need for systems to track the transformation away from service delivery to demonstrate how the next UNDAF hands these elements over to government.

UN has made some modest progress in harmonizing its work through Joint programmes in Ethiopia, and efforts continue in this regard. UN has developed some internal coordination structures, although some of these are not quite seen as mature, and require additional tweaking to ensure relevance and coherence.

The UNDAF has seen mixed results in terms of generating increased financial support for its programs over the two years: the joint programming and One-fund modalities have not captured the imagination of donors, partially due to poor communication on joint results and limited use of social media. It is noted that government partners need to be equal participants in resource mobilisation in order to see any real improvements in this regard.

Looking forward to the next country programme, an assessment of the strengths of the current UNDAF in relation to the new SOPs is presented below:

Delivering as One Advantages[2]	Status at MTR (Excellent, Good, Weak)	Strengths	Areas for Improvement
Improving the UN system's focus on working together towards achieving national development results.	Good	Pillar Planning and Reporting jointly	Pillar implementing jointly
Aligning UN activities with national priorities and avoiding duplication.	Excellent	Linkages with GTP and emerging issues	Post 2015 Sustainable MDGs
Making best use of the mandates and expertise of the entire UN system to deliver results.	Excellent	Pillar working group planning	Making better learning use of pilots

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[2] These are the suggested advantages of DaO according to UNDG post-QCPR and are listed in the Standard Operating Procedures.

Creating integrated policy solutions and responses needed to address multi-dimensional challenges.	Good	Cross-cutting interventions and JPAT	
Promoting the values, norms and standards of the UN in a coherent and consistent manner.	Excllent	Implementing Programming principles	Monitoring programming principles
Increasing the transparency, predictability and accountability of the UN system.	Weak	Joint reviews with government	Weak M&E and poor transparency on fund mobilisation and disbursement
Using the convening role of the UN to facilitate the inclusion of all relevant stakeholders, including global and regional practitioners and non-state actors.	Excellent	Convening on UPR	
Reducing transaction costs for governments, development partners and, based on the new Standard Operating Procedures, also for UN Country Teams.	Good	Operations Management Team	Communicating messages on efficiency
Establishing a clear division of labour based on the comparative advantages and capacities of each UN agency.	Good	Strong dialogue within Pillar partners during planning phase	Interventions between different pillars
Achieving efficiency gains and cost savings through harmonized business practices and integrated operational support services.	Excellent	BOS in place and cost savings planned	
Improving the UN system's focus on working together towards achieving national development results.	Good	Innovations through Flagship JPs and MDG-F	Joint monitoring

Recommendations

1) It is suggested that the UN Communications Group take a more active role alongside the RCO to share important programmatic and operational results with partners

2) Government partners are encouraged to be more active in Joint Resource mobilisation for the One Fund

3) The UN should lead training on UNDAF programming principles, particularly on complementarily between gender, human right and the environment.

4) The UNCT through the IAPT should define guidelines for pilot programmes, and develop clear guidance on measuring capacity development and quality so that a common understanding can emerge across Pillars

5) The UNDAF M&E plan should simplify its use of indicators and do more to track resources across agencies.

6) The UN in Ethiopia should work to better define sustainability strategies as well as transferring service delivery to government partners

7) The UNCT and IAPT should seek innovative ways of carrying out joint tasks and meetings

A c r o n y m s

CCA	Common Country Assessment
CCM	Common Coordinating Mechanisms
CPAP	Country Programme Action Plan
CSO	Civil Society organizations
DAC	Donor Assistance Committee
DaO	Delivering as One
DFID	Department for International Development
DOCO	UN Development Operations Coordination Office
DPs	Development partners
EMG	Evaluation Management Group
FAO	Food and Agriculture Organization
GoE	Government of Ethiopia
GTP	Growth and Transformation Plan
HACT	Harmonized Approach for Cash Transfers
HQ	Headquarters
HRBAP	Human Rights Based approach to programming
IAPT	Inter-agency Programme Team
IFAD	International Fund for Agricultural Development
IP	Implementing Partners
IT	Information Technology
JPs	Joint Programmes
JPAT	Joint Policy Advisory Team
LTA	Long term Agreement
M&E	Monitoring & Evaluation
MDG	Millennium Development Goal
MOFED	Ministry of Finance and Economic Development
MTR	Mid-Term Review
NGO	Non Governmental Organization
NRA	Non Resident Agency
ODA	Official Development Assistance

A c r o n y m s

OECD	Organization for Economic Cooperation and Development
OMT	Operations Management Team
PMF	Performance Measurement Framework
PRSP	Poverty Reduction Strategy Paper
RBM	Results Based Management
RC	Resident Coordinator
RCO	Resident Coordinator Office
RO	Regional Office
SWAp	Sector Wide Approach
TCPR	Triennial Comprehensive Programme Review
TOR	Terms of Reference
UN	United Nations
UNAIDS	United Nations Joint Programme on HIV/AIDS
UNCDF	United Nations Capital Development Fund
UNCT	United Nations Country Team
UNDAF	UN Development Assistance Framework
UNDP	United Nations Development Programme
UNECA	United Nations Economic Commission for Africa
UNEG	United Nations Evaluation Group
UNEP	United Nations Environment Program
UNESCO	United Nations Educational Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UNHCR	United Nations High Commissioner for the refugees
UNICEF	United Nations Children's Fund
UN Women	United Nations Development Fund for Women
UNOPS	United Nations Office for Project Services
WB	World Bank
WFP	World Food Programme

Contents

Exhibits

UNIVERSALIA   iii

1. INTRODUCTION

1. The Universalia Management Group Limited (Universalia) is pleased to submit this draft Report and for the Mid-term Review of the United Nations Development Assistance Framework in Ethiopia.

1.1 Background

2. The UN Development Assistance Framework (UNDAF) is the strategic planning framework designed jointly by the United Nations Country Team (UNCT) and the Government of Ethiopia to guide the UN's contributions to support Ethiopia's current five-year development plan, the national Growth and Transformation Plan (GTP). The current UNDAF 2012–2015[3] for Ethiopia comes at a critical time as Ethiopia undertakes a transformational pro-poor growth trajectory aimed at lifting the country out of poverty and in the path of sustained development to become a middle income country by 2025. This UNDAF cycle also coincides with the last years of the Millennium Development Goals agenda.

3. The UNDAF and the UNDAF Action Plan (UNDAF AP) were formulated over the course of 2010 and 2011 following the 2009 UNDG simplified UNDAF guidelines. Four major thematic pillars for UN intervention were identified and budgeted at roughly $2.6 billion over four years, or roughly $650 million per year:

   8) Sustainable economic growth and risk reduction;

   9) Basic Social Services;

   10) Governance and Capacity Development;

   11) Women, Youth and Children.

4. As a voluntary UN 'Delivering as One' (DaO) country, the UN and the Government of Ethiopia were also strongly committed to enhance the coherence and effectiveness of the UN support to national priorities. The UNDAF 2012-2015 was at the centre of these efforts: it represented a common programming tool for contributions of all UN agencies and funds at country level; it was developed based on a common country assessment; and it was fully aligned with the national planning processes and frameworks, in particular the GTP. In addition to achieving the development results stated in the four major thematic areas mentioned above, the UNDAF and DaO was expected to improve the way in which the UN assistance would be provided, particularly in terms of coherence, harmonization and mutual accountability.

5. The responsibility for the overall coordination of the UNDAF has traditionally been shared by the Ministry of Finance and Economic Development (MOFED) and the UNCT, supported by the Resident Coordinator Office (RCO). For each pillar, Pillar Working Groups have been established to oversee progress towards planned results and to offer a platform of exchange and discussion between agencies and government partners involved in the specific field of each group. Several other coordination groups play critical roles in support of the UNDAF and DaO: these include working groups for Monitoring and Evaluation, Communications (UNCG), a Joint Policy Advisory Team (JPAT), an Inter-Agency Programme Team (IAPT), an Operations Management Team (OMT).

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[3] Extended by 6 months to June 2016

6. In 2013, MOFED and the UNCT carried out an 18-month review of UNDAF progress as part of its on-going efforts to track and monitor performance and results.[4] Results were monitored through joint monitoring field visits, federal and regional reviews, sectoral review reports, thematic group annual reports and conclusions from review meetings. Overall, 70% of UNDAF indicators that were measured were on target (determined by achieving 90% or more of the planned first year target), 10% were close to target (achieved more than 70% but less than 90% of the planned first year target) and 20% were below target (achieved less than 70% of the planned first year target). This indicated that, as a whole, the UNDAF is on track to achieving its goals in most results areas.

7. Overall, the 18-month review reported that 22.4% of the planned four year budget was expended in the first 18 months. All pillars in total expended approximately USD 586 million during the first 18 months. The planned budget includes the amount of resources that were intended to be mobilized over the course of the programming cycle.

1.2 Objectives

8. In 2014, MOFED and the UNCT commissioned a review to assess the relevance, effectiveness, efficiency and sustainability of the UNDAF. Although the Mid-Term Review (MTR) is not a mandatory requirement, the UN Country Team and the Ethiopian Government, having reached the midpoint in the UNDAF implementation cycle, to conduct a light mid-term review as a stepping stone to the planning for the next set of annual work plans as well as the next UNDAF slated for July 2016. Therefore, broad objectives for the MTR were intended for accountability purposes as well as for learning. Specifically, the objectives were to:

- assess the mechanisms put in place to enhance coordination and harmonization among all UN agencies.

- identify challenges, innovations, lessons learned to enable adjustments to enhance coordination, harmonization and partnership towards best results for the remaining period of the UNDAF and for the next UNDAF (2016-2020).

- provide a common discussion forum between the UN, Government and partners on UN-Government achievements through the UNDAF, challenges, and ways forward in support of the Growth and Transformation Plan (GTP).

- assess the achievement and progress made against the planned results, assess challenges, and draw lessons learned over the first half of the UNDAF 2012-2015 period. The review will also help to generate possible recommendations for fine tuning the performance of the UNDAF for the remaining period.

- assess how emerging issues that were not reflected during the design of the current UNDAF could impact the achievement of its outcomes, and make recommendations to ensure the continued alignment of UN assistance with national priorities to achieve robust results in the remaining period. The review will serve as important input in preparing the next UNDAF.

- serve as an input for the preparation of the annual work plans and Programme Monitoring Framework (PMF) of agencies for Ethiopian Fiscal Year (EFYs) 2007-2009.

9. As per the TORs, the specific objectives of the MTR process therefore include the need to:

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[4] United Nations Country Team in Ethiopia & MOFED (2013). UNDAF Performance Review for January 2012 – June 2013.

- validate the continued relevance, effectiveness, efficiency, coherence, sustainability and the impact of UNDAF in delivering on agreed outcomes and their contribution to national development efforts;

- determine the adequacy of the existing systems and structures for implementing the UNDAF programme (the working groups, the resource framework, the programmes, etc);

- identify major constraints faced by the UN and implementing partners, document lessons learned during implementation, and make recommendations for overcoming implementation challenges and supporting results achievement during the remaining period of the UNDAF;

- provide inputs for the preparation of annual work plans and the next Programme Monitoring Framework and to adjust the UNDAF action plan, Business Operations Strategy (BOS), and M&E plan as needed;

- provide input for the annual reports of agencies, the Resident Coordinator annual report, and reporting for donors;

- identify implementation challenges and operational issues, and provide inputs and lessons learned for the preparation of the next UNDAF.

10. The UNDAF was designed in accordance with the five UN programming principles: human rights; gender equality, RBM; capacity development; and environment sustainability. As a result, the review also included coverage of each of these five cross-cutting elements.

1.3 Methodology

11. The MTR methodology was based on the assignment TORs and the suggestions agreed upon during the inception phase of the review. The assignment was carried out in conformity with international evaluation standards including those of OECD DAC and the UN Evaluation Group (UNEG). The review was evidence based and utilization focused. Stakeholder participation, with a focus on ensuring government participation at key entry points, was an integral component of planning, information collection, development of findings; reporting and dissemination of results. The evaluation team consisted of an international consultant (Rudy Broers) and a national consultant (Helen Amdemikael)

12. The methodology of the MTR involved both primary and secondary data/information collection through conducting various MTR consultations at regional and national levels.   Some of the processes of the MTR were already completed at the time of inception, including the regional reviews, therefore, the MTR relied on documentation of these meetings and two sample field visits (to Oromia and Somali regions) to supplement our data collection.

1.3.1 Evaluation Framework

13. Data collection for the evaluation was guided by an approved evaluation framework, as shown in Appendix II. The matrix describes the evaluation foci as well as the different sources of data used to answer each question.

1.3.2 Assignment Phases

14. The assignment was conceptualized in three distinct phases as described below, and largely in line with the proposed TORs: 1) inception report, 2) data collection, analysis and; 3) reporting.

1.3.3 Data sources

15. There were three main sources of data for this evaluation: documents, key interviews and observations/site visits with selected partners and a UN staff survey.

Documents

16. An initial list of documents was provided by the RCO and the MTR Reference Group. This list was supplemented during the data collection phase based on input from the UN and the Government partners. Documents reviewed included the following:

- Growth and Transformation Plan (GTP) and Annual Progress Reports

- MDG Report for Ethiopia

- UNDAF Pillar narrative reports and Matrices;

- Reports from regional MTR reviews, Progress Matrices on Annual Work Plans (AWPS);

- UNDAF Annual review report, Agency annual reports and RC annual report;

- UNDAF and DaO reports and documentation, including ToRs and Meeting Minutes;

- UNDAF annual review reports;

- Global level documents on UN reforms, such as the QCPR and any other relevant documents;

- Evaluations, such as on the MDG-F and the light review of the three flagship joint programmes;

A full list of documents reviewed is available in Volume II.

Interviews and focus groups

17. Key groups of UN Staff and government partners collaborated significantly as part of the MTR. In essence, the MTR could be seen as strongly participative, including the views and perceptions of government partners across several regions. More than 120 individuals were consulted for the MTR through individual and group interviews and focus groups. These included UN staff, GoE partners, and bilateral donors. Some of the key meetings included:

- **The MTR pillar workshops and regional workshops** used the UNDAF Action Plan and Results Matrix plus the first two-year Programme Monitoring Framework as a basis for reporting on results and their achievement. A standardized, clear, and easy-to-fill reporting format was prepared by the UN M&E technical working group and MoFED so that the inputs from the regional consultations could be aggregated and feed in to the national validation workshop. Each of the four Pillar workshops

- **Key Informant Interviews with UN, government partners and selected donors** allowed for further details on the programming and operations aspects of the UNDAF, the UNDAF AP and operations and harmonization under DaO. These interviews supplemented and triangulated the findings from the various reports and Pillar workshops. Additionally, they allowed for a broader understanding of coherence and harmonization under DaO through the efforts undertaken by working groups – M&E, OMT, Communications, etc. Our intent was to examine the utility of systems in place and to identify any modifications needed that might enhance UN-DaO's institutional effectiveness.

- **Regional interviews**: Additional interviews were carried out in two proposed regions to supplement and triangulate data collected in the regional workshops. Regional interviews were carried out in Oromia and Somali Regions, and interviewees included a mix of regional government partners as well as UN staff based at the regional level.

The full list of people interviewed is available in Volume II.

Staff survey on the UNDAF and DaO

18. In order to capture the effectiveness, efficiency, relevance and sustainability of the UNDAF as a partnership framework, a survey was conducted with the objective of assessing staff views on the overall progress in the UNDAF and in regard to the harmonization efforts of DaO. The objective was to show areas of improvement and lessons learned in the implementation mechanisms under DaO.

19. The staff survey was reviewed and piloted by selected UN staff in order to collect feedback on the clarity of the survey and ease of response and to ensure a higher response rate than would otherwise be the case. A list of potential respondents comprised 205 respondents. Two weeks was provided for the survey response, and three reminders were sent to those who had not yet responded. In total, four emails bounced. In total, the survey was completed by 31 respondents, or roughly 15.4% of the 201 potential respondents. While this is a lower response rate than expected, it is not out of the normal range for surveys administered through a web-based survey tool.

20. The survey was completed by UN staff from 14 different agencies (out of 26 resident agencies). The profile of respondents, as shown below, is a mix of management, programme and operations staff, although operations staff appears to be under-represented in the responses. The survey respondents also included a cross-section of participants from all four pillars, as well as M&E and Communications staff who work across Pillars and considered themselves "other" in the first Exhibit below. The survey questionnaire and all responses are available in Volume II of this report.

Exhibit 1.1   Staff Survey Respondent Profile (n=31)
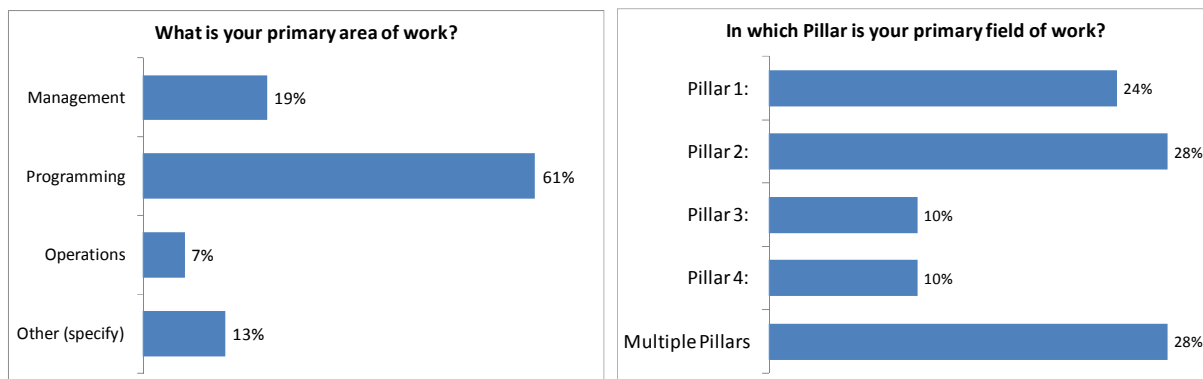
1.4 Limitations

21. The review faced a number of challenges related to information and timing of the assignment. These are highlighted in this report, relative to the implicated issues and findings. However, this section provides an overview of the limitations of the review, notably related to the evaluation scope and plan as committed in the Inception report.

22. Due to time delays, a shortened Inception phase was carried out in the second week and third weeks of May, 2014, moving directly into the Pillar Workshops. The shortened inception phase was due to important government timelines which could not be adjusted. During the Inception phase, the review team reviewed relevant documents and carried out initial discussions with the RCO, and with several pillar leads in anticipation of the Pillar Workshops, which began on May 18th, 2014. The Inception phase was intended to verify the key purposes of the evaluation, the

appropriateness of the data collection techniques and the appropriateness of the evaluation questions provided in the Terms of Reference. Specific elements of the MTR, which were discussed with the RCO through Skype call and directly with the review team during the Inception phase included the following:

- Identification and comments on a structure and format for the Pillar workshops;

- Identification of emerging issues of importance in this light review and ensure that specific questions/issues are adequately covered in the review;

- To begin to identify data sources and data availability and to understand data collection issues and constraints that will impact use of instruments, including interview protocols and survey templates;

- Identification of specific interviewees grouped by stakeholder categories, and by methods of data collection (interviews, surveys, direct contact);

- Agreement on schedule and milestones, including all Pillar Workshops and the Validation workshop;

23. A second significant feature of this review was that it was heavily dependent on the Pillar updates of their results matrices. Despite the active assistance and support of UN RCO, the Review Team was unable to obtain some results and budget information from Pillar groups. Important gaps in indicators and results information have been flagged in this report. Specifically, at the time of writing, indicators and budget information for all four pillars still had a number of missing data points. As a consequence, a more in-depth analysis related to, and dependent upon this documentation was not possible.

1.5 Structure of the Report

Following this introductory chapter:

- Chapter 2 provides a profile of the UNDAF and UNCT in Ethiopia, as well as the broader development context in the country,

- Chapter 3 presents the key findings under the key headings provided by the Review framework.

- Chapters 4 presents the conclusions, recommendations and lessons learned for the Review.

Finally, the Appendices for the review are contained in Volume II of the report. These include the TORs, evaluation framework, and data sources for the review.

2. Ethiopian context

2.1 Ethiopia political, social, economic, cultural contexts

24. Ethiopia is a federal state with nine regional states and two city administrations with 83 per cent of its population residing in rural areas. With a population of roughly 90 million inhabitants, Ethiopia is the second most populous country in sub-Saharan Africa.

25. Ethiopia has maintained an average growth rate of 11% since 2003/04 with expansion of the agriculture, service and construction sectors and significant investments in the social sectors. Agriculture remains the foundation of Ethiopia's economy, contributing to 81% of employment, 47.5% of gross domestic product and 52% of exports for foreign exchange[5]. Small-scale producers are responsible for 90% of total production. In recent years, the export sector has provided new avenues for local and foreign direct investment and to diversify the domestic revenue base. Ethiopia has also established a sovereign credit rating by Moody's Investors services, often seen as a precursor to the government's access to international debt markets. The poverty level in Ethiopia has declined from 45.5% in 1995/96 to 27.8% in 2011/12.[6]

26. The country has embarked on a vision to become a middle income country by 2025, through its five-year growth and transformation plan (GTP) for 2010/11-2014/15. The GTP aims to foster broad-based development in a sustained manner to achieve the MDGs. The plan envisages a major transformation of the national economic structure, seeking to double agriculture production and significantly increase the share of industry in the economy, while maintaining a focus on human development, women's empowerment and governance.

27. GTP draws lessons from the previous development plan, the Plan for Accelerated and Sustained Development to End Poverty (PASDEP 2005-2010) which set out the directions for economic development and the attainment of the MDGs by 2015. Specific objectives of the GTP include: 1) Maintaining at least 11% average annual growth rate; 2) Expending and ensuring quality of education and health services and achieve the MDGs; 3) Establishing suitable conditions for sustainable nation-building through creation of a stable democratic and developmental state; 4) Ensuring growth sustainability by fostering a stable macro-economic framework. The development efforts of the countries are to be pursued through the GTP seven strategic pillars:

1) Sustain rapid and equitable economic growth;

2) Preserve agriculture as a major source of economic growth;

3) Create favorable conditions for industry to play a key role in the economy;

4) Infrastructure development;

5) Expand provision and quality of social services;

6) Build public institutional capacities and deepen good governance;

7) Promote women, ensure youth employment and broaden social inclusion

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[5] UN Resource Mobilization strategy, UNDAF 2012-15

[6] GTP-APR, MOFED, 2011/12

28. The annual progress report on the second year of GTP implementation has been prepared focusing on economic growth, social development and good governance.[7] The report presented the major achievements and challenges of the GTP during the fiscal year 2011/12 in economic growth, social development and good governance in details and thus provides a good assessment of the ongoing relevance of the UNDAF in regard to the priorities of the country. In the context of the MTR, several highlights were notable in the conclusions of the Annual Progress Report, and will be presented further in the following section under the relevance of the UNDAF:

- Primary focus is still on improving the productivity of small holder agriculture and promotion of small scale enterprises;

- With regard to attainment of MDGs, the main challenge is associated with maternal health. The primary focus will be on improving the quality of education and health services over the remaining GTP years;

- It is critical to further deepen the implementation of the capacity building, democratization and governance programs over the coming years. By ensuring good governance attained to date, strengthening public and private sectors and the community implementation capacity and promoting developmental attitudes it is crucial to ensure fundamental rights of citizens;

- In terms of deepening developmental attitudes the strategic directions are to ensure public education, active participation of the public, strengthening the anti-corruption institution, and ensuring transparency and accountability in key sources of corruption The government has already developed reform program in the fight against corruption and malpractices in these areas. The focus over the coming years concerns a more effective implementation of these reform programs.

- Regarding the justice sector, the results achieved so far in terms of improving access, effectiveness and accountability of the judicial services would be consolidated further.

- In order to deepen the democratic governance system, it is critical to ensure direct participation of the public at large and civil societies at all levels. In this regard, the various initiatives would be scaled up and strengthened over the coming years. Public education of the provisions of the constitution and the basic principles of democratic and human rights would also be expanded.

2.2 Progress on MDGs in Ethiopia

29. Ethiopia has made significant progress towards achieving the Millennium Development Goals (MDGs). According to the most recent MDG Report, six of the eight MDGs are already on track and strong efforts are being made to ensure that the remaining two are brought on track by the 2015 deadline.[8] More than 65% of the public expenditure has been spent on pro-poor sectors such as education, water, health, agriculture, roads and energy. The progress so far recorded is attributed to strong commitment by Government and its development partners' to the MDGs and to the overarching national development plans, PASDEP and GTP. Mainstreaming the MDGs into Ethiopia's medium-term development process has helped the Government to channel resources to the critical sectors. The Government's development plan has prioritised interventions that generate positive impact on the MDGs and the country's overall transformation agenda. The summary of the performance on each of the eight MDGs is given in the exhibit below.

30. The MDGs are fully mainstreamed into Ethiopia's medium-term development strategy, the Growth and Transformation Plan (GTP), and development benchmarks have been integrated into a single GTP monitoring and evaluation framework. Accordingly, the Government decided to prioritize and

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[7] MOFED (2013) Annual Progress Report for F.Y. 2011/12 Growth and Transformation Plan

[8] MOFED and United Nations (2012). Assessing Progress Towards the Millennium Development Goals

increase public expenditures on pro-poor and MDG sectors to further accelerate progress and to ensure that the MDGs are attained by 2015.

Exhibit 2.1   Progress on Ethiopia's MDGs

MDG and Indicator	Progress	Description
MDG 1: Eradicate Extreme Poverty and Hunger	On Track	Significant progress on this goal particularly on the Target 1A; proportion of people below the poverty line where there was a decline from 45.5% to 38.7% (1995/96-2004/05), while the 2011/12 GTP reports a current 27.8%. Women's employment rate (Target 1B) increased from 49.9% to 53.1% between the years 2004-2010. Unemployment among urban youth declined from 23.7% to 23.3% in the years 2010/11-2011/12. Stunting of under-fives (Target 1C) declined from 58% to 44% between the years 2000-2011.
MDG 2: Achieve Universal Primary Education	On Track	MDG 2 is on track with progress in boys and girls able to complete full course of primary schooling (Target 2A). GER for grade 1-8 has reached 100%, while net enrolment is 85.3%. There is however a gap with the higher primary grades where school completion rate for grade 5 is 74.1% (boys) and 73.4% (girls) and 52.4% (boys) and 51.9% (girls) for grade 8.
MDG 3:Promte Gender Equality and Empower Women	Progressing	While progressing, MDG3, gender disparity remains to be eliminated in primary and secondary education (Target 3A). Parity gaps are evident with higher levels of education, at 0.25 in graduate school. Progress is however being made at primary and secondary levels; with a gender parity index of .93 and .83 from .85 and .59 between the years 2006 and 2012, respectively. Women's representation in decision-making positions has progressed. For instance, representation in legislature has risen from 2%-27.9% in the past 5 years since 2012.
MDG 4: Reduce Child Mortality	On Track	Considerable progress has been made to improve child health in the past decade and the MDG target on two-third reduction of under-five mortality (UMR) between the years 1990 and 2015 (Target 4A) will have been reached. UMR declined to 88/1000 live births (2010/11) from 211/1000 live births (1990). Infant mortality has also declined from 97/1000 live births (2000/01) to 59/1000 live births.
MDG 5: Improve Maternal Health	Progressing	This has been Ethiopia's most challenging MDG target to reach albeit significant political focus in the past years. Maternal Mortality Ratio (Target 5A) continues to persist at 676/1000 (2011) live births from 871/1000 live births (2000) largely due to low progress in skilled birth attendance, access and utilisation of obstetric care. Education among women and urban location are strong determinants for accessing and utilising services. However, on the related target, Achieve Universal Access to Reproductive Health (Target 5B), specifically contraceptive use, Ethiopia has progressed its use five-fold among women 15-49 years, from 6% (2000) to 29% (2011).
MDG 6: Combat HIV/AIDS, TB, Malaria and other diseases	On Track	Progress on decline in prevalence and incidence in HIV/AIDS has been significant (Target 6A), with prevalence among 15-24 years pregnant women, from 12.4% (2000/01) to 2.6% (2010/11).Universal access to treatment for HIV/AIDS (Target 6B) however needs a boost, particularly paediatric treatment and prevention mother to child (PMTCT) with only 23% and 43% of eligible population accessing services (2013). Progress has been made on decline in incidence of malaria and other major diseases such as Tuberculosis (Target 6C). Prevalence of malaria has significantly dropped to 15.1% from 25.2% between the years 2004 and 2011. TB detection and treatment has been a success. Treatment rate has gone up from 60% to 88% between the years 2000/01 to 2011/12.
MDG 7:Ensure Environmental Sustainability	On Track	Ethiopia has made progress in operationalising the Climate Resilient and Green Economy (CRGE) strategy (Target 7A). Good practices and technologies are also being implemented for improving environmental conditions. The pace of deforestation has declined from 12.55 (2000) to 11.2% (2010). Proportion of people accessing water and basic sanitation (Target7C) has gone up; water from 25.3% (200/01) to 58.25% (2011/12) and sanitation coverage from 6.8% (2004/05) to 67% (2011/12).
MDG 8: Develop a Global Partnership for Development	On Track	Ethiopia has embraced the Paris Declaration and has taken lead in internalising ownership and management of the aid effectiveness agenda. A number of Sector budget supports are running. Ethiopia is a recipient of the HIPC initiatives, an active member of COMESA, AGOA and the country enjoys preferential access to Europe, Canada, Japan and other countries for export. Number of telephone, mobile and internet users has increased from 1999/00-2011/12 e.g. mobile users from 0.018-17.26%.

2.3 The Development Partner Context

31. External resources, including but not limited to Official Development Assistance (ODA), remain an important source of financing for the Government of Ethiopia. Recent years has shown a slight drop in contributions of ODA to $3.26 billion in 2012 from a peak in 2009 of $3.82 billion, according to OECD statistics (see Exhibit 2.2). This is consistent with a slight downward trend in global ODA. The top four donors to Ethiopia[9], in order of ranking, are: the World Bank's International Development Assistance (IDA), DFID, the African Development Fund and USAID. As noted in the Joint Resource Mobilization Strategy (JRMS), while DAC ODA levels declined in 2012 by about 1% in real terms, the decline was offset by a US$1 billion increase in assistance provided by non-traditional partners. The aid environment has broadened with non-traditional donors entering in partnerships, including China, India, Kuwait, Saudi Arabia and Turkey. Nevertheless a number of trends highlighted in the 2012 fourth DAC report on Multilateral aid were noted which are relevant to the UNDAF and resource mobilisation in Ethiopia:[10]

- Budget constraints in many OECD countries have brought all aid – including that provided through the multilateral system – under increasing scrutiny. This has led to increasing emphasis on criteria to measure the performance of these systems.

- Aid fragmentation persists in multilateral programming and can greatly limit its effectiveness. Increasing non-core (earmarked) aid to multilateral organisations contributes to this fragmentation.

- A recent OECD-DAC survey on future ODA projections also points to a significant shifting away from the poorest countries to middle-income countries, notably China, India, Indonesia, Pakistan, Sri Lanka, Uzbekistan and Vietnam, likely due to support provided through bilateral and multilateral soft loans.[11]

Exhibit 2.2   Aid disbursements by all development partners to Ethiopia (2003-2012)[12]
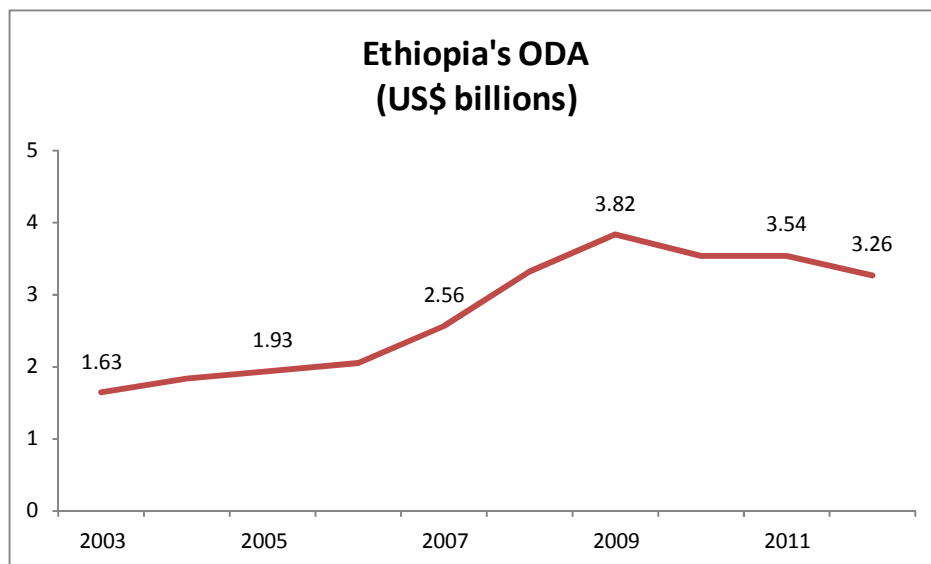
[9] Ethiopia EFY 2005 Annual Statistical Bulleting on ODA, MoFED, December 2013

[10] OECD (2012). Multilateral Aid Report.

[11] OECD DAC.

[12] OECD (various years). Aid disbursements to countries and regions (DAC2a).

2.4 Profile of the UN Country Team and Delivering as One

32. The UN relationship with the government of Ethiopia has undergone significant change in recent years, due to changing modalities for UN agencies as well as the evolving aid effectiveness agenda.

33. The UN Country Team comprises 26 resident agencies, funds and programmes in Ethiopia, inclusive of specialized agencies. UN operations in Ethiopia cover both humanitarian and development issues, reflected in agency functions and mandates, which cover social and economic development, governance, human rights, technical support to capacity-building, social services (such as education, health, HIV/AIDS, water and sanitation and population) and management of natural or man-made disasters.

34. The 2007 Triennial Comprehensive Policy Review of operational activities for development of the United Nations system (TCPR) provided guidance to make the role and contribution of the UN system more coherent, effective and relevant at country level. In the resolution, the General Assembly emphasized that planning and programming frameworks of the UN system, including the UNDAF, needed to be fully aligned with national development planning cycles and that they should make use of and strengthen national capacities and mechanisms. The ownership, leadership and full participation of national authorities were considered vital to guaranteeing that the UNDAF respond to the development plans and strategies.

35. UN funds, programmes and specialized agencies were also called to continue to harmonize and simplify their rules and procedures wherever it can lead to a significant reduction in the administrative and procedural burden on the organizations and national partners. In particular, UN funds, programmes and specialized agencies were encouraged to lower their transactions costs. UNCTs were also encouraged to step up efforts to rationalize the country presence through common premises, co-location and, where appropriate, to implement the joint office model and expand common shared services and business units, in order to reduce UN overhead and transaction costs for national Governments.   Initially, eight countries acted as pilot countries for the Delivering as One (DaO) models.

36. In 2010, Ethiopia became a voluntary DaO country. The recognition of Ethiopia as a voluntary DaO country was seen as an important step to further strengthening the lead role of the government in the UN Reform process and to consolidating the commitment of the UN to move forward towards increased system-wide coherence. The UN system in Ethiopia established a UN country team with *One Leader*, *One Programme, One Budgetary Framework*, and, to some extent, *One Office*.

37. The 2012 Quadrennial Comprehensive Policy Review (QCPR) carried out a stock-taking of UNDAFs.[13]   Drawing on a review of forty UNDAF evaluation reviews, it concluded the following:

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[13] Paul Balogun (2012). The relevance, effectiveness and efficiency of the United Nations Development Assistance Framework (UNDAF).

– An emphasis was noted on ensuring that the planning and implementation periods for UNDAFs and national strategies/plans are the same.

– Coherence has increased over the past four years across UNDAFs, although UN staff also believed that more could be done.

– There was less evidence that the UNDAF has had a major effect on ensuring that the UN's support is more coherent or integrated or leads to greater use of joint programming approaches.

> **Summary of Findings of the UN-Wide Evaluation of UNDAF**
>
> In 2012, an evaluation of the UNDAF process in the United Nations was completed and submitted during the UN Quadrennial Comprehensive Policy Review. Its findings included several which are pertinent for the Ethiopian UNDAF context:
>
> 1. Importance of harmonizing the UNDAF implementation plans with national plans;
>
> 2. Evidence of better communication within UNCTs thanks to UNDAF, although opportunities for UNCT members to talk with each other decline as they move to implementation phase;
>
> 3. Greater involvement of centre of government, little engagement by sector ministries;
>
> 4. Difficulty in judging decreased duplication of activities;
>
> 5. Importance of lowering transaction costs through operational efficiencies;
>
> 6. Challenges with a common M&E framework;
>
> Source: Paul Balogun (May 2012)

– Whether the UNDAF process has led to a decrease in duplication of activities is difficult to judge.

– In a number of the countries that have adopted DaO approaches, a major purpose appears to have been to reduce transaction costs for government partners.

– Evaluative and interview evidence identify no examples of UNDAF level M&E systems working as suggested in the UNDG Guidelines

38. In 2012, an independent evaluation of Delivering as One was also completed.[14] Like the UNDAF evaluation, the evaluation of the eight pilot DaO countries brought forward a number of lessons relevant to UN country teams as they contemplated their programming modalities and which remained relevant to UN programming more broadly. These included the following key findings:

– The One Programme strategy was implemented differently in the pilot countries. One major strategic development concerned joint programmes. While these were uniformly adopted in the first generation of One Programmes (with many differences in management and implementation), some divergence began to appear in the second generation. Some countries moved from a United Nations development assistance framework to a United Nations development assistance programme, usually with an associated change from joint programmes to joint programming. An emerging approach is for joint programming to be incorporated into a United Nations development assistance plan rather than a United Nations development assistance framework.

– Joint resource mobilization for agreed results under the One Programme was a major innovation in all pilots. Additional financial resources from the One Fund as well as from the Expanded Funding Window and the Millennium Development Goal Fund proved crucial in motivating more organizations to work together. As innovative mechanisms for unearmarked and predictable funding, these funds can facilitate responses to national needs and priorities, especially on cross-cutting issues. There were doubts about the sustainability of these new arrangements, however, due to uncertainty about donor commitments.

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[14] UN-DESA (2012). Independent Evaluation of Delivering as One: Summary Report.

- The One Office strategy was not implemented uniformly, although all pilots pursued business simplification and harmonization measures. The concept focused on areas such as procurement, recruitment and information technology systems. The DaO initiative fed into efforts to simplify and harmonize business practices and reduce transaction costs. Business practices and common services became a major focus for work at the interagency level, notably through the UNDG's Joint Funding and Business Operations Network and the High-level Committee on Management. The pilot countries have shown that it is possible to achieve efficiency gains by expanding common services and simplifying business practices, particularly in such areas as procurement, information and communications technology and staff recruitment.

- Pilot countries invested considerable efforts in improving the monitoring and evaluation systems of the One Programme. This proved a highly complex endeavour that has not yet yielded satisfactory results.

- Incorporating One Voice provided greater coherence in advocacy and policy dialogue, increased visibility, and helped foster a United Nations identity and culture among staff. It aimed to advance a unified United Nations position on specific policy and cross-cutting issues. Other elements of the approach have included joint communication teams, common websites and attempts to adopt a United Nations-wide identity, in addition to specific organizational "brands".

- DaO did not result in consolidated management information. Key data still need to be compiled manually on an ad hoc basis from a variety of sources. This presents major challenges in the accountability of the pilots to the United Nations system.

39. Following the QCPR, the General Assembly requested that "the United Nations system to build on the best practices and lessons learned in implementing "Delivering as one" by a number of countries and to further consolidate the process by clearly outlining the core elements of each of the "ones", based on lessons learned, including by formulating standard operational procedures as guidelines for the successful work of the United Nations country teams in "Delivering as one" countries, as well as for other countries that consider joining "Delivering as one", and to report on this process and standard operating procedures to the Economic and Social Council during its operational activities segment". The UNDG published Standard Operating Procedures (SOPs) in August 2013.[15]

40. The QCPR process also underlined contemporary challenges of the UN system such as those relating to sustainable development, including sustainable economic growth and climate change, infectious pandemics, international trade, unemployment, knowledge generation and transfer, food and energy security, peace and security, MDGs and the post-2015 development agenda, will continue to depend on this ability of the UN development system to reinvent itself in order to remain relevant in the changing international development environment.

41. Current discussions on sustainable development-related issues suggest a moment of major importance in the evolution of the international development architecture. For example, there are three important processes ongoing whose outcomes are likely to impact the future of the UN development system: (a) the UNFCCC Conference of Parties, (b) the Rio+20 Conference, and (c) the discussion on advancing the UN development agenda beyond 2015. Linked to these processes is the implementation of the post-Busan global partnership for effective development cooperation.

42. The emergence of a new set of challenges post-2015 linked to sustainability, including such key issues as climate change, conservation, biodiversity, resilience and equity, suggests that the UN

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[15] UNDG (2013). Standard Operating Procedures for Countries Wishing to Adopt the "Delivering as one" Approach

development system is once again at an inflection point in its history.[16] The UN' ability to continue to make a positive contribution to development, peace and security will depend on how Member States and the UN entities themselves respond to the emerging issues and global challenges.

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[16] Introduction and proposed goals and targets on sustainable development for the Post-2015 Development Agenda. June, 2014.

3. UNDAF Performance

3.1 Relevance

43. This section examines the extent to which the UNDAF was and remained aligned with the needs and/or priorities of the Government of Ethiopia. The highlights of this section are as follows:

- The UNDAF was **strongly aligned** with the GTP in Ethiopia in terms of the nature of its programming and linkages with priorities of the GTP and of MDGs.

- The **five cross-cutting elements** of the UNDAF were relevant to the Ethiopian context, although more attention can be paid to capacity development internally and externally for programming which encompasses the complementarities between the normative programming principles of gender, human rights, and the environment. Continuing to strengthen measurement of capacity development is also a priority for the coming years according to the Annual review of the GTP.

- UN also provided relevant support by responding to **immediate and emerging needs**, including support to returning migrants to Ethiopia as well as several of the post-MDG development priorities such Climate Resilience and a Green economy.

- While relevance in terms of financial outlays may be less than other development partners, the continued relevance of the UNDAF is bolstered by the **multi-faceted role** played by the UN encompassing:
  - Policy development;
  - Capacity development through technical assistance – (upstream, mid-stream, downstream);
  - Service delivery and implementation;

Finding 1: UNDAF Outcomes at the mid-term of the programme were relevant to the GTP of the Government of Ethiopia

44. The review team reviewed relevance in terms of the alignment of the UNDAF and the UN's support to national policies and strategies. The team also reviewed the UN's responsiveness to national priorities and emerging needs during interviews with national IPs.

45. According to interviewees, the UNDAF was strongly aligned to the national poverty reduction strategy, the Growth and Transformation Plan (GTP), national policies, strategies and the UN remains a strong partner with

> **Relevance**
>
> The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities, and the policies of partners and donors.
>
> OECD-DAC[17]

Government of Ethiopia. Government partners at federal and regional levels concur that the UN's support clearly aligns and derives from national policies and strategies.

46. In fact, the UN supported six out of seven GTP pillars, namely: (1) sustaining rapid and equitable economic growth; (2) maintaining agriculture as a major source of economic growth; (3) creating conditions for the industry sector to play a key role in the economy; (4) enhancing expansion and quality of social development; (5) building capacity and deepening good governance; and (6)

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[17] OECD DAC Glossary of Key Terms in Evaluation and Results Based Management.

promoting gender and youth empowerment and equity. The one GTP that it did not support is the one based on infrastructure development. These are shown in the exhibit below:

Exhibit 3.1   Alignment between UNDAF Pillars and the GTP

Government of Ethiopia's GTP	UNDAF Pillars	UNDAF Outcomes
(1) sustaining rapid and equitable economic growth; (2) maintaining agriculture as a major source of economic growth; (3) creating conditions for the industry sector to play a key role in the economy;	Sustainable economic growth and risk reduction	UNDAF outcome 1: Increased use by agricultural producers of improved institutional services, an efficient marketing system, and appropriate technology and practices for sustainable increases in agricultural production and productivity by 2015. UNDAF outcome 2: By 2015, private sector-led Ethiopian manufacturing and service industries, especially small and medium enterprises, sustainably improved their competitiveness and employment creation potentials. UNDAF outcome 3: By 2015, national and sub-national institutions are able to implement a minimum package of social protection measures in accordance with a funded national action plan based on legislation. UNDAF outcome 4: By 2015, national and sub-national institutions and disaster-prone communities have systematically reduced disaster risks, impacts of disasters and have improved food security. UNDAF outcome 5: By 2015, the governance systems, use of technologies and practices, and financing mechanisms that promote a low carbon, climate-resilient economy and society are improved at all levels.
(4) enhancing expansion and quality of social development;	Basic Social Services	UNDAF outcome 6: By 2015, the Ethiopian population, in particular women, children and vulnerable groups will have improved access to and use of quality health, nutrition and water, sanitation and hygiene (WASH) services. UNDAF outcome 7: Improved access to HIV prevention, treatment, care and support by 2015. UNDAF outcome 8: By the end of 2015, equitable access created and quality education provided to boys and girls at pre-primary, primary and post-primary levels with a focus on the most disadvantaged and vulnerable children and localities.
(5) building capacity and deepening good governance	Governance and Capacity Development;	UNDAF outcome 9: By 2015, national actors have enhanced capacity to promote, protect and enjoy human rights, constitutional rights and accessibility to efficient and accountable justice systems, as enshrined in the Constitution and in line with international and regional instruments, standards and norms. UNDAF outcome 10: By 2015, national and sub-national actors utilize improved mechanisms that promote inclusiveness, participation, transparency, accountability and responsiveness in national development processes. UNDAF outcome 11: By 2015, capacities of national, local and community institutions strengthened for evidence based planning, implementation, monitoring and evaluation, leadership and decision-making.
(6) promoting gender and youth empowerment and equity	Women, Youth and Children.	UNDAF Outcome 12: By 2015, women and youth are increasingly participating in advocacy, social mobilization and decision making and benefiting from livelihood opportunities and targeted social services UNDAF Outcome 13: By 2015, women, youth and children are increasingly protected and rehabilitated from abuse, violence, exploitation and discrimination

47. The implications of this alignment were twofold for the UNCT. Firstly, the government of Ethiopia had a clear and trusted partner to provide technical support in almost all the areas of the GTP, while at the same time providing support according to its comparative advantage. Secondly, the partnership that the government shares through the UNDAF suggested that the partnership does not strictly follow a siloed approach. For example, the relevance of promoting economic growth, through agriculture and industry is highlighted in GTPs 1, 2 and 3. On the UN's side, within Pillar

1, the UNDAF promoted economic growth in Ethiopia but at the same time brought into focus a priority of specific opportunities for women and youth. The UN placed an emphasis on economic growth opportunities as per the mandate of the GTP while focusing on gender and youth – both of which may be defined as marginalized populations within Ethiopia. In another example of cross-sectoral relevance, the UN's support in demographic and socio-economic data was contained within Pillar 3, although the data itself had relevance across all Pillars and all the GTP priorities.

48. The Annual Progress Report of the GTP highlighted the alignment between the national development plan and the UNDAF. In each sector where the UN had a comparative advantage, the recommendations at the conclusion of the report were being addressed by UNDAF Outcomes, as shown in the Exhibit 3.2 below.
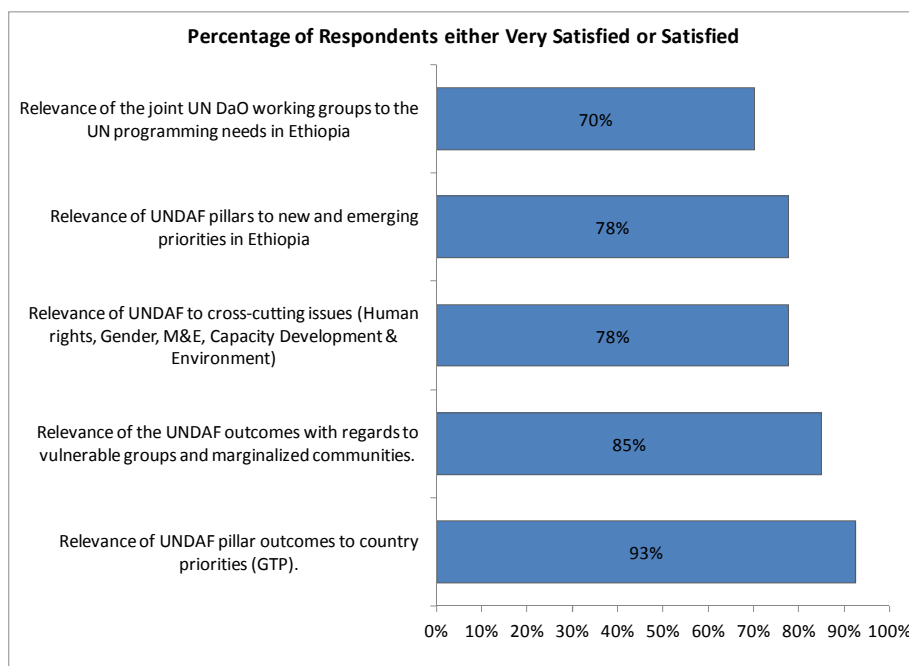
Exhibit 3.2 Alignment between GTP Progress Report Conclusions and UNDAF Outcomes

GTP Annual Progress Report Conclusions	Link to UNDAF Outcome
Primary focus is still on improving the productivity of small holder agriculture and promotion of small scale enterprises;	Outcome 1 and Outcome 2
With regard to attainment of MDGs, the main challenge is associated with maternal health. The primary focus will be on improving the quality of education and health services over the remaining GTP years;	Outcome 6
It is critical to further deepen the implementation of the capacity building, democratization and governance programs over the coming years. By ensuring good governance attained to date, strengthening public and private sectors and the community implementation capacity and promoting developmental attitudes it is crucial to ensure fundamental rights of citizens;	Outcome 10
In terms of deepening developmental attitudes the strategic directions are to ensure public education, active participation of the public, strengthening the anti-corruption institution, and ensuring transparency and accountability in key sources of corruption The government has already developed reform program in the fight against corruption and malpractices in these areas. The focus over the coming years concerns a more effective implementation of these reform programs.	Outcome 10
Regarding the justice sector, the results achieved so far in terms of improving access, effectiveness and accountability of the judicial services would be consolidated further.	Outcome 9
In order to deepen the democratic governance system, it is critical to ensure direct participation of the public at large and civil societies at all levels. In this regard, the various initiatives would be scaled up and strengthened over the coming years. Public education of the provisions of the constitution and the basic principles of democratic and human rights would also be expanded.	Outcome 10

49. The UN was viewed as a trusted partner to support capacity building at national and sub-national levels. This view was also shared with donors who consider the UN as a trusted broker and in a strategic position to influence government partners. The clout to influence different constituencies, including donor, government and civil society organisations, often through subtle and inherent approaches, made the UN an important broker.

50. The UN staff survey confirmed the strength of the relevance aspects of the UNDAF. Among respondents to questions on relevance, the overall percentage who were very satisfied or satisfied with the relevance criteria range from 70% to 93%: the lowest was for the relevance of the Pillar working groups while the highest was for the relevance of the Pillar outcomes to the GTP priorities.

Exhibit 3.3   Responses to Staff Survey Questions on Relevance (N=31)

Percentage of Respondents either Very Satisfied or Satisfied

Relevance of the joint UN DaO working groups to the UN programming needs in Ethiopia	70%
Relevance of UNDAF pillars to new and emerging priorities in Ethiopia	78%
Relevance of UNDAF to cross-cutting issues (Human rights, Gender, M&E, Capacity Development & Environment)	78%
Relevance of the UNDAF outcomes with regards to vulnerable groups and marginalized communities.	85%
Relevance of UNDAF pillar outcomes to country priorities (GTP).	93%

0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%

Finding 2:   The UN's response to relevant and emerging needs in Ethiopia was also appreciated, particularly by government stakeholders

51. Select government partners perceived the UN has a "gap-filling" role, implying the UN had played a vital responsive role to humanitarian and emerging needs and that it addressed resource gaps not always covered by other development partners. The staff survey revealed that 78% of staff were satisfied or very satisfied with this role. A number of examples substantiated the UN's responsiveness to emerging and priority needs, in line with the normative UN roles on human rights:

- Support to Ethiopian Saudi Arabia returnees. UN agencies brought their specific comparative advantages to provide emergency supplies, rehabilitation and skills training so that returnees could re-join the economy in their homeland.

- Support to South Sudanese refugees in eastern Ethiopia. Several UN agencies scaled up their relief efforts in 2014 to respond to an influx of refugees fleeing conflict in South Sudan. This refugee situation is in addition to other refugee populations in the country to which the UN was already supporting.

- The UN provides support to Regional conferences such as the International Conference on AIDS and STDs in Africa (ICASA).

    ▪ According to the 2014 Humanitarian Requirements document, UN agencies responded to emergency needs in Ethiopia in 2013 in health and nutrition, education, WASH, livelihoods and protection.

52. The UN's approach to ad-hoc support requires some inherent flexibility in the UNDAF and in the way in which UNDAF outputs are

> *"We (the UN) are the "first point of call" for water or other humanitarian needs."*
>
> UN staff member on the UN's role.

defined. Flexibility in the UNDAF is also created, in part, through the use of the common One-fund, administered through a joint account. The One Fund can provide enhanced national ownership through increased transparency and flexibility for programming due to the completely un-earmarked or loosely earmarked nature of funding. However, the One Fund was not used as a tool for these emerging requirements.

Finding 3: **UNDAF cross-cutting priorities, Human Rights, capacity building, RBM, Gender and the Environment featured prominently in One UN programming; at the implementation level, however, there was some confusion within and outside the UN as to the way in which the different UNDAF programming principles interacted with one another.**

53. As part of the UNDAF, UN Country Teams are required to apply five programming principles - human rights-based approach (HRBA), gender equality, environmental sustainability, results-based management and capacity development - which are intended to strengthen the quality and focus of UN responses to national priorities based on the UN system's common values and standards. In reality, these are a mix of programmatic areas (the "what") and process-oriented priorities (the "how") of the UNDAF Action Plan. In UNDAF guidance, they are described as three normative principles: human rights and HRBA, gender equality, and environmental sustainability; and two enabling principles: capacity development and results-based management.

54. Overall satisfaction of the UNDAF programming principles as per the UN staff survey was 78% satisfied or very satisfied. The relevance of each of these in the Ethiopian context is presented below:

55. **Environment**: Protection and management of environment was enshrined in several of the recent policy directions of UN agencies in this UNDAF. These were specifically highlighted in Pillar 1, Outcomes 4 and 5 which contains references to the environment, climate change, disaster

> *"Ethiopia presents a unique challenge in using resilience as the approach to dealing with a mix of humanitarian and development issues. Therefore, more linkages should be established between the UNDAF and UN Humanitarian Country Team's Humanitarian Requirements Document."*
>
> UN Staff Member

management and resilience. However, they were also incorporated in other Pillars, including gender (Pillar 4) and education (Pillar 2). Moreover, they are comprised in elements of the Humanitarian Requirement document in the context of environmental management for health and WASH.

56. One of the salient initiatives highlighted throughout the MTR was that of the UN's support to Ethiopia's Climate Resilience and Green Economy. This underlines the UN's role towards the post 2015 Sustainable MDGs. UN agencies collaborated across several forums to work on issues of resilience, in line with existing government programmes such as the PSNP, and in both development and humanitarian contexts. However, it was mentioned in interviews that environment was not always seen as cross cutting in the UNDAF as it could be, with opportunities for further cross-pillar sharing of ideas and initiatives. Nevertheless, the MTR highlighted several

instances where pilots integrated the environment with education and health. An environment expert also noted that trainings should encouraged both internally and externally to help demonstrate how to better facilitate complementarities between the normative principles involving the environment.

57. **Human Rights Based Approach to Programming (HRBAP):** HRBAP has common and fundamental underlying principles, such as an emphasis on accountability, particularly for the state; focus on public participation, inclusion and access to, and demands for, information; and (3) relevance of equality and non-discrimination. The latter of these principles often required attention to the most vulnerable populations in Ethiopia. Naturally, these principles were based on a clear capacity gap assessment as well as adherence to the normative human rights conventions.

58. As of the MTR, the UNDAF responded well to the GoR's priorities in human rights generally through support of human rights bodies and instruments, both largely under the framework of the governance Pillar 3. This included support to the Universal Periodic Review (UPR) process and support to the Ethiopian Human Rights Commission, including many of the convening roles which the UN played in support of the UPR process. In addition to these interventions, several examples of accountability systems were evident in UNDAF programming, particularly within Outcomes 9 and 10. For example, a survey was taken to measure citizen satisfaction of the Federal Ethics and Anti-corruption Commission. This indicator demonstrated improved levels of satisfaction of rights holders as well as engagement and participation in democratic decisions.

59. A critical element in HRBAP was properly defining key populations which suffered from various acute needs. The staff survey revealed a strong perception of relevance of the UNDAF with regards to vulnerable groups and marginalized communities (85% of respondents felt satisfied or very satisfied with the UNDAF's attention to these groups). This was appreciated by government broadly, however, some constraints were noted by the Ethiopian formula for equalization across regions, which affected many efforts to target vulnerable populations. The DRS JP, for example, which focused attention on four regions most at risk in terms of reaching MDGs, was noted for being outside the scope of the equalization formula.

60. Moreover, in interviews with UN stakeholders, some respondents suggested that the UNDAF programming has overly favoured supporting government duty bearers and should instead allocate more resources to reach rights holders more directly. A further concern of some UN staff revolved around how each of the UN pillar groups defined

> *"More focus should be given to vulnerable groups, which seem to be lacking from the current document almost entirely."*
>
> UN Staff member

vulnerable populations in their own contexts. For example, those vulnerable populations under Outcome 7 such as people living with HIV as compared to other vulnerable populations mentioned under other Outcomes or Pillars.

61. **Gender**: Gender programming was most prominently defined within Pillar 4 of the UNDAF. However, one would be mistaken by looking solely within Pillar 4 for evidence of gender-sensitive programming. This review noted significant cross-cutting interventions on gender, be it within health and education (Pillar 2), governance and socio-economic data collection (Pillar 3) or economic opportunities for women (Pillar 1). Gender programming was also embedded in the UN's Flagship Joint Programme on Gender. Among other things, the UNDAF's mainstreaming of gender ensured that several government partners beyond MOWCYA were provided with gender support in their programmes and that women were prioritized in a number of intervention areas where marked gender gaps persisted.

62. Importantly, coupled with the HRBAP approach mentioned above, the UNDAF expressly elucidated several instances where power inequalities were addressed through measuring

institutional changes at the outcome level. One such example is the Indicator expressed in Pillar 4*: Proportion of women in decision making positions within GoE, NGOs and the private sector.* This indicator reflected one relevant outcome level institutional change.

63. **Results Based Management**: Progress in RBM and M&E was championed across several elements of the UNDAF, all of which helped to ensure accountability by offering a process and structure to formulate results and to manage progress and achievement. Of first importance is the Outcome 11 in Pillar 3 which aimed to support evidenced based planning, monitoring and evaluation, including that of the GTP itself. Outcome 11 was also fundamental towards data collection for a number of demographic indicators in the country.

64. The UNDAF M&E Plan, developed in consultation with government partners, ensured follow-up of the UNDAF itself. The 18-month review of the UNDAF was a first point to track UNDAF progress on indicators of outputs and outcomes. The M&E task force played a central role in terms of follow-up on indictors and support to monitoring and tracking of UNDAF progress. The UNDAF M&E framework, however, was constrained in the way in which tracking of the UNDAF occurred due to missing data, poor indicator selection, and inadequate

> *there is still a huge gap in SMART indicators, baselines and targets across the different pillars which need to improve to make the UNDAF more relevant*
>
> UN Staff Member, Survey Response

sources of data. This had implications for the follow-up of Outcomes and Outputs for the purpose of tracking results and successes. The review of all indicators shows a tendency towards three common errors:

1) Too many indicators with missing information or undefined data sources;

2) Overly ambitious outcome indicators for which UN contribution cannot easily be measured;

3) Conflating indicators with objectives;

65. The end result for the UNCT is a results-based programming environment which has become difficult to track and time consuming, thus discouraging a more robust monitoring of projects.

66. **Capacity development**: Capacity development was perhaps the most important programmatic principle espoused under the UNDAF programming principles. While capacity development has been widely adopted in the UNDAF as an important strategy to support aid effectiveness and sustainable development, the "what, why and how" of capacity development is the subject of considerable debate and research. As shown in the textbox, agencies have generally not paid sufficient attention to defining the nature of its capacity development, despite its prominence in their strategies. The current UNDAF indeed paid particular attention to issues of governance and technical assistance in Pillar 3, while other Pillars highlight the strong capacity development role that is central to supporting national and regional government actors.

67. In particular, the quality of
Ethiopia's services was
highlighted throughout the
updates of the GTP, in
particular the Annual
Progress Report in 2013,
which mentioned the word
"quality" in 72 different
instances, including many in
relation to areas of critical
interest to the UNDAF.
Some illustrative examples
taken from the Progress
report included:

> Most funding agencies have assumed that supporting capacity development required no special individual or organizational skills or dedicated internal units, as has been the case with gender, the environment, or performance management. The assumption was that capacity issues were already mainstreamed, albeit informally. Yet, perversely, capacity management turned out to require expertise in such areas as political analysis, management theory and practice, and change management, which have always been in short supply in such agencies.
>
> *Capacity Change and Performance.* Discussion Paper no 59B (European Centre for Development Policy Management, 2008) p.117

- *The main focus in both primary and secondary education is to ensure the delivery of a better quality of education by effectively implementing the education **quality** improvement package*

- *The prevailing challenges in the health sector concern high maternal mortality rate, shortage of general practitioners and specialized doctors, and **quality** problems in health service delivery.*

- *In the coming years of GTP implementation, therefore, the primary focus has to be undertaking measures that increase the productivity and competitiveness of micro and small scale enterprises so as to ensure their rapid growth and thereby creation of better **quality** jobs and supporting accelerated economic growth.*

68. Capacity development of duty bearers was therefore of primary importance across all sectors in terms of improving quality of services in Ethiopia. The UNDAF's capacity development interventions demonstrated some areas where they led to improved quality of delivery of services, notably in health (see Textbox).

69. However, in many instances, a clear indicator highlighting the scope or scale of the improvement was absent from the M&E matrix, or data was unavailable. Capacity development indicators are an area where scope for improvement is needed.

> *"The programme has also made a significant contribution to much needed changes in pedagogical approaches for midwifery education programmes by increasing the capacities of tutors/instructors. All the tutors seen during the field work reported using more participatory teaching methods, valued their new skills acquired for making lesson plans, and felt they are now able to develop lessons with specific measurable learning outcomes."*
>
> UNFPA, SIDA (2014). Scaling Up of the Midwifery and Anaesthesia Education, and, Prevention and Management of Fistula Programme in Ethiopia

Finding 4: Despite a complex donor environment, UNDAF programming was relevant in terms of the types of interventions carried out in Ethiopia

70. With roughly 17% of total inflows of ODA in Ethiopia per year, the UN cannot be considered a critical funder to the government of Ethiopia. Several donors played much stronger roles in terms of the total ODA outlays on a per year basis in the current UNDAF.

71. Nevertheless, the UNDAF programming interventions touched on areas which remain relevant across a range of stakeholders in Ethiopia. The relevance of the UN's role in Policy Development, Capacity Development and Service Delivery are highlighted in Exhibit 3.4 below, based on interviews across stakeholder groups.

72. Capacity development can be defined as the process whereby people, organisations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time. Policy development can be considered a part of capacity development, but in this instance the two are separated. Overall, donors appreciated the UN's technical support and policy influencing role and recognize the UNs strength at both levels. Government partners at federal and regional levels provided a different emphasis on the UN's role depending on the levels of implementation. UN's important role in delivering services, particularly in emergencies and for refugee populations is a third broad category. This niche is emphasized at the lower levels of implementation and in areas where there are significant development needs. For instance, in humanitarian situations, the UN may be perceived as a "first point of contact" for addressing water or other basic services such as schools and health services.

Exhibit 3.4   Stakeholder Views on the UN's Role in Ethiopia

Role	Interventions	Stakeholder Views		
		National Government	**Local Government**	**Bilateral Agencies**
Service provider	Providing services directly to rights holders (directly or through NGOs)	Many of those interviewed feel that this is increasingly the job of the government;	Appreciated as a means of responding to critical local needs;	Important actor, particularly at decentralized levels;
	Procurement services	Highly valued for scope, speed and expertise, however also increasingly the role of government	Highly valued	
	Humanitarian Response	Highly Valued and key source of humanitarian funding	Highly Valued	Highly valued and key partner for humanitarian response
Policy Development and Advocacy	Providing technical expertise to inform policies and legislation	Appreciated for providing impartial technical expertise, data and research to inform policies and legislation; particularly in areas of emerging interest for the government.		Appreciated as valued partner to government
	Convening of stakeholders on challenging policy issues	Unbiased Partner		Would like the UN to play a stronger role on some key policy issues.

Role	Interventions	Stakeholder Views		
		National Government	**Local Government**	**Bilateral Agencies**
Capacity Development	Providing technical expertise to support capacity building at individual, institutional, and/or network levels	Key role for the UN, particularly at the Federal levels	The UN should prioritize regional capacity development, where capacities are weakest	Valued partner
	Developing, testing models, and supporting scale up	Key partner with government	Valued partner for piloting at regional and woreda levels; requires close collaboration of local government actors	
	Generating and disseminating new knowledge	In collaboration with government		

3.2 Effectiveness of UNDAF results

73. This section examines the extent to which the UNDAF achieved results in line with its attendant outcomes and outputs at the mid-term stage. The highlights of this section are as follows:

- The UNDAF achieved substantial results across all pillars, with important interventions realized with government and agreed to with key government partners.

- The UNDAF Pillars achieved results in line with **cross-cutting priorities**, although more can be done to mainstream cross-cutting priorities across all pillar results and to correctly measure capacity building achievements.

- Measurement of results across the pillars was hampered by challenges with regards **to lack of data and poorly defined indicators**. Moreover, UN agencies faced challenges when consolidating UNDAF expenditures.

- UNDAF achievements in **pilot programmes and Joint Programmes at the mid-term stage were important**, but lack clear guidance on decision making criteria for expansion hampered clarity for greater effectiveness.

> **Effectiveness**
>
> The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance. Also used as an aggregate measure of (or judgment about) the merit or worth of an activity, i.e. the extent to which an intervention has attained, or is expected to attain, its major relevant objectives efficiently in a sustainable fashion and with a positive institutional development impact.".
>
> OECD-DAC[18]

Finding 5: **The UNDAF achieved substantial results across all pillars at the time of the mid-term review, with important interventions realized with government partners at federal and regional levels.**

74. In the analysis undertaken for this review, a focus was made on those areas where there is evidence of the UN agencies having made a *contribution* to the stated results, relying on what we were told or learned through staff and stakeholders, reviewed in the pillar matrices and presentations, and/or extracted from a review of background documentation. As per the objective of the review, performance at the mid-term level can be measured according to the planned objectives defined in the UNDAF M&E plan. These had been previously measured during the 18-month annual review.[19]

75. The MTR team adopted a similar methodology by relying on evidence that results were on-target, close to target, or off-target. However, due to difficulties in comparability between the data in the Annual review with that of the MTR, more leeway was afforded to "close to target". The MTR also includes a fourth category of "Not applicable", which recognized when indicators were not suited to the measurement of progress at this stage or suffered from other problems with indicator selection or availability of baselines and targets. The purpose of the dashboard and categories of measures was to highlight overall progress while providing suggestions on how indicators could be improved and simplified for future planning.

76. Overall, it appeared that the majority of results across the pillars were either on-target (32%) or close to target (27%) with only 3% off-target at the mid-term. The remaining indicators (38%)

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[18] OECD DAC Glossary of Key Terms in Evaluation and Results Based Management.
[19] UNCT Ethiopia (2013) UNDAF Performance Review for January 2012 – June 2013

could not be measured at this time. When those indicators which could not be measured were excluded from the calculation, 51% of all results were on-target, and an additional 44% close to target. These are highlighted in the Exhibit 3.5 below.

Exhibit 3.5   UNDAF Results at the MTR, out of roughly 250 indicators for all 4 Pillars.
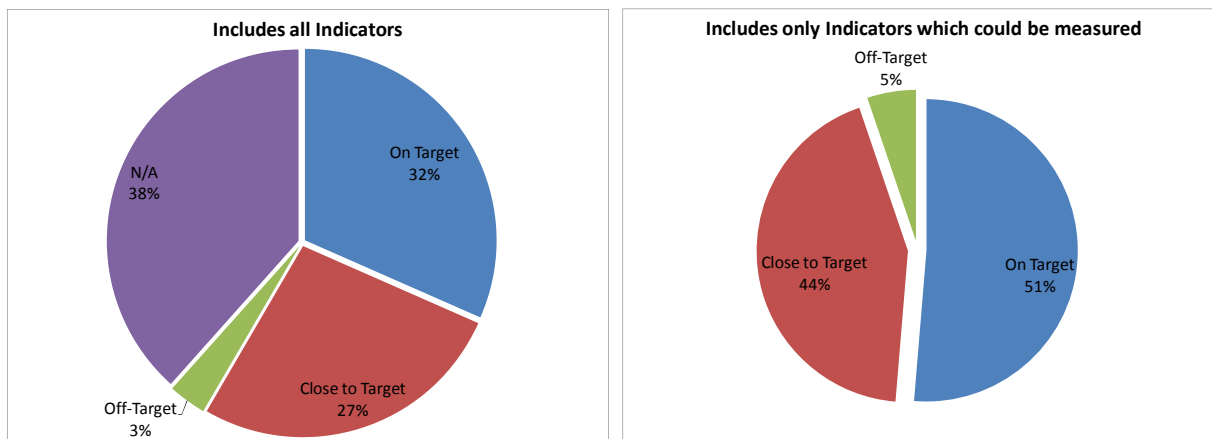
77. The MTR provided UN pillar groups and government partners with the opportunity to highlight major achievements in the UNDAF at this stage. The process was participatory and engaged both UN and government staff. The review also included a regional review process which was attended by regional government stakeholders across a range of sectors. As a result, many of the key interventions were confirmed by all stakeholders.

Pillar 1: Sustainable Economic Growth and Risk Reduction

78. The objectives achieved in Pillar 1 at the mid-term of the UDNAF focussed attention on sustainable economic growth and enhancing the resilience of the country and communities to disaster and shocks. In addition, joint programmes were developed in this pillar through the MDG fund to support elements of this Pillar, including value-chain for edible oil production. Overall, out of 59 indicators encompassing three outcomes, 56% were either on target or close to target. Importantly, no results were seen to be off target at the mid-term stage of programming. However, remaining results were difficult to assess at the mid-term level due to inappropriate indicators or lack of data.

> **Pillar 1 Outcomes:**
>
> UNDAF Outcome 1: Increased use by agricultural producers of improved institutional services, effective marketing system and appropriate technology and practices for sustainable increase in agricultural production and productivity by 2015
>
> UNDAF Outcome 2: By 2015, private sector-led Ethiopian manufacturing and service industries, especially small and medium enterprises, sustainably improved their competitiveness and employment creation potential
>
> UNDAF Outcome 3: By 2015, national and sub-national institutions are able to implement a minimum package of social protection measures in accordance with a funded national action plan based on legislation
>
> UNDAF Outcome 4: By 2015, national and sub-national institutions and disaster-prone communities have systematically reduced disaster risks, impacts of disasters and have improved food security.
>
> UNDAF Outcome 5: By 2015, the governance systems, use of technologies and practices, and financing mechanisms that promote low carbon climate-resilient economy and society are improved at all levels

Pillar	On-Target	Close to Target	Off-Target	Not applicable/Not Available	Total
1	17	16	0	26	59
	29%	27%	0%	44%	100%

UNDAF Pillar 1 Contribution to Policy Development:

79. Pillar 1 supported an enabling environment for Climate Resilience and a Green Economy by mainstreaming CRGE into Ethiopia's agricultural policies, in particular the Agricultural Policy Investment Framework. Several other policies, strategies and guidelines for agriculture were developed in Ethiopia with the UN's support under Outcome 1, including seed regulation guidelines, livestock emergency guidelines and standards, pest and disease control strategies.

80. Under Outcome 2, policies and marketing strategies were supported in favor of economic growth in edible oils and microfinance as well as industrial zone and economic corridor development.

81. In Outcome 3, the Ministry of Labour and Social Affairs (MoLSA), with the technical support of the National Social Protection Platform (NSPP), developed a Social Protection Policy. The draft Social Protection Policy was submitted to the Cabinet in November 2013 and is awaiting approval. Core elements include scaling-up social worker cadre and domestic funding including from community level and the expansion of micro-finance.

82. In Outcome 4, the UN's support to policy development was centered in the areas of nutrition and resilience, including finalization of the national disaster risk management (DRM) policy and investment framework; and the launch of the revised National Nutrition Policy, which has links to other Pillars, but also to agriculture and social protection. It also represented an important opportunity for the UN agencies to ensure clear points of division between social protection and the existing Protective Safety Net Programme (PSNP).

83. Policy progress in Outcome 5 favoured advances in CRGE, including support to an enabling environment in Ethiopia for a climate resilience strategy and mainstreaming a CRGE system in national planning, budgeting, and monitoring. These policies set the stage for development of pilots and systems at federal, regional and woreda levels.

UNDAF Pillar 1 Contribution to Capacities:

84. In Outcome 1, UN agencies focused on capacity building of agricultural producers, government service providers and scaling up of best practices. Crop productivity and production capacity was improved through diversification and input supply; production of open pollinated cereal seeds for agro-pastoralists was enhanced; drought-tolerant and high yielding root and tuber crops seed were introduced; light seed stores were constructed; and small scale irrigation was promoted in five regions. Federal and Regional institutions improved their capacity to support improved productivity, food security and resilience to climate change by using high yield crop techniques and training for just under 7,000 government staff and half a million farmers in new agronomic practices, and participating in programmes to build government capacity.

85. In Outcome 2, a capacity needs assessment was conducted and capacity development programmes implemented to mainstream CRGE in national planning, budgeting and M&E systems and industrial development in the MOFED and Ministry of Industry respectively. Skills training for small and medium sized enterprises was carried out to develop capacities in entrepreneurship,

marketing, production, and effective service delivery.   Not only were individual capacities supported through these initiatives, but institutional capacities were also strengthened – a fully functional Entrepreneurship Development Center was established with 74 national entrepreneurship trainers and 27 business advisors. In addition, a network of 17 Business Development Resource Centres (BDRC) was established through a public-private partnership; 10 BDRC's are currently fully operational.

86. Under Outcome 3, institutional capacities in social protection were strengthened through 391 community care coalitions in 113 woredas to ensure community care of children in need of protection. Training in entrepreneurship for

> *(The edible oil value chain enhancement joint programme) was particularly effective with the specific targets of farmers, farmer cooperatives and processors. The demand from farmers for a widening/ strengthening of JP practice in cultivation is strongly expressed. The clear view of processors is that the JP has given them renewed confidence in their industry, and a clear path for their involvement. Marketing linkages have been strengthened.*
>
> Source: MDG-F (2013) Final Evaluation: edible oil value chain enhancement

women and young people and life skills training for young people was part of individual capacity development under this outcome.

87. In Outcome 4, UN pillar partners established woreda level disaster risk profiling and capacities at regional and woreda levels for economic development, planning and monitoring.   DRM training was carried out at Federal, regional and woreda levels with relevant government staff.   In Outcome 5 mainstreaming CRGE involved advocacy, training, leadership development, and development of tools targeted to build the capacity of the sectors at all levels.

UNDAF Pillar 1 Contribution to implementation:

88. Importantly, Pillar 1's work in DRM encompassed emergency and refugee programmes and interventions. The UN remained a key implementing stakeholder in food and non-food item distribution, feeding and response to emergencies and refugee displacement. These were managed through the Inter-Agency standing committee (IASC) humanitarian coordination structures and were coordinated under government leadership.

> *In the face of recurrent drought, low crop and livestock production, climate shocks, and conflict, WFP successfully aided millions of households through the provision of food or cash. Women actively participate in all three parts of the programme. Outputs related to overall numbers of beneficiaries reached appear to be high; however, the quantity of food distributed and the total cash value of transfers distributed are low. The ET questions this inconsistency and the data quality.*
>
> WFP (2014) Operations Evaluation. Ethiopia, PRRO 200290, Responding to Humanitarian Crises and Enhancing Resilience to Food Insecurity: An Evaluation of WFP's Operation (2012-2013)

UNDAF Pillar 1 Contribution to cross-cutting issues:

89. Results achieved in Pillar 1 of the MTR highlighted the UNDAF's cross cutting nature at work: the environment, capacity development, economic opportunities for women and youth, a capacity gap analysis and focus on vulnerable populations (HRBAP) and the environment. Installation of solar panels in five selected model schools in five districts in Amhara benefited 10,000 agro pastoralists and pastoralist of which 4,000 were women. Similar installation also carried out in three health institutions in selected districts of Amhara which benefitted 6,000 agro pastoralists and pastoralists of which 2000 were women The introduction of alternative energy sources and

house construction material contributed to minimize forest degradation and environmental resource damages. Moreover, the solar panel introduction in schools and health institutions contributed to the reduction of drop outs from schools and lower the maternal mortality rate. This intervention demonstrated the multi-faceted role which the UN can play in covering cross-cutting UNDAF priorities. It remains likely that the UN will continue to have such a role beyond the 2015 MDG deadline as it demonstrates sustainable pilot interventions which have environmental as well as economic and gender benefits.

Constraints and Implications for future programming:

90. Constraints raised during the MTR in Pillar 1 have important implications for future planning and programming in the coming years as well as partnerships. A commitment in DRM demanded a stronger engagement of key federal and line ministries and a multi-sectoral platform – without a broad commitment, the long-term sustainability of DRM is not assured. In regard to the Social Protection Policy, it was vital that the Pillar working group liaise closely with the PSNP so as not to duplicate the efforts of development partners in this sector. Similarly, efforts in microfinancing in Pillar 1 mirror other microfinance efforts in other Pillars; this was recently brought to common attention within the UN to review best practices. Finally, indicators in a number of result areas suffer from lack of baselines, targets or data to monitor progress. Critically, where capacity development is concerned, a focus is on the "number of persons trained" rather than on the result or the quality of the capacity development itself. This should take greater precedence in future monitoring efforts.

Pillar 2: Basic Social Services

91. The objectives achieved in Pillar 2 centered around access to and use of basic social services (BSS) in Ethiopia: quality education – at general, technical vocational education and training (TVET) and higher levels while ensuring linkages with the economy; increasing investments in and quality of services related to maternal and newborn care, to child health, and to halting and reversing the spread of major diseases such as HIV/AIDS, TB and malaria. Attention was also given in the UNDAF to support expanding water and sanitation services in Ethiopia. A Health JP was established with the government to support results in this Pillar area – the JP

> **Pillar 2 Outcomes:**
>
> UNDAF outcome 6: By 2015, the Ethiopian population, in particular women, children and vulnerable groups will have improved access to and use of quality health, nutrition and water, sanitation and hygiene (WASH) services.
>
> UNDAF outcome 7: Improved access to HIV prevention, treatment, care and support by 2015.
>
> UNDAF outcome 8: By the end of 2015, equitable access created and quality education provided to boys and girls at pre-primary, primary and post-primary levels with a focus on the most disadvantaged and vulnerable children and localities.

included collaboration with the Heath development partners group and included planning with the World Bank. Overall, out of 80 indicators encompassing three outcomes, 70% were either on target or close to target, with only 4% of results off-target. These off-target results were strictly due to lack of available budget to undertake the suggested outputs. Remaining results were difficult to assess at the mid-term level due to inappropriate indicators or lack of data.

Pillar	On Target	Close to Target	Off Target	Not applicable/Not Available	Total
2	25	31	3	21	80
	31%	39%	4%	26%	100%

UNDAF Pillar 2 Contribution to Policy Development:

92. Policy development in the health sector under Outcome 6 addressed maternal and neonatal mortality including treatment of neonatal sepsis at community level, especially through the adoption in 2012 of the "Roadmap for Accelerating the Reduction of Maternal and Newborn Morbidity and Mortality in Ethiopia. The pillar also supported the revision of the Newborn & Child Survival Strategy (2013-2015). The ONE WASH Programme was developed with the major aim of moving away from fragmented WASH projects, towards a systems approach to addressing the challenges of accessing and using water and sanitation services. The WASH Implementation Framework and Memorandum of Understanding were signed in April 2013, by the WASH sector ministries and MoFED. The UN's support to WASH policy development included a joint action plan and a monitoring plan.

93. In the area of Nutrition, there was a policy break-through with the adoption of the revised NNP which promoted the multi-sectoral approach to nutrition and integrated all elements of the Scaling Up of Nutrition (SUN) and the Renewed Efforts Against Child Hunger (REACH) initiatives. The plan focused on the treatment of severe acute malnutrition (SAM) and reduction in stunting levels for children. Importantly, the pillar's cross-sectoral approach ensured that the NNP integrates issues of education; Early Childhood Development was integrated into the NNP to maximize nutritional inputs.

94. Policy development support provided through UNDAF Outcome 7 at the mid-term point included the generation of strategic information to

> *The UN partners played a significant role in supporting the finalization of the revised NNP in Ethiopia.*
> Government stakeholder interview

inform planning and policy such as the National and Regional epidemiological synthesis reports, the National Aids Spending Assessment (NASA), Outcome survey on PMTCT, ART effectiveness study, and the Global AIDS Response Progress Reporting GARPR 2013, HIV Prevalence in Prisons, HIV prevalence and behaviors for key populations.

95. Outcome 8 of the UNDAF focused on the development of the ECCE policy framework and strategy alongside the Child-to-Child non-formal school readiness programme. The actual implementation of a programme in recent years, the Alternative Basic Education Programme and School feeding programme (including take home ration as incentive to girls in the pastoralist regions/zones) is also backed by several strategies which have been supported by the UN in the past. These include the Pastoralist Education Strategy, guidelines on how to establish and run mobile schools, and Minimum Standards for ABECs. This example highlighted the policy to implementation nexus evident in the UNDAF.

UNDAF Pillar 2 Contribution to Capacity Development:

96. The focus of capacity development in Pillar 2 was on access and delivery of quality basic social services, particularly for the most vulnerable populations. Nevertheless, the last two years of programming with government partners in the MoH in Outcome 6 led to the following capacity

development interventions. One focus was the capacity building of Health Extension Workers (HEWs) to improve their technical efficiencies and improve the supply chain and procurement of medicines and supplies so that health posts have the organizational capacity to meet needs for pneumonia, diarrhea, acute malnutrition and malaria. In another example of how the UNDAF collaborates across several cross-cutting areas, HEWs were also trained on the provision of youth friendly reproductive health services. In both cases, measures of these capacity improvements were not yet carried out.

97. Another notable area of capacity development was the expansion of services and scale up of Human Resources for Maternal Health workforce, particularly the Accelerated Midwifery Training programme, which supported training of 189 tutors in effective teaching skills and

> *The sustainability of capacity development of midwives in Ethiopia has been underlined as the UN has technically and financially supported the finalization of the curriculum for MSc in midwifery education in collaboration with Gondar and Mekele Universities.*
>
> Source: Pillar Group Discussions

89 mentors. This resulted in increased availability of midwives from 4,700 in 2012 to 6,325 in 2013. The progress made is considered on track in achieving the national Human Resources for Health Strategy target of training 8,635 midwives by the year 2015. The midwives were deployed to health centers and were providing delivery and Basic Emergency Obstetric and Newborn Care (EmONC) Services. The sustainability of this capacity development of midwives was underlined as the UN has technically and financially supported the finalization of the curriculum for MSc in midwifery education in collaboration with Gondar and Mekele Universities.

98. Integrated Community Case Management (ICCM) at health posts was implemented nationwide, with a focus on DRS with a focus on quality improvement and service utilisation. Elsewhere, a focus on quality of service provision was highlighted through training of district

> *Programme support included not only provision of vital teaching and learning materials but also strengthening skills laboratories and increasing the teaching capacities of 150 tutors. Other support included helping revise the Bachelor of Science in Midwifery Curriculum, supporting selected Universities to strengthen the tutor's research capacities, and training clinical preceptors to assist with supporting students. The programme also assisted FMoH develop and implement a supportive supervision system to follow up new graduates.*
>
> UNFPA, SIDA (2014). External Evaluation Report Scaling Up of the Midwifery and Anaesthesia Education, and, Prevention and Management of Fistula Programme in Ethiopia

health and health facility managers; development and implementation of health center and hospitals reforms. In the area of WASH, the UN supported the role out of the Capacity Building Unit (CBU) and Woreda Support Groups (WSGs) in the context of WIF.

99. In Outcome 7, the focus on the UNDAF capacity development support was to health providers to deliver PMTCT services. HEWs, Health Development Armies, religious and opinion leaders, women's group and youth were also trained on basic skills and awareness creation on PMTCT demand creation to pregnant mothers and their family.

100. The number of health facilities providing HIV Counselling and Testing (HCT) increased by more than four fold in 2012/13 (3,040 HCT facilities, mainly public health centres outside Addis Ababa) when compared to 2004 (568 HCT facilities). The Joint UN Team on AIDS provided support to strengthen capacity for workplace TB and dual HIV/TB policies and programmes. This resulted in an increase in the number of TB patients screened for HIV, and also PLHIV screened for TB.

101. In Outcome 8, the UN support through the UNDAF contributed to human and organizational capacity development of the Ministry of Education (MoE) at federal, regional and woreda level,

ECD, out of school boys and girls, and promoting core learning competencies in hard to reach areas. MoE and 11 Regional Education Bureaus (REBs) had a five year Education Sector Development Programme; 142 target woredas developed sector strategic plans; 4,244 (15% female) MoE and REB experts and educational professionals at all levels received training in RBM; and the Education Management Information System (EMIS) was decentralized to ensure that government officials at all levels received access to education information for decision making. In another support to institutionalized capacity development, an Adult Education Department opened in Hawassa Teachers Training College.

102. A total of 270,000 children (49% girls) enrolled in both formal and non-formal school readiness programmes in SNNP, Somali, Amhara, Tigray , Oromia, and Benishangul Gumuz. For this, 2,610 (64% Female) education and health professionals and 364,500 parents/caregivers were trained. Seven regional and 46 woreda ECCE Coordinating Committees were also established.

UNDAF Pillar 2 Contribution to implementation:

103. Pillar 2 in Basic social services underlined the critical role that the UN continues to play in implementing services in Ethiopia, particularly in the area of procurement through which a number of important initiatives were implemented.

- The UN supported the procurement and distribution of 24 million male condoms;

- The UN procured over 4.7 million LLINs;

- 197,192 girls received additional take-home rations i.e. 996 metric tons of vegetable oil in Afar, Somali, SNNPR and Oromia Regions contributing to growth in girls enrolment;

> *Nutrition Supply Chain Bottleneck Analysis and Ready-to-Use Therapeutic Food (RUTF) Leakage and Misuse Surveys were conducted as follow-up recommendations to the CMAM programme evaluation conducted in 2012. One of the main recommendations was to further integrate the programme by gradually transferring management of the CMAM supply chain from UNICEF to the Government system.*
>
> UNICEF Annual Report for Ethiopia, 2013.

- 238,000 children affected by disaster were supported by the UN. Out of these 25, 000 were refugee children.

UNDAF Pillar 2 Contribution to cross-cutting issues:

104. Pillar 2 in BSS presented several initiatives which cut across UNDAF priorities. For example, all Outcomes in health, education and HIV/AIDS focused on vulnerable groups and out-of-reach populations. Those identified included groups in DRS regions, pastoralist communities, and sex workers (in the case of HIV), in line with a HRBA to programming. Gender was also mainstreamed across result areas and was disaggregated across several indicators. In terms of the environment, Environmental Education (EE) was implemented in 7 regions, and installation of solar panels in selected model schools and health centers in Amhara put energy needs at the forefront of basic social services.

UNDAF Pillar 2 Constraints and Implications for future programming:

105. Overall constraints to delivering strategic results included the challenges associated with decentralization, enhancing the capacities of local governments to absorb funds and implement projects at the district level coupled with limited communication infrastructure and accessibility to more remote woredas. A lack of capacity and high turnover among government staff was recognized as major barriers to progress, particularly in the more remote woredas.

Pillar 3: Governance and Capacity Development

106. Progress at the mid-term stage in Pillar 3 focused on strengthening national capacities in favour of democratic and development oriented state that ensured access to and delivery of quality public services, inclusive participation, good governance, human rights and an effective and efficient justice system. The Developing Regional States (DRS) joint programme harmonized efforts within this pillar to support four regions with specific interventions. Overall, out of 78 indicators encompassing three outcomes, 51% were either on target or close to target, with only one result seen as off track at this stage. However, remaining results were difficult to assess at the mid-term level due to inappropriate indicators or lack of data.

> UNDAF outcome 9: By 2015, national actors have enhanced capacity to promote, protect and enjoy human rights, constitutional rights and accessibility to efficient and accountable justice systems, as enshrined in the Constitution and in line with international and regional instruments, standards and norms.
>
> UNDAF outcome 10: By 2015, national and sub-national actors utilize improved mechanisms that promote inclusiveness, participation, transparency, accountability and responsiveness in national development processes.
>
> UNDAF outcome 11: By 2015, capacities of national, local and community institutions strengthened for evidence based planning, implementation, monitoring and evaluation, leadership and decision-making.

Pillar	On Target	Close to Target	Off Target	Not applicable	Total
3	25	15	1	37	78
	32%	19%	1%	47%	100%

UNDAF Pillar 3 Contributions to Policy Development:

107. Policy development under Outcome 9 focused on the adoption and launch of the National Human Rights Action Plan (NHRAP) in 2013, which demonstrated strong national ownership and a coordinated and comprehensive approach to the promotion and protection of Human Rights. The Plan provided a framework to harmonise Ethiopian laws with international norms and standards in advance of the 2nd Universal Periodic Review, which took place in early 2014. The UNCT collaborated with all human rights actors and the Ethiopian Human Rights Commission to facilitate a policy dialogue leading up to the UPR process in 2014.

108. A draft child policy was submitted to the social cluster of the Council of Ministers at the beginning of 2013. The Ministry of Women Children and Youth Affairs (MOWCYA) expects to introduce a revised national action plan on children to facilitate the implementation of the child policy. The legal gap identification and subsequent stakeholder consultations to lead to the adoption of a Children's Bill was carried out as planned.

109. Under Outcome 10, a draft national conflict prevention and peace building strategy was developed and applied by federal, regional and local governments. A multi-pillar approach for dealing with community conflicts in Ethiopia was also elaborated with UN support, and a strategic approach put-in place to develop peace building initiatives.

110. The contributions of Outcome 11 to policy development were centered largely on the UN-backed research and data collection systems. The importance of data collection and research to the policy debate underlined efforts taken under this outcome. Data availability and use for evidenced-based planning improved as a result of these surveys. In 2012 the following surveys were conducted:

EDHS, National Labour Survey, WMS, House hold Expenditure Survey, Inter-censual Survey, population protection produced and disseminated.

UNDAF Pillar 3 Contribution to Capacities:

111. Under Pillar 3, the UN worked with the government extensively to improve the quality and availability of governance mechanisms. This included increased coverage of audit and increased reporting on corruption and human rights, which subsequently resulted in 87% satisfaction rating of the Federal Ethics and Anti-corruption Commission FEACC (2012), from a 62% (2009/10). In the same pillar and in support to community-led, participatory and bottom-up planning, 234 districts reported preparing their comprehensive annual plans using Integrated Community Based Participatory Planning (ICBPP) tools.

112. Under Outcome 9, access to legal aid improved as a result of increase legal aid centers. During the period under review, 126 Legal Aid Centers were established in collaboration with universities and CSOs. 13867 citizens (of which 6208 are women) has benefited from the services in 2012. Special prosecution units involving child friendly interviewing settings were trained in five regions. In addition, capacity building and experience sharing program was organized for staff working in the special units at federal level.

113. In Outcome 11, technical support was provided to the CSA for the development a Comprehensive Plan Document for the 2017 census that will be used for advocacy, resource mobilization and improve effectiveness and efficiency of the execution of preparatory activities, actual enumeration and post-enumeration activities, including the post enumeration survey. In addition, a census cartographic study visit by CSA staff was also supported.

114. Sustainability in governance was assured through the UN's support with the Embassy of France to the Institute of Leadership and Good Governance. It had a defined governance structure and annual budget was established and functions to produce top and middle level leaders for federal and regional public agencies. 67students, including 26 females, graduated from the Institute.

115. UNDAF Support was provided to CSA and regional bureaus to build regional database systems to monitor regional/national GTP and MDG using DevInfo. Amhara, SNNPR, Oromia, Afar & Somali regions obtained support on building their capacity on DevInfo and DevInfo (DI) Monitoring in collaboration with CSA, collected demographic and socio economic data, entered in the data base system and devolved Devinfo as their regional GTP tracking tool. Regional BoFEDs printed publications on social profiles of women and children, development indicators, ATLAS and statistical abstract. UNCT supported the use of Di-monitoring as UNDAF monitoring tool.

116. Technical and institutional support was provided to the CSA for the establishment of a functional Integrated Management Information System (IMIS). The operationalization of a functional web-based Integrated Management Information System (IMIS) allowed users direct access to census, survey or any administrative or routine service-based data, and process, calculate indicators, and produce customized tables and thematic maps at any administrative level. In addition, institutional and technical support was provided to enhance CSA's network security. Finally, institutional support was provided to the Oromia Health Bureau for the establishment of a functional Health Management Information system.

UNDAF Pillar 3 Contribution to implementation:

117. The UN provided direct financial support to many of the data collection instruments in Ethiopia, such as the Census, DHS and similar instruments, in addition to its technical support.

UNDAF Pillar 3 Contribution to cross-cutting issues:

118. Pillar 3 has an important focus on human rights, and therefore has embedded important elements of HRBAP in its monitoring. One element of HRBAP is to seek accountability and transparency for services from rights holders, and thereby ensure that they have a voice in the services to which they are entitled. One example of this is the customer satisfaction with FEACC's services, which increased from 62% in 2009/10 to 87% in 2013 . The assessment further indicated that out of the total 2,577 participants drawn from different segments of society, a large number of the respondents (62.5%) believe that the Commission is successful in deepening ethical behavior, and 53.3% also believe that the Commission is effective in preventing corruption. These kinds of surveys and data collection help to measure the quality of the services provided by government duty bearers. Furthermore, communication increased awareness of citizens of their rights.

UNDAF Pillar 3 Constraints and Implications for future programming:

119. The governance and capacity development pillar demonstrated important contributions to development results in Ethiopia at the mid-term stage. However, it should be noted that these contributions are the fruits of many years of cooperation with government, including progress achieved during that last UNDAF. Capacity improvements cannot easily be measured in the short term, but were the result of long-term interventions. Weak ownership of programmes at woreda levels remains a concern of the Pillar, due to inadequate participation of these entities in the planning processes and absence of the signed AWPs. More attention is needed in developing nationally owned governance assessment mechanisms, capacity development on governance data collection and the formulation of impact indicators and supporting the use of indicators in informing policy formulation and interventions.

Pillar 4: Women, Youth and Children

120. The specific regional mix of interventions under Pillar 4 on Women, youth and children was articulated in response to regional stakeholders' demand, strategic prioritization informed by political and evidence-driven allocation of resources in the current UNDAF action plan. The key areas of interventions in pillar 4 were critical for the empowerment of women and youth and the protection of the most vulnerable among women, youth and children. Furthermore, it addressed core gender inequality issues.

It is with this background that, participating UN agencies employed a multi-sectoral and comprehensive approach taking into consideration the different interventions at macro, meso and micro/community levels.

> UNDAF Outcome 12: By 2015, women and youth are increasingly participating in advocacy, social mobilization and decision making and benefiting from livelihood opportunities and targeted social services
>
> UNDAF Outcome 13: By 2015, women, youth and children are increasingly protected and rehabilitated from abuse, violence, exploitation and discrimination

This approach was supplemented by a Flagship JP in Gender. Overall, out of 33 indicators encompassing three outcomes, 51% were either on target or close to target, with only four results seen as off track at this mid-term stage. However, remaining results were difficult to assess at the mid-term level due to inappropriate indicators or lack of data.

Pillar	On Target	Close to Target	Off Target	Not applicable	Total
4	12	5	4	12	33
	36%	15%	12%	36%	100%

UNDAF Pillar 4 Contributions to Policy Development:

121. Under pillar four, the UN promoted the formulation of policy and strategy in areas of emerging prominence such as Gender Based Violence (GBV), on Harmful Traditional Practices (HTP) and a national action plan on female genital mutilation/cutting (FGM/C), child marriage and abduction. The anti-GBV code of conduct for the Federal Police Commission was another related policy achievement within this Pillar.

UNDAF Pillar 4 Contributions to Capacities:

122. The UNDAF provided technical and funding support to increase access to information and skills targeting women and youth on sexual reproductive health, including on topics of HIV/AIDS and gender based violence. On the same pillar and on institutional capacity building in gender mainstreaming, the UN provided specialised technical support to national and regional gender machineries, with a niche in Gender Responsive Budgeting, well received by implementing partners and members of parliament.

123. Capacities of youth were improved through economic growth opportunities. Vulnerable and most-at-risk youth benefited from livelihood schemes and partners offered 3340 (42% female) youth in 7 regions entrepreneurship skills training and marketing skills training programs to help them transition to a positive life path through self sustained income-generation. In another training programme, targeted women entrepreneurs improved the competiveness and profitability of their businesses as a result of the training they took with achievements, although a clear measure of this improvement has not yet been verified through evaluation.

124. In leadership, 10,000 women leaders at all levels including kebele and women Development Groups benefited from awareness creation on women's participation in decision making and leadership in the 4 major regions. Gender and budget experts at regional levels were trained on gender responsive budgeting. The trainings enabled the participants to conduct similar ToTs trainings and sensitize top officials to institutionalize GRB.

125. In regard to youth leadership, over 2000 facilitators of youth dialogue were trained; through these facilitators more than 75,000 young people were reached. In addition a total of 27 girls/Gender forums and 3 networks were established during the reporting period. Refresher trainings were given for 1525 young people on gender based violence and women rights, peer leadership and integration of voluntary counseling and testing services.

UNDAF Pillar 4 Contribution to implementation:

126. Under Pillar 4 UN agencies provide most assistance through partners and carry out few activities without the involvement of government partners.

UNDAF Pillar 4 Contribution to cross-cutting issues:

127. With a focus on gender and youth as well as marginalized communities, there are strong linkages with HRBAP; however, fewer cross cutting linkages with environment were elucidated at the mid-term stage.

UNDAF Pillar 4 Constraints and Implications for future programming:

128. The absence of a forum that brings the broader UN family working on gender has obscured the bigger picture of what is being done in the country; hence most of the discussions on gender are limited to the flagship Joint Programme on Gender equality and the empowerment of women. Also, particular funding challenges were noted in this Pillar and in the accompanying Flagship JP.

Finding 6:   The UNDAF presented a number of Joint Programmes and pilots, some of which demonstrated positive results. Justification for scale-up, however, was insufficient.

129.   A common theme among reviews of joint programmes undertaken in the current UNDAF period was the success of a number of JPs and pilot interventions, both those undertaken with the support of government, as well as those pilots initiated through UNDAF direct intervention with the intent of eventual government hand-over. For example a number of pilot interventions were presented during the Pillar Presentations:

- Input credit system designed <u>and tested</u> in the 2013 planting season, whereby 25,000 farmers received 85.8 million ETB through ATA's wheat initiative while 480,300 farmers received 649.6 million ETB in financing though the 4 financial institutions working with ATA.

- Training on community warehouse receipt concept provided to over 70 participants in two woredas in Amhara that included representatives from unions, cooperatives, and woreda officials. In addition, training on the receipt system was given to approximately 1,000 <u>"model"</u> farmers that were members of these unions.

- 1,482 young people (42% female) with entrepreneurship skills and 2,118 households (99% female headed) with economic empowerment were supported as part of the women and youth focused <u>pilot social protection project</u>. Close to 3,000 economically disadvantaged female students received cash transfers to contribute to their secondary and tertiary education.

- <u>8 pilot woredas' pastoral adaptation programme/action plans</u> prepared which have been implemented through the formulation and implementation of Integrated Dry Lands Management .

- <u>The pilot Home Grown School Feeding program</u> early result indicates a) reduction in cost of school feeding program, b) helping to bring together different stakeholders (FAO ATA, MOE and MOA) to work together, c) minimizing transport cost and ; d) creating local market access to cooperatives.

130.   The UN employs common definitions for pilot interventions – most of which involved clear measurement frameworks, specific evaluations and cost-benefit analyses and defined timelines and decision making points for scale-up or hand-over. Clearly defined pilot monitoring frameworks to support such decision making was absent.

131.   Pilot interventions appeared to emerge in project areas which were underfunded. In these instances, the answer appeared to be to speak about carrying out pilots as an alternative to carrying out large-scale or fully-funded interventions.

Finding 7:   UNDAF Programme effectiveness was strengthened by a strong and participatory planning process yet hampered by inconsistent monitoring and evaluation.

132.   At the mid-term review phase, a recognized strength of the UNDAF which proved to bolster the achievement of results has been the participatory planning phase. This was equally highlighted as part of the Evaluation of the Flagship JPs, carried out in 2013. The UN staff survey

> *The planning was done in such a way as to respond to the country's growth and transformation plan; it was highly participatory and tried to address major development challenges.*
>
> UN Staff member

highlighted the value of the planning phase of the UNDAF – it represented the highest level of satisfaction amongst all the effectiveness elements in the survey (71% either satisfied or very satisfied.

133. Importantly, interviews with the UN's donor partners suggested that communication on the UNDAF was strongest during the planning phase of the UNDAF. At the time of implementation and monitoring, communication and sharing with donors and development partners was less pronounced.

134. Measuring the results through monitoring, studies and evaluation was satisfactory to only 46% of staff in the UN staff survey. This reflected the extensive number of data points which were unavailable at the time of the UNDAF Annual Review, and left incomplete at the time of the MTR. It also reflected a widely held view that as an organizational unit, the UNCT has not yet fully established and formalized a monitoring system for field visits, reporting and follow-up.

Exhibit 3.6   Responses to Staff Survey Questions on Effectiveness (N=31)
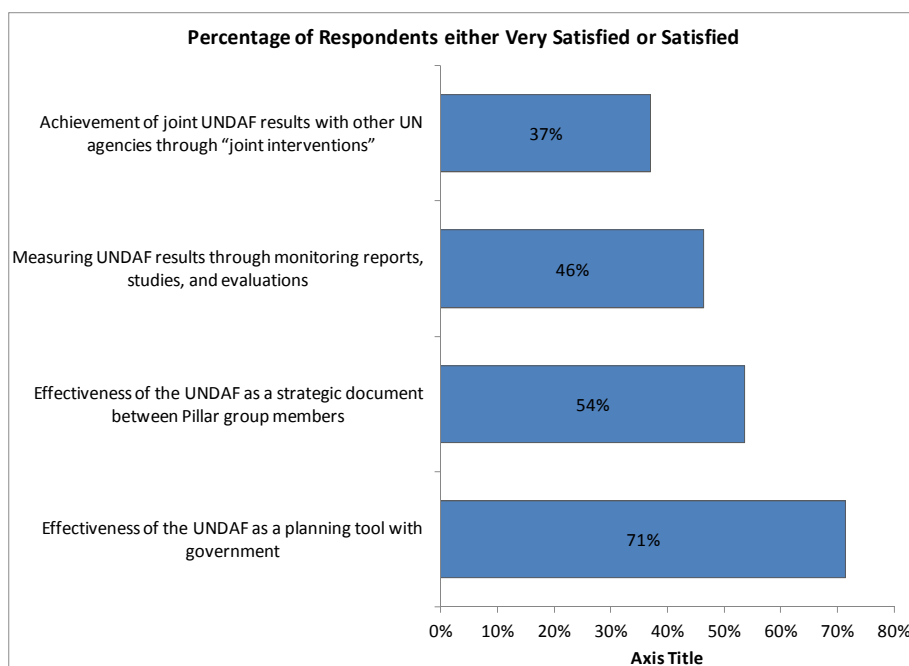
3.3 Efficiency

135. This section examines the extent to which the current UNDAF and the DaO modality of the UNCT has enhanced efficiency and value for money. Indeed, this present MTR demonstrated the following in terms of efficiency of the UNDAF in Ethiopia:

- The UNDAF was perceived as a good effort of the UNCT to **consolidate its programme priorities, avoid duplication and reduce transaction costs with government.** This was especially evident at the planning and review stages of the process, and less so during implementation and monitoring.

- Many of the efficiencies gained through the process of the UNDAF and DaO occurred through **harmonization of operations**, which led to substantive savings in the past two years. The UN Ethiopia Business Operations Strategy (BOS) aimed to save about 13 million USD until 2017 in direct and labor costs. Strong coordination emerged with the UNCT on HACT assessments and spot checks, with clear accountability and response for improvements through MOFED training. However, these efficiencies were poorly communicated.

- Several flagship Joint Programmes emerged in recent years leading to focused results in gender, health and Developing Regional States (DRS).

> **Efficiency**
>
> "A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results."[20]

They helped demonstrate some programme efficiencies. However, these **exhibit more of the tendencies of joint programming as contrasted with joint programmes**, with fewer opportunities for efficiency gains.

Finding 8: The UNDAF helped in harmonizing work planning and reviews across UN agencies and with government partners, however, there is more work to be done to improve the UN's efficiency.

136. Several conclusions were made regarding efficiency during the 2012 global review of UNDAFs as part of the QCPR process. These included:

- There is less evidence that the UNDAF has had a major effect on ensuring that the UN's support is more coherent or integrated or leads to greater use of joint programming approaches.

- Whether the UNDAF process has led to a decrease in duplication of activities is difficult to judge.

- In a number of the countries that have adopted DaO approaches, a major purpose appears to have been to reduce transaction costs for government partners.

137. In fact, the data collected on UNDAF efficiency through the staff survey confirmed that overall, satisfaction with efficiency measures is much lower than that of relevance. The strongest areas for efficiency gains is in annual reviews and in the planning process, with 59% of respondents either "very satisfied" or "satisfied" with the UNDAF's efficiency in these areas. Conversely, the weakest areas in efficiency are in operational efficiencies and in monitoring and evaluation efficiencies, at 30% and 33% respectively. Exhibit 3.7 presents these results.

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[20] OECD DAC Glossary of Key Terms in Evaluation and Results Based Management.

Exhibit 3.7   Responses to Staff Survey Questions on Efficiency (N=31)

Percentage of Respondents either Very Satisfied or Satisfied

Category	Percentage
Reduced financial expenditures through operational efficiencies and shared services (procurement, HR, ICT etc.)	30%
Improved use of time and human resources through joint monitoring and evaluation through Pillars.	33%
Improved use of time and human resources through joint UN working groups (Communications, M&E, JPAT).	38%
Improved and simplified use of senior management resources through RCO support.	38%
Reduced number of individual meetings with government through the use of the UNDAF and the Pillars.	41%
Savings of time and efforts through joint annual reviews with government.	59%
Reduction in duplication of activities through UNDAF common planning processes.	59%

138. The current UNDAF facilitated the signing of joint action plans, a joint M&E plan and a Programme M&E Framework thus ensuring harmonized planning and reviews of the UN's support. Bi-annual work plans were developed jointly with specific agencies and joint Annual Reviews are undertaken between the UN and implementing partners. Interviews with government stakeholders, including key MOFED officials, greatly appreciated the efforts of the UN to plan and present findings collectively. In particular, many at regional meetings discussed the benefits of seeing cross-sectoral planning rather than planning which operated within silos.

139. Nevertheless, as the survey data showed, more work can be done to improve the efficiency of internal working groups and committees, joint monitoring and evaluation and sharing resources. Moreover, despite a number of examples of pilot interventions underway with the UN and government partners, there was a notable absence of efficiency justifications for pilots to be expanded and mainstreamed. For example, an evaluation of the flagship JPs elucidated that they have not invested significantly in demonstrating how their interventions in health, gender or in DRS were improvements over other interventions, in terms of doing more with less. As development partners increasingly seek value for money measures in programmes, this is an important omission in the UN's reporting.

Finding 9:   Efficiency gains were realized through harmonization of operations. These achievements, however, have been poorly communicated.

140. The UN's Operations Management Team (OMT) was mandated to guide the UNCT on common services and business operations to increase efficiency and effectiveness of the UN's programme activities. In 2013, it spear-headed the development of the "*United Nations Country Team in Ethiopia Business Operations Strategy (BOS), 2013-15*. A key highlight of the BOS' strategy was to save over 13 million USD until 2017 in direct and labor costs.

141. Many of the efficiency gains proposed by the OMT include areas where UN agencies can reduce duplication in the way in which they carry out their business; in 2012, the OMT identified 7

priority themes for harmonizing the UN's business operation; HACT, business continuity management, procurement, human resources, ICT, legal and support to coordination of common operations. In fact, HACT and Procurement are two core areas closely interlinked with programme management and also capacity development.

142. Printing was one specific example where costs saving of US$ 2-3 million were made in 2013. This was as important for efficiency achievement for two reasons. Firstly, the UN harmonized its standards for printing and developed a common procurement practice for printing. Secondly, in the process of harmonizing its printing contracts with suppliers, it went through a process of working with local printers to define quality criteria and to make suggestions on how different printing services could meet the required quality criteria. In this way, the UN's procurement services provided some capacity development to local suppliers.

> ***…there is good momentum now which needs to be built on through the BOS***
>
> UN Staff member

143. Of note in the staff survey was the low level of satisfaction with operational efficiencies. However, it should be noted that most stakeholders interviewed during the MTR were unaware of the work carried out by the OMT on harmonizing activities, including the above- mentioned example on printing, as well as efforts to harmonize human resource hiring, driver uniforms or long term contracts with a number of suppliers. The OMT's efforts and cost savings are the best examples available of how the UN can improve its programming efficiency, and therefore is in line with other UNDAF evaluations carried out in the past. OMT merits wider participation from agencies and better external communication.

Finding 10: A number of other programme efficiencies were cited during the MTR, including HACT committees, JP monitoring, and fund management in some regions – these merited greater communication and sharing across agencies

144. The MTR highlighted a number of programme and operational efficiencies within the UN programme which can be seen to be attributable to the UNDAF and DaO. To the extent that UN has shown coordinated efforts to be more harmonized and efficient, these require more communication, both internally within the UNCT and also externally.

145. The first of these is the coordination which was in evidence for the Harmonized Approach to Cash Transfer (HACT). As part of HACT, a working group within the OMT together with the M&E technical working group completed macro and micro assessments and necessary procedures for formalizing partnerships. The micro assessment was completed through a harmonized long-term agreement covering 320 potential implementing partners. The HACT group in tandem with the M&E technical working group and the IAPT took the responsibility to harmonize fund disbursement, liquidation and compliance. In addition to the former Ex-Com agencies, some specialized agencies engaged with HACT modalities, including within the Flagship JPs. This led to further benefits in terms of government partners using common modalities across UN agencies. It should be noted that while not all modalities were fully harmonized, the HACT working group, IAPT and M&E working group demonstrated strong leadership to coordinate these efforts.

146. HACT micro-assessments and follow-up reviews highlighted the needs to strengthen the capacity of government partners. The joint UN/ MOFED Programme Implementation Manual (PIM) was been produced so that programme management procedures were clearly outlined for all UN partners. The PIM was harmonized and MoFED/UN coordination and capacity building efforts have been coordinated, though implementation challenges continue to exist. Notable has been the

capacity development efforts under Pillar 3 to align HACT processes with spot checks and ensure that government agencies strengthened programme management. This capacity development was not only dedicated at federal levels but also at regional levels. From an efficiency perspective, some of the good practices occurring in some of the regions should be investigated to see how these could be shared across other regions. One such example was highlighted in Tigray region in regard to coordinated follow-up on direct cash transfers.

147. The evaluation of the Flagship JPs highlighted a number of efficient and innovative practices. During the course of the review, additional examples of pilots and good practices were mentioned for scale-up during Pillar reviews. The DRS Flagship JP for example instituted a comprehensive monitoring of its programmes across the four regions, including clear formats and procedures for lessons learned and recommendations.

> *While this UNDAF provided a good launching pad for the use of good monitoring and HACT practices, a more streamlined approach is necessary to harmonize and enjoy maximum gains. M&E and HACT are two faces of the same coin, and should be implemented hand-in-hand, as it is not really possible to determine success only by looking at programme results or financial figures/accounts.*
>
> UN Staff member

3.4 Sustainability

148. This section examines the extent to which the UNDAF focuses on sustainability in terms of clear hand-over to government partners and provision for capacity building of the Government of Ethiopia. The highlights of this section are as follows:

- The UNDAF was **strongly dedicated to** capacity building and knowledge transfer efforts favoring both federal and regional government partners. Government partners were widely appreciative of these capacity building efforts. More can be done to measure the effects of capacity building, particularly in terms of quality measurement.

> **Sustainability**
>
> "concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn. Projects need to be environmentally as well as financially sustainable."[21]

- The UN's use and support of **national systems** is hampered by government implementation challenges and lack of clear exit strategies. More can be done to clarify timelines in favour of handover to government entities.

Finding 11: Evidence of programme hand-over to national systems and structures existed within the Ethiopian UNDAF at the mid-term stage.

149. Sustainability, the fourth parameter for the review of the UNDAF, was reviewed by assessing the extent of national capacity developed and extent of the UN's use of national systems. Knowledge transfer, training and capacity was inherent in UNDAF programming, as shown in the report section 3.2 on Effectiveness. In addition to a number of important capacity development interventions, some notable examples of institutional hand-over and appropriation were highlighted at the mid-term stage:

- The sustainability of capacity development of midwives in Ethiopia was underlined as the UN technically and financially supported the finalization of the curriculum for MSc in midwifery education in collaboration with Gondar and Mekele Universities. This assured a longer-term home for such trainings in the future;

- In another support to institutionalized capacity development, in Outcome 8, an Adult Education Department opened in Hawassa Teachers Training College;

- In a nod to public-private partnership, a network of 17 Business Development Resource Centres (BDRC) was established through a public-private partnership; 10 BDRC's are currently fully operational;

- UN's support with the Embassy of France to the Institute of Leadership and Good Governance in Ethiopia helped to set a foundation to inculcate the next generation of leaders in the country.

150. These examples presented some useful experiences for pillar groups and UN agencies for future sustainability efforts.

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[21] OECD DAC Glossary of Key Terms in Evaluation and Results Based Management.

Finding 12: Continued use of service delivery mode of implementation and lack of exit strategies in many programmes hampered overall sustainability

151. Interviews with stakeholders suggested that, despite some good examples to draw inspiration from, there is insufficient attention to exit strategies in the UNDAF programmes at the mid-term stage.

152. One example is provided by the reviews of joint programmes undertaken in recent years. As evidenced by the MDG-F programme evaluations as well as the Light Review of the Flagship JPs, "*there is a limited scope for sustainability in the absence of continued resources. In other words, the JPs are often responsible for building capacity in a number of areas – for example in health extension workers, in leaders of community conversations, or in planning experts. However, in the absence of continued funding in the activities, which have been undertaken in the JPs, there is no guarantee that these capacities will continue to be utilized where they are most needed. Evidence during field visits suggests that the technical leadership to continue some activities exists, however, the financial means through which certain activities can continue is limited. Moreover, regions have expressed an interest in scaling up some of the JP initiatives; however, it is not clear if the region will have its own means to do so. In many cases, the regions fail to cover any funding gaps that have emerged in the JPs themselves, therefore it is unlikely that they may be able to do so in the future.*"

153. In line with discussions on quality and capacity development under 3.1 above, capacity development efforts need to be closely monitored for quality and relevance as well as performance. In the absence of these, the trainings can be detrimental to long-term sustainability.

> *Capacity development and putting necessary systems and tools accompanied by proper knowledge transfer will enhance accountability and sustainability at all levels. However, there is more to be done in this regard partly because trainings are not always tailored made (or) demand driven.*
>
> UN Staff member

154. The staff survey on sustainability underlined the concern expressed by UN staff on exit strategies. As shown in Exhibit 3.8, satisfaction on exit strategies was only 15% among UN staff. Remaining areas for sustainability, including use of national systems and to overall capacity development are above 50% satisfaction.

Exhibit 3.8   Responses to Staff Survey Questions on Sustainability (N=31)

Percentage of Respondents either Very Satisfied or Satisfied

Category	Percentage
UNDAF recognition of clear exit strategies in programmes	15%
Agency commitment to HACT	50%
UNDAF contribution to government capacity building in terms of cross cutting issues (Human rights, Gender, M&E, Capacity Development & Environment)	52%
Agency use of national financial systems	54%
Contribution of UNDAF pillar outcomes to progress towards capacity development of government	63%
Agency use of PIM	65%

3.5 UNDAF and DaO coherence

155. This section examines the extent to which the UNDAF has been and has remained aligned with coherence elements of the UN DaO principles:

- Internal working groups and structures demonstrated mixed results in the current UNDAF period with some opportunities for improvements.

- The UNDAF brought the UN closer together in innumerable ways. More can be done to maximize the potential comparative advantages of joint programming.

- Joint resource transparency and mobilisation, including the use of a One-fund has had limited buy-in or uptake.

- Communication on results remains limited, greatly limiting the scope of partnerships and funding

156. The recently released Standard Operating Principles for DaO highlighted the following principles which underline the standards for coherence within a DaO country. The UNDG has provided recent updates to many of the principles to which it hopes the country teams will adhere.

1) strong ownership by governments and other national stakeholders and leadership by national governments;

2) significant simplification and reduction of programming, business and service transaction costs for Governments, other national stakeholders, development partners and the UN system, including by further integrating and harmonizing common and agency-specific business processes;

3) empowerment of UN Country Teams, under the leadership of the UN Resident Coordinator, to address country-level needs, based on good practices and experiences in "Delivering as one" countries, both pilots and voluntary adopters;

4) flexibility to allow for innovation by UN Country Teams;

5) drive towards common delivery of results and strengthened accountability, including on cross-cutting issues such as human rights, gender equality and environmental sustainability;

6) emphasis on the shared values, norms and standards of the UN system.

157. The responsibility for the overall coordination of the UNDAF has traditionally been shared by the MOFED and the UNCT, supported by the Resident Coordinator Office (RCO). For each pillar, Pillar Working Groups have been established to oversee progress towards planned results and to offer a platform of exchange and discussion between agencies and government partners involved in the specific field of each group.

158. Several other coordination groups play critical roles in support of the UNDAF and DaO: these include working groups for Monitoring and Evaluation, Communications (UNCG), a Joint Policy Advisory Team (JPAT), an Inter-Agency Programme Team (IAPT), an Operations Management Team (OMT).
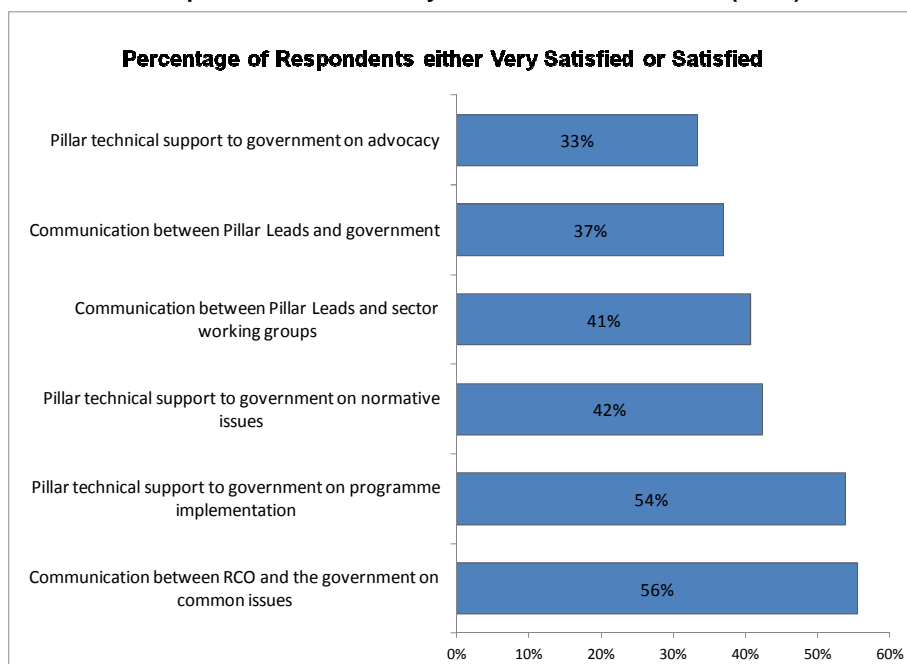
Finding 13: Internal working groups and structures demonstrated mixed results in the current UNDAF period

159. Evidence at the MTR suggested mixed results in the overall achievements and satisfaction of the internal coordination structures developed and sustained in the past two years of UNDAF programming.

160. Survey responses suggested that overall satisfaction of staff members with regards to the coordination structures is greatly limited. Only in regard to Pillar technical support to government and RCO's communication on common issues was satisfaction seen over 50% (54% and 56% respectively). These are presented in the Exhibit 3.9 below.

161. These results appeared to be largely consistent with interviews and group discussions with UN staff members. Notably, Pillar working groups were most active during planning and review phases, with little engagement in the interim periods. This often left pillar groups with little knowledge within their respective outcomes, let alone between outcomes. Different efforts undertaken in Microfinance by different Pillars with little coherence was demonstrative of this lack of coordination between Pillars. Conversely, the planning and reporting phases permitted staff an opportunity to see programmes from different Outcome areas.

Exhibit 3.9   Responses to Staff Survey Questions on Coherence (N=31)

Percentage of Respondents either Very Satisfied or Satisfied

Category	%
Pillar technical support to government on advocacy	33%
Communication between Pillar Leads and government	37%
Communication between Pillar Leads and sector working groups	41%
Pillar technical support to government on normative issues	42%
Pillar technical support to government on programme implementation	54%
Communication between RCO and the government on common issues	56%

162. Internal coherence extends to joint activities carried out as an organizational unit, including trainings and joint monitoring. As shown in the Exhibit below, of the staff responses to the survey, there is little consistency which would suggest a common view on overall DaO coherence at this stage. Therefore, results on DaO can be seen as mixed.
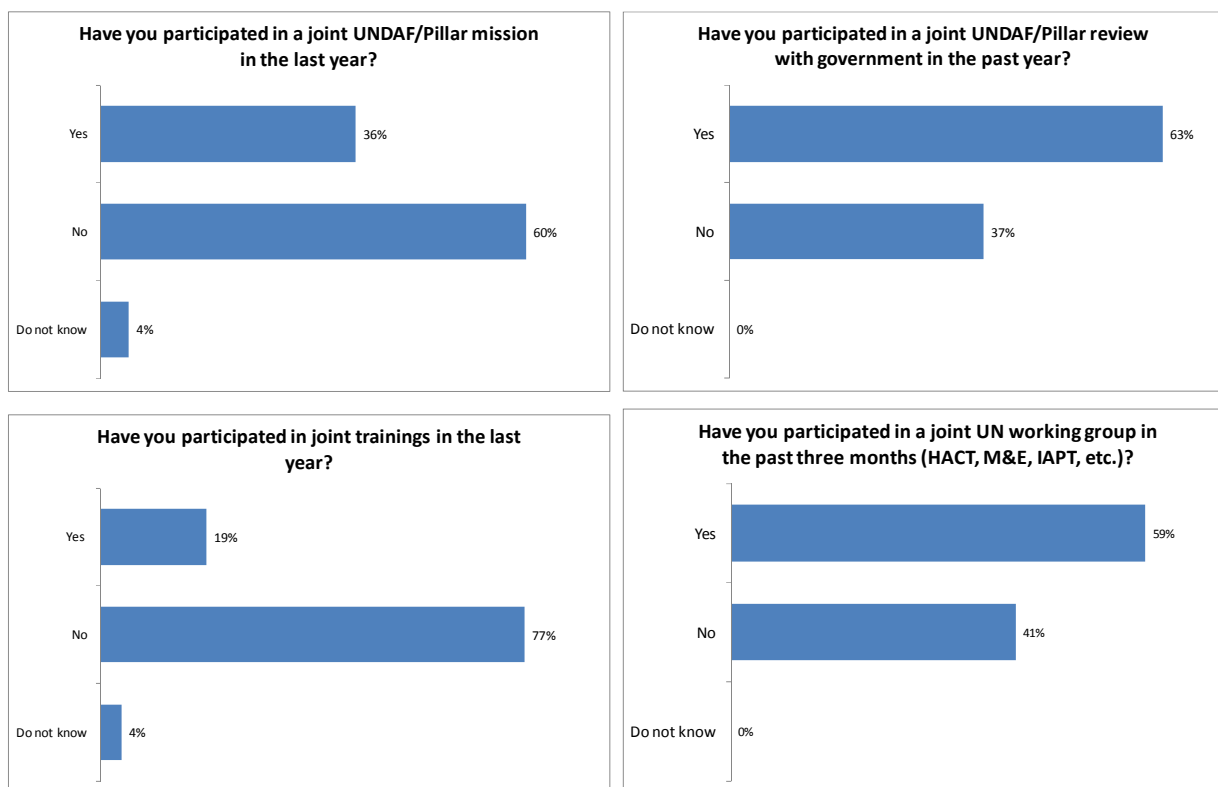
Positives:

- UN OMT and HACT working groups collaborated effectively across agencies with HACT assessments, spot checks and capacity development efforts. Further integrating M&E through monitoring results alongside expenditures was presented as an upcoming effort;

- UN OMT demonstrated efficiency gains through procurement services and joint long-term agreements;

- UN Joint Policy Advisory Team (JPAT) began to meet within the UN to discuss policy topics of common interest;

- UN M&E working group collaborated on review of indicators and supported each other on M&E activities of interest to the entire group.

Challenges:

- Pillar working groups had little interactions during project implementation and monitoring

- JP working groups and the Flagship JP Steering Committee were not sufficiently valued by members, thus leading to cancelled meetings and poor attendance.

- IAPT meetings were viewed by some as somewhat brief and superficial for such a vital inter-agency forum.

- M&E working group could not fully undertake all M&E tasks associated with the UNDAF. Specifically, resource transparency and indicator reviews/simplification efforts are needed.

Exhibit 3.10 Evidence of Internal Coherence in the current UNDAF in Ethiopia

Have you participated in a joint UNDAF/Pillar mission in the last year?

Yes	36%
No	60%
Do not know	4%

Have you participated in a joint UNDAF/Pillar review with government in the past year?

Yes	63%
No	37%
Do not know	0%

Have you participated in joint trainings in the last year?

Yes	19%
No	77%
Do not know	4%

Have you participated in a joint UN working group in the past three months (HACT, M&E, IAPT, etc.)?

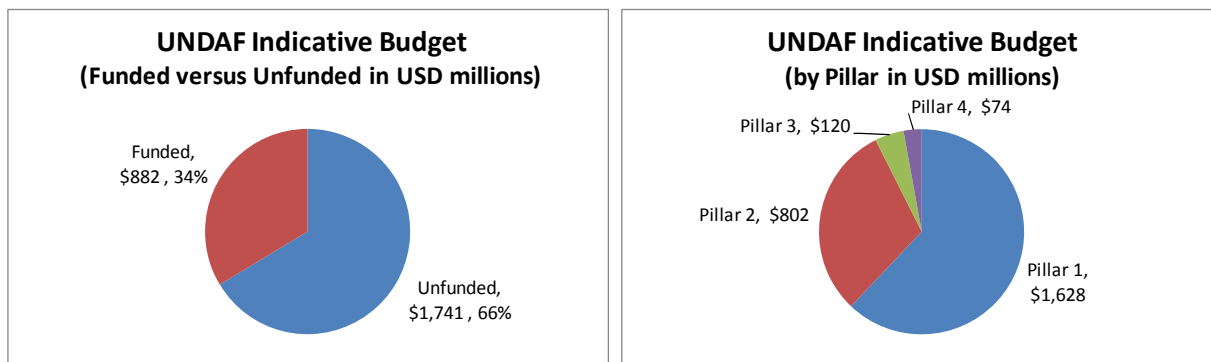|	
Yes	59%
No	41%
Do not know	0%

Finding 14: The UNDAF and DaO brought the UN closer together in innumerable ways. More can be done to maximize the potential comparative advantages of joint programming.

163. UN programming under DaO has benefitted through harmonization and greater transparency and information sharing in many area. For example, a Joint Policy Advisory Team (JPAT) has begun to meet within the UN to discuss policy topics of common interest. Examples include DRS programming, decentralization, and post-2015 prioirites, such as DRM and resilience.

164. HACT and a Procurement working group exist under the OMT who collaborated with programme staff through interface with the M&E technical working group and the IAPT. In the past, programme staff tended to perceive HACT and Procurement as the business of operations staff. Operations staff have operated under the conviction that operations staff should be involved in planning stages of programme to better foster programme inter-linkage and more effective programme delivery. This should begin with engaging operations staff in the formulation of the next UNDAF and appending the BOS or a similar strategy.

165. UN agencies have benefitted from joint programming through Flagship JPs and JPs from the MDG-F. These JPs have expanded staff perspectives and encouraged greater collaboration across agencies.

Finding 15: Joint resource transparency and mobilisation, including the use of a One-fund has had limited buy-in or uptake .

166. In order to raise funds to meet the $2.6 billion obligations of the UNDAF budget, including an estimated $1.7 billion budget shortfall at the start of the UNDAF, the UN and the government of Ethiopia responded by developing a Joint Resource Mobilization Strategy (JRMS) in 2012. This was designed as an operational tool to respond to the unfunded portion of the UNDAF Action Plan 2012-2015, as well as to possible emerging priorities for joint UN support following the post-2015 national consultations. The JRMS focused attention on joint programming or joint actions, including existing and potential Joint programmes, and UN system-wide change management activities that improve and simplify business practices.

167. The United Nations agencies, however, continued to function in the past two years within a largely decentralized system, where the responsibility for resources mobilization resides with individual UN entities. An important consequence of this policy change has been a major growth in non-core contributions, which has accelerated the fragmentation of UN operational activities for development, while the beneficial impact has been overall continued resource flows.

168. Beyond a limited contribution to joint resources through the MDG fund, there was a dearth of new funding available for the One Fund, managed through the RCO. Reasons suggested a desire of donors to maintain greater control over results through greater use of earmarked funds. As a result, the RCO has few joint resources at its disposal for innovations and emerging needs, or to support JP members who are underfunded. This leaves little flexibility available to the RCO for such measures.

Exhibit 3.11 UNDAF 4-year Budget Details

UNDAF Indicative Budget
(Funded versus Unfunded in USD millions)

Funded, $882 , 34%

Unfunded, $1,741 , 66%

UNDAF Indicative Budget
(by Pillar in USD millions)

Pillar 3, $120

Pillar 4, $74

Pillar 2, $802

Pillar 1, $1,628

Finding 16: Communication on results remains limited, greatly limiting the scope of partnerships and funding

169. Since the Ethiopia UNCT's decision to be a Delivering As One, a UN Communication Group (UNCG) was established to foster communication messages on the UN's joint and harmonized work. For instance, the thrust of the UNCG's work in the current year was to make the UN more "visible" and "humanize the face of the UN" i.e. make it easy to understand what the UN is doing in a simple and approachable manner. In addition to implementing join communication events e.g. the Great Run, international events, the UNCG initiated a quarterly media event hosted by heads of agencies to reach out to the public.

170. There was nevertheless a need to improve on reporting of established results secured

> There were strong communications (with the UN) while drafting the UN…and then it has been quite", donor's view on dialogue and communication with the UN.

through framework of the UNDAF and communication. This is critical not only to gauge established results progress, but also to strengthen partnerships and allow donors more information on progress of programmes.

171. Resources are limited and more efforts are warranted to appreciate the contributions of communication focal points by the respective agencies. More broadly, implementing partners and UN agencies also recognized that more needs to be done to disseminate and publicize the UN's work particularly in its efforts to deliver effectively and efficiently.

4. Conclusions and Future Directions

172. This chapter provides a summary of the main conclusions of the evaluation, the recommendations, and lessons learned that emerged from the evaluation.

4.1 Conclusions

173. The UNDAF is recognized as a key instrument to harmonize the UN's support and to formalize joint collaboration with government and civil society partners. The current UNDAF is recognized as progressive, inclusive and as an improved version to those preceding it. However, both government partners and donors note that there is insufficient communication and dialogue beyond the planning phase of the UNDAF. This view is also shared by UN agencies who strongly feel that more efforts are required for the UN to deliver in a coordinated and coherent manner.

174. The UNDAF espoused an integrated multi-sectoral approach and made valued and recognizable contributions, most notably in strengthening the institutional capacities of federal and regional government stakeholders in key focus areas and in national policy development. The UN also carried out a limited scope of direct interventions, particularly in procurement and in humanitarian and refugee situations.

175. **Relevance:** UNDAF objectives as defined in the UNDAF and UNDAF Action Plan were relevant to the needs and priorities of Ethiopia's Growth and Transformation Plan over the past two years and were found to be well aligned with the MDGs. The UN was seen as a relevant and trusted partner by the government, and was well appreciated for its focus on technical assistance, policy development support, and support with service delivery. The latter of these reflects a continued role for the UN in areas where government capacities remain inadequate. The UNDAF's programming in regard to the UNDAF cross-cutting priorities is also relevant to the existing and emerging needs of Ethiopia.

176. **Effectiveness**: UNDAF comprised of four pillar areas, each of which has made notable contributions to enhance local and national government capabilities with explicit attention to technical assistance and policy development and delivered in an integrated, multi-sectoral approach. Achievement as noted by the four UNDAF reflects consistently good progress according to the M&E framework set out by the UNDAF Action Plan. Most objectives which could be measured at the mid-term stage as defined in the UNDAF Action Plan are either fully on-target (51%) or close to target (44%).

177. However, the UN Pillar Groups missed opportunities to set out a more complete M&E matrix after two years of programming, and some progress is difficult to measure due to a lack of data or poorly defined targets. These have impeded UN's ability to measure progress towards outcomes in Ethiopia. Out of 250 indicators in the UNDAF Action plan, roughly 38% could not be measured.

178. **Efficiency**: The MTR highlighted some important value-for-money and efficiency gains through the harmonization efforts of DaO, most notably in regard to operations and procurement. There remains a scope for additional efficiency gains in these areas. While the UN and its key stakeholders invest considerable time and resources in planning and reporting, they typically under-invest in analyzing the results of UN investments and managing for results. The absence of systematic approaches to pilot interventions reduces the potential cost-effectiveness of its investments. In spite of some efforts for the development of valuable joint programmes, these were often not accompanied by corresponding efficiency improvements, but rather led to additional efforts in planning and coordination, with few gains noticed by government partners.

179. **Sustainability:** While there are some strong examples of sustainable programmes in place at the mid-term stage, there was insufficient explicit attention to sustainability of results in the UNDAF. While capacity building was central to most programs, the absence of a common understanding, clear strategy, and systematic approach to capacity building contributed to its mixed performance in supporting sustainable capacity building results.

180. **Coherence**: The UNCT through DaO has developed a strong team atmosphere with good communication and coordination with most UN partners and development partners. The UN has played multi-faceted role in Ethiopia, with the RCO taking on some broader coordination efforts which have been applauded by government actors. Its niche – i.e., the role(s) in which it has greatest comparative advantage will continue to be driven by its balance of service delivery, policy support and technical assistance to government. Clear and appropriate frameworks across pillars to assess pilots and the strength of capacity building across each of these areas will be critical to meaningful assessment and UN's ability to claim success. This includes the need for systems to track the transformation away from service delivery to demonstrate how the next UNDAF hands these elements over to government.

181. UN has made some modest progress in harmonizing its work through Joint programmes in Ethiopia, and efforts continue in this regard. UN has developed some internal coordination structures, although some of these are not quite seen as mature, and require additional tweaking to ensure relevance and coherence.

182. The UNDAF has seen mixed results in terms of generating increased financial support for its programs over the two years: the joint programming and One-fund modalities have not captured the imagination of donors, partially due to poor communication on joint results and limited use of social media. It is noted that government partners need to be equal participants in resource mobilisation in order to see any real improvements in this regard.

183. Looking forward to the next country programme, an assessment of the strengths of the current UNDAF in relation to the new SOPs is presented below:

Exhibit 4.1   Assessment of Ethiopia DaO progress at MTR according to the new DaO SOP

Delivering as One Advantages[22]	Status at MTR (Excellent, Good, Weak)	Strengths	Areas for Improvement
Improving the UN system's focus on working together towards achieving national development results.	Good	Pillar Planning and Reporting jointly	Pillar implementing jointly
Aligning UN activities with national priorities and avoiding duplication.	Excellent	Linkages with GTP and emerging issues	Post 2015 Sustainable MDGs
Making best use of the mandates and expertise of the entire UN system to deliver results.	Excellent	Pillar working group planning	Making better learning use of pilots
Creating integrated policy solutions and responses needed to address multi-dimensional challenges.	Good	Cross-cutting interventions and JPAT	

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[22] These are the suggested advantages of DaO according to UNDG post-QCPR and are listed in the Standard Operating Procedures.

Promoting the values, norms and standards of the UN in a coherent and consistent manner.	Strong	Implementing Programming principles	Monitoring programming principles
Increasing the transparency, predictability and accountability of the UN system.	Weak	Joint reviews with government	Weak M&E and poor transparency on fund mobilisation and disbursement
Using the convening role of the UN to facilitate the inclusion of all relevant stakeholders, including global and regional practitioners and non-state actors.	Excellent	Convening on UPR	
Reducing transaction costs for governments, development partners and, based on the new Standard Operating Procedures, also for UN Country Teams.	Good	Operations Management Team	Communicating messages on efficiency
Establishing a clear division of labour based on the comparative advantages and capacities of each UN agency.	Good	Strong dialogue within Pillar partners during planning phase	Interventions between different pillars
Achieving efficiency gains and cost savings through harmonized business practices and integrated operational support services.	Excellent	BOS in place and cost savings planned	
Improving the UN system's focus on working together towards achieving national development results.	Good	Innovations through Flagship JPs and MDG-F	Joint monitoring

4.2 Recommendations

Recommendation 1: **It is suggested that the UN Communications Group take a more active role alongside the RCO to share important programmatic and operational results with partners**

It was noted by donors that communication on the UNDAF tended to be during planning phases as well as during reviews, thus limited potential for sharing and gaining additional resources. Therefore, an opportunity to communicate more broadly with stakeholders on the UN's achievements during implementation would be welcome. A range of methods of communicating results should be explored, including social media. Communicating interventions which cut across sectoral boundaries in addition to pilots, innovations and other results determined by Pillar working groups may also encourage greater communications by Pillar working groups. Considerable efficiency gains through DaO were also gained through joint procurement efforts taken up by the Operations Management Team. These efforts should be more widely shared and communicated with development partners as evidence that the UN is doing business differently.

Recommendation 2: **Government partners are encouraged to be more active in Joint Resource mobilisation for the One Fund**

Joint resource mobilisation for the One Fund appears to be limited in scope, due in part to changing donor practices on unearmarked funding. However, the One Fund has proven relevant for Flagship JPs (current and potential) as well as funding for emerging needs of the Government of Ethiopia. The UN's ability to respond to such emerging needs depends on the support it receives in fundraising. Government partners should become more actively involved in communicating on shared UNDAF results, particularly where innovative practices are being employed.

Recommendation 3: **The UN should lead training on UNDAF programming principles, particularly on complementarily between gender, human right and the environment.**

The MTR suggested strong adherence to programming principles with several examples of how the UN has supported the government of Ethiopia on environmental programming. However, interviews suggested that integrating the environment in programming principles has not been fully captured by UN staff or government counterparts. Yet, the development community is on the cusp of the Sustainable MDGs, with environment playing a more central role in programmes and interventions. As such, the UNCT should be encouraged to use existing and external human resources to train a cadre of UN and government staff on this important nexus, so that programme design and planning in 2015 can properly integrate the environment in the UNDAF.

Recommendation 4: **The UNCT through the IAPT should define guidelines for pilot programmes, and develop clear guidance on measuring capacity development and quality so that a common understanding can emerge across Pillars**

Pilot programmes were frequently cited during Pillar reviews. The mid-term review did not assess the cost-effectiveness of such pilot programmes in detail. However, any scale-up efforts of pilots should rigorously measure and compare interventions prior to recommending scale-up. By the same token, capacity building support through training and skills-transfer should be evaluated prior to scale-up efforts. More can be done to present in a clear and coherent manner ways in which capacities and quality of different interventions can be measured.

Recommendation 5: **The UNDAF M&E plan should simplify its use of indicators and do more to track resources across agencies.**

The problems identified in this evaluation regarding both monitoring and evaluation of results cannot be overstated. After two years of programming, the lack of attention to results measurement is extremely problematic. The Review Team would have liked to analyze causality and determine whether the UNDAF is a credible strategy for improving the well being of Ethiopians. Regrettably, there was insufficient data to do so in many cases. The M&E task force, alongside the M&E officer in the RCO should work to simplify and complete indicators, baselines and targets (with no change to results) and formalize these with government partners.

Like other UNDAF experiences, tracking resources was also deemed challenging in the MTR. It is suggested that the RCO seek innovative ways of electronic tracking of UNDAF disbursements alongside results. For example, the current spreadsheets developed to track and measure common UNDAF results provide both cost and results details. If properly completed, a better analysis could be done to track the cost of trainings carried out (costs per person trained) across different programme areas. This information would prove invaluable for future programme planning

Recommendation 6: **The UN in Ethiopia should work to better define sustainability strategies as well as transferring service delivery to government partners**

In its upcoming programming in Ethiopia, the UNDAF development team under the RCO should define sustainability strategies. These should include exit strategies, identification of risks and mitigation strategies to achieve sustainable results, and more sustainable approaches to capacity development which can demonstrate reduced reliance on service delivery of UN agencies. Importantly, those working in procurement and operations should be more directly integrated into programme planning and design so that national procurement capacity development can be encouraged.

Recommendation 7:   The UNCT and IAPT should seek innovative ways of carrying out joint tasks

While DaO is still in its infancy in Ethiopia, some of the internal coordinating structures within the UN require minor adjustments. The RCO should be encouraged to review best practices from other UN Country Teams on incentivizing efficient and effective coordination meetings and working groups as well as joint field monitoring. All meeting minutes and communications from working groups should be transparent and freely available from the website, thus creating an internal peer-pressure to post. Performance reviews of each agency should adequately reflect efforts undertaken on behalf of the UNCT.

4.3 Lessons Learned

This section identifies lessons from this MTR in Ethiopia that may be of benefit to UNDAF programming the coming two years and for the next programming cycle:

An organization that operates in a complex, multi-stakeholder context needs a simple, clear results framework that speaks to all stakeholders.

While the Ethiopia UNDAF has a single results frameworks in place during the 2012-2015 period, it suffered from an inordinate number of data points (baselines and targets) and sources which were not yet determined at the time of finalization, and were not updated during the Annual Review. Thus, while it respected UNDG and donor reporting requirements, it missed the opportunity to learn from and make necessary adjustments to its programming approach so as to increase its effectiveness.

Organizational efficiency can come from a range of sources, including programmes and operations. Promoting efficiency requires commitment as well as the necessary incentives and support mechanisms to share and communicate internally and externally.

While the UNDAF MTR elucidated a number of areas in which clear efficiency gains have been realized in recent years, including efficiencies in joint procurement and operations as well as joint HACT assessments and trainings, these were not fully appreciated by staff internally or communicated more broadly externally so that both government and donors could be made aware of them.