Partners for Resilience (PfR) Ethiopia Integrated Risk Management Program: Final Evaluation

Final Report

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EXECUTIVE SUMMARY

The Partners for Resilience (PfR) alliance supported the implementation of an integrated risk management (IRM) programme from 2011–2015 in eight *woredas* of three regions and one city administration in Ethiopia, focusing on strengthening communities' resilience, building the capacity of civil society organizations (CSOs), and engaging in policy dialogue. This final evaluation assesses the achievements of the programme and its contribution to the attainment of observable results using the evaluation criteria of relevance, effectiveness, efficiency, impact and sustainability.

The evaluation took place two and a half years after the programme phase-out and was therefore well placed to judge impact. The years after phase-out, however, saw recurrent extreme-weather events and this could have undermined expected impact. Primary and secondary data were collected through document review, household (HH) surveys, focus group discussions (FGDs), key informant interviews (KIIs) and observation. The key findings of the evaluation are summarized hereunder.

Relevance/Appropriateness

The interventions selected and implemented, the methods used, and the processes followed were relevant to the needs of target communities, government development priorities and policies, and the mandates of the consortium members and local implementing partners, as indicated by data analysis and discussions with stakeholders. The programme components were relevant to the risk-reduction needs of target communities, and the approach used (IRM) was appropriate, as affirmed by the FGD and KII participants.

However, involvement of the country programme team during the design phase was minimal and this led to difficulties in understanding IRM. Moreover, the programme design did not include a clear theory of change or a complete log frame with targets and indicators; what was in the programme documents does not clearly present flows of outcomes, outputs and activities, and this resulted in gaps in reporting and in the measurement of results. Support for staff and stakeholders in the design of capacity development was mainly provided remotely by the Climate Centre and Wetlands International for budgetary reasons, and was therefore not as frequent or exhaustive as it could have been.

Effectiveness

The achievement of the programme's planned outputs was assessed chiefly in terms of three pillars: community resilience, CSO capacity building, and dialogue on policy and advocacy. The programme met almost all its major targets for building community resilience, with the exception of irrigation, the provision of live animals, rangeland management, and the construction of 'sand dams' (rubble and cement walls on a seasonal sandy river).

Planned irrigation activities were not implemented in Nyangatom, Ebinat, and Dewe *woredas* due, respectively, to longstanding conflicts with neighbouring *woredas*, design and construction problems leading to dam collapse and siltation, and low water capacity. The findings indicate that the programme reached 114,429 people in 37 communities, well above the target figure of 90,000.

In order to effectively implement programme components using an IRM approach, alliance members provided training in capacity development for 387 staff from implementing partners (NGOs/CBOs), input that later fed across to local government staff, DRR committees, women's associations and communities. This training helped facilitate implementation of IRM programmes, and enabled the full and sustainable handover of activities to community organizations and government bodies. In addition, the sharing of experience at learning forums by community representatives within the programme cycle helped IRM implementation.

Continuous engagement of stakeholders by alliance members and implementing partners helped achieve buy-in of IRM by local government, which was closely involved in using IRM in planning and implementation of its own.

However, despite efforts by alliance members to facilitate activities and dialogue with central government focusing on IRM, the programme's influence on policy at the national level has not materialized as planned – a consensus point among KII participants – mainly due to government restrictions on foreign-funded NGOs.

Efficiency

The programme used 84 per cent of its planned budget, a good performance by the standards of comparable programmes. It was also cost effective compared to other local development actors' programmes since almost all PfR implementing partners used labour provided by communities with only minimal need for training.

The programme was well managed and coordinated at all levels. Alliance members facilitated different activities such as planning, monitoring, sharing of experience, documentation of best practice, and staff training. Programme implementation was regularly monitored and evaluated, enabling prompt corrective actions when needed.

Most activities planned for the full five-year programme period were eventually implemented, although start-up was delayed, including signing of agreements and releasing funds. This resulted in a reduction in the period of implementation to at most three years, and some estimate that up to two years was used merely to understand the IRM approach for the purposes of planning and selecting partners.

Outcomes and Changes Observed

The programme focused on the three pillars of community resilience, building the capacity of CSOs, and dialogue on policy. To strengthen community resilience, it undertook interventions that included livelihood diversification, food security, access to credit, water and irrigation services. Twenty-four per cent of evaluation survey respondents reported that they had adopted new livelihoods because of PfR, of whom 66.5 per cent said their incomes had gone up as a result. Forty-six per cent of respondents said new farming techniques they started using contributed to improve production.

Average annual HH income increased almost threefold from the baseline average of ETB 3,285 (98 euros) to ETB 9,468 (283 euros) from farming, somewhat improving food security. But this finding was small compared to the figure given in a report by the UN Food and Agriculture Organization in 2015[1] which estimated average income at ETB 39,446 (1,179 euros) per year, more than four times the PfR household average. This discrepancy might be the result of PfR interventions being implemented in marginal areas experiencing frequent droughts, with more vulnerable households whose incomes were already smaller than the national average and where there were more people who were food insecure.

Twenty-four per cent of respondents also stated that they were food secure, exactly double the number in the programme's own baseline survey, despite chronic drought. It is noteworthy that the increase in food security among PfR households goes against the national trend during the same period, in which the number of food insecure people in the country was estimated at 2.9 million in 2014, 4.5 million in August 2015, and 10.2 million by the end of the same year, suggesting communities improved their resilience thanks to PfR interventions. This is remarkable given that data for the evaluation was collected in 2018, over two years after the end of PfR1, and that the PfR communities suffered from the severe El Niño-related drought in 2015–2016, with the Ethiopian government declaring that 7.7 million people needed emergency food aid in 2017.

However, much needs to be done regarding the capacity of individuals, households and communities to remain resilient in the face of a series of natural and human-induced hazards. Limited resources and low levels of capacity in the community limited the ability of the majority – 76 per cent – who said they were still food insecure to withstand the drought that began right after the programme phase-out. Among the food-secure respondents, however, 87 per cent rated the contribution of the programme as "moderate and above".

Sixty-seven per cent of respondents said PfR improved access to credit services through awareness raising for savings and credit institutions and multi-purpose cooperatives, the provision of seed money and materials such as deposit boxes and stationery for groups, and linking them with institutional sources of credit.

PfR had a positive impact on water facilities, according to 69 per cent, though drought undermined the gains in

[1] Rapsomanikis, G. (2015). The economic lives of smallholder farmers: An analysis based on household data from nine countries (Retrieved from: www.fao.org/3/a-i5251e.pdf, Page 21.)

some locations. Compared to other programme *woredas*, six out of 13 facilities in Nyangatom did not function properly because of a lack of rainwater and ground water in the drought – a higher propertion than other *woredas*.

Similarly, just under 30 per cent of respondents said they used irrigation schemes, nearly three times as many as in the baseline (11.8 per cent). All of the associations of water users are still active, even where irrigation schemes are not operational, and they are working with the relevant agencies to fix them. Nearly 90 per cent of irrigation users reported changes in their livelihoods because of this support.

Generally, there is an indication in improvement in community resilience due to the programme interventions. New cultivation techniques, whether rain-fed or irrigated, that had not been tried in Dewe *woreda*, for example, became operational during PfR. Very nearly half respondents reported changes in HH coping or adaptive capacities due to PfR interventions, both on-farm and off-farm, such as irrigation and credit schemes. Given both the longstanding fragility of local ecosystems and the extreme weather during the life of the programme, the results observed are good.

Sustainability

Building the technical capacity of communities and linking institutions with concerned government offices was the main strategy. The findings indicated that the various trainings provided by PfR have been practical and fully applied in IRM interventions by communities, local government and implementing partners. As a result, PfR partners included the EMR and CCA in their DRR and other programmes and now advocate for the IRM approach. The capacity support provided for the various local IRM committees – on early warning, for example – became functional and links were created among early warning government partners, NGOs and *kebele* CMDRR committees.

In some *woredas*, programme interventions were handed over to the government by the end of the programme period, but during the field visit for this evaluation it was found out that about two-thirds of the interventions did not continue, a result confirmed by the household survey in which only just under 35 per cent said interventions continued after phase out. This may be associated with the fact that the programme was implemented hastily in no more than three years, and now communities still require support from various organizations to sustain programme activities and assets.

Challenges

- Lack of clarity on the concept of IRM (the integration of DRR, EMR, and CCA) among consortium and implementing partners took more than a year to resolve.
- The Ethiopian Charities and Societies Law prohibits NGOs from major advocacy on policy at the national level. As a result, the role of the programme in changing policy on IRM was minimal, and therefore proportionately more attention to other two programme pillars would have been ideal.
- In newly expanded programme sites such as Dire Dawa, there was not enough time (two years) for programme interventions to mature compared to other locations (five years).
- The application of the integrated approach in separate areas by different implementing partners made it difficult for the Red Cross Red Crescent Climate Centre and Wetlands international to provide technical support in the field.

Conclusion

- The programme has addressed the needs of communities while chiming with government policies and strategies. But it did not include a theory of change that clearly showed the flow of outcomes, outputs and activities, and the programme design was unclear; it was difficult to report on changes and outcomes against objectives.
- Almost all programme activities were implemented as planned, except irrigation schemes and national-level advocacy.
- The programme budget was used in a cost-effective manner; in any case, some plans had to be implemented intensively due to the delay in start-up.
- Increased resilience was observed among communities and partner organizations, but much more is required to address remaining huge needs.

- As of the time of collection of data for this evaluation, some programme interventions have continued.
- There was good coordination among consortium members, implementing partners and government.
- Implementing partners well knew the local context through earlier interventions and this helped them win the trust of communities.
- Generally, there are indications of improvement in community resilience due to PfR.

Recommendation

- Considerable time and expertise have to be invested in programme design, involving local consortium members and implementing partners.
- An in-country presence is necessary as is sufficient budget for all consortium members to provide support.
- IRM requires more time (about two years for early starters and about three for extension sites such as Dire Dawa) to internalize, undertake assessments of specific areas, and implement and monitor plans.
- The approach should be scaled up and observed gaps in PfRI plugged: a clear theory of change, time for internalizing the IRM approach, collaboration on design with the country-level team, and adequate budget distribution for consortium members.

ACRONYMS

ACORD	Agency for Cooperation and Research Development
AFD	Action for Development
BDU	Bahir Dar University
CBO	Community Based Organization
CCA	Climate Change Adaptation
CMDRR	Community Managed Disaster Risk Reduction
CSO	Civil Society Organization
DAC	Development Assistance Committee
DRM	Disaster Risk Management
DRMFSS	Disaster Risk Management and Food Security Sector
DRR	Disaster Risk Reduction
EMR	Ecosystem Management and Restoration
ERCS	Ethiopian Red Cross Society
ETB	Ethiopian Birr
EW	Early Warning
EWS	Early Warning System
FAO	Food and Agricultural Organization of the United States
FGD	Focus Group Discussion
HH	Household
IIRR	International Institute of Rural Reconstruction
IRM	Integrated Risk management
KII	Key Informant Interview
M&E	Monitoring and Evaluation
MFIs	Micro Finance Institutions
MoU	Memorandum of Understanding
NGO	Non-Government Organization
OECD	Organization for Economic Co-operation and Development
PCDP	Pastoralist Community Development Program
PDRA	Participatory Disaster Risk Assessment
PfR	Partners for Resilience
PRRRP	Participatory Risk Review and Reflection Process
SPSS	Statistical Package for Social Sciences
SSD	Support for Sustainable Development
SWC	Soil and Water Conservation
ToR	Term of Reference

ACKNOWLEDGEMENT

The evaluation team would like to express its appreciation for alliance organizations Cordaid, CARE, the Ethiopian and Netherlands Red Cross, the Red Cross Red Crescent Climate Centre ('the Climate Centre'), and Wetlands International for their initiative to strengthen community resilience, build the capacity of partner organizations, and enhance policy advocacy in the country context of Ethiopia. This type of initiative can trigger other development partners to follow the path towards realizing secure livelihoods and empowerment for disaster prone communities.

We would like to thank Climate Centre for giving us the opportunity to undertake the final evaluation of the PfR programme. The team is grateful to Clemens Gros from the Climate Centre for providing technical support, guidance and necessary reflections throughout the evaluation process to come up with concrete findings and recommendations.

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The team would also like to acknowledge the valuable assistance provided by alliance representatives at the head-office level, implementing partners' representatives in Ethiopia, and responsible government sectors in the target districts in providing valuable data. Moreover, the team appreciates the staff of partners (government and implementing NGOs and CBOs) for their facilitation of data collection.

Finally, we would like to express our gratitude to beneficiaries of the PfR programme in communities for their patience in providing us with such good information.

It is our sincere hope that alliance members, implementing partners, and other stakeholders will benefit from the findings of this final evaluation, involving positive gains for future programming.

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1. BACKGROUND

1.1 Background to the Programme

The Partners for Resilience (PfR) alliance had been working in the field of integrated risk management (IRM) from 2011–2015 in nine countries including Ethiopia. Their work focused on three strategic lines: strengthening communities' resilience through targeted interventions at local level, building the capacity of civil society organizations to promote the integrated approach, and engaging in policy dialogues with governments to create an enabling environment.

PfR centers on making people, communities and systems better prepared to withstand catastrophic events (both natural and human-induced) and remain resilient to shocks and stresses. The key innovation of the PfR programme was its effort to integrate disaster risk reduction (DRR), climate change adaptation (CCA) and ecosystem management and restoration (EMR).

In Ethiopia, PfR was implemented in eight *woredas* (districts) of three regions and one city administration. Dewe, Nyangatom, Arero and Miyo districts are pastoral in nature where most people rely on livestock. Ebinat, Gorugutu, and Dire Dewa (two *woredas*) areas are characterized by mixed farming (crop and livestock production).

The program was implemented by an alliance of organizations comprising the Ethiopian branches of Cordaid, CARE, and the Ethiopian Red Cross Society (ERCS). The alliance members facilitated programme implementation through five local implementing partners: the ERCS for Ebinat, Support for Sustainable Development for Dewe, Action for Development for Nyangatom and Arero, the Agency for Cooperation and Research Development for Miyo,cand both the Ethiopian Catholic Secretariat and the Dire Dawa Administration CMDRR Association for Dire Dawa.

The implementation *woredas* by region are: Dewe in Afar region, Ebenat in Amhara region, Gorogutu, Miyo, and Arero in Oromia region, and Nyangatom in Southern Nations, Nationalities, and Peoples' region. The programme was also implemented in two *woredas* of Dire Dawa city administration. The Climate Centre and Wetlands International provided the required technical backstopping support.

Activities on the ground were facilitated with the active involvement of communities to identify and analyze hazards, develop IRM action plans, establish community IRM institutions, and implement action plans. Implementing partners helped communities in implementation, establishing early warning systems (EWS), capacity building of government and CSO officers in IRM, documentation of lessons learned, and networking for lobbying and advocacy.

The programme ended in December 2015, which necessitated the evaluation of its achievements. Accordingly, the Climate Centre and its partners hired the International Institute of Rural Reconstruction (IIRR) and its associate Bahir Dar University to evaluate the programme implemented in Ethiopia.

1.2 Objective and Scope of the Evaluation

The objective of this final evaluation is to ascertain the contribution of the PfR programme in Ethiopia in achieving observable results, intended or unintended, versus plausible alternative causes. The findings will help to draw valuable lessons for future programme implementation. Specifically, the evaluation will assess changes in strengthening community resilience, building the capacity of civil society organizations, and engaging in policy dialogues with the government.

The scope of this evaluation covered PfR implementation (2011 to 2015) using the standard evaluation criteria of the Organization for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) to answer the key questions stipulated in the Term of Reference (ToR) contextualizing to fit into the program purpose and expected results. The main evaluation criteria are relevance, effectiveness, efficiency, impact, and sustainability. To maximize learning for the program, the evaluation investigated the reasons for success or failure to establish causality. Moreover, the evaluation looked into challenges, lessons learnt, conclusions, and recommendations that will contribute to better future programming in program design and implementation arrangements.

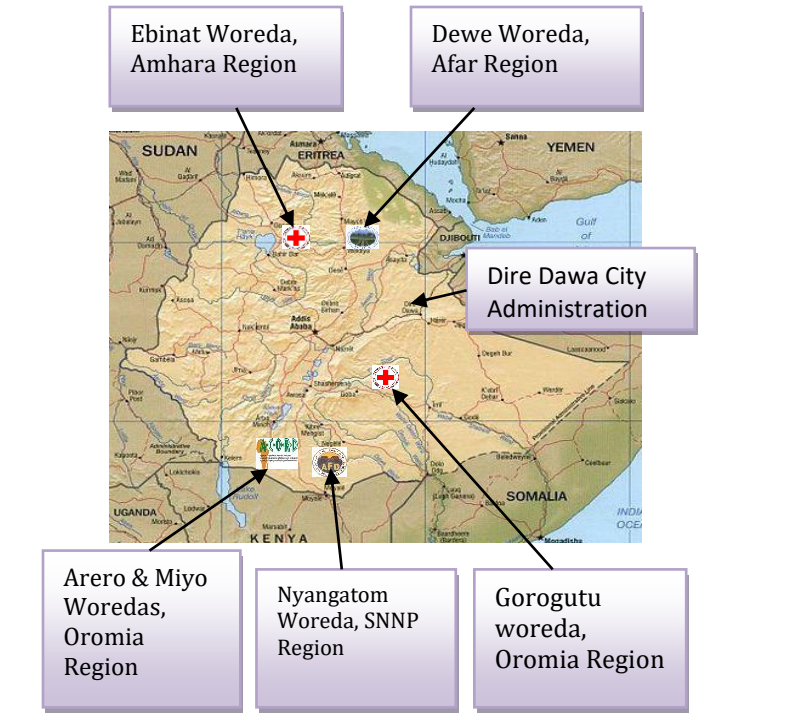
1.3 Study Area Context Description

PfR was implemented in eight *woredas* in three regions and one city administration: Dewe *woreda* in Afar region, Nyangatom *woreda* in SNNP region, Arero, Miyo, and Gorugutu *woredas* in Oromia region, Ebinat *woreda* in Amhara region, and two *woredas* in Dire Dewa city administration. The baseline survey was undertaken in all areas where the programme started except the extension sites (Arero and Dire Dewa). Among the intervention areas, Dewe in Afar, Ebinat in Amhara, Nyangatom in SNNP, and Dire Dewa were included in this final evaluation (Figure 1).

These intervention areas are situated at different locations across Ethiopia and are characterized by different agro-ecological zones as well as crop and livestock farming systems. Dewe and Nyangatom *woredas* are found in pastoral ecological zones, where most of the communities rely on livestock farming. The rangeland is degraded and, as is typical of these communities, pastoralists move from place to place in search for animal feed and water. Due to climate change livelihoods options of the community are limited. In the recent years, the government has been encouraging crop production to supplement the living conditions.

On the other hand, Dire Dawa and Ebinat *woredas* are found in an agro-pastoral ecological zone, characterized by both crop and livestock production, with the types of crops and livestock species depending on the ecological potential.

PfR intervention communities suffered from Ethiopia's 2015–201El Niño-related drought and another severe drought in 2017 that led the Ethiopian government to declare that 7.7 million people were in need of emergency food aid. The number of food insecure people in the country increased, from 2.9 million in 2014 to 4.5 million in August 2015 and 10.2 million by the end of 2015. Due to the extreme weather experienced during and after implementation and its impact on livelihoods, it's fair to assume assume that the gains of the programme might have been reversed in some locations.


Ebinat Woreda, Amhara Region
Dewe Woreda, Afar Region
Dire Dawa City Administration
Arero & Miyo Woredas, Oromia Region
Nyangatom Woreda, SNNP Region
Gorogutu woreda, Oromia Region
SUDAN
ERITREA
YEMEN
DJIBOUTI
SOMALIA
UGANDA
KENYA
Addis Ababa

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2. RESEARCH METHODS

Mixed methods were applied in this evaluation, focused on the collection and analysis of primary and secondary data (qualitative and quantitative) on the relevance, effectiveness, efficiency, impact, and sustainability of the programme. Data, collected by consent, came from documents, beneficiary households, and qualitative information from various stakeholders. Details follow on sampling design, data-collection methods and tools, analysis techniques, and quality-assurance strategy.

2.1 Sampling Design

For the household survey, representative samples of 700 respondents were selected from across three *woredas* (Dewe, Ebinat, and Nyangatom), representing a mix of pastoralist and farming areas as agreed with the PfR M&E reference group. It was also agreed that 100 respondents from Dire Dawa programme areas would be included.

The sample size was divided between the selected *woredas* and *kebeles* and was proportional to the size of the target beneficiary groups in the three *woredas* (see Table 1). As a result, 174, 394, 132 and 100 sample beneficiaries were interviewed from Dewe, Ebinat, Nyangatom, and Dire Dawa respectively. Contingency data was collected from 19 respondents in Ebinat was also included. Hence, the total sample size for the evaluation was 819.

Table 1. Sample Size Determination

District	Kebele	Total household population	Number of households in the survey (sample size) (n = 700)
	Adayelena Woderage	456	37
Dewe	Eyeledena Gendewary	306	25
	Clintinema Derseda	1205	98
	Wahelonena Gudele	170	14
Dewe Total		**2137**	**174**
Ebinat	Tarasamba	1288	111
	Wagoworggaja	1627	142
	Womberoch Wofchome	1923	160
Ebnat Total		**4838**	**413**
Nyangatom	Ayipa	274	22
	Chare	112	9
	Kakuta	108	9
	Koperiya	280	23
	Lokemgnen	114	9
	Lorenkachawe	300	25
	Naptokoyet	277	23
	Nawuape	143	12
Nyangatom Total		**1608**	**132**
Dire Dawa			**100**
Grand Total		**8583**	**819**

Source: Household population for Dewe, Ebinat, and Nyangatom is obtained from the 2012 baseline report.

Sampling for the collection of qualitative data was framed so as to incude as many relevant staff and stakeholders as possible. The quantitative survey was used as a follow-up to the 2012 baseline survey. Due to unavailability of the sample frame used for the baseline survey, however, only 51 per cent of the 819 people interviewed were also interviewed in the baseline survey. Respondents in each of the *kebeles* where data was collected were selected in consultation with *kebele* leadership and CMDRR committees.

2.2 Data Collection

Data was collected in April and May 2018 from households, government stakeholders, alliance, and implementation partners, using document review, questionnaires, KII, FGD, and observation as necessary.

- Documents reviewed include the Ethiopia programme proposal, baseline survey report (July 2012), the mid-term review (March 2013), annual reports (2013, 2015), cost-benefit analysis, monitoring log frames, the country case for the qualitative process and impact study (2014), and programme documents from imlementing partners.

- The baseline survey questionnaire was reviewed, adapted and expanded to ensure that it fully reflected the information needs of this evaluation, and taking the five OECD DAC evaluation criteria and the IRM approach into account. Before data collection, the survey questionnaire and the qualitative data collection tools were tested and fine-tuned using feedback. An experienced team of 24 enumerators were selected and trained on the content and approach of the survey questionnaire, which was finally checked for completeness, consistency and clarity.

- Forty-three KIIs were conducted with consortium members in Ethiopia or their parent organizations, implementing partners, community members, and *woreda*-level stakeholders to obtain sufficient information to reconstruct the PfR theory of change and obtain information on partners' expectations, programme priorities, challenges and final reflections. *Woreda*-level stakeholders include specialists in pastoral development and agriculture, water, mining and energy, women and children, cooperative development and health.

- Fifty-four FGDs (three per *kebele*) were conducted with representatives of communities in the selected 18 *kebeles* of the intervention *woredas*, ensuring participation of elderly, youth, vulnerable people, and special community groups. *Kebele*-level FGD were conducted with *kebele* CMDRR committees and separate groups of men and women.

- In the *woredas* selected for the evaluation, key deliverables such as access to water and livelihood diversification were observed at field level to visualize the prospective impacts.

2.3 Data Analysis and Reporting

The data collected with different instruments was analysed, interpreted, and used for preparation of the final evaluation report. The survey data was encoded, entered into SPSS, cleaned and analysed and the appropriate indicators measured. The qualitative data were also rigorously analysed through a thematic approach and discussed together with the quantitative data to give the overall picture of the evaluation.

The findings from the document review and observations were incorporated into appropriate sections of the report to substantiate findings. To ensure a common understanding and convergence across different stakeholders on the main findings and recommendations, the preliminary findings were discussed in debriefing sessions with beneficiaries, consortium members and implementing staff.

After the completion of data analysis, a draft final evaluation report was prepared and submitted in soft copies to the Climate Centre and the reference group for feedback, followed by a virtual debriefing workshop. The final report then incorporated their feedback and was presented in hard and soft copy.

2.4 Quality Assurance Strategy

To ensure data quality, IIRR and BDU teams prepared an inception report including data collection tools, a plan for the evaluation, and a guide for enumerators, discussing this with the PfR team. Survey data were collected after providing training for enumerators and supervisors in each of the data collection *woredas*.

The consultants closely supervised the survey, checking each questionnaire for completeness, consistency and clarity. They collected qualitative data after having gained a common understanding of the questions (using the same checklists), and how to ask the questions, record responses, organize data and prepare reports.

Information obtained from the HH survey, FGDs and KIIs, and secondary data was triangulated to establish the validity and imporve the reliability of information. The research team from IIRR and BDU produced the first draft evaluation report, working together in a convenient venue, shared the draft report with the client, incorporated feedback, and submitted their final report.

3. FINDINGS

3.1 Household Characteristics

The final evaluation surveyed 819 direct beneficiary households, 71.7 per cent headed by men (Table 2). Dire Dawa had the highest number of female-headed respondents (54 per cent). Most of the respondents (63 per cent) interviewed were adults between 30 and 60. A significant number of the respondents (62 per cent) were not able to read and write; 89 per cent in Dewe, the highest proportion. A high level of education among interviewees was oberved in Dire Dawa: 43 per cent with primary and 25 per cent with at least secondary education. Fourteen per cent of respondents had undergone adult or informal education of some kind.

Just over half the respondents in the final evaluation survey were also interviewees in the baseline survey.

Table 2: Household Characteristics

Woredas	Gender of the HH head (% of HHs)		Age of the HH head (% of HHs)			The highest education level of the HH head (% of HHs)					HHs interviewed for the Baseline (% of HHs)	
	Female	Male	18-35	36-60	> 60	None	Adult/ informal educ.	Primary	Secondary	Post-secondary	Yes	No
Dewe	32.2	67.8	42.5	51.7	5.7	88.5	1.7	4.6	0.6	4.6	56.9	43.1
Ebinat	22.0	78.0	31.2	65.9	2.9	64.3	13.5	19.0	3.0	0.2	34.2	65.8
Nyangatom	23.5	76.5	22.7	75.8	1.5	55.3	32.6	11.4	0.8		61.4	38.6
Dire Dawa	54.0	46.0	38.0	52.0	1.0	16.0	16.0	43.0	24.0	1.0		
Total	28.3	71.7	33.2	62.6	4.2	62.1	14.4	17.6	4.7	1.2	50.8	49.2

3.2 Relevance/Appropriateness

PfR programme design encompassed facts and figures on the risk arising from extreme-weather events and the response to them, and IRM was included to addess this issue.

Communities identified hazards and prioritized PfR interventions focusing on their livelihoods. Most beneficiaries were livestock and crop farmers, and the programme was geared to addressing the challenges they face, purposively engaging all sectors of society and *woreda* representatives along the way.

The programme utilized findings of community-level participatory disaster risk assessments (PDRA) to inform plans for development and risk reduction, while giving CCA and EMR due attention. Respondents affirmed that the programme was in line with development and risk-reduction needs of the community and government strategies and policies for local development.

All the PfR programme partners, both consortium members and implementing partners, were very close to the communities involved and could extend proper technical support at critical levels of the programme cycle. Some local implementing partners, such as Support for Sustainable Development (SSD) in Dewe *woreda* of Afar, were located right at the centre of the community (as in Kelintena Derseda *kebele*), allowing them to react to the needs of communities.

One community member noted that "beyond their support in the programme implementation, SSD staff

were assisting us in fulfilling our livelihood and social needs in various ways, such as by giving transport services."

PfR in Ethiopia was relevant to community needs, government priorities, and relevant institutions, supporting efforts to enhance community resilience in the face of shocks. Yet due to lack of clear *theory of change*, programme design did not clearly chart outcomes, outputs, and activities, which led to difficulty in understanding the IRM approach and tracking changes against plan. Consortium members in our KIIs acknowledged the gap.

There is no logical flow between outcomes, outputs, and activities, making implementation, tracking changes and reporting difficult. In other words, there was lack of clarity about assumptions and risks and the programme did not say how it would ensure that higher-level outcomes were achieved and traced.

As a result, the evaluation team reconstructed their own theory of change based on how PfR was implemented, taking inputs from reports and field data (*see Section 3.9*).

3.3 Effectiveness

This section summarizes the achievement of the programme in terms of its three pillars: *community resilience, building the capacity of partners, and advocacy and dialogue on policy*. The annual and final reports of the programme show that the outputs and outcomes targeted were achieved as presented in Table 3 and briefly described below.

Table 3: Achievements of the PfR Program Outputs (Plan vs. Achievement)

No.	Results/outputs	Unit	Plan	Accomplishment	%
1	**Outcome 1. Communities are more resilient to climate (change) induced hazards**				
	• # of mitigation measures implemented per community	No.	3	5	166.7
	• % of community mitigation measures environmentally sustainable	%	100	100	100
	• # of community members reached with DRR/CCA/EMR activities	No.	90,000	114,429	127.1
1.1	**Output. 1. Communities are capable to implement risk reduction measures based on climate risk assessments**				
	• # of communities that conducted climate trend risk mapping	No.	25	37	148
	• # of communities that developed collective risk reduction plans based on climate trend risk mapping	No.	25	37	148
	• # of community members covered by risk plans	No.	54,000	114,429	211.9
1.2	**Output 2. Communities are capable to protect and adapt their livelihoods in synergy with the natural environment**				
	• # of community members that trained in ecosystem based livelihood approaches	No.	4,800	14,395	299.9
	• # of community members that have undertaken actions to adapt their livelihoods	No.	14,000	33,397	238.6
2	**Outcome 2.(Partner) NGOs/CBOs apply DRR/CCA/EMR in assistance and advocacy**				
	• # of communities where partner NGOs/CBOs have facilitated access to integrated DRR/CCA/EMR knowledge	No.	25	37	148
	• # of network/ umbrella organisations, developed and active	No.	1	3	300
	• % of partner NGOs/CBOs engaged in structured dialogue with peers and government on DRR/CCA/EMR	%	70	81	115.7
2.1	**Output 1.(Partner) NGOs/CBOs are capable to apply DRR/CCA/EMR approaches in their work with communities, government institutions**				
	• # of (partner)staff trained on DRR/CCA/EMR		200	387	193.5
	• # of (partner) NGOs/CBOs have established cooperation with knowledge and resource organizations		5	25	500

No.	Results/outputs	Unit	Plan	Accomplishment	%
2.2	**Output. 2. (Partner) NGOs/CBOs advocate the DRR/CCA/EMR approach with peers/ other stakeholders in their networks**				
	• # of organizations (incl. non-PfR) involved in DRR/CCA/EMR coalitions	No.	12	26	216.7
	• # of times DRR/CCA/EMR related topics on the agenda of platforms/ networks	No.	15	38	253.3
3	**Outcome 3. DRR/CCA/EMR-conducive budgeting & policy planning in place in local, national and international level**				
	• # of processes started to reduce identified national and local institutional obstacles to DRR/CCA/EMR activities in the communities	No.	8	14	175
	• % of increased local governments budgets in target areas on either early warning, mitigation of natural hazards and/or natural resources management on community level	%	15	24	160
	• # of regional, international lobby trajectories towards international governance bodies and donors started to undo adverse impact of DRR/CCA/EMR	No.	1	1	100
	• # of technical recommendations, resolutions and conference proceedings make reference to DRR/CCA/EMR approaches	No.	-	3	
3.1	**Output. 1.Government institutions at local, national and international level endorses PfR approach**				
	• # of government institutions reached with advocacy activities by civil society and their networks and platforms	No.	3	27	900
	• # of (local) government institutions actively engage in activities	No.	16	34	212.5
	• # of countries where connection between DRR, CCA and EMR has explicitly been mentioned in official government documents	No.	1	1	100

3.3.1 Strengthening Community Resilience

In the beginning, PfR partners provided training on mapping disaster risk, including climate change and ecosystem management and restoration, to enable communities and government to apply the IRM approach. Thirty-two staff from *woreda* government partners and 10,873 community members were trained on IRM by PfR, which also undertook mass orientation to enable beneficiaries to understand the programme and its approach.

In each target *woreda*, the PDRA process then provided a methodology for communities to map climate-trend risk, thereby gaining, through training and implementation, knowledge and skills on disaster-risk mapping, seasonal calendars, historical profile and wealth ranking – a constituent part of Output 1 that reached 148 per cent of target.

An average of five mitigation measures (166.7 per cent of target) – e.g. alternative livelihoods, early warning systems, rehabilitation of rangeland – were identified in each community to enhance their resilience (*see Table 3*).

The PDRAs informed the various action plans in line with identified DRR measures, with risk reduction measures including strong community organizations, rehabilitation of degraded environments through physical and biological soil and water conservation and fuel-saving stoves, creating access to microfinance, supporting the accumulation of assets, introduction of improved crop varieties, eco-friendly livelihood options such as bee-keeping, and weather forecasts to help farmers to make informed decisions on what and when to sow and harvest.

In addition to this, planning incorporated innovative measures such as agricultural conservation and

ecosystem considerations in interventions such as rangeland rehabilitation, terracing, soil and water conservation, and seedling plantation. Against the goal of preparing 25 climate risk reduction plans, the programme achieved 37, or 148 per cent of its target (*see Table 3*).

After the preparation of IRM plans, CMDRR committees were established and empowered, through IRM approaches, to play a leading role in community mobilization, identification of beneficiaries and sites for conservation, facilitation of implementation and monitoring of associated risks; this strengthened communities' awareness of risk.

Nearly 115,000 people participated in preparing DRR plans, or 212 per cent of the final target of 54,000, and undertaken with technical assistance from PfR and partners.

Mitigation measures exceeded their targets with the exceptions of irrigation, live animals, rangeland management, national-level policy advocacy, and 'sand dams' (rubble and cement walls on a seasonal sandy river). For instance, irrigation activities were not fully implemented as planned in Nyangatom due to longstanding conflict over land with neighbouring Hammer *woreda*, in Dewe due to drought, and in Ebinat *woredas* due to siltation and the collapse of a dam funded with PfR resources.

Similarly, the provision of live animals such as oxen and goats to diversify incomes did not work well in most places due to management problems while people worked as a group, and because of a shortage of feed in drought seasons; the evaluation team was told that the community would rather just get new, more adaptable breeds. The management of rangeland was not implemented as planned in Nyangatom because termites damaged fences and people were not committed to protecting enclosed areas, including free grazing. Similarly, a sand dam was not constructed mainly because of erosion and skill shortages, and the budget was transferred to building domestic cisterns and wells.

Seventy per cent of respondents rated PfR interventions as "satisfactory and above" (*see Figure 2*); the rest said they had been "poor" or "not successful" due to the problems outined here.

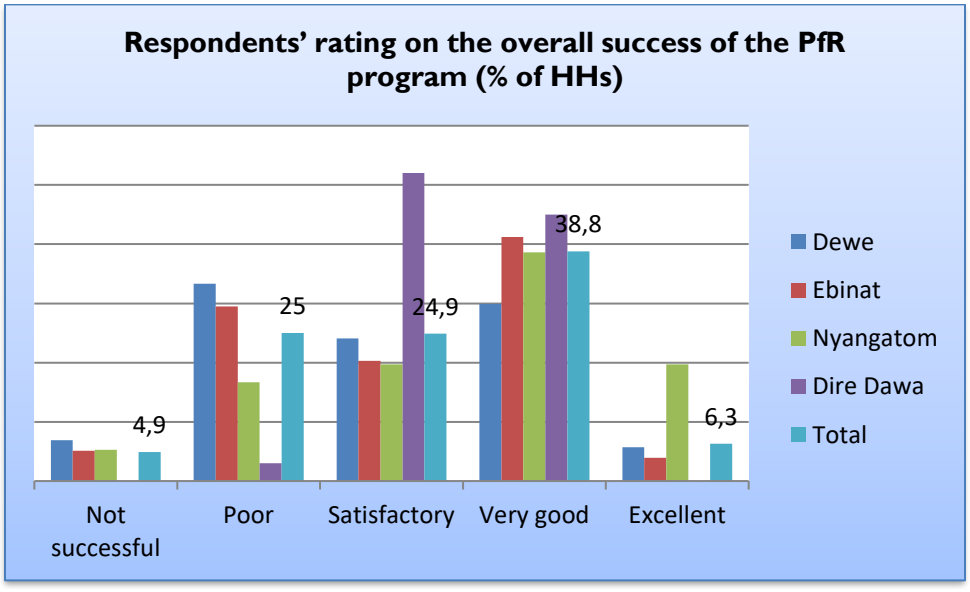

Figure 2: Success Status of the PfR Program

Because of IRM programme interventions were environmentally sustainable: enclosure, soil and water conservation, horticulture, bee-keeping, irrigation, and clearing alien invasive species such as *Prosopies julifer* trees and *Parthenium hysterophorus* weed.

EMR was among the key interventions promoted in the PfR1 programme, and seventy-five per cent of respondents reported soil and water conservation techniques being implemented (*see Table 4*). Forty-six per cent, 17 per cent and 37 per cent respectively of respondents who practised soil and water conservation used physical, biological methods or both, suggesting a good beginning to EMR notwithstanding the later drought.

Table 4: Use of Soil and Water Conservation Techniques in the PfR Program Interventions

	Was SWC Techniques part of the PfR Program Interventions?		If YES, which of the following soil and conservation techniques you started using after the program intervention?		
	Yes	No	Physical works	Biological works	Physical structural and biological works
Dewe	80.5%	19.5%	85.0%	12.1%	2.9%
Ebinat	75.8%	24.2%	40.7%	6.4%	52.9%
Nyangatom	73.5%	26.5%	14.6%	49.0%	36.5%
Dire Dewa	60.0%	40.0%	31.7%	30.0%	38.3%
Total	74.5%	25.5%	45.9%	16.8%	37.3%

3.3.2 Partner Capacity Development

A key part of the IRM approach was building the capacity of implementing partners, and their staff were trained first so they could pass their new expertise on to communities, local agencies and government. Accordingly, 387 people were trained – 194 per cent of the planned target of 200. As a result, this training cascaded to beneficiaries via 37 training sessions (148 per cent of the planned target of 25).

Eighty-one per cent of HH respondents reported receiving training on DRR, CCA and EMR to assess, plan for, and monitor disaster risk in the programme cycle. But staff turnover among implementing partners, especially during the early part of the programme, reduced effectiveness here.

Trained staff provided further instruction for various institutions such as CMDRR groups, watershed and water-point managers, and cooperative and women's associations members, based on their plans for environmently-friendly diversification. (For instance, charcoal production was not identified as a livelihoods option; nor was free grazing but rather a 'cut and carry' system was introduced for livestock development.)

The training has helped these agencies implement IRM and enabled proper handover of programme activities to the lead community organizations (CMDRR committees) and relevant government bodies. Though communities were active during the PDRA and planning process, some (community KIIs in Dewe *woreda*, for example) complained that management and decision-making was by programme staff or experts from *woreda* offices, and as a result these community groups had limited roles in decision-making across PfR.

As planned, implementing partners started working with knowledge and resource institutions, such as universities and the National Meteorology Agency (NMA), and local agencies had established cooperation with 25 knowledge and resource centres, according to the PfR final report, or five times plan.

But KIIs revealed that the actual use of the institutions to assist implementing partners on knowledge sharing was minimal. For example, the level of preparedness-related NMA information reaching

communities was low, as was the contribution of higher-learning institutions in knowledge sharing with the programme.

KII also indicated that various local-level exchange visits were undertaken. For instance, school environment clubs in Dewe *woreda* shared experiences with Dire Dawa partners; the Dewe CMDRR committee shared with the Argoba community experiences on the management of enclosures, and likewise with the Mille community on irrigation. Similarly, Nyangatom DRR committee and government staff shared experiences with the Borena community on accessing water (by cistern, for example) and rangeland management.

As shown in programme reports and confirmed by KII, consortium members and implementing partners extended regular backstop support to communities. The Climate Centre and Wetlands International were also providing planned support to partners at all levels. The Climate Centre extended remote support on climate risk management, capacity strengthening and training, documentation, a write-shop and participatory video, and dialogue on early warning early action. Wetlands International was providing training and technical support in line with concepts and practices of preserving, harvesting, utilizing, and restoring wetlands. But it was felt for obvious reasons this support could have been more fruitful had they had staff in-country .

3.3.3. Policy Advocacy

The programme team lobbied for buy-in by local government offices and agreements were signed by all responsible offices at federal level and in the regions. This paved the way for proper implementation with the active involvement of local government offices, which were closely involved within their mandates to adopt IRM in planning and implementation, as confirmed by all the FGD and KII participants.

Alliance members facilitated joint advocacy-related activities, such as planning, monitoring, sharing experiences, organizing exhibitions on DRR, documentation of best practice, and capacity building for staff. NGOs and CBOs were also sharing resources like vehicles and expertise, and contributing money for the implementation of the joint activities. Implementing partners were engaged in dialogue with government focused on IRM, especially at local and zonal levels.

Dialogue at the national level to influence policy, however, was not implemented, as confirmed in KIIs with implementing partners. This is because the 2009 Ethiopian Charities and Societies Proclamation does not allow it. It can be regarded as a shortcoming of the PfR programme design not to have considered this fundamental constraint to advocacy during the set-up phase.

Local governments in the disaster-prone *woredas* volunteered to allocate budget for the implementation of IRM interventions. A case in point is Dewe *woreda*, where the KII participant from SSD said the *woreda* allocated about 30 per cent of the cost of PfR programme activities. And there was strong potential in some other government programmes to jointly promote IRM: in the PfR target areas this was achieved above plan to the tune of 160 per cent (*see Table 3*).

The alliance members and implementation partners advocated the approach with peers and government institutions at various levels. As the document review indicated, the IRM approach was promoted on various local and international forums, with presentations and write-ups including references to IRM and its implementation.

Generally, the findings related to advocacy on policy revealed positive accomplishments. Much has been done to secure local government participation, budget allocation, and participation of peer organizations.

In the absence of a good theory of change and design, the only contribution of the programme to national policy, however, was to organize familiarization sessions on DRM policy.

3.4 Efficiency

Eighty-four per cent of the allocated budget for the programme was utilized on time. The actual budget utilization status for each consortium member is presented in Table 5.

Table 5: Summary of Budget Utilization, January 2011–December 2015

Consortium Members	Budget (euro)	Utilization	%
Red Cross	1,618,662	1,404,224.01	86.8
CARE	607,241.69	607,241.69	100
Cordaid	3,258,350	2,758,350	84.7
Wetlands International	25,840	21,410	82.9
Red Cross/Red Crescent Climate Centre	224,000	295,000	100.3
Total	5,734,093.69	4,820,725.7	84.1

Source: Consortium Members' Finance Reports

As indicated in Table 5, the overall financial performance of the programme can be rated as very good, although there is some variation among the consortium members. CARE fully utilized its budget; the Climate Centre accomplished more than was budgeted for, mainly through spending extra time on programme interventions; Wetlands International used fractionally under 83 per cent of its budget, but leaving only a balance of 4,430 euros.

KIIs indicated that budget allocation for agencies such as the Climate Centre and Wetlands International was considered to be insufficient for what was planned, and as a result their support on the ground was mainly remote. Had they been physically present at the programme sites, it was felt, they could have provided better face-to-face support for partners.

In all programme areas, implementing partners have by and large executed programme activities cost-effectively. A case in point is Action for Development, implementing partner of Cordaid, which spent ETB 250,000 for some 100-metre cisterns, while the government Pastoralist Community Development Program spent the same amount on labour alone for 50-metres cisterns in the same area, Nyangatom. One factor here was AFD's utilization of its own labour force for most construction, which minimized the cost of the interventions.

In the same manner, almost all PfR local implementing partners engaged the community at semi-skilled and unskilled labour capacities to undertake physical activities. When there was a need for specialized skills, they trained members of the community to acquire the skills. Hence, the available evidence suggests that the programme was cost-effective.

KIIs suggest less efficient resource utilization in irrigation activities in Dewe, Nayngatom and Ebinat *woredas*. KIIs and FGDs participants in Dewe expressed concern on the construction of just a single irrigation canal, against a backdrop of a drought, when two had been planned, disclosing that the budget was not utilized for the intended purpose in the programme location. The leftover funds were used to support the emergency water needs of the community after agreement was reached with the donor.

Similarly, the budget for an irrigation scheme in Nyangatom was not used for the intended purpose due to longstanding conflict over land use with neighbouring Hammer *woreda*, while design and construction quality problems with a dam funded by PfR in Ebinat *woreda* resulted in its collapse as well as issues with siltation.

Communities contributed land, volunteer labour and materials. Most procurement activities were undertaken after competitive bidding on cost and quality.

The programme was well managed and coordinated from top to bottom. Cordaid effectively led the consortium and each member present in Ethiopia (Cordaid, CARE, and the Netherlands Red Cross) managed their local implementing partners: SSD, AFD, ACORD, the Ethiopian Red Cross, the Ethiopian Catholic Secretariat, and the Dire Dawa Administration CMDRR Association.

Programme activities were monitored every quarter; sector and programme offices and the community followed up any that were behind schedule. For example, in Ebinat the Red Cross coordinated with government agencies for agriculture, health, water and others.

Implementing partners worked closely with local government offices and community groups, mainly with CMDRR and early warning committees, and women's savings and self-help groups.

Most planned activities were carried out hastily because of the delays in start-up. The struggle to understand the IRM approach and confusion over the difference between DRR and IRM resulted in a reduction in the period actually available for implementation from five to between two and three years, depending on location. Some estimate, however, that only the first year was taken up with understanding the approach and selecting partners.

Some partners in the extension sites, such as Dire Dawa, joined the programme three years after the start date. In the meantime, there were delays in signing programme agreements and releasing funds. At the local level, unforeseen problems with infrastructure including simple overland access affected the timeliness of some of activities. For example, in Nyangatom *woreda* transporting pumps for irrigation took a long time due to the lack of all-weather roads and a bridge across the Omo River.

3.5 Outcomes/Changes Observed

The evaluation had intended to identify other actors in the target areas who could have implemented interventions similar to PfRI and weigh the two. Sixty-nine per cent of respondents, however, reported that there were no other programmes with similar goals to PfR in the relevant *kebeles* at the same time. Even government interventions (PCDP and Productive Safety Net Programme, for example) implemented in all programme sites were not comparable to the IRM approach.

In this section, the changes and contributions of the programme are presented in line with the three programme pillars: strengthening community resilience, developing the capacity of partners, and advocacy on policy.

3.5.1 Strengthening Community Resilience

In order to strengthen community resilience, the programme undertook interventions like livelihood diversification, ecosystem management and restoration, food security, credit, and water and irrigation services. Findings are presented below for each intervention.

1) Livelihood Diversification

As the data from the HH survey in Figure 3 show, PfR brought new livelihood options to the target areas, as confirmed by 24 per cent of respondents overall, with the best results here in Dire Dawa (40 per cent) and Dewe (38 per cent).

The new livelihood options increased HH income for 67 per cent of respondents who took them up

overall, including 100 per cent in Nyangatom. However, this also means that three quarters of the survey respondents (76 per cent) did not experience livelihood diversification.

Seventy-six per cent of respondents in Dewe said their income had gone up; 47 per cent said both income *and* productivity had risen.

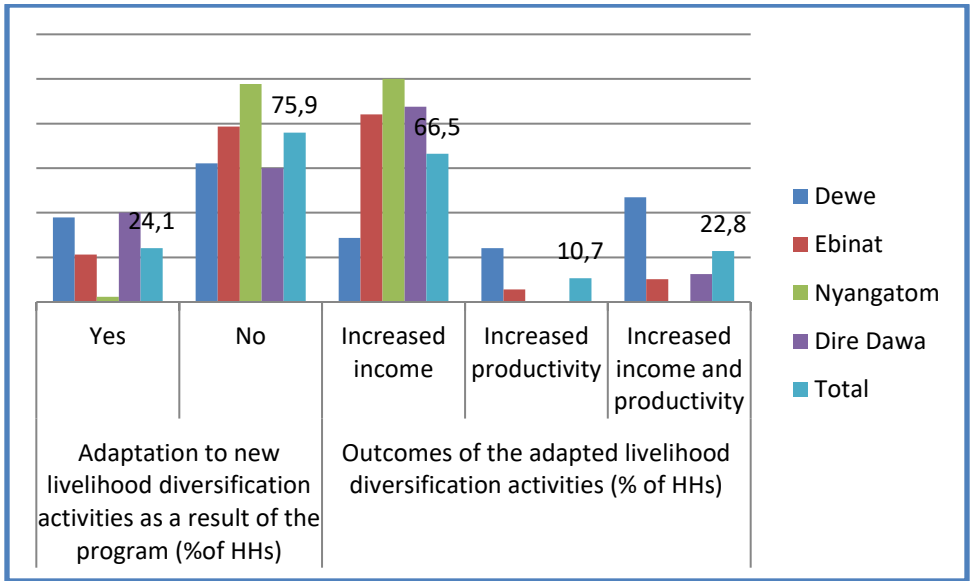

Figure 3: Adaptation to New Livelihood Options and Their Outcomes

In an effort to support the livelihoods of beneficiaries, the programme introduced various agricultural innovations as shown in Table 6. Fifty-four per cent of respondents reported that they started using new agricultural technologies, including improved pre-harvest technology (41 per cent) and soil and water conservation techniques (30 per cent).

Table 6: Utilization of Agricultural Innovations

Woredas	Using agricultural innovations as a result of the PfR program		If YES, which agricultural innovations have you used?						
	Yes	No	Improved pre-harvest agricultural techniques (1)	Improved post-harvest techniques (2)	SWC technique (3)	1&2	1&3	1,2&3	2&3
Dewe	64.4%	35.6%	60.2%	.9%	38.9%				
Ebinat	51.6%	48.4%	34.0%	0	9.9%	2.4%	48.6%	4.7%	.5%
Nyangatom	38.6%	61.4%	52.0%	14.0%	34.0%	0	0	0	0
Dire Dewa	68.0%	32.0%	20.3%	4.3%	75.4%	0	0	0	0
Total	54.2	45.8%	40.5%	2.5%	30.2%	1.1%	23.2%	2.3%	.2%

The other important PfR contribution to food security was interventions to improve production. As indicated in Figure 4, 46.3 per cent of respondents reported that the programme contributed to improved production at least moderately (in almost all cases), while 38.9 per cent of them said it hadn't; the rest (14.8 per cent) didn't know.

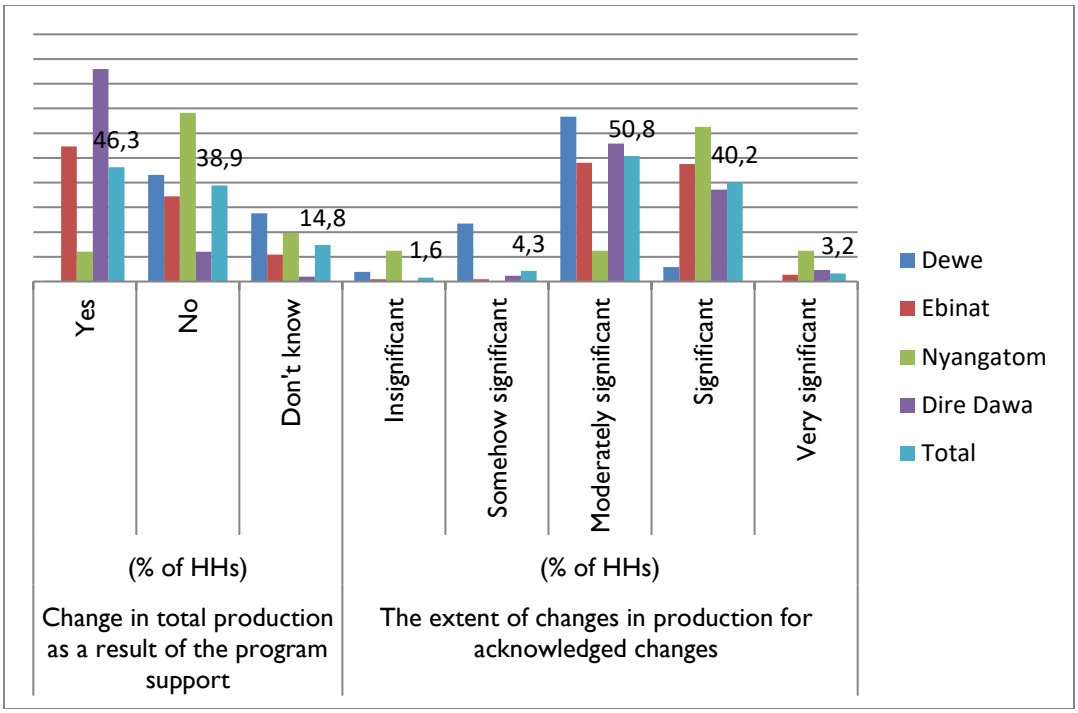

Figure 4: Changes in Total Production and the Status of Changes

Gains in agricultural productivity during the already curtailed operational period may have been undermined by a series of the extreme-weather events that are common in the project sites. Drought in Dewe and Nyangatom *woredas* in the final stages of PfR, for example, led to an emergency response by the government with food aid. The contribution of the PfR programme in achieving community resilience through improved agricultural production was moderate, although it's debatable whether it could have achieved more given the constraints outlined above.

During the current study (*see Table 7*), average annual HH income from on-farm activities increased from the baseline average of ETB 3,285 (98 euros) to ETB 9,468 (283 euros).

Table 7: Average Annual HH Income from On-Farm Activities

Activities	Baseline (% of HHs)		End line (% of HHs)	
	Annual Income	%	Annual Income	%
Field crops (grains &pulse)	5141	31.3	11,600.00	24.5
Horticultural crops (vegetable & fruits)	1134	6.9	11,898	25.1
Poultry	405	2.5	8100	17.1
Cattle	6135	37.3	7572	16.0
Camel	3611	22.0	8172	17.3
Average	**3,285.2**	**100**	**9,468**	**100**

The highest earners (both 25 per cent of annual income) were from vegetables and fruits, and field crops, compared to 16 per cent for cattle, down from 37 per cent at baseline, implying that HHs have started livelihood diversification activities.

The increase may have been influenced by inflation of 13.7 per cent in 2018, for example, as reported by *Trading Economics*,[2] but the increase in income is anyway about threefold over baseline, despite the

[3] Ethiopia inflation rate 2016-2018, Retrieved from https://tradingeconomics.com/ethiopia/inflation-cpi

recurrent drought in the programme locations. This indicates that the PfR contributed significantly to the annual income increment.

However, compared to a figure given in a 2015 UN Food and Agricultural Organization report[3] of ETB 39,446 (1,179 euros) for each smallholder farmer, the PfR-related increase is comparatively low, at only a quarter of the FAO datum. This was mainly due to PfR focusing on marginalized communities with poorer-than-average baseline incomes, drought, and less effective utilization of planned irrigation schemes.

A key DRR measures identified in the PfR programme was to help communities search for alternative livelihoods, and various capacity-building interventions centred on *off*-farm activities. FGDs in Dewe *woreda*, for instance, showed that the pastoralists learnt new skills such as building work.

As indicated on Table 8, the current HH survey found out that most of the beneficiaries complement their HH income with off-farm income; 74 per cent in trade and day labour, varying from place to place. For instance, the Dire Dawa residents mainly rely on trade and rental income, whereas Nyangatom residents rely on day labour and other employment, probably in new sugar factories.

This finding indicates some improvement in the livelihoods situation of beneficiaries from PfR-inspired off-farm activity – the main actor in this area during the period.

Table 8: Community Engagement in Off Farm Activities

Woredas	Type of off farm activity HHS engaged in (% of HHs)				
	Petty trade/trade	Daily labor	Employment	House rent	Pension/ remittance
Dewe	33.3	33.3	33.3	0	0
Ebinat	57.5	32.5	5.0	0	5.0
Nyangatom	0	25.0	75.0	0	0
Dire Dawa	56.1	7.3	9.8	24.4	2.4
Total	53.4	20.5	11.4	11.4	3.4

Women's groups organized by PfR were engaged in income generation schemes as alternative livelihoods in the face of disaster risks, and formally registered with the government in some places. They were also linked with *kebele* and *woreda* officials. Most such groups in Dewe *woreda* and some in all other intervention *woredas* are still operational two years after phase-out. Women have engaged in the production of fuel-saving stoves, trade, savings and credit associations, and cooperatives.

2) Food Security Status

In an effort to understand the level of food security in the programme areas, the baseline study asked whether people were food secure by their own measure. Eighty-eight per cent said they were food insecure (see Figure 5); that is, they needed external help to feed themselves for at least three months of the year (food insecure months vary from one place to another). The corresponding figure at endline was 76.4 per cent.

There were some increments in the level of food security in Ebinat (good compared to other *woredas*) and Nyangatom; but Dewe *woreda* participants reported their food-security status as even lower than

[4]Rapsomanikis, G. (2015). *The economic lives of smallholder farmers: An analysis based on household data from nine countries* (Retrieved from: www.fao.org/3/a-i5251e.pdf, Page 21.)

the baseline. This may be due to the frequent and severe drought events after phase-out and the less successful implementation of some interventions such as irrigation.

However, 23.6 per cent reported they *were* food secure, which is double the finding in the baseline survey (12 per cent), despite prolonged drought, and it's also noteworthy that the increase in food security among PfR households goes against the national trend, during the same period, in which the number of food insecure people in the country was estimated at 2.9 million in 2014,

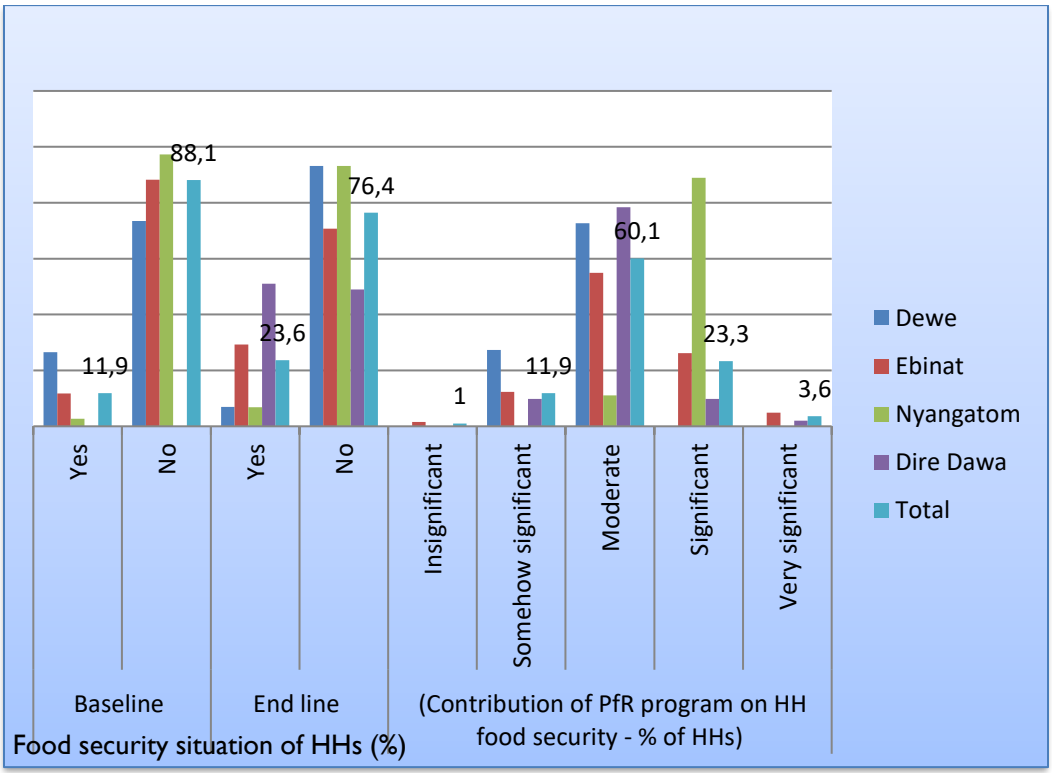

Figure 5. Food Security Situation of HHs and Contribution Status of the Program

4.5 million in August 2015, and 10.2 million by the end of the same year. This is remarkable given that data collection took place in 2018, over two years after the end of PfR1, and also after the severe El Niño-related drought of 2015–2016 that led the Ethiopian government to declare the following year that 7.7 million people were in need of emergency food aid.

Limited resources and capacity meant the majority of people reporting food insecure struggled to withstand the drought that crept into programme areas right after phase-out. But of food-secure respondents, 87 per cent of them rated the contribution of the programme on HH food security at least as moderate.

3) Access to Credit and Insurance Services

As indicated in Table 9, 66.3 per cent of respondents reported having access to credit services from micro-finance institutions (MFIs), banks, and other sources, higher than the baseline finding (50 per cent) – both pre-existing services or the initiative of PfR.

Table 9: Access to Credit Services

Woredas	Access to credit services (% of HHs)		Improvement in credit access after the program intervention (% of HHs)
	Baseline	End line	End line

	Yes	No	Yes	No	Yes	No
Dewe	36.7	63.7	75.9	24.1	41.7	58.3
Ebinat	87.7	12.3	71.9	28.1	73.0	27.0
Nyangatom	44	56	47.0	53.0	76.5	23.6
Sub total	50	50	68.3	31.7	66	34
Dire Dawa	-	-	52.0	48.0	100.0	0
Total	50	50	66.3	33.7	67.0%	33.0

Among the participants having access to credit, 81.5 per cent used it. Sixty-seven per cent of respondents said PfR had improved their access to credit services through awareness raising for savings and credit institutions and multi-purpose cooperatives, provision of seed money and materials (deposit box and stationery) for groups, and links to other sources of credit.

The other third said said there was no improvement due to lack of access to banks and micro-finance institutions in their localities or they were not members of organized groups. As shown in Table 9, access to credit in Dewe *woreda* improved considerably (39 per cent) compared to the baseline, possibly because credit services were introduced into this Muslim-majority area.

As already noted, women's self-help groups were organized by PfR for alternative sources of income to better withstand drought, and FGD showed this had enabled the establishment of village-level savings and credit associations that enabled women to invest in small trading and livestock. For instance, in Dewe where access to credit has improved because of PfR, some associations reported that they opened cafeterias; others planned to buy vehicles.

In fact, women's savings and credit associations emerge as one of PfR's most durable contributions, providing credit for productive activities (24 per cent), food (37 per cent), children's education (13 per cent), or for two or more of these (26 per cent).

The main sources of credit for production and consumption in the face of disaster risk were reported to be micro-finance institutions (49 per cent), other lenders (40 per cent), banks (3 per cent), and from two or more of these credit sources (8 per cent), as presented in Table 10. The baseline figure for dependence on MFI was high (72 per cent), and other lenders (24 per cent), whereas the endline shows a similar trend but with reliance on more diversified sources of credit, and mainly in Ebinat due to the accessibility of banking services, unlike Nyangatom and Dewe *woredas*.

In Dire Dawa, communities have access to various MFIs and other sources, which may obviate the need for bank credit. These data indicate that beneficiaries' awareness of credit services has improved and sources have become more diverse.

Table 10: Sources of Credit Services

Woredas	Baseline (% of HHs)		End line (% of HHs)					
	MFI	Other people	MFI	Other people	Bank	Other people & MFI	MFI & bank	Others
Dewe	0	62.3	3.0	95.5	0	1.5	0	0
Ebinat	89.0	3.3	64.8	14.1	6.1	2.8	3.3	8.9
Nyangatom	32.7	21.8	70.6	21.6	0	0	7.8	0
Sub total	71.8	24.2	50.1	35.2	3.5	2.0	3.3	5.1
Dire Dawa	-	-	77.4	20.8	0	0	1.9	0
Total			48.8	39.6	2.9	1.8	2.7	4.2

MFI= Micro Finance Institutions; Other people: relatives, friends, and money lenders.

Agricultural insurance – a PfR option for reducing disaster risks – was only reported to be available in Ebinat *woreda*. This service is generally limited to crops and there is no insurance related to livestock,

the main livelihood for pastoralists and agro-pastoralists. In places like Afar and Nyangatom, the need for livestock insurance is crucial.

4) Access to and Functionality of Water Facilities

In the baseline survey, 76 per cent of households had access to water facilities despite drought; 82 per cent in the endline survey. The sources were hand-dug wells and boreholes (55 per cent), rivers (15 per cent), cisterns (9 per cent), or a combination.

PfR constructed and maintained schemes boosting access to water, even during extended dry periods, and promoted good management of them thereafter. Training for hygiene and sanitation and water management was successfully undertaken, and materials for treating water, with appropriate orientation, were provided in Nyangatom *woreda* and water-borne diseases reduced.

The water facilities have a high level of functionality (81 per cent) on average, as presented in Table 11, close to the 2014 national average of 84.5 per cent.[4] Nearly 70 per cent of the HHs reported that water facilities had improved under PfR.

Compared to other *woredas*, because of drought the functionality of water facilities in Nyangatom was lower at 52 per cent, or three hand-dug wells and three cisterns out of 13 facilities.

Table 11: Functionality and Access Improvement of Water Facilities

Woredas	Functionality of the available water facilities (%of HHs)			Improvement of water facilities after the program intervention (% of HHs)	
	Functional	Non-functional	Other	Yes	No
Dewe	99.4	0	0.6	65.1	34.9
Ebinat	76.9	22.5	0.5	63.9	36.1
Nyangatom	51.6	38.7	9.7	89.2	10.8
Dire Dawa	92.6	7.4	0	74.7	25.3
Total	81	17.4	1.6	68.8	31.2

The qualitative findings show that most of the target communities have access to potable water from reliable sources. Improvements in access to water improved the health, sanitation, and nutrition situation of beneficiaries.

Water sources inside communities save people time that they can devote to productive activity; most importantly, women and girls also save time for their education and looking after their families. FGDs with community representatives showed people's health improved from better water in all programme areas, as well as due to the introduction of cleaner fuel-saving stoves in Ebinat.

5) Access to Irrigation Services

Almost all endline respondents who use irrigation reported that PfR provided either financial or technical support. The baseline survey showed only 12 per cent of HHs using irrigation schemes, mainly from diverted rivers, rising significantly to 29.5 per cent in the endline study. Document review showed there were no other actors supporting the intervention.

The single most dramatic increase in irrigation usage was in Dewe, from 14 to 61 per cent, followed by

[6] Second Growth and Transformation National Plan for the water supply and sanitation subsector (2015/16- 2019/20), Retrieved from https://www.cmpethiopia.org/.../GTP-2

Ebinat from 4 to 24 per cent – PfR results achieved through capacity building, agricultural inputs, and irrigation canals. (The service in Nyangatom was not functional at data collection due to longstanding conflict with a neighbouring *woreda*.)

Table 12: Irrigation Intervention and Its Contribution

	Using Irrigation Scheme (% of HHs)				Supports of the program in the irrigation development				Changes in the livelihoods as a result of irrigation support	
	Baseline		End line		End line (% of HHs)				End line (% of HHs)	
Woredas	Yes	No	Yes	No	Financial	Technical	Technical & financial	Other, specify	Yes	No
Dewe	14.3	85.7	60.9	39.1	0	60.4	38.7	0.9	91.5	8.5
Ebinat	14.1	85.9	24.0	76.0	12.7	36.4	49.1	1.8	94.5	5.5
Nyangatom	7.1	92.9	0	100.0	-	-	-	-	0	0
Dire Dawa	-	-	37.0	63.0	3.3	23.3	66.7	6.7	61.5	38.5
Total	11.8	88.2	29.5	70.5	4.2	47.6	46.1	2.1	86.5	13.5

Water-users' associations were established and strengthened to manage irrigation in all intervention *woredas*; all are still active, and even when the irrigation schemes are not they are working with concerned bodies to make the schemes operational.

A large majority (87 per cent) of respondents who used irrigation said PfR had triggered changes in their livelihoods, increasing their incomes thanks to less dependence on rain-fed agriculture.

Fifty-two per cent of irrigation users reported increased crop production. But pre-existing conflict over land use in Nyangtatom *woreda*, water scarcity and lack of a feasibility study in Dewe, and the collapse of a dam and siltation in Ebinat limited the impacts of the interventions on livelihoods there.

The FGD and KII informants explained that the irrigation schemes were relatively more expensive compared to other programme interventions in the target *woredas*.

Conclusion on Community Resilience

There is evidence of a general improvement in community resilience due to PfR. In some programme sites, new routes to food security were introduced – crop production practices not tried in Dewe *woreda* before the programme, both rain-fed and irrigated, became operational under PfR. The survey results also show this.

As presented in Figure 6, a key question to endline respondents was whether PfR had improved their coping or adaptive capacities faced with extreme-weather events and other shocks, and very nearly half said it had – the result of livelihoods interventions, on-farm and off-farm, irrigation schemes and credit schemes. Eighty per cent of Dire Dawa answered this question in the affirmative, considerably more than in other programme areas and probably the legacy of other efforts such as the CMDRR.

KIIs and FGDs showed PfR contributed to some improvement in individual and community awareness and survival capacity, good results given the fragile ecosystem and extreme weather characteristic of the PfR *woredas*. But much remains to be done for ongoing community resilience in the face of natural and man-made hazards.

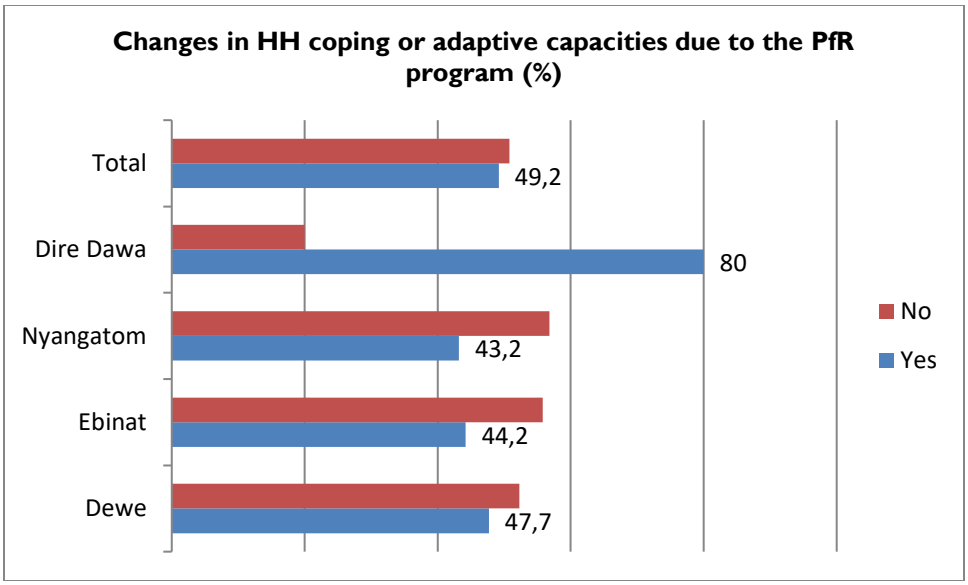

Figure 6: Resilience Development Situation

The period of actual PfR implementation was seen as too short, as mentioned previously, and extreme weather in the area aggravated this picture, possibly explaining why 51 per cent of respondents found that the programme brought no change in HH coping or adaptive capacities.

In Dewe *woreda*, for example, limited resources and community capacity meant people struggled to withstand the drought that crept into programme areas right after phase-out. As a result, an emergency response was triggered with the government providing livestock feed and PSNP support, and the remaining PfR budget going on animal feed. Drought conditions also affected most of programme locations.

The overall observation of survey respondents regarding the success of the programme is encouraging, as presented in Figure 2. Despite only "moderate" adaptive capacity being developed, low food security status, and low agricultural production results, 70 per cent of the respondents described PfR at least as "satisfactory".

Respondents said some interventions were scaled up or replicated by local government in collaboration with communities. For instance, 21 per cent and 20 per cent of respondents respectively (*see Table 13*) reported that risk assessment and reduction plans and climate change adaptation interventions were replicated and scaled up. This practice was the highest for risk assessment and reduction planning in Dire Dewa and climate change adaptation interventions in Ebinat, which could be the result of communities' experience of earlier similar interventions by government and other development actors.

The IRM approach was also replicated in some *non*-programme *kebeles*. For instance, the government in Dewe, in collaboration with the community, scaled up the IRM approach in three *kebeles* even before PfR phase-out.

Table 13: Program Activity Scale Up

	Which of the PfR program activities are replicated or scaled up?			
Woreda	Risk assessment & risk reduction plans (1)	Livelihood diversification (2)	Climate change adaptation (3)	Improved agricultural practices (4)
Dewe	29.0%	1.6%	8.1%	9.7%
Ebinat	10.2%	8.5%	33.9%	13.0%
Nyangatom	20.9%	11.6%	7.0%	27.9%
Dire Dewa	39.0%	9.1%	2.6%	24.7%

Total	20.9%	7.8%	19.5%	16.7%

3.5.2 Partner Capacity Development

The Climate Centre supported work on climate risk management, in-country capacity strengthening and training, documentation, write-shops and participatory video, and dialogue on early warning early action. It also engaged various consultants and students to identify possible intervention areas for the alliance, and conducted research on livelihoods opportunities and did cost-benefit analysis.

Wetlands International was involved in capacity development for PfR partners and CSOs on ecosystem-based DRR. This addressed the risk of drought and flash floods, for example, as well as retaining water through vegetation, strengthening river banks. The role of Wetlands International in DRR centred on swamps, rivers and lakes, how to absorb excessive rainfall, the use of ground water, water management, and climate change.

After the capacity development of implementing partners, IRM training cascaded to field level: local DRR committees, women's associations, water management committees, local government and implementing partner staff. Eighty-one per cent of respondents said they received IRM training to assess, plan for, and monitor disaster risk.

Sharing of experience, learning forums and competitions, all involving community representatives in lobbying and advocacy skills, have been undertaken, and this helped implementing partners integrate IRM in their work.

Routine programme reports and the KII and FGD clearly indicated that training was practical and fully applied in interventions by the communities, local government and partner staff, who could then effectively facilitate IRM interventions and advocate for the approach.

PfR partners now include EMR and CCA in their DRR and other programmes. Linkages were created among early warning systems, local officials dealing with disaster prevention and food security, agriculture, health, education, water and energy, as well as the NMA, local NGOs and *kebele* CMDRR committees.

3.5.3 Policy Advocacy

PfR secured the support and direct engagement of government structures at several levels to help implement the programme. Local government was closely involved in their areas of mandate and considered the IRM approach in their own planning and implementation. Local government in disaster-prone *woredas* allocated some of their own budget for IRM interventions: Dewe *woreda*, for example, where the final programme report and staff confirmed 30 per cent of the PfR programme budget came from local government.

The programme was not able to engage national and regional-level actors to consider the IRM approach for disaster risk management since the 2009 Ethiopian Charities and Societies Law bars NGOs from advocacy on policy at the national level. This can be seen as an oversight in adapting PfR to the Ethiopian country context in the design stage, possibly related to the missing theory of change. The only contribution of the programme to national policy was to organize orientation sessions on DRM.

Some implementing partners started working with universities and the NMA, resulting in changes in community attitudes and practices. Respondents from SSD, the implementing partner of CARE in Dewe *woreda*, said land rights were now allocated to specific individuals replacing communal property in pastoralist settings.

The alliance members and implementation partners advocated for the IRM approach with peers and government institutions at various levels, and many government offices endorsed the approach. The contribution of climate change to disaster risk and the importance of proper management of ecosystems that can provide protection and income are now well understood by PfR partner organizations, communities, civil society, and the government, both in strategies and activities.

The plan to have strong resource institutions in the country to support the IRM approach was not successful. For example, farmers' use of NMA weather information for disaster preparedness through the government's early warning channels, from national to *kebele* level, is not functioning; the same is true for the contribution of higher learning institutions in research, documentation and capacity building.

3.6 Sustainability

Sustainability has always been a PfR priority and its principal strategy was to invest in building communities' technical and institutional capacity; the capacity of government and community institutions to take over from PfR partners during phase-out, however, was limited.

The key mechanism for sustainability and handover was agreements with government offices whose responsibility it would be to continue providing ongoing support to the target communities. The original programme agreements made with regional governments foresaw work being collaboratively delivered, with the authorities embracing outcomes and supporting gains at grassroots level.

At the community level, MoUs were signed with DRR committees based on community action plans, and this contributed to an improved sense of ownership; community members were empowered through training, consultations, PDRAs and action planning.

More importantly, capacity building coupled with people's involvement in the programme cycle equipped them to take over and continue the work. Joint monitoring, supervision and visits by local government stakeholders and community representatives helped build capacity of local government to continue after phase-out.

New skills in farming and construction were developed as conscious mechanisms for sustainability; new stimuli for work were created; income-generating groups for women were initiated.

Institutions such as women's groups, DRR committees and others focused on water, availability of forage, and early warning groups were created were built and, in some places, legalized as associations; links with local government have been established. Though they have limited capacity to bring about change, most CMDRR committees and women's self-help groups in Dewe *woreda* are still operational, even two years after phase-out.

In Ebinat *woreda* the community manages water points developed by PfR and has established savings schemes for water management. The local office of the Ministry of Water and Energy has assigned a focal person that can monitor the PfR-constructed water points, all of which are guarded. PfR provided training on maintenance for committee members and distributed tools and spare parts.

PfR interventions were handed over to *woreda* and *kebele* government bodies during phase-out. Schemes such as water and soil conservation, early warning, and women's savings and credit institutions have been linked up to relevant government structures and continue to benefit from government support. An exception to this is women's groups in Dire Dawa, which do not have any legal status or official links and may not be able to continue without further intervention.

Only 34.6 per cent of all respondents reported that programme interventions continued after phase-out. Communities still clearly expect support to be able to sustain programme activities and assets. CMDRR committees were intended to play a key role in the exit strategy, but except at a few sites community ownership was seen to be decreasing, over time, though some services continued for a while.

Key informants said it had been expected that PfR2 would pick up where PfR1 left off, and so government and community stakeholders saw the phase-out as abrupt. In expanded sites like Dire Dawa, there simply wasn't enough time to make the interventions sustainable, KIIs revealed.

Almost all the discussion participants and interviewees confirmed that people expected a second PfR phase, notwithstanding their awareness of the time frame of PfR1, especially since interventions like irrigation and cooperatives, for example, were still at an early stage. They added that communities and local partners internalized PfR1 and had become ready to fully engage in the implementation process in phase two which, when eventually implemented, focused its support on lobby and advocacy activities. If the second phase had continued in the programme areas, supporting the same activities as in phase I, its impact on sustainability could have been greater than that observed by this evaluation.

3.7 Coherence and Coordination

Coordination among PfR alliance members and partners, CMDRR committees and local government was good, with implementing partners and stakeholders discharging their responsibilities as per agreements. But country leadership and management were centralized by the global team; the participation of the Ethiopian country team in initial design and development was minimal; key informants describe participating in "high-level workshops" not linked to local realities.

As noted already, there was no clear theory of change to smooth implementation and track changes. As a result interventions were less clear in the beginning and took time to internalize among local leadership and staff, and some key informants and staff say they still don't fully understand IRM.

PfR established and strengthened a functional coordination mechanism at country and site level and regular coordination meetings saw partners exchanging information, reflecting on the work, and collectively deciding on joint actions.

Besides these monthly meetings, extraordinary meetings were held to discuss partnership issues, review progress and key achievements, document good practices for scale-up and replication, as well as global conferences, regional and national workshops, writeshops, and forums, all of which provided a platform for espousing IRM.

The alliance and partners provided technical support and backstops to CMDRR committees and local government staff, as well as updates and reports on progress that enabled immediate corrective actions.

As confirmed by the KII participants, working relations between partners and stakeholders was commendable, and senior management and staff closely oversaw and monitored progress with the programme, providing guidance and decisions on strategic issues.

Communication and sharing of information among stakeholders was exemplary. There were joint reviews and field visits, including CMDRR committees, that expedited implementation, and regular communications on training and services, suggesting good synergy between PfR and government.

Document review and routine reports also affirmed the complementarity between actors and interventions, and the final report spoke of intensively facilitated learning and sharing through local and

international review, exchange visits, workshops, exhibitions and conferences that also showcased successes to the public.

Applying IRM in separate areas by different implementing partners, however, necessitated considerable travelling to provide technical support in the field, especially for Wetlands International and Climate Centre.

As recorded in the final and annual reports of the programme, monitoring and exchange visits opened up learning opportunities for stakeholders on the reduction of community vulnerability to local disaster events.

To reinforce the transfer of knowledge, practices and experiences, the country team, implementing partners, the government's Disaster Risk Management and Food Security Sector (DRMFSS) and other potential partners organized a conference aimed at wider dialogues on replication and scale-up of the IRM approach beyond the immediate PfR circle, looking toward PfR2.

In general, at the time of the evaluation, all the discussion participants indicated the existence of strong coherence and coordination among stakeholders and partners in the planning, implementation and monitoring of the programme. But it was felt that the consortium approach should involve having a wider range of skills available at any one project site, rather than dividing sites up by agency or having some only provide support remotely.

3.8 Monitoring and Evaluation

Monitoring was embedded in each partner's existing M&E system and included regular reporting, review meetings, backstop support and field visits. The programme employed participatory risk review and reflection to measure community satisfaction, and joint review sessions were put in place throughout the operational period. The results of these sessions reportedly provided implementers with valuable feedback, although the evaluation team could not directly evidence this.

CMDRR committee members were trained on M&E, enabling them to participate in follow-up and supervision, they agreed on principles of operation, and they kept track of group programme activities. Each committee had a formal leadership structure with nine members who linked up with programme staff.

Monitoring enabled programme staff to track progress and make adjustments based on findings of quarterly review meetings. A major monitoring tool was review and feedback of periodic reports submitted by management to alliance members, implementing partners, government and other stakeholders. The other major tool used to track progress was the annual progress review, involving all stakeholders, centred on addressing challenges.

These tools were said to have been properly used and they expedited implementation by recommending timely actions. But partner teams struggled with the many different layers – partner, country, region, and global – involved in routine reporting.

In Dewe *woreda*, decision-making and M&E was said to have been dominated by programme and *woreda* teams with minimal leadership by community groups in areas such as water, soil conservation, DRR, and early warning.

3.9 Reconstructed Theory of Change

As the document reviews and KIIs with programme stakeholders at all levels confirmed, there was no clearly presented theory of change for the programme. Taking actual programme intervention activities, outputs, outcomes, and the desired impact, an indicative theory of change is reconstructed for the PfR1 programme as provided in Figure 7.

<table>
<tr><th>Activities</th><th>Output</th><th>Outcome</th><th>Impact</th></tr>
<tr><td>• Conduct community based risk assessment
• Develop disaster risk reduction IRM) plans
• Mainstream IRM plans
• Implement risk reduction (IRM) plans</td><td>• EWS designed and executed
• IRM (DRR, CCA & EMR) measures implemented by the communities</td><td rowspan="2">• Prevention and risk mitigation measures implemented
• Individual and community coping and adaptive capacity to reduce vulnerability nurtured</td><td rowspan="5">Resilient individuals, communities, and systems built</td></tr>
<tr><td>• Train on environment and climate smart agriculture
• Create access to finance for livelihood diversification
• Transfer relevant technologies to enhance adaptation to climate change effects
• Transfer up to date technology to manage and restore ecosystems</td><td>• Environment friendly and climate smart livelihood options created
• Adaptation strategies to climate change effects developed
• Strategies to manage and restore ecosystem services and products developed</td></tr>
<tr><td>• Train partner staff on IRM
• Establish strong IRM knowledge and resource organizations (e.g. meteorological institutes, universities, etc.)
• Legalize and link number of local institutions to relevant organizations</td><td>• Local partner institutions equipped with state of the art knowledge on IRM.
• Strong knowledge and resource institutions on IRM created
• Local IRM program implementation institutions legally institutionalized /linked with relevant organizations</td><td>Capacity of local partner institutions (community committee, CSO, government) in IRM developed</td></tr>
<tr><td>• Involve organizations in networks, forums, and coalitions working on the integration of DRR, CCA, and EMR
• Use DRR/CCA/EMR related topics on agenda of platforms/networks</td><td>Strong networks, forums, and coalitions working on the integration of DRR, CCA and EMR created</td><td rowspan="2">IRM approaches mainstreamed at all levels of government echelons.</td></tr>
<tr><td>• Generate evidence to inform lobby and advocacy efforts on IRM
• Engage local government institutions actively in IRM activities (meetings/field visits/training)</td><td>• Evidence generated and documented to inform lobby and advocacy efforts on IRM
• IRM approach advocated by partners with peers and other stakeholders in their networks</td></tr>
</table>

Figure 7: Reconstructed Theory of Change

4. CHALLENGES, LESSONS, CONCLUSIONS AND RECOMMENDATIONS

4.1 Challenges

In general, the contribution of the PfR programme to improving the resilience and adaptive capacity of the beneficiaries was limited. This was due to the lack of a clear and contextualized programme design accompanied by a clear theory of change; the delay in starting implementation resulting in a shorter implementation period; recurrent extreme-weather events hitting programme sites; and working in hard-to-reach areas and vulnerable communities with little or no exposure to similar development interventions. The main additional challenges were:

- Global leadership and management were relatively top down and bureaucratic; the voice of the local programme team, especially during design and development, was minimal. Some key informants and partners staff still expressed concern that they do not have clarity on the concept of IRM.
- A lot has been achieved through PfR, but significant results go to the strategic objectives of strengthening community resilience and developing the capacity of partners, while little was delivered against policy advocacy, especially at national level.
- The delay in start-up in all intervention sites consumed considerable time for implementation, and there were delays in signing agreements and releasing funds, limiting community impact.
- Though communities were active during the PDRA and planning process, KIIs in Dewe *woreda*, for one, complained that management was dominated by programme staff and *woreda* offices, with community groups left with only a limited role.
- Some community institutions set up by the programme such as the CMDRR committees and regional bodies, as well as women's self-help groups, were not given legal status and were struggling to continue after phase-out. Women's groups such as Dire Dawa were not linked to any government agency and may now close.
- The budget assigned to Wetlands International and the Climate Centre was regarded as too little for what was planned. The resources and time involved in expatriates from different implementing partners trying to provide technical support for IRM work in the field in four regions were too great, especially for these two agencies.

4.2 Lesson Learned

- PfRI stakeholders strived to build the resilience capacity of vulnerable communities within the IRM framework. Every alliance member worked with reference to this shared objective by employing participatory approaches. They shared values in terms of objective and approach, and were able to progress as a unit over the programme life, contributing expertise and experiences to the alliance mission. This complementary approach could be considered in future programming.
- At the programme level, involving consortium partners with distinct competencies created better synergy. In this programme, DRR, CCA and EMR experts were involved and contributed to design, capacity building of staff and stakeholders, implementation, and M&E.
- Implementing partners knew the local context well and were able to assimilate with beneficiary communities. Some implementing partners such as SSD actually lived with the community during implementation.
- Women's institutions are seen as lasting and relevant in addressing household needs, but they need to be linked to a government or an NGO to survive.

4.3 Conclusions

- ***Relevance***: The programme has addressed the needs of the community and government policies and strategies related to community resilience to extreme-weather events and other shocks. Yet, the design did not clearly present the flow of programme outcomes, outputs, and

activities, which made it difficult track changes and report.

- ***Effectiveness***: Almost all programme activities were implemented as planned, except irrigation, provision of live animals, rangeland management, sand dam construction, and national-level policy advocacy.

- ***Efficiency***: The programme budget was used in a cost-effective manner and the activity plans were implemented, notwithstanding the delay in start-up and release of budget, and the gaps in the irrigation scheme.

- ***Outcome***: Considerable changes were observed in the capacity of the communities and partner organizations towards enhanced community resilience due to PfR programme interventions. The government has developed a sense of ownership to the extent of mainstreaming the IRM approach besides also allocating budget for PfR programme implementation. As a result, 49 per cent of communities reported that they have the capacity to cope or adapt to the extreme weather events encountered after phase-out.

  Forty-five per cent of respondents described PfR as at least "very good"; 21 per cent and 20 per cent respectively reported that risk assessment and reduction plans and climate change adaptation were replicated or scaled up by the local government in collaboration with communities.

  But despite implementation of almost all PfR activities the observed *changes* as shown above were below expectation, associated with drought, delays in starting, and lack of clarity in the programme logic. In other words, there was lack of clarity about assumptions and risks, and how activities and outputs would generate the desired higher-level outcomes.

- ***Sustainability***: Thirty-five per cent of respondents reported that some interventions have continued after programme phase out, regarded as an achievement in the face of the prolonged drought. But had PfR2 continued in the way communities expected, better achievements and sustainability might have been obtained.

- ***Coordination***: There was good coordination among consortium members, implementing partners and government in planning, reviewing and reporting.

4.4 Recommendations

- Considerable time and expertise have to be invested in programme design involving country-level leadership and consortium partners; design and planning should be completed ahead of implementation.

  Implementing partners need to have a clear understanding of the nature of the programme (the IRM approach) and the design must be adapted to the country context. There is a need to clearly present the flow of impact, outcome, output and activities in the log frame, and theory of change, to better monitor accomplishments, track changes and produce reports.

  Feasibility studies involving all stakeholders have to be done in each intervention site ahead of attempted implementation.

- For timely and adequate technical support there must be an in-country presence and sufficient budget for all consortium members. The consortium approach should involve having a wider range

of skills available at any one project site, rather than dividing sites up by agency and having some only provide support remotely or from abroad.

- IRM is not a project to be completed in one go but a *programme* requiring long-term investment of time and resources. It requires time to internalize the concept, assess sites, and implement and monitor plans. Implementation time might consist of two phases to be ample, together with a feasible exit strategy to sustain outcomes. PfRI ended before some interventions were mature enough to be sustained, and were handed over to government and communities as they stood.

- IRM has been working well and is accepted by stakeholders, and scaling up the approach whilst addressing the gaps observed in PfRI is now recommended.

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Annexes

Annex 1- Terms of Reference

Terms of Reference
Ethiopia: Evaluation of Partners for Resilience (PfR) Integrated Risk Management Program: Quantitative Survey and Qualitative Assessment
Required application documents:

1) Cover letter summarizing interest and relevant team experience (see TOR section 7 for requirements)
2) Short technical proposal (no more than 10 pages) explaining how the methodology proposed in the Terms of Reference below will be operationalized
3) CVs of all team members
4) Financial proposal showing total cost, professional fees and reimbursable expenses (e.g. travel costs, field work, materials; etc). The financial proposal must cover all costs associated with this evaluation; costs incurred outside this contract will not be reimbursed.

At a glance
The Red Cross / Red Crescent Climate Centre, in collaboration with its partners, is looking to hire a research institution or team of consultants (individual or institutional) to evaluate the relevance of the PfR phase I program as it was implemented in Ethiopia, the efficiency and effectiveness of program implementation, its impacts on community resilience, and the sustainability of these effects. Consultants must have proven expertise in conducting quantitative surveys and qualitative evaluations in line with the approach that is proposed in the Terms of Reference below. The team must be able to carry out the evaluation over a period of three months, including desk review and primary data collection in three out of five implementation woredas (districts). Therefore, excellent fieldwork logistics, quantitative and qualitative data collection and data quality management, and knowledge of the relevant local languages are essential.

Background & objective
The Partners for Resilience (PfR) members have been working as an alliance in the field of Integrated Risk management (IRM) since 2011. The program is implemented along three strategic lines: strengthening communities' resilience through targeted interventions at local level, working with civil society organisations to promote the integrated approach, and engaging in policy dialogues with governments to create an enabling environment.

The work of PfR centers on making people, communities and systems better prepared to withstand catastrophic events (both natural and manmade), enabling them to bounce back more quickly and emerge stronger from these shocks and stresses. PfR promotes four building blocks for resilience: encouraging communities to anticipate the risks they face, respond when disaster strikes while maintaining basic structures and functions, adapt to changing risks and the inherent livelihood options, and finally transform risks by addressing root causes and be active partners with governments in implementing disaster risk reduction.

In Ethiopia, PfR was implemented from 2011 to 2016 in five woredas (i.e. districts) by an alliance of organizaons comprising the Ethiopian branches of Cordaid and CARE, the Ethiopian Red Cross Society (ERCS), as well as five local implementing partners. The Red Cross / Red Crescent Climate Centre and Wetlands International provided technical advice and support.

List of implementation districts (woredas) by region:

- Afar region: Dawe.
- Amhara region: Ebenat.
- Oromia region: Gorogutu, Miyo.
- Southern Nations, Nationalities, and Peoples' region: Nyangatom.

Activities on the ground revolved around soil and water conservation, irrigation and water schemes, setting up and strengthening community structures, cooperatives, saving groups, and sharing essential practical and theoretical knowledge.

An evaluation is being commissioned to assess the relevance of PfR I as it was implemented in Ethiopia, the efficiency and effectiveness of program implementation, its impacts on community resilience, and the sustainability of these effects.

Evaluation scope and focus
The scope of this evaluation encompasses the entire Ethiopia PfR implementation from 2011 to 2016 (PfR phase I or PfR1). The following are the main evaluation questions, guided by the OECD DAC evaluation criteria[5]:

Main evaluation criteria and questions:

a. **Relevance:**
   - Were program activities and outputs – as implemented by partners on the ground – in line with and relevant to the program's theory of change as originally envisaged and captured in the results framework?
   - Were program activities – as implemented by partners on the ground – relevant to the resilience priorities and challenges experienced by local communities?

b. **Effectiveness:**
   - To what extent was the program effective in achieving its stated objectives and contributed to strengthening communities' resilience?
   - What were the major factors influencing the achievement or non-achievement of the objectives?

c. **Efficiency:**
   - To what extent did implementing partners use the least costly resources possible in order to achieve the desired results?
   - Did implementing partners consider alternative approaches to achieving the desired outputs?

d. **Impact:**
   - What are the positive and negative changes produced by PfR I in Ethiopia, directly or indirectly, intended or unintended – meaning changes that can be plausibly attributed to PfR or that PfR programs contributed to?

e. **Sustainability:**
   - To what extent are the benefits of PfR program implementation likely to persist, even after PfR I has ended?
   - What are the major factors which influence the achievement or non-achievement of sustainability of the PfR program?

To answer the main evaluation questions listed above and to maximize learning for the program, the evaluation is expected to investigate the "why" behind each question in detail, i.e. to establish causality. The methodology section below outlines the suggested approach to accomplish this.

Methodology
A combination of quantitative and qualitative methods is required for this evaluation.

Quantitative survey
A baseline survey was conducted in 2012 before the start of the program; baseline data exists for 1,625 households from 5 woredas and 25 kebeles across the program intervention areas. At the time, the sampling goal was to obtain responses from at least 30% of the total household population in each district; the total sample size was then allocated to kebeles proportional to size. In addition, a total of 37 focus group discussions were held in these kebeles to gather additional qualitative data.

Variables of interest included:
- Socio-economic background characteristics;
- Livelihood diversification / sources of household income;

[5] http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm

- Access to and use of inputs;
- Food security; access to water;
- Access to credit services;
- Exposure to training in disaster risk reduction, climate change adaptation and ecosystem management;
- Experiences of extreme weather events;
- Assistance to build resilience;
- Changes in resilience to extreme weather events.

The consultants will be required to implement a quantitative survey as a follow-up to the baseline survey. The baseline sample population should be included in the follow-up survey to the extent possible (in the event that individual households cannot be located anymore, replacement procedures must be put in place). The survey should draw a representative sub-sample of 1,000 respondents (total) from across three of the five implementation districts, representing a mix of pastoralist and farming areas, implementing partners, implementation approaches and interventions. The final sampling is to be agreed with the PfR I consortium members.

The consultants will need to expand the baseline survey questionnaire (see list of existing information sources below) to ensure it fully reflects the information needs of this evaluation and provide answers to the evaluation questions. The "3As framework" may be useful to formulate questions to track changes in resilience.[6]

Qualitative assessment

It is known that the PfR program areas benefitted from a range of other external support similar to the PfR interventions. Moreover, PfR interventions were not randomized and data on comparison communities does not exist. This means that it may not be possible to causally attribute changes observed in the survey results to the PfR interventions. Therefore, a theory-based qualitative approach will form the second pillar of this evaluation to assesses the attribution of cause and effect for PfR interventions and observed outcomes. The qualitative assessment will also be an important source of evidence on beneficiaries' perceptions and implementing partners reflections on the successes and challenges of implementing PfR1.

Contribution analysis and process tracing[7] are considered to be suitable methodological frameworks to ascertain a plausible association between program interventions and observed outcomes by weight of evidence. A plausible association can be said to have been made if the following criteria are met:

i) A reasoned theory of change is set out;
ii) The activities of the intervention are shown to have been implemented as set out in the theory of change;

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[6] See ODI, "The 3As: tracking resilience across BRACED", Working and discussion papers, August 2015: https://www.odi.org/publications/9840-3as-tracking-resilience-across-braced.

[7] Suggested reading:

- H. White and D. Phillips (2012), "Addressing attribution of cause and effect in small n impact evaluations: towards an integrated framework", in: International Initiative for Impact Evaluation, Working Paper 15. http://www.3ieimpact.org/media/filer_public/2012/06/29/working_paper_15.pdf
- DFID (2012), "Broadening the design and methods for impact evaluations", Working Paper 38. https://www.oecd.org/derec/50399683.pdf
- J. Mayne (1999), "Addressing attribution through contribution analysis: using performance measures sensibly", discussion paper, Office of the Auditor General of Canada. http://www.betterevaluation.org/sites/default/files/WKSHP%20Perrin%20-%20Mayne%202001%20(article).pdf
- S. T. Lemire, S. Bohni Nielsen, L. Dybdal (2012), "Making contribution analysis work: A practical framework for handling influencing factors and alternative explanations", in: Evaluation, Vol. 18, Issue 3, pp. 294 - 309. http://journals.sagepub.com/doi/abs/10.1177/1356389012450654
- D. Collier (2011), "Understanding process tracing", in: Political Science and Politics, Vol. 44, No. 4, pp. 823 - 830. Contains useful further references. http://www3.nd.edu/~ggoertz/qmir/collier2011.pdf
- B. Befani, S. D'Errico, F. Booker, A. Giuliani (2016), "Clearing the fog: new tools for improving the credibility of impact claims", IIED Briefing, International Institute for Environment and Development. http://pubs.iied.org/17359IIED/

iii) The chain of expected results can be shown to have occurred; and
iv) Other influencing factors have been shown not to have made a difference, or else their relative contribution has been recognised.

For the qualitative evaluation of PfR-Ethiopia, the analytical process is envisaged as follows:

1) **Reconstruct actual implementation theory of change vs. initial program theory of change** by establishing linkages between activities actually implemented and their intended outcomes to compare what was actually done from what was originally planned.
2) **Collect and document evidence of implementation** both at program level and with participating individuals: collect evidence whether the activities were undertaken, the timing, scale and quality of implementation.
3) **Collect and document evidence of outcomes**, i.e. institutional or behavioural changes, and changes in well-being. This should include any significant changes experienced in the beneficiary communities in the sphere of resilience and risk management during the time of PfR implementation, to capture intended and unintended program effects. The observed outcomes may or may not be consistent with the theory of change.
4) Based on 1 through 3, **construct linkages between activities that were implemented to evidence of outcomes and where possible, results**. For example: If the provision of crop inputs (seeds, tools), led to a change in agronomy (cropping system) – did that change in agronomy lead to a significant increase in yield (outcome) and did that change in yield translate into well-being improvements for the family (school fees paid, savings, made, insurance products purchased etc.). Determine to what degree the observed change is the result of PfR program partners and training provided by government extension workers – or other alternative explanations.
5) **Review each proven outcome and result against the main evaluation criteria** (section 3 above) to assess the relevance, effectiveness, efficiency, impact and sustainability of the program, i.e. reflecting on why change occurred and to what degree the PfR program explains this change.

It is worth re-emphasizing the role of alternative explanations: the objective of this evaluation is *not* to look only for intended outcomes according to the PfR theory of change and to try to link them to PfR interventions. The goal is to ascertain the contribution of PfR programs to the achievement of observable results, intended or unintended, vis-à-vis alternative plausible causes. As a consequence, for example, the evaluation might find that an intended result (as per the PfR theory of change) was achieved mainly due to influences outside the PfR theory of change and that PfR interventions contributed little or nothing to this given result. This can yield valuable lessons for future program implementation.

Due to repeated, severe drought episodes in PfR program areas, it is not unlikely that the benefits of some program interventions may have been completely wiped out. Therefore, the evaluation team is asked to consider in their qualitative assessment, especially in semi-structured interviews with community members, other successful resilience measures and coping strategies that may have been adopted at community level independent of PfR1. Even if not linked to PfR program interventions, identifying successful resilience strategies can help inform the second phase of PfR.

Data collection methods:

a) A desk review of available documentation (see 'existing information sources' below) provides the starting point for understanding the program's initial theory of change.
b) A review of implementing partner's current program documentation and semi-structured interviews with PfR consortium members in Ethiopia and their headquarters organizations are expected to yield sufficient information to reconstruct the implementation theory of change – analytical process step (1). The semi-structured interviews should also yield information on partners expectations, program priorities, challenges and final reflections on the effectiveness, impact and sustainability of PfR1 interventions.
c) Semi-structured interviews and focus group discussions (FGD) in implementation communities, together with (a) and (b), provide the information required to document evidence of implementation, outcomes, and construct causal narratives of change - (2) through (4).
d) Steps (5) and (6) can then be conducted through desk-based data analysis and conclusions should be validated with program partners and local communities.

Existing information sources

The following documents will be provided to consultants during on-boarding:

- Ethiopia program proposal
- PfR Ethiopia – Baseline Survey Report, including questionnaires (July 2012)
- Ethiopia Midterm Review (March 2013)
- PfR Annual Report (2013, 2015)
- Cost benefit analysis
- Monitoring logframes for Ethiopia
- Country Case for the Qualitative Process and Impact Study (2014)

Tasks and deliverables

No.	Task	Deliverable	Duration	By when
1	Short inception report and evaluation plan (no more than 10 pages, excl. annexes), detailing: • Reactions to and suggestions on TOR • Reflections on contribution analysis & process tracing literature • A table summarizing the program theory of change (activities implemented, outcomes, results for each activity implemented; also overarching results – and the hypothesized outcomes which are expected to produce those results) • Proposed evaluation plan with sequence of process and analytical steps, field work plan and timeline • Draft survey questionnaire and sampling frame • Proposed qualitative data collection instruments (semi-structured questionnaires for program beneficiaries, PfR consortium members and managers in Ethiopia, and headquarters / management staff) • Proposed mechanisms to ensure data quality and integrity • List of stakeholders to be interviewed / consulted Overview presentation of inception report to M&E reference group, summarizing approach and evaluation plan & timeline	Inception report & evaluation plan Presentation to M&E reference group	1 week	1 week after signing contract
2	Revise evaluation plan and data collection instruments based on feedback from M&E reference group	Finalized eval. plan and data collection instruments	3 days after receiving feedback	
3	Desk review of available documents & reconstruct implementation theory of change (ToC), based on desk review and PfR consortium member interviews	Implementation ToC	1 week	
4	Main quantitative & qualitative field work to document evidence of implementation and outcomes (suggested to work in at least two teams in parallel)		6 weeks	
5	Analysis and draft evaluation report presenting the results of contribution analysis and process tracing Presentation of draft evaluation report to M&E reference group, summarizing analytical process & findings	Draft evalu. report Presentation to M&E reference group	2 weeks	
6	Review of feedback from M&E reference group and validation of findings with partners & communities		1 week	
7	Final evaluation report (including executive summary of max. 2 pages and no more than 25 pages total, excluding annexes) and PowerPoint presentation. The complete data set must be submitted along with the final	Final evaluation report PowerPoint presentation	2 days	

	report.	Complete dataset		
			12 weeks	**total**

Stakeholder participation; accountabilities and reporting
The evaluators will formally report to the Red Cross / Red Crescent Climate Centre officer in Ethiopia and will liaise closely with the PfR planning, monitoring and evaluation (PME) group for guidance. The PfR country team for Ethiopia will form an evaluation steering group to accompany the evaluation process, provide guidance on the process, and review and comment on the evaluation products. Therefore, the evaluators are expected to work closely with the PfR partners in Ethiopia.

Dissemination plan
The primary purpose of this evaluation is to provide a learning opportunity for PfR partners, implementers and funders. Therefore, the main audience consists of these institutions and requires evaluators who are able to write up concise, executive findings based on rich evidence and thorough analysis. The M&E reference group will coordinate any other dissemination activities that go beyond the immediate target audience.

Expected evaluator background and experience
A research institution or team of evaluators is suggested to conduct this evaluation with a presence in Ethiopia capable of implementing the required quantitative and qualitative field work in the local languages in the given time frame. The lead evaluator must have an in-depth understanding of the Ethiopian context, culture and previous research experience in country. The lead evaluator must be appointed in the proposal and will be the main point of contact and responsible for managing the team and timely submission of deliverables.

- Demonstrated experience in developing theory-driven evaluation designs, methods, and instruments; experience in developing and testing theories of change and logic models.
- Demonstrated experience in implementing program evaluations using qualitative methods, preferably experience with contribution analysis and process tracing.
- Proven experience in implementing household surveys large-N household surveys.
- The lead evaluator must have a MA/MSc degree/PhD degree in a relevant field (e.g. evaluation, social and behavioural sciences, economics, etc) and at least 5 years' experience conducting research in the area of program impact evaluations and behaviour change assessments, ideally in the field of resilience and integrated risk management
- Strong track record of carefully and transparently collecting and analyzing complex qualitative and quantitative data sets.
- Excellent analytical and communication skills in English; ability to write concise yet comprehensive reports
- Team must have, or recruit, capacity to interview community members in the implementation districts in their local languages (woredas: Dawe, Ebinat, Gorogutu, Nyangataom, Miyo).
- Experience working with the Ethiopia PfR consortium members is an asset.

Application process and requirements
Interested applicants must submit the following documents:

a) Cover letter summarizing interest and relevant experience
b) Short technical proposal (no more than 10 pages) explaining how the methodology proposed in this TOR will be operationalized
c) CVs of all team members
d) Financial proposal showing total cost, professional fees and reimbursable expenses (e.g. travel costs, field work, materials; etc). The financial proposal must cover all costs associated with this evaluation, including field work logistics, telecommunication, etc; costs incurred outside this contract will not be reimbursed.

Annex 2 – Household Survey Questionnaire

PfR Ethiopia Risk Management Program Final Evaluation
Household Survey Questionnaire

Hello. My name is _____. We are here to undertake final evaluation of the Partners for Resilience (PfR) Ethiopia Integrated Risk Management Program, implemented from 2011-2015 in your kebele by _____ (name of the implementing partner). We are interviewing targeted household head of the PfR program. We would like to ask you some questions about your livelihood diversification, agricultural activities, climate change adaptation, resilience, food security, access to market, credit and water, and related questions. This will serve us to be able to understand about the changes brought on the target households and the community at large and draw lessons for future programming. Whatever information you provide will be kept strictly confidential - only members of the PfR team will have access to this information. Participation in this interview is voluntary and you can choose not to answer any individual question or all the questions. You can stop the interview at any time. Your honest answers to our questions will help us better know if the PfR program was adequately supporting the target community through the program. The questionnaire will take about 45 minutes to complete.
Do you have any questions for me now?
Questionnaire Id _____
Region _____ Zone_____ District _____Keble _____

Name of interviewer: _____ Signature: _____ Date: _____Time Start _____ Time ended: _____

1. Respondent's profile

1. Age of the HH head:	_____
2. Sex of the HH head:	01. Male 02. Female
3. The highest educational level attended by the HH head	01. None 02. Adult/informal education 03. Primary 04. Secondary 05. Post secondary 06. Other, Specify: _____
4. Were you interviewed during the program start up?	01. Yes 02. No 03. Do not know

2. Livelihood diversification

5. What are your main means of on-farm livelihood? (Enumerator: Select and tick in the space provided)		6. Estimate annual HH income (in ETB) generated by the identified on-farm livelihood activities
01. Field crops (grains & pulses)		
02. Horticultural crops (vegetables & fruits)		
03. Poultry		
04. Cattle		
05. Camel		
06. Equines		
07. Coffee		
08. Others, specify _____		

7. What are the types of off -farm activities your family engaged in, if any. (Enumerator: Select and tick in the space provided)		8. Estimate annual HH income (in ETB) generated by identified off-farm livelihood activities
1. Petty Trade		
2. Daily labour		
3.Employement		
4. House rent		
5. Pension/remittance		

9. Have you adapted new livelihood diversification activities as a result of the program?	01. Yes 02. No
10. If yes, list the adapted livelihood diversification activities	1. 2. 3.
11. If yes, what were the outcomes?	01 Increased income 02 Increased productivity 03 Increased income and productivity 04. Other, specify_____
12. Have you started using new different agricultural innovations as a result of the program interventions	01. Yes 02. No
13. If yes, which kind of agricultural innovations have you used?	01. Improved pre harvest agricultural technologies (improved seed varieties, fertilizers, row planting, integrated pest management techniques) 02. Improved post harvest techniques 03 Soil & Water Conservation techniques 04. Other, specify _____
14. Were soil and water conservation techniques part of the program intervention?	01. Yes 02. No
15. If yes, which of the following Soil Conservation Techniques you started using after the program intervention?	01. Physical works (terraces, bunds, check dams, etc) 02. Biological works (crop rotation, reforesting, mixed cropping, etc) 03. Physical and Biological works 03. Other, Specify

3. Food Security

16. Were there other programs with similar goals to PfR implemented in your area at the same time with this program?	01. Yes 02. No
17. If Yes, which other programs were implemented?	01. 02. 03.
18. Which extreme climate events, if any, were communities exposed to?	01. Drought 02. Flooding 03. Weather induced pests and diseases 04. Others, specify ----------
19. Did you face weather shocks after the program?	01. Yes 02. No
20. If yes, what is the main weather related risks that you have faced?	01. Drought 02. Flood

	03. Weather induced pests and diseases 04. Other, (specify) _____
21. Are there changes introduced by PfR program contributing to your coping capacity/resilience in the face of these spe cific extreme events?	01. Yes 02. No
22. Is your HH is food secure (i.e. you can feed your HH throughout the year without relying on external support)?	01. Yes 02. No
23. If yes, how do you rate the contribution of this program on your HH food security? If No, go to question number 24-25	05. Very Significant 04. Significant 03. Moderate 02. Somehow significant 01. Insignificant
24. If No to question number 22, what are the reasons for food shortages?	01. Drought 02. Floods 03. Lack of farm inputs 04. Others (specify) _____
25. If No to question number 22, how do you cope with food shortage?	01. Buy 02. Eat an alternative food 03. Support from others (relatives, friends or neighbors or government) 05. Others (specify) _____
26. Is there a change in total production as a result of the program support?	01= Yes 02 = No 03 = don't know
27. If Yes, to what extent has it changed/increased?	05. very significantly 04. Significantly 03. Moderately significant 02. Somehow significant 01. Insignificantly

4. Access to Credit Service

28. Do you have access to credit scheme? If No, go to question number 34	01. Yes 02. No
29. If Yes, have you used the credit scheme?	01 = Yes 02 = No
30. What is/are sources of the credit? (Enumerator: Select and circle from the list)	01. Other people (relative, friend or money lender) 02. Micro-finance institution 03. Bank 04. Others, specify: _____
31. For what purpose did you use the credit obtained?	01. Productive activities 02. Consumption (to fill food gap) 03. Children's education 04. Other, specify: _____
32. To what extent has the credit addressed your need/s?	05. Very Significantly 04. Significantly 03. Moderately 02. Somehow 01. No change
33. Do you think your credit access has been improved after the program intervention?	01. Yes 02. No
34. Is there any risk insurance facility in your kebele/village?	01 = Yes 02 = No

35. If yes, what are the available risk insurance facility/ies?	01. Crop insurance 02. Livestock insurance 03 Both crop and livestock insurances 04. Other, Specify_____
36. If your answer is Yes to question number 34, do you think the risk insurance facilities have been established/improved after the program intervention?	01. Yes 02. No

5. Access to Water

37. Is/are there any drinking water facility/ies? If NO, go to question number 41	01= Yes 02 = No
38. If Yes, which water facilities are available in the community? (Enumerator: Please tick the relevant options from the list when the respondent speaks)	01.Hand dug well and/or boreholes 02. Pond 03. River 04 Cistern 05.Other, specify_____
39. If Yes, what is the status (functionality) of the available water scheme/s?	01. Functional 02. Non-functional 03. Other, specify _____
40. If Yes, do you think that water facilities have been improved after the program intervention?	01. Yes 02. No
41. Are you using an irrigation scheme? If No, go to question number 48.	01 = Yes 02 = No
42. If yes, what are the sources of water for the irrigation scheme you use?	01 = River 02 = Pond 03 = Both River and pond 04= Other, specify _____
43. How do you get the water from these sources to your farm?	01= River diversion 02 = Motorized pump 03 = Drip irrigation 04 = other, specify _____
44. Did the PfR program provide support to irrigation schemes? If No, go to questions 48.	01 = Yes 02 = No
45. If Yes, what were the supports of the program in the irrigation scheme? (Enumerator: Please tick the relevant options from the list when the respondent speaks)	01. Financial support 02. Technical support 03. Technical and financial support 04. Others, Specify _____
46. Were there any changes in livelihoods as a result of irrigation support?	01 = Yes 02 = No
47. What are the contributions of the irrigation scheme for your livelihood?	01. Increased crop production 02. Increased income through sale of outputs 03. Improved dietary practice 04. Others, specify _____

6. Access to Inputs and trainings provided

48. Did you have access to inputs of the PfR program? If No, go to question number 69.	01 = Yes 02 = No
49. If yes, which type of inputs did you get?	01= Crop 02= Livestock

	03=Natural Resource Management 04= Other, specify
50. Did you obtain inputs in 2015 (final year) of the PfR program?	01 = Yes 02 = No
51. What were other contributions of the program in the provision of inputs?	01. Training 02. Technical support 03. Both training and technical support 04. Other, specify_____
52. Have you ever been trained on disaster risk reduction (DRR)/Climate change adaptation (CCA)/Ecosystem Management and Restoration (EMR) to implement DRR measures?	01 = Yes 02 = No

7. Outcomes

53. To what extent has the program addressed your HH constraints (Note to the Enumerator: you may give hints such as food shortage; access to market, water, and credit; access to and use of inputs; and DRR/CCA/EMR knowledge and skills)?	05. Very high 04. High 03. Moderate 02. Low 01. Very low
54. To what extent has the program enhanced your resilience in risks reduction? (Note to the Enumerator: Please explain what resilience is)	05. Very high 04. High 03. Moderate 02. Low 01. Very low
55. How would you rate the overall success of the program?	05. Excellent 04. Very Good 03. Satisfactory 02. Poor 01. Not successful
56. Do you know the interventions of this program that continued after phase out in your kebele? If No, go to question number 84.	1 = Yes 2 = No
57. If Yes, please list the continued interventions	1. 2. 3.
58. Which of the PfR program activities are replicated or scaled up?	01. Risk assessment & risk reduction plans 02. Livelihood diversification 03. Climate change adaptation 04. Improved agricultural practices 05. Other, specify_____

Note to Enumerators:
At the end of the interview, say ***Thank You*** to the respondents and inform them that we will let them know the results after analyzing the information.

Annex 3- Qualitative Evaluation Tools and Key Questions/Issues

I. Key Informant Interview Guide

Communities

1. General Background
    - Major means of livelihoods: on farm and off farm
    - Do you know about the PfR program? If yes, what were the interventions? Who were the target groups in the community?
2. Relevance
    - Does the program address community needs in your locality? How?
    - Did you participate in problem identification, planning, implementation, and monitoring and evaluation?
3. Effectiveness
    - Plan Vs achievement
        - What were planned?
        - What were accomplished/not accomplished as planned?
        - If not accomplished as planned or if done beyond the plan why?
4. Efficiency
    - How was the budget utilization of the PfR program in the locality?
    - How cost effective was it?
    - How was the timely implementation of the program?
    - How was the coordination among implementing partners, relevant government offices, and the community in the disaster risk assessment, program planning, implementation, and monitoring and evaluation?
5. Impact/changes
    - What changes were observed in each intervention in the locality?
    - Are there new means of livelihoods adapted in the locality? If yes, what are they?
6. Sustainability
    - Are there program activities continued to date?
    - If yes, which one are they?
    - If not, why?
    - what were the roles of the community and government offices to ensure sustainability?
7. Challenges, lessons, and recommendations
    - what were the major challenges faced during the PfR program period? Any negative/unintended effect of the program?
    - What measures were taken to address the challenges?
    - what did you learn from the program?
    - What do you recommend if similar programs are designed in the future?

District Government

1. General Background
    - How was the program started?
    - How had it been implemented?
    - What was the role of your organization in the process?
    - How familiar were you with the PfR Program?
2. Relevance
    - How relevant was the program to community needs?
    - How relevant was the program to and government policies and priorities?
    - What was the participation level of your organization in the program planning, implementation, and monitoring?

3. Effectiveness

- Plan Vs achievement
    - What were planned?
    - What were accomplished/not accomplished as planned?
    - If not accomplished as planned or if done beyond the plan why?

4. Efficiency
    - How was the budget utilization of the PfR program?
    - How cost effective was it?
    - How was the timely implementation of the program?
    - How was the coordination among implementing partners, relevant government offices, and the community in the disaster risk assessment, program planning, implementation, and monitoring and evaluation?
5. Impact/changes
    - What changes/improvements were observed in each intervention in the locality?
    - Are there new means of livelihoods adapted in the locality? If yes, what are they?
    - How do you see the achievement in capacity development of government officers and the community?
6. Sustainability
    - Are there program activities continued to date?
    - If yes, which one are they? If not, why?
    - What were the roles of your organization in ensuring sustainability?
7. Challenges, lessons, and recommendations
    - What were the major challenges faced during the PfR program period? What measures were taken to address the challenges? Any negative/unintended effect of the program?
    - What did you learn from the program?
    - What do you recommend if similar programs are designed in the future?

Partner CBOs/NGOs

1. General Background
    - How was the program started?
    - How had it been implemented?
    - What was the role of your organization in the process?
    - How familiar were you with the PfR Program?
2. Relevance
    - How relevant was the program to community needs?
    - How relevant was the program to and government policies and priorities?
    - What was the participation level of your organization in the program planning, implementation, and monitoring?
    - Was there ToC for the PfR Ethiopia program?
        - If, yes,
            - Would you share me your ideas and the document?
            - Had there been amendments on the process?
3. Effectiveness
    - Plan Vs achievement
        - What were planned?
        - Did the plan go as planned?
            - What were accomplished/not accomplished as planned?
        - If not accomplished as planned or if done beyond the plan why?
    - Were there changes in the process? If so, what changes?
    - What did your organization actually implement/facilitate?
4. Efficiency
    - How was the budget utilization of the PfR program?

- How cost effective was it?
- How was the timely implementation of the program?
- How was the coordination among consortium members, implementing partners, relevant government offices, and the community in the program cycle?

5. Impact/changes
   - What changes/improvements were observed in each of the program pillars? Why?
     - ✓ Community resilience
     - ✓ CSO/CBO/GO capacity development
     - ✓ Policy advocacy on DRR, CCA & EMR
6. Sustainability
   - What were the mechanisms put in place for sustainability?
   - What were the roles of your organization in ensuring sustainability?
   - Are there program activities continued to date?
   - If yes, which one are they? If not, why?
7. Challenges, lessons, and recommendations
   - What were the major challenges faced during the PfR program period? What measures were taken to address the challenges? Any negative/unintended effect of the program?
   - What did you learn from the program?
   - What do you recommend if similar programs are designed in the future?

PfR Consortium Partners

1. General Background
   - What was the rational for the program design in Ethiopia?
   - How was the program started?
   - How had it been implemented?
   - What was the role of your organization in the process?
2. Relevance
   - How relevant was the program to community needs, and government policies and priorities?
   - Was there ToC for the PfR Ethiopia program?
     - If, yes,
       - Would you share me your ideas and the document?
       - Had there been amendments on the process?
   - How do you see the relevance of the program to respond to its creation?
3. Effectiveness
   - Plan Vs achievement (Fidelity of implementation)
     - What were planned?
     - Did the plan go as planned? Why?
   - Were there changes in the process? If so, what changes?
   - What did implementing partners actually implement/facilitate?
4. Efficiency
   - How was the budget utilization of the PfR program? How cost effective was it?
   - How was the timely implementation of the program?
   - How was the coordination among alliance members, implementing partners and the local government?
5. Impact/changes
   - What changes/improvements were observed in each of the program pillars? Why?
     - ✓ Community resilience
     - ✓ CSO/CBO/GO capacity development
     - ✓ Policy advocacy on DRR, CCA & EMR
   - How do you see Model creation of the IRM approach for scale up?
6. Sustainability

- What were the mechanisms put in place for sustainability?
- What were the roles of your organization in ensuring sustainability?
- Are there program activities continued to date?
- If yes, which one are they? If not, why?

7. Challenges, lessons, and recommendations
    - What were the major challenges faced during the PfR program period? What measures were taken to address the challenges?
    - What did you learn from the program?
    - What do you recommend if similar programs are designed in the future?

II. FGD Guide with Communities

1. General Background
    - Major means of livelihoods: on farm and off farm
    - Do you know about the PfR program? If yes, what were the interventions? Who were the target groups in the community?
2. Relevance
    - Does the program address community needs in your locality? How?
    - Did you participate in problem identification, planning, implementation, and monitoring and evaluation?
3. Effectiveness
    - Plan Vs achievement
        - What were planned?
        - What were accomplished/not accomplished as planned?
        - If not accomplished as planned or if done beyond the plan why?
4. Efficiency
    - How was the budget utilization of the PfR program in the locality?
    - How cost effective was it?
    - How was the timely implementation of the program?
    - How was the coordination among implementing partners, relevant government offices, and the community in the disaster risk assessment, program planning, implementation, and monitoring and evaluation?
5. Impact/changes
    - What changes were observed in each intervention in the locality?
    - Are there new means of livelihoods adapted in the locality? If yes, what are they?
6. Sustainability
    - Are there program activities continued to date?
    - If yes, which one are they?
    - If not, why?
    - What were the roles of the community and government offices to ensure sustainability?
7. Challenges, lessons, and recommendations
    - What were the major challenges faced during the PfR program period? Any negative/unintended effect of the program?
    - What measures were taken to address the challenges?
    - What did you learn from the program?
    - What do you recommend if similar programs are designed in the future?