

A Review of Dutch Humanitarian Assistance Policy & Programme Support

The 2009-2012 Drought & Food Crisis in Ethiopia IOB Country Case Study

Annexes

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Responsibility for the contents of this report rests with the author.

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Annex 1. Terms of Reference.

TERMS OF REFERENCE FOR THE CONSULTANCY FOR THE CASE STUDY ON THE DROUGHT/FOOD CRISIS IN ETHIOPIA WITHIN THE FRAMEWORK OF THE EVALUATION OF DUTCH NETHERLANDS HUMANITARIAN ASSISTANCE 2009-2013

Introduction

The 2014 evaluation programming of the Netherlands' Ministry of Foreign Affairs includes the policy review of the Netherlands' Humanitarian Assistance. The evaluation department of the ministry, IOB, is responsible for the implementation of the review. The set-up of the evaluation envisages the assignment of the following research activities to external consultants.

- a) Consultancy for the review of the UN reform and the overview report
- b) Three country-case studies.

This Terms of Reference concerns the assignment for the case study on the drought and food crisis in Ethiopia.

1. Background information on the Netherlands HA policy and the evaluation

1.1 Background information on the Netherlands HA policy

The overall objective of Dutch humanitarian assistance is to contribute to the relief of life-threatening human needs amongst the most vulnerable people, mostly women and children, caused by (chronic) crisis situations and/or natural disasters. In principle, the Netherlands provides humanitarian assistance throughout the world with a focus on chronic crisis areas in the developing world. The basic principles underlying Dutch humanitarian assistance are the humanitarian imperative (assistance is provided wherever the needs are most urgent), neutrality, impartiality and independence.

In 2011 a policy document was drawn up to outline how the Netherlands acts upon lessons learned in recent years in order to respond to new developments and challenges.¹ In this policy document the following goals were prioritised:

1. *More self-reliance and resilience*

In the case of humanitarian aid, prioritising and strengthening the use of local capacity and structures. More attention will be devoted to disaster risk reduction (DRR): preventing disasters, mitigating the impact of disasters, and disaster preparedness.

2. *More effectiveness through less duplication and more coordination*

Emergency appeals need to become more uniform, so that they are mutually comparable and better coordinated. At present, each aid organisation operates its own system, which is inefficient. More cooperation in needs assessments will ensure more cohesion, less duplication, and fewer gaps in aid provision.

3. *Humanitarian access and neutrality*

Aid organisations must have free access to the people affected. The humanitarian principles of neutrality, impartiality and independence must be upheld. This protects humanitarian aid from being equated with politics and from the potential risks this brings for both victims and aid workers. The Netherlands wants to be an active advocate in this area.

4. *Greater accountability*

The Netherlands will continue to focus on accountability for results in humanitarian aid. Furthermore, the government has a role in ensuring adequate communication towards the Dutch public on the results of the humanitarian assistance provided.

¹ Staatssecretaris van Buitenlandse Zaken, Hulp aan Mensen in Nood, 23 december 2011, Kamerstuk 32605 nr. 64.

The policy document includes four to six commitments for the realisation of each of the four goals.

The Netherlands does not implement humanitarian aid directly but, as a donor, enables humanitarian organisations to do so. Dutch policy emphasises the importance of a strong central coordinating role of the UN in humanitarian crisis situations. For reasons of assumed efficiency, the Netherlands in principle prefers the UN channel for humanitarian assistance and only in cases where this is not suitable, channels funding through NGOs.

The Consolidated Appeal Process (CAP), led by the UN Office for Coordination of Humanitarian Assistance (OCHA), guides Dutch humanitarian action in countries and regions characterised by chronic crises. In case of an acute crisis situation, this applies to the Emergency Appeals of the UN, the International Committee of the Red Cross (ICRC), and the International Federation of Red Cross and Red Crescent Societies (IFRC). The Netherlands sees itself as a partner in the global humanitarian system, with a global portfolio – and thus it focuses its attention on improving that global system. The Netherlands provides flexible funding, with the vast majority of its contributions to UN agencies and the ICRC being either wholly, or partially, un-earmarked and it is a timely donor, aiming to commit 75% of the annual humanitarian budget before the end of April each year. In return for these good humanitarian donorship practices, the Netherlands asks the humanitarian system to implement the full range of its planned reforms, to further strengthen the capacity of UN leadership, and for all involved agencies to coordinate under the cluster system. All these forms of aid are subject to international agreements and principles, especially the European Consensus on Humanitarian Aid and the Good Humanitarian Donorship Principles, which largely determine Dutch policy choices.

In the period 2009-2012 the Ministry of Foreign Affairs spent a total of EUR 1.1 billion on humanitarian assistance². Since 2009 the annual expenditure has slowly decreased from EUR 293 million to EUR 258 million in 2012.³ Furthermore, the Netherlands funded EU humanitarian assistance through its ODA contribution to the EU institutions. The *Global Humanitarian Assistance* report estimates the contribution to have been EUR 71 million in 2012, thus adding a substantial amount to the humanitarian assistance funded through the Ministry of Foreign Affairs.⁴

1.2 Background information on the evaluation

The objective of the evaluation is to render account for the policy by providing insight into the Netherlands' HA policy development, its implementation and whether the envisaged results were achieved. It also aims to provide lessons learned from experiences of the implementation of HA, particularly with regard to adaption of the Netherlands' policy to the rapidly changing contexts in which HA is provided.

The central evaluation question is: to what extent has the central objective of the Netherlands' humanitarian assistance policy, i.e. to provide humanitarian assistance in an effective way, been realised?

² This is spending allocated through the six budget articles for humanitarian aid, namely: UNHCR, UNRWA, WFP, emergency aid to developing countries, emergency aid to non-OECD/DAC countries, disaster risk reduction.

³ For 2013 the total indicative budget was set at 215 million.

⁴ Global Humanitarian Assistance Report 2013; correspondence with authors.

The approach envisages three main activities:

- a) Assessment of the policy relevance
- b) A systematic review of available literature and evaluation reports to gain more insight into the extent to which the expected improvements in HA delivery have been realised and in particular what progress has been made on the implementation of the HA reform agenda.
- c) Three country studies (on the Common Humanitarian Fund in Sudan, the Syria Regional Response and the Human Response Fund Drought Crisis in Ethiopia) for a more in-depth study about the expected improvements in HA delivery at country-level and its effectiveness.

The evaluation research will focus on the last five years (2009-2013) and will be updated for the first half of 2014 when relevant.

The planning envisages the implementation of the desk studies and country studies: between July- and December 2014.

2. Background information on the Drought and Food crisis in Ethiopia and the Netherlands support to the WFP humanitarian response.

Context

The economy of Ethiopia is based on mainly rain fed *agriculture*, which accounts for approximately 40% of GDP and the lion's share of exports, and employment. Agriculture is overwhelmingly of a subsistence nature. More than 80 per cent of the population in Ethiopia live in rural areas and rely on rain-fed agriculture for their livelihood. The sector is not only regularly plagued by drought aggravated by the effects of climate change, but also by severe soil degradation caused by over-exploitation, overgrazing and deforestation. The vulnerability of the rural poor is frequently exacerbated by natural and man-made hazards, including drought, flooding, disease outbreaks, inter-communal conflict and refugee influxes from neighbouring states. The Horn of Africa drought crisis in 2011-2012 had a big impact on the food security situation in Ethiopia, particularly in southern and south-eastern parts. According to a multi-agency assessment, 3.2 million people required relief food assistance from January to June 2012. Pastoralist areas in southern-eastern Ethiopia were most severely affected by the drought. Already existing chronic livelihoods were even more affected by the crisis which was putting extreme pressure on food prices, livestock survival, and water and food availability.

Though serious challenges remain, the overall food security situation has reasonably improved over the past two decades. The main reason for this is an agricultural production growth of 6% in the past decade. To a large extent this was boosted by land expansion and a modest productivity increase. The productivity growth can partly be attributed to favourable rains (during the 2002-2007 and 2009-2010 growing seasons) and conducive Government policies.⁵

WFP Assistance

WFP's guiding principle in Ethiopia is to support government programmes addressing hunger by using food assistance where it adds values, and by enhancing the capacity to implement hunger solutions. In order to address chronic food insecurity, WFP is a major partner in Ethiopia's Productive Safety Net Programme (PSNP) and assists 1.3 million rural dwellers in generating community assets. Launched in 2005, PSNP provides transfers of food or cash, or a combination of both, to help bridge food deficit periods and to ensure people do not sell off their assets in order to meet basic food needs. In exchange, they participate in public works such as natural resource management and development of basic social infrastructures (e.g. rural feeder roads, schools, clinics, etc.). WFP covers

⁵ To a large extent quote from the MASP 2012-2015 Netherlands Embassy Addis Abeba

the needs of 2.6 million through its Relief programme while the other 800,000 people in need receive food assistance from the NGO consortium, the Joint Emergency Operation Programme (JEOP).

The UN and HA coordination in Ethiopia

The Resident and Humanitarian Coordinator (RC/HC) for Ethiopia leads humanitarian coordination and liaison with the Government of Ethiopia and is charged with the responsibility of ensuring that an appropriate level of preparedness exists within the humanitarian response system. The head of the OCHA office acts as the principal advisor of the RC/HC on humanitarian issues. There are 24 resident UN funds, programmes and agencies in Ethiopia. More than 100 UN agencies and NGOs, as well as the Red Cross Movement, participate in the coordinated humanitarian response in Ethiopia.

After many efforts it was only in mid-2011, that the Food and Agriculture Organization (FAO) and the WFP formally launched the global Food Security Cluster (FSC) as the UN's global mechanism for coordinating food security responses in emergencies worldwide. This new mechanism will have to provide leadership and better coordination for complex, multidimensional responses needed to protect food security in disasters. It aims to "support country-level clusters and strengthen their capacity to plan and implement proportionate, appropriate and timely food security responses in humanitarian crisis situations".⁶

The Netherlands' contributions to humanitarian assistance

Between 2006 and 2012 the Netherlands provided up to EUR 26 million in direct assistance to humanitarian funds in Ethiopia. The largest part of it was allocated to the Humanitarian Response Fund (HRF). The HRF is a large Emergency Response Fund managed by OCHA-in country, which disburses primarily to NGOs and is managed by the same team as CERF. In 2011 the HRF disbursed a similar amount as CERF – over US\$ 52m, through 75 grants to UN and NGO's. In 2009 the Netherlands was the largest donor (USD 15,4 million representing 48% of total budget) and in 2011 the Netherlands was after the UK the largest donor to the HRF (totally US\$ 10.8 million representing 16% of total funding).⁷

Other contributions were made to WFP for food aid and projects from the PSNP (2009 and 2011: each EUR 1,5 million totaling EUR 3 million)

The Netherlands is the second largest donor of the CERF. Ethiopia has received US\$ 144,5 million between 2006 and 2012. Furthermore, the Netherlands contributed through its non-earmarked contributions to WFP and other humanitarian UN organizations as well as to ECHO. Some minor contributions were made to the IFRC and NGO's.

The Netherlands development programme support to food security

Besides humanitarian assistance for the food crisis, the Netherlands development programme to Ethiopia includes a component for food security. In the central objective of the Multi Annual Strategic Plan of the Netherlands development policy in Ethiopia is a direct link between both is established as follows: '*In 2015 Ethiopia will be more food secure, experience more equitable and sustainable economic and social development and will be less vulnerable to disasters and conflict.*' The overall objective of the Dutch 2012-2015 food security country programme in Ethiopia is the following: "In 2015 Ethiopia will have achieved increased food security and agricultural growth within an improved business climate; Ethiopians will have better access to more and more nutritious food"⁸. One of the country programmes' sub-objectives, is to reduce household vulnerability, improve resilience to shocks and promote community-based nutrition in food insecure areas of rural Ethiopia. This approach includes supporting joint donor-government programmes such as the Productive

⁶ IASC 2010, p.2)

⁷ Willits-King, B (2012) Independent Review of the Value Added of CERF in Ethiopia 2011

⁸ Multi-annual Strategic Plan 2012-2015. Embassy of the Kingdom of the Netherlands in Addis Ababa and Permanent Representation to the African Union.

Safety Net programme (PSNP) and the Agricultural Growth Programme (AGP). In the support to both programmes the Embassy seeks to actively Disaster Risk Management forms an important component. World Bank/IEG evaluations of the PSNP programme are very positive on its effectiveness especially as regards to reduce the dependency of food-aid. The embassy is actively promoting to strengthen the focus on Disaster Risk Management in both programmes (HOAREC; BERSMP)

3. Evaluation questions and research approach

This case study will focus on the Humanitarian response to the food and drought crisis between 2009-2012. As stated above the Netherlands' policy document gives high priority to self-reliance and resilience and announces that more attention will be devoted to disaster risk reduction. Therefore, this case study will focus more specifically on the question to what extent it was possible to contribute to reforming the existing system of repeating appeals for food aid in Ethiopia into a more structural approach of food insecurity.

For the country study on Ethiopia the specific research issues under each question are set out below:

1) What assessment can be made of Dutch support to the humanitarian response to the drought/food crisis in Ethiopia?

- a) What considerations determined the distribution of funds and the choice of channels and how well was assistance monitored?
- b) How well were the priorities for disaster risk reduction and the objective to move from relief to a more development oriented strategy incorporated in the Netherlands' support to the HR in Ethiopia?
- c) To what extent are the Netherlands Humanitarian Assistance and the structural development assistance for food security linked to each other and integrated?

2) To what extent the supported UN HA strategy responded to the main characteristics and challenges of the context?

- a) What are the main causes of Ethiopian food crises and how can the underlying analysis of the HA strategy be assessed against the knowledge of current research on food-security in Ethiopia?
- b) To what extent the HR took into account the specific characteristics and conditions of the target population? What was the efficiency of the need assessment system: quality and timeliness?
- c) To what extent the strategy was based on a adequately analysis/assessment of the possibilities to reduce dependency of food aid and to foster longer term/structural solutions to food insecurity?

3) Have the expected improvements of HA delivery been achieved?

- a) What assessment can be made of the coordination arrangements: are concerns about coordination, overlap / duplication problems in aid delivery as well as access addressed by relying on multilateral aid via UN organizations?
- b) How has the agenda on HA UN reform been put into practice and how did this influence the capacity to deliver HA?
- c) Which was the added value of CERF in the drought response: were the expected results in aid delivery achieved? (timeliness, gap-filling etc.)
- d) To what extent programmes achieved their goals to support the timely allocation and disbursement of donor resources to the most critical humanitarian needs of the affected population?
- e) What assessment can be made of the alignment of the HR to government policy and other local actors?

4) What assessment can be made of the effectiveness of supported HA interventions and to what extent did the improvements in aid delivery contributed to (better conditions for) effective HA?

- a) To what extent programmes supported in the past have reduced vulnerability and enhanced capacities for disaster and conflict management in Ethiopia. (FAO Drought emergency, emergency ministerial level meeting Rome 25 July 2011)
- b) To what extent the supported programmes (CRF, CERF, WFP Food assistance) achieved their goals?
- c) To what extent the longer term objectives relating to sustainability and resilience have been achieved? To what extent was the supported PSNNP a more sustainable response to chronic food insecurity?
- d) What assessment can be made of the supported efforts to strengthen response to early warning systems?

Research activities

In order to answer the above mentioned evaluation questions the following research activities will be undertaken:

a) Assessment of Dutch funding policy

IOB will provide basic information on the background of HA and development programmes in the field of food security in Ethiopia as well as the information on the funding of programmes. On the basis of this information and complementary interviews with relevant staff members of the ministry and Embassy an assessment will be made of the extent to which HA policy intentions in the case of Ethiopia have been realized.

b) Context analysis

In order to answer the question on the relevance of the UN HA strategy in the Syrian crisis a desk study will be conducted on the context of the crisis. The desk study will consist of a systematic review of current documentation and literature on the causes of the crisis. The HA response strategy of the main actors will be assessed against the findings of the literature review.

c) Desk study of HA delivery and results of projects and programmes funded by the Netherlands.

In order to answer questions 3 and 4 a framework will be developed for a systematic review of current literature, progress reports and evaluation reports on the issues concerned.

d) Field study

Only after completing the desk review an additional field visit will be made to collect complementary information and to interview key informants from WFP, OCHA and other organizations involved.

Summary Evaluation criteria and sources

Evaluation question		criteria	Sources
1	Netherlands support	a) Good Humanitarian Donorship b) Objectives and efforts as specified in the Policy Note	a) Information system ministry Piramide b) Internal documentation ministry and Embassy (MJSP/reports etc.) c) Interviews relevant staff members
2	Context	Main findings academic literature on food security and food aid	Academic literature and other sources with the emphasis on livelihood studies; especially recent research from Feinstein/Tufts University
3	Delivery of HA/Coordination and leadership	a) Criteria ISAC Cluster approach b) CERF Performance Assessment framework c) See also general TOR	a) Current evaluations on application of UN HA reforms in Ethiopia b) Reports c) Interviews

4	Effectiveness	a) Programme objectives and indicators (CERRF, CRF, PSNP and others) b) WFP indicators for food-aid and food security	a) Available evaluations from WFP, CERF, DFID, WB and other donors b) Project and annual reports c) Interviews with key informants
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Scope

Primary scope is on the 2011-2012 crisis but also prior years will be discussed where relevant.

The case study will focus on food security and food aid components of the HA response. However to answer the questions on aid delivery and coordination also the broader HA perspective will be taken into account.

Though some general literature on the drought/crisis in the Horn of Africa might be relevant to be taken into account, the case study will exclusively focus on Ethiopia.

Planning:

This sub study will start with an inception phase (3-4 days) in which a working plan will be elaborated. The working plan will consist of a more detailed overview of the approach to be followed, activities to be undertaken and the planning.

After approval of the working plan by IOB the literature review will be implemented.

On the basis of the main findings of the literature review a working plan for the field visit will be elaborated.

Organisation

IOB is responsible for the management and organization of the evaluation activities, which do not form part of the responsibilities of the consultant. This holds especially true for the timely availability of the relevant information on Dutch policy and activities in Ethiopia as well as the introduction to relevant organizations and key informants.

The consultant will coordinate his/her activities closely with IOB and possible changes in the planning and activities will be presented to IOB for approval.

The set up of the case study and the reporting will be established in close coordination with the external consultant responsible for the research coordination of the evaluation and the final report.

Product

As described above, the final products to be delivered by the consultant are:

- a) an country report of maximum 50 pages
- b) A draft chapter for the final report according to the report framework: around 15 pages.

In the planning time will have to be included for the consultations on the draft reporting and the processing of the comments received from IOB and the research coordinator.

Annex 2. Itinerary.

Date	Visit	Meeting
Sunday 18	UNOCHA WFP	Tim Mander - HRF Manager Dr. Purnima Kashyap - Senior Deputy Country Director. Askale Tekiu - Food and Education Team Leader; Elizabeth Mekonnen - P4P & Gender Programme Assistant Hakan Tongul - Head of programme and Relief Programme Co-coordinator; Ayferew Berhanu - Refugee Programme Officer; Hadera Haile - Relief Programme Officer and Yaver Sayyed - Head of TSF & PSNP; Tayech Yimer - Programme Officer and Nutrition Team Leader; Halake Bante - Pastoral Programme PSNP Coordinator; Mulugata - PSNP Programme Assistant. Teweldebirhan Girma - M&E Team Leader.
Tuesday 19	Flight to Jijiga, Somali Region Garbi / Maragajo, Kabriayah Woreda - PSNP site Gababley, Awbare Woreda - relief food distributions	WFP, Woreda & Kebele officials, beneficiaries WFP, Woreda & Kebele officials, beneficiaries
Wednesday 20	Gababley, Awbare woreda - Food Distribution Point Awbare refugee camp WFP, UNHCR, ARRA Save the Children, Mercy Corps, Islamic Relief, VSF-Swiss,	WFP, Kebele officials (Ahmed Abder Dand) , beneficiaries WFP, ARRA, UNHCR, Refugee Committee, beneficiaries Awbare refugee camp SCF, Shafi Dahir - Health Programme Manager; Solomon Tsegaye - Learning and Knowledge Management; Islamic Relief, AbdulKadir - Regional Coordinator; VSF-S Hassen Mohammed - Project Officer; VSF-S, Abdipur Ali - Livestock Coordinator; Mohammed Ahmed - Operation Support Officer.
Thursday 21	DPPB and BOA Debrief WFP Sub office Flight to Addis	Mohamed Fatah Mohamed - Bureau Head Somali Region State Disaster Prevention and Preparedness Bureau; Ahmed Abdil - LCRDB PSNP Coordinator; Ammin - DPPB; Farkan Huri - DPPB PNSP; Sahid Haji - WFP Programme Officer; Frank Haubrich - WFP Logistics; WFP Team
Friday 22	Flight to Mekele Briefing WFP sub-office Arato Targeted Supplementary Feeding, Enderta Woreda Quiha district - Relief Distributions Urban/HIV programme - Voucher Distribution Outlet & Economic Strengthening Activities Mekelle - EGTE-WFP warehouse management and system Debrief	WFP, Kebele officials, health staff, beneficiaries WFP, Kebele officials WFP, Kebele officials, outlet staff, saving and credit group, beneficiaries WFP, EGTE and ware house staff

Saturday 23	Habese TSF Food Distribution Centre	WFP, Woreda and Kebele Officials, Clinic staff, beneficiaries
	Bureau of Agriculture and Rural Development (BoARD)	Kamal Elhagfarah - WFP Mekele; Efre Kidane - TSFP Area Coordinator; Gebre Haifeza - TSF Regional Coordinator; Lijalene Kahsay - EWVS Sub Process Coordinator
	World Vision and Save the Children	Gebregiorgis Haddis - World Vision Program Design, M&E; Haftay Tesfay - Programme Co-ordinator.
Sunday 24	Travel to Addis	
	World Bank	Wout Soer - Head of PSNP
Monday 25	UNOCHA (meetings and desk review)	Tim Mander - HRF Coordinator ; Tersit Belete - Humanitarian Affairs Analyst.
	CRS	Shane Lennon - Chief of Party Joint Emergency Operation (JEOP); Richard Markowski.
Tuesday 26	ZOA	Ingeborg Ponne - Country Director.
	CORDAID	
	World Bank	Wout Soer and Helen Johnson
	UNHCR	Rika Hakozaki and team.
Wednesday 27	DORCAS	Ficru Tarekegn - Country Director.
	Concern	
	Save the Children	Edwin Kuria - Int. Humanitarian Director; senior management team.
	Oxfam	Ayman Omer - Country Director; Oxfam senior management team.
	Debriefing WFP	Abdou Deng - Representative and Country Director; Purnima Kashyap; Hakan Tokul and the senior management team WFP team.
	Netherlands Red Cross	Marijke Twerda
Thursday 28	GoE	Ato Tadesse - Head of Early Warning Department DRM-FSS; Ato Berhane - Head of PSNP DRM-FSS.
	DfID	Juliette Prodhon - Humanitarian Adviser; Emebet Kebede - Humanitarian Adviser.
	Feinsten / TUFTS	Adrian Cullis - Director Agricultural Knowledge, Learning, Documentation Policy Project.
Friday 29	ECHO	Johan Heffinck - Head of Office.
	Feinstein / Tufts	Dr. Amdissa Teshome - Senior Agriculture, FS and Gender Advisor, AKLDP Project.
	International Rescue Committee / HINGO	David Murphy - Country Director.
	ZOA	Solomon Hussein - ZOA Head of Emergency Preparedness and Response.
Saturday	Flight to Netherlands	

Annex 3. BuZa Staff Interviewed on Dutch Humanitarian Assistance Policy & Programmes.

Pauline van der Aa, Senior Policy Officer.
Department of Stabilisation and Humanitarian Aid,
Netherlands Ministry of Foreign Affairs, The Hague.

Ferko Bodnar, Inspector at the Policy & Programme.
Evaluation Department (IOB), Netherlands Ministry
of Foreign Affairs, The Hague.

Geert Geut, Acting Director. Policy & Programme
Operations Evaluation Department, Netherlands
Ministry of Foreign Affairs, The Hague.

Pim de Keizer, former Food Security Officer.
Netherlands Embassy Addis Ababa, Ethiopia.

Nico van Niekerk, Inspector at the Policy &
Operations Evaluation Department, Netherlands
Ministry of Foreign Affairs, The Hague.

Gerrit-Noordam, First Secretary, Food Security and
Sustainable Development. Netherlands Embassy
Addis Ababa, Ethiopia.

Frits van der Wal, Senior Policy Advisor. Netherlands
Ministry of Foreign Affairs, The Hague.

Annex 4. Dutch Direct Humanitarian Financing to Ethiopia, 2004-2013.

Dutch government direct funding contribution to provision of humanitarian assistance in Ethiopia, 2004-2013.

Type of Organisation	Type of Assistance	Year	Budget (Euro)
WFP			
DMH/HH ET WFP	Emergency food aid	2011	€ 1.500.000
DMH/HH ET/WFP/2.3/food assistance	Emergency food aid	2009	€ 1.500.000
DMH/HH ET/WFP/logistics	Relief co-ordination; protection and support servic	2008	€ 1.000.000
DMV/HH Ethiopia WFP	Emergency food aid	2005	€ 6.503.050
Total WFP Funding			€ 10.503.050
UNICEF			
DMV/HH ET UNICEF KFO	Material relief assistance and services	2006	€ 600.090
DMV/HH ET UNICEF KFO	Material relief assistance and services	2005	€ 2.917.450
DMV/HH ET Unicef KFO	Material relief assistance and services	2004	€ 999.000
Total UNICEF Funding			€ 4.516.540
FAO			
DMV/HH ET FAO CAP	Material relief assistance and services	2004	€ 1.998.000
Total FAO Funding			€ 1.998.000
OCHA			
DSH HO ET HRF	Material relief assistance and services	2013	€ 1.000.000
DMH/HH ET HRF	Material relief assistance and services	2012	€ 4.500.000
DMH/HH ET HRF	Relief co-ordination; protection and support servic	2011	€ 5.500.000
DMH/HH ET OCHA/2.1/HRF	Material relief assistance and services	2010	€ 7.000.000
DMH/HH ET OCHA HRF	Material relief assistance and services	2009	€ 10.500.000
DMV/HH ET HRF	Material relief assistance and services	2008	€ 20.999.998
DMV/HH ET OCHA HRF	Material relief assistance and services	2007	€ 2.750.760
DMV/HH ET KFO	Material relief assistance and services	2007	€ 250.290
DMV/HH ET OCHA HRF	Material relief assistance and services	2006	€ 4.159.960
DMV/HH ET OCHA KFO	Material relief assistance and services	2005	€ 166.000
DMV/HH ET OCHA KFO	Material relief assistance and services	2005	€ 83.000
Total OCHA Funding			€ 56.910.008
Total Direct Funding 2004-2013			€ 73.927.597

Source: Dutch Government's Pyramid administrative system.

Dutch government indirect HA funding to the Netherlands Red Cross and selected INGOs for 2004-2013.

Type of Organisation	Type of Assistance	Year	Budget (Euro)
Red Cross and INGOs			
DMV/HH ET Netherlands Red Cross	Material drought relief assistance and services	2006	€ 303.000
Pilot 'watershed-management' SOS Sahel Int. Food aid/Food security programmes		2007	€ 400.000
Pilot 'watershed-management' SOS Sahel Int. Food aid/Food security programmes		2008	€ 350.000
DMV/HH ET Save the Children	Emergency food aid	2003	€ 188.888
Total Indirect Funding Red Cross and INGOs 2004-2013			€ 1.241.888

Source: Dutch Government's Pyramid administrative system.

Annex 5.1. Key Characteristics and Evaluation Findings of WFP-Ethiopia Programmes.

This appendix provides the characteristics of WFP's Humanitarian Crises Programmes: the National Relief Programme, the Targeted Supplementary Feeding programme and the Productive Safety Net Programme.

The overview also includes the School Feeding Programme, which forms part of WFP-Ethiopia's Country Development Programme, as the Dutch government made some direct earmarked funding available for this programme.

The information provided in this annex is based on WFP project evaluations and is complemented with information from interviews with key stakeholders and observations as part of the August 2014 country visit.

1 National Relief Programme

The Programme

Ethiopia's National Relief Programme provides emergency food assistance to people facing acute and frequent food insecurity caused by shocks such as drought and flooding.

The majority of the targeted relief beneficiaries are reached by WFP and the others by the Joint Emergency Operation Programme (JEOP) which is made up of seven international NGOs. In 2013, for example, the National Relief Programme reached 2.7 million people of which 1.9 million by WFP and 0.8 million by the JEOP.

The Evaluation

Findings presented in this section are based on two evaluation reports. The first one by Robertson et. al. (2010) who undertook a mid-term evaluation of the PRRO 10665 and the other by Frankenberger et.al. (2013) being the mid-term evaluation of PRRO 200260.

The Context & Intervention Design

The design of the relief component of both PRROs allowed it to expand in response to the impact of both economic and climatic shocks. By the end of 2010 a total number of 6.4 million people had received relief assistance.

The introduction of cash as a relief resource transfer in 2012, by means of a pilot cash relief initiative, was found appropriate by virtue of being implemented in food surplus areas. Frankenberger et. al. (2014) recommends WFP to upscale the cash relief initiative by exploring a mix of cash and food relief transfers.

Humanitarian Assistance Policy & Support

The objectives of the PRRO relief operations were found coherent with strategic and policy priorities of the Government of Ethiopia.

The Delivery of Resource Transfers

Although the relief programme experienced delays in food distribution the evaluation found that the programme '*effectively responded to a significant increase in demand for food aid transfers*' (Robertson et.al., 2010).

Frankenberger et.al. also found that WFP's relief operations were appropriate to emergency food needs, however he also observed that: '*the relevance of needs during hungry season in lowland areas is hindered due to unaligned timing of the Humanitarian Requirements Document*'. The report adds that although substantial progress has been made in food delivery through the Hubs and Spokes food delivery system relief distributions he PRRO '*continuous to face logistical and bureaucratic challenges to timely assistance delivery*'. The report is outspoken in this regard: '*the time lag between assessment and distribution is not acceptable*'.

The 2014 evaluation also found that '*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*'.

Coordination

Both evaluation reports do not make specific observations about co-ordination and leadership issues between the Government of Ethiopia and the WFP.

It is clear however that coordination and leadership are important issues. The 2013 evaluation states for example that *'Efficiency of operations could improve requiring capacity building among government partners and a coherent food management strategy of learning and experience from Hubs & Spokes, FMIP, and other initiatives'* (Frankenberger et.al., 2014).

Effectiveness and Impact

The 2010 evaluation does not provide evidence of how the relief component was impacting on livelihoods and achieving the timeliness of requirements. Robertson's report does also not provide insight into the degree to which donor resources addressed most critical needs other than: *'households utilized almost all their food transfer for household consumption, suggesting that transfers were sufficient to meet household demand and address the "saving lives" objective'*.

The 2013 evaluation report observes that in terms of impact *'the relief rations have enabled households to overcome major food shortages'* but also that *'the gain is tenuous as coping strategies have increased since baseline'* (Frankenberger et.al., 2014). In depth studies on the impact of the National Relief Programme, apart from some localised studies, do not exist.

It is striking that both evaluation reports do not provide information on how the interventions were supposed to contribute to sustainability or resilience. The 2010 report does however observe that *'The hand-over strategy for PRRO relies on the need for food transfers and sufficient capacity development with the Government of Ethiopia'*.

2 Therapeutic Supplementary Feeding

The Programme

The TSF treats moderate to severely malnourished children (6-59 months), pregnant women and nursing mothers in 'priority 1 hotspot' *woredas*. In 2013 the TSF reached nearly one million beneficiaries (WFP, 2014).

The Evaluation

This section presents key findings from the TANGO evaluation (Frankenberger et.al., 2014) as relevant to the specific research issues and questions of the ToR of the IOB country case study.

The Context & Intervention Design

The TSF component addresses malnutrition among vulnerable children and women. Women were found to actively participate in the programme.

WFP has been responsive to the observation by Robertson et.al. (2010) for the need for improvement in targeting, to address inclusion errors in particular, and beneficiary selection. In 2012 WFP responded to these recommendations by introducing a new generation of TSF in a pilot project covering 44 *woredas*: food distributions were decentralised right down to the *kebele* level and the screening of children and Super Cereal distribution were increased to once a month (instead of once a quarter).

Humanitarian Assistance Policy & Support

Frankenberger et.al (2014) found that the objectives of the TSF operations were coherent with strategic and policy priorities of the Government of Ethiopia.

The Delivery of Resource Transfers

Like the relief programme the TSF programme continuous to face logistical and bureaucratic challenges to timely assistance delivery particularly in the pastoralist areas.

Coordination

WFP works with DRMFS as well as with UNICEF and MoH along with INGOs.

Multi-Agency Assessments inform the Humanitarian Requirements Document and in line with this WFP mobilises resources for the TSF programme. WFP, UNICEF and the MoH work together on this programme in priority 1 *woredas*. They, and INGOs involved in addressing moderately and severely

malnourished children⁹, join the technical monthly meetings of the DRMFS Emergency Nutrition Coordination Unit.

Efficiency of operations could improve requiring capacity building among Government partners and a coherent food management strategy of learning and experience from Hubs & Spokes, FMIP, and other initiatives.

Effectiveness

The 2014 evaluation study established that TSF met all outcome indicators in line with SPHERE standards (TSF is key part of the continuum for food security programmes). The report however also states that the *'timeliness of TSF is hindered by pipeline breaks; strategies for prepositioning and securely storing food should be explored'* (Frankenberger et.al., 2014).

The WFP, UNICEF and MoH run TSF pilot in 44 areas¹⁰ aim to integrate the pilot project more firmly in the government system (BoH). In line with the pilot the impact of the TSF has reportedly gone up with the introduction of monthly screening sessions (before quarterly and even twice yearly) and beneficiaries also being included in relief targeting. Dramatic positive impact was also observed by the assessment team in Tigray Region when visiting a pilot TSF programme. However while the system works well in highland areas the health extension system is absent in large parts of the Ethiopian lowlands.

The 2013 evaluation report recommends scaling up the TSF pilot programme and creating a better coordinated anthropometric database. The report makes two other important suggestions:

- Although TSF for children is an appropriate response to Moderate Acute Malnutrition other educational messages are needed to help ensure the non-recurrence of MAM;
- There is potential for further improvement in targeting and efficiency by tailoring TSF allotments to nutrient requirements of different groups, re-assessing the mid-upper arm circumference (measurement) and utilising existing mobile clinics.

3 PSNP in lowland areas

The Programme

WFP's PSNP assistance is focused on the 1.1 million PSNP's most vulnerable and food-insecure beneficiaries located in the pastoral Afar and Somali Regions. The programme started in 2009 as a pilot and is currently rolled out by WFP in Afar and Somali. The PSNP is not supposed to result in graduation as there is no Household Asset Building Programme nor Complementarity Community Investment programme in Afar and Somali Regions

The Evaluation

The evaluation is based on key findings from the TANGO evaluation study (Frankenberger et.al., 2014).

The Context & Intervention Design

In 2009 and 2010 WFP implemented a PSNP pilot in 18 pastoralist lowland *Woredas*. Based on the pilot WFP is rolling out the PSNP in 2010-14 in Afar, Somali, Oromia and Southern Nations Regions.

WFP participated in the PSNP design team and the donor working group and committed financial resources to implementing PSNP in the pastoralist areas. According to senior WFP officials the Government of Ethiopia invited them to implement PSNP in the lowland pastoralist areas because of WFP's operational presence and logistical infrastructure in those areas.

Humanitarian Assistance Policy & Support

The PSNP fits within the Government of Ethiopia's efforts to move away from the ad-hoc emergency appeal system (which characterised the management of addressing food needs before the introduction of the PSNP in 2005) to a more predictable safety net to tackle chronic as well as seasonal hunger.

⁹ NGOs may work with malnourished children but only in Woreda priority 2 or 3.

¹⁰ WFP's 2010 evaluation report recommends strengthening the relevance and appropriateness of the TSF programme.

The PSNP could be better aligned with Government interventions with Public works be integrated in comprehensive and longer-term regional development plans.

The PSNP, as one of the three pillars of Ethiopia's Food Security Programme, fits which the Government of Ethiopia's PASDEP development strategy.

The Delivery of Resource Transfers

The TANGO evaluation study found that the 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*'. This indicates that the PSNP might be under-resourced.

The 2013 evaluation also recommends that in the light of the high cost of relief and the overlap in some areas between relief and PSNP households such households should be priority for inclusion in the expanded PSNP.

Coordination

PSNP is being implemented by the Ministry of Agriculture's Disaster Risk Management and Food Security Sector (DRMFSS) agency and jointly supported by 10 development partners, including WFP.

In Somali and Afar Region the PSNP is being implemented by DRMFSS and the WFP.

Effectiveness

The TANGO evaluation report found that PSNP food transfers in Somali and Afar are highly relevant given the context and difficult operating environment. The report also established that the target for reducing coping strategies was achieved and that progress was made toward improving community assets and food consumption for PSNP participants. The report does however explicitly state that '*outcome targets to significantly improve food security were not met*'.

While PSNP has improved the frequency and mean number of payments, predictability and targeting were still found to be key issues.

The evaluation report recommends the PSNP in Somali and Afar Region to be tailored more appropriately to the pastoral and lowlands context in terms of timing of public works, types of public works, and who participates in the programme to reduce inclusion and exclusion error.

4. School Feeding Programme

The Programme

WFP's school feeding programme increases school enrolment and reduces gender disparity in primary education targeting schools across 6 Regions in chronically food insecure areas of Ethiopia¹¹.

WFP's School Feeding Programme provides a daily hot meal to children from food-insecure families and addresses gender disparity by girls in four pastoralist areas receiving an eight-litre ration of vegetable oil to bring home to their families. In 2013 669.000 children received a hot meal at school and 153.000 girls received 8 litres of vegetable oil to bring home to their families (WFP, 2014).

The initial planned budget of 10430.0 CP (1 January 2007 till 31 December 2011) at approved design stage was 115.756.992 US\$; the actual planned budget was 166.399.253 at the 2008 evaluation (Riley et al, 2008) targeting 438.000 children.

WFP's main partners in implementing the programme are the Ministry of Education and regional and district Education Bureaus and Offices, UNICEF and the NGOs GTZ and PCI.

Evaluation

The evaluation findings are primarily based on the evaluation by Riley et al, 2009 as relevant to the Dutch government's 2009 earmarked contribution to the programme.

¹¹ The school feeding programme is part of WFP's CP 2007–2011 10430.0 and its follow up CP in Ethiopia and is aimed to improve agricultural productivity and household income in selected food-insecure areas and increase the number of rural Ethiopians receiving primary education. The CPs have two components with two separate but complementary sets of objectives: *Managing Environment and Resources to Enable Transitions to More Sustainable Livelihoods Through Partnership and Land User Solidarity (MERET-PLUS)* and the *Food-for-Education and Children in Local Development (FFE-CHILD)*.

The Context & Intervention Design

The CHILD-FFE programme is a continuation of activities commenced in the 1990s and started as a pilot in selected primary schools in food insecure rural areas (WFP, 2009).

CP 10430.0 added a new element: encouragement of communities to utilise their local schools for community-centred development activities to enhance health, nutrition and local economic development and to provide non-formal education of community members (WFP, 2009).

Financing

The timeliness of donor resource allocation and disbursement has been a consistent issue. In 2007 WFP experienced a sharp reduction in cash and in-kind resources available for all CPs; WFP Ethiopia received 13.4 instead of 23 million US\$ from WFP HO.

By June 2009 donor contributions totalled 75 million US\$ (45% of funding needs for the entire five year period).

Humanitarian Assistance Policy

The Child-FFE intervention provided stimulus in highly food insecure rural districts to achieve universal primary education by 2015.

Child-FFE is relevant to UN Development Assistance Framework (UNDAF II).

The Delivery of Resource Transfers

Target areas were selected by MoE through *Woreda* BoE on the basis of chronic food insecurity, high gender disparity and high drop-out rates. Originally 7 million children were identified as potential beneficiaries. Based on planned budget figures Child-FFE targeted 1200 primary schools out of 12,000 that would require support.

In 2007 and 2008 CHILD-FFE experienced substantial food shortfalls (46.9% of projected amount) as a result of increased food prices and ocean transport costs. The number of schools was reduced from 1,030 in early 2007 to 772 by end 2008.

Beneficiary numbers in 2008 were 96% of planned even though food distribution was half of planned. Food aid in 2008 was distributed to only 43.5% of schooldays (was 73% in 2007).

Late arrival of food affected achievement of results at planned levels. The 2009 evaluation reports long-standing implementation problems affected the delivery of food and procurement by *Woreda* partners. Local Government of Ethiopia Bureaus and Offices contracting local transporters to deliver food from regional WFP depots to school sites has caused problems; problems *'that have been unresolved for too long'*.

Coordination

Problems procuring WFP-financed equipment, vehicles and motorbikes curtailed site visits by government field agents. Continued high turnover of government staff added to the amount and frequency of training required for replacements. These shortfalls slowed down capacity development objectives.

Effectiveness

Child-FFE exceeded planned targets for increased enrolment rates, improved gender equity in enrolment and reductions in the drop-out rate (Riley et al, 2009¹²). This has *'provided stimulus in highly food-insecure rural districts to the efforts of Ethiopia and the United Nations to achieve universal primary education by 2015'* (WFP, 2010).

WFP found that by the end of 2009 that many CHILD- FFE schools were at gender parity for students and, in several, girls outnumbered boys. Increasingly schools were found at or close to gender parity among teachers: *'Where there were about 15,000 women teachers in Ethiopia in 1991, today there are 70,000'* (WFP, 2010).

The 2009 evaluation report observes that high enrolment and attendance are likely to be influenced by external factors, e.g. changing parental attitudes to send children to school with or without school meal

¹² See page vii of the report for a table of the achievements.

programme. The weight of FFE in parental decisions is greater in the pastoralist areas of Afar and Somali regions and less in the highlands¹³ (WFP, 2010).

WFP staff met in Addis as part of the assessment confirmed that in highland areas there is a change in parental attitude to have children at school. Still the harsh economic reality of many households in pockets of the chronically food insecure highlands is still an important reason for children dropping out. WFP staff mentioned that in the lowland pastoralist areas the programme has a big impact because of the take home oil rations. The impact on pastoralist households during the 2011 drought (water and pasture shortages, migration) did result in increased school dropouts across Somali and Oromia Regions (OCHA, 2011).

According to WFP staff involved in the programme the Child-FFE faces challenges, there are for example indications that because of children receiving a meal at school they are being skipped out for a meal at home.

References

Frankenberger, T., J. Downen, D. Taren, A. Teshome, A. A. Teklu and M. Vallet, May 2013. Operations Evaluation. Ethiopia, PRRO 200290. Responding to Humanitarian Crises and Enhancing Resilience to Food Insecurity: an Evaluation of WFP's Operation 2012-2013. Study Commissioned by the WFP Office of Evaluation. Report Number: OE/20 13/015. TANGO International.

Robertson, T., B. O'Loughlin and A. Hoogendoorn, 2010. Mid-Term Evaluation of the Ethiopia Protracted Relief and Recovery Operation 10665.0 (2008-2010): An Operation Evaluation April, 2010. Commissioned by the WFP Office of Evaluation.

¹³ A study is needed to determine the relative weight of the existence of FFE in a school – compared to other factors – in actually increasing the number of children in attendance (Robertson et.al., 2010).

Annex 5.2. WFP Outcome Indicators PRRO 200290.

Summary WFP outcome indicators for PRRO 200290, 2012-2013 (Source: Frankenberger, et.al., 2013: 28).

Outcomes		2011 Baseline	2012 Sept/Dec (1st round)	2013 June (2nd round)	2013 Nov/Dec Endline
KEY:		ACHIEVED	NOT ACHIEVED	NOT APPLICABLE	BASELI NE
SO 1	Save lives and protect livelihoods in emergencies				
	Relief Outcome: National and sub national institutions and disaster prone communities have systematically responded to disasters, reduced impacts of disasters, and improved food security.				
	Households with at least borderline food consumption score (FCS) 90% ¹	61	88 ¹³⁹	85	93
	Coping strategies index (CSI) average scores are less than baseline (mean)	-	10.7	15.6	13.2
	Daily average dietary diversity	-			
	Assets depletion strategies	-			
SO 1	TSF Outcome: Food-insecure people, in particular women, children and vulnerable groups, will have access to emergency nutrition services.				
	Recovery rate for malnourished children 6-59 months, target: >75%	65.1	64.4	-	83.2
	Death rate for malnourished children 6-59 months, target: <3%	0.52	0.40	-	1.4
	Defaulter rate for malnourished children 6-59 months and PLW, target: <15%	1.2	1.5	-	1.2
	Proportion of eligible population participating in MAM treatment programme, target: >50%	-			
SO 2	Prevent acute hunger and invest in disaster preparedness and mitigation measures.				
	PSNP Outcome: National and sub-national institutions and disaster-prone communities have systematically reduced disaster risks and improved food security. ¹⁴⁰				
	Daily average dietary diversity	-			
	Disaster preparedness index ²	-	6	-	6
	Community asset score (CAS), target: 70% of communities have increased average CAS	-	50	-	65
	FCS, original target: >83% of households with acceptable FCS	46	69	57 ¹⁴¹	74
Average CSI score is lower than the baseline (mean)		-	12.4	13.5	11.5

Source: WFP Ethiopia. 2012h. SPR; WFP Ethiopia. 2013d. CHS; WFP Ethiopia. 2013x. SPR.

Note: Outcome and indicator targets reflect the updated logframe (BR6), with grey-coloured cells representing original programme logframe indicators that cover most of the period covered by the evaluation.

Hyphen=Data not available as of May 2014 or not applicable because indicator is new or activity was not in effect.

¹ This indicator adds acceptable (36%, 57%, 61%, 70% respectively) and borderline (25%, 31%, 24%, 23%) FCS thresholds.

² SPR 2012 & 2013 report this outcome indicator but it is not included in the logframes. Targets unclear as of May 2014.

Annex 6.1. HRF Achievements 2009-2013.

The information provided in this annex is compiled from the HRF Ethiopia Annual Reports and complemented with information provided by OCHA-Ethiopia.

1. Budget Allocations and Expenditures 2009-2013

Budget Allocation and Expenditure Categories

Over the period 2009-2013 a total of 177,3 million USD has been expended on HRF projects. In total 326 HRF projects were implemented in 2009-13, 230 by INGOs and 96 by UN agencies (see table 1).

Annual HRF allocated budgets for the period 2009-2013 vary considerably. They range from 25,9 million USD in 2010 to 46,6 million in 2011 (table 1). The year 2010 was a relative quiet year in terms of emergencies. The year 2011 saw major emergencies related to the drought crisis that affected large parts of southern and eastern Ethiopia. The wider Horn of Africa drought and conflict in Somalia resulted in a large Somali refugee influx in Ethiopia's Somali Region.

Over the 2009-13 period total of 5,5 million USD was spent on Internally Displaced People and 13,7 million USD on emergency refugee programming (table 1). Most expenditure on refugees and IDPs in 2011-12 were related to the large scale Somali refugee influx in Ethiopia's Somali State and the support to IDPs in Somali State.

Table 1. Annual HRF budget allocations and expenditures, 2009-2013 (all budgets in million USD).

Year	Number of Projects			Total HRF Budget Allocation (million USD)	Local population	Displaced People	Refugees
	Total	INGO	UN				
2013	53	12	41	27,15	27,15		
2012	66	55	11	38	31,4	3,7	2,9
2011	70	59	11	46,64	37,74		8,9
2010	56	46	10	25,87	25,87		
2009	81	58	23	39,64	35,94	1,8	1,9
	326	230	96	177,3	158,1	5,5	13,7

Budget Allocation and Sectoral Expenditures (Local Population)

Over the 2009-2013 period the major sectoral spending categories were: nutrition (71,4) million USD), WASH (27,7 million USD) and Food Security & Livelihoods (28,1 million USD). Table 2 provides an overview.

Table 2. Annual HRF budget allocations and sectoral expenditures for, 2009-13 (all budgets in million USD).

Year	Total HRF Budget Allocation	Nutrition	WASH	Water Tankering	Emergency Shelter & NFIs	Food Security & Livelihoods	Common Humanitarian Services	Health	Education	Protection	Immediate Response Contingency	EFSL
2013	27,15	12,29	1,99		0,38	4,34	1,29	1,62	0,59	2,96		1,67
2012	38	15,29	3,99	0,54	2,74	8,58	2,61	1,88			0,02	2,34
2011	46,64	21,36	5,9	5,95	4,03	5,2	1,57	0,77	0,01	1,62	0,22	
2010	25,87	5,58	7,77		3,18	8,02	0,7		0,35		0,27	
2009	39,64	16,91	8		2,16	1,91	2,69	3,68	0,47	0,11	0,17	3,56
	177,3	71,43	27,65	6,49	12,49	28,05	8,86	7,95	1,42	4,69	0,68	7,57

Annual allocated budgets vary considerable across the different sectors. The most striking differences are:

- High expenditures on emergency nutrition except for 2010 which was a quiet year in terms of emergencies. The high expenditures on emergency nutrition relate to the scale and nature of child malnutrition. For the period 2009-2013 Southern Nations faced recurrent acute malnutrition almost every year. In Somali Region drought induces acute malnutrition amongst children hence requiring large scale nutrition programmes in 2009 and 2011-2012.
- High WASH related expenditures in 2009-2011. This relates to drought in the pastoralist areas of southern and eastern Ethiopia which required large scale WASH and water tankering services to address lifesaving water needs. Water tankering is a relative very expensive emergency intervention.
- Expenditures on protection are limited to 2009, 2011 and 2013 and are linked with expulsions of Ethiopian nationals by countries in the region.

2. Annual HRF Target Areas and Achievements, 2009-2013

In line with government policy HRF prioritises interventions in Ethiopia's so-called 'hot-spot' areas. These areas present high needs as identified in line with the twice annually multi-agency assessments jointly implemented by government, UN and NGO partners. Identified needs are communicated through Ethiopia's Humanitarian Requirement Documents. The HRF thus contributes to addressing well documented and commonly agreed upon humanitarian emergency needs. Figure 1 provides an overview of the location of HRF funded projects for the period 2009-13.

The annual HRF project achievements per sector, as reported by HRF's implementing partners, are stated in the respective HRF Ethiopia Annual Reports. In a sense the annual overviews show what HRF money has bought in terms of deliverables to address identified and prioritised non-food humanitarian emergency needs. As an example figure 2 provides the overview for 2010.

The HRF project achievements per year can be found by clicking on the next E-links:

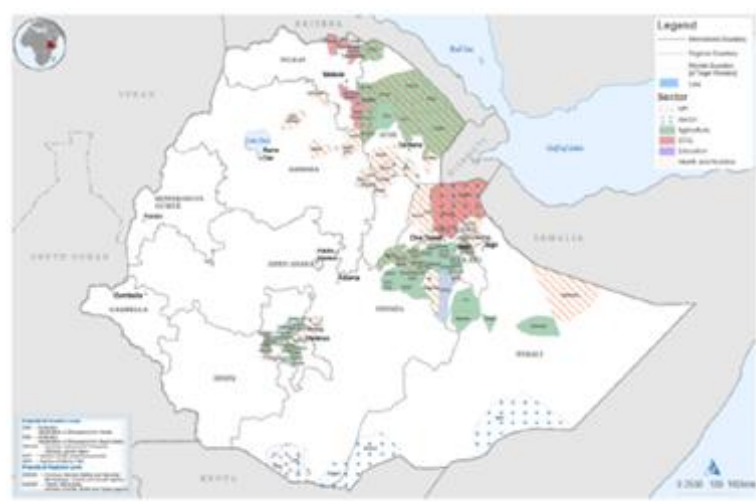
[HRF Ethiopia 2013 Annual Report](#)

[HRF Ethiopia 2012 Annual Report](#)

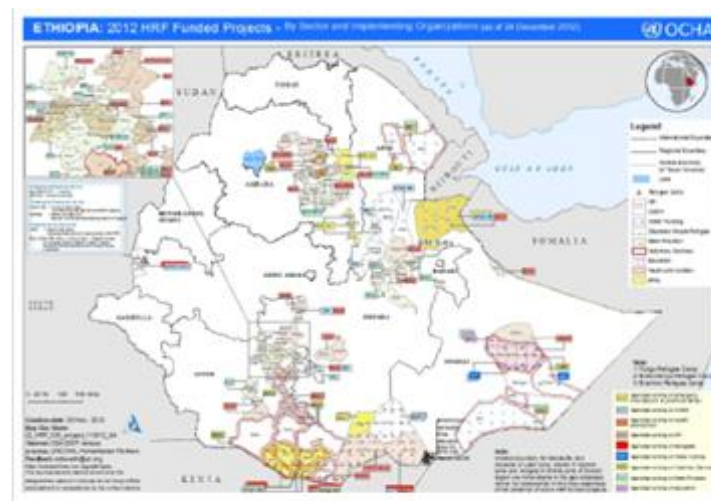
[HRF Ethiopia 2011 Annual Report](#)

[HRF Ethiopia 2010 Annual Report](#)

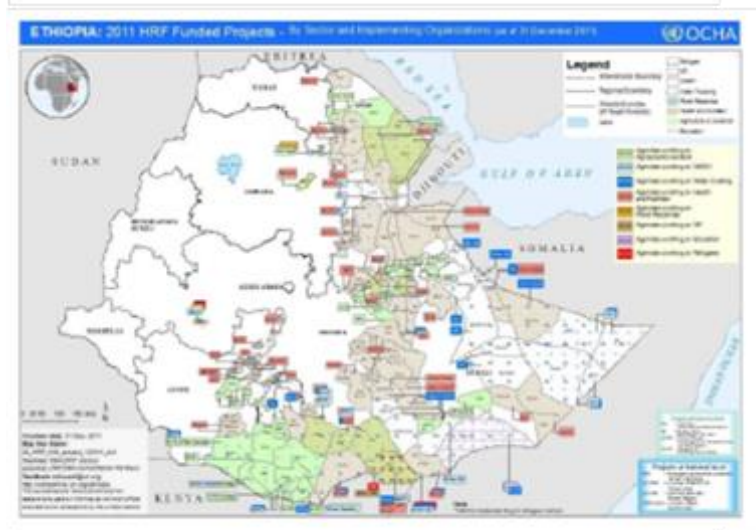
[HRF Ethiopia 2009 Annual Report](#)



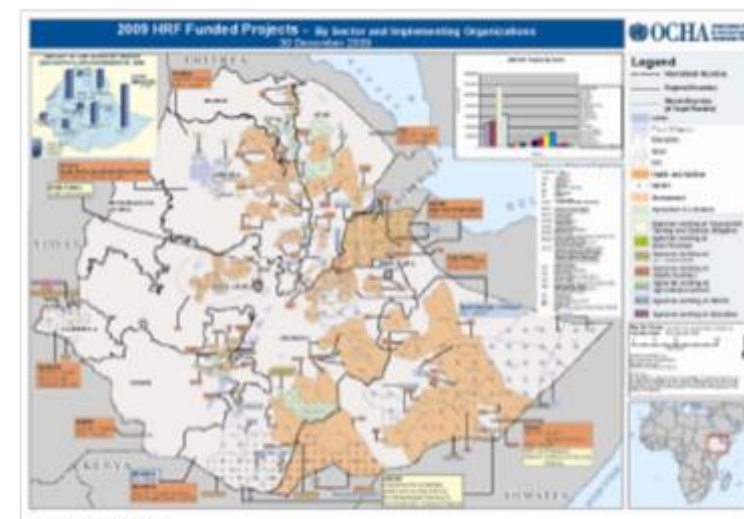
HRF 2013



HRF 2012



HRF 2011



HRF 2009

Figure 1. Overview of the location of HRF funded projects 2013, 2012, 2011 and 2009.

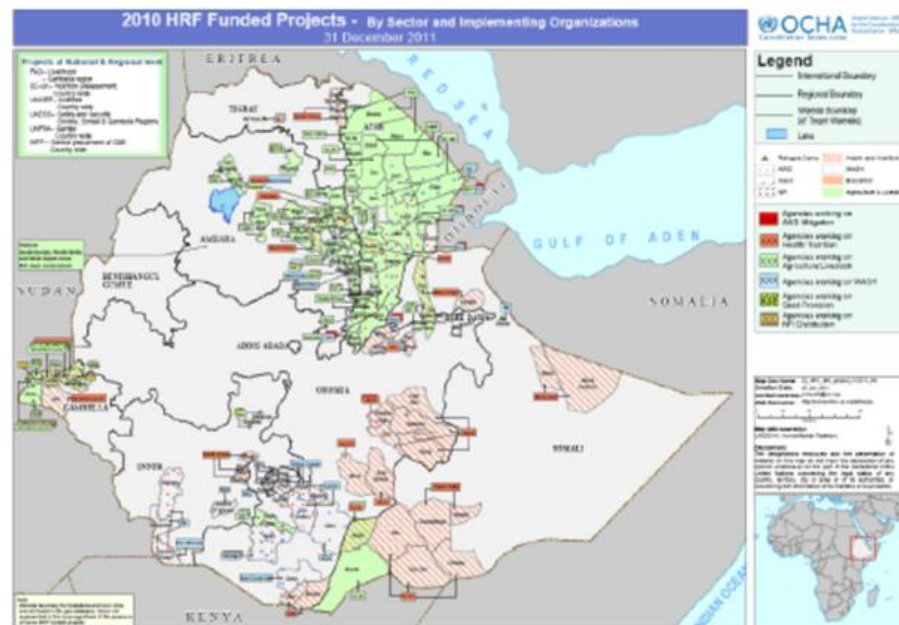


Figure 2. Overview of HRF 2010 target areas and HTF sectoral achievements.

Annex 6.2a. HRF Partner Performance 2011-14: Quantitative Review.

Background

This annex presents a quantitative performance of INGO- and UN-HRF partners based on information provided through the HRF's Partner Performance Tracking System.

The quantitative review has been performed by UN-OCHA staff on the basis of the standardised project monitoring sheets used by OCHA staff during field visits. Projects not monitored through OCHA field visits were reviewed by OCHA-HRF staff on the basis of the HRF partner's on-site monitoring data and other relevant performance related data such as iteration, report quality and audit outcomes. This information, the 'qualitative review' is presented in annex 6.2b.

The information provided in this annex is compiled from UN-OCHA's HRF internal 'Partner Performance Summary Notes' and summarised in table 1. Table 2 provides the key for the HRF projects overall performance rating and table 3 the key performance rating indicators.

Introduction

The review covers the period 2011 - mid-2014. The HRF project portfolios of 7 INGOs were reviewed comprising a combined total of 59 HRF projects with a total realised budget expenditure of 29,7 million USD. With regard to UN agencies only FAO's HRF project portfolio was reviewed; in total 2 projects with a realised budget of 1,0 million USD.

Key Findings: Overall Performance Rating

- The average score of the overall performance rating is 15,5 which is 'satisfactory' (see column 'Overall Performance Rating' in table 1). Not one of the HRF implementing agencies scored an 'outstanding' overall performance. GOAL realised the highest score of 19 ('very good performance'), FAO scored 13 ('needs improvement') while PLAN International, Save the Children (SCF) and World Vision scored 14 ('satisfactory').
- Projects by CONCERN and SCF were mentioned as being expensive, but for different reasons. CONCERN is expensive as they deploy a lot of staff and create parallel systems rather than integrating and strengthening capacity of acute malnutrition treatment at public health centres. Save the Children is expensive through its overhead costs.
- Save the Children received by far the highest amount of HRF funding: 10,7 million USD for in total 11 projects. OCHA's HRF partner performance tracking system is quite critical with regard to Save the Children. The report raises critical questions with regard to inconsistencies in data presentation, inadequate use of performance indicators and absence of gender disaggregated data. OCHA-HRF held meetings with Save the Children and part of the issue is related to the restructuring of the different 'Save the Children' in 'Save the Children International'. Save the Children is an important HRF partner because being a very large organisation SCF has a direct operational presence in many parts of the country (Save's annual budget is in the order of 100 million USD per year for the 2011-2014 period).

Key Findings: Specific Performance Ratings

- **Timeliness:** average score 'modest delays per plan, but acceptable' - PLAN, World Vision and FAO score below average.
- **Appropriateness:** average score 'very appropriate' – PLAN and SCF score somewhat below average.
- **Community involvement:** average score 'partially involved' – Save the Children, World Vision and FAO score below average.
- **Adherence to standards:** average score 'some improvements required' – PLAN, Save the Children, World Vision and FAO score below average.
- **Co-ordination:** average score 'adequate collaboration' – CONCERN, Save the Children, World Vision and FAO score below average.
- **Gender & Cross-Cutting Issues:** average score 'some steps were taken' – Danish Refugee Council, World Vision and FAO scored below average.
- **Iterations in application review stage:** average score of 4 or more (for GOAL, Catholic Relief Services, Danish Refugee Council and Save).

Table 1. Quantitative HRF Partner Performance, period 2011-2014 (source: compiled from UN-OCHA HRF Internal Partner Performance Summary Notes).

Partner	No of HRF Projects since 2011	Total Funding Received (million USD)	Overall Performance Rating (1)	Timeliness	Appropriateness	Community involvement	Adherence to Standards	Coordination	Gender & Cross Cutting Issues Iterations in application review stage	Iterations in Application Review Stage
GOAL	15	5,5	19	2,3	2,8	2,1	2,3	2	2	1,7
Catholic Relief Services	6	2,1	17	2	2,6	2,2	2,5	2,2	2,2	1,4
Danish Refugee Council	3	2,3	17	3	3	2	2	2	1	
CONCERN	11	3,6	16	2,2	2,8	2,3	2,3	1,8	2,1	
Plan International	4	1,5	14	1,5	2,5	2,5	1,5	2	2	
Save the Children International	11	10,7	14	2,2	2,4	1,6	1,8	1,4	1,8	
World Vision Ethiopia	9	4	14	1,4	2,8	1,8	1,4	1,6	1,5	
FAO	2	1	13	1,7	2,6	1	1,7	1,3	1,7	
	61	30,7	15,5	2,0	2,7	1,9	1,9	1,8	1,8	

Performance ratings based on number of assessed projects (in general 2 out of 3 of the total number of projects mentioned under the column 'No of HRF projects since 2011' have been evaluated

Notes:

DRC

Quality of submitted applications require improvement (taking an average of 5 iterations to attain required standards).

CONCERN

CONCERN is an expensive organisation. CONCERN deploys a lot of staff and create parallel system rather than integrated and create capacity to manage acute malnutrition at public health centres with minimal external support.

PLAN International

Quality of submitted reports are compromised due to inconsistencies in data presentation, inadequate use of performance indicators and the absence of gender disaggregated data presentation.

Save the Children International

SCI projects are expensive in terms of overhead costs. Extended delay in final report submission. Quality of reports are compromised due to inconsistencies in data presentation, inadequate use of performance indicators and the absence of gender disaggregated data presentation. Critical audit findings for 6 out of 18 audited projects.

World Vision Ethiopia.

Report quality is compromised as reports are less explicit, lack clarification and consistency in data presentation reports lack adequate use of performance indicators and gender disaggregated data presentation

Table 2. Key for Overall Rating.

Rate	Overall rating
21	Outstanding
15 – 20	Very good performance
14	Satisfactory
8 – 13	Needs improvement
7	Poor

Table 3. Key for performance indicators.

Rate	Timeliness	Appropriateness	Community Involvement	Adherence to Standard	Coordination	Gender/cross cutting issues	Number of iterations during proposal submission
3	On pace to succeed	Very Appropriate	Highly involved	Fully met the standards	Very strong collaboration	Adequate steps were taken	<3 iteration
2	Modest delays per plan, but acceptable	Significant reprogramming required	Partially involved	Some improvements require	Adequate collaboration	Some steps were taken	3 or 4 iteration
1	Progress is a concern	Not at all appropriate	Not at all involved	Did not met the expected standards	Significant improvement are required	Significant improvement required	> 4 iteration

Annex 6.2b. HRF Partner Performance 2011-14: Qualitative Review.

Background

This annex presents a qualitative performance of INGO- and UN-HRF partners and is based on information provided through the HRF's Partner Performance Tracking System.

The qualitative review has been performed by UN-OCHA for those projects that were not field-monitored by OCHA HRF staff and for those projects whose nature was unamendable for the HRF field-monitoring approach. The HRF performance review was conducted by HRF OCHA staff on the basis of the HRF partner's on-site monitoring data and other relevant performance related data such as iteration, report quality and audit outcomes. The information presented in this annex is sourced from UN-OCHA's HRF internal 'Partner Performance Summary Notes'. This annex has compiled this information in table 1.

Introduction

The review covers the period 2011 - mid-2014. The HRF project portfolios of 7 INGOs were reviewed comprising a combined total of 59 HRF projects with a total realised budget expenditure of 29,7 million USD. With regard to UN agencies only FAO's HRF project portfolio was reviewed; in total 2 projects with a realised budget of 1,0 million USD.

The HRF project portfolios of 10 INGOs were reviewed comprising a total of 27 HRF projects with a budget expenditure of 10,3 million USD. The HRF project portfolios of 3 UN organisations were reviewed, these portfolios comprised a total of 24 projects with a combined budget of 29,1 million USD.

Key Findings

INGO HRF partners

- Striking is that the number of iterations in the application review process is quite high for the INGO partners (an average of 4.8 iteration rounds for the 8 INGOs for which this type of information is available).
- In terms of the performance commentary category 7 INGOs scored a 'positive' review outcome, 2 'neutral' and only 1 'critical' or unsatisfactory. The NGO scoring a critical and unsatisfactory performance score has been discourage by OCHA to access the HRF.
- Only for the Child Fund is summary info provided on the time consumed by multiple reiterations: Child Fund required an average of 5 iterations (3 projects in total) consuming an average of 37 days between the cluster and the HRF team to attain minimum project proposal required standards !

UN HRF partners

- The three UN agencies have been granted a total of 24 HRF projects with a total budget of 29,1 million USD. This is almost 3 times the budget the 10 INGOs received for implementing 20 projects during the same period. It must be realised that this sample is not representative for the HRF's UN – INGO partner portfolio and the budgets realised. The amount of HRF money channelled through INGO partners is larger ass compared to the amount channelled through the UN. The WFP has been the single largest receiver of HRF fund allocation: a total of 21,4 million USD for in total 9 projects. The main reason for this is the large procurements of CSB and RUTFs funded by HRF to bridge WFP's pipeline breakdown.
- Summary comments on UN agencies as recorded in the HRF partner tracking system are brief, very generalist, and describe positive impact (see the 'critical comments details' column in table 1). The reason for this is that existing data on onsite monitoring on UN partners projects are insufficient

Table 1. Qualitative HRF Partner Performance, Period 2011-14 (source of info: UN-OCHA HRF Internal Partner Performance Summary Notes).

Partner	No of HRF Projects since 2011	Total Funding Received million USD	Iterations in Application Review Stage	Performance Commentary Category	Critical Commentary Details
INGO HRF Partner					
IMC	11	4.4	4	Positive	High/very satisfactory design and implementation; appropriate interventions and adherence to agreed implementation standards. Submitted applications have been altered at least 4 times: need to enhance prudence in budget preparation, care in presenting adequate matured application, and improve promptness in considering review comment.
IO	1	0.5		Positive	Project activities were started timely though delay was observed on project progress towards the delivery of output against the implementation plan.
VSF-S (1)	3	1.6	5	Positive	Quality of submitted applications required improvement, taking more than five iterations to attain the required standards.
ADRA	2	0.6	5	Positive	Submitted final report quality is compromised as the report is less explicit, lack of clarification and consistency in data presentation. Reports lack adequate use of performance indicators and gender disaggregated data presentation.
AMREF	1	0.2		Positive	Significant time interval between project initiation and actual kick start. However, most recently concluded follow-up monitoring rather identified overall satisfactory delivery.
GAA	2	1	3	Positive	Quality of the submitted applications required improvement, taking more than three iterations to attain the required standards.
PLAN-KEH	1	0.7	4	Positive	Quality of the submitted application required improvement, taking more than four iterations to attain the required standards.
Child Fund	3	0.4	5	Neutral	Quality of the submitted proposals requires significant improvement, taking an average of 5 iterations and 37 days between the Cluster and the HRF team to attain the required standards. Review of monitoring reports indicate implementation delays, hence affecting seasonability of interventions. Inadequate prior government consultation.
PIN	1	0.4	5	Neutral	Quality of the submitted application required improvement, taking more than five iterations to attain the required standards.
Islamic Relief	3	0.7	7	Critical	Progress of project activities was a big concern according to the monitoring findings; more than three months delay is observed in all projects. Quality of the nutrition projects in adherence to standards were compromised by extended delay, irregularity of supplies, one-off distribution of three months ration and distribution of OSB without a companion by required oil. Submitted narrative reports lack presentation of achievements as per the standard way of gathering and reporting results challenging clear understanding of the project performance, the change brought and overall impact of the intervention in light of project objectives and measurable indicators.
Sub Total	28	10.3			
UN HRF Partners					
ICM	10	5.7	3	Positive	Performance is 'very good' particularly related to the protection activities. Quality of the submitted applications required improvement, taking on average three iterations to attain the required standards.
WFP	9	21.4		Not able to determine	Commentary very general: 'WFP interventions contributed to rehabilitate identified moderately malnourished children and pregnant and lactating women, and reduced morbidity and mortality related to acute malnutrition among populations. Air operation projects supported humanitarian projects by providing access to safe and reliable air service to humanitarian staffs engaged in monitoring humanitarian projects'.
WHO	5	2	3	Not able to determine	Commentary is very general: 'WHO contributed a lot in minimizing human suffering and deaths from AWD, Meningococcal, Measles and other communicable disease outbreaks in different drought and flood affected regions of Ethiopia'. And 'WHO is able to strengthen and improve level of malaria outbreak preparedness and response in flood prone areas through distribution of insecticide treated nets quality of the submitted applications required improvement, taking more than three iterations to attain standards'.
Sub Total	24	29.1			
GRAND TOTAL	52	39.4			

Annex 6.3. Effectiveness of Selected HRF Projects 2011-12.

1 The HRF-Ethiopia Project Database

HRF-Ethiopia keeps an extensive project database. For each of its subcontracted projects information is made available under the following file folder categories:

- 'Proposal, Comments and RB Approval' – contains the original project proposal and its revisions based on documented observations and feedback. The file folder also contains the HRF Review Board's approval of the project.
- 'MoU and Disbursement' – contains the Memorandum of Understanding between HRF and the subcontract implementing agency and the agreed upon disbursement procedure and amounts.
- 'Monthly and Quarterly Updates' – in most cases a mid-term narrative and financial progress report has been submitted.
- 'NCE and Reprogramming Requests' – contains requests for reprogramming, budget modification and No Cost Extension Requests; if approved formal signed agreements have been filed.
- 'Monitoring and Evaluation Visits' – contains typically the peer-to-peer reports.
- 'Final Reports and Audits' – contains the final HRF project report and the audit report.

2 Selection of Analysed HRF Projects

The analysis covers HRF projects targeting Ethiopian Nationals as well as projects targeting IDPs (Ethiopian nationals) and refugees (non-Ethiopian nationals).

The sample of HRF projects is based on the objectives of the IOB review which focuses on the 2009-2012 drought and food crisis. The sample of the HRF has been limited to 2011 and 2012 being the height of the wider Horn of Africa Drought which affected around 4.8 million Ethiopians and contributed to the influx of refugees, in particular from Somalia.

Further limitations to the sample have been the focus on drought response in Afar, Somali, SNNP and Oromia Regions. Only HRF projects with a monitoring sheet on file have been selected for the review. For UN agencies this criteria has been dropped as no HRF monitoring has taken place.

HRF projects were selected at-random with the total number of HRF projects to be reviewed set at around 10 per year. In a total 22 HRF projects covering the period 2011-12.

3 Review Findings 2011 and 2012

For the overview of the review findings see table 1 and table 2. Section 4 presents the criteria used for review of the selected HRF projects.

4 Overall Findings

4.1 Descriptive Criteria

- Typical budgets have been in the order of 400.000 to 700.000 USD for INGOs but much higher for UN agencies. Around half of the HRF projects have received additional non HRF funding.
- Beneficiary numbers vary greatly depending on the type of HRF activities and service package.
- Areas of support have been live saving such as emergency nutrition and WASH and part in investing in DRR and live hoods.

4.2 Reporting Criteria

- Project proposal iterations have been many with the average of around 4 (range 2 to 8).
- Far majority of INGO projects demonstrate cluster involvement with feedback and suggestions. Feedback by clusters has been taken into account as part of the iteration process.
- Files on UN HRF partners do not evidence of cluster involvement which is logic as UN agencies are typically cluster leads.
- Formulation of results and activities have typically been between average to good.

4.3 Effectiveness Criteria

- Achievement of results and activities have been good with in some cases (particularly in 2012) agencies under achieving on activities. Final project reports provide plausible and valid explanations.
- Underachieving has also been reported in terms of reaching planned number of beneficiaries. Final project reports provide plausible and valid explanations.
- Humanitarian access has been good in all reported cases.
- Almost all HRF partners have filled out self/evaluation of gender score. Gender marker scores indicate that projects contribute significantly to gender equality.

4.4 Monitoring Criteria

- Monitoring data indicate that most projects perform up to required standards.
- Monitoring data do however demonstrate that some HRF partners must improve on key monitoring aspects. For 2011 these agencies include COOPI (Guji 262) and SCUK (nut312) as well as FAO (seed 314). For 2012 SSA (lively 362) and FAO (joint seed 355).

4.5 Project Evaluation Criteria

- No external evaluations have been carried out in 2011 and 2012. In 2013 some external evaluations were carried, e.g. the Afar pastoralist /drought response project and the water trucking evaluation.
- Few projects document good practice in their final reports. However, according to OCHA-HRF staff most Agencies provide inputs on their good practice during the preparation of HRF Annual report and these with good practice taken into consideration when drafting project proposals.
- All INGO HRF partners have an audit report on file and with no exception audit findings are positive.
- UN agencies have been not been audited externally. UN agencies have certified financial statements on file as issued by their own audit departments.

5. Specific Findings

For the purpose of this section 'effectiveness' is defined as 'the extent to which an activity achieves its purpose, or whether this can be expected to happen on the basis of outputs' (ODI, 2006)¹⁴.

By reviewing the HRF INGO projects shortlisted in table 1 and 2 the following observations can be made.

Addressing Priority Needs

All projects met intervention objectives, as stated in the intervention log frames, to a large degree. Most activities were implemented in line with the project plan although in some cases the number of projected beneficiaries was significantly higher or lower as compared to the original plan. Some activities were amended to better suit the context or changing circumstances.

In the HRF project reports the problem identification and non-food emergency needs assessment are 'directive' in reporting 'effectiveness'. The information available on needs assessments and selection criteria of beneficiaries in the HRF project proposal is sufficient. However, the needs assessments themselves are often not included in the project data base.

The project completion reports are rather 'technical' and report on the achievement of the project's objectives and the process by which change was brought about. Project completion reports do however present little information, if at all, from a community' perspective and perception regarding the degree to which identified needs were addressed.

Adhering to National Guidelines & Standards

The emergency nutrition and WASH sector interventions are in line with national guidelines ensuring uptake of lessons learned, good sectoral practice and meeting minimum standards.

¹⁴ ODI, 2006. Evaluating Humanitarian Action using the OECD-DAC Criteria. An ALNAP guide for humanitarian agencies. Overseas Development Institute.

The emergency nutrition projects targeting acute malnutrition adhere to national nutritional guidelines setting standards for MAM identification and treatment including intake and discharge management. In the WASH sector HRF implementing partners operated on the basis of own standards in terms of targeting and daily minimum water requirements. The HRF has made a strategic contribution by developing emergency WASH, in particular water tankering, guidelines in 2011 enforcing agencies to abide to those principles.

Agricultural and livestock intervention do not operate from national standards in terms of livestock treatment or seed distributions.

Community Participation

In HRF project proposals and final reports the nature of community involvement and participation in needs assessments and determination of priority needs is not always clear. This does however not mean that needs assessments are sub-standard. Implementing agencies demonstrate sufficient technical and thematic skills and expertise to undertake needs assessments and establish priority needs.

Apart from stating community involvement in needs identification and discussing approaches how best to address those needs, HRF project proposals offer little concrete evidence in this regard.

The project approach to address needs and bring about positive change is however based on good programming practice. Incorporation of good practice is safeguarded by cluster involvement and the HRF technical Review Board during the proposal stage and final project approval, Filed monitoring visits and peer-to-peer consultation during project implementation focus on uptake of good practice including the level of community participation.

In the project design stage community participation is mainly focusing on consultation with problems being analysed and defined by the implementation agencies. In general projects do promote functional participation with beneficiaries as a means to contribute to prevention and to promote lasting impact or sustainability:

- Emergency nutrition projects typically include community health education sessions.
- WASH projects include education on keeping water safe and on training water committees for operating and maintaining new or rehabilitated water points.
- Livestock interventions provide for inputs such as animal feed and vaccinations and often includes training on feeding practices and animal health care.
- Agricultural interventions such as seed distribution are typically straightforward activities with little investment in training on agricultural practice or investment in improved local seed varieties or community based seed multiplication.

The HRF could further strengthen good practice by reinforcing the analysis and incorporation of the perspectives of primary stakeholders in needs assessments, project implementation and its evaluation.

Humanitarian Accountability Project (HAP)

Monitoring and evaluation focus on emergency priority needs of local population being met in line with identified and reported needs. Little investment in humanitarian accountability although 'participation' of project beneficiaries is an important issue in field monitoring visits and peer-to-peer consultation.

The HRF has not subscribed to the Humanitarian Accountability Project (HAP).

Evaluation of HRF Projects.

HRF project effectiveness is very much linked to the evaluation of projected impact as defined in the project intervention log frame. There is relative little emphasis on evaluating the longer-term effects of HRF project interventions.

Few, if any, HRF project evaluations have been done to look at 'effectiveness' issues beyond direct delivery of planned project benefits. No systematic quantitative or qualitative ex-post evaluations have been carried out.

HRF management mentioned that they do not require external evaluations of individual HRF projects as this would be a waste of money: '*we know what emergency needs have to be addressed and how best to do it. External evaluations will have little additional value and do not justify the high costs for undertaking such studies*'.

HRF has been very strategic in evaluating interventions with the aim to develop sectoral guidelines, the sectoral guidelines for water tankering in the WASH sector being a case to the point.

Table 1. Review findings of selected HRF projects, 2012.

Code	Budget (1000's USD)	HRF Contribution (1000's USD)	Beneficiaries	Region	Target Group	Area of Support	Nature of Support	Report Iterations	Cluster Involvement	Individual Support Letter	Agencies reviewed	Evidence cluster input	Formulation of results	Formulation Activities	Achievement of Results	Achievement of Activities	% Beneficiaries reached	Humanitarian Access	Gender Code	Gender Marker
DESCRIPTIVE CRITERIA							REPORTING CRITERIA							EFFECTIVENESS						
INGO																				
SSA Afar Liveli-362	420	420	4000 Ben	Afar	2	Livestock	1	5	no	yes	1	2	3	3	3	3	3	3	yes	2
OXFAM GB DRR Shinilli-397	1088	698	9000 HH	Somali	2	WASH / FS	1,2	7	yes	-	6	3	3	3	?	?	?	3	yes	2
SC UK Ayisha Shinili 347	709	376	6029 Ben	Somali	2	Health / Nutrition	1	8	yes	-	1	2	2	2	3	3	3	3	yes	2
VS-G Eth 363	456	456	3000 HH (1)	Afar	2	Livestock & Ag	1,3	3	no	yes	1	2	3	3	3	3	3	3	yes	2
OXFAM GB CritWT 339	542	542	45000	Somali	2	WASH / FS	1	2	yes	-	1	2	3	3					yes	2
ACF Nut SNNP 379	280	182	3703	SNNP	1	Health / Nutrition	1	5	yes	-	4	3	2	2	3	1-3	1-3	3	yes	2
IRC WASH Sidama 383	808	679	54350	SNNP	1	WASH / FS	1,3	5	yes	-	2	2	3	3	3	1-3	2	3	yes	2
UN																				
Joint seed FAO 355 (3)	388	388	20000 HH	SNNP	1	Ag & Livestock	2	6	yes	-	?	?	2	2	?	?	?	?	yes	2
UNICEF RUTF 366 (4)	4023	26957				Health / Nutrition	1	2	yes	-	?	2	2	2						
WFP CSB 321 (5)	4074	4074				Health / Nutrition	1	6	yes	-	2	2	2	2						
Refugee Operations																				
GOAL 0313-336 (6)	486	486	11000 Ben	Somali		Nutrition	1	3	yes	-	?	2	3	3	3	3	3	3	yes	2
IMC 335	680	1486	100000 Ben	Somali		WASH	1	4	yes	-	1?	2	3	3	1-3	1-3	1-3	3	yes	2

Code	Monitoring Done	Monitoring sheet on file	No of peer reviewers	Evidence of peer review	A. Project Start Date	B. Output Delivery	C. Output Quality	D. Coordination	E. Relevance	F. Participation	G. Targeting	H. Implementation Capacity	I. Transparency	J. Appropriateness	K. Community Project Perspective	L. Project Quality	M. Relationship Other NGOs	N. Effectiveness Gender	O. Value for Money	E. Progress against Work plan	F. Addressing Priority Needs	G. Community involvement	H. Project Quality	I. Synergy & Coordination	J. Cross Cutting Issues	K. Overall Comments	External Evaluation	Good Practice Documented	Audit Report	Audit Findings	
MONITORING				MONITORING DATA HRF 2009-11														MONITORING DATA HRF 2012				PROJECT EVALUATION CRITERIA									
INGO																															
SSA Afar Liveli-362					2	2	1	1	2	2	2	1	1	3	2	2	1	2	2								no	no	yes	3	
OXFAM GB DRR Shinilli-397																			3	3	3	?	2	2	3		?	?	?	?	
SC UK Ayisha Shinili 347																			2	3	1	2	2	2	3		no	no	yes	3	
VS-G Eth 363					2	2	3	3	3	2	3	3	3	3	3	3	3	2	-								yes	no	yes	3	
OXFAM GB CritWT 339	yes	yes	2																3	3	3	2	2	2	3		no	yes (2)	yes	3	
ACF Nut SNNP 379	yes	yes	0		3	3	n.a.	2	3	2	n.a.	3	3	3	n.a.	n.a.	n.a.	n.a.	2								no	yes (2)	yes	3	
IRC WASH Sidama 383	yes	yes	?																3	3	3	-	3	3	2		no	yes (2)	yes	3	
UN																															
Joint seed FAO 355 (3)	yes	yes	0		3	2	n.a.	1	3	2	2	2	1	3	1	n.a.	1	2	n.a.								not on file	not on file	not on file	not on file	
UNICEF RUTF 366 (4)																															
WFP CSB 321 (5)																															
Refugee Operations																															
GOAL 0313-336 (6)	(7)	(7)	7																								no	-	yes	3	
IMC 335	(7)	(7)	7																												

Comments

- (1) VSF-G Eth 363 Beneficiaries: 7620 children, 1920 mothers, 3000 HHs
- (2) A 40 page research report 'linking emergency and long term development in Shinile, Somali Region, Ethiopia'.
- (3) FAO has acted as lead, and as one of the implementing partners, of the joint seed proposal. Other implementing partners included: CRS, FHE, GAOL, WV.
Total budget joint seed proposal 2,30 million USD.
- (4) Community management of acute malnutrition in hot spot districts in Ethiopia.
- (5) Central procurement of locally blended food (procurement service). GOAL and CONCERN provided technical review inputs. No final report on file; only balance operating fund (1 page) and WFP Summary Statement of Account (3 pages).
Central procurement began in 2009 with HRF support to address problem of NGOs competing for the purchase of locally produced blended food in Ethiopia resulting in: high prices, limited supply, and poor quality.
- (6) In 2011 OCHA-HRF supported 10 refugee response projects to address gaps in ongoing refugee response activities in 5 refugee camps around Dollo Ad and around Afder&Liben.
In Dollo Ado HRF committed a total of 8.31 million USD to in total 8 implementing partners (DRC, GOAL, IOM, IRC, NRC, OGB, SCUS, UNICEF)
In Afder&Liben HRF allocated an additional 3,32 million USD to 5 implementing partners (COOPI, IR, SCUK, SCUS, OGB).
- (7) Consolidated multi HRF implementing partner monitoring report with qualitative monitoring findings per partner.

Table 2. Review findings of selected HRF projects, 2011.

Code	Budget (1000's USD)	HRF Contribution (1000's USD)	Beneficiaries	Region	Target Group	Area of Support	Nature of Support	Report Iterations	Cluster Involvement	Individual Support Letter	Agencies reviewed	Evidence cluster input	Formulation of results	Formulation Activities	Achievement of Results	Achievement of Activities	% Beneficiaries reached	Humanitarian Access	Gender Code	Gender Marker
DESCRIPTIVE CRITERIA							REPORTING CRITERIA							EFFECTIVENESS						
INGO																				
COOPI Guji 262	698	698	356800	Som. Or.	2	WASH / Ag-Livestock	1,2	4	yes	1	2	2	2	3	3	3	3	yes	2	
SCUS WT Moyale 279	259	279	56640	Somali	2	WASH / Ag-Livestock	1	3	yes	1	2	2	2	3	3	?	3	no		
SCUKNut263	389	671	5223	Somali	2	Health & Nutrition	1	5	yes	2	2	3	3	3	3	3	3	yes	2	
SCUK nut 312	1595	2675	21736	Afar	2	Health & Nutrition	1	6	?	?	?	3	3	?	?	3	3	yes	2	
OXFAM GB Harshn 264	332	332	1600 Ben	Somali	2	WASH / Ag-Livestock	1	4	yes	1	2	2	2	3	3	3	3	no		
UN																				
FAO Seed 314 (3)	744	744	20840	SSNR	1	Ag & Livestock	2	4	FAO	yes	?		2	2	3	3	3	3	no	
WFP (1)	5156	5156	66482	(1)	1,2	Health & Nutrition	1	3	WFP	yes	?		2	2	3	3		yes	2	
UNICEF (1)	267	267	24463	(1)	1,2	Health & Nutrition	1	3	UNICEF	yes	?		2	2	3	3		yes	2	
Refugee Operations																				
DRCNFI Ref 310	1207	1976	66500 Ben	Somali	4	NFI	1	4	UNHCR		4	2	2	2	3	3	3	3	yes	2
GOAL Nut Ref 331	2018	2026	16500 Ben	Somali	4	Shelter	1	5	UNHCR		4	2	3	2	3	3	3	3	yes	2

Code	MONITORING																	MONITORING DATA HRF 2009-11																	MONITORING DATA HRF 2012																	PROJECT			
	Monitoring Done	Monitoring sheet on file	No of peer reviewers	Evidence of peer review	A. Project Start Date	B. Output Delivery	C. Output Quality	D. Coordination	E. Relevance	F. Participation	G. Targeting	H. Implementation Capacity	I. Transparency	J. Appropriateness	K. Community Project Perspective	L. Relationship Quality	N. Effectiveness Other NGOs	O. Value for Money	A. Progress against Work plan	F. Addressing Priority Needs	G. Community Involvement	H. Project Quality	I. Synergy & Coordination	J. Cross Cutting Issues	K. Overall Comments	External Evaluation	Good Practice Documented	Audit Report	Audit Findings																										
INGO																																																							
COOPI Guji 262	yes	yes	0		3	3	1	1	3	2	2	2	1	2	3	2	3	3	1							No	No	yes	3																										
SCUS WT Moyale 279	yes	yes	0		3	2	2	3	3	3	3	3	2	3	3	3	n.a.	3	3							No	No	Yes	3																										
SCUKNut263	yes	yes	0		3	3	3	3	3	3	3	3	3	3	2	n.a.	3	3								No	No	Yes	3																										
SCUK nut 312	yes	yes	5		2	2	2	1	3	2	2	2	2	2	3	1	1	2	2							No	No	Yes	3																										
OXFAM GB Harshn 264	(4)	(4)	1																							No	Yes	Yes	3																										
UN																																																							
FAO Seed 314 (3)	yes	yes	?		1	1	n.a.	1	n.a.	2	n.a.	2	1	2	n.a	1	n.a.	n.a.	1							No	No	No	No																										
WFP (1)	No	No																								No	No	(2)	(2)																										
UNICEF (1)	No	No																								No	No	(2)	(2)																										
Refugee Operations																																																							
DRCNFI Ref 310	(5)	(5)	?																							No	No	Yes	3																										
GOAL Nut Ref 331	(5)	(5)																								No	No	Yes	3																										

Comments

- (1) This is a combined HRF proposal for a total of 5,4 million USD covering adhoc TSF and Blanket Suppl. Feeding in Somali, SNNP and Oromia Regions.
- (2) Only WFP and UNICEF Certified Financial Statements
- (3) This is a joint seed response under the lead of FAO and FAO as implementing agency.
- (4) In Dec-Jan HRF reviewed 13 emergency water trucking interventions t address acute water shortages in Somali Region. Other INGOs HRF partners: MC, ACF, DRC, IRC, CHF.
- (5) Dollo Ado, multi HRF partner monitoring report Feb-March 2012. Qualitative monitoring findings per partner including DRC.

4 Criteria Used for Review of HRF Projects

4.1 Descriptive Criteria

These criteria will give a reading of the degree to which critical humanitarian needs are met in life-saving sectors and locations.

HRF Implementing Partner

- UN-Agency
- INGO

Budget and Beneficiary Numbers

- Approved budget in USD
- Beneficiary numbers

Region

- Region

Target Group

1. Agriculturalists
2. Agri-Pastoralists - pastoralists
3. IDPs
4. Refugees

Areas of HRF Support

1. **Emergency nutrition:** people being provided with life-saving nutritional support. The HRF focused on the treatment of children with Severe Acute Malnutrition (SAM) and Moderate Acute Malnutrition (MAM), and support to vulnerable groups including pregnant and lactating mothers.
2. **Water, Sanitation and Health (WASH):** people benefited from safe water and improved sanitation. The HRF funds water trucking in the most urgent life-threatening cases, but also construction and rehabilitation of sustainable water sources.
3. **Emergency Shelter and Non-Food Items:** families benefitted from support with construction of temporary shelters and basic items such as bedding materials and cooking equipment. The HRF provided funding to support sudden influxes of new refugees or those displaced internally by conflict.
4. **Emergency Food Security and Livelihoods:** disaster affected families supported with planting crops and families with maintaining their livestock.
5. **Disaster Resilience:** The HRF supported the most vulnerable communities to improve their resilience to disasters.

Nature of Support

1. Emergency Response (addressing symptoms of transitory nature)
2. DRR (addressing causes of transitory nature)
3. Livelihoods (addressing causes of a chronic nature).

4.2 Reporting Criteria

Report Quality

- Project Proposal: Number of Iterations #

Cluster Involvement

Is filled-out Cluster Reviewing Template or Cluster Support Letter on file:

- Yes
- no

How many agencies have reviewed project proposal: #

Evidence of cluster technical inputs:

1. None
2. Some
3. Substantial
- ‘-’ Not able to determine

Formulation of Results and Activities in approved and final Project Proposal

Formulation of Results:

1. Basic
2. Average
3. Good

Formulation of Activities

1. Basic
2. Average
3. Good

4.3 Effectiveness Criteria

Achievement of Results and Activities in Approved Project Completion Report

Achievement of Results

1. under 50% achieved
2. between 50 to 90% achieved
3. over 90 % achieved

Achievement of Activities

1. under 50% achieved
2. between 50 to 90% achieved
3. over 90 % achieved

% of Planned Beneficiaries reached by Project

Achievement of Beneficiary Targets

1. under 50% achieved
2. between 50 to 90% achieved
3. over 90 % achieved

Humanitarian Access

Degree of Humanitarian Access

1. Limited access
2. Constrained access but manageable
3. Full access

Gender

HRF claims to be a gender/responsive funding mechanism: the degree to which gender considerations are mainstreamed in project design and implementation.

Is filled-out Gender Marker Self-Assessment Template on file?

- Yes
- No

Gender code:

- 0. No signs that gender issues were considered in project design
- 1. Project contribute in some limited way to gender equality
- 2. Project contribute to significantly to gender equality
- 3. Principal purpose of project is to advance gender equality

4.4 Monitoring

Monitoring

Has monitoring taken place?

- Yes
- No
- ⌚ Not able to determine

Is filled-out Monitoring Sheet on file:

- Yes
- No
- ⌚ Not able to determine

Apart from OCHA staff how many peer to peer reviewers have joined in monitoring mission?: #

Evidence of peer to peer advice and inputs:

- 1. None
- 2. Some
- 3. Substantial
- ⌚ Not able to determine

Monitoring System (2012->)

A. Progress as per work plan

- 1. Progress is a concern
- 2. Modest delays per plan, but acceptable
- 3. On pace to succeed

B. Priorities needs being addressed?

- 1. The project is not at all appropriate for the given context
- 2. Significant reprogramming is required to ensure the projects relevance to the context
- 3. Needs have changed somewhat since the project was funded, but still mostly appropriate
- 4. The activities are very appropriate for the given context

C. Level of community Involvement

- 1. Not at all involved
- 2. Partially involved
- 3. Highly involved

D. Project Quality in adherence to international / national standards and best practice

- 1. Did not meet the expected standards
- 2. Some improvements required
- 3. Fully met the standards

E. Synergy and coordination with partners in project area

- 1. Coordination with partners needs to be improved
- 2. Adequate collaboration
- 3. Very strong collaboration and info sharing

F. Cross Cutting Issues (inclusion/consideration potential biases and vulnerable groups in project implementation)

- 1. Significant improvements required
- 2. Some steps taken, but could be improved
- 3. Adequate steps were taken

Quality and usefulness of overall comments

- 1. Poor
- 2. Adequate
- 3. Strong

Monitoring System (2009-2011)

A. Adherence to project start date as stipulated in project proposal

- 1. Project delayed significantly
- 2. Project started late
- 3. Project started in good time

B. Project progress towards delivery if outputs as compared to implementation plan

- 1. Significant delay in process observed
- 2. Slight holdup in progress observed
- 3. Delivery of output progressing well

C. Quality of output and /or deliverables

- 1. Outputs/deliverables are of unacceptable quality, corrective action needed
- 2. Outputs/delivery are of acceptable quality
- 3. Outputs/deliverables are of very high quality

D. Quality of coordination / synergy / partnership in project implementation

- 1. Follow-up & support required to further strengthen coordination, synergy and partnership
- 2. Co-ordination, synergy and partnership is acceptable
- 3. Very satisfactory level of coordination / synergy / partnership observed

E. The overall relevance of the humanitarian response

- 1. Significant revision required
- 2. Relevant but needs some revision
- 3. Very much relevant

F. Level of participation / consultation with local stakeholders and beneficiaries in planning and implementation of the project

- 1. No participation
- 2. Limited participation
- 3. Satisfactory

G. Quality of beneficiary targeting

- 1. Requiring major revision
- 2. Requiring some review
- 3. Satisfactory

H. Implementation capacity, deployment of required personnel, quality of supportive supervision and the overall project set-up

- 1. Requiring major improvement
- 2. Requiring some improvement
- 3. Satisfactory

I. Level of transparency, the project is widely shared among relevant sector government offices, and

relevant local support, appreciation, and participation are obtained.

1. Requiring major improvement
2. Requiring some improvement
3. Satisfactory

J. Appropriateness of the project in addressing priority humanitarian emergency need of the population

1. Needs have changed dramatically and the project needs reprogramming
2. Needs have partially changed
3. Appropriate

K. Community's perspectives about the project and its implementation (as expressed in the community focused group's discussion sessions)

1. Communities have expressed a strong reservation, remedial action needed
2. Project accepted with some minor reservation
3. Very well accepted

L. Quality of the project and adherence to standards or best practices

1. Strong reservation, remedial action required
2. Some limitations noted
3. Satisfactory

M. How is the relationship with the implementing NGOs working in the area?

1. Need further actions
2. Acceptable
3. Satisfactory

N. The effectiveness of the project in addressing / mainstreaming gender sensitivity

4. Little evidence suggesting addressing / integration / mainstreaming of gender
5. Some evidence suggesting addressing / integration / mainstreaming of gender
6. Adequate evidence suggesting addressing / integration / mainstreaming of gender

O. The attainment of value for money

1. Unsatisfactory, requiring major remedial actions
2. Satisfactory
3. Very satisfactory

4.5 End of Project Evaluation

Has an end of project evaluation taken place?

- Yes
- No

External Evaluation:

- Yes
- No

Documentation Good Practice:

- Yes
- No

Audit report on file?

- Yes
- No

Audit findings

1. Main weaknesses
2. Some weaknesses
3. True and fair

Annex 7. Ethiopia's Humanitarian Coordination Architecture.

Humanitarian Coordination

The Government and humanitarian partners work jointly to provide emergency assistance to disaster-affected populations.

Emergency needs are identified through the twice-yearly national needs assessment process.

Annual humanitarian requirements for food assistance; health and nutrition; water, sanitation and health; agriculture (and livestock); and emergency education are represented in the Humanitarian Requirements Document and its revisions.

Humanitarian preparedness and response are coordinated by the Government's Disaster Risk Management and Food Security Sector, a directorate within the Ministry of Agriculture, with sector-specific response coordinated by the respective line ministries.

To promote a coordinated response, the humanitarian community has established a Humanitarian Country Team (HCT), locally-adapted cluster approach and a Humanitarian Response Fund (HRF). The international community supports various Government-led coordination forums, including the Multi-Agency Coordination Forum and the Disaster Risk Management Technical Working Group and its subsidiary bodies.

The United Nations Development Assistance Framework (UNDAF) for 2012-2015 has integrated humanitarian preparedness and response as an integral component of its planning to support Disaster Risk Reduction in Ethiopia.

Source: UNOCHA, 2014

The UN in Ethiopia

The Resident Representative of UNDP also serves as the Resident and Humanitarian Coordinator (RC/HC) for Ethiopia.

The RC/HC leads humanitarian coordination and liaison with the Government of Ethiopia and is charged with the responsibility of ensuring that an appropriate level of preparedness exists within the humanitarian response system.

The OCHA country office, in collaboration with both Government and partners, provides support to the RC/HC in coordinating emergency preparedness and response among national and international actors, and strengthening national capacity for humanitarian coordination at the federal, regional and lower levels.

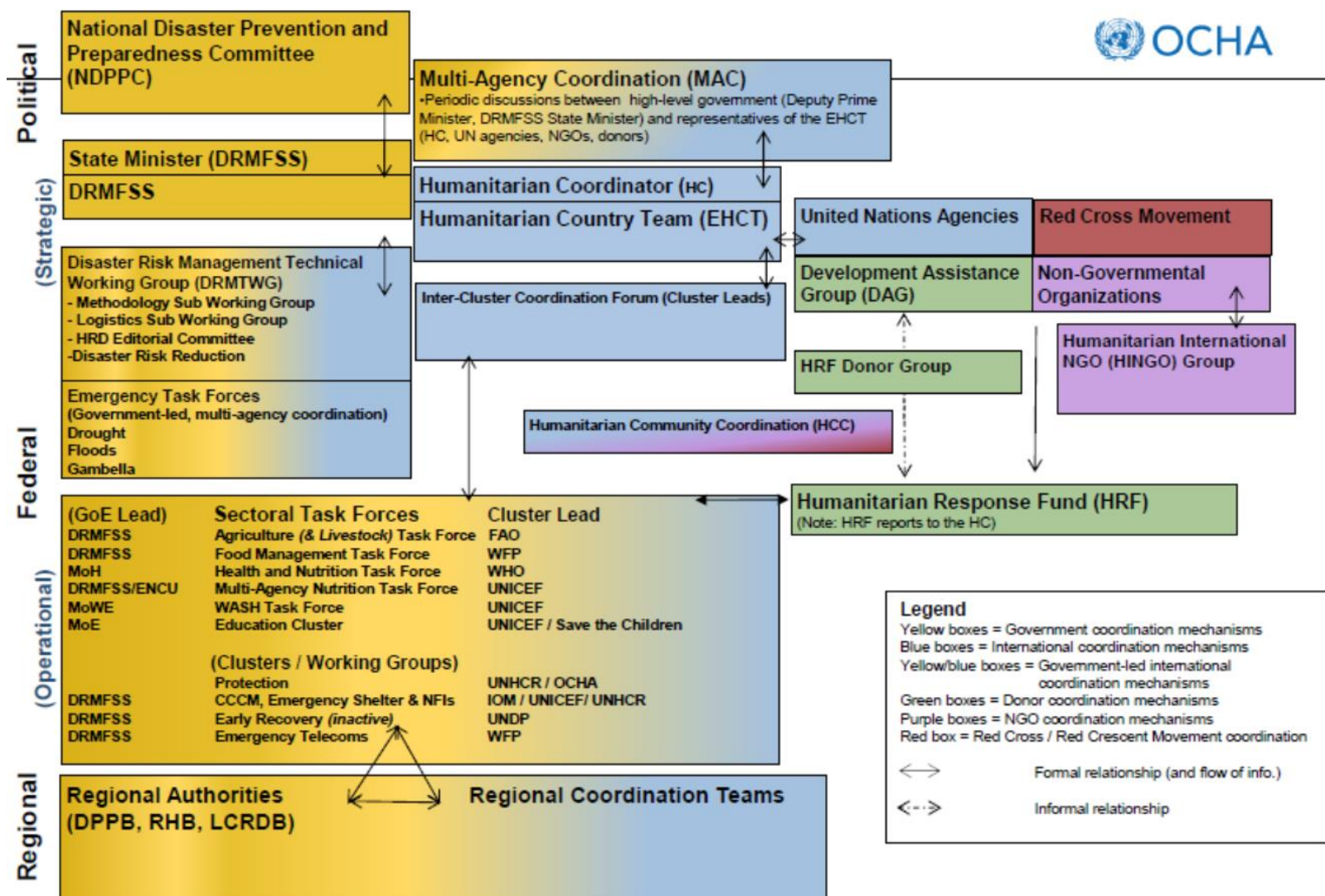
The head of the OCHA office acts as the principal advisor of the RC/HC on humanitarian issues.

There are 24 resident UN funds, programmes and agencies in Ethiopia. More than 100 UN agencies and NGOs, as well as the Red Cross Movement, participate in the coordinated humanitarian response in Ethiopia.

Source: UNOCHA, 2014

Ethiopia's Humanitarian Co-ordination Architecture

For an overview of Ethiopia's humanitarian coordination architecture see the following 2 pages.



Humanitarian Coordination Architecture in Ethiopia



Humanitarian Coordination Architecture in Ethiopia

National Disaster Prevention and Preparedness Committee (NDDPC)

- Chaired by the Deputy Prime Minister, membership comprises Ministers of various Line Ministries and State Minister/DRMFSS
- Highest-level national emergency coordination forum
- Reviews and approves annual Humanitarian Requirements Document (HRD)

Disaster Risk Management and Food Security Sector (DRMFSS)

- Directorate within Ministry of Agriculture, headed up by a State Minister
- Early Warning & Response (EWRD) & Food Security Coordination (FSCD)
- Responsible for inter-ministerial coordination of DRR, emergency response (including relief food assistance) and early recovery
- **Multi-Agency Coordination (MAC):** Chaired by DRMFSS, expanded to include STFs, UN, NGOs and donors; coordinates federal response on the government side
- **DRM Technical Working Group:** Chaired by DRMFSS, membership open to line ministries, UN, NGOs and donors

- **Methodology Sub Working Group, Logistics Sub Working Group and HRD Editorial Committee:** as sub-groups of the DRMTWG, each works on a technical aspect of preparation of the biannual national needs assessments and related HRDs
- **DRR Sub Working Group:** New, its TORs are being developed
- **Emergency Task Forces (including Drought, Floods and Gambella):** Like the DRMTWG that they fall under, ETFs are chaired by DRMFSS and open to membership by line ministries, UN, NGOs and donors; ETFs are established/reactivated for key crises that require a multi-sectoral response

Sectoral Task Forces (STFs)

- Each STF is chaired by the relevant line ministry and supported/co-chaired by a cluster lead from the international community
- Membership open to all agencies working in the sector at the technical level
- STFs are responsible for formulating sector strategies and response plans and coordinating sector response at federal and state levels
- Through the relevant cluster lead, the STFs are also responsible for performing the technical review of HRF projects in the sector

Regional / Local Authorities

- Within each region (and usually within woredas and at lower levels), the counterparts to the relevant line ministry (i.e. Ministry of Health – Regional Health Bureau) and DRMFSS (Disaster Prevention and Preparedness Bureaus, DPPBs)
- Responsible for coordinating response within sectors at the regional and lower levels, but needs to be formalized, regularized and strengthened

Humanitarian Policy Dialogue

- Co-chaired by the State Minister/DRMFSS and Humanitarian Coordinator (HC), with secretarial support of DRMFSS and OCHA
- Quarterly forum that brings together representatives of the EHCT, DRMFSS and Line Ministries to discuss key strategic issues

Ethiopia Humanitarian Country Team (EHCT)

- Chaired by the HC and comprised of UN agencies, NGO representatives, donor representatives and Red Cross Movement
- EHCT sets humanitarian strategy, policy and advocacy priorities

Inter-Cluster Coordination (Cluster Leads Meeting)

- Convened and chaired by OCHA, comprising working level representatives from each cluster lead agency
- Inter-sectoral coordination on the international side; discusses strategic issues
- Includes representation from clusters / working groups that have no national STF counterparts (i.e. Protection)
- Should be operational counterpart to EHCT, but information sharing and accountability mechanisms require strengthening

Humanitarian Community Coordination

- Information sharing platform open to all partners

Regional Coordination Teams

- Comprising UN and NGOs represented at regional and lower levels, informal groups work to streamline response through inter-sectoral and sectoral coordination

Humanitarian Response Fund (HRF)

- Managed by OCHA on behalf of the HC, HRF is a pooled fund accessible by UN and international NGOs
- Technical review done by cluster leads/STFs; overall project review and recommendation to HC done by Review Board
- Largest source of non-food humanitarian financing in Ethiopia, able to fund sectors not covered by HRD
- Liaises regularly (formally and informally) with its donors, as well as non-HRF donors (OFDA, ECHO) to enhance complementarity

Humanitarian International NGO Group (HINGO)

- Inter-NGO coordination mechanism comprising national and international NGOs
- Elected Steering Committee represents the NGO community on the EHCT

Development Assistance Group

- Main development partner/group in Ethiopia; has its own coordination mechanisms
- Three DAG representatives (ECHO, USAID/OFDA and DFID) sit on EHCT