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Sida Decentralised Evaluation

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Mid-term Review of the Strategy for Sweden's Development Cooperation with Ethiopia, 2016–2020

Final Report

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February 2019**

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Abbreviations and acronyms

AAU	Addis Ababa University
ARRA	Administration for Refugee and Returnee Assistance
AWEA	Amhara Women Entrepreneurs Association
BoLSA	Bureaus of Labour and Social Affairs
CRGE	Climate Resilient Green Economy
CSO	Civil Society Organisation
DA	Digital Archive
DAC	Development Assistance Committee
DfID	Department for International Development
ECCSA	Ethiopian Chamber of Commerce and Sectoral Associations
ECRC	Environment and Climate Research Center
EDRI	Ethiopian Development Research Institute
EICP	Ethiopia Investment Climate Programme
ERCA	Ethiopian Revenue and Customs Authority
ESAP	Ethiopian Social Accountability Program
ESMI	Ethiopian School Meal Initiative
EWESDA	Empowerment of Women Entrepreneurs for Sustainable Development in Amhara
FA	Farm Africa
FGD	Focus Group Discussion
G4F	Growth for the Future
GTP2	Growth and Transformation Plan
H&M	Hennes & Mauritz AB
HDI	Human Development Index
HoA-REC	The Horn of Africa Regional Environment Centre and Network
HQ	Headquarter
ICT	Information and Communication Technologies
IFC	International Finance Corporation
IIRR	International Institute of Rural Reconstruction
ILO	International Labour Organisation
IO	Implementing Organisation
JeCCDO	Jerusalem Children and Community Development Organisation
Li-WAY	Livelihoods Improvement for Women and Youth
M&E	Monitoring and Evaluation
MC	Mercy Corps

MDP	Multi-Dimensional Poverty
MDPA	Multi-Dimensional Poverty Analysis
MDPI	Multi-Dimensional Poverty Index
MELCA	Movement for Ecological Learning and Community Action
MoEFCC	Ministry of Environment, Forestry and Climate Change
MoU	Memorandum of Understanding
MTR	Mid-Term Review
NRM	Natural Resource Management
NMHDO	New Millennium Hope Development Organisation
OECD	Organisation for Economic Co-operation and Development
OPHI	The Oxford Poverty and Human Index
PAYG	Pay-As-You-Go
PM	Project Manager
RA	Result Area
RAI	Research and Academic Institutions
SCI	Save the Children International
SIWI	Stockholm International Water Institute
SMHI	Sveriges Meteorologiska och Hydrologiska Institut
SNV	Netherlands Development Organisation
SRHR	Sexual and Reproductive Health and Rights
TNS	TechnoServe
ToC	Theory of Change
ToR	Terms of Reference
UEWCA	Union of Ethiopian Women's Charitable Organisation
UNDP	The United Nations Development Programme
UNFPA	the United Nations Fund for Population Activities
UN-Habitat	The United Nations Human Settlements Programme
UNICEF	The United Nations International Children's Emergency Fund
UNIDO	The United Nations Industrial Development Organisation
UNODC	The United Nations Office on Drugs and Crime
UN-Women	The United Nations Entity for Gender Equality and the Empowerment of Women
USAID	The United States Agency for International Development
WACCA	Water and climate change services for Africa
WB	World Bank
WEE	Women's Economic Empowerment
WFP	World Food Programme

Preface

The Midterm Review (MTR) of the *Ethiopian Development Cooperation Strategy 2016-2020* was commissioned by The Embassy of Sweden in Ethiopia. The MTR was undertaken by NIRAS between October 2018 and January 2019 and was conducted by:

- Svend Erik Sørensen, team leader
- Kristina Mastroianni, market development expert
- Imeru Tamrat, civil society expert
- Matilda Svedberg, survey and database management

Matilda Svedberg managed the process at NIRAS Sweden. Mats Alentun provided quality assurance. Elmi Nuri and Gustav Inganäs managed the MTR at the Embassy of Sweden, Addis Ababa, Ethiopia.

Executive summary

The objective of the Mid-Term Review (MTR) was to guide the quality and delivery approach of the remaining phase of the Swedish Ethiopian Development Cooperation Strategy (2016-2020) and to undertake an analysis of the Strategy as it has developed so far since its inception. The MTR used the OECD/DAC evaluation criteria. The MTR took place during October 2018 to January 2019, including field work during 14 to 28 November 2018. Additional input was provided during a Theory of Change (ToC) workshop held in January 2019 with the Embassy staff. The data collection was based on desk reviews, interviews, an on-line survey and field visits. Interviews were conducted with a broad and representative section of stakeholders, including beneficiaries. The MTR furthermore summarises and draws upon the findings from three studies commissioned by the Swedish Embassy, i.e. a Multi-Dimensional Poverty Analysis (MDPA), a conflict analysis and a market development study.

The Embassy of Sweden in Addis Ababa is the main anchor in the operation and monitoring of the Strategy. Three Result Areas (RAs) that underlie the Strategy include: (1) environment and climate change; (2) democracy and human rights, and (3) economic development and improved livelihoods. There are 36 projects included in the Strategy portfolio, almost equally divided between the RAs. The Strategy budget for the entire period 2016-2020 is MSEK 1462. Additional regional funding of MSEK 400 was announced by Sida's Director General during her visit to Ethiopia in December 2018. How this will affect the bilateral funding in Ethiopia has not been taken into account by the MTR. The results and priorities identified by the ToC exercise undertaken with the Embassy staff can guide future allocations should additional funds become available.

The **Main Findings** of the MTR are as follows:

Relevance: The Strategy is in line with the Ethiopian national plans and policies. The Strategy has been challenged by recent policy changes and reform processes. Therefore the Embassy launched studies that has enabled it to align better the Strategy towards the current political context. 75 percent of the Strategy interventions are related to either one or several of the recent ongoing reform areas in Ethiopia, making the Strategy highly relevant to the current change process. The reform and policy initiatives for increased freedom of expression, deepening of democratic development and human rights relate to RA2; and reforms regarding privatisation through economic liberalisation and livelihood, relate to RA3. The reform process is creating opportunities for the Strategy to fully exploit its potential. This include possibilities for direct government-to-government bilateral cooperation which can potentially enhance long-term development effects. Addressing the serious lack of social sector services to the

poor was identified as critical to reduce multi-dimensional poverty and the sector therefore qualifies to be seriously considered for support in the future Strategy for 2021-2025.

The Theory of Change workshop in January 2019 underscored the necessity of the Strategy to meet the needs of the multi-dimensionally poor. Additionally, increased focus on conflict prevention, dialogue platforms participation by projects, and support to structural reforms of the political and judicial systems were emphasised. Most importantly, gender equality was to be strengthened and viewed both in the context of resilience and livelihood as well as political participation. As such women's role in the further development of the Strategy was prioritised in the new results framework. Regions categorised as multi-dimensionally poor and lacking resources would also be prioritised.

Consideration of innovative approaches for the future strategy for 2021-2025 is important. Synergies between projects across RAs are less developed as are synergies with projects outside of the Strategy sphere. There thus scope for the Embassy to promote interaction among projects and to facilitate their participation in dialogue platforms. Overall, human rights, gender equality, environment and conflict sensitivity have been addressed though not always fully mainstreamed. The coordination activities led by the Embassy have been positively received by other donors.

Effectiveness: Many of the projects are relatively new and assessing effectiveness to date is therefore difficult. Twelve selected projects, four from each RA, were analysed and assessed to be reasonably effective. Results frameworks have been established for all projects under the Strategy. Most output indicators are quantitative while qualitative/process based indicators are rare in the projects' results frameworks. There is no obvious correlation between effectiveness and types of project modality applied in the Strategy portfolio. Many internal and external factors impact on the eventual success of the Strategy results.

Efficiency: Limited donor coordination and information sharing exists within or across RA projects or in co-funded projects. Furthermore, partners of IOs often lack management and technical knowledge and skills to be able to perform satisfactorily. Staff replacements and re-shuffling of government institutions are major barriers to sustain strong government collaboration within the Strategy support. The IOs emphasised the need for a long-term, continuous and systematic collaboration with government to most effectively achieve positive results. Meanwhile, the current political volatility and pockets of violence in some parts of the country risks diverting government focus away from the development agenda. While existing consortia have been formed/guided/imposed by the Embassy, the IOs preferred to identify their respective partners by themselves. Standard procedures for selecting and rejecting projects for the Strategy have been formally applied by the Embassy. Monitoring and evaluation

practices applied by the Embassy to measure progress and achievements of the Strategy are inadequate, causing weaknesses in measuring of effectiveness. Several projects are significantly underspending disbursed funds may call for a review of causes.

Sustainability: If government reform process and priorities are to be maintained, there are reasonable prospects for future ownership and thus potential sustainability of the Strategy portfolio across the RAs. This could include deepening and scaling up relevant projects with the government as a committed co-player. Strengthened Swedish support to, working with and capacity enhancement of civil society actors, private sector and beneficiary groups will promote a perspective of broader country ownership. As the private sector is closely linked to sustainability of development results as a service provider continuous emphasis to support the sector is important.

The **Main Conclusions** of the MTR are as follows:

Relevance

1. The Strategy was developed prior to the current reform process and at the time did not reflect national policies. The current reform process has moved national policies closer to the Strategy and its focus areas. As such, the Strategy has become increasingly relevant as it progressively reflects the new development agenda the Ethiopian government has embarked upon over the last year. (REC 1)
2. The Embassy has adopted the multi-dimensional poverty approach and defined poverty and its causes based on the conclusions of the MDPA, the Market Development Study, the Conflict Analysis, and the ToC workshop. The fast socio-political changes in Ethiopia requires continuous reflections and ToC analyses for the Strategy to remain relevant. (REC 2, 3, 4, 5, 7, 13, 14)
3. Synergies among projects within, across, and beyond the RAs are currently inadequately developed and cannot thrive without a suitable organisational framework from where synergies can evolve and develop. (REC 9)
4. While the Embassy has not systematically applied the MDP framework/model in the development of the Strategy, the data collected by the MTR indicate that poverty dimensions are addressed, while not fully satisfactorily with regard to human security. (REC 2, 3)
5. The social sector support has been identified by the Embassy as a possible focus area in the humanitarian-development nexus to better address multi-dimensional poverty. With the Embassy consolidating its portfolio to fewer and larger programmes and entering into possible government-to-government projects, such a 're-direction' of the Strategy would be relevant. (REC 4, 7)

6. Regions that are considered extremely poor multi-dimensionally have not been fully addressed by the Strategy. If the geographic imbalance is continued, the Strategy results will be skewed. (REC 2)
7. Crosscutting themes are unevenly addressed in the Strategy portfolio. While gender equality is well covered and monitored in all projects, with a significant portion of projects focusing on women and youth, the conflict perspective is less well integrated. Addressing the conflict perspective constructively is relevant for sustaining Strategy results. (REC 2, 13)

Effectiveness

1. Many projects in the Strategy portfolio are relatively new and assessing effectiveness is therefore difficult. Of the 12 selected projects analysed for their effectiveness, the team concluded there was a reasonable level of effectiveness. (REC 6)
2. There is no obvious correlation between effectiveness and types of project modality applied in the Strategy portfolio. Regular analysis by the Embassy of this correlation may guide the selection of modality type for future allocation of funds.
3. Factors influencing aid performance and results achievement are many, some of which are important – such as limited implementation capacity of partners, political/ethnic unrest, government re-structuring, and government staff turn-over as well as inadequate M&E practices by the projects and other efficiency factors. These are challenges that can eventually have significant effect on the likelihood of the success of the Strategy. M/E mechanisms need to be in place for the Embassy, particularly in the event that dramatic/ unforeseen events occur. (REC 3, 6, 7, 12)

Efficiency

1. The Embassy is commended by other stakeholders for its active engagement in donor coordination in the areas of human rights and private sector development. Less interaction exists within and across the RAs of the Strategy. Theme/sector-based dialogue platforms emerging from the reform process are regarded by the Embassy as essential forums for development, in which their relevant partners need to engage. (REC 9, 10, 11)
2. Non-financial incentives such as capacity development support, a long-term focus and continuous and systematic collaboration with government staff at local, regional and national levels would promote positive output and outcome results for the Strategy. (REC 7, 10, 12)
3. Self-selected partnerships often have better prospects regarding effective collaboration and ownership, but may not always align with the donor's exact conceptualisations. (REC 8)

4. Standard procedures for selecting and rejecting projects for the Strategy have been formally applied by the Embassy, though there is room for improvements with regard well-designed RBM frameworks and indicators. (REC 6)
5. Effective M&E processes are critical to determine whether development efforts are having an effect and if adjustments are needed. Regular monitoring is not undertaken at Strategy level and at lower project levels, partners are inadequately equipped to measure progress and achievements. (REC 6, 12)
6. Underspensing of disbursed funds influences both efficiency and effectiveness of the Strategy. It may relate to the limited capacity of the partners of the IOs. If (significant) underspending prevails among the majority of the Strategy portfolio projects, causes need to be identified. (REC 12)

Sustainability

1. Channelling effective support to both duty-bearers and rights-holders is critical for long-term sustainability of projects. (REC 7)
2. Political volatility and pockets of violence may divert government attention to manage these conflicts, rather than maintain its focus on the political reform agenda and addressing the development needs of the Ethiopian people. The ability of the government to sustain the benefits achieved by the Strategy may therefore be affected. (REC 2, 7)
3. Although government institutions typically have important responsibility to sustain the benefits of the Strategy after the completion of the Swedish support, working with and improving the capacity of civil society, the private sector and beneficiary groups will promote broader country ownership. (REC 2, 3, 7)

The **Main Recommendations** of the MTR are as follows:

1. The Embassy should continue its focus on the three existing RAs, i.e. the environment, democratic development, and private sector development, since they are relevant to the current socio-political development context of Ethiopia.
2. In line with the theory of change developed for the Strategy and the result of the different studies commissioned by the Embassy, the Embassy should continue to place strong emphasis on addressing women, children and youth in rural and urban areas, with a particular focus on enhancing their economic welfare (through livelihood, resilience and private sector development) and political participation. Conflict perspectives and poor regions should be given greater attention in interventions.
3. Considering the fast changing political environment in Ethiopia, the Embassy and the IOs should regularly re-examine (and revise) the Strategy's theory of change,

with a focus on assessing the underlying assumptions to the multi-dimensional poverty. In doing so, new pathways can be identified and potentially new and innovative inputs/ideas may emerge to ensure continued Strategy alignment with the development context.

4. For the future strategy (2021-2025), the Embassy should assess the feasibility of long-term support to socioeconomic sectors (education, health, nutrition, etc.) in collaboration with government and other donors – with a focus on the human rights and well-being of women, children and youth. Already now sexual and reproductive health and rights constitutes an objective of the Strategy, which could be expanded upon in the future 2021-2025 strategy.
5. The Embassy should assess the strategic importance and relevance of new reform initiatives undertaken by the Ethiopian government. Currently this includes efforts in the areas of media sector reform, justice sector reform, electoral reform, and CSO-related legislation – which all promote the rule of law, civic participation, and freedom of expression. Partners should generally be encouraged to engage in the new dialogue platforms (except in cases when participation might undermine the watchdog role of certain CSOs).
6. The Embassy/PMs should, in close collaboration with the IOs and their partners, (i) review current project result matrices and indicators used for measurement of progress and achievements; (ii) reformulate inadequately formulated indicators; and (iii) review strategic impact indicators that can be used to determine progress in relation to multi-dimensional poverty reduction – the overall goal of the Strategy. The IOs should guide lower level partners in the use of simplified M&E tools.
7. The Embassy, IOs and their partners should (i) engage in a systematic long-term capacity development of Ethiopia's duty-bearers and initiate direct collaboration with national and local governments; and (ii) support the voices of rights-holders and ensure that their needs met. Combined, this will promote long-term sustainability of the Strategy's results.
8. Where consortia are considered a suitable implementation structure, the Embassy should encourage and facilitate an application process in which defined competence criteria will ensure both strong administrative and multi-sector technical capacities.
9. The Embassy should provide a platform for IOs within/across RAs to focus on learning, innovation, and creating synergies. This could consist of the Embassy holding biannual sessions for all IOs in the Strategy portfolio.

10. As relevant, the Embassy should encourage the IOs and their partners to participate in the new dialogue platforms that are being created by local and central governments. Partners should be encouraged to inform the Embassy and the proposed RA forums whenever these lead to consequences, opportunities and/or constraints for the Strategy.
11. The Embassy should continue to be a driver in donor coordination within the sectors of human rights and private sector development. It should consider providing additional donor coordination support in relation to important policies that are relevant to the Strategy.
12. The Embassy should support further capacity development of IOs and their partners to improve project implementation and monitoring; e.g. internally by supporting the development of project management/M&E capacities; and externally by facilitating participation in platforms and forums for dialogue. In addition, HRBA capacity building should be specifically addressed, particularly with regard to monitoring.
13. The Embassy should request that IOs mainstream crosscutting themes through their activities, budgets and indicators.
14. When financially feasible, the Embassy should consider testing new areas for support. These could consist of more innovative and/or riskier pilot initiatives, potentially involving new partners, in line with opportunities emerging from the government reform process.

1 Introduction

1.1 BACKGROUND

Ethiopia is determined to reach the status of a middle-income country by 2025. National development plans since 2010 have facilitated this process, resulting in significant economic growth figures (annual average >10%). Likewise, Ethiopia has adapted international development agendas, such as the Climate Resilience Green Economy (CRGE) strategy and the Sustainable Development Goals (SDG) 2030. During the same period, Ethiopia experienced lack of trust in its political leadership, lack of justice, free and fair elections and overall economic opportunities – especially for the youth. A new prime minister came into office in 2018 and launched a new vision for Ethiopia, which includes increased freedom of expression and democracy, respect for human rights, economic liberalisation and facilitation of private sector development. It is within the context of the vision expressed by the new political leadership of Ethiopia that the Mid-Term Review (MTR) of the *Swedish Ethiopian Development Cooperation Strategy* (2016-2020) took place.

The objective of the MTR was to ‘guide the quality and delivery approach of the remaining phase of the strategy’. The main task was to analyse and assess the implementation of the Strategy since its inception in 2016, using the OECD/DAC evaluation criteria and the evaluation questions developed during the inception phase. The MTR took place between October 2018 and January 2019. Field work took place during 14 to 28 November 2018. Furthermore, the MTR team leader conducted a workshop on theory of change, results-based management, and indicator development with the Embassy in January 2019.

1.2 METHODOLOGY

In line with the inception report, three overall and interconnected approaches guided the MTR: the theory of change (ToC), the multi-dimensional poverty (MDP) framework and the contribution analysis. While acknowledging the importance of developing/reconstructing a ToC for the Strategy, it was only to some extent addressed during the field work. Therefore, the ToC workshop was carried out on 23-24 January 2019, during which participants comprising Embassy staff and decision-makers designed a preliminary results framework for the Strategy, including the development of indicators for monitoring strategic impact.

The MDP framework was analysed and synthesised with the findings of the other three key studies commissioned separately by the Embassy, i.e. the conflict analysis, the MDP analysis and the market development study (covering livelihoods projects

under Result Areas 1 and 3). A contribution approach¹ was applied, particularly during field visits and during interviews with both the Embassy's Project Managers (PMs), Implementing Organisations (IOs) of the projects under the Strategy and their partners and /or sub-contractors.

The MTR established a comprehensive database into which data gleaned from the 36 projects of the Strategy portfolio were entered. The purpose of the database was to establish an overview of the project portfolio. It incorporated data gathered from documentation and the field visit. The database enabled the team to generate a set of qualitative and quantitative variables, including, for instance, type of result area, type of modality, project budget, project objectives, implementing organisations, name and type of first and second tier partners, and degree of effectiveness.²

The MTR selected and analysed a sample of 12 projects, four from each of the Strategy's three results area (RA), in relation to results achieved/expected to be achieved. The analysis was based on document reviews and where possible, validated with evidence from field visits. The four projects under the RA3 were selected to avoid overlap with the Market Development Study. The RA1 and RA2 projects were selected to contain a mix of small and large projects representing different sub-sectors. The analysis for each project was structured in three steps: a presentation of the project objective and content; an assessment of progress and achievements made; and a conclusion on effectiveness. The projects were subsequently rated based on a 1 to 5 scale and the RAG stop-light tool. The analysis is presented in Annex 6.

Interviews were carried out with the Embassy management, the Embassy PMs, managers of selected IOs, co-funders and partners involved in the projects. Interviews were also conducted with a sample of project beneficiaries during field visits. These were partly selected based on suggestions made by the Embassy and IOs, and partly selected randomly by the team during its field visits. As such, the MTR covered a wide range of stakeholders engaged in the execution of the projects (see Annex 3, List of Stakeholders Interviewed).

Field visits were carried out in four regions: Addis Ababa, Bahar Dar, Hawassa and Axum. These visits were selected based on two main parameters, i.e. the accessibility to as many projects as possible within reach of a location and the ability to cover projects from all three RAs. Data from the field visits have been integrated in the various chapters in the report.

1 See Inception Report, section 3.1.

2 Many of the observations (data points) consisted of a simple yes or no to whether a certain element was included in the project documents or not. Others assessed the quality of the content either through a short comment or a scale of 1-5.

To further enhance the solidity of the data collected, it was triangulated with an on-line survey and a focus group discussion (FGD). The survey target group was the managers of the lead IOs, since it was not possible to interview all managers of the 36 projects funded by the Strategy. The survey was designed to address both quantitative and qualitative aspects of the projects under the Strategy. The FGD included the participation of ten IOs that were considered instrumental in ensuring an effective implementation of the Strategy. The FGD provided significant inputs to the MTR in terms of obstacles and drivers for project planning and implementation.

For the development of strategic impact indicators for the Strategy, discussions were held with PMs concerning their perception of which indicators could be considered impact-oriented and measurable against the overall Strategy objective (multi-dimensional poverty reduction). The result is presented in Annex 6.

While the MTR according to the ToR was explicitly tasked to address the current Strategy period (2016-2020), the Embassy also wanted the team to look beyond and assess how a future strategy for the period 2021-2025 could have improved relevance.

The ToR does not include an assessment of the humanitarian aid provided by the Embassy. The MTR has however, briefly addressed the humanitarian-development nexus. Also, issues that were not specifically reflected in the EQs have been addressed by the MTR as they emerged during the mission, including the support to “consortia” and partner collaboration.

1.3 LIMITATIONS

The MTR faced the following limitations:

Limitations in data: Even though the Embassy sent data for each project, data from several projects was initially missing. The problem with insufficient data was partly solved during and after the MTR mission, when additional data were collected. Nevertheless, the gaps in data affected the ability to fully analyse and synthesise data in the database.

Lack of contact details for several of the implementing organisations negatively affected making arrangements for survey and interviews.

Survey process: The team only received contact details for 21 implementing organisations out of 36. The delay in receiving these limited the time span for responses, which in turn affected the response rate. The survey received nine responses. Thus the survey results have been used to confirm other evidence as opposed to stand-alone data. A survey prepared for the partners of the projects implemented under the consortia was planned but abandoned, since the contact details turned out to be far from complete.

1.4 STRUCTURE OF THE REPORT

The MTR report is divided into five chapters. The following chapter discusses and analyses the Ethiopian context and the *Swedish Ethiopian Development Cooperation Strategy 2016-2020*. Chapter 3 provides findings in relation to the evaluation questions and additional areas for analysis identified by the Embassy. Chapter 4 contains conclusions, while the final chapter provides recommendations for the Embassy going forward.

2 The strategy 2016-2020 and context

This chapter summarises the current Ethiopian political reform process; provides an overview of the Swedish Development Cooperation Strategy for Ethiopia and the related project portfolio; and provides a contextual analysis in relation to poverty, conflict and development market that is based on summaries of the recent studies commissioned by the Embassy.

2.1 THE ETHIOPIAN POLICY REFORM PROCESS

The coming to power of a new reformist leadership from within the ranks of the ruling party, EPRDF, in April 2018 has been followed by a series of bold reform agendas that has resulted in the government gaining strong popular support in the country as well as from the international community. To date, the government has taken several steps towards quick paced reforms, among which are the release of thousands of political prisoners – including high profile opposition leaders, members of the media, and human rights defenders. It is also engaging in establishing peace with neighbouring Eritrea; inviting opposition parties to return to the country to participate in the political process (including the forthcoming 2020 elections); and the appointing women to half of the ministerial posts. It recently appointed a new woman president and selected women as the presidents of the Supreme Court and National Election Board respectively.

Furthermore, the Ethiopian government has embarked on replacing previous repressive laws, such as the Civil Society and Anti-terrorism laws, in line with human rights standards; initiated justice sector and judicial reforms; and has established advisory committees composed of various stakeholders to revise such laws. These are expected to be passed soon. Institutional reforms have also been undertaken in terms of restructuring the federal executive level, with the objective to create strong institutions for achieving the GTP2 and support the reform process. The government has also committed itself to introducing a range of economic reforms aimed at revitalising the economy by expanding the role of the private sector; gradually opening up the economy; and liberalising sectors that have to date been dominated by state-owned enterprises.

In November 2018, the government issued a one-page dashboard with priority reform actions that it plans to undertake under nine areas, namely Justice and Democracy; Macro-Economic Management; Productive Sectors (agriculture, manufacturing and services); Export and Revenue Mobilisation; Financial Sector; Human Capital; Logistics and Electricity. The leaders of several government bodies such as the Head of Of-

fice of the Attorney General; the President of the Supreme Court; and the Commissioner of the Ethiopian Human Rights Commission; have already signed agreements with the House of Peoples' representatives (the Parliament) to discharge their responsibilities in an accountable manner.

The new reforms and the direction that are being undertaken for opening up the political and democratic space in the country provide more opportunity for the Embassy Strategy to consolidate and further deepen its strategic interventions in the remaining strategy period and beyond.

2.2 THE SWEDISH STRATEGY AND PROJECT PORTFOLIO

The *Strategy for Sweden's Development Cooperation with Ethiopia 2016-2020* focuses on three result areas (RAs)³: (1) environment and climate change; (2) democracy and human rights; and (3) economic development and improved livelihoods. RA1 has three sub-areas, while RA2 and RA3 each have four sub-areas, bringing the total sub-areas (or objectives) to eleven. The 36 projects included in the Strategy portfolio are relatively evenly distributed by the three results areas. They are listed in Table 1.

The Strategy was preceded by several years of Swedish support to mainly civil society and environment initiatives; in a context in which the Ethiopian government was exploiting the natural resource-base, ignoring human rights, suppressing democracy, gender equality, and private sector development. The Strategy was developed at the same time of the national Growth and Transformation Plan (GTP2) 2016-2020, and is well aligned with its content.⁴ The Strategy also supports the Sustainable Development Goals 2030. The Strategy covers the period from May 2016 to December 2020, amounting to 4.5 years. The Embassy of Sweden in Addis Ababa is the main anchor in the operation and monitoring of the Strategy. The total funding of the Strategy is presented in Table 2, disbursed according to RAs.

³ Recently there has been a change of the concepts of the Strategy: result areas and now named "areas", while the 11 sub-areas are called "objectives". In the report we have applied the 'old' terminology.

⁴ ToR, p.1-2.

Table 1. Projects in the Strategy Portfolio 2016-2020 (as per November 2018)⁵

	No.	Implementing Organisation	Project title
RA1	P1	HoA-REC	Integrated Land Use and Development Master Plan
	P2	UNDP	Institutional Strengthening for the Forest Sector Development Programme
	P3	EDRI/ECRC	Supporting CRGE/GTP implementation with knowledge management and forest research
	P4	SIWI	Translating policy into Practice (SIWI)
	P5	SMHI	Water and climate change services for Africa (WACCA) - SHMI
	P6	MELCA	Improving life of communities & conserving the environment in Majang Zone, Gambella
	P7	FA I	Growth for the Future (G4F): Harness smallholder productivity, adapting to CC and protecting the Environment (Farm Africa, 2016-2020)
	P8	FA II	Integrated approach to improve rural livelihood, Climate smart agriculture, Climate change mitigation project and Market Systems project (Farm Africa – 2018-2022)
	P9	UN-Habitat	Enhanced Urban Livelihood
	P10	AECF	Renewable Energy and adaptation to Climate Technologies (REACT)
RA2	P11	FOJO	Ethiopia Media Reform Program-FOJO Media Institute
	P12	UNDP	UNDP Governance and Democratic Participation program
	P13	UNFPA	UNFPA/MoFEC Country program on sexual and reproductive health
	P14	WB	Ethiopian Social Accountability Program (ESAP2) 2
	P15	CHR	Centre for Human Rights Support Teaching, Research and Community Engagement
	P16	JFA	JFA Integrated project for Human rights Protection, Promotion of good governance and Peace Building
	P17	JeCCDO	JeCCDO Engaging community structures towards sustainable development in Ethiopia
	P18	UN-Women	UN Women Country Program 2017-2020
	P19	IAGE	Initiative Africa Gender Equality - Making Change Happen
	P20	UNODC	Criminal Justice-National Integrated Program for Ethiopia (sub-program 2)
	P21	BC	British Council Civil Society Support Program Phase II
	P22	LPI	Life and Peace Institute Ethiopia Programme
	P23	Selam	Culture Leads the Way - Selam
	P24	AAU	Commissioned Education Programme
RA3	P25	ILO	Improving Industrial Relations for Decent Work and Sustainable Development of Textile and Garment Industry in Ethiopia
	P26	UNICEF	Building Integrated Safety Net System for the Most Vulnerable Women & Children in Rural & Urban Ethiopia
	P27	AWEA	Empowerment of Women Entrepreneurs for Sustainable Development in Amhara (EWESDA)
	P28	SNV	Livelihoods Improvement for Women and Youth (LI-WAY)
	P29	IFC	IFC Ethiopia Private Sector Development Multi-Donor Initiative - Pillar II: Access to Finance Trust Fund

⁵ The shaded projects are the 12 selected for effectiveness assessments, presented in Annex 5.

	No.	Implementing Organisation	Project title
	P30	ENAT	Woman-Owned Business Loan Portfolio Guarantee – ENAT Bank
	P31	IFC	IFC Ethiopia PSD Multi-Donor Initiative; Pillar I: Investment Climate Trust Fund, (Phase I and approved Phase II)
	P32	ECCSA	ECCSA PSD Hub programme
	P33	UNIDO	UNIDO Selam Volvo Drivers Public Private Partnership Program
	P34	WFP	From Humanitarian assistance to resilience, World Food Programme (WFP)
	P35	ESMI	Capacity Buildings of the School Feeding Programs - Ethiopian School Meal Initiative (ESMI)
	P36	Mokoro	WIDE programme

Source: MTR database and Embassy

The Embassy has assessed the Strategy during the last couple of years, which has been reported to Sida HQ. These reports have included considerations for how to strengthen the design/structure and implementation of the Strategy for the remaining period,⁶ and has recently included three analyses covering the Multi-Dimensional Poverty Analysis (MDPA), a conflict sensitivity analysis, and a market development assessment.

2.2.1 Financial composition of the Strategy portfolio

The Strategy is bilaterally funded and additionally supported from regional funds. As shown in Table 2, the total bilateral funding amounts to MSEK 1100, in addition to regional funds, MSEK 362 (25%), totalling MSEK 1462. The majority of the regional funding has been allocated to RA1 (73%), the remaining to RA3 (27%).

Table 2. Disbursement of funds for Strategy Results Areas 2016-2020 (MSEK)

Year	RA 1 ('000 000)			RA 2 ('000 000)			RA 3 ('000 000)			Total ('000 000)		
	BF	RF	BF + RF	BF	RF	BF + RF	BF	RF	BF + RF	BF	RF	BF + RF
2016	83,7	-	83,7	38	-	38	79,9	-	79,9	201,6	-	201,6
2017	69	-	69	91,4	-	91,4	251,5	-	251,5	411,9	-	411,9
2018	49,2	120	169,2	97,3	0	97,3	75,7	42	117,7	222,2	162	384,2
2019	11,1	54,4	65,5	87,6	0	87,6	81	45,6	126,6	179,7	100	279,7
2020	0	91	91	36,1	0	36,1	48,5	9	57,5	84,6	100	184,6
Total	213	265,4	478,7	350,4	0	350,4	536,6	96,6	633,8	1100	362	1462

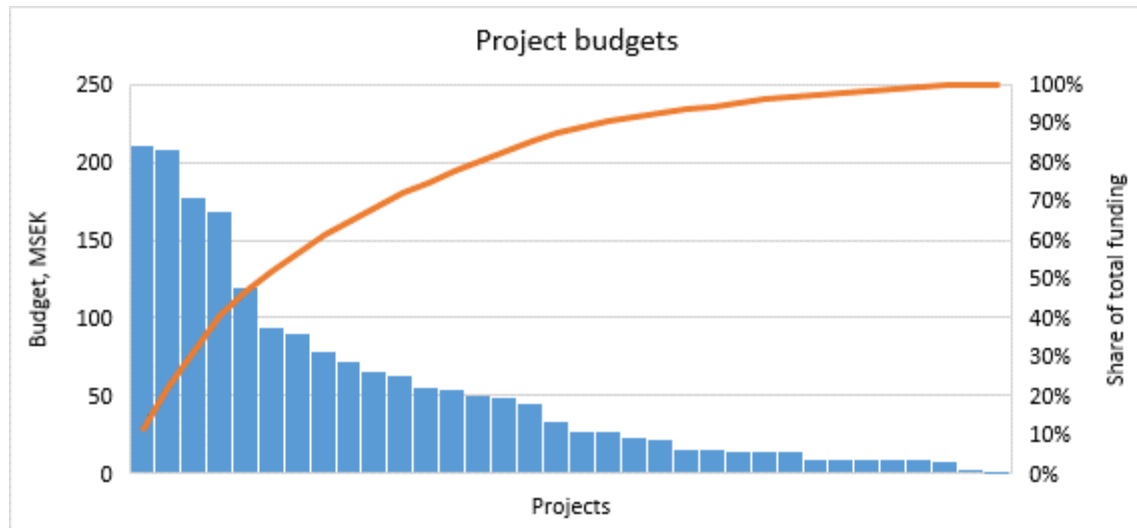
Source: Embassy Controller, January 2019 – BF= Bilateral funds; RF= Regional funds

The total budget distribution for the entire period among the three RAs are as follows: RA1 MSEK 478.7 (32.7%), RA2 MSEK 350.4 (23.9%), and RA3 MSEK 633.8

⁶ These documents include Strategirapport from May 2017; Strategirapport 2017, from April 2018; Årsplan för Etiopien 2017, from January 2017; Implementation Plan for 2018, from January 2018; Petersson document from October 2018; and Strategiplan för Etiopien 2019-2021, from November 2018; Visuals provided by the HQs/ Embassy on 27 November 2018.

(43.4%). Additional regional funding of MSEK 400 was announced by Sida's Director General Carin Jämtin during her visit to Ethiopia in December 2018.

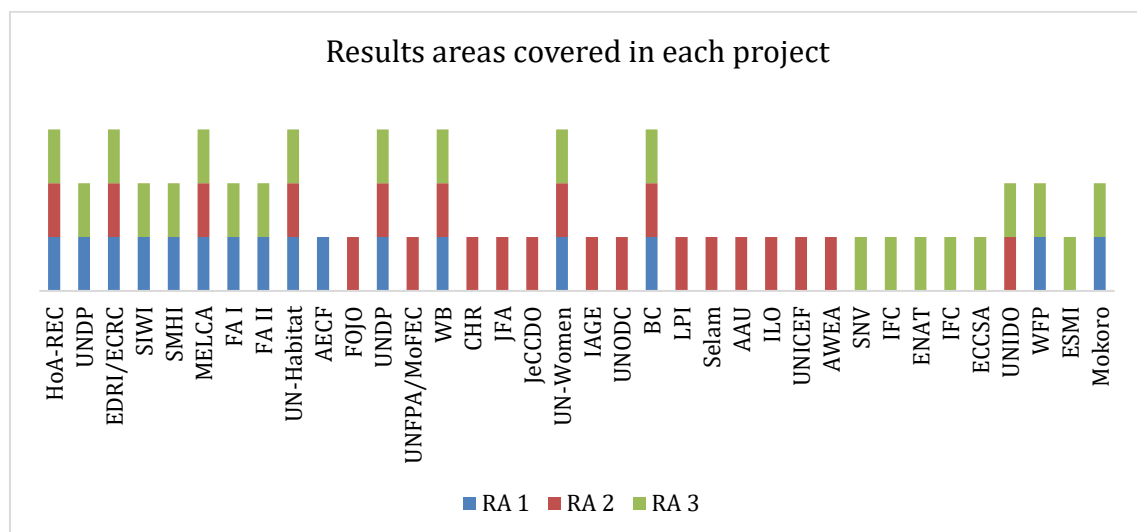
Fig 1. Project budgets and their share of total funding



2.2.2 Main features of the Strategy portfolio

The projects are fairly well distributed across the three RAs, with 10, 14 and 12 projects mainly contributing to RA 1, RA 2 and RA 3 respectively. There are of course overlaps and contributions across RAs, especially since livelihoods development is central in achieving the objectives under both RA1 and RA3, and to some extent also within RA2, e.g. UN-Women's activities on Women's Economic Empowerment. How the projects relate to the three RAs is presented in Figure 2.

Fig 2. Strategy projects that relates across Result Areas



With national sector reform processes ongoing in sectors related to 75 percent of the projects, the Embassy's portfolio has the potential to contribute to these important reform processes over the next couple of years.⁷

The Embassy has actively consolidated its portfolio to fewer and larger programmes to reduce the administrative burden and potentially increase the development effects. Today, 81 percent of the projects have budgets over MSEK 10; 39 percent are over MSEK 50; and 14 percent over MSEK 100. The implementation of the Strategy leans on two main aid modalities, with 36 percent of the projects implemented through multilateral organisations, and 36 percent through CSO support, to a large extent through international CSOs. In addition, 19 percent of the projects are implemented through research/academic institutions, and nine percent through other types of aid modalities, e.g. twinning, public-private partnership (PPP), financial guarantees, and challenge funds⁸. From 2005, the Swedish government did not allow direct bilateral cooperation with the Ethiopian government. Yet, it should be noted that a large part of the multilateral funding in the period following 2005 has in many instances been channelled to ultimately benefit government institutions. With the recent positive changes in the political leadership, the option of channelling funds via government institutions has now been opened. However, most of the funds allocated under the Strategy period are already committed to existing projects. The additional regional funding of MSEK 400 announced by Sida's Director General during her visit to Ethiopia in December 2018, may enable some opportunities for engagement involving Ethiopia to be explored⁹.

The promotion of donor collaboration has duly been taken into account and 47 percent of programmes are co-funded. Many projects have also been developed to function as large umbrellas or "consortia" of different development providers (e.g. national/international CSOs and multilateral organisations), with 23 percent of projects having sub-contractors.

With Sweden's rapid increase in funding to Ethiopia since 2016, a large share of the portfolio consists of recently started projects that will continue after the current strategy period is ended. Only 11 percent of the projects were contracted before the current Strategy period, and 31 percent of the projects have a current end-date after 2020.

7 The criteria for this assessment was based on a question whether the projects were clearly related to policy changes stated by the government and described in the Reform and Policy Change Process.

8 Private sector associations are not counted as CSOs in this division.

9 Since this decision was announced after the data collection phase of the MTR, it has not been included in this analysis and conclusions/recommendations have not taken this potential additional funding into account.

2.3 CONTEXT ANALYSIS

As mentioned above, the Embassy has recently commissioned three studies: a Multi-Dimensional Poverty Assessment, a Conflict Analysis, and a Market Development Study. These are summarised below.¹⁰

2.3.1 Synthesis of the draft Multi-Dimensional Poverty Assessment (MDPA)

The draft MDPA provides an overview of the existing poverty situation in Ethiopia, based on recent official and international statistical data and reports. It has contextualised its findings in relation to Sida's four MDPA dimensions (Resources, Opportunities and Choice; Power and Voice; and Human Security). The main findings are summarised in the following paragraphs.

Ethiopia currently has a population of about 108 million. It is the second most populous country in Africa and has an average annual population growth rate of 2.2 per cent. The country has been undertaking a series of ambitious national development plans and programmes for the past 15 years, the latest being the GTP2. The government has allocated a significant amount of its budget for pro-poor/poverty targeted expenditures and supported households and individuals with emergency relief.

Both the absolute poverty and food poverty, based on a head count index, have shown a decline in at the national level between 2010/11 and 2015/16. There are also improvements in the poverty gap and poverty severity indices, in both rural and urban areas. However, the extent of poverty of the rural population as compared to the urban population is still quite high, including in terms of both absolute and food poverty head count index.

In terms of Human Development Index (HDI) measurement, Ethiopia ranked 173 out of 188 countries in 2017, and scored 0.463, which is lower than the average for Sub-Saharan African Countries (0.537) and the world average (0.728). The Oxford Poverty and Human Index (OPHI) for the year 2016 shows that 86.6 percent of the population of Ethiopia is multi-dimensionally poor, while 61.4 percent are in severe poverty. There is a high degree of disparity between the rural population, of which 92.17 percent are multi-dimensional poor, compared to the urban population rate (37.9 %).

In terms of regional disparities in the country, based on the OPHI multi-dimensional poverty, the highest percentage of multi-dimensionally poor live in the Somali region (92.17% of the population) followed by the Afar Region (89.56%); whereas the lowest is recorded in Addis Ababa (15.74%). Moreover, based on the three dimensions and ten indicators of the OPHI multi-dimensional poverty measures, 95.5 percent of

¹⁰ The MDPA and market development study are still in draft format and only initial findings are included in the summary. Final edits from these studies will be incorporated into the Final MTR report.

the Ethiopian population is deprived of adequate housing, 95.9 percent lack cooking fuel, 93.5 percent are deprived of basic sanitation facilities, while 54.6 percent are nutritionally deficient.

The overall finding of the MDPA study is that *the main multi-dimensionally poor groups in Ethiopia are women, children, the youth and the rural population including. The poorest geographical areas are the Afar and Somali regional states. Deprivation is mainly related to lack of access to education, health care, water and sanitation, and electricity; lack of employment opportunities; low participation in decision-making as well as victims of violence and conflict.* Furthermore, the study identified the political, institutional, legal, socio-economic, cultural as well as the environmental and ecological context of the country as contributing to multi-dimensional poverty in the country. The findings indicate, according to the MDPA, that more attention should be focussed on addressing poverty in the rural areas in Ethiopia.

2.3.2 Synthesis of the Conflict Analysis report

The Conflict Analysis report analyses the current situation of Ethiopia from a conflict perspective and highlights the major issues that may have implications for the Strategy going forward. It identifies and analyses the structural causes of conflict at the local/subnational, national, regional and international levels from political, security, economic, social and humanitarian perspectives. It also identifies the key actors that are drivers of the various conflicts – both historically and in the recent past – as well as in relation to potential conflicts that may arise between now and 2020. These include critical national events, such as the upcoming population and housing census and the local and national elections that will take place in 2019 and 2020 respectively; unresolved ethnic recognition; border questions; unequal forms of growth; quick paced privatisation; and infighting within the ruling coalition.

The report also notes that there are capacities and opportunities for managing conflicts in the country – including the existence of customary and religious institutions; long standing economic, social and cultural inter-group interactions that contribute to strengthening social cohesion and bonds; and the existence of pro-poor policies that may serve as critical capacities for addressing social grievances at multiple levels if properly adjusted. It also underlines the importance of conflict management in relation to the current reform process, such as professionalising the security apparatus to increase public trust; the creation of the “peace infrastructure” within the Ministry of Federal and Pastoral Development Affairs (now within the Ministry of Peace); efforts to achieve national consensus; the readiness of the government to engage in dialogue with opposition groups; and the normalisation of relations with Eritrea. These efforts can go a long way to contributing to preventing and managing conflict as well as building a culture of peace and religious tolerance. If this is combined with the institutionalisation of political reforms and democratisation, it is expected to further minimise the likelihood of violent conflicts and organised street protests.

The report has incorporated various scenarios that could give rise to future conflicts and thus may have implications for the implementation of the Strategy. It provides recommendations on how to respond to these potential conflicts by using a risk matrix for selected Strategy interventions. It includes more specific and detailed entry points to be addressed by all actors of the Strategy under three main areas, namely, i) supporting inclusive politics; ii) promoting inclusive economies; and 3) supporting inclusive societies.

2.3.3 Synthesis of the draft Market Development Assessment

The Market Development Assessment was commissioned by the Embassy to assess the livelihoods portfolio under the Strategy, involving projects under RA1 and RA3. It has focused on RA3's three sub-result areas: i) improved opportunities for productive employment with decent working conditions, particularly for women and young people; ii) sustainable food security with particular focus on resilient agriculture; iii) a more favourable business climate for sustainable and inclusive commercial activities and strengthening institutions. The review did not include the sub-RA of 'Better access to social protection for people living in poverty'. A desk review of the 13 projects in the livelihoods portfolio was combined with semi-structured interviews with selected implementing partners. The study focused on three main assessment areas - impact, sustainability, and scale. The summary below is based on the initial findings from the first draft report and may be subject to change in the final report.

The report finds that the Swedish Embassy has adopted a range of tactics to achieve results, e.g. engaging in both small, focused projects and large multi-sectoral programmes; designing their own projects, while also co-funding other donor initiatives; and contributing to budget support. It has chosen a range of implementing partners including multilateral organisations, different types of CSOs, and government actors. The projects in the assessment have been rated as between moderately and highly sustainable. The study identifies a disconnection in the Strategy's theory of change and its results framework, with a recommendation to review the ToC, its results framework and refine the indicators. The report also suggests that co-creating a programme with a partner or commissioning separate design and delivery in response to a terms of reference is more likely to contribute directly to Sida's strategy. The report measures Value for Money per beneficiary, however as implementing partners use different methods to calculate the number of potential target beneficiaries, it makes a comparison between projects difficult and analysis based on such data uncertain.

3 Findings

Based on the data collected, this section presents findings in relation to the evaluation questions presented in the inception report and the additional areas for analysis that were subsequently requested by the Embassy. The findings are structured according to the OECD/DAC evaluation criteria: relevance, effectiveness, efficiency, and sustainability.

3.1 RELEVANCE

The ongoing reform process in Ethiopia has created a situation for which the Embassy has found it necessary to obtain a clearer picture on whether there is alignment between the Strategy portfolio and the new context of change. This has prompted the Embassy to launch studies on multi-dimensional poverty, conflict issues and market development (see previous chapter,) and discussing the Strategy in various fora to ensure coherence with the reform process and, as such, strengthening its overall relevance. The main relevance question that the MTR addressed was “are we doing the right thing?”, which is covered in the following sections.

3.1.1 Relevance of the Strategy to the national reform and policy change

The GTP2 primarily serves as a vehicle for improvements in physical infrastructure through public investment projects to transform the country into an agricultural and manufacturing hub, while ensuring a climate resilient and low carbon economic trajectory, following the ‘Climate Resilient Green Economy’ (CRGE), which was adopted by Ethiopia in 2011. RA1 of the Strategy addresses these concerns through a focus on sustainable growth in balance with the natural ecosystems, in which diversified livelihood options can thrive and community participation grow through integrated landscape development.¹¹

As mentioned in section 2.1.2, of the current project portfolio, 75 percent of the interventions are related to either one or several of the recent ongoing reform areas in Ethiopia, making the Strategy highly relevant to the current change process. The reform and policy initiatives for increased freedom of expression, deepening of democratic development and human rights relate to RA2; and reforms regarding privatisation through economic liberalisation and livelihood, relate to RA3. Areas identified

11 For example through the projects implemented by SIWI, SMHI, Farm Africa and UNDP.

for reform and policy change include, among others, civil society, the judiciary, elections, media, private sector development, land use planning and social safety – which are all highly relevant to and in line with the Strategy and its three RAs, and as such create opportunities to fully exploit the Strategy’s potential.

With the current positive policy developments in Ethiopia, Sweden has changed its position to now consider direct government-to-government bilateral cooperation. Recent studies show that factors related to the quality of government, such as control of corruption, the rule of law, and administrative competence; have durable effects on key human well-being measures, including infant mortality, life expectancy, and child poverty – and most importantly good governance is pivotal for sustained development.¹² Close engagement with government implies new ways of working and requires the IOs, their partners as well as government employees and decision-makers to build new competencies. Capacity building of government staff and joint activities between government and Strategy projects are important incentives to be developed at different levels of government (local, regional, and national).

Most projects in the bilateral development portfolio are directly related to the two dimensions of the Multi-Dimensional Poverty (MDP) model: ‘resources’ and ‘opportunities & choice’. Over half of the projects relate to ‘power and voice’ and about one third to ‘human security’. Activities under the humanitarian aid budget are more likely to contribute to ‘human security’.

3.1.2 Areas of Strategy focus/priorities¹³

During the Theory of Change workshop in January 2019 it was noted that the political and socio-economic fragility of the country calls for increased focus on conflict prevention, including the participation of key stakeholders of the Strategy in government initiated dialogue platforms, as well as in dialogue platforms that relate specifically to the Strategy objectives. Furthermore, it was noted that addressing the structural reforms of the political system would be important, including support to reforming the judiciary system and the media reform process.

Innovative approaches and concrete steps towards supporting the poorest should be seen within the context of support to local or central government’s service delivery responsibilities, such as extension services in agriculture and in renewable energy.

¹² See e.g. Rothstein and Tannenbergs (2015): Making Development Work: The Quality of Government Approach, EBA report 2015:07.

¹³ On January 23-24 2019 a Theory of Change workshop was held at the Embassy in Addis Ababa, participants being the Embassy decision-makers and programme managers of the Strategy portfolio. The result of the discussions as regards relevance is presented here.

While renewable energy is being supported through minor components in some of the RA1 portfolio projects, e.g. P6 and P7, larger initiatives have not materialised as of yet.¹⁴ Considering the great need for the poor to access cost-effective off-grid electricity supply, renewable energy was given continued priority as an objective in the results framework established by the ToC workshop. Likewise, SRHR was prioritised as a key means of promoting gender equality.

Importantly, as mentioned in Chapter 2, the MDPA showed that the main group of multi-dimensionally poor people in Ethiopia are women, children, the youth and the rural population. The deprivation is related to lack of access to education, healthcare, water and sanitation, and electricity; lack of employment opportunities; low participation in decision-making as well as being victims of violence and conflict. While gender equality concerns are overall well represented in all three RAs, there is some way to go for the realisation that investment in women in rural and urban areas is key to long-term economic growth in any country. The trend towards urbanisation creates pockets of severe poverty in the urban areas. The opening up by the government to address gender concerns in development, has increased opportunities to promote the power and voice of women and youth within the Strategy in relation to socio-economic welfare (including their access to health, education, water and electricity), and political participation.

While there currently are limited funds available for large scale impact-oriented projects during the remaining part of the Strategy period, the Embassy is exploring ideas and initiatives that are relevant to the future strategy 2021-2025. Such efforts can derive from ‘good practices’ (nationally and internationally), from past Sida experience or from proposals from (donors, UN agencies, the government, CSOs or others). A few brief examples based on the needs that were raised by the MDPA analysis, (i.e. targeting poor women and other vulnerable rural and urban segments of the society) are presented in the boxes below. These examples should be seen and reviewed within the overall context of the international development aid architecture for Ethiopia and the Swedish comparative advantages. Furthermore, more innovative and riskier project ideas may be launched by the Embassy for testing new development avenues within the framework of the Strategy priorities.

1. Community-driven / Poverty reduction programmes

Community-driven development or similar poverty reduction programmes have proven to be highly effective in addressing the needs of poor women, youth, people with disabilities, and other members of vulnerable rural and urban communities are living below the poverty line. When given the opportunity to identify and organise community priorities and address

¹⁴ A planned project with the GIZ as collaborating partner was cancelled in 2018.

local concerns, the target group has by working with civil society and local authorities consistently shown an ability to build small-scale infrastructure and to deliver services in a cost-effective manner.

Often programmes identified include access to clean water, rural roads, school and health services; nutrition programmes for mothers; micro-enterprise support and other income-generating schemes.

The programmes often include technical assistance in areas such as social mobilisation and capacity building, through partner organisations and funds directly through small grants to the community to implement sub-projects.

Community-driven programmes in larger countries such as Pakistan, Indonesia and Nigeria, and therefore of relevance to Ethiopia, show that overall welfare, food security, and net impact on per capita consumption growth increased, often significantly for supported households as compared to non-supported households. As a result, school enrolment among children often increased proportionally with the per capita consumption growth and malnutrition was reduced. The interventions have resulted in a significant decrease of people living under the poverty line.¹⁵

Community driven development programmes could be considered by the Embassy to embark upon in close collaboration with larger development players. Given the overall strong effectiveness and the long-term sustainability and multi-dimensional poverty-reduction features of such programmes a new strategy including community-driven-like interventions could be highly relevant for the Embassy to initiate and support.

2. Off grid renewable electricity supply to poor rural/urban consumers

More than 600 million people in sub-Saharan Africa lack access to electricity; While electricity access has increased significantly in Ethiopia from 27.2% in 2014 to 42% in 2016, according USAID data,¹⁶ the majority of the rural population still does not have sufficient access.

“In a “pay-as-you-go” (PAYG) business model, a company essentially rents out a solar home system –that comes with a battery, a charge controller, a solar panel, LED bulbs and a mobile charger – to consumers. Basic systems have enough power to charge phones and lights, and larger ones could power small appliances like radios or TVs. Consumers use

15 <http://www.worldbank.org/en/topic/communitydrivendevelopment>

16 <https://idea.usaid.gov/cd/ethiopia/environment-and-global-climate-change>

basic mobile phones – widespread in East Africa – to make payments on a daily, weekly or monthly basis.

Through this model, companies can minimise the cost of collections by automating the receipt of payments, while remote rural customers get immediate access to basic electricity without having to take a loan.”¹⁷

Successful implementation of the PAYG approach has taken place in Eastern Africa and Bangladesh. Advantages include private sector development, job creation and environmental friendly consumption and reduction in number of people dying from air pollution.

Electricity in the form of clean and efficient energy sources is one of several means to address multi-dimensional poverty, and investigating possible solar power initiatives in Ethiopia could be relevant (ensuring that domestic private capital is increasingly being used in the business model). The Embassy could spearhead such an effort and thereby strengthen the relevance of the Strategy.

3. Improved opportunities and choice for women

Women need safe reliable access to information and services that will allow them to plan and space their pregnancies. When women get pregnant too young, too old, or too often, the result can be deadly for them and their children. When able to space their pregnancies, plan around their own goals and their families, they are better positioned to complete their education, earn an income, and set their children down the path of healthy productive lives.¹⁸ The World Development Report 2019 further stresses greater focus on disadvantaged groups and early childhood education, and on developing the cognitive and social-behavioural skills.¹⁹

For the future strategy 2021-2025 to be an important and relevant contribution to long-term sustainable and poverty reduction in Ethiopia, the Embassy could identify effective interventions that could contribute to enhancing women’s opportunities and choice through improved SRHR – reviewing current interventions and assess options for new ones.

The *humanitarian-development nexus* in the Strategy today has its strongest connection in the livelihood for resilience and humanitarian actions. Other parts in the humanitarian response such as health, nutrition, water and education require long-term assistance and being addressed clearly in the MDPA, namely that lack of basic services are key underlying causes for the multi-dimensional poverty. Embarking on

17 <https://www.wri.org/blog/2017/02/pay-you-go-solar-could-electrify-rural-africa>

18 <https://blogs.worldbank.org/african/to-build-human-capital-prioritize-womens-empowerment>

19 <http://documents.worldbank.org/curated/en/816281518818814423/pdf/2019-WDR-Report.pdf#page=59>

long-term efforts – focusing on women and youth in relation to the health and education – would further enhance the relevance of the Strategy. Already now, SRHR constitutes an objective of the Strategy which could be expanded upon in the future 2021-2025 strategy.

At this stage, synergy between projects across RAs is less developed which was expressed clearly during the focus group discussion with the IOs. Also, synergy outside the Strategy sphere will be important and could gain momentum from dialogue platforms initiated by CSOs or government.

3.1.3 Swedish crosscutting policies and comparative strengths

The Strategy requires that three cross-cutting areas are tracked within its portfolio: (i) Gender equality and human rights; (ii) Environment and climate change, and (iii) Conflict sensitivity.

Gender equality is an important trigger for development and receives significant focus by all donors. Compared to environment and conflict sensitivity, gender equality is well covered and monitored in all projects, with a significant portion of projects focusing on women and youth. Specifically projects targeting improved livelihoods have mainstreamed social inclusion and activities/budgets directed to gender equality and youth, including Farm Africa/G4F, UN-Women/WEE, SNV/LI-WAY.

Human rights cuts across several sectors and are reflected in both projects concerning democracy, as well as in food security projects promoting the right to nutritious food.

Environment and climate change considerations are taken into consideration in most of the projects relating to the natural resources sector, but are not sufficiently reflected in projects focusing on democracy, women's economic empowerment, and private sector development - where unintentional negative environmental effects could happen.

While the conflict perspectives are addressed in some projects,²⁰ they are generally less well integrated in the Strategy portfolio.²¹ Conflict sensitivity was introduced as a crosscutting aspect recently and has therefore not been mainstreamed in all current

²⁰ Swedish support to democratic institutions via UNDP and the support to LPI, as well as faith-based organisations via PMU have clear focus on support to peace committees, reconciliation etc.

²¹ Examples of projects with less integrated conflict sensitivity include: Under RA3 Farm Africa's project in Halaba working with Loans and Savings Group in Muslim area and From humanitarian assistance to resilience, WFP; under RA2 the JFA integrated project for human rights protection, Promotion of good governance and Peace building.

projects.²² The Conflict report provides additional insight that will be important for appraising new projects and revising and re-assessing existing projects for mainstreaming conflict sensitivity into the portfolio.

Sweden has a strong position in promoting donor coordination and the coordination activities led by the Embassy have been positively received by other donors, especially within the sectors of human rights and private sector development, in which Sweden is a recognised driver.²³

3.1.4 Geographical focus

A weakness identified regarding continued relevance in relation to geographic focus concerns the natural resources management projects under RA1. These are not sufficiently focused on the very poor and dry-land regions of the country, i.e. Somali region and Afar, which therefore should be considered for the future strategy for 2021-2025. On the other hand, innovative approaches to resilience are addressed by projects implemented in parts of the Somali region, in Gambella and Tigray; as well as forest production with a landscape approach, water towers and wetlands in Oromia and Rift Valley. These regions are extreme poor multi-dimensionally and on resources.

3.2 EFFECTIVENESS

Effectiveness concerns the extent expected results have been, are being or are likely be achieved and measuring progress towards them. Many of the projects financed by the Strategy are relatively new, less than one year old, and assessing effectiveness to date is therefore difficult.

The Embassy reports on progress and achievements based on the 11 sub-areas of the Strategy, with a variety of different indicators selected per report. This means that measuring consistently and continuously on the development of the same indicator is absent. The lack of precise and clear indicators for measuring long-term impact of the Strategy (multi-dimensional poverty reduction) was addressed in the follow-up to the ToC workshop. The methodology and result is presented in Annex 6.

The MTR assessed 12 selected projects, four from each RA, for their effectiveness and validated the findings during the field visits. The team found a reasonable success rate in relation to effectiveness. Table 3 summarises the MTR team's rating of these projects based on a scale of one to five (low-to-high) and Red-Amber-Green (RAG)

²²"As of July 2015, Sida's government instruction prescribes an integrated conflict perspective in all development cooperation activities." https://www.sida.se/globalassets/sida/eng/partners/peace-and-conflict-tool-box/s209461_tool_integrated_peace_and_conflict_perspective_c3.pdf

²³ Ref. to interviews with EU delegation, Embassy of Norway, Embassy of Denmark, DfID and Irish Aid.

stop light rating. Seven have been labelled “green”, five were rated as “amber”; while none are in the red. Detailed descriptions, assessments and conclusions per project are presented in Annex 5.

Results frameworks have been established for all projects under the Strategy. Most output indicators are quantitative. Qualitative/process based indicators are rarely defined in the projects’ results frameworks.

Based on the ToC workshop in January 2019, a preliminary results framework was developed for the remaining phase of the Strategy period. While it did not deviate from the current one to any significant degree, the result of the multi-dimensional poverty analysis highlighted a need for a stronger focus on poor women and youth in rural and urban settings and on conflict issues, primarily reflecting the conclusions derived from the MDPA study.

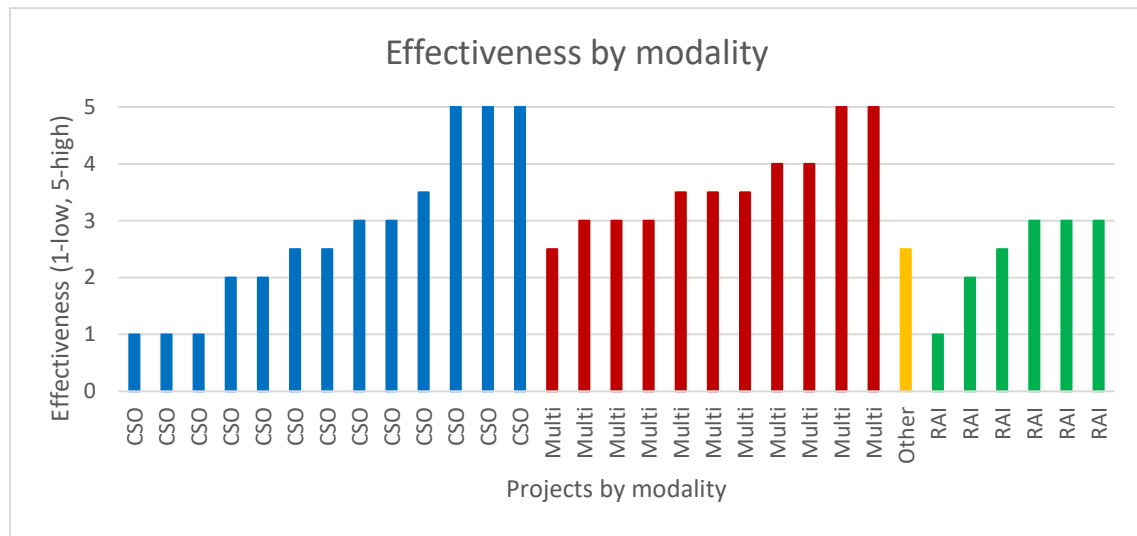
Various efficiency concerns risk impacting on the satisfactory achievements of expected results. These include, among others (i) the high influx of funds to implement the Strategy on the one hand, and the limited implementation capacity of partners on the other; and (ii) internal/external factors such as political/ethnic unrest; the government re-structuring; and staff turn-over in government. Other efficiency concerns that may impact effectiveness relate to coordination, partner collaboration, consortia construct, M&E and underspending, which are discussed in the subsequent section on efficiency.

Table 3. Effectiveness Assessment Results of 12 Projects in the Strategy

RA	Project No.	OI	Project title	Assessment (1-5) low-to-high	RAG
RA1	P1	HoA / Rec	Integrated Land use Development Plan (ILDPA)	2-3	
	P2	UNDP	Institutional strengthening of the forestry sector development (UNDP)	2-3	
	P3	EDRI / ECRC	National Baseline Assessment and Forest Research (or Supporting CRGC with Knowledge Management)	3	
	P7	FA	Investment in Resilient Agriculture and Forestry (Growth 4 Future)	3	
RA2	P12	UNDP	UNDP Governance and Democratic Participation Programme	3	
	P13	UNFPA	UNFPA 8 th Country Program, Sexual And Reproductive Health	3-4	
	P16	JFA	Integrated Project for Human Rights Protection, Promotion of Good Governance and Peace Building	2-3	
	P22	LPI	Life and Peace Institute Ethiopia Programme	3-4	
RA3	P25	ILO/ H&M	Improving Industrial Relations for Decent Work and Sustainable Development of Textile and Garment Industry in Ethiopia (ILO/H&M)	3-4	
	P27	AWEA	Empowerment of Women Entrepreneurs for Sustainable Development in Amhara (EWESDA)	2-3	
	P31	IFC	IFC Ethiopia Private Sector Development Multi-Donor Initiative - Pillar I: Ethiopia Investment Climate Programme (EICP)	3-4	
	P32	ECCSA	Capacity Building for the Sustainability of the Ethiopian Chamber of Commerce and Sectoral Associations (ECCSA)	2-3	

Source: Annex 5

Figure 3 presents the project effectiveness scores with the projects categorised according to their aid modality: Civil Society Organisation (CSO), Multilateral organisation (Multi), Research and Academic Institution (RAI), or Other (including twinning arrangements). Due to unavailability of documentation of high enough quality to allow assessment, a few projects are missing from the figure. While the RAI modality shows some comparative weakness, the tentative conclusion is that there is no obvious correlation between effectiveness and types of project modality applied in the Strategy portfolio.

Fig 3. Project modalities and effectiveness

Source: MTR database

3.3 EFFICIENCY

3.3.1 Coordination

Limited donor coordination and information-sharing has been noted across RA based projects or in co-funded projects. Other donors interviewed would like to have a closer dialogue with the Embassy, in e.g. expansion of the Swedish contribution to ongoing co-funded projects, such as those implemented by WFP and UNDP. There are currently no institutionalised coordination platforms across Swedish-funded projects within the RAs or across RAs. During the focus group discussion the implementing organisations voiced that they would welcome Strategy-based platforms for sharing tools/experience among peers across RAs. Most importantly, according to the Embassy, the government is initiating new platforms to discuss and exchange experiences with civil society and other actors, an invitation that should be taken up by relevant implementing partners of the Embassy. At the same time, it is important that CSO partners with watchdog functions maintain a suitable distance and independence in relation to government efforts.

3.3.2 Partner collaboration

Data from most sources, e.g. reports of IOs, interviews, the online survey, and the focus group discussion with partners; revealed that in many instances partners of IOs lack management and technical knowledge and skills to be able to perform satisfactorily. Therefore most projects in the Strategy portfolio comprise important capacity development activities to strengthen partners. Nevertheless, the challenges and obstacles are huge and sometimes the IOs hesitate to channel funds to CSOs/private sector partner activities until sufficient capacity has been developed. This may be one of several causes for the underspending of funds in the Strategy portfolio. Moreover, the IOs

themselves also sometimes lack capacity, but from data collected this is often effectively dealt with through capacity building and, as in the case of the Farm Africa project (P8), infrastructure capacity support (ICT upgrades).

Staff replacements and re-shuffling of government institutions are major barriers to sustaining strong government collaboration within the Strategy support. Several cases were observed, e.g. UN-Habitat dealt with four ministers over a period of 6 years. One Embassy report noted that the above situation was “making 2018 a gap-year” and 2020 would also, most likely, a gap year due to elections.

Most IOs experience that a persistent focus on the long-term, systematic and continuous collaboration with government would bring positive results. It was noted that incentives are needed for government to support private sector development projects. These projects are not always fully understood as important contributors to social and economic progress, particularly by local government actors. Incentives could include capacity building support and participation in all project activities relevant to the authorities.

The current political volatility and pockets of violence in some parts of the country have affected, and may well affect the timely implementation of the projects where such occurrences have taken place.

3.3.3 “Consortia”

“Consortia” by definition are temporary associations formed by companies, usually in response to tender processes. In Ethiopia, the Swedish Embassy uses this term to refer to broad partnership formations among development organisations that receive its support, despite that most of their partners are UN agencies, Swedish agencies, CSOs and other non-private sector actors. In many cases, these formations have been imposed by the Embassy as a condition of funding based on the rationale that broader partnerships promote efficiency for the Embassy (reduced administration costs) and by having access to greater resources can by potentially generate greater impact. Such results from this top-down approach, however, depend on the ability of the consortia lead implementers to organise and establish a framework for smooth operations across all partners/sub-contractors with a focus on results achievement. It also strongly depends on the extent that collective ownership can be established by the partners. Self-selected partnerships have better prospects regarding effective collaboration and ownership, but may not always align with the donor’s exact conceptualisations.

Some sources informed about the existence of overlap in competences within, for instance, the current Farm Africa consortia; while others maintained that competence complementarity prevailed among partners. The IOs nevertheless expressed during the focus group discussions that they would much prefer to identify their respective partners by themselves, based on a set of competence requirements from the Embassy. Current consortia structures established in the Strategy portfolio have been

based on interviews and Embassy staff's knowledge of the actors in Ethiopia, and not through a public application process with set criteria.²⁴ The consortia-related concerns, raised by the implementing organisations, which challenge the efficiency and effectiveness of the Strategy's implementation include the following:

- When partners/sub-contractors 'lag behind' it affects overall project progress;
- There is a lack of trust among the partners;
- Not all stakeholders are clear of what it means to work in a partnership relationship;
- The lead organisation's role needs to be clear and it must have the necessary capacity.

The Embassy plans to further support and expand the development of consortia for the implementation of the Strategy portfolio. It expects the consortia to participate actively in new dialogue platforms to be established by government at local and national levels to facilitate closer collaboration between the private sector/CSOs and government entities.

The current political volatility and pockets of violence in some parts of the country have affected and may continue to affect the timely implementation of the projects where such occurrences have taken place. As such, these reduce efficient implementation of the Strategy.

Experience gathered from the IOs on how to establish effective partnership formations, emphasises the need for the following aspects to be clearly defined/conducted prior to engagement and documented in a Memorandum of Understanding (MoU):

- Due diligence of partners
- Defining a common goal
- Complementarity
- Clear framework for management
- Specific roles/ responsibilities assigned
- Freedom of consortia members to network outside the consortia and take up own assignments.

²⁴ Experience on the advantages and disadvantages of consortia/umbrella-like structures can be found in a Norad evaluation from 2015: <https://norad.no/globalassets/import-2162015-80434-am/www.norad.no-ny/filarkiv/evalueringsavdelings-filer/evaluation-of-norwegian-support-through-and-to-umbrella-and-network-organisations1.pdf> (accessed 21 December 2018).

Standard procedures for selecting and rejecting projects for the Strategy portfolio have been sufficiently applied by the Embassy. Apart from a co-funded project with GIZ on comprehensive renewable energy project, no projects have been rejected. The Embassy has developed clear decision-making procedures for whether projects are to be included in the Strategy or not.²⁵ The process includes:

- Stakeholders mapping based on their reputation and result delivery capacity
- Appraisal to assess relevance (Appraisal of Intervention)
- Detailed assessment against five important perspectives i.e. poverty, rights, environment and climate change, conflict and gender equality perspectives
- Signing an agreement (Decision on Contribution)

3.3.4 Monitoring and Evaluation

Current monitoring and evaluation practices applied by the Embassy to measure progress and achievements of the Strategy have inadequacies that weaken the measuring of effectiveness.

Although the Embassy's reports on the Strategy contain some monitoring frameworks (in some cases enabling the comparison of baselines to expected and achieved goals), the information in these tables is not complete. Data is missing or crossed out in many places, for example in the *Ethiopia Final strategy report 2016 23 maj* and *Enclosure 5 Monitoring Framework ETH 16 February*.

The Strategy results framework (presented in the ToR Annex 3) shows indicators that, according to various sources, are based on GTP2 data – but the correlation/logic between Strategy projects under each RA and these indicators are not clear. Monitoring is not carried out at the Strategy level and is difficult to report on primarily due to lack of clearly defined indicators.

M&E at sub-contracting or sub-partner levels (3rd or 4th level of the consortia hierarchy) is important for adjusting project implementation and for accurate reporting on results. Observations from the field visits indicate that improved and simplified M&E guidelines from implementing organisations to their partners and sub-contractors need to be developed. An example is presented in Annex 5 (P8). Continued M&E through joint field visits and regular project progress assessments with Embassy staff remains important.

The Embassy's capacity to manage the project portfolio efficiently depends on the staff time allocated and the results based management tools applied. The Embassy

²⁵ Email correspondence 5 November 2018.

management mentioned that additional staff are needed because the Strategy budget and number of projects have gradually increased (and is likely to increase) over time.

The MTR found that several projects with strong M&E systems, such as those implemented by UN-Women, ESAP/WB and JeCCDO provide evidenced based results.

3.3.5 Underspending

The biannual and annual project reports submitted to the Embassy by partners reveal underspending of disbursed funds. For example, underspending is almost 50 percent in the ILDP project (P1), and around 60 percent for both the UNDP Institutional Strengthening of the Forest Sector Development project (P2) and the EDRI/ECDC project (P3). The utilisation rate for the Farm Africa project (P7) was also low. Of the disbursement of MSEK 35 from December 2016 until July 2018, about 50 percent has been utilised.²⁶

3.4 SUSTAINABILITY

The current Strategy is generally in line with the government's development plans, policies and strategies - such as GTP2, the CRGE, the national gender policy, and the recently approved CSO law. This implies that should the government priorities be maintained, there are reasonable prospects for future ownership and thus potential sustainability of the Strategy portfolio across the RAs. As mentioned above, the MTR team deems that around 75 percent of the projects in the portfolio are directly related to one or several of the policy reform areas. If the current reform and policy change process is implemented and properly institutionalised, it would offer opportunities to deepen and scale up the current Strategy portfolio across the three RAs with the government as a committed development player.

Although government institutions are the ones that have the primary responsibility to deliver on the results and to sustain the benefits of the Strategy after the completion of the Swedish support, working with and improving the capacity of civil society, the private sector and beneficiary groups will promote broader country ownership. The Strategy is therefore in the right direction in this regard.

Several challenges to sustain results produced by the Strategy portfolio were observed by the MTR team. The limited public sector capacity at the regional and local levels, the current restructuring of government institutions, as well as the high turn-over of staff in these institutions are difficult challenges – resulting in the potential loss of

²⁶ ILDP: EDRI/ECDC: Brief Progress Report September 2018; UNDP Institutional Strengthening of Forestry Sector Development, Report until July 2018; FA: Semi-annual Progress Report, January-June 2018.

built capacity by the projects as well as lack of institutional ownership and delayed project implementation.

As mentioned in section 2.2, the current political volatility and pockets of violence in some parts of the country have affected, and may continue to affect, the timely implementation of the projects where such occurrences have taken place. This may, importantly, shift the government's attention to manage these conflicts rather than maintain focus on the agenda of executing political reforms and addressing the development needs of the Ethiopian people.²⁷

Private sector development can enhance sustainability of development results by improving the ability of private sector actors to function as service providers when the donor support has been withdrawn. The livelihoods study reflects the sustainability of the projects covered by the Market Development Study. It highlights the importance of continued and increased focus on supporting an enabling environment for the private sector is clearly reflected in the recommendations.²⁸

27 "The total Internally Displaced Persons (IDPs) in Ethiopia is 2.8 million of which 2.2 million were displaced due to conflicts, according to Humanitarian Information Unit of the U.S. Department of State. The 2.8 million IDPs in Ethiopia is on top of the 7.9 million people who need immediate food assistance, according to the agency. Ethnic clashes between communities along the border between the Somali and Oromo regions led to the displacement of over 1.4 million people last year while hundreds were killed." (ESAT News, 14. December 2018) <https://diretribune.com/2018/12/14/ethiopia-countrys-displaced-must-not-be-forgotten-says-icrc-president/>

28 The MTR team agrees with the livelihood study's recommendations to the support through ENAT Bank and in general towards guarantee funds that have a potential to have increased effect at scale if not only restricted to one Bank, and if coupled with a research component to analyse and communicate for reduced risk calculations.

4 Conclusions

The conclusions below are based on the findings by the MTR and address the evaluation questions stated in the Inception Report. They are, as the findings sections, arranged along the OECD/DAC evaluation criteria.

4.1 RELEVANCE

1. The Strategy was developed prior to the current reform process and at the time did not reflect national policies. The current reform process has moved national policies closer to the Strategy and its focus areas. As such, the Strategy has become increasingly relevant as it progressively reflects the new development agenda the Ethiopian government has embarked upon over the last year. (REC 1)
2. The Embassy has adopted the multi-dimensional poverty approach and defined poverty and its causes based on the conclusions of the MDPA, the Market Development Study, the Conflict Analysis, and the ToC workshop. The fast socio-political changes in Ethiopia requires continuous reflections and ToC analyses for the Strategy to remain relevant. (REC 2, 3, 4, 5, 7, 13, 14)
3. Synergies among projects within, across, and beyond the RAs are currently inadequately developed and cannot thrive without a suitable organisational framework from where synergies can evolve and develop. (REC 9)
4. While the Embassy has not systematically applied the MDP framework/model in the development of the Strategy, the data collected by the MTR indicate that poverty dimensions are addressed, while not fully satisfactorily with regard to human security. (REC 2, 3)
5. The social sector support has been identified by the Embassy as a possible focus area in the humanitarian-development nexus to better address multi-dimensional poverty. With the Embassy consolidating its portfolio to fewer and larger programmes and entering into possible government-to-government projects, such a 're-direction' of the Strategy would be relevant. (REC 4, 7)
6. Regions that are considered extremely poor multi-dimensionally have not been fully addressed by the Strategy. If the geographic imbalance is continued, the Strategy results will be skewed. (REC 2)

7. Crosscutting themes are unevenly addressed in the Strategy portfolio. While gender equality is well covered and monitored in all projects, with a significant portion of projects focusing on women and youth, the conflict perspective is less well integrated. Addressing the conflict perspective constructively is relevant for sustaining Strategy results. (REC 2, 13)

4.2 EFFECTIVENESS

1. Many projects in the Strategy portfolio are relatively new and assessing effectiveness is therefore difficult. Of the 12 selected projects analysed for their effectiveness, the team concluded there was a reasonable level of effectiveness. (REC 6)
2. There is no obvious correlation between effectiveness and types of project modality applied in the Strategy portfolio. Regular analysis by the Embassy of this correlation may guide the selection of modality type for future allocation of funds.
3. Factors influencing aid performance and results achievement are many, some of which are important – such as limited implementation capacity of partners, political/ethnic unrest, government re-structuring, and government staff turn-over as well as inadequate M&E practices by the projects and other efficiency factors. These are challenges that can eventually have significant effect on the likelihood of the success of the Strategy. M/E mechanisms need to be in place for the Embassy, particularly in the event that dramatic/ unforeseen events occur. (REC 3, 6, 7, 12)

4.3 EFFICIENCY

1. The Embassy is commended by other stakeholders for its active engagement in donor coordination in the areas of human rights and private sector development. Less interaction exists within and across the RAs of the Strategy. Theme/sector-based dialogue platforms emerging from the reform process are regarded by the Embassy as essential forums for development, in which their relevant partners need to engage. (REC 9, 10, 11)
2. Non-financial incentives such as capacity development support, a long-term focus and continuous and systematic collaboration with government staff at local, regional and national levels would promote positive output and outcome results for the Strategy. (REC 7, 10, 12)

3. Self-selected partnerships often have better prospects regarding effective collaboration and ownership, but may not always align with the donor's exact conceptualisations. (REC 8)
4. Standard procedures for selecting and rejecting projects for the Strategy have been formally applied by the Embassy, though there is room for improvements with regard well-designed RBM frameworks and indicators. (REC 6)
5. Effective M&E processes are critical to determine whether development efforts are having an effect and if adjustments are needed. Regular monitoring is not undertaken at Strategy level and at lower project levels, partners are inadequately equipped to measure progress and achievements. (REC 6, 12)
6. Underspensing of disbursed funds influences both efficiency and effectiveness of the Strategy. It may relate to the limited capacity of the partners of the IOs. If (significant) underspensing prevails among the majority of the Strategy portfolio projects, causes need to be identified. (REC 12)

4.4 SUSTAINABILITY

1. Channelling effective support to both duty-bearers and rights-holders is critical for long-term sustainability of projects. (REC 7)
2. Political volatility and pockets of violence may divert government attention to manage these conflicts, rather than maintain its focus on the political reform agenda and addressing the development needs of the Ethiopian people. The ability of the government to sustain the benefits achieved by the Strategy may therefore be affected. (REC 2, 7)
3. Although government institutions typically have important responsibility to sustain the benefits of the Strategy after the completion of the Swedish support, working with and improving the capacity of civil society, the private sector and beneficiary groups will promote broader country ownership. (REC 2, 3, 7)

5 Recommendations

Based on the findings and conclusions described above, the MTR ‘guide(s) the quality and delivery approach of the remaining phase of the Strategy’ (ToR p. 3) by proposing the following recommendations:

1. The Embassy should continue its focus on the three existing RAs, i.e. the environment, democratic development, and private sector development, since they are relevant to the current socio-political development context of Ethiopia.
2. In line with the theory of change developed for the Strategy and the result of the different studies commissioned by the Embassy, the Embassy should continue to place strong emphasis on addressing women, children and youth in rural and urban areas, with a particular focus on enhancing their economic welfare (through livelihood, resilience and private sector development) and political participation. Conflict perspectives and poor regions should be given greater attention in interventions.
3. Considering the fast changing political environment in Ethiopia, the Embassy and the IOs should regularly re-examine (and revise) the Strategy’s theory of change, with a focus on assessing the underlying assumptions to the multi-dimensional poverty. In doing so, new pathways can be identified and potentially new and innovative inputs/ideas may emerge to ensure continued Strategy alignment with the development context.
4. For the future strategy (2021-2025), the Embassy should assess the feasibility of long-term support to socioeconomic sectors (education, health, nutrition, etc.) in collaboration with government and other donors – with a focus on the human rights and well-being of women, children and youth. Already now sexual and reproductive health and rights constitutes an objective of the Strategy, which could be expanded upon in the future 2021-2025 strategy.
5. The Embassy should assess the strategic importance and relevance of new reform initiatives undertaken by the Ethiopian government. Currently this includes efforts in the areas of media sector reform, justice sector reform, electoral reform, and CSO-related legislation – which all promote the rule of law, civic participation, and freedom of expression. Partners should generally be encouraged to engage in the new dialogue platforms (except in cases when participation might undermine the watchdog role of certain CSOs).

6. The Embassy/PMs should, in close collaboration with the IOs and their partners, (i) review current project result matrices and indicators used for measurement of progress and achievements; (ii) reformulate inadequately formulated indicators; and (iii) review strategic impact indicators that can be used to determine progress in relation to multi-dimensional poverty reduction – the overall goal of the Strategy. The IOs should guide lower level partners in the use of simplified M&E tools.
7. The Embassy, IOs and their partners should (i) engage in a systematic long-term capacity development of Ethiopia's duty-bearers and initiate direct collaboration with national and local governments; and (ii) support the voices of rights-holders and ensure that their needs met. Combined, this will promote long-term sustainability of the Strategy's results.
8. Where consortia are considered a suitable implementation structure, the Embassy should encourage and facilitate an application process in which defined competence criteria will ensure both strong administrative and multi-sector technical capacities.
9. The Embassy should provide a platform for IOs within/across RAs to focus on learning, innovation, and creating synergies. This could consist of the Embassy holding biannual sessions for all IOs in the Strategy portfolio.
10. As relevant, the Embassy should encourage the IOs and their partners to participate in the new dialogue platforms that are being created by local and central governments. Partners should be encouraged to inform the Embassy and the proposed RA forums whenever these lead to consequences, opportunities and/or constraints for the Strategy.
11. The Embassy should continue to be a driver in donor coordination within the sectors of human rights and private sector development. It should consider providing additional donor coordination support in relation to important policies that are relevant to the Strategy.
12. The Embassy should support further capacity development of IOs and their partners to improve project implementation and monitoring; e.g. internally by supporting the development of project management/M&E capacities; and externally by facilitating participation in platforms and forums for dialogue. In addition, HRBA capacity building should be specifically addressed, particularly with regard to monitoring.
13. The Embassy should request that IOs mainstream crosscutting themes through their activities, budgets and indicators.

14. When financially feasible, the Embassy should consider testing new areas for support. These could consist of more innovative and/or riskier pilot initiatives, potentially involving new partners, in line with opportunities emerging from the government reform process.

Annex 1: Terms of Reference

12-09-2018

Embassy of Sweden, Addis Ababa
Development Cooperation Section

Terms of Reference

For the Mid-Term Review (MTR) of the Ethiopian Development Cooperation Strategy 2016-2020

1. Background

With an average 10% growth of Gross Domestic Product between 2004-2015, Ethiopia has been able to achieve remarkable economic progress exceeding other low income and Sub-Saharan African countries. The fast-growing Gross National Income per capita at purchasing power parity (PPP) enabled the country to move from the second poorest in the world in 2000 to rank 72. As a result, Ethiopia decided to keep the same momentum with a vision to become a low-middle income country by 2025 through climate resilient and low carbon economic trajectory.

Despite growing fast, Ethiopia remains in bottom line (low category) in Human Development Index (0.448), ranking 174th out of 188 countries in 2016. The levels of poverty and vulnerability remains highest in the world. As per the Oxford Poverty and Human Development Initiative (OPHI) findings (2017) based on Global Multi-dimensional analysis the headcount ratio (Incidence of poverty) of Ethiopia was 87%. However, the Multi-Dimensional Poverty Index (MPI²⁹) is 0.564. Inequality among the poor is 29%. The report by UNDP in 2016 indicated that poverty headcount ratio for Ethiopia was 23.5%³⁰.

In conclusion, although there is high economic growth and enhanced pro-poor investments in especially health, education, roads and energy that helped to reduce poverty in both urban and rural areas inequality is still prevalent throughout the country. According to Transparency International (2017), Ethiopia ranked 107 out of 175 counties in corruption level. Moreover, as per the global environmental performance index (2018), Ethiopia ranked 141 out of 180 countries.

29 The MPI (HXA) is a product of the share of people in poverty (headcount ratio=H) and the degree to which they are deprived i.e. the average proportion of indicators in which poor people are deprived (The intensity of their poverty=A).

30 <http://et.undp.org>

Ethiopia is determined to reach middle income country by 2025. The move towards low middle-income economy has been supported by the national development plans which broken into three phases i.e. Growth Transformation Plan (GTP) I-2010-2015, GTP II-2016-2020 and the third Phase GTP III 2021-2025. The first phase was successfully completed recording the real GDP growth rate averaged 10.1 percent. However, one of its drawbacks was lack of integration with the climate change strategy of the country. The second phase was fully integrated with the climate policy (CRGE and Nationally Determined Contribution-NDC) and Sustainable Development Goals (SDGs) to make the growth rapid, broad-based, sustained and equitable economic growth to eradicate poverty. The third phase will also build on the success of the 1st and the 2nd phase of the development plans.

Although the prime goal of the county is to ensure growth and development, it is observed that it is on the exploitation of the natural resource-base, ignoring human right, suppressing democracy, gender equality and private sector development. Cognizant to this, the Swedish development cooperation strategy (2016-2020) came into being in May 2016 to assist the government policy in three major result areas. First and foremost, Sweden believe in sustainable growth that should not be on the expense/exploitation of limited natural resources in such a way that aggravate degradation and pollution. Thus, the growth should work in harmony with the natural ecosystem in promoting sustainable natural resources management, diversifying livelihood options, ensure community participation through an integrated landscape approach. The successful management of natural resources will help the country to address the pressing pressure of climate change. The impact of climate change is crucial in hampering the gains of economic growth. The GTP II serves as a vehicle to continue improvements in physical infrastructure through public investment projects to transform the country into a manufacturing hub while ensuring climate resilient and low carbon economic trajectory. Therefore, a result area on management of natural resources is included in the strategy.

The Ethiopian leadership since 2015 has been in youth protests and complaint on leadership, lack of justice, fair election, good governance and economic opportunity especially for youth. Thus, the strategy for deepening democracy, improve job creation and support for civil society have been discussed. The Swedish strategy for bilateral co-operation decided in 2016 is therefore adjusted to this context and has two additional result areas of support. These are to promote democratization, the rule of law, human right in general and human right for Women and Sexual and reproductive health, support to civil society to promote accountability and transparency. Moreover, the strategy will also promote an enabling environment for the private sector and entrepreneur's engagement, Climate Smart Agriculture (CSA) and social protection for the most vulnerable segment of the community.

The strategy promotes long-term result and the possibility to work with the government to ensure long term results. The focus is on employment of vulnerable people through social support, businesses and institutional development that create an enabling environment especially for people at local level.

The new Prime Minister Dr. Abiy Ahmed and leaders of the ruling party, EPRDF is presenting visions for change including increased freedom of expression, deepening of democracy, respect for human right and certain privatization through economic liberalization. He envisions the public sector to be an enabling environment for freedom, democracy and development of private sector. This makes it possible to expand and deepen the boldness in all the result areas and results in the strategy. Thus, the MTR will further analyse the new context and relevance of the strategy.

2. Purpose of the MTR

A mid-term review (MTR) of the current development cooperation strategy for Ethiopia (2016-2020) will take place in 2018. The Review will guide the quality and delivery approach of the remaining phase of the strategy. Based on the findings of this review it is furthermore expected to inform and guide the strategy's continued **relevance, effectiveness** and **efficiency** to ensure that the implementation of the strategy is progressing as planned. The MTR will be based on the analysis of results from Multi-dimensional poverty analysis, so far achieved results, lessons learned, the support by other donors and priority of Government and indicate if there is any need for amending the direction/approach and the scope of the strategy. The MTR will cover the broader development context in line with Growth Transformation Plan (GTP) II and SDGs but largely focus on any possible deviations in relation to the developments foreseen in the strategy. The MTR will also build on the multi-dimensional poverty in identifying who is poor, how they are poor and Sida's interventions to address the problem. The MTR will adopt Sida's definition of Multi-Dimensional Poverty (opportunities and choice, power and voice, resources and human security) and the toolbox. The MTR will also shed light on long term impact and its contribution in reducing multi-dimensional Poverty. The MTR will clearly show how we support those who was left behind due to poverty and vulnerability and identify major challenges for GoE, Sweden and other development partners.

3. Scope

The MTR for development cooperation strategy of Ethiopia (2016-2020) will cover the following major issues:

1. Context/situation analysis
 - Political, Economic, Social, Ecological & Multi-dimensional poverty
2. **Development in context**
 - 2.1. The MTR will build on the results of Multi-dimensional poverty analysis (from other study)
 - Who are poor and Vulnerable?
 - How are they poor and Vulnerable?
 - 2.2. Other donors support and Swedish comparative advantage
 - 2.3. Impact and cross-cutting issues in supporting programs

2.4. Modalities of doing development (empowerment, long-term development, access to market instead of handouts, entrepreneurship, institutional development etc.)

3. Strategy analysis

3.1. Relevance, effectiveness and efficiency of all the results in the three areas of support in the strategy.

- Natural resources management, climate change, environment & Energy (3 goals)
- Human right, democracy and gender equality (4 goals)
- Private sector development, livelihood improvement, market system development and social protection (4 goals). Please refer to annex 3 for list of goals).

3.2. Opportunities and deviations from the strategy, operationalization and annual plan

3.3. Cross-cutting issues in the program

3.4. Actors, partners, stakeholders and analysis of donor support

4. Results of other in-depth analysis of the proposed separate group of studies to be feed into the MTR

4.1. Multi-dimensional poverty analysis (separate study will be carried out by separate consultant)

4.2. Market system development that works for the poor (separate study will be carried out by separate consultant)

4.3. Conflict analysis (separate study will be carried out by separate consultant)

5. Methods and Approach

The bilateral development cooperation section of the Embassy in Ethiopia (Addis Abeba team) will organize and carryout the MTR and group of studies with the support of Sida Stockholm. The support from Sida will be according to the below proposed schedule. In addition to the bilateral section, (Addis Abeba team) other relevant sections like the political sections of the Embassy will be involved to provide important and current political context.

The consulting firm or competent team of experts will also be hired to carry out the MTR. Separate consultants will do relevant studies that will feed into the MTR report. The selection of the consultants will be merit based and functional competencies (for the detail please refer to section 8 of the TOR).

The Addis Abeba team will organize validation workshops for participation of MFA, Sida HQ, partners and concerned government sectors as part of the MTR process, (See Annex 2).

The MTR will build on existing analysis and reports and the experiences of Addis Abeba team (program officers) and its partners. The development cooperation strategy 2016-2020, the strategy reports of 2017, the results matrix will be consulted as secondary sources of data. Moreover, the MTR will also be supported by some components of primary data collected from the field, i.e. visit of some partner and interview in Focus Group Discussion (FGD). The sample projects/programmes will purposively³¹ be selected. Interview including FGD will be carried out with different stakeholders at different levels to triangulate with the findings of secondary data.

A desk review will be conducted and supported by a set of workshops organized with different stakeholders and field level progress assessment. Field visit will take place at implementation sites to collect primary data through intensive semi-structured interviews with key informants and important stakeholders. The outcome of the analysis will produce a comprehensive document of a maximum of 20 pages with clear problems that are addressed, a clear summary and detailed analysis of how theories of change might have to change overtime or remain the same.

The analysis will be done according to the following structure:

- Review the development context, including implementation of GTPII (2016-2020), SDGs, CRGE strategy and practical changes in the country.
- Review of the implementation of the strategy and achieved results, which include;
 - ✓ The overall objectives of the strategy (Relevance, efficiency and effectiveness)
 - ✓ Review of areas of support (result and non-result)
 - ✓ Review of process results and outcomes (qualitative and quantitative)
 - ✓ Review of lessons learned

The reviews of the implementation of the strategy will assess the extent to which the strategy has been implemented, the results achieved, its contribution to poverty reduction and the pre-conditions focusing on deviations from the foreseen developments.

The different reviews will be compiled into one comprehensive document presented as an interim report to the Embassy before the planned validation workshop and finalized the paper with recommendation after the workshop. The MTR process will include possibilities for dialogue with the government of Ethiopia and development partners.

Finally, the approach and methodology can be adjusted based on the consultants' experience and on the details of the information required.

31 One projects per three result areas (In total three projects/programmes)

A detailed methodology by the consultants will be outlined in an inception report to be approved by the Embassy of Sweden, Addis Abeba.

Sustainability analysis

- Expected long term and lasting effects (in relation to climate, environment, empowerment) of the strategy and its expected results.
- The likelihood that activities supported through strategy will continue after phasing out of the strategy.
- Sense of ownership established at different levels of projects/program implementation.

6. Time Frame and Schedule

The MTR will be carried out from October 5th, 2018– January 29th, 2019 inclusive of report writing and submission of final report (both hard and soft copy).

The schedule will be;

Preparation and presentation of inception report, including budget for MTR (maximum 4 pages)	October 5, 2018
Desk review (secondary data review), see ToR	October 20, 2018
Interviews with key stakeholders in Addis Ababa; Feed in of information from on-going studies on Multi-dimensional poverty, market based approaches, justice sector reforms and conflict	October 30-November 18, 2018
Present initial findings to the Embassy and stakeholders	November 19, 2018
Validation workshop and incorporating recommendations	December 4, 2018
Submission of final report, include summary of findings on Multi-dimensional poverty, developed by another consultant.	January 29, 2019

A detailed time table, including deadlines for the below deliveries, will be prepared based on the consultants' feedback/recommendations.

7. Deliverables

- Inception report prepared as per the attached Table of content
- Stakeholder meetings/ validation workshops
- Draft report
 - Executive summary that includes main findings and recommendations
 - Informed analysis and assessment of all elements described in this ToR.
 - List of documents assessed
 - List of stakeholders interviewed
- Debrief to the Embassy, development partners and government representatives
- Final report (after feedbacks from the workshops will be incorporated)
- Analysis of the result matrix, refer to annex 3.

All reports will be written in English both in (hard and softcopies) and made available to the Embassy of Sweden, Addis Abeba.

8. Qualifications

a. Educational qualification:

The consulting firm or Team of consultants should at least have Master degree or above in Economics, Economic Policy/Agricultural Economics/Environment and Natural Resource Economics/Forestry, Law/Gender, Business administration and marketing.

b. Years of experience:

The consulting firm or Team of consultants should have at least 10 years of working experience in areas of climate change, environment, forestry, human right, democracy, gender, business development & market system, livelihood and private sector development, Multi-dimensional poverty analysis and with broad experts in development co-operation strategy design and analysis.

c. Team composition

1. One team leader with background of Economics/Business administration and social sciences. The team leader should at least 10 years of evaluation experience.
2. One senior consultant with at least 5 years of evaluation experience.
3. One senior local (Ethiopian) consultant with at least 5 years of evaluation experience.

d. Functional competencies:

- Strong policy and economic analytical skills, together with the ability to gather and analyze complex information from a range of sources, understand the business context, extract key points and draw conclusions to make recommendations.
- Strong statistical knowledge and analytical skills and its application in performance monitoring
- Experience in project management, program design, result measurement, performance management, stakeholder management, contract management, and MLE analysis.
- Knowledge about Sida`s development approach
- Excellent report writing skills.
- Proven capability to meet deadlines and work under pressure.
- Excellent written and oral communication skills.

- Experience in Market system development; Market work for the Poor
- Experience in analyzing cross-cutting issues such as conflict prevention, right based approach to development, system based market approach, gender equality, environment and climate change.

e. Language and other skills:

- Fluency in English both written and orally

9. Remuneration

- Payment will be negotiable;
- The consultant shall be paid a fixed lump-sum amount on percentage basis upon submission of deliverables.

Item No.	Deliverable	Payment
1	Inception report to include the proposed deliverables and milestones	10% of the lump-sum amount
2	Interim report	30% of the lump-sum amount
3	Draft reports for consultation/validation meetings, workshops	30% of the lump-sum amount*
4	Final report	30% of the lump-sum amount

*Paid upon conducting of the workshop and submission of workshop report.

Mid-Term Review

Development Cooperation Strategy with Ethiopia 2016-2020

Table of contents for MTR

Executive Summary

- ✓ Major achievements
- ✓ Relevance
- ✓ Effectiveness
- ✓ Efficiency
- ✓ Conclusion and recommendation

1. Introduction/Background

1.1.Context analysis

- Political, Economic, Social, Ecological & Multi-dimensional poverty (extern consultant)

2. Development context

2.1.Introduction

2.2.Multi-dimensional poverty analysis from a study by an extern consultant

- Who are poor?
- How they are poor?

2.3.Other donors support and Swedish comparative advantage

2.4.Impact and cross-cutting issues in supporting programs

2.5.Modalities of doing development

2.6.Conclusion and recommendation

3. Strategy analysis

3.1.Relevance, effectiveness and efficiency of all the results

3.1.1. Natural resources management, climate change, environment & Energy

3.1.2. Human right democracy and gender equality

3.1.3. Private sector development, livelihood improvement, market system development and social protection

3.2.Opportunities and deviations from the strategy, operationalization and annual plan

3.3.Cross-cutting issues in the program

3.4. Actors, partners, stakeholders and donor's analysis

3.5.Conclusion and recommendation

4. Conclusion and policy recommendations

5. References/Citations

Mid-Term Review
Development Cooperation Strategy with Ethiopia 2016-2020

Proposed Workshops

List of Workshops			
	Time-Period	Responsible body	Participants
1. <i>Inception report</i>	October 5	Consultant	Embassy Team+ Elina/Moa
2. <i>Internal Workshop to discuss on MTR process and group of studies</i>	October 25-26	Consultant	Partners and Embassy team
3. <i>Interim report and discussion</i>	November 30	Consultant	Partners, Ministries ³²
4. <i>Internal workshop as preparatory for validation workshop</i>	December 4-6	Embassy team	Embassy team
5. <i>Validation workshop</i>	January 24-25 2019	Consultant	Partners and Ministries ³³ Director General, Africa Department(HQ)

32 Ministry of Finance and Economic Cooperation and Ministry of Environment forest and climate change

33 Ministry of Justice, Ministry of Environment Forest and Climate change, Ministry of Labour and Social Affairs, Ministry of Women, Children and Youth Affairs, Ministry of Industry, Charities and Societies, Attorney General, Ministry of Communication, Ministry of Federal and Pastoralist Affairs, AAU, Ministry of Education, Addis Ababa City Administration, Ministry of Agriculture, Ministry of Water Irrigation and Electricity, National Meteorological Agency, Industrial Parks development, Investment Commission, Disaster Risk Reduction.

MDPA-TOR
Development Cooperation Strategy with Ethiopia 2016-2020

Synergies of results framework with Sida`s MDPa

Strategy results frameworks		Sida`s MDPa
Results	Proposed indicators	Proposed dimensions and indicators
1.1. Strengthened management of natural resources and ecosystem services	- Hectares of degraded watershed rehabilitated through different approaches (in thousands of hectares) - Increased percentage of forest cover for its social, ecological and economic benefits - Promotion of payment for ecosystem services(PES) - Employment opportunities/income generated through NRM	<u>Resources/Environmental context</u> • Income levels (from diversified sources i.e. engagement on forest development activities, payment for ecosystem services etc.) • Capital (access to physical, human, natural and social capitals) • Land (access to and ownership of land, land use right security, social and environmental safeguard approach) • Livestock (Index based livestock insurance) • Natural resources/ecosystem services (contribution of PFM, Watershed management, biosphere management etc.) • Access and ownership of other material resources
1.2. Improved capacity among public institutions and other actors at national and local level to contribute to environmental sustainability, increased resilience to environmental impact, climate change and natural disasters, and reduced climate impact	- Number of farmers/professionals trained on the implementation of sustainable natural resources management (in thousands-disaggregated by sex) - Strengthened institutional capacity of the Ministry of Environment Forest and Climate change through training and exposure visits	<u>Resources/Environmental context</u> Same with above
1.3. Increased production of and improved access to renewable energy	- Number of HHs get access to clean energy sources - Number of HHs engaged on the production of and distribution of fuel saving stoves. - Deaths due to indoor/outdoor air pollution	<u>Resources/Environmental context</u> Same with above and share with 2.2 • Reduced indoor air pollution through promotion of fuel saving stoves, solar home systems)
2.1. Strengthened rule of law	- A strategy to provide free legal aid is adopted - The conditions of prisons and treatment of prisoners is improved	<u>Power and voice</u> • Ability and opportunity to claim and enjoy human rights • Discrimination, formal and informal • Improved access to justice • Improved access to political participation and democratic institutions (Share of seats in parliament) • Ability and opportunities for voice

2.2. Strengthened democratic accountability and transparency at local level	- Increased dialogue/interaction between citizens and local authorities on service delivery - Percentage growth of private media - Increased number of public institutions that have established/updated their complaint handling and redress mechanism	<u>Opportunities and choice</u> • Access to and opportunities for productive employment • Access to education (contribution of vocational trainings) • Access to health care services • Reduced indoor air pollution through promotion of fuel saving stoves, solar home systems) • Percentage of girls and women aged 15-49 years who have undergone FGM/C • Prevalence of stunting, height for age (% of children under 5); total, female, male) • Prevalence of HIV, (% of population ages 15-49, children ages 0-14); total, female, male) • Contraceptive prevalence, any methods (% of women ages 15-22) • Access to water and sanitation (Access to improved water sources) • Access to infrastructure (roads, electricity, Agricultural irrigation land etc.)
2.3. Strengthened capacity of civil society to promote openness, accountability and greater respect for human rights	- Improved number of CSO that have received capacity building and achieved to engage government in ensuring the protection of rights of their constituencies - Increased number of CSO that have empowered women in engaging the government and achieving a pro-women policy	<u>Power and voice</u> • Ability and opportunity to claim and enjoy human rights • Discrimination, formal and informal • Improved access to justice • Improved access to political participation and democratic institutions (Share of seats in parliament • Ability and opportunities for voice
2.4 Increased respect for and access to sexual and reproductive health and rights (SRHR)	- Increased percentage of Modern contraceptives prevalence - Reduced FGM prevalence - Reduced birth rate of women aged 15-19	<u>Opportunities and choice</u> • Percentage of girls and women aged 15-49 years who have undergone FGM/C • Prevalence of stunting, height for age (% of children under 5); total, female, male) • Prevalence of HIV, (% of population ages 15-49, children ages 0-14); total, female, male)

		• Contraceptive prevalence, any methods (% of women ages 15-22)
3.1. Improved opportunities for productive employment with decent working conditions, particularly for women and young people	- New jobs created due to urban green economy development - Opportunities for productive and decent work improved for 100,000 people, where 75% are women and/or youth - Number of beneficiaries with improved business skills - Number of beneficiaries with improved access to finance	<u>Opportunities and choices</u> • Access to and opportunities for productive employment • Access to education (contribution of vocational trainings) • Access to finance and markets A.
3.2. Sustainable food security with particular focus on resilient agriculture	- Increased production of major food crops by increasing productivity (in millions of quintals) - Increased production of coffee, tea and spices by increasing productivity - Increased sustainable access to nutrition for school children (number of beneficiaries)	<u>Opportunities and choices</u> • Access to infrastructure (Agricultural irrigation land etc.) • Contribution of climate smart agriculture (high value crops and access to market) to food security
3.3. A more favourable business climate for sustainable and inclusive commercial activities and strengthening institutions	- Improved Doing Business Rating - Number of recommended laws/ regulations/amendments/codes enacted or government policies adopted - Number of recommended procedures or firm-level policies improved or eliminated - Value of financing facilitated to the private sector - Improved access to sustainable energy for SMEs (number of beneficiary entities)	• The role of market in shifting handouts development approach to long term system development and institutional set up to promote sustainability. • Access to financial institutions both formal and informal (micro finances, VSLA) • The role of market for sustainable natural resources management • Opportunities and challenges
3.4. Better access to social protection for people living in poverty	- Access to Urban Productive Safety Net program (number of beneficiaries) - Change in number of months of food insecurity reported by households in project areas - Improved access to insurance products for vulnerable communities (number of beneficiaries)	• Contribution of climate smart agriculture (high value crops and access to market) to food security • Adequacy of social security programs

	- Improved social protection through better access to sustainable income opportunities (number of beneficiaries)	• Coverage of social insurance programs, safety net programs, unemployment benefits • Prevalence of food insecurity
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Annex 2: Inception report

Mid-Term Review (MTR) of the Ethiopian Development Cooperation Strategy 2016-2020

Inception Report

SVEND ERIK SORENSEN, KRISTINA MASTROIANNI, IMERU TAMRAT AND MATILDA SVEDBERG

9 NOVEMBER 2018

Executive summary

The Mid-Term Review of the Ethiopian Development Cooperation Strategy 2016-2020 covers the period from the initiation of the Strategy in May 2016 until today October 2018, a period of about two-and-half year, and will provide guidance to the future execution of the Strategy period. The Embassy of Sweden in Addis Ababa is the main anchor in the operation and monitoring of the Strategy. The Strategy is aligned with the current national development plan (GTP2) and supports the Sustainable Development Goals 2030. The MTR will overall assess projects in the Strategy worth an approximate total of a little less than 1.000 MSEK for the period 2016-2018.

The Strategy focuses on three result areas (RAs):

RA 1: A better environment, limited climate impact and greater resilience to environmental impact, climate change and natural disasters

RA 2: Strengthened democracy and gender equality, and greater respect for human rights;

RA 3: Better opportunities and tools to enable poor people to improve their living conditions

The purpose of the MTR is to “guide the quality and delivery approach of the remaining part of the Strategy” (ToR, p.3). Based on the desk review (currently on-going), a database (currently being filled), a survey and the focus group discussions and interviews the MTR will produce

(i) a Development context the Multi-dimensional Poverty (MDP) issues and an analysis of current reform efforts by the Government identifying whether a strategic fit or deficiency exist as related to the Strategy – thus revealing evidence related to relevance, sustainability (and likely impact) of the Strategy;

(ii) a Strategic analysis of all 29+ projects in the Strategy addressing their relevance, effectiveness, efficiency and sustainability and suggest evidence based adjustments (if any at all) to on-going projects and design for planned projects. The analysis also includes an assessment of the Embassy's management and decision-making and M&E tools applied as well as an analysis of potentials for synergies, complementarities, scaling up and impact for a strengthened approach and implementation for the remaining period of the Strategy.

Documentation provided the team during the inception phase for each of current and new projects in the Strategy differed in terms of numbers, types and quality. In order for the Strategy to be evaluable we first and foremost looked for result-based management tools (logframe, intervention logic, result matrices, etc.) that had a sufficient level of design that would cater for project measurement of progress and achievements. While these varied significantly in terms of being effective tools for M&E they are presented in most projects and we conclude that overall project based M&E exists and are in some form or another possible to report upon.

Key evaluation questions (EQs) have been defined as they are related to OECD/DAC evaluation criteria (relevance, effectiveness, efficiency and sustainability) and unpacked to the extent possible with the fact data collected for each of the 29+ projects and preliminary assessments of these. A draft Evaluation Matrix has been produced.

Strategic considerations that will guide on how the Strategy move forward will relate to a large extent to the reform process and policy changes, i.e. these being key drivers and likely building blocks upon which other strategic considerations will be taken into account. These latter may include potential synergy effects and complementarity with other projects and programmes (within the Strategy and outside); potential for scaling up activities; identifying 'isolated' projects less connected to reform/policies (and review these for maximum impact), furthering Sida policies, observing political will in general, filling gaps, and assess institutional capacity absorption of involved stakeholders. An important part of the MTR will be to discuss the Embassy's perception of what 'strategic considerations' may entail for strengthening the Strategy implementation for the remaining period.

External factors that could impede the implementation of the evaluation are not foreseen.

Three overall and interconnected approaches will guide the MTR, i.e. theory of change, the multi-dimensional poverty (MDP) framework and contribution analysis. A mixed methods approach will be applied to carry out the MTR, i.e. a desk review, a survey, interviews/FGDs and field visits. The review is divided into three phases: an inception phase, a data collection and analysis phase and a reporting phase.

The inception phase is currently on-going and primarily contains a desk review of documentation provided by the Embassy. Following our proposal we have started a mapping exercise, in which fact data are entered into a database to be used for analyses and answering EQs. The database contains three parts (Fact sheet data; Preliminary assessment; and EQs matrix and evaluation criteria).

The data collection phase includes continuous desk review of documentation as well as the designing of a survey primarily addressing qualitative aspects of the Strategy and targeted the managements of the 29+ projects in the Strategy – information that will, together with the analysis of fact data collected and stored in the database, be used for validation purposes during FGDs.

The Embassy has proposed that different geographical locations from where different projects can be visited and where selected partners can be interviewed. These field visits are selected due to their proximity to the different locations and the relevance to the respective RAs. The team agrees to this field visit approach as it caters for more effective data collection visiting several projects within the same location.

Ensuring a useful and continuous dialogue with the Embassy during the entire MTR is crucial for the result of the MTR, its findings, conclusions and recommendations. This will allow the team to reflect on progress throughout the review strengthening the usability of the review outcome.

The draft inception report outlines key risk factors and suggested strategies for mitigation, presents a draft evaluation matrix with EQs and preliminary indicators, and a draft work plan. A list of documents reviewed will be included in the final version of the IR.

1 Assessment of scope of evaluation

The Mid-Term Review of the Ethiopian Development Cooperation Strategy 2016-2020 covers the period from the initiation of the Strategy in May 2016 until today October 2018, a period of about two-and-half year, and will provide guidance to the future execution of the Strategy period. The Embassy of Sweden in Addis Ababa is the main anchor in the operation and monitoring of the Strategy. The Strategy is aligned with the current national development plan (GTP2) and supports the Sustainable Development Goals 2030. The Strategy covers the period May 2016-end 2020, 4.5 years, and may be extended for a 2 years period prior to a likely development of a follow-up Strategy for a subsequent 4 year period. Total funding of the Strategy is currently estimated to be 1,340 MSEK. During 2016 and 2017 613 MSEK were disbursed to projects in the Strategy. For 2018 230 MSEK will be disbursed supplemented with 130 MSEK from a ‘window’ in the regional programme, thus a total of 360 MSEK. 100 MSEK is annually, up till 2021, planned for disbursement through the Strategy derived from the window in regional programme. Thus the MTR will overall assess projects in the Strategy worth an approximate total of a little less than 1.000 MSEK for the period 2016-2018.

The Strategy focuses on three result areas (RAs), including a breakdown of these into sub-areas, as follows:

RA 1: A better environment, limited climate impact and greater resilience to environmental impact, climate change and natural disasters
• Strengthened management of natural resources and ecosystem services • Improved capacity among public institutions and other actors at national and local level to contribute to environmental sustainability, increased resilience to environmental impact, climate change and natural disasters, and reduced climate impact • Increased production of and improved access to renewable energy
RA 2: Strengthened democracy and gender equality, and greater respect for human rights
• Strengthened rule of law • Strengthened democratic accountability and transparency at local level • Strengthened capacity of civil society to promote openness, accountability and greater respect for human rights • Increased respect for an access to sexual and reproductive health and rights (SRHR)
RA 3: Better opportunities and tools to enable poor people to improve their living conditions
• Improved opportunities for productive employment with decent working conditions, particularly for women and young people • Sustainable food security with particular focus on resilient agriculture • A more favourable business climate for sustainable and inclusive commercial activities and strengthened institutions • Better access to social protection for people living in poverty

The primary stakeholder of the Strategy is as mentioned the Embassy of Sweden in Addis Ababa. Secondary stakeholders are all relevant national, regional and international stakeholders involved in or affiliated to the Strategy. From the Embassy website/Contribution List we have identified 29+ projects in the Strategy and two block grants to research institutions and one research project. The below list has identified project related implementing and managing partners (Table 1).

Table 1. Managing/implementing partners of projects funded in the Strategy

<u>Result area 1: Resilience, climate and environment (8 projects)</u>	<u>Result area 2: Democratization, Gender Equality and Human Rights (13 projects)</u>	<u>Result area 3: Opportunities for Improved Living Conditions and Making Markets Work for the Poor (8 projects)</u>
• Ministry of Agriculture and Natural Resources • Environment Forest and Climate change Commission • Ministry of Water, Irrigation and Electricity (MoWIE) • Ministry of Industry • Ministry of Finance and Economic Cooperation • Metrological Agency • Ethiopian Development Research Institute • UNDP • UN-Habitat • Stockholm International Water Institute (SIWI) • Swedish Metrological and Hydrological Institute (SMHI) • ORDA • HoA-REC&N • Mercy Corps. • Union of Ethiopian Women Charitable Association (UEWCA) • MELCA Ethiopia • Farm Africa	• Ministry of Finance and Economic Cooperation • Ministry of Women and Children Affairs • Selam Cultural Enablers • Addis Ababa University Center for Human Rights • Justice for All • Life and Peace Institute • Initiative Africa • Jerusalem Children and Community Development Organization (JeCCDO) • UNDP • UNODC • UNFPA • UN-Women • WB Multi Donor Trust Fund • British Council • Raoul Wallenberg Institute (RWI) • FOJO Media Institute	• Ministry of Labour and Social Affairs (MoLSA) • Ministry of Trade • Ministry of Industry • AWEA • ILO • UNICEF • IFC • UNIDO • SNV • Save the Children • TNS • Mercy Corps • ECCSA PSD Hub Programme

It is notable that under each project, in many instances, numerous cooperating partners are engaged thus in total the stakeholder number may add up to more than 100 collaborating partners. Active participation of all these stakeholders in the MTR is not feasible but with a suitably designed sample for data collection we will be able to involve as many as possible.

Currently a database is being established covering three key areas: (i) A fact sheet, (ii) an assessment and (iii) an evaluation matrix. The database will form the basic tool for preliminary analysis where different questions can be raised combining different items. This is discussed in more details in the Methodology section.

The purpose of the MTR is to “guide the quality and delivery approach of the remaining part of the Strategy” (ToR, p.3). As pointed out in our proposal we foresee that based on the desk re-view (currently on-going), the database (currently being filled), the survey and the focus group discussions/FGDs and interviews (both discussed in the Methodology) will provide the following products:

(i) A Development context, including the Multi-dimensional Poverty (MDP) analysis and an analysis of current and future Government policies and plans for identifying whether a strategic fit or deficiency exist as related to the Strategy – thus revealing evidence related to relevance, sustainability (and likely impact) of the Strategy.

The analysis may reveal that strategic fit or deficiency vary for each of the three results areas.

(ii) A strategic analysis of all 29+ projects under the Strategy addressing their relevance, effectiveness, efficiency and sustainability and suggest evidence based adjustments (if any at all) to on-going projects and design for planned projects. Adjustments may relate to objectives, implementation and monitoring practices. Enablers and barriers for supporting the implementation of possible adjustments to modalities will also be addressed. Also, this analysis includes an assessment of the Embassy's management and decision-making and M&E tools applied (e.g. Appraisal of Interventions, Decision on Contribution, the results matrix, Annex 3 in ToR) for monitoring the progress and achievements of the Strategy and any possible improvements recommended.

(iii) While not being a 'product' as such, key features of the review analysis would be on identifying potentials for synergies, complementarities, scaling up and impact for a strengthened approach and implementation for the remaining period of the Strategy. Synergies between the Strategy and other Swedish supported efforts in Ethiopia (e.g. the research programme and the humanitarian support) will be analysed – so will the complementarity between the Strategy and those activities and strategies of other partners and major donors/investors (e.g. World Bank, EU, DfID, USAID, Italy and Norway). Also we will analyse to which extent possible scaling up are strategically feasible, including types of projects (based on sectors, modalities, etc.) and institutional capacity absorption for the better effect of the Strategy. We will also analyse any possible impact the Strategy have/have had on public policies and institutions (e.g. ministries, civil society and private sector) in the three result areas. The results of these analyses will inform and guide the Embassy/Sida on any possible changes or modifications to the Strategy for the remaining time period.

In anticipation of resolving satisfactorily the limitations and concerns addressed in the Evaluability section we find that the scope of work provides sufficient time allocated in the contract for reviewing documentation, developing a suitable and useful database, carrying out a survey and holding focus group discussions and visit projects in the field – and most importantly be in continuous communication with the Embassy, being the anchor and manager of the Strategy as the review rolls out during the its presence in Ethiopia.

The review is organised to ensure that the team delivers a product that meets the expectation of the Embassy and Sida. This includes important continuous backstopping by and thorough quality assurance procedures as they are presented in the implementation proposal.

2 Relevance and evaluability of evaluation questions

As pointed out in the proposal we noticed that the ToR did not include any evaluation questions (EQs). We have in the inception work aimed to define key evaluation questions based on various criteria, i.e. overall and generalised EQs as they are related to OECD/DAC evaluation criteria (relevance, effectiveness, efficiency and sustainability) and unpacked to the extent possible with the fact data collected for each of the 29+ projects and preliminary assessments of these. The database is still incomplete and further unpacking of EQs will be carried out in the early stages of data collection phase. The Evaluation Matrix presented in Annex 4 is therefore at this stage still a draft and will be discussed with the Embassy on 14/15 November 2018. For the same reason indicators per EQ have been preliminary drafted and will be further developed in the early stages of the data collection phase.

So far preliminary EQs drafted are as follows:

Relevance	• Has any deviations been observed as compared to the foreseen development of the Strategy? • Are choices made on themes and sectors (the three RAs) still relevant? • Is the global/ geographical focus of the Strategy still relevant? • To what extent is Sida/Embassy's value added / comparative strengths taking into account in the donor and national landscape? • To what degree can synergies be identified with other development actors in Ethiopia? • Has Sida's MDP framework been adequately addressed by the Strategy?
Effectiveness	• Have planned results of the Strategy been achieved satisfactorily? • How effective, useful and coherent has different aid modalities impacted the progress and achievements of the Strategy? • Have important internal/external factors influenced aid performance and results achievements? • What strategic considerations should be driving the Strategy towards success/achieving objectives?
Efficiency	• Has Embassy's management of the Strategy been carried out efficiently? • Has the management of each of the projects under the Strategy practiced performance monitoring satisfactorily? • Has standard procedures for selection and rejection of projects been sufficiently applied by the Embassy?
Sustainability	• Will the benefits produced by the Strategy be maintained after its completion? • Are benefits created from the Strategy sustained within a wider development perspective? • Is evidence available that shows positive changes to people's livelihoods and democratic accessibility ('impact')?
Crosscutting	• Has gender equality/human rights/environment/conflict perspective been sufficiently addressed in the implementation of the Strategy and resulted in improvements?

Documentation provided the team during the inception phase for each of current and new projects in the Strategy differed in terms of numbers, types and quality. In order for the Strategy to be evaluable we first and foremost looked for result-based management tools (logframe, intervention logic, result matrices, etc.) that had a sufficient level of design that would cater for project measurement of progress and achievements. While these varied significantly in terms of being effective tools for M&E they are presented in most projects and we conclude that overall project based M&E exists and are in some form or another possible to report upon.

We have defined EQs that are relevant and address the key issues related to the Strategy and considered them to be evaluable (with some draft indicators identified), how they can be evaluated (desk review, survey and FGDs/interviews) and with what sources (stakeholders, documents, etc.), including assessment of the reliability and availability of the sources.

As regards the Embassy's M&E process of the Strategy there appears to be clear decision-making procedures for whether projects are to be included in the Strategy or not. Recent information from the Embassy shows the decision-making and M&E structure as regards the Strategy:

Decision making process include

- Stakeholders mapping based on their reputation and result delivery capacity
- Plan appraisal to see its relevance (Appraisal of Intervention)
- Detailed assessment against five important perspectives i.e. Poverty, right, environment and climate change, conflict and gender perspectives
- Signing an agreement (Decision on Contribution)

Management tools to monitor projects include

- Annual and bi-annual reports
- Joint review meeting
- Joint field visits
- Platforms

The MTR will assess the suitability of this structure in carrying out appropriate and cost-effective M&E. Also we will discuss the use of other related M&E tools documentation, such as Conclusions on Performance and the Results Framework (Annex 3 in the ToR) and Annual reports that seems only to be produced in Swedish language.

An important part of the assessment will include how the Strategy can support the current re-form process in Ethiopia through the Embassy's selection of new projects for the remaining part of the Strategy and adjustments to existing projects, e.g. via scaling up or revise project objectives to match better changed policies. The team is well informed on policies and reform activities as such, yet would need to have from key informants (Embassy, ministries, donors, etc.) the most recent and updated policy and reform changes. These changes will to a large degree guide the strategic considerations that the Embassy faces in implementing the Strategy. The MTR as well as the three studies will support the Embassy in this decision-making process.

Strategic considerations that will guide on how the Strategy move forward will relate to a large extent to the reform process and policy changes, i.e. these being key drivers and likely building blocks upon which other strategic considerations will be taken into account. These latter may include potential synergy effects and complementarity with other projects and programmes (within the Strategy and outside); potential for scaling up activities; identifying ‘isolated’ projects less connected to reform/policies (and review these for maximum impact), furthering Sida policies, observing political will in general, filling gaps, and assess institutional capacity absorption of involved stakeholders. An important part of the MTR will be to discuss the Embassy’s perception of what ‘strategic considerations’ may entail for strengthening the Strategy implementation for the remaining period.

External factors that could impede the implementation of the evaluation are not foreseen. We expect the MTR to be carried out within the budget proposed in the implementation proposal. As regards accessibility to project managers and partners the team has received a contact list and the Embassy and NIRAS Local Office in Addis Ababa will support field visit arrangements. We have asked the Embassy to inform project managements of the 29+ projects to be available for data collection interviews and FGDs during the team’s fieldwork in the period 14-28 November 2017 which the Embassy has confirmed. We would like to emphasise that of the involvement of the Embassy in the review process is important to ensure that whatever recommendations are derived from the MTR are grounded in the Embassy’s steering of the Strategy for the remaining period. Detailed schedule for the fieldwork will be drafted immediately after the approval of the revised IR. An outline of the work plan is presented in Annex 3.

The evaluation matrix has been designed according to standard NIRAS format applying key OECD/DAC evaluation criteria. We have in addition included another criterion, i.e. crosscutting perspectives in which gender/human rights/environmental concerns are addressed across the three RAs. This is an important aspect of Swedish development aid and an overarching element to ensure a successful implementation of the Strategy.

The matrix indicators have been defined by looking for qualitative signs in the narratives of the verification source (at this stage only documents, later to include interviews). This will allow for judgements on any progress and/or likely achievement of the indicator. We will aim at identifying further the properties of the indicators in terms of their quality, quantity and time dimension.

The methods for data collection are currently covering desk review, survey, FGDs and interviews for all evaluation questions. We will also apply, more generally, ‘observation’ as a method for data collection and assess the availability and reliability of the data that we collect ensuring that they feed in as important elements in the validation process.

3 Proposed approach and methodology

3.1 Overall approach

The overall approach to the MTR was outlined in our proposal. It still constitutes a valid approach and has been updated following the inception phase work (documentation re-view, database entry and preliminary analysis as regards the MDP and OECD/DAC evaluation criteria). Three overall and interconnected approaches will guide the MTR, i.e. theory of change, the multi-dimensional poverty (MDP) framework and contribution analysis.

Theory of change: Key features that make up a suitable theory of change model will often include (i) the understanding of the context in which a project is able to influence change; (ii) the long-term change that the project seeks to support and for whose ultimate benefit; (iii) the logical sequence of the change that it is anticipated to lead to the desired outcome, and (iv) the assumptions about how these changes might happen.

It is crucial to understand that the theory of change is a process and not a product in itself and its prime goal is to reflect on and assess the causal mechanisms in the connections between outputs and outcomes/impact of each project under the Strategy. For the theory of change to be useful we will ask key questions about how and why the stakeholders of the Strategy think that the expected change will occur in the present project construct (achieving the project objectives), and whether they have evidence that support assumptions made in the project design. As such the theory of change will guide decisions to be made by the Embassy regarding the design of the Strategy for the remaining period of time. For the theory of change to be useful participation of the Embassy and particularly the project managers is needed. We will use the database, the survey and interviews/focus group discussions as presented in the Data Collection and Methods section to discover new or potential changed pathways for each project carried out under the Strategy and for the Strategy as a whole.

The multi-dimensional poverty framework is an important approach applied by Sida in its development cooperation support. Sida's policy framework is based on the SDG poverty reduction goal for 2030 ("Ending poverty in all its forms everywhere") and covers the development context in which poverty is observed (social and economic; political and institutional; peace and conflict; and environment) – the why – and four dimensions of poverty: Resources; Opportunities and choice; Power and voice and Human security – the how. The combination of the development context, frameworks and dimensions defines Sida's model for the MDP.

Three separate studies will feed into the overall analysis undertaken by the MTR. They are the MDP analysis, Conflict analysis and Market development analysis. Currently the Conflict analysis has been completed but has still not been sent to the team; the Market development analysis is foreseen completed during the month of November while the MDP analysis will only be completed by mid-January 2019.

During the course of the review the Sida MDP model will guide the team when collecting data. In this manner it will be possible for comparing and combining the team's findings with the results of the separate studies and as such provide value added information/data to the interpretation of the MDP situation in Ethiopia.

Contribution analysis will be used and follow the six iterative steps as outlined in Table 2. Each step is designed to build on the contribution story and the team will re-view each step to address possible weaknesses identified in the previous step. This work will be carried out during interviews and focus group discussions. The team will facilitate the input from participants in order to develop 'contribution stories' that is built on a consensus validated by the partner engaged in the Strategy projects. In this way it is also possible to validate the evaluation questions and also serve to gather evidence on the assumptions in the theory of change.

While the above implementation of the contribution analysis is the ideal sequencing we are aware that this may not be fully possible when practiced in the field, yet we will strive towards adopting it to the best of our abilities.

Table 2. Contribution analysis

Step 1	Set out the attribution problem to be addressed
Step 2	Develop a theory of change and the risks to it
Step 3	Gather the existing evidence on the theory of change
Step 4	Assemble and assess the contribution story and challenges to it
Step 5	Seek out additional evidence
Step 6	Revise and strengthen the contribution story

Source: Mayne, John, ILAC Brief 16, Contribution Analysis: An Approach to exploring cause and effect, The Institutional Learning and Change (ILAC) Initiative. May 2008

3.2 *Method for data collection and analysis*

A mixed methods approach will be applied to carry out the MTR, i.e. a desk review, a survey, interviews/FGDs and field visits. The continuous contact to the Embassy during the MTR will form a validation framework on our findings.

The review is divided into three phases: an inception phase, a data collection and analysis phase and a reporting phase.

The Inception Phase

The inception phase is currently ongoing and primarily contains a desk review of documentation provided by the Embassy. Following our proposal we have started a mapping exercise, in which fact data are entered into a database to be used for analyses and answering EQs.

The database contains three sections (Fact sheet data; Preliminary assessment; and EQs matrix and evaluation criteria) with the following main items:

Table 3. Database items

Project no:		
1. Fact Sheet data	2. Preliminary assessment	3. EQs Matrix / Evaluation criteria
Project title	Relevance – high/low	EQs for Relevance
Project Objectives/focus	Effectiveness – high/low	Indicators for Relevance
Result Area no.	Efficiency – high/low	EQs for Effectiveness
Sub-RA reference no.	Sustainability – high/low	Indicators for Effectiveness
Relation to other RAs	MDP dimension Y/N - resources	EQs for Efficiency
Sector reform process initiated	MDP dimension Y/N – opportunity and choice	Indicators for Efficiency
Location / region / national	MDP dimension Y/N – power and voice	EQs for Sustainability
Budget	MDP dimension Y/N – human security	Indicators for Sustainability
Modality (ies)	Strategic consideration	
Co-funding		
Project start		
Project end		
RBM/logframe/intervention logic (used for measurement)		
Evaluations/reviews		
Project manager/implementer		
Partners – public sector		
Partners – civil society		
Partners – private sector		
Partners – other (e.g. academia)		
Comments		
Documentation		

For each of the 29+ projects we are currently filling in these data best possible but are restricted somewhat in completing the Fact sheet part due to limited information in the documentation provided by the Embassy. Fact sheet data partly form a critical precondition for the assessment of the EQs thus limits filling in these items. We foresee to obtain a full picture and completed Fact sheet data on the first day of the field-work (14th November) based on discussions held with Programme Managers at the Swedish Embassy. Combining various items across the 29+ projects will provide interesting features of the Strategy and as such guide the team in its further analysis and in putting relevant questions during FGDs and interviews.

Ensuring a useful and continuous dialogue with the Embassy during the entire MTR is crucial for the result of the MTR, its findings, conclusions and recommendations. This will allow the team to reflect on progress throughout the review strengthening the usability of the review outcome.

The draft work plan is prepared and presented in Annex 3 and will be discussed with the Embassy.

Data Collection Phase

Documentation review: The review of documentation will be followed up during the data collection phase as additional reports; statistics, policies, etc. emerge during the fieldwork. The current list of documents is presented in Annex 2.

Survey: Most main quantitative data are currently being collected and stored in the data-base. We assume that a very simple survey is to be designed and sent to each of the 29+ project managements. The survey will primarily be of a qualitative nature. The questions preliminary drafted include the following:

- To which extent have your project objectives been achieved?
100-75%, 75-50%, 50-25%, 25-0%
- What difficulties have you encountered in monitoring project progress?
List at least two
- What main obstacles do your project face in achieving its objective?
List at least two
- What have you done / or will you do to mitigate these obstacles?
- What could be done better to improve the implementation of the project?
- What part of the Ethiopian reform process does your project support?
- Is scaling-up or expanding your project a feasible option? If so, justify. If not, explain briefly why
- How often do you communicate with Programme Managers at the Embassy of Sweden?
- What type of report(s) do you submit to the Embassy – and how often?

The survey will be an on-line exercise and designed with an Internet link together with a deadline and sent to the managers of the projects carried out under the Strategy. The draft survey will be completed during day 1 or 2 of the fieldwork and subsequently sent out to 29+ project managements. We propose that the Embassy provide issues/ questions to be covered in the survey if found useful and needed for its monitoring process and that these be included in its comments to this draft Inception Report.

Sending a survey to partners engaged in each of the 29+ projects has been considered but rejected on grounds of time constraint and the likelihood of becoming too detailed and lose the main perspective of the review, namely to guide the quality and delivery approach of the remaining part of the Strategy. Information from partners will be obtained during field visits to projects and through telephone calls for selected projects. Also to be considered is to invite a selected group of partners to attend the focus group discussions with the project managers. Various options of arrangement will be discussed with the Embassy to ensure that the voice of this stakeholder group is heard.

The result of the survey will provide a strong supplement to the MTR database and a solid input to the overall assessment of the progress and achievements of the Strategy. Like-wise the survey results will provide inputs to what important discussion points to address in the FGDs.

Interviews: Formal semi-structured interviews and informal discussion will be carried out with project managers and other key informants. The list of Strategy stakeholders that will be subject to interviews will be revised and amended following the discussion concerning sample criteria with the Embassy. The EQs developed and the result of the survey will provide guidance to the design of the FGDs. Tailor-made/prioritized questions for specific target groups will be developed where found relevant. For example, donors and investors will be interviewed particularly with the purpose of coordination, synergy effects and overall strategy considerations for Ethiopia.

We will aim to interview a broad range of the societal strata of Ethiopian stakeholders, partners and end beneficiaries, from the high ranked government official to end recipients of the Strategy projects such as vulnerable groups like women and ethnic peoples. These latter groups will be interviewed in connection with field visits to take place.

When doing interviews we will apply fully open questions too, in which ‘contribution stories’ are generated by the interviewee. In applying this approach new concepts and understanding of how the Strategy could be improved and adjusted may be created and more realistic pathways identified for realising a theory of change for the Strategy.

Focus group discussions (FGDs) will be held along lines of the three result areas. Key issues and concerns identified from the EQs will be thoroughly discussed and connections made to the theory of change of the Strategy, the MDP framework and the Strategy results matrix. The FGDs will be used as a combination for further data gathering as well as a validating forum for the data collected thus answering some of the evaluation questions stated.

Based on the team’s proposal for conducting FGDs on a RA basis a preliminary list of participants was received from the Embassy suggesting the following project representatives for the FGDs:

Result Area 1: Environment / CC / Resilience	Result Area 2: HR / Governance	Result Area 3: Livelihood / Employment
• UNDP Env & Forest and Climate Change Commission • HoA-REC&N • SMHI • UN-Habitat	• UNDP Governance • JeCCDO (Good Governance and Social Accountability) • Centre for Human Rights • UN Women • UNFPA • UNODC • Initiative Africa	• Farm Africa • LiWAY • IFC • ECCSA PSD Hub Programme • AWEA • WFP • Guarantee Fund – Enat bank • Social Protection (UNICEF)

The review team is currently discussing the participants proposed by the Embassy and will provide suggestions for changes. These will be discussed with the Embassy on Day 1 of the field mission.

Field visits: The Embassy has proposed that different geographical locations from where different projects can be visited and where selected partners can be interviewed. These visits are selected due to their proximity to the different locations and the relevance to the respective RAs. The team agrees to this field visit approach as it caters for more effective data collection visiting several projects within the same location.

However, the team needs more clarity from Programme Managers and project managements on projects implemented in the vicinity of each of the four locations proposed by the Embassy (Addis Ababa, Bahir Dar, Awasa/Hawassa and Adama). Strict planning and effective logistical arrangements are needed for these visits to be smoothly implemented. We have taken the first contact with projects as regard their particular activities on the locations mentioned and will together with the Embassy and the NIRAS Local Office arrange for the field visits.

Data triangulation: As is evident from the above the MTR applies mixed methods approach to generate both qualitative data (e.g. mainly from interviews/FGDs and survey) and quantitative data (e.g. mainly from document review). This will ensure a process in which findings can be validated. Where important data and views from various sources diverge significantly other sources should be identified or forums be consulted.

Reporting Phase

The reporting phase will comprise the writing of the report and include important feedback from the Embassy, project managements and partners on the draft of the report before final submission for approval. Following an intense participatory approach and consensus building efforts through feedback from project actors during the fieldwork we assume that an MTR is produced that will match the expectations of the Embassy in particular, but also project managements and partners. Continuous information gathering will occur during the reporting phase.

3.3 *Risk factors and mitigation strategy*

The most important risk factors for the evaluation have been identified and the likely limitation they will have on the implementation of the evaluation. Mitigation strategies that will diminish the influence of the risk factors are identified.

Potential risk event	Probability	Consequence	Risk level	Mitigation strategy
Lack of access to key informants and important stakeholders	Possible	Moderate	Medium	• Clear communication and request for close collaboration with the Embassy and project managements prior to the fieldwork should guarantee a sufficiently effective planning for interviews and FGDs. Develop work plan containing empty timeslots to allow for rescheduling of appointments. Survey to be designed to ensure a sufficiently high response rate
The developed theory of change is not representative and based on a shared understanding	Likely	Moderate	Medium	The strengths and weaknesses of the logic, the plausibility of the various assumptions in the theory and the extent to which they are contested will be reviewed with the Embassy in particular to ensure a shared understanding
The contribution analysis does not lead to plausible conclusions on causality of the intervention in terms of outcome/impact	Unlikely	Minor to moderate	Low to Medium	Improve the strength of the theory of change by consultations with stakeholders is a main feature of the approach
Practical matters, including arranging effective logistics during field work	Likely	Moderate	Medium	Through strict planning and local support from the Embassy and NIRAS Local Office in Addis Ababa and obstacles observed be challenged and solved quickly

Annex 1 – Draft Evaluation Matrix

Evaluation Questions	Indicators to be used in Review	Methods	Sources	Availability and reliability of data
Relevance: • Has any deviations been observed as compared to the foreseen development of the Strategy? • Are choices made on themes and sectors (the three RAs) still relevant? • Is the global/ geographical focus of the Strategy still relevant? • To what extent is Sida/Embassy's value added / comparative strengths taking into account in the donor and national landscape? • To what degree can synergies be identified with other development actors in Ethiopia? • Has Sida's MDP framework been adequately addressed by the Strategy?	Development context analysis by the MTR and the three studies reveals changes in policies, national strategies and plans of the Ethiopian Government Policy and reform process analysis and related of data collected observe a match between RAs and choices made by the Embassy A balance is observed between intended outcomes of the Strategy (the 3 RAs) and the selection of geographical focus of projects International development cooperation community documents and acknowledges Sida's value added Synergies are identified from the review/ analysis and assessment made on their anchorage in the Strategy and results frameworks Evidence that MDP dimensions (resources; opportunities/choice; power and voice; human security) have been contained in the 29+ projects and the overall approach to the Strategy	Desk review, survey, FDGs/ interviews	The Strategy, Embassy and project partners; donors; project documentation; survey result and interview notes	Availability high; Reliability: assessment of quality of data

Evaluation Questions	Indicators to be used in Review	Methods	Sources	Availability and reliability of data
Effectiveness: • Have planned results of the Strategy been achieved satisfactorily? • How effective, useful and coherent has different aid modalities impacted the progress and achievements of the Strategy? • Have important internal/external factors influenced aid performance and results achievements? • What strategic considerations should be driving the Strategy towards success/achieving objectives?	Result matrix (proposed) indicators have been assessed, measured, reported and recorded; further revised and updated regularly Analysis of 29+ projects aid modality structure relative to measured results of the projects reveals comparative strengths of financial instruments Results of three studies and other data collected from desk review, survey and FDGs/interviews reveals the importance, urgency and seriousness of factors Potentials for synergies, complementarities and scaling-up identified through comparing and matching analytic results of 29+ projects with donor and Government policies, plans and financial contributions. This will also guide the Embassy's strategic considerations for revising current project focus areas with the 3 RAs and the selection of new projects.	Desk review, survey, FDGs/inter-views	The Strategy, Embassy and project partners; donors; project documentation; survey result and interview notes	Availability high; Reliability: assessment of quality of data
Efficiency: • Has Embassy's management of the Strategy been carried out efficiently?	What M&E tools have been applied in the management of the Strategy? Are they adequate, complicated or simple? Do they meet the need	Desk review, survey, FDGs/inter-views	The Strategy, Embassy and project partners; donors;	Availability high; Reliability: assessment

Evaluation Questions	Indicators to be used in Review	Methods	Sources	Availability and reliability of data
• Has the management of each of the projects under the Strategy practiced performance monitoring satisfactorily? • Has standard procedures for selection and rejection of projects been sufficiently applied by the Embassy?	for measuring progress and achievements of the Strategy? Clearly formulated theory of change, well-designed, simple and cost-effective logframe / results based matrix prepared, operated and reported upon as part of a monitoring and evaluation system Analysis shows documented quality assessment justifying the selection of projects as well as of rejected projects (if any)		project documentation; survey result and interview notes	of quality of data
Sustainability: • Will the benefits produced by the Strategy be maintained after its completion? • Are benefits created from the Strategy sustained within a wider development perspective? • Is evidence available that shows positive changes to people's livelihoods and democratic accessibility ('impact')?	Analysis and listing of key obstacles to sustainability achievement and methods and mechanisms on how to tackle these identified Support in the 3 RAs are embraced by donors and Government (and other stakeholders) and reflected in policies, strategies and plans as well as in regional programmes Results framework analysis of 29+ projects documents improved socio-economic and democratic conditioned as compared to 'baseline' data	Desk review, survey, FDGs/ interviews	The Strategy, Embassy and project partners; donors; project documentation; survey result and interview notes	Availability high; Reliability: assessment of quality of data

Evaluation Questions	Indicators to be used in Review	Methods	Sources	Availability and reliability of data
Cross-cutting: • Has gender equality been sufficiently addressed in the implementation of the Strategy and resulted in improvements? • Has the conflict perspective been sufficiently addressed in the implementation of the Strategy?	Sida model for gender mainstreaming applied Relevance of targeted and integrated gender interventions	Desk review, survey, FDGs/ interviews	The Strategy, Embassy and project partners; donors; project documentation; survey result and interview notes	Availability high; Reliability: assessment of quality of data

Annex 2 – Documents Reviewed

- Annual Narrative Report, Jan. 2018; Appraisal of Intervention 2016; PD 2016, UNDP (without Swedish contribution)
- Appraisal of Intervention, July 2017, Sida; Decision July 2017,; Draft Proposal: EDRI /ECDC; Progress Report 30 Sept 2018
- Proj Prop March 2017, SIWI; Inception Report August 2018, SIWI
- ILO, Technical Cooperation Progress report 2016 - Improving Industrial Relations for Decent Work and Sustainable Development of Textile and Garment Industry in Ethiopia, Mar. 2016
- ILO, Development Cooperation Progress report 2017-Improving Industrial Relations for Decent Work and Sustainable Development of Textile and Garment Industry in Ethiopia, Mar. 2018
- ILO, A decent work profile of the Ethiopian textile and garment industry, Nov. 2016
- ILO, Mid-term Evaluation of Improving Industrial Relations for Decent Work and Sustainable Development of Textile and Garment Industry in Ethiopia, Oct. 2017
- Amendment Letter No 1 – November 2017
- UNICEF, Building an Integrated Safety Net System for the Most Vulnerable Women and Children in Rural and Urban Ethiopia, Jun 2017
- AWEA, Empowerment of Women Entrepreneurs for Sustainable Development in Amhara (EWESDA), Project Proposal 2012-2014,
- AWEA, Empowerment of Women Entrepreneurs for Sustainable
- Development in Amhara (EWESDA) Project, Consolidated Annual Report for 2014, Apr. 2015
- Amhara Region Women Entrepreneurs Association (AWEA)
- Annual Project Progress Report, 2015, Mar 2016
- Empowerment of Women Entrepreneurs for Sustainable Development in Amhara (EWESDA), 2016 Annual Project Progress Report (Jan-Dec, 2016), Feb 2017
- Amhara Women Entrepreneurs Association (AWEA) and International Institute of Rural Reconstruction (IIRR), Empowerment of Women Entrepreneurs for Sustainable Development in Amhara (EWESDA) Project, Bi Annual Report for 2017 (Jan-June, 2017), Jul 2017
- Elin Karlsson, Conclusion on Performance SWEA, EWESDA, 2012-2015 (17)
- Review of the Project: “INSTITUTIONAL CAPACITY BUILDING, PROMOTION OF WOMEN’S ENTREPRENEURSHIP AND TECHNICAL ASSISTANCE FOR SUSTAINABLE MANAGEMENT OF AMHARA REGION WOMEN ENTREPRENEURS ASSOCIATION (AWEA)”, May 2011
- SNV etc, LIVELIHOODS IMPROVEMENT FOR WOMEN AND YOUTH (LI-WAY) PROGRAMME - Inception report, May 2018
- TechnoServe, Behavioural Insights Research Regarding Female Job Seekers in Addis Ababa, Sep 2018

- SNV etc, LI-WAY - Livelihoods Improvement for Women and Youth in Addis Ababa, Apr 2017
- IFC, Annual Progress Report Jan-Dec 2017: Ethiopia Private Sector Development Initiative – Access to Finance, Apr. 2018
- Economisti Associati/ BKP Development, ACCESS TO FINANCE IN ETHIOPIA: POLICY, REGULATORY AND ADMINISTRATIVE IMPEDIMENTS - FINAL REPORT, Feb 2014
- IFC, Ethiopia Multi-Donor Initiative Pillar II: Promoting and Investing in the Private Sector, Mar. 2016
- Project description, Women-Owned Business Local Portfolio Guarantee (FY16)
- DCA MONITORING PLAN, USAID/Ethiopia & Development Credit Authority, Loan Portfolio Guarantee #663-DCA-16-012, ENAT BANK, S.C.
- IFC, Progress Report Jul-Dec 2017: Ethiopia Private Sector Development Initiative – Investment Climate, Mar 2018
- IFC, Supporting Growth and Transformation in Ethiopia through Investment Climate Improvements - Proposal for Collaboration with IFC/WG Group, Jun 2012
- Economisti Associati/Consorzio Italiano Consulenti, MID-TERM REVIEW OF THE ETHIOPIA INVESTMENT CLIMATE PROGRAM PHASE I - FINAL REPORT, Aug 2016
- IFC, Gender Related Investment Climate Constraints in Ethiopia: Diagnostics and Action Points - Final REPORT, Feb 2015
- CIPE/EEA, Evaluation Report: Ethiopian Public-Private Consultative Forum (EPPCF), 2010-2017, Jun. 2018
- PSD Hub, Capacity Building for the Sustainability of ECCSA Phase III - Project Annual Performance Report of 2017 FY, Jun 2018
- ECCSA, Project Proposal: Capacity Building for the Sustainability of the Ethiopian Chamber of Commerce and Sectoral Associations (ECCSA), Sep 2015
- ECCSA, Capacity Building for the Sustainability of ECCSA Phase III Project Semi Annual Progress Report of 2018 FY, Jul 2018
- PSD Hub, Reviewing Policies & Regulations Relevant to Micro, Small & Women Owned Enterprises in Ethiopia, May 2018
- PSD Hub, Reviewing Policies & Regulations Relevant to Micro, Small & Women Owned Enterprises in Ethiopia - Draft Report, May 2018 (in zip 5)
- Annual Report 2017, Sida Re-assessment report 2017/18; conclusions of Performance March 2018; Bi-annual Report jan-jul 2018, Aug 2018
- Project Proposal, UN -Habitat 2018; Appraisal of Intervention, Sida 2018
- Addis Ababa University- Center for Human Rights; Support to Teaching, Research and Community Engagement (Project Proposal), August 2017.
- DIFID Ethiopia, Support to Civil Society and Citizen Engagement-Business Case, n.d.
- Filmo H Hando (Team Leader)and Rajeev Pillay, Democratic Institutions Program: Terminal Evaluation (Main Evaluation Report-Final), November 2013.

- FOJO Media Institute, Feasibility study on the strengthening of free, independent, professional media and journalism in Ethiopia (4 pp proposal with no annexures), 15 December 2016.
- Initiative Africa, Gender Equality-Making Change Happen (Project Document), January 2018.
- Jerusalem Children and Community Development Organization (JeCCDO), Engaging Community Structures towards Sustainable Local Development in Ethiopia (Project Proposal), December 2017.
- Justice for All- Prison Fellowship, An Integrated Project for Human Rights Protection, Promotion of Good Governance and Peace Building (2017-2020), May 1 2017.
- Justice for All-Prison Fellowship, Annual Progress Report for the “Integrated Project for Human Rights Protection, Promotion of Good Governance and Peace Building” for the period April 01-December 31 2017, February 15 2018.
- Life and Peace Institute (LPI), Draft Annual Report 2017-February 15 2018, n.d?
- Life and Peace Institute (LPI), LPI Ethiopia Program (2017-2020), n.d.
- NEDICO, Ethiopia Civil Society Program-Final Evaluation Report, 13 November 2016.
- Selam Cultural Enablers, “Culture Leads the Way” (Project Application), October 10 2016?
- UN Women Ethiopia Country Office, First Annual Report, January-December 2017, n.d?
- UN Women Ethiopia Country Office, Strategic Notes 2017-2020, 18 July 2016.
- UNDP, Governance and Democratic Participation Program (GDPP) - Project Document June 2017-December 2021, May 2017.
- United Nations Office on Drugs and Crime (UNODC), Criminal Justice-National Integrated Program for Ethiopia (sub-program 2), March 2013?

Note: The list of documents reviewed is incomplete as it is continuously updated.

Annex 3 – Draft Work Plan

Date	Day	Time	Activity (ies)
13 November	Tuesday	pm	Travel of team
14 November	Wednesday	am	Arrival of team members
			Briefing Embassy (agree to programme)
			Meetings with Programme Managers, Embassy
		pm	Meetings with Programme Managers, Embassy
			Meeting with NIRAS local office
			Survey sent out
15 November	Thursday	am	Meetings with Programme Managers, Embassy
		pm	Donor meetings (WB, EU, USAID, Italy, Norway) – others?
16 November	Friday	am	Donor meetings (WB, EU, USAID, Italy, Norway) – others?
		pm	Sum-up and preparation for field work with Embassy/NIRAS
17 November	Saturday	-	Preliminary analyses of data collected
18 November	Sunday	-	Preliminary analyses of data collected and travel
19 November	Monday		<i>Field work and on-going/continuous analysis of data collected</i>
20 November	Tuesday		<i>Field work and on-going/continuous analysis of data collected</i>
21 November	Wednesday		<i>Field work and on-going/continuous analysis of data collected</i>
22 November	Thursday		<i>Field work (deadline for survey response)</i>
23 November	Friday		<i>Field work and on-going/continuous analysis of data collected</i>
24 November	Saturday	-	Preliminary analyses of data collected and survey results
25 November	Sunday	-	Travel to Addis Ababa and preparation of FGDs
26 November	Monday	am	FGDs (RAs) in Addis Ababa (divided into three groups) – available space at Embassy?
		pm	Analyses of FGD results
27 November	Tuesday		Preparation of debrief with the Embassy
28 November	Wednesday		Debrief at the Embassy
29 November	Thursday		Travel of team

Annex 3: List of stakeholders interviewed

Date	MTR Team member	Organisation	Interviewee	Title	Contact information
14 Nov. 2018	Svend Erik, Kristina, Imeru	Embassy of Sweden	Elmi, Leul, Feven, Elin, Annika		
15 Nov. 2018	Svend Erik, Kristina, Imeru	Embassy of Sweden			
	Kristina	Embassy of Norway	Marianne Johansen, Counsellor, Climate and Forest		
	Svend Erik, Imeru Tamrat	UNDP	Ababu Anage Njeri Kamau	National Climate Change Specialist Team-leader PMSU	
16 Nov. 2018	Imeru Tamrat	DfID-Ethiopia	Chiara Silke Ato Misganaw Mulugetta	Advisor Livelihoods and Humanitarian Team Governance Advisor	
	Kristina	GIZ	David Ochieng Otieno	Programme Manager EnDev Ethiopia	
	Svend Erik	UN-Habitat	Project Manager – Nairobi Aklilu Fikresilassie Kabiso Alberto Silva Eva Zorawska	Programme Manager, Ethiopia Team-leader, Hawassa project Assistant, Hawassa project	

ANNEX 3: LIST OF STAKEHOLDERS INTERVIEWED

Date	MTR Team member	Organisation	Interviewee	Title	Contact information
	Kristina	EU	Daniele Morbin	Programme Officer - Infrastructure for Economic transformation and for Climate Change	
	Svend Erik	WB	Victoria Monchuk	Senior Economist Social Protection – East Africa	The World Bank Group email: ymonchuk@worldbank.org Ethiopia office: +251-(0)11-5176050 / DAMA 5358+6050 Ethiopia mobile: +251-(0)96-7418366
	Kristina	Embassy of Denmark	Carla Cecilia Baumann Greiber		<cargre@um.dk>
	Imeru	Embassy of Sweden	Annette Dahlstrom	Counsellor, Human Rights, Democracy and Gender Equality	
19 Nov. 2018	Kristina, Svend Erik	ORDA, Bahir Dar	Dejene Minliku	Programme Director	
	Kristina, Svend Erik	Abay Basin Authority (SMHI)	Yewendwesen Mengistu Girmochew Addisu	Director General Senior Water Resources Specialist	
	Kristina	AgroBIG-MFA Fi	Meeri Koumalainen	Chief Technical Advisor	
20 Nov. 2018	Svend Erik	LPI	Firew Kefyalew Belayneh Mazengiaw	SD Coordinator	+251911780084
	Kristina	UNICEF	Getachew Berhanu Kebede		

ANNEX 3: LIST OF STAKEHOLDERS INTERVIEWED

Date	MTR Team member	Organisation	Interviewee	Title	Contact information
21 Nov. 2018	Kristina	Farm Africa, Halaba	Fikru Beyene, FA Halaba Director <fikrub@farmafrica.org>		
	Svend Erik	Farm Africa/UECWA, Axum	Mitku Demoz Merbrith Giday Adi Tseharfi Abrehet Kidana Tsegag Zuria Woreda Amanual Gebrerutail, Lemlem Berhana	Project Coordinator, New Millennium Hope Development Organisation (NMHDO), Axum Social Worker, (NMHDO) Zurai Woreda, beneficiary biogas project Beneficiary biogas project Extension worker, Ministry of Energy and Mining M.T Desta, Axum Beneficiary woman from the beehive/keeping project	
	Imeru Tamrat	UNDP	Shimelis Assefa	Team Leader, Governance and Capacity Development Unit	
	Imeru Tamrat	Irish Aid	Bizuwork Ketete	Senior Governance Program Manager	
22 Nov. 2018	Kristina	Hawassa Industrial Park: One-stop-shop/Water treatment facility/Textile manufacturers	Joseph	Officer Hawassa 'One-stop-shop', Industrial Parks Division, Industrial Parks Facilitation	Dawit Feleke Industrial Parks Division, Industrial Parks Facilitation

ANNEX 3: LIST OF STAKEHOLDERS INTERVIEWED

Date	MTR Team member	Organisation	Interviewee	Title	Contact information
		(IFC Investment Climate)		(Fanti Fares Mulleta/IFC Ethiopia)	<u>Tel:+251 920563662, +251 115580846</u>
	Imeru Tamrat	Justice for All-Prison Fellowship Ethiopia	Ato Daniel Gezahegn Ato Woubishet Kibru Ato Ammanuel	Vice-President Legal Advisor Program Department Head	
23 Nov. 2018	Kristina	SNV - Livelihoods Improvement for Women & Youth (LI-WAY)	Timoteos Hayesso	Deputy Chief of Party	
	Kristina	WFP	Yohannes Desta	Component 4 lead	<u>yohannes.desta@wfp.org</u>
	Kristina	Bole Limo Industrial Park: Textile Manufacturer (ILO/H&M)	Wendmagegu Zewdu	Assistant HR manager Jay Jay textile industry	
	Kristina	ILO	Kidist Chala	Chief Technical Advisor: Garment and Textile Project	
	Svend Erik	ILDPA	Wondwossen Girmay	Program Coordinator, ILDP project, Gambella	Horn of Africa Regional Environment Centre/Network. Addis Ababa University P.O.Box:80773 Addis Ababa ,Ethiopia Tel: +251 (0)91-029 6890 @: <u>bsewon@gmail.com/</u>
	Svend Erik	SIWI/SMHI	Anna Wikman	Project Manager	

ANNEX 3: LIST OF STAKEHOLDERS INTERVIEWED

Date	MTR Team member	Organisation	Interviewee	Title	Contact information
	Svend Erik	Farm Africa (FA), Ethiopia	Yasmin Abdulwassie	Country Director	
	Imeru Tamrat	Ethiopian Human Rights Commission	Ato Nigussie Sime Ato Binyam Gidey Ato Binyam Habtewold	Director, Planning, Monitoring and Evaluation Directorate Team Leader, Planning, Monitoring and Evaluation, Directorate UNDP GDDP Program Officer	
	Imeru Tamrat	Ministry of Peace	Ato Atikilt Daniel	UNDP GDDP Program Officer	
26 Nov. 2018	Svend Erik, Kristina, Imeru	Focus Group Discussion	Separate list of participants		
27 Nov. 2018	Kristina	REILA, MFA Finland	Tommi Tenno	Chief Technical Advisor	
28 Nov. 2018	Svend Erik, Kristina, Imeru	Debrief at the Embassy	Embassy staff		
23-24 Jan. 2019	Svend Erik	Embassy of Sweden	Studies and MTR presentations and Theory of Change Workshop		
25 Jan. – 1 Feb. 2019	Svend Erik	Embassy of Sweden	Development of ToC, RBM and indicators for reporting at strategic level		

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Annex 5: Effectiveness assessment

Below is presented an assessment of 12 selected projects in the Strategy, 4 in each of the three Result Areas. (RA).

RA1 / P1: Integrated Land use Development Planning

Result Area 1 - Project Title:	Budget	Start/End
Integrated Land use Development Planning	9,2 MSEK (planned 25 MSEK for new phase)	December 2016 – September 2018

Implementing Organisation: HoA/REC

Description

The overall goal of the ILDP is to contribute to the sustainable transformation of the lives and land resources of GPNRS by way of guiding the optimal use of the land and water-based resources through provision of coordinated, aligned and harmonised land use and development plan as a guide. The ILDP is intended to achieve this through: 1. Supporting economic transformation of the beneficiaries by allocating land according to its use potential and avoiding land use conflicts in the GPNRS, 2. Enabling speeded-up and improved social transformation of the beneficiaries, and 3. Guarantying sustainable environment for the GPNRS. Specific objectives: 1. to ensure the full participation of facilitators and drivers in the ILDP development process; 2. to develop a holistic and Integrated Land Use and Development Plan; 3. to establish an ILDP enforcement system and mechanisms. Nine quantitative indicators have been used to assess progress. The direct project beneficiaries are the peoples of the GPNRS whose livelihoods are dependent on the land and water resources and land-based developments and key stakeholders include central and local authorities responsible for agriculture and natural resource development, environmental protection, forestry and climate change. The ILDP was originally started with Dutch support in 2012 and the second phase of the project is now fully supported by the Embassy. It is expected that a new Embassy funding of 25 MSEK will ensure the next phases of the project.

Assessment

As regards specific objectives 1 the participation of key government institutions have taken place through a series of meetings, exchange of experience and capacity activities, particularly Ministry of Agriculture and Land Resources and the Bureau of Agriculture and Livestock of GPNRS; key federal and regional decision making bodies have been instrumental in the commenting upon and actively address and guide the land use planning process, most recently in two workshops held in November 2018 and also approved various plans developed, including comprehensive and sector-based plans and examined the relevance of the overall planning for land use policy enhancement and replicability for other regions; Sensitisation and awareness creation and skills facilitating workshops were conducted for private sector investors, regional development partners, CBOs, NGOs and local community groups,

including elders, women and youth groups, etc. During the project period, a total of 102 Community Consulting Groups were formed, capacitated and participated as drivers of the ILDP planning process.

As for specific objective 2 a final draft for the integrated land use and development plan and albums of maps are produced for each of the 23 planning units including urban areas at all levels, strategic and woreda. These plans have been synthesised as comprehensive ILDP documents and albums of maps following the November 2018 workshop held for key federal and regional decision-making authorities. The establishment of an ILDP data information management centre was postponed until government made a decision on its location. Specific objective 3 has been fully achieved with an established ILDP enforcement system and mechanisms, including the final draft land policy and tenure plan report and a monitoring and evaluation and the geodata information management system development studies.

The focus of the project is on development planning related to land use. A very structured (and complicated) planning has been adopted currently stretched over several years (three cycles and six phases). The reporting period covers the first phase of the second cycle. While community engagement has been facilitated by the project and government entities have been key players in the progress made the main problem with this planning process appears that – after several years of planning (since 2013) – no real progress at the beneficiary level as regards economic development and social transformation has been addressed.

There seems to be a mismatch between what the overall goals and the specific objectives. The first focus directly on economic strengthening and social transformation of the beneficiaries, the latter focus on systems and plans. While there is overall logic to this connection there is no theory of change that link the main goals to the specific objectives and the current lengthy planning process (which will continue into the forthcoming years with the design of several bankable development proposals) does not facilitate ‘targeting the poor’ effectively; a re-design of the project should be considered where quick tangible support inputs are provided to the poor people in the beneficiary communities. The under-spending of the project budget of approximately 50% could obviously be used for that purpose. Planning as such does not ensure ownership of poor people to a project, but planning combined with short-term tangible outcomes does.

Conclusion:

Overall the effectiveness of the ILDP has been satisfactory following the specific project objectives and could as such be valued with a ‘green’ indicator. Yet, the inadequate theory of change of the project calls for a change in the follow-up support of 25 MSEK, both in terms of design and developed indicators balancing better between ‘long-term planning’ and tangible results for main beneficiaries (poor farmers and vulnerable people) over a new phase. There are no clear indications in the reporting that the main beneficiaries are to be clearly targeted and their needs tangibly met. Therefore reduced to an amber indicator.

	Comments: low-to-medium (2-3)
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RA1 / P2: Institutional Strengthening of the Forest Sector Development Project (UNDP/Commission)

Result Area 1 - Project Title:	Budget	Start/End
Institutional Strengthening of the Forest Sector Development Project ³⁴	1,5 MUSD ³⁵ / 43 MSEK for entire period	2016-2020

Implementing Organisation: UNDP /MEFCC (now EFCCC)

Description

The Institutional Strengthening for the Forest Sector Development Program of Ethiopia is designed to support capacity building efforts and has been co-funded by Norway, Sweden, UNDP, and Government of Ethiopia. The overall objective of this project is to strengthen government capacity in the forest sector at all levels and spearhead the implementation of the forestry component contained in the GTP2 and CRGE Strategy. The Embassy is supporting activities in nine woredas of the three regional states, Amhara, SNNPR and Tigray. The project has three outputs: (i) The institutional capacity of the forest sector strengthened; (ii) Forest development enhanced for their multiple benefits, and (iii) Promote science and innovation in the sector. The project is a part of a comprehensive support programme between the Embassy, Norway, UNDP and the MEFCC (now EFCCC).

Assessment:

Ad (i): forest management offices in the woredas have been established and the Embassy support contributed to the finalisation of a National Forest Sector Development Programme and regional plans are in preparation.

Ad (ii): Awareness raising activities on forestry management has been carried out targeting 1.700 local people and create the foundation for designing local level land use planning in micro-water sheds. Community ownership has improved on project sites supported by local bylaws. Forest land use right of the community is legally secured through certification systems. 130.000 ha degraded forestry areas have been rehabilitated with Norwegian funds, while 2,353 ha with Embassy support. 41.000 ha of the 130,000 ha are being re-vitalised through assisted natural regeneration from Embassy support. Also, ex-closure sites have been supported by different physical and biological soil & water conservation structures, tree planting activities, free grazing reduction and productivity of degraded lands through animal forage and beekeeping production. Also, new rotation plantation has been established (866 ha) with community participation. Nursery inputs for raising seedlings are supported by the Embassy. More than 6.7 million seedlings were raised during the last season in the three regions. Forest user groups have been established, bio-diversity has improved and livelihood activities in agro-forestry and tree based system, beekeeping and have generated additional income for local communities. More than 14,000 community members have benefitted directly from the project intervention (12.000 men and less than 2,000 female).

³⁴ Main document used is the 'The Institutional Strengthening for the Forest Sector Development Programme in Ethiopia, Until June 2018', MEFCC.

³⁵ This amount is for 2018 only. No other budget info accessible.

Ad (iii) The selected thematic focus for the research have been on the management and protection of multifunctional forests, economic interactions along the forest-livelihood interface, rehabilitation of degraded forests/forest lands and biomass modelling. No research project has been initiated so far while a MoU has been signed between the project, the University of Agricultural Science (SLU) and Wondo Genet and Mertolemarian colleges for upcoming activities.

A mid-term evaluation of the project was carried out recently and the conclusions were as follows³⁶: logframe to be updated based on baseline data; improve the gender approach and related data, better training / capacity building evaluations; initiate joint monitoring efforts of all stakeholders, validation of reported area under rehabilitation and plantation is missing; quality of seeds poses a constant challenge to results and the project should encourage planting more indigenous species in land rehabilitation for better ecosystem health.

Conclusion/Remarks

Overall the results reported are acceptable but the reporting is not very clear on whether all activities / results are planned or actually implemented. There is no clear overview. Furthermore, the particular concern on validating results reported (on the rehabilitation and planting activities) mentioned by the mid-term evaluation is of concern. As for the annual budget there has been an underspending of about 40%. An amber indicator is assigned.

	Comments: low-to-medium (2-3)
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³⁶ Mid-Term Evaluation of the Institutional Strengthening of the Forest Sector Development Project, 26 November 2018.

RA1 / P3: National Baseline Assessment and Forest Research (or Supporting CRGC with Knowledge Management)

Result Area 1 - Project Title:	Budget	Start/End
National Baseline Assessment and Forest Research (or Supporting CRGC with Knowledge Management)	9,9 MSEK (baseline 7,6 MSEK; forestry research 2,3 MSEK)	June 2017 – December 2018

Implementing Organisation:

Environment and Climate Research Centre (ECRC), Ethiopian Development Research Institute (EDRI)

Description:

The project comprised three main components:

1. *Baseline data generation.* It was established to facilitate and kick-start a comprehensive M&E system for the Climate Resilience Green Energy (CRGE) implementation under the Ministry of Finance and Economic Cooperation (MoFEC) addressing existing gaps in the identification of indicators, generating data for indicator development, and develop necessary linkages between the M&E system and other CRGE related sub-systems. This work was carried out in three separate phases in which several stakeholders were involved and main deliverable of this work is an Indicator Assessment Report.
2. *Sustainable forest management.* Protecting and the re-establishment of forests for their economic and eco-system services is one of the four main CRGE pillars. The GTP2 aims to increase the role of the forestry sector in the national growth from its current level of 4% to 8% by 2020. This component is research based and focuses on developing empirical evidence in aspects of forest management and livelihoods within a group of government and research institutions. Sub-components include conservation of forests and protected areas, commercialisation of forest products, and policy and institutions.
3. *Support to the Oxford Handbook on the Ethiopian Economy* – a book to be published in 2019 with contributions from known international Ethiopian scholars. Embassy support includes mainly workshops, provision of research assistants and a project manager supporting the editors.

Assessment:

Ad 1) A total of 485 CRGE relevant indicators across 8 development sectors (agriculture, forestry, energy, industry, transportation, urbanisation, water and health) were developed of which 83 were categorised as core indicators; using surveys, and computing baseline statistics from primary and secondary data collected; capacity building of key stakeholders on M&E concepts and tools and data management and integration of CRGE indicators to the Central Statistics Agency are planned to be implemented in November/December 2018; an M&E database system is in the process but yet to be completed, and the most challenging result, the integration of the database with other relevant sub-systems, e.g. the MVR system and the GHG inventory, has yet to be adopted in full as the inadequacies of these systems hinder the integration process.

Ad 2) An action plan has been produced for the implementation; a comprehensive sampling identification process for data collection was initiated and 42 field workers collected data at household levels (900 HHs); data analysis is currently undergoing and yet to be completed – data from the September 2018 progress report show a significant number of ‘work in progress’; capacity building through 3 MSc studies of which two relate to the role of markets and value chain of forest products, all there studies completed by the end of 2018.

Ad 3) Planned activities have been carried out.

Conclusion

Achievements of the project outputs appear to have been reached to a large extent with the exception of (i) the complex integration process between the M&E system and other sub-systems operating in Ethiopia and (ii) the progress as regards the completion of the analysis of data collected for the sustainable forest management component. Overall a reasonable well-achieved project carried out over only 18 months. A green label assigned.

	Comments: medium (3)
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RA1 / P7: Investment in Resilient Agriculture and Forestry (Growth 4 Future)

Result Area 1 - Project Title:	Budget	Start/End
Investment in Resilient Agriculture and Forestry or Growth 4 Future (G4F)	73,5 MSEK	2016-2020

Implementing Organisation: Farm Africa consortium

Description:

The Farm Africa (FA) has a total portfolio value from the Swedish Embassy of 152.5 MSEK, share between a Phase 1 project (covering 73.5 MSEK for the period 2016-2020) and a Phase 2 (covering 79 MSEK for the period 2018-2020). The latter project has just been signed (November 2018) and is not included in this assessment. The project is known as the Growth4Future project (G4F)³⁷ and includes 4 sub-projects supported by the Embassy, covering (i) capacity building, (ii) building climate change resilient economy capacity for women, (iii) integrated rural livelihoods through agribusiness and communities, and (iv) enhanced market systems for livelihoods.

Assessment:

Effectiveness of sub-project (i), implemented primarily by FA, was assessed (by FA) to be well progressed during 2017 and up until mid-2018 with the conduct of due diligence of UEWCA and its sub-grantees (government and CSOs), gaps identification and continuous training support in project and grant management, and development of baseline. Also, ICT capacity of the FA facilitated more powerful project management of sub-projects.

Likewise, FA assessed sub-project (ii), which is implemented by UEWCA, to have progressed well too, including awareness raising on climate change, support to farmer training and seed bulk centres; area closure and training of women extension workers on energy saving stoves and biogas installation. During 2018 focus has been on extensive awareness raising campaigns, installation of energy efficient stoves, solar panels and biogas equipment, soil and water conservation practice support and seedlings from 12 established nurseries ready for planting.

As for sub-project (iii), implemented by FA, accomplishments have included signing project agreement with the Government, value chain analysis and baseline study in 2017. Up till mid-2018 training manuals and TOTs for government officials were conducted for the production of pepper, haricots beans and chickpeas, and smallholder farmer demo plots established for the three productions applying training in climate smart practices. Micro-financing mechanisms are facilitating economic empowerment for especially women in the project.

Sub-project (iv), implemented by ORDA, Mercy Corp and FA, has included M4P training of consortia experts and product market assessments resulting in the establishment of a pilot project. Irrigation canals, ponds and other infrastructure have been built, benefiting almost 600 farmers to produce fruits

37 This section relies primarily on the Annual Narrative Report December 2016-December 2017, February 2018 and Bi-annual Narrative Report (January-June 2018), August 2018. The project increased from 56.5 MSEK in December 2016 till the current amount of 73.5 MSEK. Decision on Contribution, Dec. 2016.

and vegetables, triple their income and strengthened food security. Demo plots for various products (including onions and tomatoes) have been set up in research centres and agro-dealers have received training on business and agricultural inputs management.

Progress review meetings and field visits constituted the monitoring system for the projects in which challenges were addressed.

Conclusion:

The MTR concludes that progress in the FA projects has been observed, measured and reported to a level that is acceptable. Also, monitoring/logframe/RBM tools have been applied and challenges have been reported. Since the vast majority of monitoring indicators are quantitative, the lack of qualitative indicators in the overall assessment is critical and needs to be addressed by the FA consortia and the Embassy. This can be exemplified by the following finding from a field visit to Axum in November 2018 by the MTR:

Two women in Zuria Woreda in Axum had infrastructure installed for biogas development, including a manure fermenting well for gas production and a gas stove and light in the huts. Yet, gas was not produced because the women did not know that they should regularly stir the fermenting manure to develop the gas. Furthermore, they were exposed to health issues when kneading the dry manure using their bare hands. Even though the infrastructure was in place, its effectiveness is only reliably achieved if the qualitative indicators are also met.

	Comments: medium (3)
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RA2 / P12: Governance and Democratic Participation Program (GDDP)

Result Area 2 - Project Title:	Budget	Start/End
Governance and Democratic Participation Program (GDDP) ³⁸	73MSEK	July 2017-December 2021

Implementing Organisation: UNDP

Description

The GDDP program is a 5 year multi-stakeholder program spanning from 1 July 2017 to December 2021 and is managed by the UNDP. The coordinating government body is the Ministry of Finance and Economic Cooperation (MoFEC) and its implementing partners are: the House of Peoples' Representatives (HoPR), House of Federation (HoF), the Ethiopian Human Rights Commission (EHRC), the Ethiopian Institute of the Ombudsman (EIO), the Office of the Federal Auditor General (OFAG), National Election Board of Ethiopia (NEBE), Council of Constitutional Inquiry (CCI), Office of the Attorney General (OAG), Federal Ethics and Anti-Corruption Commission (FEAC), the Ministry of Federal and Pastoralist Development Affairs (MoFPDA) and the Government Communication Affairs Office (GCAO). The latter two offices belong to the executive body have been included in the new phase of the program because of their role in the media and in conflict management respectively while the other implementing partners of the program mainly comprise of so called democratic institutions (oversight and accountability bodies).

The goal of the programme is to support the country sustain efforts towards enhancing institutional capacities and frameworks for strengthening good governance and deepening democratic participation in line with the Constitution and International Human Rights Conventions to which Ethiopia is a signatory. The strategic outcome of the program is stated as "Citizen's expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance". The program has three outcome areas, namely, i) improved inclusion, cohesion and sustainable peace; ii) responsive and accountable systems of governance; and iii) empowered and responsible citizens and is expected to deliver 5 outputs: a) political processes of federal and regional state legislative bodies are more inclusive and effectively delivering on their constitutional mandates; b) Federal and regional state systems of governance are more accountable, transparent and are delivering public services in a more inclusive and responsive ways; c) citizens are more empowered to voice their concern and actively participate in decision-making processes at all levels of the governance and political systems; d) systems and mechanisms for promoting social cohesion, managing diversity, preventing and managing conflicts, fostering dialogue and building peace are further strengthened at national, regional and local level; and e) access to justice enhanced and human rights promoted and protected across Ethiopia

Assessment

The UNDP has submitted its first annual report for the period July 2017-June 2018. The report shows a number of achievements made during the reporting period in all of the five stated outputs of the program. To cite few examples of progress achieved in each output; in output 1, a Speaker's forum was launched by the HoPR to serve as a platform that facilitates debates among Federal and Regional speakers to enhance the role of parliaments in the promotion of democratisation in the country; under Output 2, FEACC created a Federal and Regional platform in the fight against corruption and EIO improved its case management system to better address and report on grievances; under output 3, a Civil Society Dialogue Forum was organised and launched in April 2017 which allowed CSO representatives to voice out their concerns on the regulatory framework that is in place (Charities and Societies Proclamation) and the practice of civic life in general and the GCAO launched the development of media and communications policy frameworks. In terms of output 4, MoFDPA in partnership with the inter-religious council of Ethiopia conducted three inter and intra religious dialogues in three towns; under output 5, EHRC finalised and launched the country's second National Human Rights Action Plan with the support of the program. It is to be noted that these are but a few examples of progress achieved during the reporting period and there are other remarkable progress achieved under each of the output areas.

The GDPP program is a second phase of a previous governance program that was also managed by the UNDP known as the "Democratic Institutions Program (DIP), which run from 2009-2013. The previous program faced a number of challenges due to unclear expectations; limited capacity and political commitment by some of the implementing government partners, the program design being a "one size fits all" capacity building approach and the disproportionate focus put on hardware support and paying the regular costs of the IPs. Moreover, the objective of "increasing civil society participation and voice" which was included in the previous DIP program was not in large part implemented mainly due to the fact that the government had in place a number of laws that restricted the space for civil society and other citizens to engage in such process in order to exercise their rights and voice their legitimate demands from the government.

The GDPP program was developed during a period of political repression with little or no space for the civil society and other sectors of the society such as the media and citizens engagement for engagement with the government entities. The program design can therefore be seen to have been carefully navigating between creating government ownership of the program in order to increase more government commitment to response to the governance and democratic demands of its citizens as it is the one which is the duty bearer while at the same time making efforts to gradually open up the space for the voice of the civil society and citizens to be heard. The program document, as it stands now may therefore seem to have taken more of a top-down approach while it looks weak in terms of taking a bottom-up approach. In this sense, it may be said that the program took a bold and incremental approach with many uncertainties in terms of ensuring government commitment to respond to citizen's demands in an environment where human rights, the rule of law and freedom of expression and thought were significantly constrained. SIDA was clearly conscious of the challenges faced by the program as can be seen in the appraisal document and took a bold but commendable step to support the program which is at the heart of its core strategy of holding the government accountable to strengthening human rights, the rule of law and gender equality.

Conclusion/Remarks

As things stand now in the country, the program's strategy seems to have paid off since current reforms in terms of the promise of the government to opening up the space for civil society; up-hold human rights standards; freedom of expression and thought and the like would give more opportunities for the program to deepen and scale-up its strategic outcomes and associated outputs by taking a top-down and bottom-up approach. In this regard, the program needs to have a more clear and specific outcomes and indicators which does not seem to exist now. It is mentioned in the report that currently, the UNDP is reviewing the program to respond to the current reforms and to deepen its strategic outcomes and outputs in line with the reforms. Having said this, the program achievements as incorporated in its first report seems to be quite encouraging in terms of effectiveness but needs to be more structured in terms of establishing a results based framework with specific outcomes and measureable indicators and baselines which seems to absent or weak at present. In light of this and due to the present uncertainties of the reform process due to the prevalence of pockets of conflicts around the country which may divert attention of the government to manage such conflicts and in turn may affect the program going forward, the effectiveness grade that can be given to the program at the moment is low to medium.

	Comments: low-to-medium (3)
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RA2 / P13: UNFPA 8th Country Program, Sexual And Reproductive Health

Result Area 2 - Project Title:	Budget	Start/End
Sexual and Reproductive Health ³⁹	64 MSEK	2016-2020

Implementing Organisation: UNFPA

Description:

UNFPA's 8th country program has four strategic outcome areas, namely, sexual and reproductive health, adolescents and youth, gender equality and women's empowerment and population dynamics. The main objective of the current program is to build national capacity through increasing delivery of quality maternal health services and family health planning including in humanitarian settings; strengthen youth and adolescents to make informed decisions and increase their participation through sexual education in schools; change harmful practices and gender-based violence through community work and contribute to improved civil registration and better data and information systems in the upcoming national populations and housing census to be carried out in the country (2018). The current country program builds on the experiences from the previous 6th and 7th country programs and lessons learnt from the previous programs have contributed to the design and preparation of the program by adding a new program outcome on "Adolescents and Youth" as well as expanding its outcome on gender equality to include "women's empowerment". The program works with several implementing partners at the national, regional and local and community levels which include relevant sectoral Federal Regional and local government institutions; national and international CSOs; the private sector and Universities and targets women, youth and community groups as well as marginalised groups in the country. The program's geographic coverage spans eight of the nine regional states as well as the capital, Addis Ababa.

Assessment:

The program's results based matrix is of high quality and contains quite manageable and focussed outcomes (4) and outputs (6) which have measurable indicators with baselines and specified targets as well as indicative resources required for each of the outcome areas. This makes it easier to understand what will be achieved and how to go about achieving the specific targets and enables follow-up, monitoring and reporting on achieved results and outputs to determine effectiveness of progress made. UNFPA has provided SIDA with two annual progress reports to date for the period June 2016-July 2017 and January- June 2018. A review of these reports and figures indicated clearly reveals that much progress has been achieved in the respective periods as compared to the baseline outcome and output indicators with 2 years of the program still remaining. For instance, a total of 4257 service providers were trained in from July 2016-June 2017 for the delivery of rights-based family planning services. During the same period, 63 emergency surgical officers graduated at the Masters level with the UNFPA country office support and were deployed to various health facilities for provision of emergency

obstetric care and surgical services. The number of health facilities reporting on maternal death surveillance and response has increased from the baseline of 92 in 2016 to 105 in 2017 with UNFPA support which is an increase of 39%. The number of health facilities providing emergency obstetric and new-born care service is up from 2,568 in 2016 to 3317 in the reporting period which is an increase of 33%.

Conclusion/Remarks

The review of the two progress reports of the UNFPA country program shows that most of the planned targets in terms of both outcomes and outputs for the year 2016 until June 2018 have largely been met. The targets achieved during the two years are compared to the baseline already set during the preparation of the documents and show a clear progress in terms of effectiveness. What is also important to note in terms of effectiveness of the country program is that the trainees recruited for delivering the respective services are deployed back in their areas which has proved to be the best mechanism to retain the service providers for a longer period of time which implies that the program has been relatively effective in its approach. However, due to lack of available documentation an independent verification of this assessment has not been possible.

	Comments: medium-to-high (3-4)
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RA2 / P16: Justice for All/PFE, Integrated Project for Human Rights Protection, Promotion of Good Governance and Peace Building

Result Area 2 - Project Title:	Budget	Start/End
Integrated Project for Human Rights Protection, Promotion of Good Governance and Peace Building ⁴⁰	USD 10.41 million comprehensive; USD 5.2 million from consortium of donors	April 2017- December 2020

Implementing Organisation: Justice for All/Prison Fellowship Ethiopia

Description:

The project is implemented by Justice for All/PFE which is one of the few CSOs which has been given special status from the Ministry of Justice to work on advocacy in the justice sector and other accountability organs. SIDA supports the project with a donor consortia composed of Denmark, Norway and the Netherlands. The overall objective of the project during its operational period is to contribute towards improving the status of human rights; good governance and the rule of law in the country through enhance capacity building of the legislative, executive and judicial bodies at the national level as well as advocacy works. The target groups/beneficiaries are parliamentarians, the judiciary and executive at the Federal and Regional state structures and the community at regional levels that are victims of gender-based violence and child marriage. It has 9 strategic objectives/results to be achieved by 2020, namely, enhance protection of suspect's rights in pre-trial and trial process; improved policy, legislative and institutional environment in the country; reduce prevalence of child marriage and female genital mutilation; enhance peace building in the country; improve prisoners' rehabilitation in the country's prisons; enhance freedom of expression and thought and enhance human rights sensitive fight against terrorism, extremism and fundamentalism. The new strategic plan has added new thematic areas that were not incorporated in its previous strategic plans, notably gender –based violence and child marriage; freedom of expression and thought and advocacy on human rights friendly terrorism investigation.

Assessment

Justice for All-PFE has a comparative advantage to achieving some appreciable results in most of the strategic outcomes it has set in its current strategic plan (2017-2020) particularly in the area of justice reform and in improving prison conditions as well as in the other areas of peace building since it has been working in such areas for almost 25 years now. Its work is mostly involved in building capacity of staff and in organising dialogue forums at all levels government together with the involvement of members of other sectors of the society to achieve its strategic results. According to the annual progress report it has submitted for 2017, it has accomplished a number of capacity building trainings and advocacy work of justice sector officials, prison administration officials, members of security forces, prosecutors and social court judges under strategic pillar 1 (enhance protection of suspect's rights in

pre-trial and trial detention) in areas of pardon, bail and parole, protection of human rights, good governance and rule of law. It may be noted here that few women participated in the trainings; in the area of peace building and conflict management training was conducted for judges in alternative dispute resolution; restorative justice dialogue forums were carried out in two woredas/districts of the SNNP region; Alliance of Civilization Conference on peace building was organised in which 126 participants coming from various sectors of the government, media, opposition parties, known personalities, elders religious leaders, etc. participated; in the strategic pillar of reducing gender-based violence and child marriage it organised several awareness raising and advocacy forums in different districts of the SNNP region and Amhara region as well as establishing GBV action groups in two woredas of the SNNP region. Nothing much however was accomplished in the strategic results of freedom of expression and thought as well as enhancing human rights friendly fight against terrorism.

Conclusion/Remarks:

Based on the progress report, it may be said that most of the strategic pillars under the project have progressed effectively to some degree although due to the qualitative nature of intervention (capacity building and advocacy), it is difficult to exactly determine how much effective the interventions were in terms of bringing attitudinal change on the part of the participants of such trainings in capacity building and advocacy work. The other point worth mentioning is that little or nothing were mentioned in the area of the strategy objectives related to freedom of expression and thought and promoting human right friendly laws against terrorism.

The two strategic pillars of the project related to freedom are new in the current project and it seems that Justice for All does not have the required experience or comparative advantage to realistically accomplish results in these two intervention areas. Hence, the organisation may need to rethink in discontinuing its intervention in these two areas and focus its attention on the areas where it has a comparative advantage to achieve better effective results in remaining years of the project. During the interviews conducted with staff of the Justice for All, it was mentioned that the organisation is currently conducting a mid-term review of the project in order for it to explore how it could be more effective and focussed in achieving more tangible results and create more synergy between the different strategic results. This exercise may reveal some of the current gaps of the project and help it to address its challenges to achieve more effective results in the future. At this stage, although some perceivable results have been achieved by the project since its inception in April 2017, it is difficult to measure the effectiveness of the results in light of its being a relatively new project and therefore this assessment rates its effectiveness as medium-low.

	Comments: low-to-medium (2-3)
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RA2 / P22: Life and Peace Institute Ethiopia Programme

Result Area 2 - Project Title:	Budget	Start/End
Life and Peace Institute Ethiopia Programme	31MSEK	2017-2020

Implementing Organisation: Life and Peace Institute

Description

The overall goal of the Life and Peace Institute (LPI) during the program period is to contribute to reducing negative relational social patterns and support a culture of trust and collaboration between otherwise segregated or conflicted social groups by facilitating dialogue, research and collaborative action at the local level and engaging relevant decision-makers and policy implementers to enhance structural conditions for peace. LPI has been supporting peace building work and conflict transformation in Ethiopia since 1991. LPI has managed to continue working in the country by establishing strategic partnerships with the Addis Ababa University and the Peace and Development Centre and also was able to keep and extended its partnerships with other Universities in the country as well as entering a host agreement with the Ministry of Foreign to conduct its country operation and to build trust with the Government of Ethiopia. Building on its long-standing experience in the country even with the limited space for CSOs to be engaged in peace building and conflict management in the country, LPI has designed its program by partnering with institutions that would give it a good entry point to respond to the country context and to develop its strategic interventions in a step-wise manner that would allow it to work more on conflict management at the local level.

The current program has three strategic priority areas/outcomes/pillars, namely, i) Civil Society support and Inclusive Engagement for Peace (primarily at the local level); ii) Policy Engagement and Awareness Raising (largely at the national but also at the local/regional level) and iii) Knowledge and learning to enhance practice (building cross-country lessons by linking global thinking on conflict transformation and peace building so as to enhance its interventions in the Horn of Africa and beyond. LPI partners are the Peace and Development Centre; Federal Universities in Oromia and Amhara Regional States; the Inter-religious Council of Ethiopia; Religious Institutions and the Ministry of Federal and Pastoral Development Affairs (now under the Ministry of Peace). It target groups university students, key youth leaders (male and female), local communities, informal CSOs (traditional leaders), peace building practitioners, religious leaders and local and regional government authorities.

Assessment

LPI has submitted its annual report (Narrative and Financial Reports for the period 2017-Feb 2018) to the Swedish Embassy. The narrative report gives a good overview of progress achieved and all other aspects of the project during the period covered. Most of the activities that have been implemented in the reporting period are under the first outcome-“Civil Society Support and Engagement” and in particular under sub-outcome 2 which focuses on “addressing university conflict” (the known as “Sustained Dialogue” process). The expected result of this strategy outcome is that “Young women and men who participate in sustained dialogue sessions and actions have increased trust for and understanding of ‘others’”, which catalyses a shift on university campuses to supporting inter-group engagement and dia-

logue”. The Sustained Dialogue project has also been scaled up from two universities (Jimma and Haramaya) to five universities (Bahr Dar, Gondar and Ambo). In terms of the results achieved during the current project period the following are cited:

- The percent of dialogue participants in Haramaya University who stated that they trust people from another religion has increased from a baseline of 63.4% to 73.4%, showing a 10% increase. In Jimma University, this has increased from 74.9% to 80%, a 5% increase.
- The percent of dialogue participants in Haramaya University who stated they trust people from another ethnic group has increased from 63.6% to 70.40%, showing a 6.8 percent increase and in Jimma University, it increased from 74.3% to 78.2%, a 3.9% increase.
- In both universities, students said they believed that the Sustained Dialogue process helped them develop self-confidence to express their views freely and more comfortably. They also stated that they feel more confident to share positive views about others and to spread the culture of tolerance and understanding on campus.

Another achievement that may be cited is in regard to the second strategic outcome of LPI’s program- “Policy engagement and awareness raising”. In this regard, it has been reported that a MoU was signed between LPI and the Ministry of Federal and Pastoral Development Affairs (now under the auspices of the “Ministry of Peace). This is viewed as a beginning for laying down the foundation for working with an expanded set of partners to create interest and buy-in for do-no-harm through awareness raising workshops with relevant government actors at both the local and regional levels.

Conclusion/Remarks

During the reporting period, LPI has mainly focussed and progressed well in only one of the strategic pillars (and sub-component of this pillar) out of the three strategic pillars of the program. One of the reasons provide for this is that the security situation in some areas of the country during the program period has contributed to impeding some of the planned program activities. This could be a justifiable reason. Moreover, in light of the restrictive space that existed for civil society to engage in peace building and conflict management activities when LPI commenced its program and the number of bureaucratic procedures that it has to undergo to fully implement all the strategic objectives of the program, it may be said that LPI has made commendable progress towards achieving its planned program in terms of effectiveness. Cross-cutting issues in terms of gender and conflict sensitivity as well as a rights-based approach seem to have been well considered during the reporting period although the gender aspect need to be given more attention in the subsequent project periods. It is also believed that the government’s promise of various reforms in the country particularly in terms of expected reforms of the civil society law, reforms in the areas of human right, upholding the rule of law and justice reform would create an more opportunities for LPI to deepen and scale-up its current program especially in expanding its interventions at the local and community levels in collaboration with other CSOs. Given the current political situation in Ethiopia where ethnic and religious conflicts are still a prevalent manifestation, it looks that LPI is well placed to attain its strategic objectives. It therefore may be rated Medium-High in terms of effectiveness

	Comments: medium-to-high (3-4)
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RA3 / P25: Improving Industrial Relations for Decent Work and Sustainable Development of Textile and Garment Industry in Ethiopia (ILO/H&M)

Result Area 3 - Project Title:	Budget	Start/End
Improving Industrial Relations for Decent Work and Sustainable Development of Textile and Garment Industry in Ethiopia (ILO/H&M) ⁴¹	3,094,771 USD	June 2015/June 2018

Implementing Organisation: ILO / H&M

Description:

The textile industry is expected to pave the way for the country's industrialisation and contribute to the pro-poor development goal of the GTP II. The project seeks to improve productivity, promote social dialogue within and between the parties, and improve wages and working conditions through nurturing sound labour relations practices and promoting collective bargaining.

Assessment:

As a multi-lateral organisation ILO can take a tripartite role and set up systems for communication between workers, private sector and government to enable win-win solutions. The mid-term evaluation report from October 2017 defined that the project design was overly complex for its size, working across national/regional/enterprise levels, each requiring different types of support and activities and making depth of input challenging. This led to some delays in implementation but most activities were on track to be executed at the time of the internal mid-term review in 2017. The latest progress report (Jan-Dec 2017) listed a number of the activities as conducted according to plan, e.g. setting up of an Industrial Relations Service Center, a multi-stakeholder social dialogue forum established in Tigray and conducted factory level trainings for workers and employers in a range of topics (e.g. Operational Health and Safety, Human Resource Development and productivity soft skills). As of August 2017, the project had trained 1,869 workers and managers, 189% over target. Despite that women were the main target beneficiaries, there was no comprehensive gender strategy and 9 of 12 of the factory level train-

41 ILO, Technical Cooperation Progress report 2016 - Improving Industrial Relations for Decent Work and Sustainable Development of Textile and Garment Industry in Ethiopia, Mar. 2016

ILO, Development Cooperation Progress report 2017-Improving Industrial Relations for Decent Work and Sustainable Development of Textile and Garment Industry in Ethiopia, Mar. 2018

ILO, A decent work profile of the Ethiopian textile and garment industry, Nov. 2016

ILO, Mid-term Evaluation of Improving Industrial Relations for Decent Work and Sustainable Development of Textile and Garment Industry in Ethiopia, Oct. 2017

Interview with Wendmagegu Zewdu, Assistant HR manager Jay textile industry, Bole Lemo Industrial Park (23 Nov 2018)

Interview with Chala Kidist, ILO (23 Nov 2018)

ing activities had less than 36% female participants. No environmental or climate assessment was mentioned in any of the documents, despite the potential significant environmental risk in waste from the textile industry. Conflict sensitivity was not noted, however some activities had focused on settling disputes between workers of different tribes.

An interview with the Project Manager at ILO, Ms Chala Kidist, was conducted and one additional output from the project was that ILO through its continuous support to the Industrial Parks across the country Ministry of Labour is now represented at the one-stop-shop, to handle grievances, labour law, inspections etc.

The Assistant HR manager JayJay textile industry, Bole Lemo Industrial Park, Mr. Wendmagegu Zewdu was interviewed and mentioned that several important improvements were made from the trainings provided by ILO. JayJay has 3800 employees and is a growing company. ILO conducted a detailed baseline in 2016 and late arrivals where absenteeism was noted as high. Staff turnover is now 8-9% and the aim is to keep it below 6%. ILO conducted soft-skills training to increase professionalism of workers with 5 JayJay staff went through ToT and train all new employees, 300 trained so far. ILO supported e.g. with developing HR manual, employee handbook, OSH-review.

JayJay is today known for its productivity/efficiency. This has been achieved by:

- Transparent management system (manager sits at same floor in room with windows, often in work area)
- Clear grievances system
- Opportunities are given to those that prove themselves
- Motivational gifts (basic products, e.g. shampoo, detergent etc.)
- Close relationships between workers and HR guardians responsible for 1 area
- Worker council of elected workers

With the Swedish funding there is now a pilot and evidence based solutions that are ready to be scaled up. ILO has submitted a draft proposal to the Swedish Embassy and other donors for scaling up the current programme to “Advancing decent work and inclusive industrialisation in Ethiopia”.

Conclusion/Remarks

Result from this project has reached most of its targets and despite challenges due to its relatively complex design considering its size, the effectiveness can be rated as high based on the available data from previous reviews and progress reports. Crosscutting issues, especially environment/climate and conflict sensitivity need further mainstreaming in the next phase. The limited time did not allow for in-depth review of each intervention under the portfolio and independent verification of this assessment is not possible.

	Comments: medium-high (3-4)
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RA3 / P27: Empowerment of Women Entrepreneurs for Sustainable Development in Amhara (EWESDA)

Result Area 3 - Project Title:	Budget	Start/End
Empowerment of Women Entrepreneurs for Sustainable Development in Amhara (EWESD) ⁴²	14,1 MSEK total 7,9 MSEK AWEA 6,2 MSEK IIRR	1 January, 2013 - September 30, 2017 (no-cost ext. to Oct 31, 2018)

Implementing Organisation: AWEA

Description:

The Amhara Women Entrepreneurs' Association (AWEA) aims with the project to enhance the capacity of women entrepreneurs by (a) diversification of income for sustainable development, (b) promotion of membership development and service delivery, (c) mainstreaming cross cutting issues, and (d) capacity development. AWEA has received management support from the International Institute of Rural Reconstruction (IIRR).

Assessment

Financial sustainability of AWEA has been achieved through entering into formal partnerships with local governments and institutions. They have commissioned recruiters at the business registration offices who inform entrepreneurs of the benefits of joining AWEA. Through this strategy AWEA has managed to increase their membership to over 10,000 in 2017 and its annual membership contribution for the same year to Birr 1,210,680. AWEA staff interviewed in November 2018 informed that they have maintained a large interest in their entrepreneurship advisory service and training events they conduct together with a local training institute. AWEA activities have been mainstreamed in trainings held through Trade, Industry and Market Development Agency (TIMD) and Women and Child Affairs

42 Review of the Project: Institutional Capacity Building, Promotion of Women's Entrepreneurship and Technical Assistance for Sustainable Management of Amhara Region Women Entrepreneurs Association (AWEA), May 2011

AWEA, Empowerment of Women Entrepreneurs for Sustainable Development in Amhara (EWESDA), Project Proposal 2012-2014

AWEA, Empowerment of Women Entrepreneurs for Sustainable Development in Amhara (EWESDA) Project, Consolidated Annual Report for 2014, Apr. 2015

Coffey, Mid -Term Review, Empowerment of Women Entrepreneurs for Sustainable Development in Amhara, Oct 2015

Amhara Region Women Entrepreneurs Association (AWEA) Annual Project Progress Report 2015, Mar 2016

Empowerment of Women Entrepreneurs for Sustainable Development in Amhara (EWESDA), 2016 Annual Project Progress Report (Jan-Dec, 2016), Feb. 2017

Amhara Women Entrepreneurs Association (AWEA) and International Institute of Rural Reconstruction (IIRR), Empowerment of Women Entrepreneurs for Sustainable Development in Amhara (EWESDA) Project, Bi Annual Report for 2017 (Jan-June, 2017), Jul. 2017

MASKAD Consultancy, Final Evaluation: Empowerment of Women Entrepreneurs for Sustainable Development in Amhara (EWESDA) Project, Nov. 2017

Elin Carlsson, AWEA Statement report for Jan-Jun 2017, Aug 2017

Elin Carlsson, Conclusion on Performance AWEA, EWESDA, Phase 2012-15 (17), Feb 2017

Elin Carlsson, Statement on report AWEA, EWESDA, Phase 2012-15 (18), May 2018

Offices and this cost-sharing arrangement on training and capacity building has built on the achievements of EWESDA project. In the Final evaluation from 2017, women entrepreneurs rated the contribution of the trainings as high (76.6%). The number of trainings is however not at the same level in 2018 as when AWEA had financing from the EWESDA project.

Significant effects on the women-owned businesses that received support through the project has been reported in the Final evaluation 2017, with increase in sales revenue and investments.

The investment in construction of the Bahir Dar Business Centre can be seen as a failure as it is in November 2018 only halfway constructed, (would require significant sums to be finalised) and the money is spent. According to the AWEA staff interviewed, the construction company took longer than expected and inflation plus increased prices for imported goods made the construction go over budget. The building is now idle, half-built and represents a value that is not utilised. The building is quite large (3 stories) and perhaps also over-sized for the activities of a self-sufficient AWEA.

One activity focused on promotion of environmental friendly businesses (mainly seedling production and planting), but it was separated from the majority of the trainings. There is a high risk of negative environmental impact with increased economic development, especially by SMEs with limited capacity to invest in sustainable systems (e.g. leather, soap and food processing). Making services available for persons with disabilities was reported to have been mainstreamed.

Conclusion/Remarks

The project managed to establish AWEA as a trusted service deliverer to women entrepreneurs in the region, which was the main objective of the project so in that aspect the project can be considered effective, however its long-term sustainability is not yet clear. There were parts of the investment that was less successful/effective and environmental/climate risks does not seem to have been sufficiently mitigated. The no-cost extension and reallocation to cover the finalisation of the construction of the Business Centre in Bahir Dar needs to be formally closed and handed over to AWEA in its current state.

	Comments: low-to-medium (2-3)
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RA3 / P31: IFC Ethiopia Private Sector Development Multi-Donor Initiative - Pillar I: Ethiopia Investment Climate Programme (EICP), (Phase I & approved Phase II)

Result Area 3 - Project Title:	Budget	Start/End
IFC Ethiopia Private Sector Development Multi-Donor Initiative - Pillar I: Ethiopia Investment Climate Programme (EICP), (Phase I and approved Phase II) ⁴³	22,9 MSEK (Phase 1); 22 MSEK, (Phase 2)	Jan. 2012/June 2018 (Phase 1); Nov 2018/Oct 2022 (Phase 2) - funding only to 2020

Implementing Organisation: IFC Multi-donor Trust Fund

Description:

Multi-donor (DfID, Sweden, Canada and Italy, with Netherlands for Phase II) trust fund to finance the investment climate (IC) component of the Ethiopia Private Sector Development Initiative and support evidence-based dialogue, policy and regulatory review and reforms, and greater public-private partnerships, aiming to create a more transparent and business-friendly environment. The Phase I project had four sub-projects: Ethiopia Business Regulation, Ethiopia Business Taxation, Ethiopia Investment Policy and Ethiopia Trade Logistics. For Phase II the sub-projects are: Ethiopia Doing Business Reform, Ethiopia Sub-National Investment Climate and Tourism Sector Competitiveness Project, Ethiopia Trade Facilitation Project, Ethiopia Investment Policy and Promotion Project.

Assessment

The Project is assessed to be in line with GTP II through e.g. improved economic performance, employment creation and economic transformation through industrialisation. Results reported during Phase I include e.g. contribution to simplifying the business licensing regime, supported the Ministry of Trade to upgrade and decentralise its online trade registration and licensing system (OTRLS); support to the Ethiopian Revenue and Customs Authority (ERCA) to develop the new Income Tax Procla-

43 IFC, Progress Report Jul-Dec 2017: Ethiopia Private Sector Development Initiative – Investment Climate, Mar 2018

IFC, Supporting Growth and Transformation in Ethiopia through Investment Climate Improvements - Proposal for Collaboration with IFC/WG Group, Jun 2012

Economisti Associati/Consorzio Italiano Consulenti, Mid-Term Review of the Ethiopia Investment Climate Program Phase I - Final Report, Aug 2016

IFC, Gender Related Investment Climate Constraints in Ethiopia: Diagnostics and Action Points - Final Report, Feb 2015

Swedish Embassy, Assessment Memo EICP Phase 2, Nov 16, 2018

IFC, Ethiopia IC Phase II - Program Document, Nov 2018

Visit to IFC/Ethiopian Investment Commission – Hawassa Industrial Park (HIP), 22 Nov, 2018. Interviews with: Joseph xx, EIC One-stop-shop officer, Chamath Rajakshe, Manager HELA Indochine, Goutham Reddy, VP-International Operations BEST, Operations manager, HIP Water treatment plant.

mation and Tax Administration Proclamation; updating customs legislation and simplifying procedures, strengthening the Ethiopian Investment Commission (EIC) and advising in its establishment of ‘one-stop-shop’ service centres at its headquarter and in each industrial park. EDI has been enabled to attract investors and contributed directly to the high Foreign Direct Investment (FDI) in Ethiopia over the past few years.

There are 23 Industrial Parks across Ethiopia, 10 privately owned and 13 government-owned of which 5 are fully operational and the rest under construction. Foreign investors are attracted to set up industries in Ethiopia’s Industrial Parks as they are tax exempt and can operate duty free, for 5-10 yrs. At Hawassa Industrial Park there are 19 (soon 20) companies of 11 different nationalities, most from Asia, some from Europe, one from USA. Most are focused on textiles and sowing. HIP employs currently 20,000 people, with a potential of employing 60,000 people.

EIC ‘one-stop-shop’ officers reported that they lack training in government policies and procedures. The mandate to the one-stop-shop officers is not clearly communicated to staff on the ground. Managers at two textile industries reported that ‘one-stop-shops’ are a good idea, but not working fully. They still need to go to Addis to get permits etc., and delays happen a lot.

Crosscutting issues have not been sufficiently addressed through Phase I activities. Limitations have been noted in Phase I’s effectiveness to address gender or other vulnerable groups, as well as activities targeting the local private sector. Also its Monitoring, Evaluation and Learning (MEL) system has been criticised. These limitations are addressed in the project document for Phase II. Phase II also intends to introduce smart regulations that provide adequate requirements to achieve important economic-, social-, safety-, security-, or environmental outcomes. Accordingly, Phase II introduces new programs in Regulatory Policy and Delivery, Risk based Inspection and Competition Policy.

Conclusion/Remarks

Working through a multi-lateral donor such as IFC provides the credibility and close networks with the government required for engaging in national-level policy reform. Based on the progress reporting, the project can be considered highly effective, as significant results in private sector reforms have been reached, while cross-cutting areas have not been addressed sufficiently which reduces its effectiveness rating. Despite the recent positive private sector reforms, development has slowed due to high rotation of government staff and a lag (or vacuum) in decision-making. One example of this is presented in the Progress Report for Jan-Jun 2018 as the ‘new officials at MoFEC did not show an interest in the micro business taxation work the team was engaged in’. The activity was cancelled given the limited time that remained. Amber indicator assigned – significant improvements are requested for addressing gender and MEL in Phase II and close follow-up by the Embassy is needed to ensure that these are adhered to. Also environmental/climate- and conflict sensitivity should be further mainstreamed in the project.

	Comments: low-to-medium (2-3)
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RA3 / P32: Capacity Building for the Sustainability of the Ethiopian Chamber of Commerce and Sectoral Associations (ECCSA) – PSD-Hub programme

Result Area 3 - Project Title:	Budget	Start/End
Capacity Building for the Sustainability of the Ethiopian Chamber of Commerce and Sectoral Associations (ECCSA) – PSD-Hub project ⁴⁴	55 MSEK	October 2015 – September 2020

Implementing Organisation: ECCSA

Description:

Through the Private Sector Development Hub, ECCSA aims to contribute to the economic development of Ethiopia by improving and modernising the enabling entrepreneurial environment, and to strengthen the capacity of the Ethiopian private business sector to constructively contribute to the national dialogue on economic development. The project works through two outcomes: 1) Strengthened Ethiopian chamber system that functions as a strategic representative and viable entity facilitating consultation with the government on private sector needs for inclusive growth; 2) Financially sustainable Chamber system and responsive to the needs and demands of members and business. It has e.g. supported the Ethiopian Public-Private Consultative Forum (EPPCF).

Assessment

The objective for the PSD-Hub is to have an effective Private/Public dialogue (PPD) and bring critical agendas to the table for discussion. The government and private sector both have demands. The PSD-Hub acts as the facilitator and provide support for the Chambers to issue research that will feed into a PPD. The Government is the ‘supplier’ of rules and regulation. Incentives of the ‘supplier’ are very important, otherwise the transaction will fail, and likewise a critical challenge is to get the Government’s incentives to address demand side. By 2020, the GTPII defines the private sector contribution to investments in Ethiopia to 60%, which is very ambitious. To achieve this, Ethiopia needs to create a business-enabling environment and incentives are needed from the Government side.

The activities are relevant and focus on e.g. local private sector challenges, demand driven from local level and building local government capacity. The new political environment opens up many opportu-

⁴⁴ CIPE/EEA, Evaluation Report: Ethiopian Public-Private Consultative Forum (EPPCF), 2010-2017, Aug. 2018

PSD Hub, Capacity Building for the Sustainability of ECCSA Phase III - Project Annual Performance Report of 2017 FY, Jun. 2018

ECCSA, Project Proposal: Capacity Building for the Sustainability of the Ethiopian Chamber of Commerce and Sectoral Associations (ECCSA), Sep. 2015

ECCSA, Capacity Building for the Sustainability of ECCSA Phase III Project Semi Annual Progress Report of 2018 FY, Jul. 2018

PSD Hub, Reviewing Policies & Regulations Relevant to Micro, Small & Women Owned Enterprises in Ethiopia, May 2018

Aseged Assefa, Project Manager ECCSA PSD Hub, Focus Group Discussion, 26 Nov 2018

nities, but ECCSA lacks capacity and activities are delayed which can be seen in the project expenditure levels. E.g. in the last progress report for the period Jan-Jun 2018, only 20% of the total annual budget. The Addis Chamber of Commerce was the previous project owner and had built up a significant capacity. The PSD-Hub staff are reporting that they have difficulties in receiving quick response from their ECCSA counterparts.

A number of studies have been conducted according to the work plan, but much of the planned training events (e.g. under Output 1.2 and 2.2) have not been undertaken yet. Once these larger events within the project are conducted, the project effectiveness can be re-assessed.

Conclusion/Remarks

The project is progressing in delivering outputs and reaching its outcomes, but slowly according to the Embassy Programme Manager and evidenced in the Progress Reports, which affects the effectiveness to date. Capacity constraints of ECCSA would need to be addressed and potentially re-direct activities to enable the organisation. The relevance of the PSD-Hub activities is high, especially with the current developments, but its current effectiveness is rated as low to medium.

	Comments: low to medium – 2-3
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Annex 6: Theory of change

A Theory of Change exercise was held at the Embassy on 23-24 January 2019, with the participation of the Embassy management, PMs, staff and consultants. The purpose was to identify the overall goal of the Strategy, its main objectives and pathways of change from where these objectives could be achieved.

The exercise identified one overall goal, multi-dimensional poverty reduction, and four main objectives: (i) improved environment, (ii) respect for HRs, (iii) gender equality and (iv) improved economic welfare. The full RBM of the Strategy is presented in Fig. 4.

The immediate result of the ToC process was a confirmation of the current main objectives with a further strengthening of the gender equality perspective. Pathways for changes identified varied but to a large extent reflected already those currently followed in the Strategy. On the other hand food insecurity, social protection, insurance access and less reliance on humanitarian assistance was brought together under a reduced vulnerability objective. The new ToC also indicates a distinction between regular income and reduced vulnerability.

Compared to the current objectives in the Strategy gender equality was particularly addressed as a separate main objective. This change was primarily based the results of the MDPA report that underscored that poor women and youth living in rural and urban settings constitute a key vulnerable group exposed to multi-dimensional poverty. It is general knowledge that investment in human capital (health and education) in which women are key actors, constitute a significant factor in long-term economic growth.

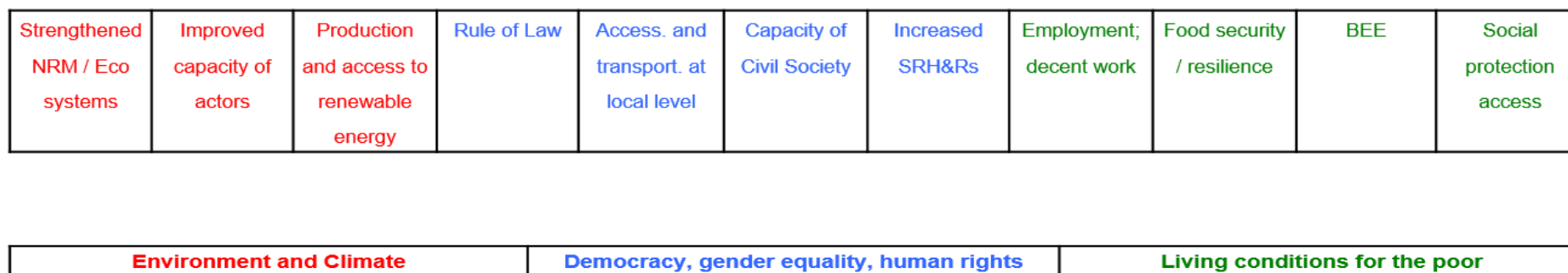
Indicator development at the strategic level followed the ToC. The methodology was for each project to identify strategic impact indicators that would target the main goal of the Strategy, i.e. reduction in multi-dimensional poverty. In doing so the link between the project level M&E and the Strategy level could be established. The result is presented on the following pages. In some cases, at project level, strategic indicators already exists (e.g. P5, P28) and can be directly measured as such; in most cases, however, draft strategic indicators were developed. While the proposed ones suggestions based on a dialogue between the consultants and the PMs further scrutiny is needed, so that the indicator identified is realistic to measure as well as being cost-efficient (data easy to obtain), and if the former is difficult to identify a proxy indicator may be used.

In some cases, particularly for institutional development, we find it applicable to make use of important output indicators. They will often constitute the ability of the organisation to manufacture/develop/produce – and as such having the capability, i.e. institutional strength, to do so. More aggregated/abstract institutional development indicators will be more difficult to assess.

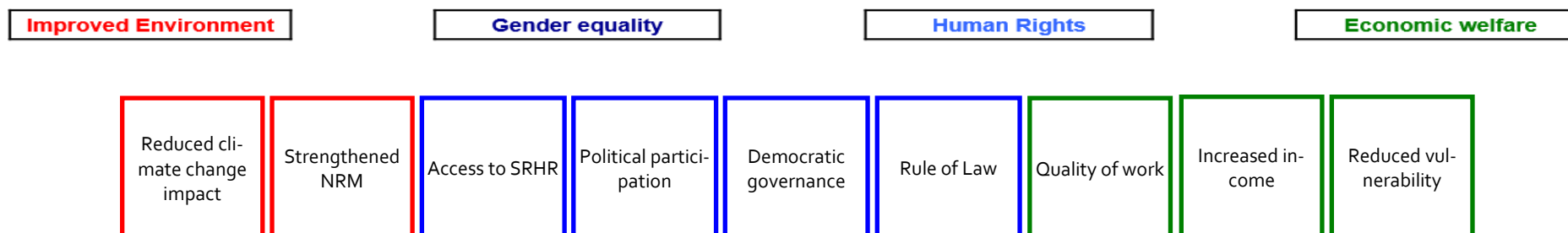
The reporting to Sida HQs can then be as it has previously been, namely selecting randomly some key indicators at project level that measure contributions to one or several of the current 11 objectives. At the same time it will be possible to report on progress at the strategic level by either aggregate strategic indicators of similar characteristics (e.g. increased income) and/or report on (randomly) selected strategic indicators from individual projects and how much is invested.

Importantly, the indicators should be disaggregated mirroring the strategic objective that is set, e.g. women, men, youth, etc. This should allow for improved monitoring of the projects. The PMs must inform each IO what on what strategic indicators have been identified and that they are expected to report on these in a credible way. Over time some uniform definition should emerge and common reporting frameworks established.

Fig 4. Current result area reporting structure



TOC and preliminary RBM framework



Draft Strategy Impact Indicators

No.	PM	IO	Project title	Suggested Key Strategic Indicators (to be further elaborated)	Baseline	Progress	Target	RAG
P1	Elmi	HoA-REC	Integrated Land Use and Development Master Plan	- National/regional policy on integrated land use management/development enacted - Number of men and women experiencing increased income - Number of men and women obtaining land certificate				
P2	Elmi	UNDP	Institutional Strengthening for the Forest Sector Development Programme	Number of men and women experiencing increased income				
P3	Elmi	EDRI/ECRC	Supporting CRGE/GTP implementation with knowledge management and forest research	- Integrated database for CRGE established, publicly promoted and accessible - Result of forest management and livelihoods research applied for poor people – men and women				
P4	Elmi	SIWI	Translating policy into Practice (SIWI)	- Number of men and women experiencing increased income - Number of textile industries benefited from efficient water power utilization techniques				
P5	Elmi	SMHI	Water and climate change services for Africa (WACCA) – SHMI	- Improved access to and use of hydrological information - Improved access to weather information technologies				
P6	Leul	MELCA	Improving life of communities & conserving the environment in Majang Zone, Gambella Regional State	Number of poor men and women according to MDPA whose incomes have increased				
P7	Elmi	FA I	Growth for the Future (G4F): Harness smallholder productivity, adapting to CC and protecting the Env. (Farm Africa, 2016-2020)	- Number of poor men and women according to MDPA whose incomes have increased - Number of food insecure men and women experiencing increased income - Number of environmentally sound results derived from adapting to climate change and environmental protection				
P8	Elmi	FA II	Integrated approach to improve rural livelihood, Climate smart agriculture, Climate change mitigation project and Market Systems project (Farm Africa – 2018-2022)	- Number of poor men and women according to MDPA whose incomes have increased - Number of food insecure men and women experiencing increased income				

ANNEX 6: THEORY OF CHANGE

No.	PM	IO	Project title	Suggested Key Strategic Indicators (to be further elaborated)	Baseline	Progress	Target	RAG
				Number of environmentally sound results derived from climate smart agriculture and climate mitigation interventions				
P9	Elmi	UN-Habitat	Enhanced Urban Livelihood	- Number of poor men/women has improved conditions from solid waste management - Number of cities implementing resilient strategy				
P10	Leul	AECF	Renewable Energy and adaptation to Climate Technologies (REACT)	Number of HHs that have access to affordable off grid renewable energy in rural communities				
P11	Anette	FOJO	Ethiopia Media Reform Program-FOJO Media Institute	Level of independent media measured against Expression Agenda Report indicators (outputs include: number of based of private media registered and independent media council established)				
P12	Anette	UNDP	UNDP Governance and Democratic Participation program	Number of citizen/CSO-government consultations				
P13	Anette	UNFPA	UNFPA/MoFEC Country program on sexual and reproductive health	Number of violence/harm done against women (reduced early marriages, domestic violence and FGM, and increase in safe abortions)				
P14	Anette	WB	Ethiopian Social Accountability Program (ESAP2) 2	Level of citizen's satisfaction with Government service delivery (at woreda level)				
P15	Feven	CHR	Centre for Human Rights Support Teaching, Research and Community Engagement	Number of improved HRs based policies and legislation enacted				
P16	Feven	JFA	JFA Integrated project for Human rights Protection, Promotion of good governance and Peace Building	Number of improved HRs based policies and legislation enacted				
P17	Feven	JeCCDO	JeCCDO Engaging community structures towards sustainable development in Ethiopia	Level of citizen's satisfaction with Government service delivery (at woreda level)				
P18	Anette	UN-Women	UN Women Country Program 2017-2020	- Number of women voting in local and national elections - Number of women in decision-making positions in public institutions - Number of recorded violent acts against women				
P19	Anette	IAGE	Initiative Africa Gender Equality- Making Change Happen	Progress in 'school violence index'				

ANNEX 6: THEORY OF CHANGE

No.	PM	IO	Project title	Suggested Key Strategic Indicators (to be further elaborated)	Baseline	Progress	Target	RAG
P20	Feven	UNODC	Criminal Justice-National Integrated Program for Ethiopia (sub-program 2)	Number of laws effectively enacted that strengthen human rights and access to justice				
P21	Feven	BC	British Council Civil Society Support Program Phase II	More equitable and quality of public service delivery as a result of increased trust between government and civil society				
P22	Feven	LPI	Life and Peace Institute Ethiopia Programme	Number of incidences of violent conflicts reduced				
P23	Feven	Selam	Culture Leads the Way-Selam	Freedom of expression measured against international recognised index				
P24	Alex	AAU	Commissioned Education Programme	Improved services for marginalised community groups facilitated by trained community leaders				
P25	Anette	ILO	Improving Industrial Relations for Decent Work and Sustainable Development of Textile and Garment Industry in Ethiopia	- Number of workers (men and women) positively affected by better quality of work intervention - Productivity increases in factories affected by intervention				
P26	Leul	UNICEF	Building Integrated Safety Net System for the Most Vulnerable Women & Children in Rural & Urban Ethiopia	- Number of HHs benefitting from improved social protection - Number of poor and vulnerable communities having improved food security and livelihoods				
P27	Leul	AWEA	Empowerment of Women Entrepreneurs for Sustainable Development in Amhara (EWESDA)	Changes in the doing business ranking of Ethiopia				
P28	Elin	SNV	Livelihoods Improvement for Women and Youth (LI-WAY)	Number of women and men experiencing increased income				
P29	Elin	IFC	IFC Ethiopia Private Sector Development Multi-Donor Initiative - Pillar II: Access to Finance Trust Fund	- Value of financing facilitated - Changes in the doing business ranking of Ethiopia				
P30	Leul	ENAT	Woman-Owned Business Loan Portfolio Guarantee – ENAT Bank	- Value of financing facilitated - Number of women and men with increased incomes				
P31	Elin	IFC	IFC Ethiopia PSD Multi-Donor Initiative; Pillar I: Investment Climate Trust Fund, (Phase I and approved Phase II)	- Changes in the doing business ranking of Ethiopia - Number of policy and legislation for a better investment climate supported				
P32	Elin	ECCSA	ECCSA PSD Hub programme	Number of policy and legislation for a better investment climate supported				

ANNEX 6: THEORY OF CHANGE

No.	PM	IO	Project title	Suggested Key Strategic Indicators (to be further elaborated)	Baseline	Progress	Target	RAG
P33	Elin	UNIDO	UNIDO Selam Volvo Drivers Public Private Partnership Program	- Number of men and women with improved business skills - Number of men and women with increased income				
P34	Leul	WFP	From Humanitarian assistance to resilience, World Food Programme (WFP)	- Increased income and livelihoods improvements for women and youth - Number of food insecure men and women experiencing increased income				
P35	Anette	ESMI	Capacity Buildings of the School Feeding Programs - Ethiopian School Meal Initiative (ESMI)	Number of men and women with increased food insecurity				
P36	Alex	Mokoro	WIDE programme	Changes in the doing business ranking of Ethiopia				



Mid-term Review of the Strategy for Sweden's Development Cooperation with Ethiopia, 2016–2020

The objective of the Mid-Term Review was to guide the quality and delivery approach of the remaining phase of the Swedish Ethiopian Development Cooperation Strategy (2016–2020). The review recommends that the Strategy should continue its focus on the three existing results emphasising women and youth in rural and urban areas. Theory of change of the Strategy should continuously be challenged considering the fast changing context and options for long-term support to health, education and nutrition should be investigated. Capacity building of local government and supporting the voices of rights-holders ensuring their needs are met are key to sustained results. Dialogue platforms internally and externally should be expanded and strengthened.

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