



USAID OFFICE OF FOOD FOR PEACE

Food Security Country Framework for Ethiopia

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Acronyms and Abbreviations

AGP	Agricultural Growth Program
AKLDP	Agriculture Knowledge, Learning, Documentation and Policy Project
AMDe	Agricultural Market Development
BEST	Bellmon Estimation Studies for Title II
CBN	Community-Based Nutrition
CPI	Consumer Price Index
CRGE	Climate Resilient Green Economy
CSA	Central Statics Agency
DFAP	Development Food Assistance Program
DHS	Demographic and Health Survey
DRM	Disaster Risk Management
EDRI	Ethiopian Development Research Institute
EGTE	Ethiopian Grain Trade Enterprise
ENGINE	Empowering New Generations in Nutrition and Economic Opportunities
ETB	Ethiopian Birr
EU	European Union
FEWSNET	Famine Early Warning System Network
FFP	Food for Peace
FSCF	Food Security Country Framework
FSCD	Food Security Coordination Directorate
GDP	Gross Domestic Product
GRAD	Graduation with Resilience to Achieve Sustainable Development
GOE	Government of Ethiopia
GTP	Growth and Transformation Plan
HABP	Household Asset Building Program
HEP	Health Extension Program
JEOP	Joint Emergency Operation
LAND	Land Administration to Nurture Development
LMD	Livestock Market Development
MERET	Managing Environmental Resources to Enable Transitions to more sustainable livelihoods
MDG	Millennium Development Goal
MFI	Microfinance Institution
MOA	Ministry of Agriculture
MOFED	Ministry of Finance and Economic Development
MOLSA	Ministry of Labour and Social Affairs
MT	Metric Ton
NNP	National Nutrition Program
PCDP	Pastoral Community Development Project III
PIM	Program Implementation Manual
POTENTIAL	Promoting Opportunities through Training, Education, Transition Investment, and Livelihoods for Youth
PRIME	Pastoralist Resiliency Improvement and Market Expansion
PSNP	Productive Safety Net Program

RESET	EU Resilience Building Initiative in Ethiopia
SUN	Scaling Up Nutrition
USAID	United States Agency for International Development
WATER	Water, Sanitation, and Hygiene Transformation for Enhanced Resilience
WFP	World Food Programme

Executive Summary

Over the past twenty years, Ethiopia has made significant progress in improving health, nutrition, education, and other human development indicators. Life expectancy has risen dramatically, while the percentage of the population living in poverty and hunger has fallen by a third in the last ten years alone. Sustained economic growth and strong pro-poor spending have been critical to this success, supported by the commitment of development partners such as USAID to support Ethiopia's aspirations in poverty reduction.

Yet for millions of Ethiopians, poverty, vulnerability and food insecurity remain, and are exacerbated by climate change and other shocks and stresses. The Productive Safety Net Program (PSNP) comprises a variety of components that strengthens adaptive capacity and reduces risk. Now in its fourth phase, the PSNP provides cash and food transfers, public works that rehabilitate watersheds and build community infrastructure, livelihoods interventions, disaster risk management, and, beginning in 2015, links to nutrition and health services. Together, these interventions strengthen food availability and food access, and through nutrition linkages will also improve food utilization.

USAID Food for Peace (FFP) supports the PSNP through Title II-funded Development Food Assistance Programs (DFAPs), and provides complementary emergency support through the Joint Emergency Operation (JEOP) and Protracted Relief and Recovery Operation (PRRO). This Food Security Country Framework (FSCF) describes the overall food security context in Ethiopia and is meant to serve as a resource for developing the next round of FFP resources (2016-2020).

Introduction

Objective

The Food Security Country Framework (FSCF) provides an overview of the current context and situation for food security programming in Ethiopia, with the overall objective of serving as a framework for the development of the next round of Food for Peace funding in Ethiopia. The FSCF should serve as background for targeting, programming and integrating Food for Peace resources with other resources to strengthen food security and resilience among vulnerable populations in Ethiopia.

Background

In Ethiopia, USAID's Food for Peace resources support the Productive Safety Net Programme (PSNP), and complement the financial resources provided by ten other donors. Now in its fourth phase (PSNP 4), the PSNP is a food security program targeting food insecure households in rural Ethiopia. It comprises a cash and food transfers component, a permanent direct support component, a risk management component, a public works and links to social services component, and a livelihoods component. These are explained in further detail in the Food Security Context section below.

Definitions (drawn from USAID Policy Determination 19, 1992)

Food security. "Food security exists when all people at all times have both physical and economic access to sufficient food to meet their dietary needs for a productive and healthy life."

Food availability refers to the presence of food, e.g. when "sufficient quantities of appropriate, necessary types of food from domestic production, commercial imports, commercial aid programs, or food stocks are consistently available to individuals or within their reach." Hence, food availability is largely a function of macroeconomic factors.

Food access refers to the resources the households have to obtain foods, either through own production or through purchase. "Individuals have assets or incomes to produce, purchase, or barter to obtain levels of appropriate foods needed to maintain consumption of an adequate diet/nutrition level." Hence, food access is largely related to household income and own production.

Food utilization refers to the nutritional benefits derived from food consumption. "Food is properly used; proper food processing and storage techniques are used; adequate knowledge of nutrition and child care techniques exist and are applied; and adequate health and sanitation services exist." Hence food utilization is largely related to nutrition, health and sanitation.

Methodology

This framework was developed through a combination of primary and secondary information collection. An extensive review was conducted of available documentation, including economic and sectoral assessments (e.g. the 2014 World Bank Poverty Assessment and the Millennium Development Goals Report, together with relevant data websites), the PSNP design document and Program Implementation Manual, food security updates (the August 2015 Humanitarian Requirements Document update as well as several FEWSNET reports), livelihoods databases, and a variety of other data sources cited throughout the framework. These documents were

supplemented with primary sources: interviews with USAID/Ethiopia, Food for Peace Washington, Government of Ethiopia stakeholders at federal and regional levels including the Ministry of Agriculture, Ministry of Health, Ministry of Labour and Social Affairs. In-depth discussions were also held with PSNP Development Partners, and USAID implementing partners. Field visits were conducted in Tigray, Amhara, Oromia, Dire Dawa, and Southern Nations Nationalities and Peoples (SNNP) which included regional consultations and site visits to speak with local officials, implementing partners, communities and beneficiaries.

Context

Country Context

With a population of 88.9 million,¹ Ethiopia is Africa's second most populous country. It is a highly rural country, with 83% of the population living in rural areas and subsisting largely on agriculture.² Agriculture accounts for nearly half of Ethiopia's GDP of \$47.53 billion,³ and contributes 90% of the country's exports. Although it remains a low-income country, Ethiopia has made significant strides in reducing poverty through a combination of rapid economic growth (8-14% annually since 2004), fiscal policy, and significant investments in pro-poor sectors such as education, agriculture and health. The percentage of the population under the National Poverty Line has fallen from 44.2% in 1999 to 29.6% in 2010, with the rural poverty rate falling from 45.4% to 30.4% over the same period.

Ethiopia has also made significant progress in reducing hunger, with a 39.24% reduction in the Global Hunger Index from 1990 to 2013.⁴ The percentage of the population below a minimum level of dietary energy consumption dropped dramatically from 74.8% in 1990 to 32% in 2015, although the total undernourished population remains high (31.6 million, down from 37.3 million in 1990). Over the same period, Ethiopia saw promising improvements in children's nutrition, with rates of undernutrition among children under five decreasing by approximately 26%. Life expectancy has increased from 52 years in 2000 to 64 years in 2013.⁵

The sections below outline a range of cross-cutting issues that impact or are otherwise related to food security in Ethiopia.

Health and Nutrition

Ethiopia has made impressive progress since 1990 in reducing hunger and improving health and nutrition for women and children. According to the official Millennium Development Goals (MDG) database:

¹ IMF World Economic Database, 2014

² World Bank, 2012 (from Feed the Future website)

³ World Bank, 2013

⁴ MDG Report, 2014

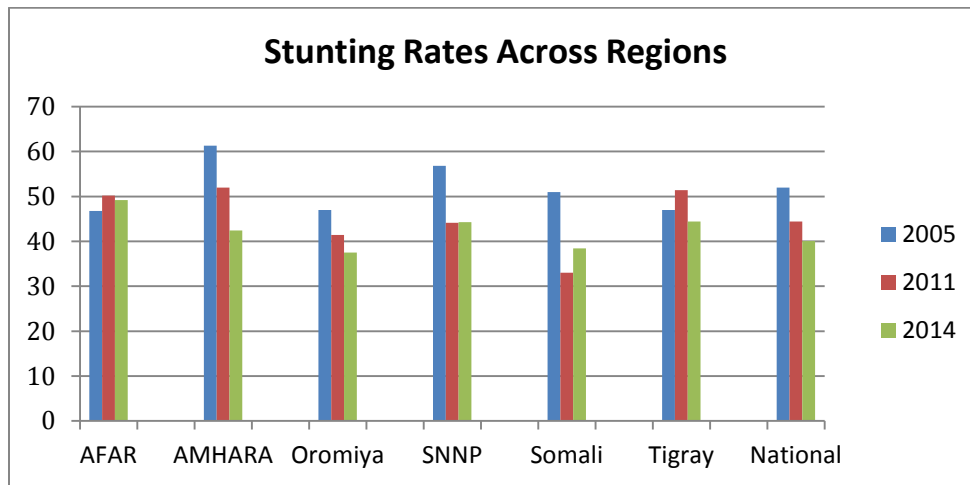
⁵ World Bank (website)

- Ethiopia met its *Reduce Child Mortality* MDG related to under 5 mortality in 2012. From over 200 deaths per 1,000 live births in 1990, the rate decreased to 64 deaths per 1,000 live births in 2013.
- Ethiopia has made dramatic progress in its *Improve Maternal Health* MDG as well, reducing the maternal mortality ratio from 1,400 per 100,000 live births in 1990 to 420 in 2013. This was achieved through low-cost interventions such as the health extension program, which has brought health services and advice to rural populations. Nearly 1 in 3 women attended four antenatal checkups in 2013, up from 1 in 10 in 2000. In addition, family planning awareness and access have contributed to an important drop in total fertility rate, from 7 children per woman in 1995 to 4 children in 2011.⁶

Access to safe water and sanitation, an important contributor to health, is another area in which Ethiopia has made significant strides. The percentage of the population with access to safe drinking water in rural areas of Ethiopia increased from 3.5% in 1990 to nearly half (49%) in 2015, while the percentage of the rural population using improved sanitation facilities grew from 0% to 28%. Over nearly the same period (1990-2013), the practice of open defecation declined from 82% to 34%.⁷

Nevertheless, significant challenges remain. 44% of children under 5 are stunted, 10% are wasted and 29% are underweight.⁸ The graph below shows how stunting in particular has been reduced, but remains a serious issue, even in regions such as Tigray and Amhara where other indicators have improved.

Figure 1: Stunting Rates Across Regions



Source: EDHS 2005, 20011 and Mini-DHS 2014

⁶ World Bank (website)

⁷ MDG report, 2014

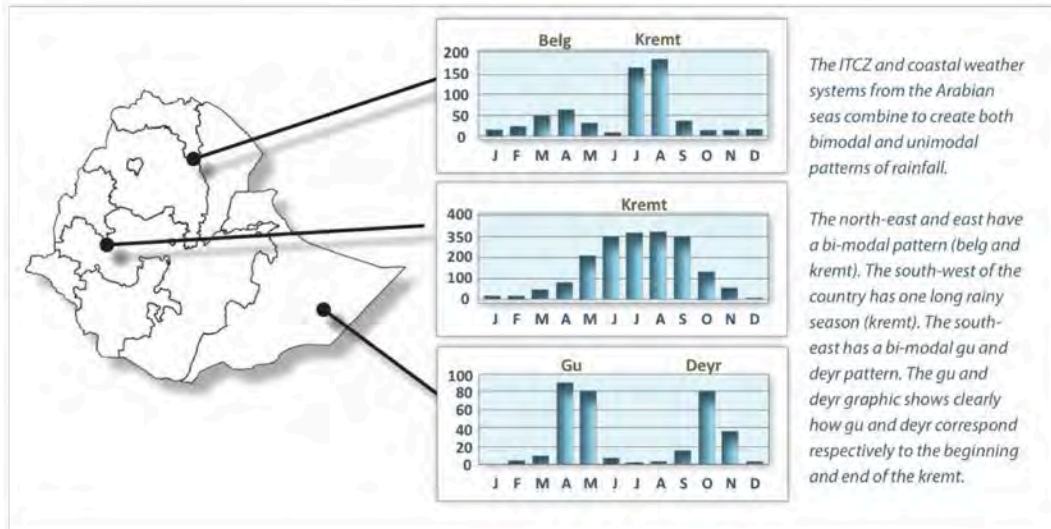
⁸ World Bank and DHS

In addition, despite a significant increase in the number of health posts (159% increase between 2006 and 2013) and health centers (386% increase between 2007 and 2013), Ethiopia has the lowest rate of births attended by skilled health personnel (10%) within Africa.

Environment, climate, and natural disasters

Rural food security depends largely on rainfall, which determines the success of *meher* and *belg* crops in the highlands, and the availability of water and pasture for livestock in the lowlands.

Figure 2: Rainfall patterns Across Ethiopia



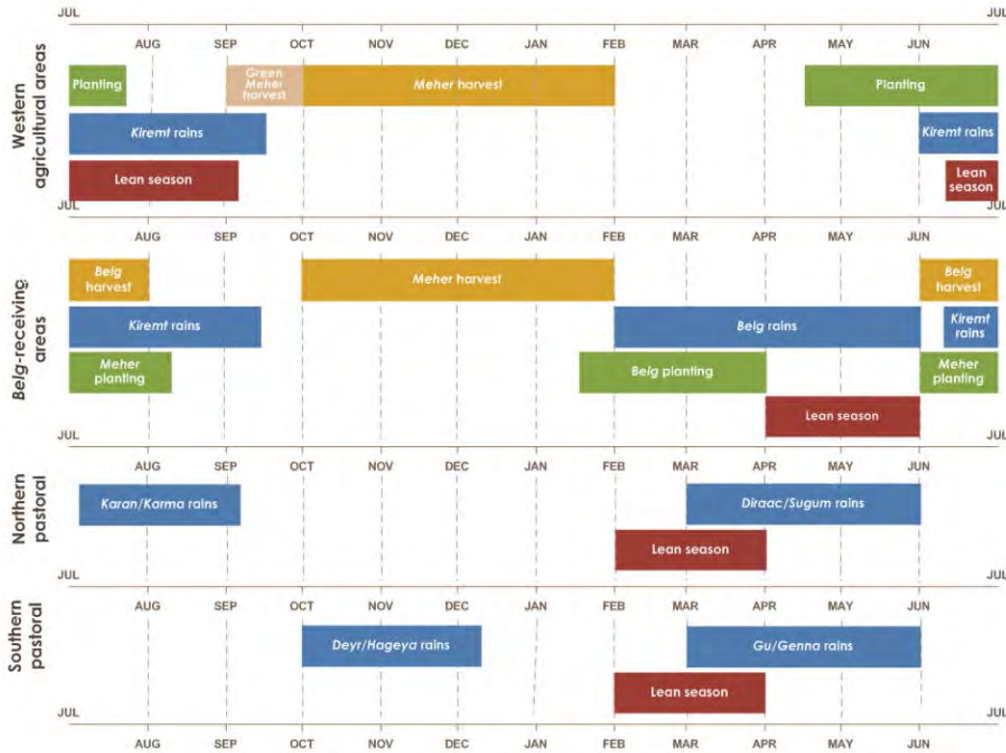
Source: *Atlas of Ethiopia Livelihoods*

In the highland areas, the *meher* crop, harvested in October-February, is the primary crop for most households. This crop depends on the *kiremt* rains, which fall mid-June to mid-September. Most of the highland areas targeted by the PSNP—most of Amhara, Oromia, SNNPR and Tigray—are typically at the height of food availability and access during the *meher* harvest. The *belg* season, while less important nationwide, is critical to 4.5 million smallholders in the east and south of the country. *Belg* rains fall in March-May, and the associated *belg* crop is harvested in June-July. Lower-than-average or poorly distributed rainfall can lead to low crop productivity, which negatively affects both food availability and food access for rural populations.

Lowland areas in Afar and northern Somali are dependent on the July-September *karma/karan* rains, while lowland southern Somali is dependent on March-June *gu/genna* rains and the October-December *deyr/hageya* rains. In the lowlands, inadequate or irregularly distributed rainfall affect crop production in agro-pastoral areas and lead to poor livestock productivity, poor condition and increased susceptibility to disease, thereby increasing livestock mortality. Households with small herds are less likely to recover from droughts, and over time may fall out of pastoralism with few viable livelihood alternatives.

The graphic below represents the typical seasonal agricultural calendar for different areas of Ethiopia.

Figure 3: Seasonal Agricultural Calendar of Ethiopia

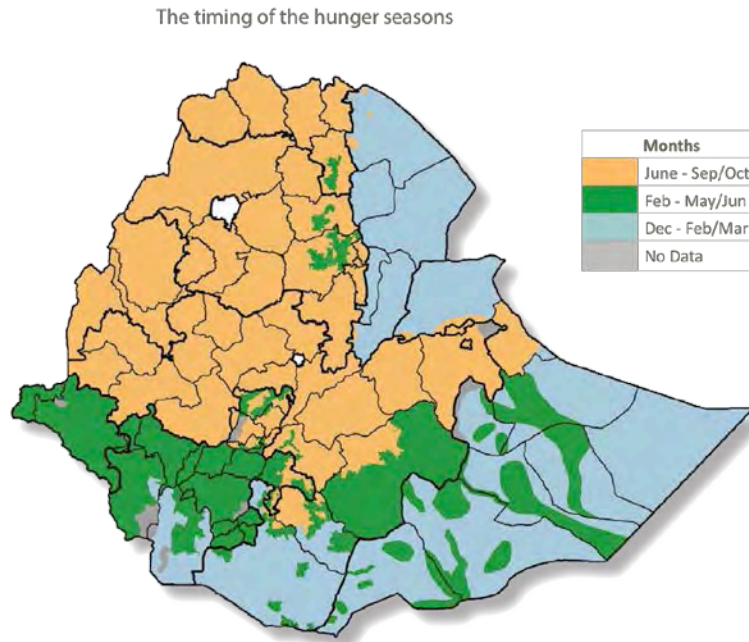


Source: FEWSNET

Ethiopia is highly vulnerable to the adverse impacts of climate change. Climate change is expected to lead to more erratic rainfall and increased frequency of extreme weather events (droughts and floods)

Seasonality also directly affects the onset of the hungry season. In cropping areas where *meher* harvest dominates, it is a pre-harvest phenomenon typically from June to September/October. In *belg* producing areas the hunger season occurs earlier in the year from February to May/June. In pastoral livelihood zones the main hunger season is from December to February/March

Figure 4: Timing of the Hunger Seasons



Source: *Atlas of Ethiopia Livelihoods*

Climate and Food Security in Ethiopia⁹

Rural livelihood systems in Ethiopia are highly sensitive to climate. Food insecurity patterns are seasonal and linked to rainfall patterns, with hunger trends declining significantly after the rainy seasons. Climate related shocks affect productivity, which together with high levels of poverty and low levels of technology, leave people with limited choices or resources to adapt. These changes also hamper economic progress and exacerbate existing social and economic problems. The available evidence for Ethiopia suggests climate variability is manifested through:

- **Increased temperatures** – incremental but also linked to more intense heat waves and higher rates of evapotranspiration. By themselves, these increases in temperature can affect many aspects of local economic development and agricultural productivity. For example, warmer temperatures and increased evapotranspiration can:
 - Exacerbate tensions that already exist between the agricultural / livestock interests and other uses of water, especially during

⁹ Climate risk analysis and recommendations for this framework are provided by the Adaptation Thought Leadership and Assessments (ATLAS) project implemented by Chemonics International

the dry season, where these changes will become more pronounced.

- Alter the quality of water available. Water requirements are met across the intervention areas through runoff, rivers and streams.
- Increases in temperatures could negatively impact water quality through increased microbial load, and eutrophication in these sources.
- **Likely increases in the number of extreme events.** The future of precipitation for the region in a changing climate is uncertain. This is due to large uncertainties in the projections available on the global circulation models, partly because of their low spatial resolution. Despite these uncertainties, it is clear that in the future, significant increases in climate variability and extreme events such as droughts and floods can be expected. The impacts of these changes are already significant, not only in human costs but also in economic and financial terms.
- **Changes in rainfall patterns, decreased reliability and more erratic.** A large proportion of Ethiopia's production rain fed and is harvested in areas where more rain falls in the *meher* season than the *belg*. However, the late arrival and general un-reliability of the *Belg* rains, which occur between February and May, does have significant impacts to food security as it is also key for the incubation of long maturing crops. By itself, this dynamic is:
 - positively correlated with cereal yields, with wetter years linked to higher yields, particularly during April-May, which highlights the importance of the *belg* rains to food security.
 - negatively correlated to food prices. Lower production is linked to higher food prices, particularly after the *belg*.

Other common climate related problems and pressures include:

- **Droughts:** remain one of the key drivers of food insecurity in Ethiopia. Since 1950, 12 major drought-induced food security crises have occurred. The main impacts of droughts include crop damage, loss of pasture and water sources, loss of animals, hunger, disease outbreaks, asset depletions, malnutrition, price fluctuations and migration. Droughts can result in sharp reductions in agricultural output and related productive activity and employment, with multiplier effects on the national economy.
- **Floods:** both riverine and flash floods regularly cause crop and infrastructure damage, contributing to farmland degradation and erosion, water quality, and loss of livelihoods and life.
- **Land degradation:** factors such as changes in forest cover and land use changes, population pressure and poor agricultural practices among others, have led to the degradation of soil. Under these circumstances, and combined with the intensification of the variability and climate change, the problems of soil degradation and water jeopardize the sustainability of areas dedicated to subsistence.
- **Fluctuations in water availability:** natural sources of water include rivers, lakes, groundwater, streams, creeks and rainfall. The effective use of water resources

is essential. However, with changes in the intensity of rainfall, significant changes in periods of drought and displacement of periods of precipitation are also seen.

Humanitarian issues

Ethiopia remains vulnerable to a range of shocks and stresses that could undermine the impressive progress made in poverty reduction. Weather shocks remain an important source of risk in rural areas with price shocks becoming increasingly important. Individuals everywhere—in every woreda of Ethiopia—are vulnerable.¹⁰

Humanitarian response to acute food insecurity remains an integral part of the overall Disaster Risk Management strategy of the government, but within an integrated approach that emphasizes a comprehensive system for managing disaster risk (see DRM policy below). This is reflected in the design of the PNSP 4 which situates emergency response within a phased ‘continuum of response’ that reflects the DRR principles of greater emphasis on preparedness and early response.

The tiers of response build on the currently established process: 1) the core PSNP addresses chronically food insecure households (with the PSNP gradually absorbing the chronic caseload of repeat relief assistance beneficiaries in PSNP areas), (2) a Contingency Budget at woreda and federal level quickly addresses modest shocks and correct exclusion errors, and (3), humanitarian relief for rapid onset of large-scale emergencies. Improvements will be made to ensure that the Contingency Budgets work better, in terms of being easier to trigger, access and track and being used uniformly across regions. Significantly, both PSNP and humanitarian response will be determined through one assessment process and one response plan.

At the time of writing, the overall food security situation was characterized by worrying trends. The August 2015 hotspot classification identified 142 priority one woredas, a 46.3 per cent increase from the 97 priority one woredas identified in the May 2015 classification. In July, 31,729 SAM cases were admitted to therapeutic feeding programs, a 73 per cent increase from the 18,333 SAM cases reported in January 2015¹¹ (see “Current food security situation” below).

Markets¹²

Agriculture accounts for nearly half of Ethiopia’s GDP, followed closely by services (41%), while industry represents only 10%. Economic growth and agricultural growth are therefore largely correlated.

Despite an increase in exports in recent years, Ethiopia continues to run a significant trade deficit. Major exports are coffee, oilseeds, livestock and gold, but these are dwarfed by imports of fuel, construction materials and machinery, motor vehicles, cereals, fertilizer and textiles.

¹⁰ World Bank Poverty Assessment (2014)

¹¹ Government of Ethiopia Emergency Nutrition Coordination Unit Hot Spot list August 31, 2015

¹² Data in this paragraph are drawn from the 2015/16 Bellmon Analysis

During the decade of rapid economic growth that began in 2004/05, several years (notably 2008 and 2010/11) have seen severe spikes in inflation. While the 2008 spike was driven largely by non-food inflation, 2011 saw food price inflation of 39%, leading to high food prices. In 2015, inflation has run at an estimated 10%, but the Bellmon Analysis estimates that the consumer price index (CPI) may be impacted as a result of cereal price inflation in recent months.¹³ While high food prices benefit farmers, they hurt the poorest, who are net buyers of food even in rural areas.

Smallholder farmers access markets through cooperatives and/or networks of assemblers and traders who communicate with brokers and retail outlets to move grain from surplus to deficit areas and towns. Although the chain is long, it can be considered necessary given small-scale and dispersed production, as well as language barriers between value chain actors in different parts of the country. The Bellmon Analysis concludes that parallel price movements in different areas demonstrate that the market for agricultural produce is well integrated, with market information disseminated through mobile phones and limited opportunities for substantial spatial arbitrage.¹⁴

The GOE is committed to ensuring the affordability of basic foodstuffs such as bread, edible oil and sugar. The price of bread was fixed at ETB 1.3 in 2014, which inhibits bakers from using local wheat flour, as prices are prohibitive (ETB 900 per quintal of wheat or ETB 1,350 per quintal of flour). Therefore, the GOE imports wheat through the Ethiopian Grain Trade Enterprise (EGTE) and sells it to millers at ETB 575 per quintal. These sales were initially subsidized, but recent declines in wheat prices may enable sales at close to cost prices. EGTE's current planned 2015 import of 400,000 MT (much of which will arrive after June) is close to the average sales volumes of 420,000 MT per year over the past five years. Due to limited foreign exchange availability, there are no commercial wheat imports.

An analysis on current food availability in Ethiopian markets is provided in the Food Security Context section below.

Labor plays a key role in the rural economy with labor markets particularly important for the poor.¹⁵ Today, the cropping economy could not work without the selling and hiring of labor. Every stage of Ethiopian farming tends to include some hired labor. However, most of the poorer half of the population are unable to maximize returns on agriculture given the low level of land, livestock and other assets they hold. The poorer half simply cannot make ends meet without employment earnings.¹⁶ The graph below underscores the importance of labor for the poorest as compared to the better off households.

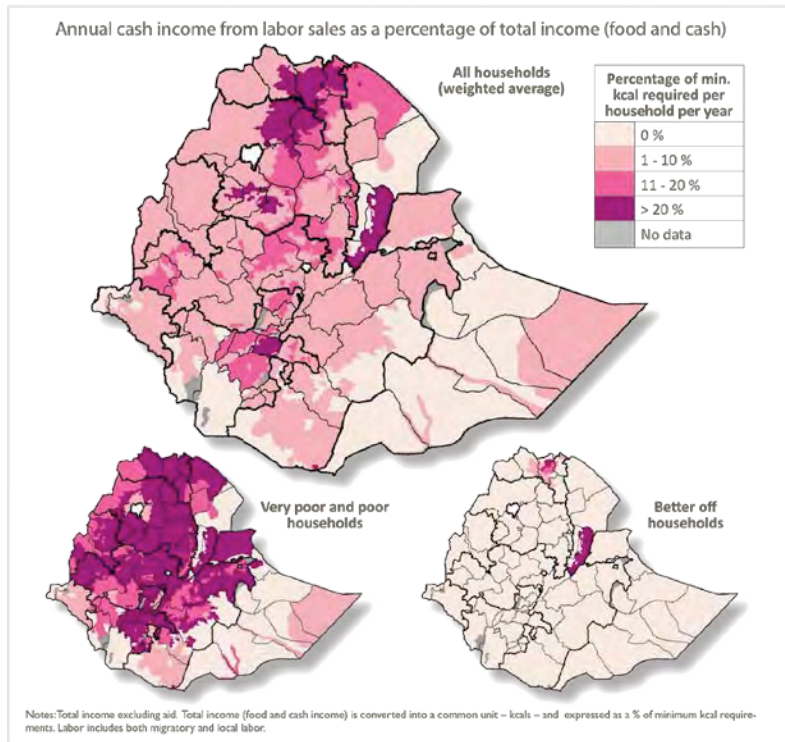
¹³ Bellmon Analysis, using Central Statistics Agency (CSA) monthly CPI data

¹⁴ Bellmon Analysis

¹⁵ The World Bank 2014 poverty assessment notes that access to the labor market is a key determinant of poverty and vulnerability, especially in urban areas.

¹⁶ Atlas of Ethiopia Livelihoods

Figure 5: Annual Cash Income From Labor Sales as a Percentage of Total Income



Source: *Atlas of Ethiopia Livelihoods*

Education and Literacy

In recent years, Ethiopia has made great strides in improving primary school enrolment as well as gender parity in primary school enrolment (6 girls in school to every 10 boys in 1990, up to 9 girls per every 10 boys in 2011). However, rural adult literacy rates remain low and highly gendered. Nationwide, 59% of men and 43% of women are literate, but these percentages are drawn upward by the higher literacy rates in Addis Ababa and among children and youth. The overall rural literacy rate is 55% for men and 37% for women. Youth in rural areas have a significant advantage when it comes to literacy: 81% of male youth aged 15-19 and 73% of young men aged 20-29 are literate, while 77% of female youth aged 15-19 and 41% of young women aged 20-29 are literate. However, among the rural population that is 30 and above, only 50% of men and 13% of women are literate.¹⁷

Gender

In addition to parity in primary education (see above), Ethiopia's gender parity in political representation has also improved, as the percentage of seats held by women in the Ethiopian Parliament skyrocketed from 2% in 1990 to 28% in 2010 and 39% in 2015. Moreover, at 39%,

¹⁷ World Bank, ESS Survey Report, 2015

Ethiopia has one of the highest shares of women’s wage employment in the non-agricultural sector.

However, much work remains to be done in terms of gender equity and women’s empowerment. Ethiopia ranks 121st out of 151 countries in the Gender Inequality Index, a composite indicator of inequality between women and men in reproductive health, empowerment, and the labor market.¹⁸ Women have significantly higher rates of illiteracy, particularly in rural areas (see above), and the female to male wage ratio remains low (approximately .67). Women face constraints related to time availability (given their extensive child care, cooking, and water-carrying duties, in addition to livelihoods activities) and mobility, both of which affect women’s ability to participate in trainings, meet with development agents (DAs), and get to know market actors. As a result of these and other factors, women have less access to credit, inputs and extension services than men. This suggests that both GOE and NGO programs need to tailor their approaches to women’s needs if they are going to be successful in reaching women.

Governance

Food security is impacted by the overall governance landscape and the ability of the state to effectively address the root causes of food insecurity. The government has invested in many pro-poor strategies including the PSNP and is committed to reducing food insecurity. However, while maintaining internal stability, there are concerns within the international community about the level of participation in terms of overall governance needed for sustainable food security in the long term. This is will be even more challenging with a 2.5% population growth rate which implies a doubling of the population in less than 30 years.

At the operational level, a number of safeguards are now in place in most programs such as the PSNP to help protect the vulnerable. These include measures to ensure clients know their rights and entitlements, to establish grievance mechanisms, and to protect the environment. The Ethiopia Social Accountability Pilot (ESAP) is an example that aims to strengthen governance by improving social accountability, i.e. the ability of citizens to provide feedback on the services they receive.

Food Security Context

Policy Context

The PSNP

Now in its fourth phase (PSNP 4), the PSNP is a food security program targeting food insecure households in rural Ethiopia. The program was initiated when the Government of Ethiopia formed the New Coalition for Food Security in 2003 to break the cycle of emergency appeals, which had saved lives but done little to protect household assets. The Food Security Program was launched in 2003, and the PSNP was formally launched in 2005.

¹⁸ UNDP, 2013. <http://hdr.undp.org/en/content/table-4-gender-inequality-index>

The PSNP provides cash and/or food transfers to chronically food insecure households in food insecure woredas in rural Ethiopia. The program is currently implemented in eight regions of Ethiopia: Afar, Amhara, Dire Dawa, Harari, Oromia, Somali, Southern Nations, Nationalities and Peoples Region (SNNPR), and Tigray, and covers a caseload of approximately 7.9 million individuals (expected to reach 10 million in the coming years as the recurrent transitory caseload is absorbed into the PSNP).

These transfers are typically provided for six months of the year, timed to coincide with the lean season.¹⁹ The transfer value from the beginning of the program to 2015 was equal to 15 kg of cereals per household member per month, or its cash equivalent. Beginning in January 2016, the transfer value will increase to 15 kg of cereals and 4 kg of pulses in order to increase the nutritional benefit of the transfer and provide the required kilocalorie requirement.

Households with able-bodied adults provide labor in the form of public works that contribute to the development of their communities, for instance through soil and water conservation measures, school room construction or rehabilitation, water point development, road rehabilitation, etc. Households participate in public works during six months of the year, for five days per month per family member, up to a cap of 25 days of public works per household or 15 days per able-bodied individual. Beginning in January 2016, participation in community behavior change communication sessions provided at public works sites will be counted as contributing towards a household's requirement.

Women's public works workload is equal to 50% that of men in order to accommodate childcare and other household duties. In addition, women are exempt from public works while pregnant and breastfeeding. Beginning in January 2016, women will be exempt from public works from the time of their first antenatal care visit (or their fourth month of pregnancy, whichever is earlier) through the first year postpartum, and will be encouraged to participate in community-based nutrition activities organized under the Health Extension Program.

Households with no able-bodied adults are considered "permanent direct support" households and are not required to participate in public works. Beginning in January 2016, these permanent direct support households will receive transfers year-round rather than for six months per year.

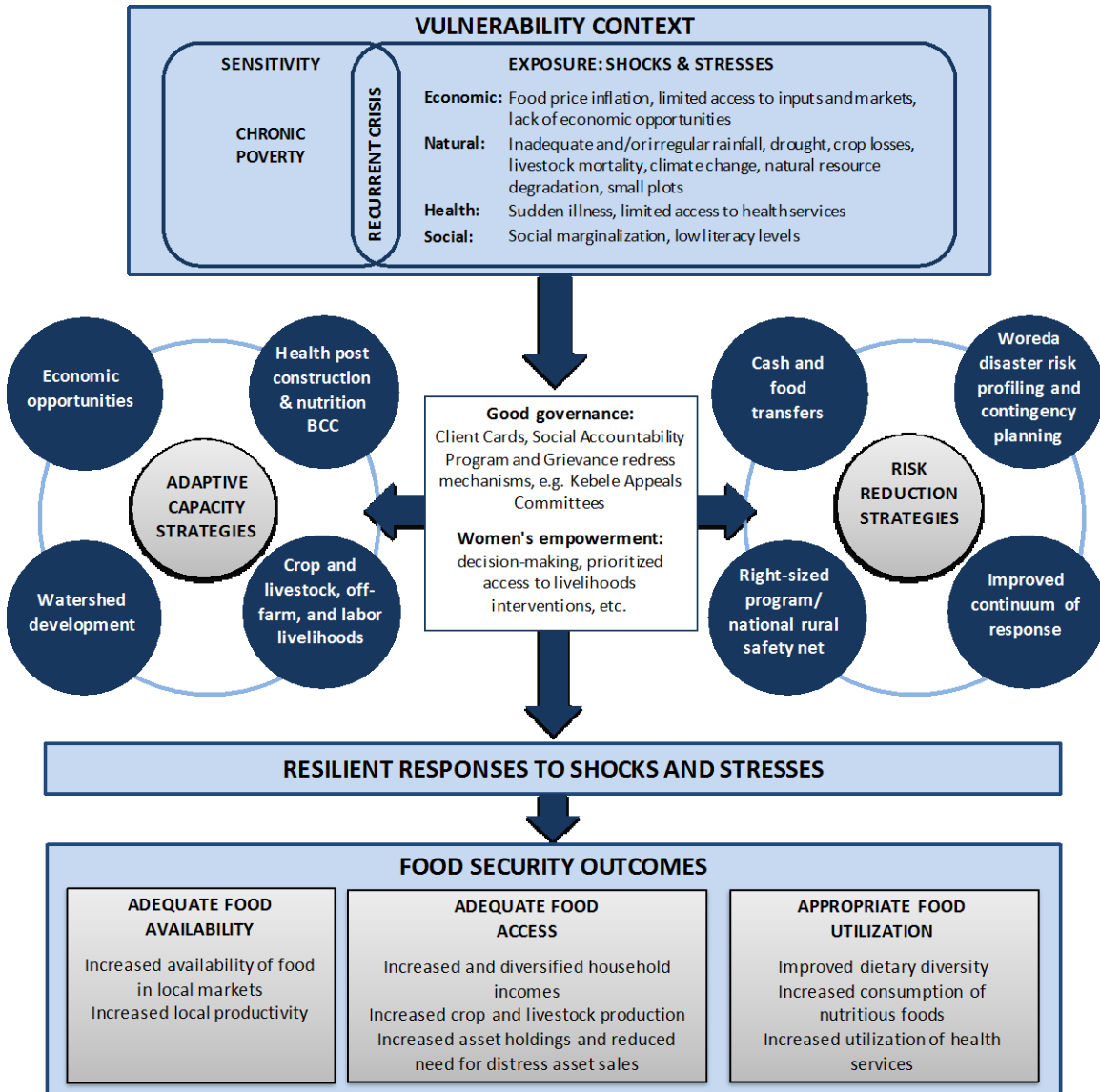
Households that are temporarily affected by food insecurity due to crop failure or other shocks are included in the PSNP through contingency budgets.

The PSNP also has a livelihoods component (formerly a separate program called the Household Asset Building Program [HABP] but now incorporated into the PSNP as the livelihoods component of the program). This component seeks to help PSNP households build their livelihoods through crop and livestock, off-farm, and/or employment pathways. The program provides financial literacy training, technical and business advice, and linkages to credit or livelihood transfers, as well as follow-up support.

The graphic below draws heavily from USAID's Resilience Framework as well as from the analysis. It illustrates how the PSNP strengthens adaptive capacity and reduces risk for vulnerable PSNP households and communities, and leads to greater resilience and food security.

¹⁹ This transfer season does not coincide with the lean season in parts of the lowlands as noted in Figure 4 above.

Figure 6: PSNP Links to Greater Resilience and Food Security



As illustrated in this diagram, the vulnerability context of PSNP households is characterized by chronic poverty as well as exposure to shocks and stresses.

PSNP interventions include both risk reduction strategies—through transfers, a right-sized safety net, and improved continuum of response, and woreda contingency planning—as well as adaptive capacity strategies—livelihoods interventions, watershed development through public works, and interventions designed to increase access to health services. These strategies are reinforced through social accountability mechanisms (“good governance”) as well as a priority focus on women.

PSNP interventions make households’ and communities’ responses to shocks and stresses more resilient and improve food availability, access, and utilization.

GOE Policies

The Government of Ethiopia has demonstrated its strong commitment to food security and poverty reduction through significant spending on “pro-poor” sectors such as health, education, agriculture and natural resources, and rural roads and urban construction. With investment guided by the Growth and Transformation Plan (GTP), pro-poor sectors accounted for 70% of government expenditures in FY 2011/12.²⁰ Education has accounted for the highest percentage of expenditure (25% of total spending), followed by roads (20%), agriculture (15%), and health (7%). The second phase of the Growth and Transformation Plan (GTP II), is currently being finalized and is expected to begin in Ethiopian Fiscal Year 2008 (2015/16).

In addition to the GTP, the PSNP seeks to contribute to four GOE policies. These are the National Nutrition Program (NNP), the Climate Resilient Green Economy (CRGE), the Social Protection Policy, and the Disaster Risk Management Policy. Each of these policies and the ways in which PSNP 4 is designed to contribute to them are outlined briefly below.

National Nutrition Program (NNP). The current NNP (2013-2015) aims to drastically reduce stunting, wasting and chronic under-nutrition in Ethiopia by 2015.

The NNP places more emphasis on: (1) the first 1000 days of life, with a focus on children younger than 2 years, pregnant and lactating women, and adolescent girls to break the intergenerational cycle of malnutrition; and (2) acceleration of stunting reduction by focusing on nutrition-sensitive interventions in other sectors such as education, agriculture, women’s affairs, civil society organizations and the private sector. The NNP also focuses on the lifecycle approach to map key actions needed to improve the nutritional status of strategic target groups (i.e. women and children) and includes an accountability and results matrix showing how each of the results can be realized and how each NNP implementing sector should contribute to better nutritional outcomes over the course of the lifecycle.

The PSNP will contribute to achieving this outcome through the introduction of “soft conditionalities” for pregnant and lactating women who are placed on temporary direct support from their first antenatal care visit (or their 4th month of pregnancy, whichever is earlier) through their first year postpartum. These soft conditionalities, which will include participation in Community-based Nutrition (CBN) meetings, attendance at antenatal visits, immunizations, etc., depending on what is offered in the community, will be strongly encouraged but not be strictly enforced (i.e. there will be no deduction in transfer or other penalty for non-compliance).

Climate Resilient Green Economy (CRGE). Launched in 2011, the CRGE aims to achieve the GTP goal of building Ethiopia into a middle-income country by 2025 in a way that is both resilient to the negative impacts of climate change and does not result in a rise in greenhouse gas emissions.

CRGE seeks to identify initiatives for which at least 2 of the following 3 criteria are met: (1) initiatives supporting the economic development of Ethiopia with the target of reaching middle income status by 2025; (2) low-carbon initiatives to grow in a resource efficient way and keep Ethiopia’s emissions at a low level. Here, investing in low-carbon infrastructure, technologies

²⁰ MOFED

and processes will make Ethiopia an international example for a new model of economic growth; and (3) initiatives geared at increasing Ethiopia's resilience to climate change. Ethiopia's Climate Resilient Green Economy Strategy combines all three fields to achieve economic growth in an environmentally sustainable way.

By officially endorsing the Green Economy strategy, Ethiopia now meets one of the requirements to tap global climate finance. In order to attract climate finance, each ministry is developing "Investment Plans" for initiatives included in the Green Economy strategy. These investment plans specify the required steps and resources for the implementation and serve as a base for discussions with development partners. An important component of the investment plan is the mainstreaming of Green Economy initiatives into the general sectoral development path.

PSNP 4 will contribute to the implementation of the Climate Resilience and Green Economy Strategies by developing public works that are responsive to climate change, and reduce carbon emissions and increase carbon sequestration, and by strengthening household resilience to shocks through increasing food security and livelihoods.

Social Protection Policy. The Government of Ethiopia is in the process of ratifying a new Social Protection Policy that lays out a vision for social protection in Ethiopia. Under this policy, the Ministry of Labour and Social Affairs (MOLSA) is strengthening its support to vulnerable households.

The policy has identified five key strategic focus areas: i) Social safety nets; ii) Livelihood and employment promotion; iii) Social insurance; iv) Access to health, education and other social services; and v) Addressing violence, abuse and neglect and providing legal protection and support. Overall, the policy commits the Government to move beyond the partial, and fragmented, provision of social protection to establish a social protection system. The policy also provides a framework for the coordination and provision of social protection services in Ethiopia. It defines the roles and responsibilities of the Government at federal, regional and local levels in managing the social protection system to progressively fulfill the constitutional rights of citizens. Of critical importance is the commitment to extend the coverage of national safety net programs beyond the current rural areas through the PSNP, and to include urban and other areas.

The Social Protection Policy and Strategy also emphasize the need to build and strengthen national systems, including tools for targeting, MIS, National Unified Registry, M&E, and effective coordination. MOLSA capacity, participation and ability to gear up operationally will be key to the success of the PSNP's ability to contribute to the broader social protection system.

Disaster Risk Management Policy. The National Policy and Strategy on Disaster Risk Management was adopted by the Government of Ethiopia in July 2013. The new Policy amends the earlier National Policy on Disaster Prevention and Management (under implementation since 1993) and marks a paradigm shift in doing business differently – moving away from a system focused on drought and emergency assistance to a comprehensive disaster risk management approach.

The overall vision of the policy is to see capacity for withstanding the impacts of hazards and related disasters is built at national, local, community, household and individual levels; and damages caused by disasters are significantly reduced by 2023.

The main objective is to reduce disaster risks and potential damage caused by disasters through establishing a comprehensive and coordinated disaster risk management system in the context of sustainable development. Specific objectives include: (i) reduce and eventually prevent disaster risk and vulnerability; (ii) ensure all disaster affected population is provided with recovery and rehabilitation assistance; (iii) reduce dependency on and expectations for relief aid by bringing attitudinal change and building resilience of vulnerable people; and (iv) ensure disaster risk management is mainstreamed into development plans and programs.

US Government Policies

Food for Peace

USAID's Office of Food for Peace works to reduce hunger and malnutrition and ensure that all people at all times have access to sufficient food for a healthy and productive life. Through Development Food Assistance Programs, USAID provides development food assistance to target the underlying causes of hunger and malnutrition. These programs aim to reduce chronic malnutrition among children under five and pregnant or lactating women, increase and diversify household income, and strengthen and diversify agricultural production and productivity to build resilience and reduce the need for food assistance. In Ethiopia, Food for Peace resources serve as USAID's contribution to the PSNP (see *USAID and the PSNP*, below).

The Office of Food for Peace is currently developing a new strategy for 2016-2020, which includes a strong focus on systems building. This focus is in line with the PSNP's move away from a "program" approach and towards a systems approach.

Feed the Future

USAID's Multi-Year Strategy for Feed the Future in Ethiopia comprises three components:

- Component 1: System-wide transformation – agriculture growth-enabled food security
- Component 2: Linking the vulnerable to markets
- Component 3: Policy and capacity enabler

The development hypothesis for the Feed the Future strategy envisions a "push-pull" concept whereby capacity building interventions in food insecure and/or pastoral lowland areas help "push" producers to increase production, while market demand and investment in areas of high agricultural potential "pull" production.

Through Feed the Future, USAID currently funds a variety of programs, of which the five largest are:

- The Agricultural Growth Program – Agricultural Market Linkage Development (AGP-made), which supports marketing in the wheat, maize, coffee, oilseeds and pulses, and honey value chains in the 92 "high-potential" AGP woredas.
- The Agricultural Growth Program – Livestock Market Development (AGP-LMD), which supports livestock and livestock product marketing in a subset of AGP woredas.
- The Graduation with Resilience to Achieve Sustainable Development (GRAD) program. Counted as USAID's contribution to the HABP, GRAD supports livelihoods training and access to credit for PSNP clients.

- The Empowering New Generations in Nutrition and Economic Opportunities (ENGINE) program, which focuses on nutrition.
- The Pastoralist Resiliency Improvement and Market Expansion (PRIME), which supports pastoral livelihoods through drought cycle management, rangeland rehabilitation, livestock marketing, and livelihood diversification.

In the “push-pull” framework, GRAD and PRIME are designed provide the “push” to increase productivity, while AMDe and LMD are designed to serve as the “pull”. In practice, however, the geographic division and distance between high-potential areas has meant that linking increased production in food insecure and lowland areas with buyers in higher-potential areas has been challenging, as sales volumes are often too small for buyers to justify traveling to such distant areas.

All of the programs outlined above have a nutrition component in addition to agricultural development/livelihoods interventions.

USAID and the PSNP

USAID is one of 11 development partners who fund the PSNP. USAID’s resources are channeled to non-governmental organizations (NGOs) in a subset of woredas for the distribution of food—and, in the next phase, cash—transfers to chronically food insecure households. USAID-funded NGOs also support woredas through capital expenditures for public works as well as non-salary administrative expenditures for program management at the woreda level. In addition, NGOs implement complementary nutrition activities targeted at pregnant and lactating women and children under two, DRM activities with a focus on support to the Early Warning System (EWS), and recently a degree of livelihood activities through supplemental funding. NGOs operate under the provisions outlined in the Program Implementation Manual (PIM).

USAID Food for Peace also funds a Joint Emergency Operation (JEOP) to distribute emergency food aid and address transitory food insecurity in areas of vulnerability across the country, and a Protracted Relief and Recovery Operation (PRRO) to provide emergency food aid in the lowlands (Somali region only). The JEOP is a consortium program implemented by seven NGO partners, led by Catholic Relief Services (CRS), while the PRRO is implemented by the World Food Programme (WFP). These programs are currently complementary to the PSNP and address transitory needs that cannot be covered by the PSNP’s contingency budgets.

Regions and Populations Vulnerable to Food Insecurity

Vulnerability to poverty has strong geographic dimensions in Ethiopia. One of the strongest predictors of poverty in rural Ethiopia is distance from market towns: the 2014 World Bank Poverty Assessment found that poverty rates increased by 7% with every additional 10km distance from a market town of at least 50,000 people. Rural households living far from towns are less likely to access fertilizer and other inputs, and are less likely to benefit from gains in agricultural growth.

In addition, vulnerability to poverty and food insecurity has agro-ecological dimensions. In 2009, the Ethiopian Development Research Institute (EDRI) classified Ethiopia into five categories according to agricultural productivity and agricultural conditions: moisture-reliable lowlands, *enset* lowlands, drought-prone highlands, moisture-reliable highlands, and pastoral areas. Among these, PSNP is currently targeted primarily to the drought-prone highlands, *enset*

lowlands, and pastoral areas. Poverty, vulnerability, and food security of each of these areas is outlined in the table below.

Table 1: Poverty and Vulnerability Across the “Five Ethiopias” and Urban Centers

	Absolute poor	Vulnerable to absolute poverty	Vulnerable to food poverty	Household has a food gap	Household experienced a shock	Asset vulnerable	Household in a PSNP woreda
Moisture-reliable lowlands	0.45	0.72	0.32	0.31	0.87	0.26	0.10
Enset lowlands	0.29	0.46	0.14	0.36	0.75	0.57	0.59
Drought-prone highlands	0.28	0.49	0.15	0.25	0.46	0.50	0.69
Moisture-reliable highlands	0.32	0.42	0.12	0.13	0.63	0.13	0.24
Pastoral areas	0.31	0.43	0.21	0.21	0.31	0.16	0.22

Adapted from Hill and Porter, 2014

Among the PSNP targeted areas (highlighted in blue), pastoral areas have the highest percentage of absolute poor (31%) and the highest vulnerability to food poverty (21%). Drought-prone highlands have the highest vulnerability to absolute poverty (49%), while *enset* lowlands have the highest percentage of households with food gaps (36%), households that have experienced a shock (75%), and households that are vulnerable to asset loss (57%).

Although the nature of vulnerability differs in different agro-ecological areas (see Environment, Climate and Natural Disasters, above), the table above demonstrates that there are significant levels of poverty and vulnerability throughout the country, underscoring the need for a transition to a national rural safety net. An analysis of food insecurity and malnutrition for the PSNP targeted regions (Amhara, Oromia, SNNPR, Tigray, Somali and Afar) is provided in the recommendations section below.

Threats to food security

Threats to food security come from stresses as well as shocks. These can be idiosyncratic, i.e. affecting individual households (for instance, a sudden illness) or covariate, i.e. affecting a whole community and beyond (for instance, drought). Stresses are long-term, chronic issues that negatively affect households over a period of time, whereas shocks are more sudden. Stresses can be economic, natural, social, health-related, or political. Among PSNP households, economic and natural stresses and shocks are likely the most significant threat to food security, followed by social stresses and health-related shocks. The paragraphs below examine the shocks and stresses that typically affect households targeted by the PSNP and Food for Peace.

Natural stresses are an important factor affecting food security, and include climate change, natural resource degradation, and increasingly small plot sizes due to the sub-dividing of land that occurs in each generation. Economic stresses include limited access to inputs and markets to due to the geographic isolation of many food insecure communities, and limited access to economic opportunities, including jobs. In pastoral lowland areas, decreased availability of grazing land and water access as a result of commercial agriculture along riverbanks and the increased privatization of previously communal grazing land is an additional stressor that has economic causes but natural implications. Social stresses can include low literacy levels

(particularly among women), discrimination or marginalization, as well as economic demands by social networks. Health stresses include chronic illnesses, lack of knowledge of appropriate child feeding practices, and the lack of access to health services.

Like stresses, shocks can take multiple forms. Inadequate and/or irregular rainfall, drought, crop losses, and livestock mortality are major shocks that threaten the food security and livelihoods of PSNP households. Food price inflation can be a major shock to households, particularly when coupled with (and partly due to) crop losses. Social shocks can include marginalization, for instance as a result of divorce or illness. Health-related shocks can include the sudden onset of disease, a death in the family (which in turn can lead to an economic shock if the individual who dies was an income earner), or a child who becomes malnourished as a result of disease or inadequate access to nutritious foods.

Food availability in rural Ethiopia is highly seasonal and is largely a function of local production, cereal imports by the GOE, and food aid imports. Highland areas typically have the highest levels of food availability during the *meher* harvest (October to February), while lowland areas have the highest levels of food availability at the tail end of, and immediately following, the main *Sugum/Diraac* rains (which fall in March-May). Food transfers typically strengthen food availability during the January-June period and, according to traders, enhance the stability of the market.²¹

Food access and food availability are strongly interrelated, as the vast majority of Ethiopians are farmers, and as limited food availability in one locality leads to increased prices, which restricts access for households who are net buyers of food. Inadequate rainfall reduces both food availability and access, as poor households depend on agricultural labor for income to purchase food. Through transfers in particular, but also public works and livelihoods interventions, PSNP improves both food availability and food access for rural households.

Food utilization refers to nutrition and the body's ability to absorb nutrients from the food consumed, which are a function of nutritional practices and behaviors, health, and water and sanitation. Despite the significant improvements outlined above, access to clean water remains limited for approximately half the rural population, poor sanitary conditions are common, and health and nutrition practices are sub-optimal. The large percentage (44%) of children under five who are stunted risk never reaching their full educational and income-earning potential.

The PSNP has had some impact on food utilization, as transfers have been found to increase dietary diversity, and public works increase the uptake of health services. In the next phase, the program aims to significantly increase its nutritional impact through an increased nutritional value of the transfer (15 kg of cereals and 4 kg of pulses per person, or its cash equivalent, which will provide the recommended 2,100 kilocalories), more nutrition-sensitive public works, and significant behavior change communication (BCC) activities. These "softer" behavior change interventions will be critical to improving health and nutrition knowledge, attitudes and practices, and to increasing the impact of the transfers and infrastructure investments.

²¹ Bellmon Analysis

Continuum of Response

The food security situation section above underscores that, despite the important mitigating influence of the PSNP, rural households in Ethiopia continue to experience shocks and transitory food insecurity. PSNP 4 seeks to operationalize a more robust “continuum of response” in order to both reduce the need for emergency assistance and respond to it more effectively. In essence, the link between development and relief must be even more integrated.

Each step along this improved continuum of response is outlined below.

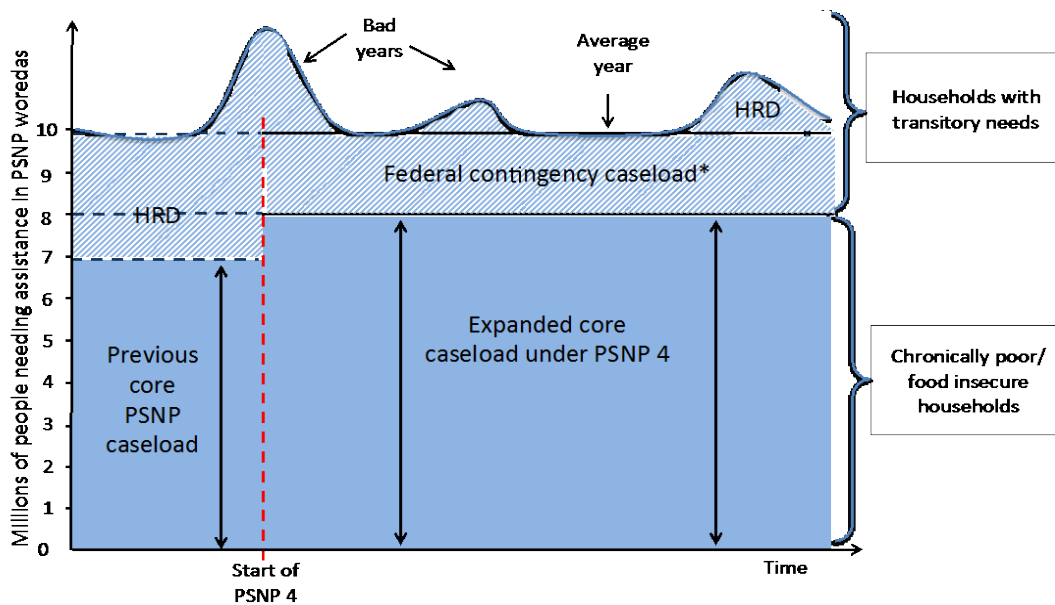
Continuum of Response Step 1: a right-sized program. Under PSNP 4, households that have received emergency food aid year after year—the recurrent transitory clients who, as demonstrated by their recurrent need for aid, are actually chronically food insecure—will be incorporated into the PSNP as full clients. As a result, the annual need for emergency assistance is expected to be lower.

Continuum of Response Step 2: contingency budgets for localized needs. Localized shocks will continue to be covered by woreda contingency budgets.

Continuum of Response Step 3: a rapid and coordinated response to acute emergencies. The Humanitarian Requirements Document that the GOE and Development Partners issue in January each year (with an update in August after an assessment of the *belg* rains) to request assistance for these households. The PSNP 4 federal contingency budget will be harmonized with broader humanitarian response systems, triggered by the same early warning information and coordinated through a joint response plan. This will improve the efficiency of risk management responses.

The diagram below illustrates how the expanded caseload will serve chronically poor/food insecure households who were previously covered under the HRD, and how the federal contingency budget will work with the HRD to address transitory needs.

Figure 7: PSNP 4 and the Continuum of Response



*Federal contingency budget can also be used in non-PSNP woredas within PSNP regions

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Annex 1: Institutions and Individuals Consulted

Addis Ababa

Agency	Individual
USAID Ethiopia	Dennis Weller, USAID Director FFP: Sarah Berry, Lara Evans, Konjit Eshetu, Reshid Abdi, Reta Assegid, Moges Worku, Solomon Alemu, Sarah McNiece, David Horton, Demeke Eschete, FtF: Adam Silagyi, Mary Harvey, Mohamed Abdinoor, Dubale Admasu, Abigail Jones, Zemen Haddis, Tahir Gero
USAID Washington	FFP: Laura Evans, Cliff Davison Bureau of FS: Melissa Fraser, Mike Colby
Government of Ethiopia	
MoA: FSCD	Berhanu Woldemichael
MoA: DRMFSS	Muluneh Woldemariam and Negussie Kefeni
MoA: NRMD	Tefera Tadesse, Amara Mugoro
MoLSA	Ato Abebe Bebremedhn
MoH	Dr. Birara Melese Yalew
MET	Dula Shanko
Development Partners	
DFATD	Christopher Demerse, Ahmed Mohammed
DFID	Ayuba Sani
EU	David Mogollon, Luis Lechiguero, Abu Yadetta, Johan Heffinck
Irish Aid	Paul Sherlock, Carrie Lee Chung
World Bank	Sarah Coll-Black, Kelly Johnson, Begashaw Wukaw, Segen Tewelde
USAID Partners	
AMDe	Vanessa Adams, Mengesha Tadesse
CARE	Garth Van't Hul, John Meyer
CRS	Art Kirby, Shane Lennon, Glenn King, Abate Jiro, Tiruset Haile, Legesse Dadi
ENGINE	Dr. Habtamu Fekadu
FH	Girma Deressa, Getahun Shibeshi
FEWSNET	Yacob Mudesir
GRAD	
LMD	Marc Steen
PRIME	Yenu Birhan, Jeton Sarova, Sisay Awgichew, Kamal Hashi
REST	Dr. Mulugeta Berhanu
REVIVE (PCI)	Walleligne Alemaw, Getu Woyessa,
Save the Children	John Graham, John Lindine, Tewodros Yeshiwork, Walter Mwasaa
World Vision	Luis Pereirh, Gufu Tesso, Tibebe Abate, Etagegnehu Assefa
WFP	John Aylieff, Samir Wahmalia, Hakan Togul

Field Level Consultations

TIGRAY		
Location	Agency/Organization	Individuals
Kilte Awalaelo, Hawzien, Raya Azebo, Ganta Afeshum, Gulomekeda woredas	REST	Haile Yesus (woreda coordinator), Endalik Adusna (PSNP Officer), Mesfin Bekele (PSNP Project Manager), Namrud Getalhe (PSNP Coordinator), Mebratu Yayeh (PSNP Facilitator)
Mekele	REST	Samson Abrha, Gihmot Hazio, Hailey Hailedelasie, Geterlew Kelayu, Ataelbi Abebe, Helefom Glkidan, Mebrhatu Tsegany
	Tigray Regional Food Security Office	Mesfin Woldu (Early Warning, Response, and Food Security), Hailu Abay (gender), Berhermu Negussie (public works), Negussie Ayralem (livestock)
AMHARA		
Simada woreda	FH	Getahun Shibeshi (FH, Research and Knowledge Management Specialist) Abebe Enyew (gender group), Self-Help Group: Selamu Mathewos (Health and Nutrition), Almaz Misgana (Community Health Animator), Admasu Zemene (Agriculture and Capacity Building Officer)
Lay-Gayint woreda	FH	Mengesha Girmay (Project manager), Daneal Yalemtesfa (Health and Nutrition Officer), Abera Negash (Infrastructure Officer), Banchi Getinet (Community Health Animator), Wesen Tareke (PSNP Community Facilitator)
	ORDA	Libse Shumet (GRAD Micro-finance Officer)
Bahir-Dar	ORDA	Dr. Amlaku Asres (Executive Director), Debebe Digafe (FS Ag Development Program Director), Debebe Taye (Capacity Building Advisor)
	Amhara Regional Food Security Bureau, Disaster Prevention and Food Security Programme Coordination Office	Amare Kindie Workneh (DOFSOCO – Deputy Head),
EAST HARARGHE (OROMIA) AND DIRE-DAWA ADMINISTRATION		
Dire-Dawa	FH	Bekele Moges (Exec Dir), Belayneh Balati (Dep Exce Dir and Program Dir), Mekibib Tadise (DFAP mgr), Wesen Tareke
	Catholic Relief Services (CRS)-Addis Ababa	Glenn King (Deputy Chief of Party, DFAP), Libse Shumet
OROMIA: BORANA ZONE		
Borana Zone: Yabello woreda	Save the Children	Abduselem Muse (Senior Regional MEAL and CB Coordinator), Abdi Hamid (Reg Com Acct), Ahemie Woydode (Yabello Woreda Program Coordinator), Tadi Gelgato (Commodity Officer Yabello), Birnbaven Sisay (Gender Officer), Mintesinot Yifru (Training Officer)

	PRIME	Abawfa Jafoni (Save the Children), Alemu Woyesse (Save the Children), Boru Jarson (Mercy Corps), Dida Jarson, Jarso Taidessa (Mercy Corps)
Borana Zone: Yabello woreda	Borana Pastoral Development Office	Petrus Wako (Deputy Head), Abenfe Jafeur (SCJ-Regional Program Manager), Tesfeare Mitike (Planning Expert), Mohammed Abdulkadir (NRM), Ahemu Woyessa (Yabello Waredo Program Coordinator), Debele Etano (Early Warning Officer).
Hawassa	CARE-GRAD	Banchayehu Yitayes (Project Manager), Sintayehu Tosha (Woreda Team Leader), Wubishet Demiosie (Woreda Team Leader), Nimone Birhanu (Value Chain Officer)
Hawassa	World Vision	Berhanu Feleke (Associate Director, SNNP Regional Office), Tesfare Oieda (DME Officer)
Hawassa	SNNP Bureau of Agriculture, Rural Job Opportunities Creation and Development Agency	Ato Ganta (Head)