# LIVELIHOODS INTEGRATION UNIT (LIU) FIRST ANNUAL REPORT - DRAFT

OCTOBER 1, 2008 – SEPTEMBER 30, 2009

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# QUARTERLY REPORT

April 1 – September 30, 2009

**October 2009**

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**Forward**

The Livelihoods Integration Unit (LIU) contract no. 663-C-00-06-00420-00 was formally modified on July 20, 2009 to extend the contract performance period from August 09, 2009 through to August 09, 2010. For this fourth year, a change in the contract scope of work was required to reduce the LIU staff and priority field and capacity building activities to reflect the level of resources available to implement the project during this extension year. Therefore the scope of this third annual report, although covering the period October 1, 2008 – September 30, 2009, primarily focuses on the impact of the project from the start in August 09, 2006 through August 09, 2009. Because of this transition into this fourth extension year, few project outputs were notable during August and September 2009, aside from reaching consensus with LIU implementing partners and USAID on the year four work plan. Therefore, specific outputs for the final two quarters of the third project year, April – June 2009 and July – September 2009, have been consolidated here as the final quarterly outputs for project year three.

This third annual report is also a direct contribution by the outgoing Chief of Party, Jane MacAskill, and summarizes the project's impact, objectives, results, activities, and effectiveness. It is therefore in an 'end of contract' report format, where in addition to outputs, included here are lessons learned and recommendations for future action and improvements by key results area. Jane MacAskill was a continuous presence during the main three years of the LIU. Her tireless efforts to expand and improve the capacity of early warning professionals and household economy practitioners in Ethiopia has been the single most important reason for the success, reach, and growth of the LIU, and the on-going utility of the wealth of livelihoods-based information assembled in Ethiopia. FEG Consulting is grateful for her service during these past three years, and hopes to continue to build on these accomplishments, while improving LIU effectiveness drawing on her recommendations.

FEG Consulting Partnership
(*Stephen Anderson, Tanya Boudreau, Jennifer Bush, Julius Holt, Alex King, and Mark Lawrence*)

**End of Contract and LIU Project Year 3 Annual Report – September 2009**
**Jane MacAskill**

# Index


*Index* ..... *3*
*Glossary* ..... *5*
*Acknowledgement* ..... *5*
*1. Summary* ..... *6*
1.1 ..... Project achievements: ..... 6
1.2 ..... Problems encountered and solutions proposed/identified: ..... 6
1.3 ..... Activities not achieved (included in the project): ..... 7
1.4 ..... Exit Strategy ..... 7
1.5 ..... Wider Future Uses of the LIU data: ..... 8
*2. Introduction - Context* ..... *8*
*3. Project Objectives, Description of Activities and Achievements* ..... *9*
Objective 1a: Evaluation of Livelihoods Projects (KRA 1.1) ..... 9
Objective 1b: LIU Design and Work planning (KRA 1.1) ..... 9
Objective 2: National and Regional Staff Training (KRA 2.1) ..... 9
Table 1: Summarises Objective of training, constraints, recommendations and current capacity to run training in-country. ..... 12
Table 2: Training completed October 1, 2006 through to May 31, 2009 ..... 14
Table 3: Capacity Building SWOT ..... 15
Objective 2: Recommendations ..... 15
Objective 3a: Conduct baseline livelihood assessments (KRA 1.2a) ..... 16
Box 1: Livelihood zoning – Overview ..... 17
Objective 3a: Recommendations ..... 18
Objective 3b: Integrate livelihoods based needs assessment into regular monitoring system (KRA 1.2b) ..... 19
Box 2: Potential reasons for differences between the LIAS analysis and woreda figures ..... 20
Box 3: LIU activities incorporating Livelihood key parameters into an on-going monitoring system ..... 23
Objective 3b: Recommendations ..... 24
Box 4: Topics/Areas for more in-depth follow-up by HEA technicians ..... 24
Objective 4: Non-food Needs Assessment Methodology (KRA 3.1) ..... 25
Box 5: The contribution to LIU data to Non-food Needs Assessment Methodology ..... 26
Objective 4: Recommendations ..... 26
Objective 5: National Livelihood Assessment Methodology Coordination (KRA 3.2) ..... 26
Objective 5: Recommendations ..... 27
Financial Report through September 30, 2009 ..... 27
Annex 1: Misconceptions and the appropriate response ..... 28
Annex 2: Outlines the key elements of a monitoring system ..... 29
Annex 3: Hot-spot analysis – The disadvantage of weighting indicators ..... 32
Annex 4: Two scenarios – Wolayita Zone ..... 33
Annex 5: Performance Monitoring By Key Results Area through September 30, 2009 ..... 35
Annex 6: Key Training Participation for the Period April 1, 2009 – September 30, 2009 ..... 39
Annex 7: Internships for the Period April 1, 2009 – September 30, 2009 ..... 40


Note

It is assumed that persons reading this report have a basic understanding of the Livelihoods Analytical Framework and the Household Economy Approach. For further information the following documents are recommended:

- The Practitioners' Guide to HEA, which can be found on http://www.feg-consulting.com/resource/practitioners-guide-to-hea

- Livelihood Integration Unit: Uses of the Baseline Information and Analysis. 2009.

## Glossary

| | |
|---|---|
| ACF | Action Against Hunger |
| BDU | Bahir Dar University |
| CARE | NGO |
| CRS | Catholic Relief Services |
| DPPA | Disaster Prevention and Preparedness Agency |
| DRMFSS | Disaster Risk Management and Food Security Sector |
| ENCU | Emergency Nutrition Coordination Unit |
| EWRD | Early Warning and Response Department |
| EW-WG | Early Warning Working Group |
| FAO | Food and Agriculture Organisation |
| FEG | Food Economy Group also called FEG Consulting |
| FEWSNET | Famine Early Warning Network |
| GIS | Global Information System |
| HCS | Harar Catholic Services |
| HEA | Household Economy Approach |
| HPN | Humanitarian XXXX Network |
| IT | Information Technology |
| KRA | Key Results Area |
| LEAP | Livelihood Ethiopia Assessment and Protection – a WRSI based index developed by MOARD/WFP/WB |
| LIAS | Livelihood Impact Analysis Sheet |
| LIU | Livelihood Integration Unit |
| MOARD | Ministry of Agriculture and Rural Development |
| NGO | Non-Governmental Organisation |
| ODI | Overseas Development Institute |
| PLI | Pastoral Livelihoods Initiative |
| PSNP | Productive Safety Net Program |
| RIPPLE | An ODI funded organisation focusing on water |
| SC-UK | Save the Children – UK |
| SNNPR | Southern Nations, Nationalities, People Region |
| SO | Strategic Objective |
| TOT | Trainer of Trainers |
| UNOCHA | UN Office for the Coordination of Humanitarian Affairs |
| WFP | World Food Programme |


## Acknowledgement

I would like to thank everybody for the support that they have provided to the LIU over the first three years of the project particularly Mathewos Hunde (DRMFSS Director of the Early Warning and Response Directorate) and Beyene Sebeko (EW&RD focal point to the LIU); Teshome Erkineh (DPPA, Head of the Early Warning Department), Hussein Awol (DPPA EWD focal point to the LIU), the LIU staff: Emebet Bizuayehu, Maru Ayanaw, Addisu Dereje including drivers Aschalew Belete, Berhanu Habte  Dagnachew H/Mariam, Fanuel Negatu, Hassen Ibrahim, Kidane Mekuria, Mekonnen Seboka, Melaku Yeheyis, Mesfin G/Egziabher, Mesfin Worku, Mistere W/Giorgis, Tekelegiorgis Sahlu;  the national consultants: Zerihun Mekuria, Kahsay Woldeselassie, Haile Kiros Deste, Adane Tesfaye; Regional DRMFSS staff: Tigray: Freweini Assefa, Solomon Alemu, Hadera Haile, Alem Tekle; Amhara: Aderaw Dagnew, Zerihun Simie, Kerealem Salilih; SNNPR: Aberra Willa, Desalegn Tesema, Fissiha Haile; Oromiya: Kelbessa Beyene, Dawid Mussa, Alemu Nurgi; Member of the LIU Steering Committee: USAID ALT team (particularly Tigist Yifru & Suzanne Poland), WFP (Alemtsehai Alemu), FEWSNET (Nigist Biru) and SC-UK (Waddington Chinogwenya & Demeke Eschete).

Finally I would like to thank FEG Consulting for giving me this opportunity to work on this USAID funded project in such a stimulating environment and for the technical support provided: Mark Lawrence, Julius Holt, Alex King, Adam Stalczynski, Tanya Boudreau, Lorraine Coulter, Jeanlouise Conaway.

# 1. Summary

Ethiopia is a diverse country, with a "large population, diverse agro-ecological zones with dramatic variations in altitude and rainfall, sometimes within a single woreda. Many households live close to or below the survival margins, and for those households even relatively small shocks can result in disastrous outcomes. This complexity creates the need for a highly refined and sensitive *early-warning* system"[1] Following a review of many methodologies, senior technical staff in government proposed the piloting of the livelihoods approach in SNNPR. Following the successful implementation of the pilot, the GOE proposed extending the project to cover other parts of Ethiopia.

## *1.1 Project achievements:*

Project achievements include:

- The most comprehensive set of Livelihood Baselines and databases in the region are now available here in Ethiopia for 173 livelihood zones.
- Utilisation of the livelihood baselines and databases in the seasonal assessment. This has improved the quality and transparency of seasonal assessments.
- Production of a comprehensive set of easy-to-use analysis tools that enable both data analysis and presentation (graphs & maps).
- Over 1200 people trained throughout the country in basic livelihood analysis.
- Development of a livelihoods information system that has the potential to be sustainable.
- A clear certification process in which as skills have been developed, individuals move on to become trainers and facilitators.
- Production of monitoring tools that enable woreda officials and seasonal assessment teams to triangulate data from various sources to improve the quality of their data collection & analysis (RFE, market prices, herd dynamics).
- Production and distribution of posters for all woredas in Eastern/Central Oromiya, Tigray, Amhara, SNNPR. These posters summarise core livelihood information for each woreda and should enable woreda officials to prioritise their monitoring.
- Livelihood zoning is improving the quality of nutrition status surveys
- Water HEA and mapping of baseline data is highlighting priorities for non-food programming (e.g. The Livestock Forum are interested in using the data on the contribution of livestock to livelihoods to facilitate the development of a new National Livestock Policy).
- Utilisation of the data for World Bank analysis of PSNP targeting and graduation
- Provision of livelihood information products to various stakeholders, in various forums
- Incorporation of Livelihoods training into the BDU Disaster Risk Management Course.

## *1.2 Problems encountered and solutions proposed/identified:*

High turnover of staff in government offices at federal and regional level, the Government Business Process Review and the closure of the DPPA and the subsequent loss of trained staff will continue to limit the number of LIU trained staff available in government. *Solution: Within Ethiopia, people are available who are capable of running all of the LIU's basic training activities (i.e. there is the capacity to train new government staff). The government still has access to many of those trained by the LIU, as most have been employed by partner organisations that support the work of the DRMFSS. Basic livelihoods training should be institutionalised into the government's annual training programme and the government should encourages partner organizations to train their own staff in the Livelihoods approach. BDU now includes 3 modules on the Livelihoods Approach in their Master degree, BDU and/or other universities could run diploma courses to increase the number of trained people in-county.*

[1] LIU. Uses of the Baseline Information and Analysis.

The majority of the people trained are male. *Solution: Continue to encourage federal and regional offices to identify appropriate female participants in LIU activities.*

Senior political figures at regional and federal level do not have an adequate understanding of how they could better use this data to improve their policy design and implementation. *Solution: The launch of the Atlas at federal and regional levels will provide another opportunity to introduce the livelihood baselines and demonstrate to senior management how the data can be used.*

Analytical skills to date in the DRMFSS are not sufficient to take full advantage of the analytical potential of the national databases. *Solution: Government needs the capacity to undertake core activities but should be prepared to contract out more complex analysis activities to other organisations.*

A number of different tools/approaches being used in various assessments have yet to be linked under a single analytical system (eg LEAP & LIAS, IPC, Nutrition monitoring). *Solution: Clarify the way that these different approaches can complement each other – See Product 4: Final Guidelines for the PSNP Risk Financing Mechanism in Ethiopia*[2].

### *1.3 Activities not achieved (included in the project):*

Most of the objectives included in the design and work plan documents have been achieved. However, whilst progress has been made on the objectives, which focus on using the data for on-going monitoring and non-foods assessment, this could be taken further with the support of the DRMFSS.

### *1.4 Exit Strategy*

At the end of year 3, we have reached the point where LIU is providing support to DRMFSS and its partners, but is not actually implementing any significant activities on its own. The core tools have been developed in years 1-3 of the project, and further technical developments are not expected in year 4. The fourth year therefore provides an opportunity to support the use of the existing tools and strategies. This will be the main role of the LIU this year.

In year four, the LIU is proposing to support the establishment of a Livelihood Analysis Partnership (LAP) under the chairmanship of the DRMFSS focal point. This will have a more explicit support role than previously for partner organisations (DRMFSS, FEWSNET, WFP, SC-UK). It is expected that the LAP will continue to operate once the LIU project ends.

In the longer term, the sustainability of the LIU's work depends upon the commitment and policy of the government. If the LIU databases are to be fully utilised, support at the highest levels within the DRMFSS is required to encourage use of the methodology, to ensure that misconceptions[3] are addressed and - where there are concerns about the approach - to ensure that these are clearly documented technically and a technical response provided. Continued training for government staff at all levels is critical and a key role of the government is to implement and encourage such training.

What else should the government do? We suggest that the prime role of government should be to implement only those activities for which it has – and can retain – capacity (e.g. seasonal assessment). For other activities (e.g. updating baselines, which may only be necessary once every 5-10 years), the government should be prepared to call upon technical support from partner organisations outside government (e.g. FEWS NET, WFP, SC-UK), and to sub-contract – where necessary – to the many national consultants that have been trained by the LIU project.

In sum, the role of the government should be to:

- Manage and implement the seasonal assessment using the Livelihoods Approach

[2] PSNP Product 4: Final Guidelines for the PSNP Risk Financing Mechanism in Ethiopia, TheIDLgroup Risk Financing Mechanism Team. April 2009
[3] See Annexes

- Provide basic training in livelihoods analysis at woreda, zonal and regional levels to enable seasonal assessments to run smoothly
- Coordinate utilisation and updating of the data
- When baselines require updating – subcontract this work out to national consultant or other partners (eg SC-UK, WFP)
- Contract out more complex analysis activities to other organisations.
- Encourage the uptake of some of the training materials within government tertiary training institutions

### *1.5 Wider Future Uses of the LIU data:*

These include

- Contribution to the Disaster Risk Reduction Framework & Risk Profiling.
- Contingency Planning
- Policy and Planning (eg Livestock sector)
- PSNP: targeting, graduation, evaluation of OFSP
- Climate change analysis
- PSNP Risk Financing project.
- Extension programming in MOARD

The Risk Financing would benefit from the development of an interface linking LEAP to the LIAS. In addition, with a well-designed, practical monthly monitoring format and an appropriate interface the monthly monitoring data feed into the LIAS/SMART. It is currently possible to feed monitoring data into the LIAS manually to a) enable seasonal predictions to be updated; b) enable earlier seasonal predictions to be produced. It is recommended that these updates be done in February/March and September/October.

The current database system is excel based and is specifically tailored to the needs of early warning and assessment. Wider use of the database for the other types of analysis listed above would benefit from the creation of a single national livelihoods database written in a conventional database language.

## 2. Introduction - Context

The LIU project was designed to contribute to the USAID's Integrated Strategic Plan (ISP) for 2004-2008 and specifically to contribute to USAID's Strategic Objective (SO13), SO13: “Capacity to anticipate and manage ….. shocks increased”. SO13 commits USAID to working together with GFDRE to incorporate *access* into a livelihood framework and support the government to develop “nationwide livelihood baselines against which the impact of shocks will be measured”.

Prior to the start of the LIU project, the Early Warning System of Ethiopia was considered to have well developed technical tools for its regular monitoring system, which forms the basis for its annual emergency need assessment, but did not have a clear and transparent methodology for estimating number of affected population and estimating emergency needs. The monitoring effectively recorded ***availability*** but did not provide any information on how different people could ***access*** available resources. That is monitoring data could highlight deficits in production but not explain how these deficits might impact on different types of households in a transparent manner.

A five-year consultative process in which various methodologies were tested, including HEA pilots in SNNPR, and Somali region with sub-regional pilots in Amhara, led to the establishment of the LIU. The main goal of the LIU was to improve the accuracy and objectiveness of the seasonal and annual

needs assessments in Ethiopia "whilst building capacity, with an objective of handing over its core functions to the DPPA within three years"[4].

The methodology to be used by the LIU was the Household Economy Approach. This is a systems based approach to food security analysis that looks at all the components that make up the local economy (crops including cash crops, livestock, labour, remittances) and enables the impact of a hazard on each component to be evaluated when combined with appropriately collected monitoring data, collected either monthly or seasonally[5].

To achieve the main goal there were 5 objectives. These objectives are described below and core activities under each objective discussed. Each section attempts to highlight what has been achieved and makes suggestions on next steps.

## 3. Project Objectives, Description of Activities and Achievements

### *Objective 1a: Evaluation of Livelihoods Projects (KRA 1.1)*

This objective (1a) focused on an evaluation of the pilot project completed in SNNPR, with the intention that the results could feed into the final design of the current LIU project. This objective was originally planned for completion prior to the start-up of the project, but unanticipated delays in the project finalisation and approval meant that the evaluation was re-scheduled and took place concurrently with the LIU projects start-up activities.

An external evaluator reviewed the pilot project in SNNPR, and the results fed into the project design as appropriate.

### *Objective 1b: LIU Design and Work planning (KRA 1.1)*

This objective (1b) was to ensure that the project design was prepared at the beginning of the project. In addition, it ensured that due emphasis was placed on the work planning process.

Work planning was done annually together with members of the LIU steering committee including: DPPA/DRMFSS focal person, other federal level staff, DPP&FSS regional representatives, SC-UK, FEWSNET, WFP and USAID. The work planning was a participatory process conducted over a 3-day period each year, in which tentative plans were discussed and activities scheduled.

### *Objective 2: National and Regional Staff Training (KRA 2.1)*

Capacity building was a core component of the LIU project. The main strategies adopted in the capacity building were:

- Maximum participation of government staff at federal level and within the regions,
- Development of sustainable, replicable, standardized, transparent training methods and materials
- Participatory training methods that focused on "learning through doing" and repetition. The internship was an essential element in this – with interns gaining additional expertise through providing on-the job training and mentoring to trainees.
- Certification which recognised various levels of achievement, with more qualified staff graduating to become an intern.

[4] Design Document and First Year Work plan

[5] For further details see the following documents: LIU Uses of the Baseline Information and Analysis. March 2009 and HPN Network Paper. Solving the risk equation. People centred disaster risk assessment in Ethiopia. June 2009 by Tanya Boudreau

- Cross-fertilisation – moving experienced people between regions – so that knowledge gained in one region could be carried into other regions and staff could build their experience of working in linguistic and culturally diverse environments.

Activities under this objective included:
- Activity 1: Organizing Regular Capacity Building/Training.
- Activity 2: Identification of training needs and development of training plan, including certification of trainees.
- Activity 3: Development of Training Materials.

The training provided by the LIU includes:
- Baseline Development Training including fieldwork and analysis[6],
- Woreda training – an essential 2-day introduction to livelihoods including discussions on data required for the seasonal assessment.
- Seasonal assessment training including a comprehensive generic seasonal assessment manual and materials (*)
- Outcome Analysis (*),
- Livelihood mapping (*)
- Setting up the LIAS (*)
- Training of trainers (TOT) courses have also been run on the Baseline training, Baseline and interim analysis, Outcome analysis, Seasonal Assessment, Wild Foods
- Training modules for the Bahir Dar University Disaster Management Course.

(*) These are trainings that particularly contribute to building **analytical** capacity. The other trainings are simpler and focus on how to use the data.

Training materials have been developed for all the core trainings. Training materials were adapted for each region taking into consideration feedback from the regions. Feedback included:
- The recommendation that the training incorporate examples from each region.
- Ensure that most examples provided came from Ethiopia
- Provide additional reading materials
- Package the materials in one document rather than handing out separate sheets of paper
- Edit materials/slides so that when printed in black and white, the photocopies are clear

See Table 1 below for details of the training provided.

<u>Mentoring/On-the-job training</u>
An essential component of most of the above training has been mentoring/on-job training. In which trainers/interns introduce new skills to trainees.

And trainees (usually government staff) are provided with practical opportunities to improve their computer skills in Word, Excel, Power point, Adobe Acrobat (PDF), and GIS. Development of computer skills been a core component of the baseline fieldwork in which:
- Some trainees used a computer for the first time ever.
- All trainees saw the potential of Excel and were introduced to simple techniques to help them use an excel spreadsheet.
- Co-team leaders learnt how to move around the excel sheet and show others how to do this.
- Co-team leaders learnt basic analysis skills using excel and then introduced these to trainees during baseline analysis.

[6] The Baseline Development Training was provided in each region. The amount of training provided depended on the size of the region. Baseline Development training is an activity that will only be repeated when the baselines are updated

- Teams drafted the livelihood zone profile in Word and copied graphs from Excel into Word.

Other mentoring/on-the-job training tasks have included:
- Updating Outcome Analysis and Woreda training materials (specifically PowerPoint and pdfing revised handouts)
- Preparing Woreda Impact Analysis Sheets (excel sheets that can be used at the woreda level),
- Drafting the livelihood zone profiles (report writing),
- Preparing the seasonal calendars (excel skills),
- Preparing field trip reports (writing and reporting skills).
- Drafting SOW (administrative skills)
- Running Livelihood training activities including Training of trainers (TOTs)

Depending on the activities completed by an individual, skills developed during mentoring/on-the-job training include:
a) Greater knowledge of the computer software
b) Improved ability to interpret graphs and maps
c) Improved ability to triangulate and cross-check monitoring data
d) More developed analytical capacity
e) An appreciation of the need for precision and accuracy in preparing graphs and seasonal calendars; importance of presentation skills; use of various toolbars (eg editing footnotes etc…)
f) Improved understanding of livelihoods
g) An ability to observe others and think how this can be used to improve one's own work.
h) Communication skills in English
i) Report writing skills. Team members who collected the data compile the livelihood profiles in bullet notes. The bullet points have then been written up by a core group of writers – who have received written and verbal feedback on both content and grammar.
j) Training skills – with a focus on participatory methods, making use of presentations, group work, and practical exercises using the computer.

Mentoring should be a core component of any capacity building program. The LIU feels strongly that this should be linked to outputs. It is not sufficient to run training on computer software – participants should have to achieve certain objectives after the training (and this should be evaluated). Providing training without requiring clear outputs in the coming weeks – means that skills introduced during training are often not used (i.e. money wasted).

On-job training requires plenty of time:
- A person to introduce the work
- Time for the trainee to do the work
- Work evaluated and feedback provided to the trainee
- Corrections made by the trainee.

NB. With the exception of training internships, other internships should be compensated based on work achieved/output, not on the time taken to do it

<u>Identification of training needs, development of a training plan, certification of trainees and the internship program</u>

The original project design included a capacity building specialist – who was no longer available when the project was awarded. Following consultation with USAID, the funds were re-allocated and used to establish an intern program.

Training needs were identified in a number of ways throughout the life of the project:
a) Prior to the start of the LIU project, during the pilot project in SNNPR
b) At the beginning of the LIU project during both internal and external evaluations of the pilot SNNPR project in September 2006.
c) During the project. Each training included a written evaluation. In addition, following the baseline training, fieldwork, analysis and outcome analysis (i.e. 8 weeks training), group analysis was done. Feedback led to the following changes

- Following the preliminary phase in Tigray, the baseline fieldwork training was increased from 4 weeks to 5 weeks.
- Training materials were improved (see page 7 above) and
- Additional trainings identified and developed. These included:
    - Setting up the LIAS,
    - Livelihood Mapping training,
    - Baseline Training TOT,
    - Seasonal Assessment TOT and
    - Baseline and interim analysis TOT

  TOTs were developed with the objective of improving the quality of training provided by staff in both federal and regional offices.

The training plan was finalised annually during the work-planning meeting in which representatives from each region reviewed and finalised the work plan for the coming 12 months.

Generic requirements in addition to trainers

In addition to training capacity (see table below), other essential requirements to run the above trainings include:

- Ability to replicate materials and to organise and access: per diems, overhead projector, a minimum of 4 laptops for 20 people, workshop accommodation, tea/coffee[7].
- Ability to ensure that resources are not wasted, through ensuring appropriate participation (neither under-utilising nor exceeding recommended training capacity. The number of participants recommended depends on the type of training being provided:
    - 3-5 people for more complex database establishment (eg setting up the LIAS)
    - 10-15 people maximum for TOT (trainers of trainers)
    - 20 people for most other types of training (baseline training, outcome analysis training, woreda training)

| **Table 1: Summarises Objective of training, constraints, recommendations and current capacity to run training in-country.** |
|---|
| **1. Baseline Development training (including fieldwork and baseline analysis)**<br>Baseline development training (this training is required when baselines are being compiled and/or revised)[8] |
| **2. Woreda training: Essential livelihoods training targeting woreda staff (2 days).**<br>*Objective*<br>Introduce the concept of livelihoods & emphasise key indicators for monitoring in each woreda<br>2-day woreda training targeted 2 staff in every woreda in each region covered by the project (Tigray, Amhara, SNNPR, Oromiya, Dire Dawa, Harar, Gambella and Benishangul). This is a practical livelihoods training in which woreda staff were introduced to:<br>• Basic livelihood terminology including the household economy analytical framework,<br>• Their woreda livelihood profile (including the livelihood zone profiles, the key parameters, map) |

[7] Where possible the LIU used government training facilities and conference rooms to reduce some of the expenditures and enable more people to be trained.
[8] Baselines should be valid for between 5 to 10 years (see discussion later on updating the baselines).

- The indicators (*key parameters*) for regular monitoring of the livelihoods in their particular woreda

So that woreda staff would be able to provide useful and complete information for defining this year's hazard (the *problem specification*) and have reviewed their secondary data on crop production and market prices prior to the seasonal assessment. And have a basic understanding of how the information they provide is going to be used in the seasonal assessment.

*Constraints faced*

High turnover of staff, 3 months after running woreda training in Amhara region – about 50% of the participants were estimated to have left[9]

Selection of participants by the regions were not always ideal "most of the participants are very old or very young and most of the early warning expert positions are vacant"

*Recommendations*

Should be conducted once a year in every woreda (possible sources of funding include WFP & UNICEF)

*Capacity*

Currently exists within government at both federal and regional levels to run these trainings.

**3. Seasonal Assessment Training**

*Objective*

To introduce the basic concepts of livelihood analysis using the household economy analytical framework

Explain how key parameters for monitoring have been identified and how these are used to define the 'problem' this year

Outline the information to collect at woreda level, and how to compile it

Explain how to use different spreadsheets to carry out the analysis and interpret the results

Provide practice in how to prepare a case study for one livelihood zone

Describe the different intervention thresholds (survival and livelihood protection) and how these are used

Present the reporting format required by the DRMFSS

*Constraints faced*

Teams are keen to get to the field to carry out the assessments – so some parts of this training might be rushed

The seasonal assessment training provides basic training – so it is essential that each team is led by a team leader with experience of seasonal assessment LIAS analysis. Not all teams have experienced team leaders.

*Recommendations*

Encourage trainees to read the seasonal assessment manual as this will re-enforce and build on the training.

Continue to build team leaders capacity to provide training during the field work (eg on triangulation of the data)

Ensure that each team has an experienced team leader/member who can assist/train other team members in the analysis

*Capacity* currently exists within government at both federal and regional levels to run these trainings. In addition partners organisations (WFP, FEWSNET, SC-UK, USAID, ACF, UNOCHA) also have the capacity to run these trainings.

**4. Training that builds analytical skills and capacity:** Outcome Analysis training, Livelihood Mapping training (including interpretation of the data), Setting up the LIAS[10], Analysis training to build capacity to make innovative use of the National Livelihoods Database.

*Objective*

Building analytical skills involves training people to interpret data presented in various formats: mapping, graphs, seasonal consumption graphs.

*Constraints*

Many of the people who have developed good analytical skills have left the DRMFSS and moved to other organisations

Analytical skills and capacity are built up over time, and improve as one utilises these skills.

*Recommendations*

Recognise that one of the roles of government is to continue to build capacity and then see that capacity move to other (often partner) organisations.

*Capacity* currently exists within Ethiopia to run most of these trainings. DRMFSS staff have supported some but not all of these trainings.

a) Outcome Analysis: Currently government staff at federal and regional levels, have run outcome analysis training supported by HEA practitioners from WFP, FEWSNET, ACF, former BDU staff and national consultants.

b) Livelihood Mapping. A former DRMFSS IT Senait (now with UNOCHA) leads this training.

c) Setting up the LIAS – 2-3 LAP members could do this with limited input international consultant[11].

d) Capacity to make innovative use of the database. This needs strengthening and will initially require external technical support to make full use of the Ethiopian National Livelihood database.

**3. Training of Trainers (TOT):** Seasonal Assessment TOT, Baseline TOT, Baseline Analysis TOT, Outcome Analysis TOT

*Objective*

Is to build capacity in DRMFSS (federal and regional) and other partner organisations to run various livelihood trainings and analysis.

*Constraints*

Many of the people who have developed good training skills have left the DRMFSS and moved to other organisations

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[9] personnel communication

[10] Examples of innovative utilisation of the database include: a) evaluate Other Food Security Packages, b) provide guide on graduation and c) contribute to targeting. To date, these more innovative analysis have been done by FEG Consulting and funded by the World Bank

[11] One national consultant has run this training in Kenya for the FSAU

Training is a skill that should be constantly improved. Techniques change, new ideas are continually developed that help to stimulate participation and learning.
*Recommendations*
Whilst government salaries remain at the lower end of the market spectrum – the DRMFSS should accept that staff will continue to move to other organisations – but may still be accessed through partnerships or consultancies.
TOTs should be institutionalised within the DRMFSS
*Capacity* currently exists within Ethiopia to run these trainings.
To date, HEA trained government staff at federal and regional levels have facilitated these trainings, often complemented by HEA practitioners from WFP, FEWSNET, ACF, former BDU staff and national consultants.

Through September 30, 2009, over 1226 people have received one type of training or another (see Table 2 below). Two people per woreda have received 2-day essential livelihood training in all regions except SNNPR in which 1 person per region received refresher training and Somali and Afar, regions that are not covered by the LIU project. At the other end of the spectrum 40-50 people have trained and gone on to become trainers – some of these people are now working as national consultants or working for UN agencies and NGOs.

**Table 2: Training completed October 1, 2006 through to September 30, 2009**

| | Baseline training including outcome analysis | Baseline TOT | Seasonal Assessment training | SA TOT | Woreda training | Pilot monitoring | Other training | TOTAL NUMBER OF TRAININGS | TOTAL NUMBER OF NEW PEOPLE TRAINED | TOTAL EXCEL SKILLS | TOTAL CERTIFIED |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Federal | 38 | 19 | 34 | 25 | | 0 | 17 | 133 | **62** | **31** | **38** |
| Regional (including zonal/woreda) | 137 | 35 | 32 | 12 | 759 | 82 | 30 | 1087 | **1011** | **70** | **141** |
| UN | 32 | 3 | 50 | 12 | | 7 | 3 | 107 | **68** | **14** | **30** |
| USAID (inc FEWSNET/LIU) | 8 | 1 | 5 | 3 | | 3 | 7 | 27 | **16** | **8** | **7** |
| NGO | 13 | 3 | 18 | 0 | | 7 | 6 | 47 | **46** | **9** | **11** |
| National Consultant | 3 | 2 | 3 | 3 | | 2 | 3 | 16 | **5** | **3** | **5** |
| Other (incl BDU, ERCS, line ministries) | 8 | 4 | 8 | 1 | | 0 | 71 | 92 | **18** | **7** | **6** |
| Organisation not recorded (*) | | | 53 | | | | | 53 | | | |
| **TOTAL** | **239** | **67** | **203** | **56** | **759** | **101** | **137** | **1562** | **1226** | **142** | **238** |
| **% FEMALE** | **15** | **10** | **10** | **24** | **0** | **10** | **13** | **6** | **5** | **15** | **16** |

**Seasonal assessment figures are underestimated as the LIU provides the technical support for the training but the training is managed by the DRMFSS*

| Table 3: Capacity Building SWOT | | |
|---|---|---|
| **Strengths** | **of the capacity building component of the project** | Built on the results of several livelihood pilots conducted in Ethiopia<br>The project design included a clear certification process linked to an internship programme.<br>Technical advice provided by the head EWD of the DPPA, to build the capacity of as many people as possible and not over focus on one or two people was essential.<br>Technical support provided by LIU Steering Committee Members from the regional DRMFSS and partner agencies.<br>Clear management procedures established for SOW, per diems, internships, etc.<br>The livelihood approach training is well structured with step-by-step learning activities<br>The technical manuals and training developed in the pilot were comprehensive. This meant that trainees used very similar materials in trainings conducted in each region.<br>The 8 weeks baseline training enabled trainees to put what they learnt into practice<br>Many LIU trained government staff are now working for FEWSNET, WFP, FAO, local NGOs and continue to be available to support DRMFSS capacity building activities. |
| **Weaknesses** | | The time frame was only sufficient to build basic analytical skill required in the seasonal assessment. It was not sufficient to build excel skills and analytical capacity that would enable people to use the data more creatively for other types of programming.<br>Did not originally include an internship component.<br>Mentoring is time consuming, and the project had a limited number of resources available to enable feedback, encourage precision and further develop presentation skills in terms of appearance and accuracy of written materials.<br>Training provided to government staff that is not related to any type of career development and incentive structure has meant that trained staff often move to other organisations. |
| **Opportunities** | **for capacity building in Early Warning Department, DPPA & DRMFSS** | Considerable enthusiasm of most trainees<br>Commitment of the regions to ensuring that the project was successful both in terms of completing the baselines and ensuring that the baselines are used in the seasonal assessments<br>The interest of some regions in fine-tuning the data and ensuring that the approach is vibrant and not static. This should ensure that the data contributes to increasing technical debate and thus improving the quality of data available in Ethiopia.<br>Support of the regions in permitting trained staff to train new teams in other regions.<br>Interest of other organisations in utilising the data to contribute to PSNP programming & Risk Financing, climate change studies, to evaluate project interventions, to improve the quality of nutrition status survey results.<br>Trained government staff have moved to work in other organisations in which they can continue to utilise their HEA skills (WFP, CARE, UNICEF…..) |
| **Constraints** | | Regional and Federal staff have many other commitments which has sometimes limited the time that they can invest in building knowledge of this approach<br>High turnover of staff at both federal and regional levels – exacerbated by the BPR process.<br>The closing of the DPPA at the end of the second year of the project and loss of many trained staff.<br>Computer skills of many people were limited. Some trainees had never used a computer before, most had limited computer skills in word, excel and PowerPoint. |

### *Objective 2: Recommendations*

Recommendations linked to capacity building.

- Seasonal Assessment Analysis support should continue to build technical capacity:
  a) In those regions that have only recently completed their baselines and started to use the data in the seasonal assessment (eg Oromiya).
  b) So that assessment teams are not only able to use the LIAS but are also able to evaluate the quality of data collected in the woredas and triangulate and test the reliability of this data against other sources of information.
  c) At the federal level to review seasonal assessment results and highlight technical issues for discussion with the regions (i.e. how can the federal use the data to continue to encourage technical livelihood analysis linked to disaster risk reduction)

- Woreda training should be essential livelihood training for all DRMFSS staff. It should be incorporated into the DRMFSS annual training program and budgeted for by the DRMFSS for all woredas in the county. Until this training is institutionalised in the DRMFSS, WFP should be encouraged to continue to provide the 2-day livelihood woreda training developed by the LIU in all regions. Woreda level extension staff could also be invited to participate.
- Customized training should be developed for partner organizations. There is a continuous need to build capacity not only within government but also among USAID, UN and NGO staff to ensure that more people are able to utilize the data. Examples might include:
    - DRMFSS (federal and regional levels) – on utilizing the Atlas.
    - DRMFSS/WFP on how to do a regional review of the data using the Seasonal Mapping And Review Tool (SMART)
    - DRMFSS/WFP on how the data can strengthen hot-spot analysis,
    - USAID focusing how partners might use and interpret the data,
    - NGO's working in the field of nutrition – on how to use the LIU data to strengthen the quality of nutrition status surveys and to contribute to interpretation of nutrition status survey, agencies working in climate change on various ways the data could be used to support impact analysis.
- Internship Given that the baseline training has been completed – an alternative way of certifying HEA technicians needs to be put in place. This would also identify ways that individuals could graduate to become interns. In year 4 of the project, the proposed way to become an intern is as follows:

  *A) Complete one of the following:*
  Complete the Outcome Analysis training
  Seasonal Assessment training at the regional level, field work & analysis

  *B) Read and understand the following documentation (this will enable participants to do better in C) below.*
  The Household Economy Analytical Framework in the Outcome Analysis Training Materials
  Livelihood Integration Unit: Uses of the Baseline Information and Analysis. 2009 – soft copy

  *C) Complete one of the following:*
  Complete the LIAS and SMART training. Evaluation exercise at the end of the LIAS/SMART training
  Participate in the Atlas TOT. Run the Regional Atlas workshop and feedback from both TOT and the workshop evaluation

### *Objective 3a: Conduct baseline livelihood assessments (KRA 1.2a)*

Activities under this objective included:

- Activity 1: Partition regions into homogenous livelihood zones
- Activity 2: Establish regional livelihood baselines through fieldwork.
- Activity 3: Produce livelihood zone, woreda, and regional level reports and woreda level posters:

Activity 1: Livelihood zoning and regional maps have been completed for all regions. The regional maps have been consolidated into a national livelihood zone map and a national the Livelihoods Atlas is being compiled.

Outputs
Livelihood zoning maps have been prepared for each region

Population databases by woreda have been prepared for each region. These permit the user to select a woreda, and review the list of kebeles in each livelihood zone within the woreda.

**Box 1: Livelihood zoning – Overview**

There are 3 core elements to the livelihood zoning completed by the LIU in Ethiopia.
1) Drafting a preliminary map. This is done in consultation with technical people with a good knowledge of the region who: look at productive systems, consider market access, develop descriptions of the livelihood zones and draft the livelihood zone map.

2) Verification. The field teams verify the map during the baseline fieldwork. During the verification, the field teams a) check which PAs and woredas currently lie in each livelihood zone and b) link the current woredas and PAs to the 1994 census woredas and PAs. Woreda boundaries are revised on a regular basis in Ethiopia. This means that woreda maps used by agencies in Ethiopia are often several years out of date. Whilst the 2007 census has been completed, data down to woreda/PA level has not yet been released – so the system above is still being used.

3) Linking current woredas and livelihood zones to existing official population data. The LIU has set up a database for tracking changes in administrative boundaries

a) This links current PAs and woreda lists to the census PA and woreda list and enables official estimates of population to be updated for woredas & livelihood zone existing now (essential for HEA analysis of population in need)
b) It also links PA and woreda lists with map data, so the database can be used to update maps as soon as woreda boundary changes are identified and verified (this is NOT essential for HEA analysis but useful for the wider humanitarian community)

Usage

**Beneficiary Identification and Quantification of Needs.** The core use of the Livelihood Zone and Population Data is in the Livelihood Impact Analysis Sheets (LIAS) where the data contributes to identifying the number of beneficiaries by woreda and even below woreda level to kebeles (by livelihood zone).

The Livelihood Zoning (including the population database) is also being used to:

- Improve the quality of statistical surveys (including nutrition status surveys) by providing an additional level of stratification
- Provide suggestions on ways to improve targeting of scarce resources[12]
- Together with administrative boundaries to map core livelihood data[13]

Activity 2: Livelihood baselines have been completed for all regions in Ethiopia. Baselines completed by the LIU include: Tigray (16), Amhara (25), Oromiya including Dire Dawa & Harar (60), Gambella (3) and Benishangul-Gumez (4). This is 20 more livelihood zones than were originally budgeted for in terms of both time and money. Additional funding (but no additional time allocation) in the third year enabled all the baselines to be completed.

Using the baseline data collected, livelihood profiles and woreda profiles have been completed for all regions included in the project[14]. Posters have also been completed for Tigray, Amhara, SNNPR and Central and Eastern Oromiya (including Dire Dawa and Harar). Posters for Western Oromiya, Gambella and Benishangul will be completed during the 1 year extension.

The Livelihood Profiles provide a description of livelihoods that can be used to improve programming, including:

- The zone (a map, agro-ecology, population density, woredas covered by the profile, main crops and livestock),

[12] FEG: Model for Guidance to Woreda-Level Officials on Variable Levels of Support to Beneficiaries in the Productive Safety Nets Program (PSNP) Using the Livelihoods Integration Unit (LIU) Database prepared for the World Bank. 14 November, 2008
[13] Livelihood Atlas for Ethiopia
[14] The livelihood zone and woreda profiles for Western Oromiya, Benishangul-Gumez and Gambella are drafted but not edited.

- Marketing,
- Seasonal calendar,
- Wealth breakdown,
- Main sources of food and income, expenditure patterns,
- Hazards, and coping strategies.

The Woreda Profiles are a compilation of the livelihood information directly relevant to a single woreda. They provide:

- a map of the woreda showing the livelihood zones within the woreda,
- population data by kebele and livelihood zone WITHIN the woreda,
- the key parameters (indicators) for monitoring within the woreda
- the relevant livelihood zone profiles[15].

The woreda profiles have been reviewed in the woreda training in each region. Editing comments have been incorporated into the livelihood zone and woreda profiles as appropriate. Most common feedback related to spellings of kebeles and recent changes to kebeles (which have been merged or sub-divided)[16].

Woreda posters provide officials with basic livelihood statistics and information required for monitoring livelihoods in their woreda

### *Objective 3a: Recommendations*

A) Updating the baselines

Evidence of utilisation of the baselines should be a core element in any decision to update the baselines. It is only through actually using the baselines that one is able to identify both the strengths and weaknesses of the baseline – an essential requirement for beginning to revise or update baselines.

Clear procedures need to be followed before baselines are updated. These should include:

- A written request – detailing why the region thinks the baselines need updating[17]
- What aspect of the baseline needs updating,
- A technical review by technically qualified HEA persons together with HEA trained representatives from the region.

B) Increasing or reducing the number of livelihood zones

At the federal level, there have been requests to look at ways of reducing the number of livelihood zones (combining similar livelihood zones, or grouping zones by administrative zones). There are many ways of grouping livelihood zones for monitoring purposes. The choice of grouping would depend on what is required and requires adequate consideration.

At the regional level there have been requests to create addition livelihood zones or sub-zones. Decisions on creating more zones – should be realistically taken based on actual utilisation of the data. There is now a methodology for dealing with pocket problems, which should address some of the reasons for wishing perhaps to create an additional sub-zone of livelihood zone.

C) Slight modification to livelihood zone boundaries

[15] Please note that sources of food and income, whilst typical of the livelihood zone, might not be found in all woredas within the livelihood zone. This may result in further constructive technical discussions on differences between woredas in a specific livelihood zones.

[16] Where population edits have not been taken on board, feedback has been scanned and are available in a PDF file – should regions wish to follow up on this editing in the future.

[17] The LIU SC agreed that where regions wished more detailed follow-up on a specific livelihood zones, this should be put in writing – so that it could be formally and technically followed up – with written responses and outcomes resulting from the follow-up process.

During the woreda training – some woreda officials recommended slight changes to the livelihood zone boundaries. These should be reviewed by regional staff together with LIU technicians alongside other contextual data (eg crop production data, sources of food and income). Care will need to be taken to ensure that boundaries are not changed to meet the demands of politicians.

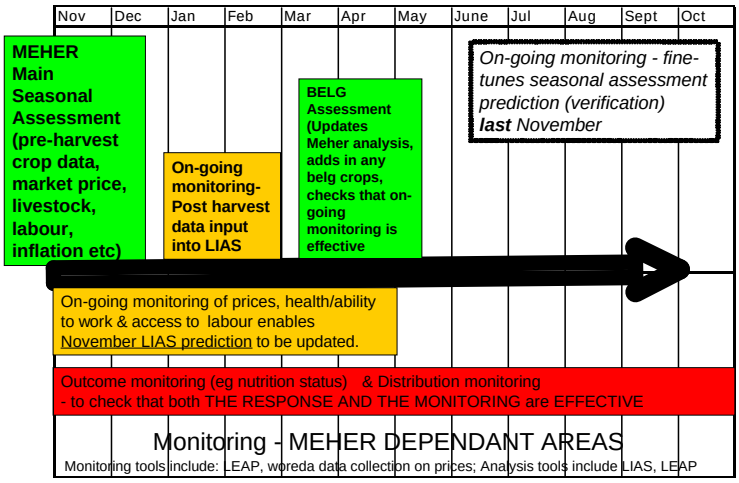
### *Objective 3b: Integrate livelihoods based needs assessment into regular monitoring system (KRA 1.2b)*

Activities included under this Objective included the following.

- Activity 4: Incorporate new key parameters into early warning monitoring system.
- Activity 5: Ensure training on existing software occurs at appropriate levels, and develop a system for fully communicating/transferring these data and results.
- Activity 6: Populate existing excel database for storing baseline data and secondary data.
- Activity 7: Provide technical support to seasonal assessment in which key parameters collected are linked to the baselines
- Activity 8: Design and agree on outputs of the seasonal assessments and scenario modelling results.

A monitoring system needs to be able to do the following:

- Make an early prediction of needs (who, where, when, how much and for how long). This could be done in Meher areas as early as August/September using LEAP or other WRSI data to estimate crop production.
- Update that prediction during the seasonal assessment and then if necessary later in the year (eg in 2008 in March when prices of staple food increased by 3-400% or in January 2009 when excess rainfall in November to February 2009 damaged harvests)




- Assess whether these needs are being met or can be met through available resources (either PSNP or emergency.
- And if resources are scarce – identify ways of targeting limited resources (i.e. hot-spot analysis) to a) protect lives and b) protect livelihoods.

See Annex 2 for further details.

The regular monitoring system is made up of a) twice yearly seasonal assessments b) monthly data collection and more recently c) mid-season assessments. The LIU data has contributed to each of these monitoring activities as described below:

<u>Utilisation of the LIU data during the Seasonal assessment</u>

- ***The livelihood methodology and the livelihood baselines are being used in all regions during the seasonal assessment.*** SNNPR has now used the methodology for over 3 years, whilst parts of Oromiya used the methodology for the first time in the Belg 2009 seasonal assessment – i.e. some regions have more or less practice at using the baselines in the seasonal assessment[18].
- ***Training on existing software*** is provided during both the seasonal assessment trainer of trainers and the regional level seasonal assessment training.

[18] Gambella and Benishangul regions are not usually included in the seasonal assessment.

- ***Teams are able to use the excel database to input data and produce results.*** Many of the participants in the seasonal assessment are now aware of how the database can be used to "adjust" the results – in some instances this is done **wisely** based on a comprehensive analysis and in other instances team members are more concerned to get the same results as the woreda/regional officials. The ability to manipulate the data in this way – shows that using the spreadsheet and excel is no longer the constraint it was felt to be at the beginning of the project.
- Technical support to the seasonal assessment can be provided by people in-country in WFP, SC-UK & FEWSNET as well as national consultants. DRMFSS capacity is also improving with some staff able to address basic technical concerns during the seasonal assessments and analysis.
- Seasonal Mapping and Review Tools (SMART) is available and can permit centralised review and analysis of the data. The SMART tool can also be used for mid-season analysis and could even be used to input manually monthly monitoring data.

**Box 2: Potential reasons for differences between the LIAS analysis and woreda figures**

- An over-emphasis on cereal crop production failure by woreda officials with insufficient consideration given to other sources of food & income eg cash crops (coffee, chat) *(i.e. this would lead to woredas over-estimating needs)*
- Crop production data provided by the woredas may be over-estimated (BOARD provides woreda officials with production targets against which their performance is evaluated). CSA, FAO and MOARD are working together to improve this. *(i.e. this would lead to woredas under estimating needs)*
- A tendency to class an area as Belg dependant despite the fact that cash crops and accompanying labour (eg coffee) may be Meher dependant
- Quality of data collected in some woredas. "This zone is actually the terrible zone in data management[19]." This may be exacerbated when woredas have been split and officials have to split reference year data between kebeles.
- Lack of a cumulative analysis of livestock holdings in pastoral areas. A cumulative analysis of livestock holdings over several years enables teams to better estimate of herd size. When only the current year is looked at, there may be a tendency to over estimate losses. An analysis over several years would highlight anomalies eg an 80% loss in livestock holdings in several consecutive years is unlikely to be correct
- A focus by woreda officials on relative poverty as opposed to absolute. This means that the response to crop failure in a better-off area with greater incomes and assets would be the same as the response to crop failure in poorer areas with limited resources.
- Woreda officials are assessing needs based on current outcomes not predicting needs in the coming 6 months. Eg In Tigray, Belg 2008 – the region did not feel that it need to to assess needs in Meher dependant areas, despite the fact that the price of staple food had increased by 400% & that the months after the Belg harvest were peak hunger season/food purchase months in Meher dependant areas. In the Meher assessment, higher needs were identified in Meher dependant areas. This appeared to reflect problems before the harvest rather than whether the current harvest was able to meet future needs.
- Needs identified during previous assessments may not have been addressed. (i.e. woreda officials predicted needs not only reflect future needs but unmet needs from the previous season that have resulted in current high rates of malnutrition. However, current high rates of malnutrition whilst definitely requiring therapeutic feeding (i.e. medical treatment) are note necessarily indicative of current need for a general ration.
- Interpretation of the seasonal results is still weak among some team members. Seasonal assessment results are currently presented as the total number of "complete/full people rations" required in a 6-month period. Whereas, the reality is that more people need a partial ration for less than 6 months. Both ways of presenting the data give the same result in terms of tonnage of food required, the first method is politically more sensitive as it produces lower figures of need. This subtlety is not appreciated by some teams – who attempt to increase the population in need through increasing the severity of the problem scenario entered into the computer.
- Differences between CSA population estimates and the woreda/zonal population data. The government recommends that the CSA data be used. Where there are concerns over the data (eg the 2007 Oromiya population of Moyale is approximately 30% of the 1994 census) regions and CSA would need to come to an agreement about figures to be used in these types of situations.
- Application of coping. In pastoral areas, coping is sometimes set to zero. This means that there are no additional sales of livestock. In bad years, in pastoral areas household usually increase their sale of animals. In addition, the LIAS does not permit unsustainable sale of livestock. This means that where teams set coping to zero – i.e. say that there is no additional sustainable sale of livestock – they increase needs significantly[20].
- Woreda officials' assessments of need depend upon their understanding of livelihoods.
- The historical and political context - some woredas have received food aid for many years (i.e. are effectively

[19] Personnel communication – from seasonal assessment team leader.
[20] A rapid review of 7 LZ in Somali region found that by not including coping (i.e. usual increases in livestock sales in bad years) needs increased by 50%.

chronically eligible) – this may reflect their political/economic status or position in the region or their accessibility.

The seasonal assessment provides an excellent opportunity to bring government officials from different ministries, and from federal and regional together with key partners eg WFP, OCHA and NGOs to participate in the on-going monitoring of livelihoods and assessments of needs. It provides a variety of actors with the opportunity to keep in touch with rural livelihoods. The livelihoods methodology increases transparency and technical debate and reduces bartering over the figures.

In some woredas, the estimates of needs provided by the woreda officials and by the seasonal assessment teams are different. How teams respond to differences between their LIAS based analysis and the woreda officials' figures depends on: **teams capacity.** Some team leaders have the skills and commitment to probe for information, crosscheck responses and identify reasons for potential differences. Whilst other team leaders are more comfortable accepting data from the woreda officials – without crosschecking and clarifying key issues.

Utilisation of the livelihood baselines including the integration of the HEA (key parameters analysis) into the monthly monitoring system

There have been two distinct phases in this process (see Box 3 below):

- Phase 1 efforts made to integrate the livelihood based needs assessment into the regular monitoring system under the former DPPA.
- Phase 2 efforts taken when the DPPA closed and the LIU moved to DRMFSS of MOARD from August 2008 onwards.

Monitoring requirements at federal, regional, zonal and woreda level differ. This means that the analysis required at each level is different and so the following might differ at each level:

- Number of woredas covered
- Amount of data analysed at woreda, regional and federal levels
- Type of analysis done by whom at each level.

The key requirements for monitoring are: an analytical framework, an analysis tool, an understanding of how the data will be used at woreda, regional and federal levels and who will use it. Collection and analysis will require people with the necessary time. Every effort should be made to ensure that the data is only collected once rather than being collected a number of times for different stakeholders.

A pilot monitoring system using LIU key parameters was piloted in SNNPR and in Tigray. This system in principle enables woreda officials to do their own analysis. However to scale this up would require considerable commitment by government staff at all levels and despite the fact that there would be no additional resources required it would take time.

The DPPA monitoring that has been done to date has focused on the collection of market price data which is sent to the federal level and distributed to teams during the seasonal assessment. In addition, the federal teams telephone the regions on a weekly basis to get verbal updates on the situation.

Recent consultations by the DRMFSS with key stakeholders and then afterwards with regional representatives led to the development of a comprehensive monitoring system which will involve significant data collection and analysis on a monthly basis. The monitoring format is not currently clearly designed to feed into the LIAS. With some modification some of the monitoring data from the DRMFSS monitoring system on key parameters (eg crop production, price data, herd composition data)

could be fed into either the LIAS or the so that revised estimates of need can be produced on a monthly basis. This would require additional programming to implement.

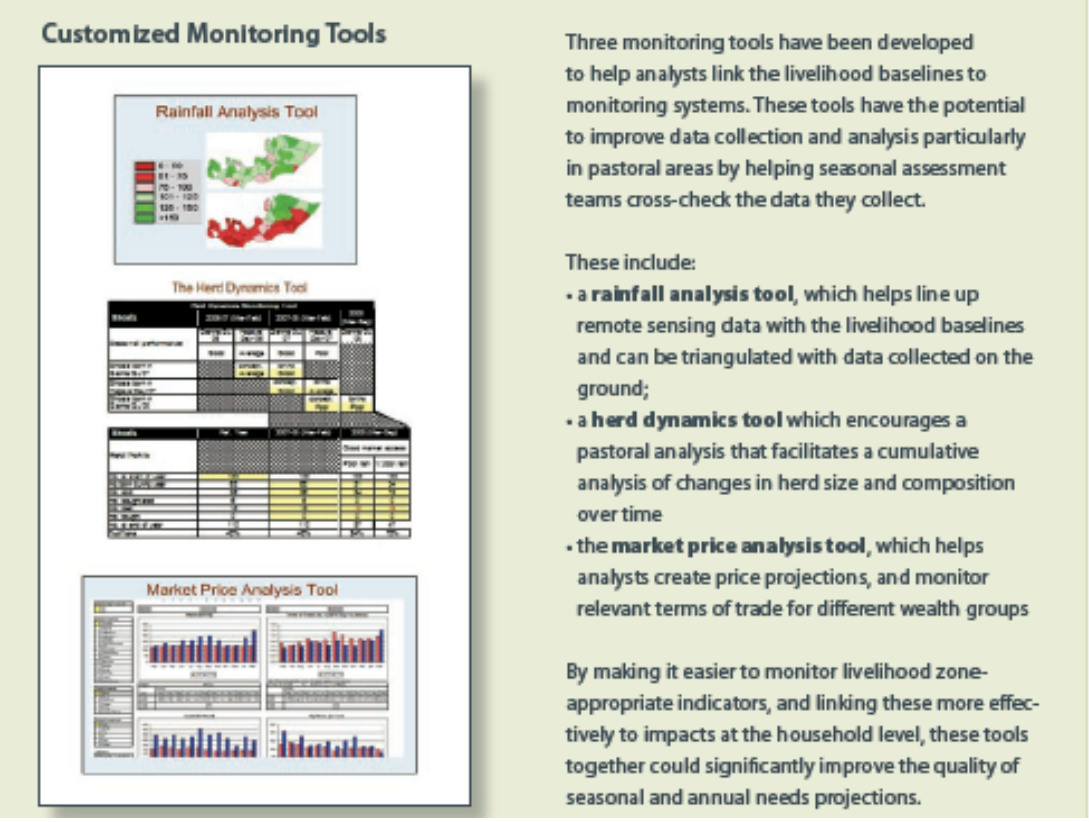
## Box 3: LIU activities incorporating Livelihood key parameters into an on-going monitoring system

**Year 1 (Sept 2006- Aug 2007)**

- Meetings were held with key stakeholders to review the DPPA monitoring systems and look at how LIU data could contribute to this process. (Summaries are available from the LIU)
- August 2007, a discussion document: *LIU proposal for linkages between the DPPA on-going monitoring and the HEA baseline data* was circulated.
- A pilot monitoring system- using LIU data was initiated in 5 woredas in SNNPR

**Year 2 (Sept 2007- Aug 2008)**

- A review of the pilot monitoring by regional government representatives and other stakeholders led recommendations on how to carry monitoring forward (LIU quarterly report Jan–Mar 2008)
- The pilot monitoring was expanded to 13 woredas in SNNPR and 8 woredas in Tigray.
- LIU data on markets (access, routes, labor) was shared with WFP and other stakeholders.
- March 2008, A FEWSNET initiative used LIU data for contingency planning in pastoral livelihood zones and led to the development of 3 monitoring tools (see below). The LIU has shared these with other stakeholders.




**<u>Year 3 (Sept 2008 – Aug 2009)</u>**

- The LIU third year work planning meeting recommended that a technical sub-group should be formed to lead discussions on combining the traditional monitoring methods with a livelihoods approach. The sub-group should consist of DRMFSS EWRD, FEWSNET, NGOs and UN agencies. The DRMFSS focal point with support from FEWSNET would take the lead.
- The ENCU recommended that nutrition status surveys should utilize the LIU livelihood zones for nutrition surveys (Guidelines for Emergency Nutrition Surveys in Ethiopia. Interim new version, September 2008). *Nutrition status surveys are frequently used for monitoring. ACF in SNNPR and Tigray BOARD team are using the livelihood zones to stratify their nutrition surveys and reduce the negative impact of averaging that may occur in woredas with more than one livelihood zone.*
- Meetings held with FAO, PLI, PACAPS discussing various ways that the Livelihood tools can be used to improve monitoring in pastoral areas – particular emphasis has been placed on the need to do cumulative analysis of herd dynamics in pastoral areas and the triangulation of data from different sources (eg rainfall analysis tool which provides rainfall data by woreda can be triangulated with pastoralist rainfall information and NMA data.
- The WB/WFP/MOARD LEAP team have proposed that the LEAP tool would feed into the LIU databases to enable predictions of the number of people in need, for how long, where, which months to be made.
- WB guidelines for the implementation of the risk financing mechanism which would enable the scale up of PSNP in

PSNP woredas in bad years (both to long-term beneficiaries and to other people within the same PSNP woredas as appropriate) now propose that the LIU database is used in the monitoring (PSNP. Design of a Risk Financing Mechanism. Product 2: Preliminary Design and Issues Paper. The IDLgroup Risk Financing Mechanism Design Team. December 2008)

- The LIU fed into DMFSS discussions on how the livelihood key parameters could be incorporated into their monitoring system. Initial discussions were quite positive with proposals that a) monitoring data could be fed into the LIAS regional analysis tool to update the analysis on a regular basis b) LZ data could be used to select woredas for monitoring. Subsequent discussions with the regions did not include the LIU.
- Woreda posters have been finalized and sent to all regions (except Western Oromiya, Gambella and Benishangul). The objective of the woreda posters is to provide information to woreda officials on the key indicators to monitor in their woreda. Data on the posters includes: key parameters, seasonal calendars highlighting peak labour, hunger, harvesting months; seasonal consumption calendars highlighting when survival and livelihood deficits are most likely to occur, a description of wealth groups that can facilitate targeting, together with a map which shows both the livelihood zones and the kebeles in the woreda.
- Presentation prepared and circulated– demonstrating how the LIU data can be a core part of hot-spot analysis (i.e. targeting when resources are limited).

**Other**

- The LIU Atlas planned to be completed by the early 2010 – will provide information that will support hazard monitoring (eg identifying areas where cattle are more important that shoats – this would enable government and agencies to focus monitoring the risk of cattle disease to these areas)
- The SMART can not only provide a livelihoods analysis using the monitoring data but also enable monitoring data to be fed back to the woredas and encourage feedback and consultation (eg on why some woredas show poorer crop production than others).

## *Objective 3b: Recommendations*

A) Seasonal Assessment

- ***The seasonal assessment analysis time should be extended***. Currently 3 days are officially allocated. Five days might be more appropriate.
- ***Analytical capacity of team members needs to be strengthened.*** Building analytical capacity of team members would ensure that teams did not "adjust" the results to accommodate the woreda officials – but instead were able to technically finalise the results (including identification of issues for follow-up with and/or by the woredas). Woreda level hazard data could also be triangulated with data from other sources to improve the quality of data entered into the analysis.
- ***The Seasonal Assessment TOT and training should continue to be emphasised.*** This provides an important opportunity in which key stakeholders can learn more about the livelihoods methodology.
- ***In-depth reviews of regional specific concerns should be conducted***. Where teams get considerably different results from the woreda officials, a comprehensive review would facilitate both learning and understanding and enable alternative scenarios to be developed and tested. These types of reviews could either be done during the seasonal analysis (See Annex 4: for an example of scenario analysis completed in Wolayita) or done throughout the year and involve regional HEA technicians as well as federal and in some instances national/international consultants. Possible areas for further follow-up are listed in the Box 4.

**Box 4: Topics/Areas for more in-depth follow-up by HEA technicians**

- North and South Wollo – Amhara region, there is a need to review which kebeles lie in each livelihood zone in Belg dependant areas.
- Arsi, Oromiya region – clarify which woredas are Belg dependant (more than 50% of all food and income coming from Belg harvests) – is there a need for a sub-livelihood zone covering these areas?
- Arsi, Oromiya – do woreda officials assessment of needs consider the resources available in the region or are they based on crop failure alone.
- SNNPR region in areas with high rates of malnutrition, there is a need to review the livelihood results from previous seasons together with available data on distributions and targeting. The figures in the appeal documents in recent years appear to be lower than the HEA estimates of need.
- Tigray appeal figures tend to be higher that those produced using the HEA unlike other regions where there is an

overall tendency to reduce the figures – a better understanding of the reasons behind this would be useful.

- ***Annual woreda training on livelihoods and the seasonal assessment methodology*** would build capacity and strengthen the quality of seasonal assessments and monitoring. This should be incorporated into the DRMFSS annual training plan. Possible sources of funding include WFP & UNICEF
- ***The DRMFSS should continue to take responsibility for the preparation of the seasonal assessment materials[21],***
- ***The DRMFSS should ensure that their IT staff are able to update the population data annually in the LIAS, and update the LIAS for "split woredas" and generally manage the database.*** This should be done centrally, it could be very confusing if the regions were also updating the databases.
- ***The quality of monitoring data should be strengthened.*** FAO/CSA/MOARD are working to improve the quality of crop production data. Data on labour rates and availability, an important component of livelihoods should also be improved.
- ***An LIU Update that summarises the way the LIAS works should be produced***[22] – so that general appreciation of the methodology is increased. This should emphasise the following points:
  - Staple food produced by the households is not sold in a bad year – all of it is consumed.
  - The LIAS is not replicating behaviour but provides an analysis of the resources that households have and how best these can be used).
  - Cash food crops (eg teff) are not consumed in a bad year – all of it is sold
  - Minimum Non Staple is currently fixed by region – but could be changed
  - Expandability is based on what a poor household might do
  - Livestock sales are limited to sustainable levels even if coping is applied. It is particular important to understand this in pastoral areas as applying sustainable levels of coping can reduce food needs by up to 50%.
- ***In the short term, additional technical support*** will be required particularly in regions that have only recently started to use the databases in the seasonal assessment (eg Oromiya).
- ***The current monitoring format should be reviewed and recommendations made on what would be required to link current monitoring to the LIAS.***
- ***Seasonal assessment predictions should be updated in September/October and in February/March each year***. The seasonal analysis should be updated using post harvest crop estimates and revised market price estimates in both September/October and in February/March. When the monthly monitoring is up and running and effectively linked to the LIAS – this recommendation would no longer be necessary.

## *Objective 4: Non-food Needs Assessment Methodology (KRA 3.1)*

### Activity 1: Pilot Non-Food Needs Assessment Methodology.

LIU has made a number of contributions to non-food assessment methodology (these are listed in detail in Box 5 below) including piloting a water HEA and presenting a number of ways that the data could be utilized. The major contributions are as follows:

- The LIAS enables needs to be expressed in either cash or food.
- Data on expenditure patterns in the woreda and livelihood profiles – provides government and donors with a tool to consider the impact of providing support to the social sectors (health/water) or providing inputs. If households are supported with non-food interventions, this may free up cash resources in the household and enable households to purchase additional food (presuming food is available in the market).

[21] In Belg 2009, the DRMFSS arranged that FEWSNET, WFP & OCHA together with the DRMFSS would print and photocopy the seasonal assessment materials

[22] This would complement an earlier update which looked at how the data is used in the seasonal assessment.

- Through looking at the major sources of income in each livelihood zone profile, MOARD can identify whether agriculture support should prioritize crop production, livestock or labor.
- The pilot water HEA provides a tool for more detailed analysis of water requirements
- The seasonal consumption graphs (S) in the LIAS – enable programmers to identify when peak deficits may occur – improve targeting and response timing – and so reduce the impact of food deficits on households and in the mid term reduce the need for food relief.

Whilst the data and tools are there to strengthen non-food needs assessment methodology. Uptake and comprehensive utilization of LIU data to support non-food needs assessments has been slow.

**Box 5: The contribution to LIU data to Non-food Needs Assessment Methodology**

Year 1:
- LIU Information Sheet number 3 includes a section on ways that the HEA/Livelihood baselines can contribute to identification of non-food interventions

Year 2:
- In September 2007, the LIU held a Using the Baselines workshop. This looked at how the LIU data could contribute to health (including nutrition), water and livestock programming.
- A pilot water HEA was conducted in the Bale Pastoral livelihood zone. This was so successful that Ripple an ODI funded organization is conducting further water HEA work in Ethiopia.

Year 3:
- Pre-Meher 2008 seasonal assessment – a series of presentations were made to demonstrate how the baseline data together with the seasonal assessment can contribute to the identification of appropriate livelihood interventions by livelihood zone in each woreda
- Dr Million in the EW-WG seasonal assessment planning meetings also suggested that utilization of LIU data for health/nutrition programming should be reviewed well in advance of the next seasonal assessment.
- Baselines are now being used by a variety of people to contribute to their assessments and programming eg REST, consultants covering a wide range of topics including climate change,
- The World Bank and FEG Consulting have used the baselines to evaluate the impact of Other Food Security Packages. This should contribute to improved monitoring and program design of food security packages.
- Ripple together with CRS/HCS and Ministry of Water staff have established water household economy baselines in East Haraghe and Shinile in Somali region. These will be used for scenario analysis to assess some of the potential impacts and / or appropriateness of climate change adaptation schemes/measures outlined in the NAPA strategy. Along with livelihood zone representative sites, Ripple is also assessing 2 'adaptation' sites (e.g. irrigation schemes mostly - and some rangeland management in the agro-pastoral areas) - and looking at their impact on water access, food, income and livelihoods.
- Workshops on the potential contribution of wild foods to livelihoods have been held – specifically in Gambella and Benishangul-Gumez – which look at additional ways that core sources of food and income from natural resources could be built upon to improve livelihoods
- Introductory presentations on using the data for livestock, nutrition, non-food programming, have been made to a diverse group of government, donor and NGO institutions.

### *Objective 4: Recommendations*

Key stakeholders in non-food assessments (UNICEF, MOH, WHO) should take the initiative to build on and utilize the data of the LIU to improve non-food assessment and response.
Presentations and papers linked to non-food should be grouped into one folder and shared with key stakeholders on request.

### *Objective 5: National Livelihood Assessment Methodology Coordination (KRA 3.2)*

Activity 1: Coordinate/promote standardized approaches and guidelines for livelihoods based early warning initiatives in close cooperation with other sections within the EWD, EWWG, and members of the LIU SC.
Activity 2: Produce agreed national guidelines that define common standards for regular monitoring; development of livelihoods baselines and food and non-food emergency needs assessments.

Activity 3: Design and execute regional ongoing evaluation and incorporate lessons learned into project design and guidelines.

Key activities of the LIU that have contributed to National Livelihood Assessment Methodology Coordination are:

The LIU Steering Committee provided a strong consultation opportunity. The LIU SC provided a forum in which key stakeholders in early warning:

- Were updated on LIU activities quarterly
- Had a forum for providing feedback about both the methodology and the implementation of the methodology in each region: what worked, how problems were addressed, feedback on technical points
- Could feed into fine-tuning the implementation in each region and during the seasonal assessments.
- Could raise any concerns and enabled the LIU space to respond to concerns.

(More use could have been made of this meeting to provide senior management at the regional level with greater insights into the methodology)

Annual LIU work planning meetings in which federal, regional and key early warning stakeholders participated provided an additional opportunity to increase buy-in and understanding of the methodology.

LIU participation in the EW-WG and presentations to numerous stakeholders ensured that a wider audience learnt about the livelihood baselines and the methodology and outputs.

Comprehensive guidelines have been completed and are being utilised. These include guidelines that a) cover all aspects of doing baselines and b) seasonal assessments using the livelihood methodology as well as materials launched by the Government of Ethiopia specifically the "Use of the Baseline Information and Analysis" which provides guidance on how the baselines can be used to assess food and non-food needs and strengthen the quality of nutrition surveillance. The LIU Updates also highlight various ways that the data can be used for programming.

On-going Evaluations of the baseline training, fieldwork, analysis, outcome analyses have been a core components of the LIU project which have been incorporated into the project design. In addition, feedback during the seasonal assessments over the last three years of the project has been incorporated into the current seasonal assessment guidelines.

## *Objective 5: Recommendations*

In the final year of the project the LIU Steering Committee should become more of a tool for exchange of ideas between and with the regions. More specifically LIU SC meeting should provide a forum:

- To brief participants on activities completed in the preceding 3 months
- For briefing the regions on various ways that the baselines are being used/can be used
- In which regions can brief each other on how they have used the baselines and what Livelihood activities they have initiated.

In order to further institutionalise the utilisation of the Ethiopian Livelihood Baselines, the DRMFSS should establish a group brings together senior technical livelihoods experts in Ethiopia to work together to support the utilization of the data, provide technical support, ensure sustainability of the approach in-country including the contribution of the data to Disaster Risk Reduction in Ethiopia (eg the Livelihood Analysis Partnership)

The Livelihood Analysis Partnership should support the utilisation of the livelihood baselines and databases in on-going assessments, seasonal, mid-seasonal, verification, hot-spot analysis etc. This group could work to ensure that HEA standards are maintained and incorporated into national guidelines (as appropriate).

On-going evaluations both internal and external should contribute to tuning the Livelihoods work in Ethiopia.

## Financial Report through September 30, 2009

| | |
|---|---|
| Contract value as of modification no. 5 (July 20, 2009) | **$4,514,629** |
| Year 3, Quarter 3 Expenditures for April 1 - June 30, 2009 | **$ 338,500** |
| Year 3, Quarter 4 Expenditures for July 1 - September 30, 2009 | **$ 208,908** |
| Cumulative expenditures through September 30, 2009 | **$4,052,418** |
| Contract funds remaining as of September 30, 2009 | **$ 462,211** |
| Funds obligated, as of September 30, 2009 | **$4,514,629** |
| Obligated funds remaining: | **$ 462,211** |

**Annex 1: Misconceptions and the appropriate response**

There are a couple of misconceptions about the approach – circulated usually by individuals who have not yet been trained. These misconceptions are easy to address and respond to. Examples of misconceptions and appropriate responses include:

- The data is not available at the woreda level. *(Data is not only available at the woreda level but sub-woreda level to livelihood zones within the woreda)*
- The approach only looks at food needs and does not consider other aspects of livelihoods. *(The approach not only looks at food but also can contribute to the development of appropriate non-food interventions – see the Launch materials*)
- The LIAS can only be used for rain failure/drought and cannot be used for conflict, floods or other emergencies. *(The livelihood approach has been used throughout Africa to cover various types of hazards including conflict, floods, HIV/AIDS etc.)*
- The baselines automatically need updating after a specific period of time. *(See note on page XX above)*

The reasons for the continued circulation of these misconceptions is not clear and may include:

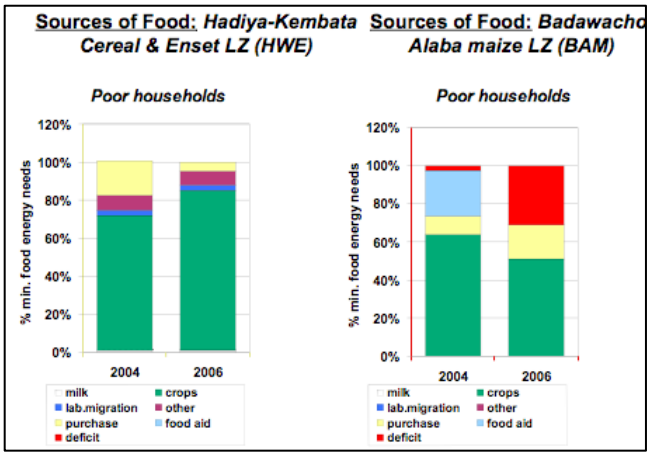
- High staff turnover - Whilst a growing number of people in Ethiopia appreciate the value of the livelihoods analytical framework, the livelihood profiles and the databases, many people are not yet familiar with the approach. This is exacerbated by the high turnover of staff both in government and within the international community.
- Lack of technical livelihoods skill and knowledge among one or two individuals who repeatedly raise the same concern in every meeting that they attend without reviewing the available documentation including materials launched by the government earlier in the year.
- Concerns at various levels (woreda, zonal, regional and federal) that the tool could pre-empt political preferences or locally defined needs. Whereas, in fact the tool should enable politicians and technicians to come together and clarify what is known and identify issues that need further follow-up eg how does production from enset change from year to year; how does livestock composition change
- Interests of different international organisations keen to encourage their own methodologies at the expense of existing data and without identifying the linkages to the existing livelihood data.
- Loss of livelihoods trained government staff, following the closure of the DPPA and the relocation of the LIU to the DRMFSS.

It is evident that if the LIU database to be fully utilised, it will require support from the highest levels – to ensure that concerns about the approach are clearly technically documented and technically addressed and given due weight and consideration.

**Annex 2: Outlines the key elements of a monitoring system**

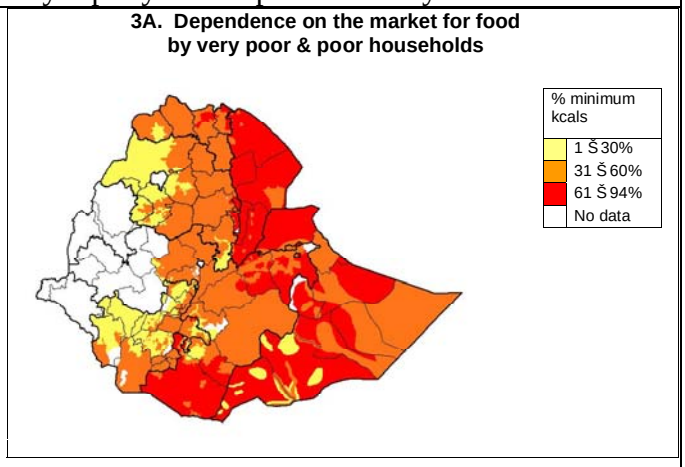
- **<u>Current and future components that impact on livelihoods</u>** (i.e. LEAP WRSl, rainfall data, crop production data, market price, livestock status, labour data). This can be done both monthly and/or during the seasonal assessment. ***If this information is fed into the LIAS, the data can also be used to predict needs.***

The LIAS provides a way of weighting monitoring data in terms of its relative importance in each livelihood zone and woreda. For example, in Angacha woreda in 2005, total grain production increased by 15% compared to the baseline year. This came from a 35% increase in wheat production and a 20% increase in barley production, although there was also a 45% ***decrease*** in maize production. There are two livelihood zones in the woreda: HWE (a highland wheat/barley dependant area) and BAM (a lowland sorghum/maize/haricot bean dependant livelihood zone). Traditional woreda-level analysis would have masked the food deficits in BAM evident using HEA, as illustrated.

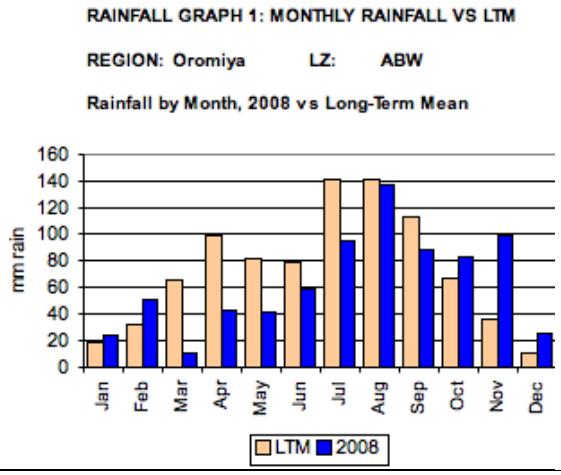


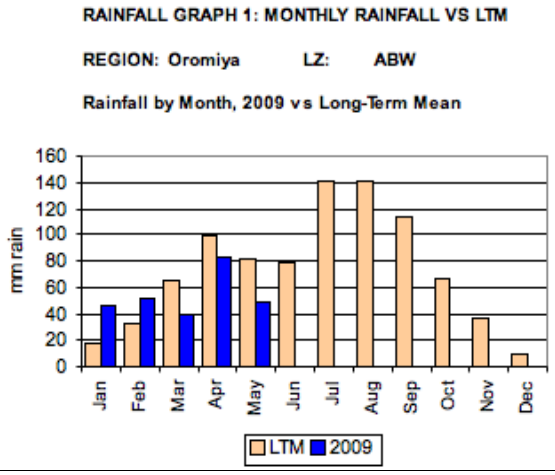

- **<u>Changes in needs.</u>** Predicted needs may change very rapidly. Example in recent years include:

a) The rapid increase in staple foods in the first half of 2008 which led to a dramatic increase in the number of beneficiaries beyond those originally predicted during the 2007 Meher 2007. Many households in rural Ethiopia are dependant on food purchase during the hunger season (the months preceding the next harvest). Food prices increased by 3-400% in most parts of the country just before the start of the hunger season and the peak purchase months.




b) Excessive rains during the Meher harvest months in 2008/9. The pre-harvest survey of November 2008 over-estimated production. Following excessive rains during November to February 2009,

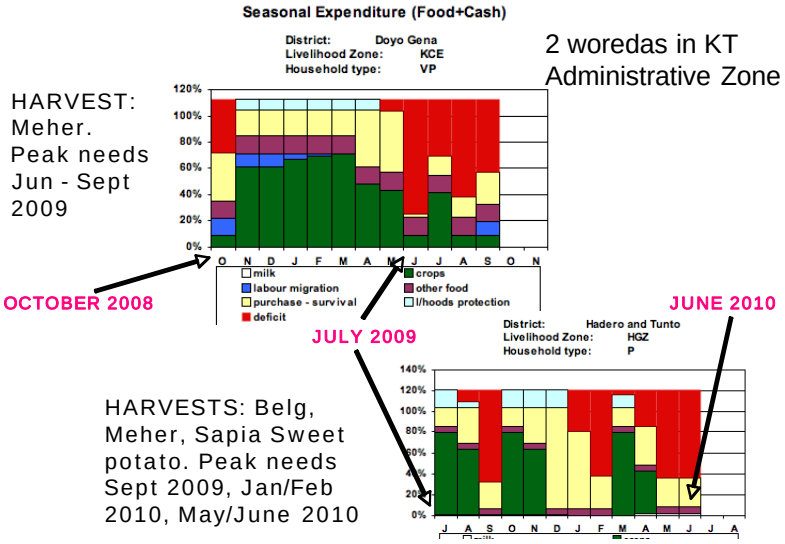



- **<u>Responses.</u>** Monitoring of the response is essential to understand whether the needs are being met. Responses need to be appropriately timed and of the correct magnitude and well-targeted.

As can be seen from the graphs. Responses even in one administrative zone (eg KT, SNNPR) should occur at distinctly different times. Doyo Gena woreda is a Meher dependant area in which needs peak during June to October, whilst Hadero and Tunto woreda is a belg dependant area with deficits from January – June. The scale of the deficits in Hadero and Tunto being dependant on the scale of the sweet potato harvest during the sapia rains.

If a woreda receives insufficient food to respond to deficits or the response is poorly targeted then negative outcomes can be anticipated.




- **<u>Out-comes (nutritional status, disease status, migration).</u>** Monitoring of outcomes can help confirm that the assessment and response is effective. Negative outcomes (eg high rates of malnutrition) indicate a problem that requires follow-up including identification of the:
  - Causes (eg malnutrition)
  - If livelihood related – was the response appropriate – did it enable households to access sufficient food or health care, was the response well-targeted reaching households at greatest risk of malnutrition

When resources are limited (i.e. in-country food stocks are inadequate) then there is a need for **hot-spot analysis**. The simplest way of doing this is would be to base needs on a survival deficit rather than the livelihood protection deficit. And if necessary reduce kcal intake to below 2100 kcals using the LIAS (i.e. weighting the reduction in response according to livelihoods and needs within woredas and livelihoods)[23]

[23] This is not the same as weighting indicators and producing vulnerability indices (see Annex X for two overheads that demonstrate why this would be inadequate).

## Annex 3: Hot-spot analysis – The disadvantage of weighting indicators

Setting thresholds?

How should one weight? Can we equate a High GAM level 0.5 with sale of firewood 0.3 plus critical pasture shortage 0.2?

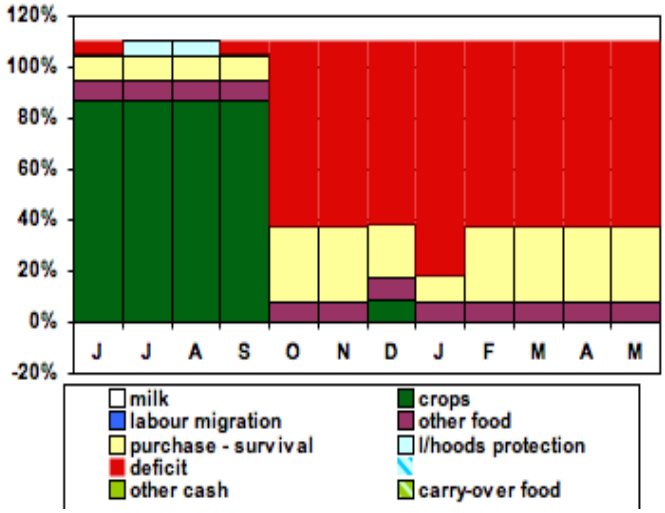
Sequencing issues: High GAM now - relates to poor season in the past.

What does a weight of 69.2% mean? How does it link a response eg to the number of people and MT of food?

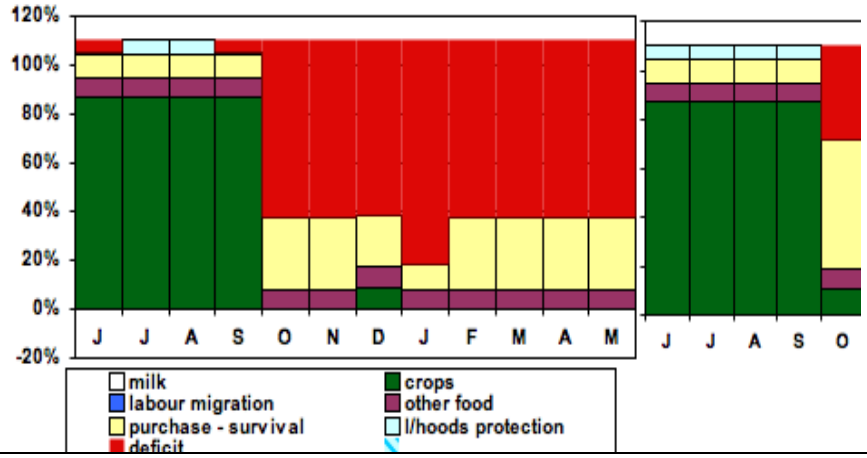
| Step 1 | | Step 2 | Step | | | | |
|---|---|---|---|---|---|---|---|
| A | B | C | D | | | | |
| AVariable or Indicator Identification | Type of Indicator Classification | Threshold Establishment | Curre Class | | | | |
| No Sugum Rains | EW Table 1) | 300mm | Failur | | | | |
| Critical Water shortages | EW Table 1) | Normal | Highl | | | | |
| Emaciated animals | EW Table 1) | Normal | Below Normal | 3 | 0.2 | 0.6 | 1 |
| Critical pasture shortage | EW | | Slightly Below | | | 0.6 | 1 |
| Markets disruption | EW | | | | | | |
| Unusual cattle migration | ES | | | | | | |
| Stress migrations | ES | | | | | | |
| Sale of firewood | ES (Table 2) | | | | 0.3 | | |
| Chronic conditions | ES (Table 2) | | | | 0.3 | | |
| Human Disease ( Malaria) | ES (Table 2) | | | | | | |
| Increased refuges influx | ES (Table 2) | | | | | | |
| Animal deaths | ES (Table 2) | | | | | | |
| High GAM level | LS (Table 3) | | | | | | |
| Killing of young calves | LS (Table 3) | | | | | | |
| Increased school drop outs | LS (Table 3) | | | | | | |
| Step 6: | Calculating Total Weights | | | Total | | 4.5 | 6.5 |
| Step 7: | Calculating % of weight | | J | % | | | 69.2 |

**Weighting indicators is unreliable.**

**For example – if in January 2009, high rates of malnutrition are identified in the woreda (graph on the left) and food deficits are expected to continue through to May as the next harvest is not expected until June then the response required would be**




**Emergency Response – possibly general ration or cash, supplementary feeding and medical treatment of severely malnourished treatment (including therapeutic feeding)**




In this example – if high rates of malnutrition were identified in June 2009. The interpretation of the malnutrition data would be different. High rates of malnutrition in June during the harvest time may suggest that the response between October and May was inadequate or that there had been a recent disease outbreak leading to malnutrition. The response would not require a general food ration –medical support including therapeutic feeding might be more appropriate.

**Annex 4: Two scenarios – Wolayita Zone**

## Predictions from Meher 2007, Belg 2008 and Meher 2008 and implications for the next 6 months.
## 8 December 2008

**Context:** Wolayita is a Belg dependant area, but with a sweet potato harvest dependant on growing conditions from planting time in October/November to harvesting in March/April/May and the Sapia rains which fall from December/January. The sweet potato harvest provides 1-2 months of food from April to May and reduces the impact of the hunger season.

| | HEA | PSNP | HEA-PSNP |
|---|---|---|---|
| **Meher 2007** the assessment conducted Nov/Dec 2007. The analysis was run from the main harvest in July 07 to the start of the main harvest June 08 and predicted needs from January – June 2008 | 19,417 | 332,917 | – |

Belg 2007 data

Production 100-200% of the reference year production

Meher 2007 data

Increased crop production – 100-200%

Inflation 125%

**Staple maize price 150-240 birr per quintal (180-250% of reference year)**

Sapia rains (March/April 2008 predictions)

**Sweet potato predicted to be normal (100%)**

**Local labour predicted to be normal (January to June 2008)**

**What actually happened from January – June 2008: A retrospective analysis.**

Sapia rains failed which meant that the sweet potato crop failed: 0-40% of sweet potato harvested

Belg rains failed and local labour for Belg land preparation and planting was reduced by 50%

Market prices of the staple food maize purchased in the hunger season (March to June) increased to 680-710 birr per quintal (650-800% increase compared to reference year)

| | HEA | PSNP | HEA-PSNP |
|---|---|---|---|
| This led to increased needs from March to June (estimated now to have been). | ***348,755*** | ***332,917*** | *15,838* |
| **Belg 2008** assessment conducted in July 2008. The analysis predicted needs from July 08 to December 2008. | **899,434** | **332,917** | **566,517** |

Belg 2008 data

Belg crop failure,

Maize delayed by about 3 months – so no green maize.

Enset availability reduced to 25% as people had consumed excessively before the belg.

Staple maize price: 650-800 birr per quintal

Livestock holdings reduced slightly

Meher production predicted to be poor.

**Meher 2008** assessment was conducted in Nov 2008 and an analysis run from the main harvest in July 08-June 09. The region requested 2 scenarios. Differences between the 2 scenarios are highlighted in **bold** below.

| **Scenario 1: This is the scenario presented on 6 December 2008 in Awassa.** | | | **Scenario 2: This scenario was requested during the Awassa meeting.** | | |
|---|---|---|---|---|---|
| **HEA** | **PSNP** | **HEA-PSNP** | **HEA** | **PSNP** | **HEA-PSNP** |
| **53,529** | **332,917** | **-** | **249,483** | **332,917** | **41,429** |

| | |
|---|---|
| 1. **Maize 100-200% of reference year**<br>2. **Other crops 100-400% of 2003-4 production**<br>3. Meher sweet potato production low 40-100% reflecting shortage of cuttings<br>4. Belg crops had failed, Other root crops failed<br>5. **Ensete 100% of reference year.**<br>6. Staple price of maize in hunger season march-may 2009 - predicted to be 600 ETB/quintal (600-750% of the reference year)<br>7. Sale price of meher crops expect to range from 200-400% of the reference year<br>8. **Sweet potato production in March/April 2009 estimated to be normal (as too early to predict production) so set at 100% of reference year.** | 1. **Maize 100% of reference year**<br>2. **Other crops 100-200% of 2003-4 production**<br>3. Meher sweet potato production low 40-100% r<br>4. Belg crops had failed, Other root crops failed<br>5. **Ensete 25% of reference year – takes time to re-grow**<br>6. Staple price of maize in hunger season march-may 2009 - predicted to be 600 ETB/quintal (600-750% of the reference year)<br>7. Sale price of meher crops expect to range from 200-400% of the reference year<br>8. **Sweet potato production in March/April is expected to be low 50% of the reference year as there are currently reports of shortage of cuttings.** |

**Summary.**

In Meher 2007 production was good, households sold cereal at 150-250 birr a quintal. From March to June 2008 staple maize prices increased dramatically following a) the failure of the Sapia rains and the loss of the sweet potato crop b) the Belg rain failure which lead to reduced labour availability,

Poor households in Wolayita purchase 40-50% of their food in the reference year (a normal to good year). The loss of the sweet potato crop in March/April 2008 meant the hunger season expanded. Belg rain failure meant that households had less access to local labour preparing land, so incomes reduced. Food prices peaked in the months leading up to the Belg harvest and households were no longer able to purchase sufficient food to meet needs.

***Scenario 1*** prediction from January to June 2009 is based on a good Meher 2008 harvest and assumes that the sweet potato production in February/March will be normal. Access to ensete is expected to be the same as the reference year ie 100%. The HEA figure is lower than the number of people currently receiving PSNP.

***Scenario 2*** prediction is based on the Meher 2008 harvest showing no improvement in production compared to 2003-4. Assumes that ensete will be 25% of the reference year. Predicts that the sweet potato production in February/March will be poor due to current shortage of sweet potato cuttings. This scenario gives emergency needs..

**Recommendations**

**1. MONITORING IS ESSENTIAL**

- The price of staple maize from January to June should be monitored
- The sweet potato crop should be assessed in February 2009
- Belg rains & availability of local labour should be monitored (poor rains will reduce access to local labour).

If the monitoring results indicate a rapid increase in price, loss of sweet potato harvest, poor Belg and/or loss of labour then the Meher 2008 livelihood impact analysis should be rerun in March 2009

**2. ISSUES FOR FOLLOW-UP**

- How long does it take ensete to recover from increased consumption?

## Annex 5: Performance Monitoring By Key Results Area through September 30, 2009

| | Indicators | Performance | | | | | | | Notes |
|---|---|---|---|---|---|---|---|---|---|
| | | Year 1 (Oct 1, 2006-September 2007) | | Year 2 (Oct 1, 2007-September 2008) | | Year 3 (Oct 1, 2008- September 2009) | | | |
| | | Target | cumulative to date | Target | cumulative to date | Target | cumulative to date | LOP Target | |
| HA 2.1 | **NUMBER OF PEOPLE TRAINED IN DISASTER PREPAREDNESS AS A RESULT OF USG ASSISTANCE** | **New reporting requirement outside of the strategic objective framework that the rest of the LIU PMP is based on** | | | | **1084** | **1226** | **1084** | **Specifically taken to refer to those who have participated in baseline training, woreda, pilot monitoring, mapping, seasonal assessment training, launch participants, poster consultations and atlas consultations** |
| 1.1 | Number of regions using Household Economy Analysis methodology to predict needs | 3 regions | 2 | 4-6 regions | 5.5 (Oromiya half finished) | 8 regions | 8 regions (SNNPR, Tigray, Amhara, Oromiya, Harari, Dire Dawa, Benishangul, Gambella) | 8 regions (SNNPR, Tigray, Amhara, Oromiya, Harari, Dire Dawa, Benishangul, Gambella) | Regions using HEA for seasonal assessments |
| 1.2 | Number of regions collecting and reporting data on livelihoods key parameters (identified in the baselines and the seasonal assessments) at the woreda level | 1 region | 1 | 3-6 regions | 5.5 | 8 regions | All regions except Gambella and Benishangul | 8 regions (SNNPR, Tigray, Amhara, Oromiya, Harari, Dire Dawa, Benishangul, Gambella) | Regions using HEA data for monitoring including pilot monitoring and other monitoring type activities eg contingency planning and specifics related to the seasonal assessment (such as pulling out importance of price increases). |
| 1.3 | Number of stakeholders trained on use of the HEA methodology during baseline development and seasonal assessments (including woreda training) | 150 | 161 | 750 | 589 | 1230 | 1226 | 750 (figure to be revised based on first year's experiences) | Includes those trained in baseline collection and HEA based seasonal assessments (including woreda training) - NB the number of actual trainings is considerably higher. |

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| 1.4 | Number of nutrition assessments that utilize HEA information | No target set | 9 | No target set | 14 | No target set | 14 | No target set | ENCU has carried out assessment in 12 LZs in Tigray. ACF has an ongoing monitoring program in 1-2 woredas in SNNPR that make use of HEA. ENCU now recommends use of LZ stratification to improve nut surveys |
| 1.2.1 | Number of livelihood baseline assessments and produced livelihood zone, woreda and regional level reports (livelihood profiles) | 30-40 LZ profiles | 16 drafted for Tigray, 14 bullet points prepared for Amhara. | 40-80 LZ profiles | Tigray (16) & Amhara (24): woreda & LZ; draft profiles Oromiya, Harar, Dire Dawa (28) | 60-85 LZ profiles | Tigray (16) & Amhara (25): woreda & LZ; draft Oromiya, Harar, Dire Dawa (60); draft Gambella (3), draft Benishangul (4) | 108 (target is dependant on number of livelihood zones identified) | Where livelihood zone profiles have been finalised, woreda reports are also available |
| 1.2.2 | Number of livelihoods analyses generated/disseminated by the early warning department | 0-4 | >6 | 10-15 | >15 | 10-25 | 10-17 | 10-26 | Tigray credit story; When to do a seasonal assessement - SNNPR; UTB presentations, amhara x2 examples, SNNPR scenario analysis and SNNPR review of labour and purchase, maps on purchase in Tigray & Amhara, SA analysis, West Haraghe, Borena |
| 1.2.3 | Number of staff able to use the various tools, integrated excel database and outputs generated and disseminated by the LIU *this refers specifically to government staff | 10-20 | 32 | 20-40 | 76 | 30-60 | 138 | 30-60 | Calculated from: outcome analysis trainers, co-TLs, seasonal assessment TOT, baseline trainers TOT |
| 2.1 | Number of integrated Emergency Response Units in line ministries that make use of available HEA data in designing/conducting non-food assessments | 1 | 0 | 2-3 | 1 | 2-4 | 1-3 | 3-4 line ministries | Non-foods workshop and pilot water assessment. Ministry of water - involved in pilot water HEA. Ministry of health participate in launch. All ministries involved in SA - limited use of LIU data |

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| 2.2 | Number of early warning recommendations or responses that include livelihood information | No target set | 3 | No target set | 10 | No target set | 10 | No target set | In Sesonal assessments - Meher/Belg/Meher/Belg in SNNPR, Belg/Meher/Belg in Tigray & Meher in Amhara. This could include using data in verification exercises. |
| 2.3 | HEA baselines data and seasonal information used in the development of thresholds standards for interventions | Materials on thresholds circulated | General conclusions on thresholds reahed in the UTB workshop | Contribute to consultation on thresholds | see last yr | thresholds being used | thresholds being used for emergency assessments and are being considered for PSNP | Materials on thresholds circulated; Contribute to consultations on thresholds | Debate on thresholds should have moved forward. |
| 2.4 | The number of DPPA/B and other stakeholder staff trained by the LIU who facilitate training of other staff in the collection, analysis and utilization of HEA data | 10-20 | 10 | 20-40 | 35 | 40-50 | 55 | 50 | Calculate from those able to faciliate HEA based training (certified trainers) - equates to national consultants and interns & couple of others |
| 2.1.1 | Number of training modules and packages developed | Generic materials produced | Generic materials produced | Generic materials upgraded | Generic materials upgraded | Ethiopia specific materials finalized | Generic materials upgraded | Generic materials produced; Ethiopia specific materials finalized | Baseline materials updated for Oromiya, Woreda training materials adapted to each region |
| 2.1.1 | Number of national and regional staff completing LIU certified training | 100 | 43 | 150 | 164 | 200-250 | 238 | 220-240 | Calculate from total numbers who've received LIU certificates of whom 75% come from government |
| 2.1.3 | Number of project trained personnel (both government and others) applying the HEA approach for planning purposes | No target set | 0 | No target set | 7 | No target set | 9 | No target set | FEWSNET contingency planning. At least one member of EDAC has incorporated the approach into their project planning, IMC, ACF climate, WB in climate studies, Livestock Forum |
| 3.1 | Number of other line ministry representatives participating in meetings/workshops conducted at regional/federal level facilitated by govt staff with the objective of | n/a | 3 | 5-10 | 15 | 5-15 | 18 | 5-15 | If the regions are sharing information with line ministries - then coordination is improving - ie ability of federal and regional to share information. Use of HEA to other sectors also enabled. |

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| | increasing utilization of HEA data by other ministries | | | | | | | | This figure under-estimated …. |
| 3.2 | Number of stakeholders using standard guidelines for livelihoods assessments | No target set | 8 | No target set | 8 | No target set | 8 plus | No target set | Count the number of agencies (incl DPPA/DPPB) carrying out HEA based seasonal assessments. |
| 3.1.1 | Non-food parameters developed and agreed upon | n/a | sector specific (water, health, livestock) info shared in UTB workshop | n/a | Water assessment piloted & UNICEF/MOH planning to use data to look at nut | n/a | UMICEF using LIU data to review causes od malnutrition and therefore appropriateness of response | N/A | FAO, Ripple and the MOWR interested in carrying this forward |

## Annex 6: Summary of Key Training Participation for the Period April 1, 2009 – September 30, 2009

| Date | Type of training | Participants | No. of participants |
|---|---|---|---|
| April 22-24, 2009 | Oromiya Phase VI Baseline Analysis & Interim Analysis TOT | MOARD, Woliiso DPPO, OFSDPPC, FSDPPO - Dire Dawa, Bale Zone Agri. Office, ODPPFSC, East Wollega FSDPPO | **7** |
| April 22-26, 2009 | Oromiya Phase VI Baseline training | Jimma FSDPP, I/A/Booraa – FSDPPO, H/G/W FSDPPO, Nekemte FSDPPO, OFSDPPC, Ambo FSDPPO, Kellem – FSDPPO, Adama FSDPPO, Mettu FSDPPO, Shashemene FSDPPO | **13** |
| June 3-4, 2009 | Seasonal Assessment TOT | WFP, OFSDPPC, FEWSNET, WFP, DPPA, Tigray FSDPPC, Awassa FSDPPC, Amhara FSDPPO, OCHA | **14** |
| May 20-23, 2009 | Benishengul Gumuz Woreda Training | | **35** |
| May 21-22, 2009 | Gambella Woreda Training | | **27** |
| June 8-11, 2009 | Outcome analysis or Using the baselines training for Benishengul, Gambella & Oromiya | Kurmuk WRDO, Jimma FSDPP, Gambella FSDPPO, I/A/Booraa – FSDPPO, Assosa FSDPPO, Woliiso DPPO, H/G/W FSDPPO, Nekemte FSDPPO, OFSDPPC, Ambo FSDPPO, GARI, Godare ARDO, BOARD, Kamashi Zone Desk, B. Gumuz FSDPPO, Kellem FSDPPO, Adama FSDPPO, Mettu FSDPPO, Shashemene FSDPPO | **26** |
| July 7-10, 2009 | Outcome analysis or Using the baselines training for Oromiya | FSDPPO – Fitche, MOARD, Kellem – FSDPPO, ARD, DPPB/FS Adama, ODPPFSC, DRMFSS | **10** |

## Annex 7: Summary of Internships for the Period April 1, 2009 – September 30, 2009

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|---|---|---|---|
| Alem Teklu | Tigray | March 09 - April 18, 2009 | Baseline assessment fieldwork and analysis - Benishengul |
| Hussein Awol | DMFSS | April 1 - May 10, 2009 | Drafting Oromiya LZ Profiles |
| Kinfe Terefe | Oromiya | April 10 - 19, 2009 | Facilitate Baseline Analysis Training - Oromiya |
| Getnet Shiferaw | Oromiya | April 11 - 17, 2009 | Facilitating Baseline Analysis Training - Benishengul |
| Ayalew Yimer | DMFSS | April 26 - June 6, 2009 | Baseline assessment fieldwork and analysis - Oromiya Region |
| Emebet Minas | Oromiya | April 26 - June 6, 2009 | Baseline assessment fieldwork and analysis - Oromiya |
| Getnet Shiferaw | Oromiya | April 26 - June 6, 2009 | Baseline assessment fieldwork and analysis |
| Mesfin Yimer | Dire Dawa | April 26 - May 15, 2009 | Baseline assessment fieldwork and analysis - Oromiya |
| Kinfe Terefe | Oromiya | May 29 - July 6, 2009 | Facilitate Woreda Training in Oromiya |
| Tigabu Haderey | Amhara | May 29 - June 8, 2009 | Facilitate Baseline Analysis Training |
| Alemu Nurgi | Oromiya | June 9 - July 2, 2009 | Facilitate Woreda Training in Oromiya |
| Tibebe Beyene | Oromiya | June 9 - 30, 2009 | Facilitate Woreda Training in Oromiya |
| Alemu Nurgi | Oromiya | June 9 - July 2, 2009 | Facilitate Woreda Training in Oromiya |
| Ayalew Yimer | DMFSS | July 4 - 12, 2009 | Facilitating Woreda Training - Oromiya |
| Getnet Shiferaw | Oromiya | July 6 - 10, 2009 | Facilitating Outcome Analysis Training |
| Beyene Sebeko | DMFSS | July 6 - 18, 2009 | Drafting 4 Oromiya LZ Profiles |