

The Federal Democratic Republic of Ethiopia
Food Security Coordination Bureau

THE NEW COALITION FOR FOOD SECURITY IN ETHIOPIA

Food Security Programme

Monitoring and Evaluation Plan

October 2004 – September 2009

Executive Summary

A combination of factors has resulted in serious and growing food insecurity problem in Ethiopia, affecting as much as 45% of the population. Over the past decade, more than five million people on average have required food aid each year, even during years of seemingly normal weather and market conditions. Over the past fifteen years an average of 700,000 metric tons of food aid per annum have been imported to meet food needs¹.

The Food Security Coordination Bureau (FSCB)² was recently established to coordinate a broad range of activities designed to improve the food security status of up to 15 million rural Ethiopians. A Food Security Programme (FSP) was designed with the core objectives of: (a) helping five million chronically food insecure people attain food security and (b) significantly improving the food security of up to ten million additional food insecure people within five years. Two main components of the FSP are Resettlement and Productive Safety Nets, while a range of interventions, either implemented directly by the government or donor-funded projects, have been grouped into a third component called "Other Food Security Activities". The FSP encompasses both on-going and newly designed interventions and is implemented mainly through government structures at the woreda and kebele levels. It is intended that participation in this complementary set of interventions will lead to the graduation of a significant portion of food insecure households.

An M&E system for the whole of the FSP has been developed by a task force within the FSCB, based on the needs of a wide range of stakeholders, including policy makers with the SDPRP. The system should allow the timely production of information required for decision-making regarding programme policies and strategies. The plan seeks balance between simplicity and utility and between the local autonomy that comes with decentralization and the need for periodic objective review of external evaluators. FSP monitoring will track progress for a range of inputs, activities and outputs, for the purpose of accountability as well as to allow prompt corrective action as constraints are identified. Monitoring-level data collected using standardized forms with some local flexibility, will originate with Development Agents (DA) at the kebele-level and will be compiled and summarized at woreda, regional and federal levels. Simple information management systems will economize time and effort so that the progress of food security investments can be reported without delay. Ultimately, programme M&E is interested in measuring the extent to which FSP beneficiaries have graduated to food security.

Programme evaluation will focus on both processes and outcomes/impact. While DAs may conduct participatory evaluations of discrete activities, global evaluation of programme strategies will be the responsibility of higher-level officials as well as external consultants. The FSCB will act to coordinate and facilitate annual, mid-term and terminal surveys to explore issues related to efficiency, effectiveness, and social and environmental impact. Comparisons for evaluating impact will make use, to the extent possible, of secondary data from other credible information sources. No substantial new baseline surveys are planned.

A critical review of the M&E system itself will be programmed to take place one year after initiation. A broad range of stakeholders, including government and donor representatives will be asked to comment on the utility and efficiency of the system and its instruments/methods and be given the opportunity to recommend modifications. This process may be repeated one year later depending on the significance of changes proposed.

¹ Source, DPPC.

² Annex 1 provides a complete list of acronyms used in this report.

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Introduction

Millions of households in rural areas of Ethiopia suffer from chronic food insecurity and receive food aid on an annual basis. In order to find a longer-term solution to the problem, the government of Ethiopia, with the active collaboration of a range of donors, has designed a Food Security Programme (FSP) within the framework of Ethiopia's Poverty Reduction Strategy. The programme combines a variety of interventions that, as a whole, should lead to the graduation from food insecurity to food security for a substantial number of households. This document describes a M&E system that will serve to document the progress of programme interventions as well as describe or estimate impacts on food insecure households, including their rates of graduation.

This plan, prepared in draft form during a period from July to November 2004, proposes M&E activities for a period from January 2005 through August 2009. The plan, written jointly by FSCB staff and external consultants, was created based on the stated and perceived needs of a broadly defined list of programme stakeholders. The planning process did not involve significant direct participation of all those stakeholders but many of them contributed ideas, have been given the opportunity to comment on the document and may be asked to participate in future review sessions.

A number of factors will influence/constrain effective programme M&E. The existing governmental hierarchy, along with new job descriptions coming from the decentralization process, means that new institutional capacity and systems for M&E are necessary at the federal, regional, woreda and kebele-levels. The Ministry of Agricultural and Rural Development (MOARD) has accorded overall responsibility for programme M&E to the FSCB. In addition, regional and woreda food security offices/desks have been established and will, with the active collaboration of other government agents at the grass-roots level, conduct most data collection, analysis and reporting. Assuring efficient data management and smooth information flow amongst layers of the hierarchy will be a major challenge to the system. A second challenge will be changing the emphasis of M&E in Ethiopia away from counting activities and outputs to evaluating the contributions of outputs to outcomes and impact. Graduation is an impact-level concept; its measurement will require a substantial change in attitudes of field staff.

The intention of the FSCB was to put in place a system that is simple and practical but that will serve most if not all of the information needs of programme stakeholders. We do not intend this to add an additional layer of data collection, but rather anticipate it will replace other local or regional M&E systems or activities that may be less efficient or lack focus. It is our sincere hope that FSP stakeholders find this M&E plan to be an asset and not a burden. Feedback to the FSCB is always welcome.

Programme Description

A prerequisite for M&E planning is a clear understanding of programme objectives and strategies. This section briefly describes the FSP and graphically presents the FSP's logical hierarchy (Figure 1). The FSP was designed to help chronically food insecure households reach a level of food security necessary for an active and health life. Three components are planned: resettlement, productive safety nets, and other food security interventions. In theory, resettled households would achieve food secure status solely as a result of that component's package of interventions. Safety net beneficiaries, however, usually would require complementary food security activities in order for sustainable impact to be achieved. Figure 1 presents a simplified version of the programme's logic. The graphic illustrates that impact for non-resettlement households depends on participation in both safety net and other food security programming and that resettlement beneficiaries will not participate in or benefit from other elements of the FSP.

Resettlement Programme

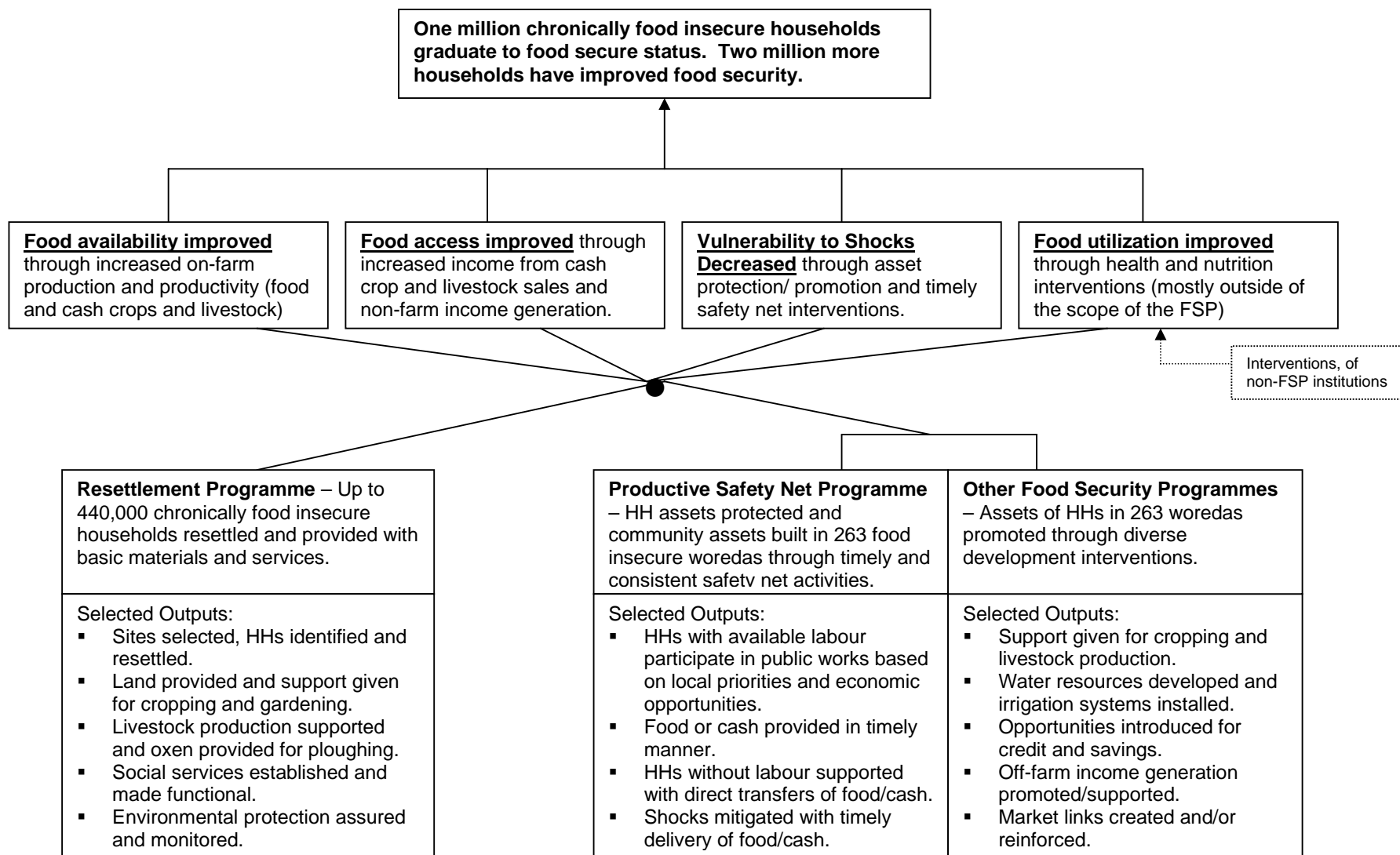
The main objective of this programme is to enable up to 440,000 chronically food insecure households attain food security within three years, through improved access to productive land. The resettlement programme is planned for four regions: Tigray, Oromia, Amhara, and Southern Nations, Nationalities, and Peoples Region (SNNPR). Programme implementation is proposed in three phases of approximately 100,000, 150,000 and 190,000 households each, although these figures are dependent on the voluntary choices of households in "sending" woredas.

Participation in the programme is voluntary; potential resettlers are identified during awareness creation campaigns at both the woreda and kebele levels by the respective resettlement task force (composed of relevant bureaus and administration representatives). Host woredas are identified based on an availability of arable land. Steps are taken to mitigate negative social and environmental impacts that could result around resettlement sites. Besides providing resettlers with land, the programme will establish basic infrastructure (health services, water supply, primary schools, roads, etc.) in and around the resettlement sites to assure provision of services meeting at least minimum standards. A food ration will be delivered to resettled households for an eight-month period (or until the first successful crop harvest) and other inputs may also be distributed.

The FSCB coordinates the programme at the federal level. At the regional level, Food Security Coordination Offices (FSCO) are responsible for direct implementation and management in collaboration with the Regional Resettlement Task Forces (which include representatives of line bureaus and regional councils). At the woreda level, Rural Development Offices manage the resettlement programme in collaboration with Resettlement Task Forces by identifying productive land, creating awareness on the resettlement issues and making necessary arrangements for storing and distributing entitlements, provision of social services, etc. A Kebele Resettlement Task Force and technical personnel assigned at every resettlement site provide technical assistance and monitor conditions.

Although the FSCB and FSCOs have a central role in coordinating and managing the programme, contributions are required from a variety of other government agencies. In particular, inputs from the Health and Education Bureaux are necessary for service provision to resettlers in their respective sectors. Appropriate establishment and provision of such services will be among the outputs/outcomes tracked by this M&E plan.

Figure 1: Graphic Representation of the Food Security Programme Logical Hierarchy of Objectives



Productive Safety Net Programme (PSNP)

The PSNP provides cash and/or food transfers to chronically food insecure households in ways designed to prevent asset depletion at the household level while creating assets at the community level. The programme will address chronic food insecurity while simultaneously requiring households to engage in sustainable productive activities and promoting market development by increasing household purchasing power. The PSNP will function for a period of three to five years in up to 263 chronically food insecure woredas in eight regions, namely: Tigray, Amhara, Oromiya, SNNPR, Harari, Diredawa, Afar, and Somali. Approximately 5 million people (1 million households) will benefit from programme activities.

The PSNP consists of two components: (i) labor-intensive public works – for those households who can contribute labour – selected and designed based on local priorities and opportunities, and (ii) direct support for labour-poor households. The public works element is basically meant for community asset building including the rehabilitation of natural resources e.g. land, water and vegetation. The direct support component will help those who cannot participate in public works (i.e. elderly, chronically ill, etc.). The programme is designed to serve as leverage for chronically food insecure households to graduate to food secure status if, as mentioned earlier, they are also able to participate in development activities designed to boost food availability and access.

Roles have been defined for multiple agencies at each level of government. Overall management of the programme is the responsibility of the FSCB, which also has a global role for programme M&E. Implementation of field activities and oversight will be provided by line departments in relevant sectors. Food Security Task Forces (FSTF), new structures created at the kebele and community levels, will be responsible for annual planning and selection of beneficiaries.

Other Food Security Interventions

This component of the FSP involves the implementation of a range of food security interventions financed by the government and certain international donors. The overall objective of this component is to enable up to five million chronically food insecure people (essentially PSNP beneficiaries) to attain food security within 3-5 years and improve the food security of 10 million other people within the same period. The three main donor-financed elements of this component are a Food Security Project and emergency drought recovery project, both funded by the World Bank (WB), and government budget support provided by the European Union (EU), earmarked for food security programming.

The WB-FSP, which began in 2002, has management units at the federal and regional levels to oversee project implementation. The project uses a community grant mechanism to support a range of food security interventions at the local level. Government structures at woreda and kebele levels support the process by mobilizing communities, facilitating participatory planning, and overseeing implementation. EU funds, unlike the World Bank project and the government capital budget for food security intervention, go through the Ministry of Finance and Economic Development (MOFED) to Regional Finance Offices for implementation of annual food security work plans. Regional Food Security Coordination offices disburse the budgets to woredas. Line bureaus are responsible for the technical implementation of interventions through their respective offices at woreda level, with local collaboration of Development Agents (DAs) and community partners.

The interventions implemented under this component are directed at improving the availability and access to food and, to some extent, improving the health environment in targeted communities. Activities related to food availability will include efforts for greater productivity of cropping systems, involving in some cases expansion of irrigation infrastructure. Improved productivity of the livestock sector is also a prioritised intervention for both pastoral and mixed farming communities. Food access will be improved primarily by

helping households diversify on-farm and off-farm source of income. Public works activities related to roads and market infrastructure will complement household-level interventions. The development of water resources is crucial for achieving food security and is the frequent top development priority of communities. The development of small-scale water-harvesting mechanisms will improve the supply of complementary irrigation.

FSP Logical Framework

M&E planning requires a level of detail well beyond that found in the programme documents. Therefore, a process was followed to deepen and reorient the presentation of the FSP logframe, particularly at the output, outcome and impact levels. A detailed presentation of the FSP logframe is provided starting on the next page. To understand the programme strategy, the reader should focus on the hierarchy of objectives and its logical progression, i.e. outputs should lead to outcomes, outcomes should lead to impact. Indicators are a mix of direct and proxy measures. They should not be considered as direct products of programme activities but as variables for detecting progress towards the corresponding objective. The working definitions of the labels used can be found in Annex 2.

Assumptions and Risks

The initial programme logframe did not explicitly identify assumptions and risks associated with each level in the hierarchy of objectives. However, there are certain assumptions, some more likely than others, that could impede progress towards programme goals and that should be monitored. In addition, there are risks that could result from the improper design or implementation of programme activities, for which monitoring is planned. Following are some of the programme's key assumptions and risks:

Assumptions

- Infrastructures and services (e.g. health, education, roads) provided by government sectors outside the FSP will be supplied to rural communities at sufficient levels to adequately support the food security status of households living within the communities.
- The FSP staff will have appropriate capacities, material and financial support to carry out the programme activities in a timely and effective manner.
- Graduation for most households during the 3-5 year time frame assumes an absence of extraordinary food crises, beyond that felt in normal years. A severe crisis would slow the progress of many households towards food security.
- The decentralization process continues and staff positions at all relevant administrative levels are filled with capable people who remain at their posts.

Risks³

- Environmental impacts resulting from public works.
- Negative market effects resulting from food distributions.

Note that programme implementation plans include specific procedures and guidelines to mitigate the above risks. However, monitoring is still essential to ensure that the established procedures are actually averting or mitigating these risks.

Over the course of programme implementation new risks and other factors that may threaten the successful achievement of project goals may be identified. In this eventuality, special studies may be commissioned by the Steering Committee to better understand these risks and threats, and help to find ways to address them through changes in programme implementation.

³ Analysis and mitigation of each of these risks are prescribed in Programme Implementation Manuals (PIMs). Process monitoring is designed to assure that appropriate measures are being taken.

FSP Logical Framework

Global Programme Objectives	Indicators ⁴
<p>Impact:</p> <p>One million chronically food insecure⁵ households⁶ graduate to food secure status.</p> <p>Two million more households improve food security status.</p>	<p>% of HHs that are no longer require support from the FSP based on their level of income and asset possession⁷</p>
<p>Outcomes</p> <ol style="list-style-type: none"> 1. Improved food availability at the household level 2. Improved food access at the household level 3. Increased assets of targeted households 	<p>HH food availability = average HH crop production; average months of consumption from own production.</p> <p>HH food access = average cash income from on-farm and off-farm IGAs;</p> <p>Average value of a set of assets (including savings, livestock, etc.)</p>
<p>Process</p> <ol style="list-style-type: none"> 1. Guidelines established in PIMs followed accurately. <ul style="list-style-type: none"> - Safety net interventions and other food security activities have complemented each other. - Beneficiary selection has targeted the right people. - Woredas have followed an "appropriate" project cycle process. Appropriate means participatory/inclusive/equitable design, implementation based on local priorities, evaluation objectives based on contributions to sustainable outcomes - Programme M&E follows system plan and methods. - Social and environmental risks mitigated. 2. Graduation decisions have been accurate and based on local decisions. 	<p>% of safety net beneficiary HHs that have participated in/benefited from other food security interventions</p> <p>% of HHs or community interest groups who were active participants in planning and monitoring of local food security interventions</p> <p># of communities which had timely and accurate flow of resources</p> <p>Inclusion and exclusion errors (per selection criteria)</p> <p># of resettlement sites and public works projects for which potential social and environmental risks were identified and mitigated (<i>relates to SDPRP activity # D.2</i>)</p> <p>M&E reports timely and based on stakeholders needs (e.g. disaggregated by sex)</p> <p># of communities in which appropriate graduation decisions have been made</p>

⁴ Targeting for women and female-headed households is assumed; data for all indicators will be disaggregated by gender.

⁵ Chronically food insecure households are those that have at least a 3-month food gap each year, have received food aid for at least the past three years or have recently become highly vulnerable (e.g. because of the death of a productive adult).

⁶ Or 5 million people, based on estimated average household size.

⁷ Assets to monitor will need to be defined separately in each woreda, given differences in livelihood strategies and context. Livestock holdings and cash savings will tracked in most if not all areas.

Hierarchy of Objectives	Indicators
RESETTLEMENT PROGRAMME	
Impact	
440,000 settler households are livelihood secure ⁸ within 3-5years of resettlement	% of HHs meeting graduation criteria per resettlement site % of HHs receiving food relief per site Rate of Malaria outbreak / site Average incidence of water borne disease per site Average total annual HH income (composite of production, cash income) Average value of a set of assets (including savings, livestock, etc.)
Outcomes	
Resettlers living in adequate housing	# of HHs that have constructed a permanent house
Resettled farmers cultivating new land holdings	# of resettled farmers cultivating new land holdings Average size of land cultivated per HH
Farmers enhance crop production through use of improved seed and inorganic fertilizer	% HH using improved cereal, high-value crop seed and/or inorganic fertilizers Average yield by crop type Average annual crop production per HH
Farmers growing crops under irrigation	% of HHs using small-scale irrigation and average area under irrigation per household (ha) % of HHs selling cash crops
Functional input supply marketing cooperative in resettlement site	# of resettlement sites with functioning cooperative (sales volumes, # of members, equity of membership, etc.)
Livestock production ensured (through assistance with water/forage and establishment of veterinary services)	# of HH engaging in livestock forage production Livestock vaccination rates % of HHs using veterinary services
Health clinics act to control communicable disease	% HH expressing satisfaction with health services
Adequate access to social services (particularly schools)	% of school age children attending primary school per site
Healthy environmental conditions	% HH using improved latrines
Adequate access to social services (especially schools)	% school-age children attending school per site
Farmers planted woodlots and practiced agro forestry.	# of HHs practicing agro-forestry and woodlots (per prescribed definition)
Utilization and management of natural forest resources improved	# of sites in which local forests are deteriorating due to unauthorized clearing or woodcutting
Outputs (Resettlement)	
Resettlers ⁹ properly selected (i.e. voluntary, food insecure, transparent process).	# of resettlers properly selected and permanently moved to resettlement sites (per guidelines) # resettlers

⁸ The intervention package of the Resettlement Programme implies an M&E responsibility beyond food security. Health and economic indicators will also be measured to detect the level to which resettlers have reached a status of sustainable livelihoods.

⁹ It is recognized that some resettlement units will be complete households while other will be only one or two members of a households. A decision needs to be made whether indicators related to the demographic make-up of resettled households need to be tracked.

Hierarchy of Objectives	Indicators
Assistance (e.g. food, material, cash, etc.) provided to resettlers in timely and efficient manner.	Quantity of monthly food ration placed per HH or per resettlement site % of resettlers reporting proper receipt of entitlements (food, cash, non-agricultural materials)
Land for farming and homestead provided to each settler.	# of HHs obtained arable land/resettlement site Land size provided /HH for residence and farming
Agricultural materials distributed in resettlement site	Quantity by type of crop seed, agricultural tools, and inorganic fertilizer provided. Quantity, by type, of livestock provided
Social infrastructures constructed (or # of sites with a full complement of infrastructure).	# of health posts, clinics, health centers per site # of potable water per site # of primary schools per site # of flour mill/site # grain stores per site Dry and all weather roads installed (km)
Environmental protection activities in place	# seedlings distributed # nursery sites established

PRODUCTIVE SAFETY NET PROGRAMME	
Impact	
Reduced vulnerability of 1 million chronically food insecure households in 263 targeted woredas ¹⁰	# HH with no food gap – have sufficient food to meet HH needs in all 12months of the year, including support provided from PSNP # HH in need of food assistance over 3-year moving average
Outcomes	
Household assets protected (households' short-term vulnerability to shock reduced)	Average months of HH food shortage covered by PSNP entitlement % of public works labourers who report 12 month food security from all sources, including safety net % HH reporting distress sales of assets % HH reporting consumption of seed stocks
Directly assisted households have assured food consumption during programme implementation	% of direct support HHs that report having sufficient food to meet HH needs in all 12months of the year
Households use community assets productively (e.g. for new livelihood activities or accessing social services)	# of HHs use water harvesting schemes rangeland developed in ha # of HHs use small scale irrigation # of HHs use road access % of HHs reporting satisfaction with or direct benefit from the infrastructure developed.
Increased household purchasing power and market development	Income transferred/HH during safety net programme period

¹⁰ It is assumed that sustainable impact for safety net beneficiaries will usually depend upon a significant participation in other food security interventions. In other words, there is little potential for graduation to food security as a result of safety net interventions alone. The indicators noted at the impact level are repeated in some form at a higher level and will only be measured once.

Hierarchy of Objectives	Indicators
Outputs (Productive Safety Net)	
<u>Labour-intensive Public Works</u> A. Infrastructures designed and managed following Kebele development plans. Soil conservation activities accomplished. Small scale irrigation developed. Water harvesting schemes established. Rural roads constructed and maintained. B. Appropriate payment (in cash or kind) delivered in timely manner	Area of agricultural and pasture land reclaimed (ha) per targeted woreda Area of land covered with soil and water conservation measures # of irrigation schemes per target woreda # of structures constructed per targeted woreda Km of road constructed or maintained per targeted woreda Beneficiary perceptions of impact of public works infrastructures to personal situation # safety net participants Average amount of entitlement received Deviation from promised delivery date
<u>Direct Support</u> Appropriate assistance (food and/or cash) provided accurately to targeted beneficiaries in a timely manner.	# HH supported directly per year Quantity and timing of delivery of food /cash provided (in comparison to PIM)
Programme performance assessed	# performance assessments undertaken by communities within the safety net programme

OTHER FOOD SECURITY PROGRAMMING	
Impact	
1 million chronically food insecure households attain food security within 3-5 years; 2 million vulnerable households attain food security within 3-5 years	# HH attaining locally determined critical level of income and assets – (# of graduated households)
Outcomes	
Targeted HHs' income sources diversified	# of men and women involved in new small businesses/kebele # income sources per HH # HH selling high value crop/animal products
Farmers grow crops in more intensive and productive systems	# of HHs using improved crop seeds and/or fertilizer Ave annual HH crop production
Increased livestock ownership and productivity	Average livestock holding per HH % of HHs reporting increased livestock holdings in past year (in pastoral and non-pastoral areas) # of HHs using own animal traction % of communities reporting improved access to forage and water for livestock in pastoral and non-pastoral areas % of HHs reporting improved access to veterinary services in pastoral and non-pastoral areas Livestock offtake (%)
HH saves money	% HH with savings account in community association or formal financial institution
Increased productive/sustainable use of credit	% HH with access to credit default rate
Increased use of small-scale irrigation	# of HHs using water harvesting schemes HHs access to irrigation/food insecure HHs
Outputs (Other Food Security Programmes)	
Finance mechanisms established for cash flow from government and donors to woredas.	Amount of food security funds disbursed by government and donors per woreda per year
Staff at federal, regional and woreda level placed and trained	# of staff placed and fully trained # of woredas/kebeles in which full staffing has been installed # of woredas in which all staff members have received prescribed training
Agricultural extension service strengthened	# of DAs trained in appropriate extension methods for pastoral and non-pastoral areas # of contact farmers/pastoralists trained in improved practices
Water management systems installed	# irrigation schemes developed area in irrigation schemes
Crop diversification and intensification promoted	# of HH with access to improved cereal and high-value crop seed, and inorganic fertilizer
Livestock feed and water improved	# of HHs cultivating livestock feed and fodder crops in pastoral and non-pastoral areas # of livestock water points constructed in pastoral and non-pastoral areas
Livestock extension service strengthened.	# of DAs and paravets trained in technical/process skills in pastoral and non-pastoral areas

Households capacitated for off-farm IGAs	# of HHs receiving vocational training
Enhanced market effectiveness	# of communities with functioning marketing cooperatives in pastoral and non-pastoral areas # of communities with road access to markets # of communities with market information systems established # livestock market centers established
Savings and credit associations and revolving funds established in each community	# of saving and credit association established # of communities with sources of micro-finance accessible by poor HHs
Soil conservation measures promoted/installed; degraded areas rehabilitated	Degraded cropland and rangeland developed (ha) Area covered by physical and biological soil and water conservation measures # of tree seedlings planted # of communities in which training/promotion held in SWC and environmental rehabilitation.
Water harvesting schemes installed: plastic covered ponds, concreted ponds, etc.	# water harvesting schemes completed per woreda % of communities in which water harvesting systems have been installed

FSP M&E Planning Matrix

Indicators	Specific data needs	Sources of information	Method of data collection/analysis	Frequency of reporting
Global Programme Objectives				
<u>Impact Indicators</u> % of HHs that no longer requires support from the food security programme based on their level of income & asset possession over a period of time	HH assets/savings HH income from: agriculture, livestock sales, other sources	Sample of households	Quantitative survey	Annually
<u>Outcome Indicators</u> HH food availability = average HH crop production; average months of consumption from own production. HH food access = average cash income from on-farm and off-farm IGAs	HH food crop production HH cash income HH months of food gap	Sample of households	Quantitative survey, Crop assessment	Annually
<u>Process Indicators</u> % of safety net beneficiary HHs that have benefited from other food security interventions % of HHs or community interest groups who were active participants in planning and monitoring of local food security interventions # sites/communities which had timely and accurate flow of resources Inclusion and exclusion errors # of resettlement sites and public works projects for which potential social and environmental risks were identified and mitigated M&E reporting is timely and based on stakeholders needs (e.g. disaggregated for sex) # of communities in which appropriate graduation decisions have been made	(see indicators) Calculating inclusion or exclusion error requires two types of data per respondent: whether the HH meets selection criteria and whether the HH received assistance.	Sample of households Sample of households Focus groups	Sample of households Quantitative survey Semi-structured interviews and facilitated discussions	Annually

Indicators	Specific data needs	Sources of information	Method of data collection/analysis	Frequency of reporting
RESETTLEMENT PROGRAMME				
<u>Impact Indicators</u>				
% of HHs meeting graduation criteria % HHs receiving food relief per resettlement site (i.e. unable to supply own food needs)	HH income and saving HH food crop production livestock holdings cash crop production	Sample of households	Quantitative survey	Annually
Average total annual HH income	Composite of JHH production, cash income, and asset possession	Sample of households	Quantitative survey	Annually
Rate of malaria outbreak per settlement site	HHs reporting malaria; # of cases registered at kebele health facility	Sample of households	Quantitative survey	Annually
Average incidence of water borne disease per site	HHs reporting water-borne diseases; # of cases registered at kebele clinic	Sample of households	Quantitative survey	Annually
<u>Outcome Indicators</u>				
% of HHs that have constructed a permanent house	HH construct a house (per	Participating households	Quantitative survey; observation.	Annually
% of resettled HHs cultivating new land holdings	cultivation of farm land	Sample of households	Quantitative survey	Annually
Average per HH size of land cultivated	Size of cultivated land (in local units of area)	Sample of households	Quantitative survey	Annually
% HH using improved cereal, high-value crop seed and/or organic fertilizers	HH that report using improved seed and/or fertilizer	Sample of households	Quantitative survey	Annually
Average yield by crop type	Estimated from crop cut surveys	Sample of households	Crop cut survey	Annual
Average annual crop production per HH	Crop production per HH converted to kg	Sample of households	Quantitative survey	Annual
% of HHs using small-scale irrigation and average area under irrigation per household (ha)	HH using small scale irrigation area under irrigation	Participating households	Quantitative survey	Annually
% of HHs selling cash crops	HH sells cash crops	Sample of households	Quantitative survey	Annually

Indicators	Specific data needs	Sources of information	Method of data collection/analysis	Frequency of reporting
# of resettlement sites with functioning cooperatives	sales volumes, # of members, equity of membership, etc.	Focus Groups	Semi-structured interviews in sample kebeles	Annually
% of HH engaging in livestock forage production	HH practices livestock forage production	Sample of households	Quantitative survey	Annually
Livestock vaccination rates	Livestock vaccinated	Sample of households	Quantitative survey	Annually
% of HHs using veterinary services	HH used vet in past year			
% Household reporting satisfaction with health services	Score of satisfaction with health services	Sample of households	Quantitative survey	Annually
% of school age children attending primary school per site	# of school-aged children; # of those children attending school	Sample of households	Quantitative survey	Annually
% of HHs practicing agro-forestry	HH has woodlot, perennial plants including vetivar grass in field	Sample of households	Quantitative survey	Annually
# of sites in which local forests are deteriorating due to unauthorized clearing or woodcutting	Site has unsustainable forest practices	Resettlement officer	Semi-structured interview, observation	Annually
Output Indicators				
# of resettlers properly selected and permanently moved to resettlement sites (per guidelines)	# of resettlers moved to resettlement site; # of resettlers returning home	Resettlement officer	Progress monitoring report, semi-structured interview.	Quarterly and annually
Quantity of monthly food ration placed per HH or per resettlement site	Monthly food ration	Resettlement officer	Progress monitoring report, semi-structured interviews	Monthly, quarterly and annually
% of resettlers reporting proper receipt of entitlements	HH received food, cash, non-agricultural materials	Focus groups	Semi-structured interviews	Quarterly and annually
# of HHs obtained arable land/resettlement site	HH received proper land allocation.	Resettlement officer	Progress monitoring report, semi-structured interviews	Quarterly and annually
Ave. land size provided HH for residence and farming	Land area for farming Size of homestead plot	Participating households	Quantitative survey	Annually
Quantity, by type, of crop seed, agricultural tools, and inorganic fertilizer provided	HH received crop seeds, tools, inorganic fertilizer, livestock	Resettlement officer; focus groups	Progress monitoring reports, semi-structured interview	Quarterly and annually
Quantity by type of animal (including oxen) provided				

Indicators	Specific data needs	Sources of information	Method of data collection/analysis	Frequency of reporting
# of health posts, clinics, health centres per site # of potable water points per site	social infrastructures constructed	Resettlement officer	Progress monitoring report, observation	Quarterly and annually
# of primary schools per site # of flour mill per site # of grain stores per site	social infrastructures constructed	Resettlement officer	Progress monitoring report	Quarterly and annually
Dry and all weather roads installed (km)	social infrastructures constructed	Resettlement officer	Progress monitoring report	Quarterly and annually
# of sites actively protecting forests # of seedlings planted Forest area protected in ha	# of seedlings planted Other measures undertaken to protect forest	Resettlement officer	Progress monitoring report	Quarterly and annually
PRODUCTIVE SAFETY NET PROGRAMME				
<u>Impact Indicators</u>				
% of HHs meeting food needs for 12 months per year ¹¹	Reported months of insufficient food	Sample of households	Quantitative survey	Annually
% of HH in need of food assistance over 3-year moving average	Reported months of insufficient food	Sample of households	Quantitative survey	Annually
<u>Outcome Indicators</u>				
Average months of HH food shortage covered by PSNP entitlement	Months HH participated in public work	Sample of households	Quantitative survey	Annually
% of public works labourers and direct support HHs that report 12 month food security from all sources including safety net	Reported HH food gap (months)	Sample of households	Quantitative survey	Annually
% HH reporting distress sales of assets	HH report distress sales	Sample of households	Quantitative survey	Annually
% HH reporting consumption of seed stocks	HH report consumption of seed stocks	Sample of households	Quantitative survey	Annually
% of HHs use water harvesting schemes	HH gets water from new source for domestic use	Sample of households	Quantitative survey	Annually
Rangeland development in ha	Rangeland developed	Resettlement officer	Progress monitoring report	Quarterly and annually
% of HHs use small-scale irrigation	HH uses irrigation water from new systems	Sample of households	Quantitative survey	Annually

¹¹ As noted in the plan text, impact for PSNP depends on participation in complementary programmes. This indicator corresponds to those selected for impact indicators for 'Other Food Security Programmes'. Self-sufficiency implies sustained food security after participation in the PSNP ends.

Indicators	Specific data needs	Sources of information	Method of data collection/analysis	Frequency of reporting
# of communities with road access	HH w/ market access; HH w/ access to services	Focus groups	Facilitated Discussions	Annually
% HHs reporting satisfaction with or direct benefit from the infrastructure developed	HH rates satisfaction and benefit on scale	Participating households	Quantitative survey	Annually
<u>Output Indicators</u> Land area rehabilitated (ha) per targeted woreda Area covered by physical and biological soil conservation measures	Land covered by reclamation and soil conservation measures	Development agents	Progress monitoring, field observation	Quarterly and annually
# of schemes per target woreda # of structures constructed per targeted woreda	# of water harvesting schemes constructed # of small-scale irrigation structures constructed	WFSD	Progress monitoring, field observation	Quarterly and annually
Km of road constructed or maintained per target woreda	Road in km constructed or maintained through public work	Development agents	Progress monitoring, field observation	Quarterly and annually
Number of public works participants	Number in public works	Development agents	Progress monitoring, field observation	Quarterly and annually
Average amount of entitlement received	Food /cash received by HH	Participating HHs	Quantitative Survey	Quarterly and annually
Deviation from promised delivery date	Date promised; date received	Participating HHs	Quantitative Survey	Quarterly and annually
Beneficiary perceptions of relevance of entitlement to personal situation	Type, amount and timing of transfer	Participating HHs	Quantitative Survey	Quarterly and annually
# of HHs benefiting from direct support / year	# of HHs participating in PSNP public works	Development agents	Progress monitoring report	Quarterly and annually
Quantity and timing of delivery of food/cash	Date promised; date received	Participating HHs	Quantitative Survey	Quarterly and annually
OTHER FOOD SECURITY PROGRAMME				
<u>Impact Indicators</u> # of HHs reaching critical level of income and assets or # of graduated HHs	Annual income derived from: selling cash crop, selling livestock or livestock products, and off-farm activities. HHs asset holding	Sample of households	Quantitative survey	Annually

Indicators	Specific data needs	Sources of information	Method of data collection/analysis	Frequency of reporting
Outcome Indicators				
# of men and women involved in new small businesses	HH created their own business	Sample of households	Quantitative survey	Annually
# income sources per HH	No of income sources	Sample of households	Quantitative survey	Annually
% of HHs using improved crop seeds and/or inorganic fertilizer	HH used improved seed or fertilizer in past season.	Sample of households	Quantitative survey	Annually
Avg. annual HH crop production	Crop production converted to ha	Sample of households	Quantitative survey	Annually
Average livestock holding per HH	No of livestock by type	Sample of households	Quantitative survey	Annually
# of HHs with using animal traction	HH reporting using animal traction	Sample of households	Quantitative survey	Annually
Communities reporting improved access to forage and water for livestock in pastoralist and non pastoralist area	HH practicing forage production HH has access to water point	Focus groups	Facilitated discussion	Annually
% of HH reporting improved access to veterinary services in pastoralist and non pastoralist area	HH obtained services from veterinary units in target area	Participating households	Quantitative survey	Annually
Livestock offtake	Animals sold+animals consumed/animals owned	Sample of households	Quantitative survey	Annually
% HH with access to credit	HH reporting borrowing	Sample of households	Quantitative survey	Annually
Default rate	HH reporting default on loan	Sample of households	Quantitative survey	Annually
% of HHs using water harvesting schemes		Participating households	Quantitative survey	Annually
% of HHs with access to and use of irrigation				
Output Indicators				
Amount of food security funds disbursed by government and donors per woreda per year	Amount govt. fund disbursed to woreda; Amount of donor fund disbursed to woreda	RFSCO	Progress monitoring report	Annually

Indicators	Specific data needs	Sources of information	Method of data collection/analysis	Frequency of reporting
# of staff placed and fully trained	DA placed and trained	Development agents	Progress monitoring report	Quarterly and annually
# of woredas/kebeles in which full staffing has been installed	Woreda/kebele has full staff complement	WFSD	Progress monitoring report	Quarterly and annually
# of woredas in which all staff members have received prescribed training		WFSD	Progress monitoring reports	Quarterly and annually
# of irrigation schemes developed, and area of land newly under irrigation	# of smallscale irrigation schemes constructed Area of land newly developed for irrigation	Development agents	Progress monitoring reports	Quarterly and annually
# of communities with new irrigation systems	HHs constructed their own irrigation schemes	Development agents	Progress monitoring reports	Quarterly and annually
# of communities with access to improved cereal and high-value crop seed, and inorganic fertilizer	HHs obtained cereal , high value crop seeds Inorganic fertilizer	Development agents	Progress monitoring reports	Quarterly and annually
# of DAs trained in extension methods in pastoral and non-pastoral areas. # of contact farmers and/or pastoralists trained in improved practices	DA trained pastoralist/ Farmer trained	Development agents WFSD	Progress monitoring reports	Quarterly and annually
# of HHs cultivating livestock feed and fodder crops in pastoral and non-pastoral areas. # of livestock water points constructed	HHs practicing feed/fodder production # of water point constructed, per type	Development agents	Progress monitoring reports	Quarterly and annually
# of DAs and paravets trained in technical/process skills		WFSD	Progress monitoring reports	Quarterly and annually
# of HHs receiving vocational training		Development agents	Progress monitoring reports	Quarterly and annually
# of communities with functioning marketing cooperatives	'Function' refers to broad participation and financial solvency	Development agents	Progress monitoring reports	Quarterly and annually
# of communities with road access to markets		Development agents	Progress monitoring reports	Quarterly and annually
# of communities with grain stores		Development agents	Progress monitoring reports	Quarterly and annually

Indicators	Specific data needs	Sources of information	Method of data collection/analysis	Frequency of reporting
# of communities with market information systems established		Development agents	Progress monitoring reports	Quarterly and annually
# of communities with sources of micro-finance accessible by poor households		Development agents	Progress monitoring reports	Quarterly and annually
# of saving and credit associations established		Development agents	Progress monitoring reports	Quarterly and annually
Total # of tree seedlings planted	# trees planted in each kebele in current year	Development agents	Progress monitoring reports	Quarterly and annually
# of communities in which training/promotion held in SWC and environmental rehabilitation.		Development agents	Progress monitoring reports	Quarterly and annually
# water harvesting schemes completed per woreda	# of water harvesting schemes constructed	Development agents	Progress monitoring reports	Quarterly and annually
% of communities in which water harvesting systems have been installed	Does community have a new system.	Development agents	Progress monitoring reports	Quarterly and annually

M&E System: Objectives and Approach

This document is the result of a process whose goal was to put in place an effective, efficient and simple M&E system for the FSP. It was an overriding concern that the plan place much greater emphasis on outcome evaluation and learning for improved policies and strategies, as opposed to past tendencies towards merely monitoring progress towards output quotas. A new emphasis on process monitoring will help ensure appropriate targeting, beneficiary participation in programme planning and evaluation, and adequate quality of outputs and services delivered by the programme. It is important that the success of food security activities be evaluated not against output quotas alone but on process and outcome indicators. Generic objectives for the M&E system include:

- To assess and document progress towards inputs, outputs, outcomes and impact as proposed in the logical framework and annual work plans;
- To systemize data collection, synthesis, analysis and reporting procedures allowing for the prompt dissemination of reliable information to concerned stakeholders; and
- To determine effectiveness and efficiency of interventions and learn from experiences so that corrective measures can be taken promptly, and to inform future interventions to improve food security.

This M&E system was developed based on fundamental principles and best practices of M&E, as well as the unique needs of the programme and the existing capacities of the operating environment. Certain tradeoffs were required, as described below.

Simplicity vs. Utility: The main actors in M&E functions are community groups and government agents at the kebele and woreda levels. Limitations in time, resources and capacity at these levels mean that the system has to be clear and simple. However, a system that is too simple will not yield the appropriate breadth, quality and usefulness of information required. This plan has attempted to balance these two imperatives and has included a range of capacity-building and support activities for field staff.

Process vs. Product: The system will give due attention to both process and output indicators during M&E. For instance, process indicators will be monitored to detect the extent to which public works were planned based on participatory needs assessment and local priorities and the extent to which the resulting infrastructure is accessible and useful to chronically food insecure households. Even more basic is the need to periodically assess whether programme participants were properly selected and, for instance, whether all households requiring direct safety nets support are receiving assistance. Counting outputs will continue (e.g. to help managers track programme performance) but will be de-emphasised.

Decentralization vs. Accountability: A majority of monitoring and some evaluation functions will be implemented by woreda and kebele staff with relevant communities and community groups. This plan seeks reasonable autonomy at that level (including potentially some local variation of activities and indicators), and minimal controlling oversight by regional and federal authorities. However, it is the duty of those higher-level bodies to assure that processes defined in PIMs are properly followed by local implementers and to periodically assess whether the programme's global strategies are sound. Thus, teams of objective external evaluators will periodically spot-check the work being done at the local level and will evaluate the programme's success in achieving its higher objectives.

Participation vs. Rigour: Participatory M&E (PME) generally holds that it is important not only that objectives/indicators/methods be relevant and appropriate for all stakeholders (including community members), but that those stakeholders actually participate in all steps of goal setting and M&E planning. While the FSP has thousands of stakeholders, to include more than a few during the creation of this M&E plan was obviously not feasible. PME, however, will more relevant for woreda and kebele officials and community partners as they design, monitor and evaluate activities as the community level. On the other hand, senior stakeholders expect that the measurement of outcomes and impact will yield accurate data that can be used for programme-wide estimates and decisions. For this reason, some evaluation functions will be distinctly non-participatory.

A critical review of the components of the M&E system itself will be programmed to take place as early as possible. Specifically, a review of monitoring instruments and procedures will be scheduled for approximately twelve months following the roll-out of the monitoring system. Similarly, review of evaluation instruments and procedures will take place about six months after the first evaluation activities. It is envisaged that a broad range of stakeholders will be asked to respond to a questions on the utility and efficiency of the system and its instruments/methods and be given the opportunity to recommend modifications. A seminar including a smaller set of senior stakeholders will review the survey findings and reach consensus on which of the recommendations to accept. This process may be repeated at a later date depending on the significance of changes proposed. Table 1, on the next page, summarizes the range of M&E elements. These are described in greater detail in subsequent sections.

Table 1: FSP M&E Activities¹²

M&E Activity		Roles and Responsibilities	Reporting and Action
Monitoring Events			
1	Monthly Activity Report (<i>Actions undertaken, problems encountered and/or resolved for preceding month</i>)	DAs (or Resettlement Officers) compile data on activities in their kebeles; Woreda FS Desk creates concise woreda-wide summations or syntheses	WFSD receives report from DAs; synthesis sent to RFSO and FSCB. Action originates primarily from WFSD.
2	Quarterly Progress Monitoring Report (<i>progress for input, activity and outputs, problems encountered and/or resolved for preceding quarter</i>)	DAs compile input, activity and output data for their kebeles; Woreda FS Desks create concise Woreda summations (in English and Amharic) and a shorter summary in vernacular.	RFSO, FSCB, MOARD, and stakeholder institutions. Summary version disseminated to participant kebeles. Action originates primarily from RFSO, WFSD and/or at the request of other recipients particularly donors.
3	Annual Progress Monitoring (<i>progress for inputs, activities, outputs, and selected outcome indicators</i>)	DA and CFSTF conduct additional data collection focused on the contribution of outputs to outcomes. RFSO M&E officer compiles information on accomplishments from quarterly progress reports, comprised of comprehensive annual accounting for inputs, activities and outputs, and incorporates new information on outputs and outcomes. The RFSO assures that translated versions are prepared promptly.	FSCB, MOARD, MOFED and stakeholder institutions. Summary version disseminated to participant woredas. Action originates primarily from FSCB, RFSO and/or at the request of other recipients.
4	Semi-annual Safety Net Eligibility Updates (<i>measure of HH income and assets to form basis for future targeting decisions</i>)	CFSTF and DAs lead data collection and graduation decisions. Results compiled as a written database, not a formal report. Results do get incorporated in Annual Monitoring Reports. (Database may eventually be preserved electronically at woreda level). WFSD is provided access to the database for oversight. Process is monitored as per entry #4 above.	The WFSD and RFSO are provided with a brief summary of results. Resource allocation for following year based on these results. CFSTF uses results to identify HHs needing further assistance.

¹² These entries represent the activities to be undertaken by FSP staff and partners, and not future activities designed to refine the M&E system or build capacity.

Evaluation Events			
M&E Activity	Roles and Responsibilities	Reporting and Action	
5	<p>Annual Community Impact Evaluation and Process Review (<i>quantitative and qualitative methods, focusing on outputs/outcomes, e.g. food gap, coping strategies as well as procedures and processes undertaken by FSP personnel, includes consideration of inclusion and exclusion error and appropriateness of interventions</i>)</p>	<p>External facilitators lead the process with support by FSCB and RFSO. Neither woreda nor kebele staff are involved as it is their work that is being reviewed. The RFSO assures that report versions in required languages are prepared promptly.</p>	<p>FSCB, MOARD, MOFED and stakeholder institutions. Summary version disseminated to woredas. Written and/or oral feedback to community authorities and members. Action originates primarily from FSCB, RFSO and/or at the request of other recipients.</p>
6	<p>Most Significant Change Case Studies (<i>annual exercise to highlight FSP accomplishments and learn lessons in an efficient manner; potentially focused on unique themes each year, e.g. female-headed households, off-farm employment</i>)</p>	<p>With methodological guidance by RFSO, each DA composes a concise story or case study about household that has made exceptional progress towards food security. Woreda officials would select one case study per year for publication in a regional and/or federal bulletin. RFSCO and/or FSCB responsible for publication, which may include photographs.</p>	<p>Broad distribution to government and NGO stakeholders and interested parties. Programme decision-makers will use the studies to improve understanding of M&E data and results.</p>
7	<p>Annual FSP Steering Committee Meetings (<i>reflection upon the basic programme logic at the purpose and goal levels and opportunity for modification of programme strategies</i>)</p>	<p>Facilitated by the FSCB M&E officer or external consultant, who will be responsible for documenting proceedings. Participation from each significant stakeholder group, including regional government. An action plan will be created by participants.</p>	<p>Proceedings and action plan to FSCB, RFSCO, MOARD, MOFED and stakeholder institutions. FSCB and RFSCOs are responsible for implementing actionplan.</p>
8	<p>Special Studies (<i>focused analyses such as gender impacts of FSP strategies, feasibility studies of IGAs being promoted, environmental review of new infrastructure</i>)</p>	<p>May be commissioned by Steering Committee. Usually designed and implemented by technical specialists (local or international consultants) under the leadership of the FSCB or RFSOs. FSP personnel may participate in prescribed capacities.</p>	<p>FSCB, MOARD, MOFED and stakeholder institutions. Follow-up actions at the initiative of who commissioned the study.</p>

Institutional Roles and Information Flow

An effective M&E system requires clear guidelines and well-defined roles and responsibilities at each level: community, kebele, woreda, regional and federal. A structure already exists at the federal level (i.e. the M&E team within the FSCB). Parallel structures are being formed at other levels, by creating new groups or by adding responsibilities to existing groups. In general, M&E activities at the community, kebele and woreda-levels will mainly focus on monitoring inputs, activities and outputs. Regional and federal staff would be more involved in leading assessments of progress towards higher objectives, but with active participation of the woredas in these assessments. M&E structures and functions for the three programme elements (i.e. resettlement, safety nets, and other food security programming) have many common features, as described below. Key differences have also been noted.

Monitoring Roles and Responsibilities

Community Level

Newly created food security task forces (FSTF), besides having an important role in identifying beneficiaries and overseeing implementation, will be a major source of monitoring data for DA weekly tracking and monthly reporting for safety net and other food security activities. Resettlement sites will each have an assigned officer to fulfil this duty.

Kebele Level

At the kebele level, the food security task force assisted by the development agent (DA) will provide oversight for the activities performed in their kebele. The development agent will follow up progress, compile and review the implementation against the schedule and submit monthly reports to the woreda rural development office, food security desk. The resettlement officers will track inputs used, activities performed and outputs produced at resettlement sites. Progress will be recorded and compared against budgets, schedules and targets. The resettlement officer will submit weekly reports to the woreda rural development office, food security desk.

Woreda Level

The woreda food security desk will regularly monitor the safety net and other food security activities performed in the respective kebeles. It will receive monthly progress reports from kebeles (DAs), compile the data and review the implementation against schedules. Monthly, quarterly and annual reports will then be submitted to the regional food security coordination office. Similarly, a woreda food security desk will regularly follow up the activities performed in all resettlement sites, collect weekly progress reports from each on going resettlement site, review the reports against schedules, and notify the regional food security coordination office about the progress made and problems encountered on the monthly basis. Moreover, quarterly and annual reports will be prepared and submitted to the regional food security coordination office.

Regional Levels

The regional FSCO will collect quarterly progress reports from all woredas, including resettlement, safety net and other food security activities. These data are compiled, progress is reviewed against schedules and appropriate actions are taken. Quarterly and annual synthesis reports are then submitted to the federal FSCB. The regional food security steering committee will meet periodically to discuss progress made, identify problems and advise the Regional Rural Development Bureau (RRDB) to take corrective measures

Federal Level

The federal FSCB will collect quarterly reports from the regional food security offices, review the implementation against schedules, and take appropriate action. The information will then be compiled into programme-wide synthesis reports for submission to the federal MoARD and donors. The federal FSSC will meet periodically to discuss progress made, identify problems and potential corrective measures. The MoARD will then advise the federal FSCB on suggested policy or strategy changes to be made.

Evaluation Roles and Responsibilities

Kebele and Woreda-levels

The performance of each component of the FSP will be evaluated locally at the end of each budget year. Communities along with kebele and, at times, woreda officials and technical personnel will conduct these evaluations with minimal assistance from regional and federal line institutions. The focus of these evaluations will be on programme outcomes and impacts, including issues of participation and equity. Quantitative and qualitative methods will be used, with any images generated during qualitative exercises left in the community. Lessons drawn from the yearly evaluation will be incorporated into the next year's work plans.

Regional and Federal-levels

Federal and regional food security offices will have responsibility for designing and managing periodic programme reviews/evaluations focused on outcomes and impact. Donor agencies and others may participate at various stages in the evaluation process. The federal FSCB and regional FSCOs will be expected to make necessary revisions in implementation strategies, based on evaluation results and suggestions forthcoming from the FSSC. Periodic evaluations will be carried out on a two-year interval, overseen by the regional and federal task forces. Additional technical assistance for these periodic evaluations may be provided by donors, NGOs, academicians, researchers, and civic society. Consultant support is a likely requirement. The FSCB will be responsible for scheduling with regional authorities, writing Terms of Reference (TORs), and coordinating document compilation and field visits.

Information Flow and Reporting

The system envisages that information flow be shared in both “upwards” and “downwards” directions. As such, as each office fulfills its reporting requirements up the chain, it will be expected to also report back to the data sources. For instance, each woreda will receive feedback from its regional office on the region-wide results of each monitoring cycle. Each kebele will receive, in a timely manner, information on woreda-wide progress. A mechanism is expected whereby information is shared with communities (in contextually appropriate ways) about the results of monitoring and evaluation exercises.

Monitoring Guidelines and Methods

Despite an earlier disclaimer that this M&E plan would increase emphasis on measuring and explaining progress at the outcome and impact levels, monitoring will still be largely focused on tracking inputs, activities and outputs, as well as confirming proper processes are being followed. The following objectives guide monitoring activities.

- To document accomplishments of the FSP (aggregated at the community, woreda, regional and federal levels) and to keep stakeholders apprised of expenditures and output achievement. (*output monitoring*)
- To verify the proper implementation of processes described in PIMs and other programme documents. (*process monitoring*)
- To identify areas in which performance does not match expectations, allowing programme managers an opportunity to take corrective actions.

Two components comprise the programme monitoring system. The first component, “output monitoring” measures programme activities in quantitative terms, quantities of outputs provided, resources used, and numbers of beneficiaries supported. The second component, “process monitoring” measures project activities in qualitative terms, specifically how well do programme activities conform to norms and guidelines established in programme implementation documents. Within the FSP, one very important aspect of process monitoring is assessing the degree to which programme targeting of beneficiaries has been successfully achieved. Other aspects of process monitoring include assessments of infrastructures to ensure that they conform to technical specifications, and institutional assessments of implementing organizations (GO and NGO) with respect to how effectively they carry out their responsibilities in delivering outputs and services to beneficiaries.

In order to achieve the monitoring objectives stated above, the output monitoring plan comprises the following three elements:

1. Preparation of a plan, which describes projected inputs and outputs by activity over the coming year. For the PSNP and Other Food Security components, an annual plan, broken down into quarters, is prepared. The resettlement component follows a sequential quarterly planning process over the course of the year, which is described in more detail below. For each component of the programme, the plans serve as the basis of comparison for activity achievement reporting.
2. Regular periodic reporting (quarterly reports at regional and federal levels; monthly reports at woreda and kebele levels) of achievement of outputs, expenditures on inputs by activity in comparison to plans. These periodic reports include tables with quantitative information (reporting forms are shown in Annexes 3-5), narrative and reasons for not achieving planned outputs ii) reasons for higher than planned expenditures, and iii) plans to address problems in implementation.
3. A final annual report summarizes the outputs and expenditures on inputs in comparison with the plan. The reporting formats are organized in such a way that the fourth quarter report also serves as the annual. This report is prepared and submitted during the first quarter of the succeeding fiscal year.

Reporting will follow the government fiscal year, which begins on July 1 and ends on June 30. Annual plans for the PSNP and Other Food Security components will be completed by June 30, and used as the basis for quarterly achievement reports of the following fiscal year.

The following table presents the dates for submittal of quarterly reports at different administrative levels.

Table 2. Quarterly Reporting Schedule

Quarter	Period Covered	Woreda reports submitted	Regional reports submitted	Federal reports submitted
Q1	Jul 8 – Oct 3 (Hamle1-Maskarem23)	Oct 7 (Maskarem 27)	Oct 13 (Tikimt 3)	Oct 18 (Tikimt 8)
Q2	Oct 4 – Jan 1 (Maskarem 24-Tahisas 23)	Jan 5 (Tahisas 27)	Jan 11 (Tir 3)	Jan 16 (Tir 8)
Q3	Jan 2 – Apr 1 (Tahisas 24-Megabit 23)	Apr 5 (Megabit 27)	Apr 11 (Miyaziya 3)	May 16 (Miyaziya 8)
Q4	Apr 2 – July 7 Megabit 24-Sene 30)	July 4 Sene 27	July 10 (Hamle 3)	Aug 15 (Hamle 8)

All monitoring reports include as a minimum the following four categories of information:

1. Physical measures of outputs provided by project activity.
2. Monetary measures of expenditures on inputs by project activity.
3. Number of beneficiaries reached by project outputs, broken down into category of household and/or individual. Households will be categorized into male-headed and female-headed, and individuals will be broken down by gender.
4. Problems encountered and corrective measures taken

In addition to these four categories of information, each component has additional information included in the monitoring report formats, which is described below.

Monitoring of Resettlement Activities

As mentioned above, the resettlement programme follows a sequential planning process over the course of a year, based on the necessity of organizing the resettlement process during the slack time in the agricultural calendar. In preparation for the movement of settlers during mid-December to mid-April, the regional FSCO prepares an “indicative plan”, which identifies sites within the region that are to be developed for settlement. For each site the indicative plan identifies the potential number of settlers that can be accommodated and a list of the necessary infrastructures and services that must be installed to meet the needs of settlers. On the basis of the indicative plans, host woredas prepare plans for installing the required infrastructures at the resettlement sites, while the sending woredas prepare plans for providing education forums and supporting the process of relocating households to the host woredas. Once settlers arrive at the resettlement sites, the host woredas begin to provide materials and support services to the settlers. Table 3 below gives the calendar of resettlement activities at the regional and woreda levels. Based on this annual sequence of planning and execution of activities, a calendar of project reporting is presented in Annex 3 for regional offices and host and sending woredas. The specific content for each report over the course of the year depends on the programme activities that are being undertaken at the time. Figure 2 shows the flow of information, initially from the regional indicative plan to the dispatching and host woredas, and later, during the time of programme implementation, from the woredas back to the regional offices.

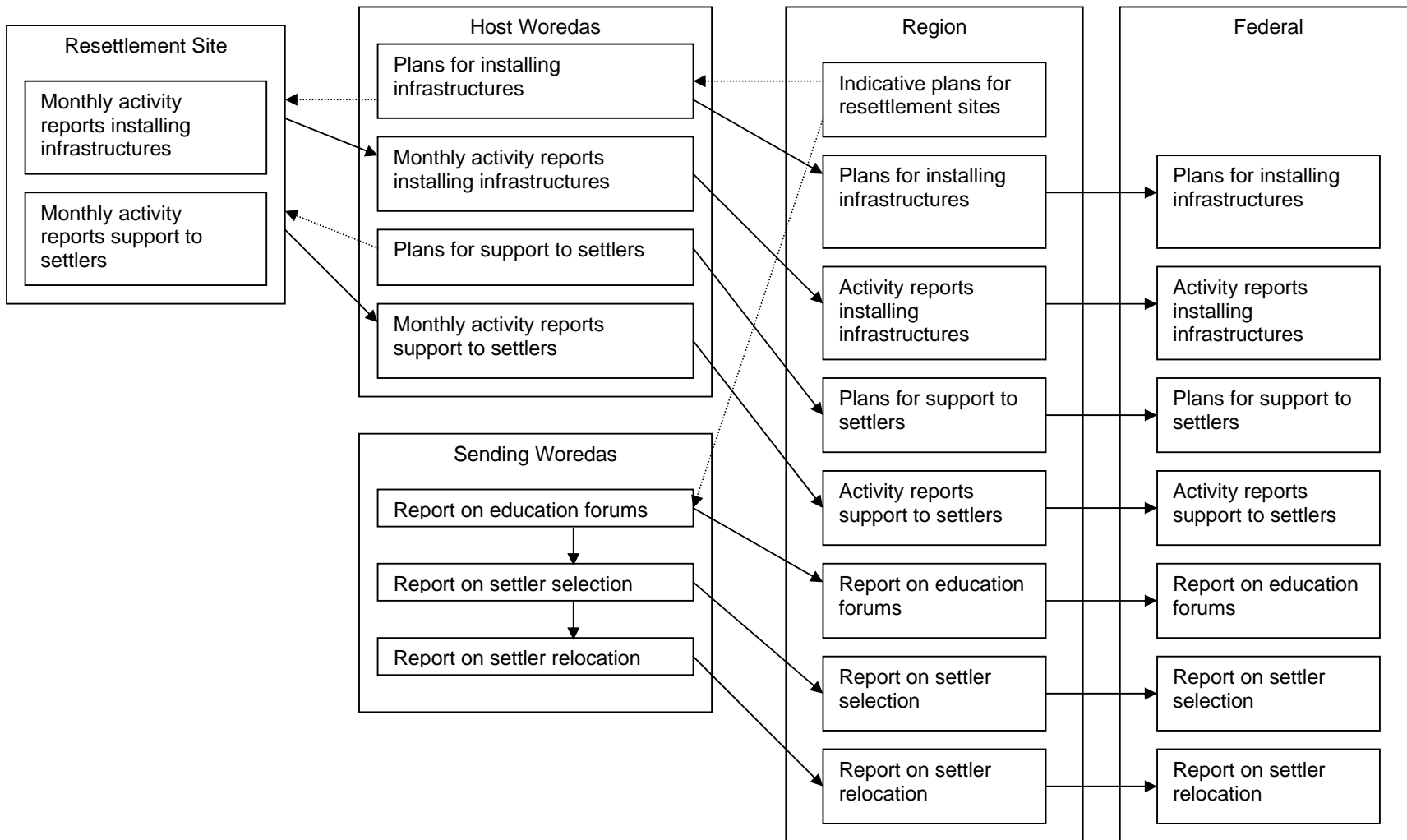
Table 3. Calendar of Activities in Resettlement Programme

Date	Region	Dispatching Woredas	Host Woredas
Mar 15- Jun 30	<ul style="list-style-type: none"> ▪ Prepare “Indicative plan” 		
Jul 1	<ul style="list-style-type: none"> ▪ Indicative plan released 		
Jul 1- Oct 31	<ul style="list-style-type: none"> ▪ Review and approve proposals for installing infrastructures in host woredas ▪ Install infrastructures 	<ul style="list-style-type: none"> ▪ Information forums 	<ul style="list-style-type: none"> ▪ Submit plans for installing infrastructure ▪ Upon approval from region, install infrastructures
Nov 1-30	Install infrastructures	<ul style="list-style-type: none"> ▪ Site visits 	<ul style="list-style-type: none"> ▪ Install infrastructures
Nov 30	<ul style="list-style-type: none"> ▪ Install infrastructures 	<ul style="list-style-type: none"> ▪ Final selection of settlers 	<ul style="list-style-type: none"> ▪ Install infrastructures
Dec 1-14	<ul style="list-style-type: none"> ▪ Install infrastructures ▪ Provided materials to host woredas 	<ul style="list-style-type: none"> ▪ Preparations to relocate settlers 	<ul style="list-style-type: none"> ▪ Install infrastructures
Dec15- Mar 15	<ul style="list-style-type: none"> ▪ Provided materials to host woredas 		<ul style="list-style-type: none"> ▪ Provide materials and services to settlers
Mar 15- Jun 30	<ul style="list-style-type: none"> ▪ Prepare next year’s “Indicative plan” 		<ul style="list-style-type: none"> ▪ Provide materials and services to settlers

A resettlement officer assigned at each resettlement site will collect information about each activity and submit to the woreda food security desk every week. The woreda food security desk will then compile the reports coming from different sites (i.e. staff will receive data forms in writing and will load data into simple computerized databases). Synthesis reports (following a standardised organisational format shown in Annex 3) will be created from aggregated data.

Monthly woreda monitoring reports will be used for follow up action at that level and will be sent to the regional food security offices promptly. The regional food security offices will in turn compile and analyze the reports coming from the woredas in terms of timely accomplishment and expected output of the activities. A synthesis report will be distributed to the relevant offices in the region as well as to the FSCB every three months for further action. The FSCB, through its Programme Design and Evaluation Department, will further analyze the regional reports in terms of outputs achieved and major challenges encountered in the process of implementation that require the attention of the federal government.

Figure 2. Resettlement Programme Monitoring Diagram



Monitoring of Safety Net and Other Food Security Activities

In the PSNP, the CFSTFs are responsible for identifying households within their communities that are eligible to participate in public works projects, receive direct assistance, and/or participate in other food security programmes. A monitoring form kept with the CFSTF is used to track household participation in public works and direct support by month, for all households that have been selected as eligible for support under the PSNP. A transmittal form is used to provide the monthly information on the number of households that participate in public works and direct support to the DAs at the kebele level.

Annual plans for safety net and other food security activities are developed on the basis of input and participation from community members. In the case of the PSNP, kebele development plans are developed on the basis of lists of community needs prepared by the CFSTF. Kebele development plan description forms (shown in Annex 4) are filled out by DAs. These kebele plans form the basis for woreda and regional plans. The planning process should be started at the community/kebele level early enough in the year so that woredas and then regional food security offices will have the information in time to prepare a regional plan before the beginning of the fiscal year (July 1). The kebele, woreda, and regional plans should all include projections of outputs, necessary inputs, and the number of beneficiaries to be supported.

Output monitoring will then follow when implementation of the planned activities begins. Kebeles will report to woredas on a monthly basis, while woredas, regions and the FSCB will prepare quarterly reports. Figures 3 and 4 show the flow of information from communities through to the federal level for the PSNP. In the figure, dotted lines show critical points at which activity monitoring can be cross-checked with the financial accounting system records to ensure consistency and accuracy in the two reporting systems. The structure of the reporting forms at each level are provided in Annex 4. Note that in the case of the safety net programme, participation in public works activities must be counted as a project **output**. In particular, the tables that record project activities – Activity Reporting Forms – must include rows for male and female labour employed in public works. This is because payments to workers is one of the PSNP outputs. Of course, this labour is also an input in the construction of infrastructures and other social assets.

Output monitoring for other food security programmes will follow, as much as possible, a similar reporting process as that of the PSNP. The reporting formats, shown in Annex 5, are very general, with specific tables to report expenditures, physical outputs and beneficiaries, by programme activity. The organization of the reporting depends on the specific outputs provided by each project and the way those individual projects are implemented. The World Bank Food Security Project, for example, disburses loans for use by the communities, while the EU project working through the government, provides a range of inputs packages and support to individual farmers and community groups. The World Bank project already has developed its own monitoring and evaluation system, based on the principles of beneficiary participation in the M&E process.

In most cases, the nexus for monitoring at the community-level will be the DA. S/he will keep a log in which is recorded, on a weekly basis, inputs acquired, activities conducted and outputs completed. This information will come from discussions with each of the agencies, groups or individuals implementing FSP activities in the community. Data should be disaggregated for gender and other vulnerability criteria when appropriate (e.g. counts for people completing a training programme should at least be split into men and women). In the monthly reporting, the DA should also report observed constraints and any resolutions as well as significant comments by community members about programme strategies or staff performance.

Figure 3. Productive Safety Net Programme Monitoring Diagram

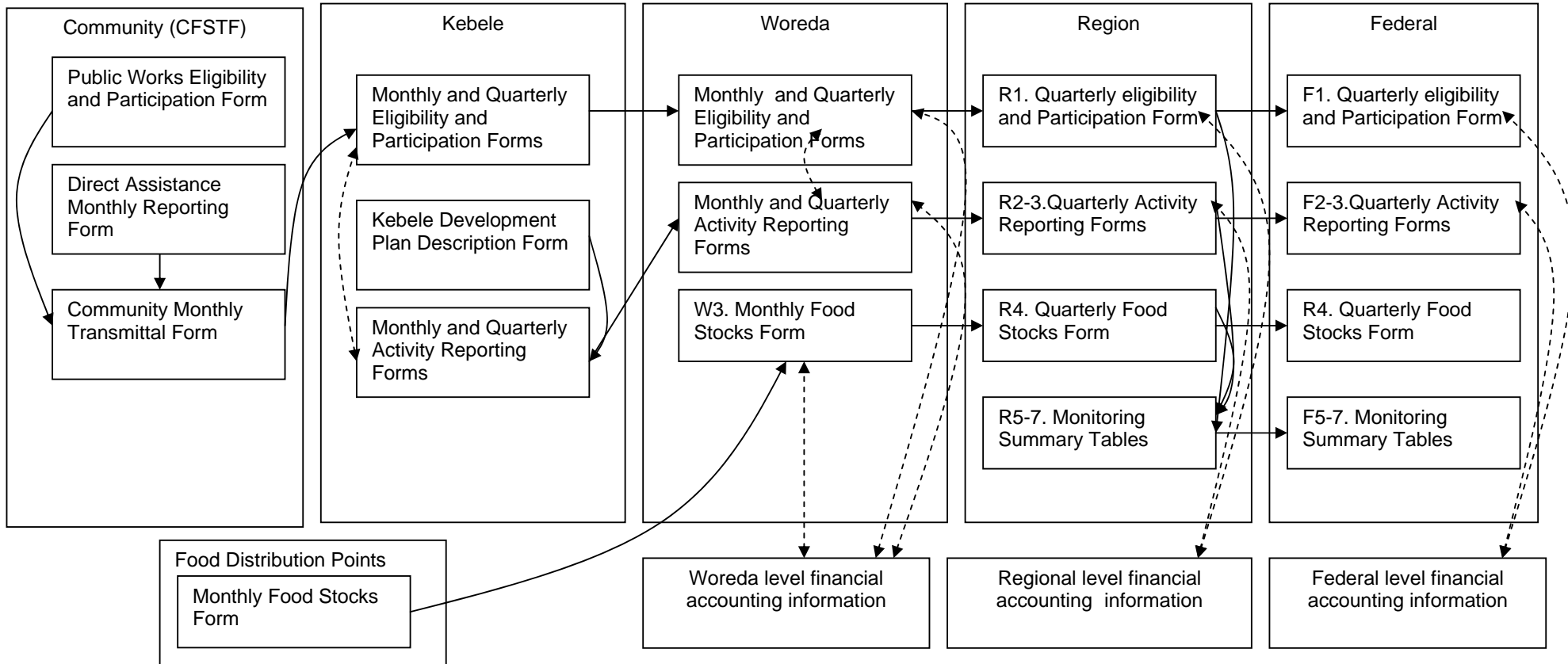
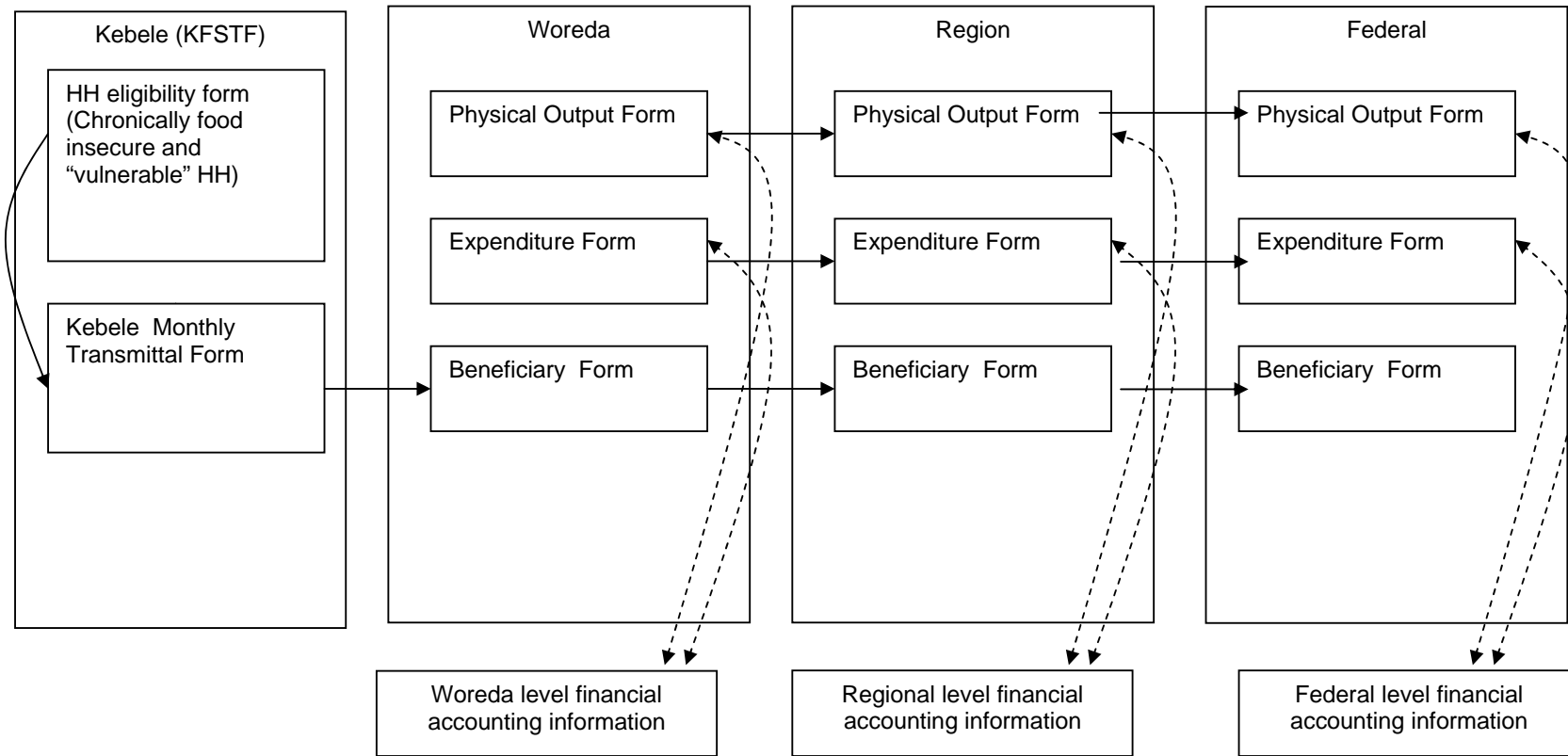


Figure 4. Other Food Security Programmes Monitoring Reporting Diagram



Cumulative totals for each category of input, activity and output will be recorded in a monthly reporting form (see Annex 5) and sent immediately to the WFSTF. Based on this information, the woreda unit will prepare the report, which indicates progress made, and constraints faced, and submit to the relevant offices in the woreda, as well as to the regional food security office on monthly basis for information and action. The regional FSCO through its monitoring and evaluation desk will analyse reports in terms of concrete accomplishment and challenges encountered that require the attention of the regional government. The regional FSCO will produce quarterly progress reports, which will be distributed to all relevant sectoral offices.

The FSCB, through its Programme Design and Evaluation Department, will in turn further analyse the regional reports in terms of concrete outputs that have been gained and the major challenges encountered in the process of implementation that require the attention of the federal government. The Bureau's report will be submitted to the MoARD on quarterly basis. The same report will also be submitted to donors who are directly involved in financing portions of the FSP.

Woreda units will prepare the report that indicates progress made and constraints faced, and submit to the relevant woreda offices for information and action, as well as to the regional FSCO on monthly basis. The regional FSCO will compile and process the woreda reports and submit them to the relevant regional offices, as well as to the FSCB every three-months. The Bureau will further analyse the regional reports in terms of outputs achieved and major challenges encountered in the process of implementation that require the attention of the Federal Government.

Semi-annual Safety Net Eligibility Updates¹³

As mentioned earlier, a process will be repeated annually in each community in which the DA and community food security task force will update asset/income information on food insecure households and make a determination about which households are ready for graduation (i.e. a household that no longer requires support from the food security programme based on its level of income & asset possession over a period of time). (See Box1) The final results will then be conveyed to woreda food security desk, compiled into woreda-wide status reports, approved by the woreda councils, and sent to regional and federal offices.

Process Monitoring

Process monitoring of programme activities requires a more thorough assessment than simple internal reporting mechanisms. Determination of the quality of outputs and services provided by the programme should be based on assessments provided either by technical experts (e.g. the engineering aspects physical infrastructures) or by end-users (e.g. support and services provided to resettlers). In order to avoid incentives for staff to provide positive assessments of their own activities, these assessments should not be undertaken directly by those directly responsible for implementation. Three strategies are possible:

1. Government offices at higher management levels undertake assessments of activities at lower levels. For example, regional level departments check the technical and engineering characteristics of physical infrastructures that have been supervised and initially approved by woreda level departments. The advantage of this strategy is that it is relatively easy to implement within existing programme management structure and does not require significant additional resources. This

¹³ This represents one option for determining graduation rates. Box 1 explores the issues in greater detail. It is likely that final selection of a methodology will require field testing and feedback from field staff and community groups.

implementation strategy is best applied in situations where the assessment criteria are quite quantitative and objective.

2. Independent experts are contracted to make assessments of the quality of services provided by the programme. This strategy provides the greatest degree of independence, but is most costly, since external reviewers must be hired. This strategy is most suitable for undertaking assessments that require specific assessment skills and careful analysis of qualitative information, such as conducting and interpreting results from interviews with key informants or focus groups. These kinds of process assessment are best incorporated into programme evaluation exercises, which are described in more detail below.

One important element of process monitoring relates to project staffing levels and training. (*These activities are measured especially in the output indicators of the other food security component.*) This information will be obtained through annual staff reports from woredas and regions. These reports include the following information: i) planned staffing level, actual staffing level, and vacancies for the DAs at kebele level, food security desks at woreda level, food security offices at regional level, federal food security bureau; ii) planned training activities for current year, training activities accomplished in current year, and planned training activities for the coming year. The reporting format, to be used at all administrative levels, is shown in Annex 6.

All three programme components include activities to build or rehabilitate physical infrastructures (irrigation schemes, water points, schools, SWC installations, etc.) For those structures that are approved upon completion by technical staff at the woreda level, a sample of the approved structures should be reviewed by technical experts from the appropriate regional departments, to check that the approved structures have actually met the required technical specifications. Similarly, technical experts at the federal level should check structures that are approved by regional level experts. Technical experts from a higher administrative level than those that approve the structures should review each year approximately 10% of all infrastructures.

Another important aspect of process monitoring for all three programme components is assessment of selection of project beneficiary according to project criteria. This assessment will be undertaken by woreda food security desk, on the basis of interviews of project beneficiaries (settlers in resettlement program, public works labourers and recipients of direct assistance in the productive safety net programme, and project beneficiaries in other food security programmes). The respondents should be randomly selected from the total list of project beneficiaries. Each year a random sample of approximately 600 households in each region should be selected for interviewing. Information to be collected in these interviews includes the following:

- Household demographic characteristics
- Participation in FSP components
- Household food gap
- How long were delays in receiving payments (public works labourers recipients of public assistance)

In addition to these general process-monitoring topics, the three programme components each have their own specific areas for process monitoring, described in Table 4 below. While process monitoring provides important input into programme management and therefore logically fits into monitoring rather than evaluation, for reasons of operational efficiency, process monitoring activities will be incorporated into activities designed to measure outcomes and impacts of the programme. These activities are described in the following

section on Evaluation Guidelines and Methods (see particularly the section on annual community evaluations and process reviews).

Table 4. Topics for Process Monitoring, by Programme Component

	Indicator	Source of Information
Resettlement Programme		
Appropriate selection of settlers	% settler HH meeting programme criteria	Sample interviews with selected settlers
Settlers chose to move voluntarily	% settler HH reporting they moved voluntarily	Sample interviews with selected settlers
Information provided to potential settlers accurate and adequate	Summarized findings from key informant, focus group interviews with settlers	Key informant /focus group interviews with settlers
Materials and services provided to settlers in timely manner	Summarized findings from key informant, focus group interviews with settlers	Key informant /focus group interviews with settlers
Land distribution procedures followed appropriately	Summarized findings from key informant, focus group interviews with settlers	Key informant /focus group interviews with settlers
Minimal environmental impacts in resettlement areas	Findings from environmental impact studies in settlement areas	Key informant /focus group interviews with settlers
Productive Safety Net Programme		
Appropriate selection of beneficiaries	% beneficiary HH meeting programme criteria	HH surveys
Appropriate procedures for establishing kebele development plans	Summarized findings from key informant, focus group interviews, HH surveys	Key informant/focus group interviews with community members
Workers paid in timely manner	Avg. number weeks delay in receipt of payment	HH surveys
Infrastructures meet required specifications	% Infrastructures meeting criteria	Survey inspections by engineers (regional offices)
Other Food Security Programmes		
Appropriate selection of beneficiaries	% beneficiary HH meeting programme criteria	HH surveys
Timeliness of provision of outputs and services (e.g. for WB, % loan requests pending)	Summarized findings from key informant, focus group interviews <ul style="list-style-type: none"> • WB: % loan requests pending • EU: % HH waiting delivery of packages • etc. 	Key informant/focus group interviews with project participants, HH surveys
Assessments of quality of outputs/services provided	Summarized findings from key informant, focus group interviews	Key informant/focus group interviews with project participants and other community members, HH surveys

Evaluation Guidelines and Methods

Generically, programme evaluations examine the degree to which positive changes have occurred at the outcome and impact levels, as well as the nature and degree of indirect positive and negative impact (e.g. social, environmental, etc.). Evaluations then attempt to explain why any such changes did or did not occur. Evaluation exercises also explore the relevance, efficiency, and/or cost-effectiveness of programme strategies, particularly in light of changing context or new institutional priorities. Specific objectives for FSP evaluation are as follows:

- Test the log frame hypothesis. In other words, did the logic presented in the logical framework hold true; did outputs lead to outcomes and did outcomes lead to impact, as predicted.
- Monitor the assumptions underlying the programme logical framework.
- Determine the number of chronically food insecure households (those that are eligible for the PSNP), and the number of vulnerable households (that are eligible for support from OFSP), and the number of households that are not vulnerable (those that have graduated out of the FSP), with results disaggregated by gender of household head and other vulnerability criteria.
- Learn lessons and reach definitive conclusions about successful and failed strategies, with the intention of shaping future food security programming and policies.

Programme stakeholders wish to estimate impact based on two types of comparisons: before/after, and against a set of standards. Before/after comparisons require some form of baseline data, already partially available in most programme areas. For comparisons against standards, each woreda is expected to develop locally relevant norms (i.e. criteria or characteristics of household food security) against which household status will be judged.

Evaluation instruments and methods have been proposed that will permit a cost-effective achievement of these objectives. Evaluations events will be as infrequent as possible to accommodate expected rates of change for outcome and impact-level indicators. Surveys will usually be conducted using probability sampling to reduce sample size within acceptable levels of precision.

Benchmark-Setting Study

The purpose of the benchmark-setting study is to identify a set of household characteristics that can be used to place households into one of the three following food-security categories:

- a. chronically insecure households (with a food gap of at least three months over past 3 years). These households are eligible for safety net and resettlement programmes
- b. vulnerable households (with a value of household assets per household member below a minimum threshold value). These households are eligible for resettlement and other food security programmes.
- c. food secure households (those not falling into category a. or b.) These are households that have graduated from needing support from the FSP.

The methodology to be used will be to analyze the results from the baseline survey for the Productive Safety Net and Other Food Security programmes (described below) to find a set of household characteristics and benchmark values for those characteristics that can be used to place individual households into one of the three food-security categories. Benchmark values will be established for each distinct agro-ecological zone within each region. Generally, the kinds of characteristics that will be included in the analysis refer to household ownership of various kinds of assets (household assets, land, livestock) and

estimates of household incomes from agriculture, livestock and off-farm sources. Secondary sources will be used to help inform the selection of characteristics and benchmark values by agro-ecological zone, as well as an external check on estimates derived from analysis of the household survey data. Once established by the initial benchmark-setting study, the criteria will remain fixed in all of the follow-up evaluation studies. This will permit comparison across the different rounds of the surveys. A draft TOR for such an exercise has been included in Annex 11.

Annual Community Impact Evaluations and Process Reviews

An annual process will assess progress towards higher objectives through field visits in a sample of programme areas. This will be a combined quantitative and qualitative process with information collected from participating and non-participating households. In addition, local authorities and service providers will be interviewed to help assess the degree to which prescribed processes have been followed.

The quantitative section will focus on assessing the effectiveness of programme targeting of the PSNP and households' perceptions of the effectiveness of the assistance they receive, and provide information to calculate outcome and impact indicators. Two separate household surveys will be conducted to measure project outcomes and impacts. One will be used to measure the impacts of the Productive Safety Net and Other Food Security Programme components, and another will be used for the Resettlement Program. The sample selection for the household survey should be random selection process, in which all households within the FSP operational area (food-insecure woredas) should have an equal chance of being selected. The sample will be selected to be statistically representative at the regional level, and will be stratified by agro-ecological zone. Annex 7 provides more detailed information about the sample designs.

Annex 8 provides the questionnaire formats for the annual household surveys, one form for the Productive Safety Net and Other Food Security Programmes, and another for the Resettlement Program. For each, a baseline form and a form for follow-up surveys is provided. The first surveys will provide the baseline values for project impact and outcome indicators, while the following surveys will track the changes in these indicators over the life of the project. The household questionnaires provide information about household participation in safety net programmes as well as other government and NGO programmes, and their perceptions of the effectiveness of the management of the programme by the CFSTF and DAs, and their perceptions of the benefits provided by the public works programme. The household surveys include questions about household food consumption by month, to measure the household food gap, and sources of food. The surveys also elicit information about household ownership of all kinds of assets, including home, household goods, and land, as well as information about all types of household economic activities – agriculture, livestock, off-farm activities, and access to savings and credit. The survey form for the Resettlement Programme also includes questions about access to schools and school attendance of children in the household, access to health services, and health conditions of household members.

The information collected in the household surveys provides information about households' assessments of the effectiveness of all components of the FSP, and provides the necessary information to measure the impact and outcome indicators of all three programme components. Reporting formats to summarize the information from the annual household survey are provided in Annex 9. Importantly, the survey results provide the necessary information to calculate the percentage of household falling into three food-security categories defined above.

Tracking the proportion of households falling into each of these categories will provide information about the rate at which households graduate out of the FSP over the course of

the programme. In addition to the proportion of households falling into each of these three categories, the survey will provide information about the kinds of support provided to the household under the FSP and some information about the households' assessments of the effectiveness of the support they received through the various components of the FSP. Annex 9 provides the reporting format tables to present this information.

Qualitative data collection will occur simultaneously to explain and expand upon numerical results, with particular emphasis on descriptive information about how project activities are implemented at the community level, beneficiaries' assessments of the support they receive, and reasons why non-beneficiaries do not participate. Staff at the federal and regional levels will provide leadership both during design and implementation of the study, and participation of kebele and woreda staff is expected. As for the household surveys in the annual community evaluations, the RFSO will appoint or contract external technical assistance for implementation of fieldwork and analysis/interpretation of findings. The FSCB will be responsible for providing training. The final periodic evaluation will be used as the basis for making decisions about what should follow the current FSP.

In order to address these qualitative dimensions of project activities, a series of topical outlines for interviews with project beneficiaries will be implemented. Interviews with focus groups and local implementers will discuss the extent to which chronically food insecure households have participated in programme activities and the degree to which this has led to positive outcomes for the same groups. Discussions will also focus on local ideas for modifications in programme strategies to better achieve proposed outcomes and meet local priorities. Topical outlines for these qualitative interviews are presented in Annex 10. These qualitative interviews should be undertaken either by teams of experts brought in from federal food security coordination bureau or independent specialists should be contracted.

The FFSCB is responsible for coordinating these annual process-monitoring activities. For the quantitative household surveys, the RFSO will be responsible for appointing or contracting the individuals for the following positions i) interviewers, ii) field supervisors, iii) data entry iv) data entry and cleaning supervisors v) experts responsible for analysis of data and writing report. In order to ensure consistency across the regions the FFSCB will be responsible for providing the necessary training for all these positions.

The CFSTF will assist in assembling focus groups representing each of the poor and marginalized groups supposedly being assisted by the programme. Discussions will be facilitated with each group in a discrete location, following the standard topical outlines given in Annex 10. Among key issues for these discussions will be the degree to which individuals in each group have been allowed to participate in programme activities and the significance of those activities with their personal priorities. Each year in each of the six regions, samples of approximately 200 households randomly drawn from beneficiary households in each of the three programme components should participate in these process-monitoring surveys while for Harari and Dire Dawa 50 households each. This would give a national sample of 800 households for resettlement programme and 1,300 households for each safety net and other food security programme component or a total annual sample of 3400 households participating in the FSP.

Most Significant Change Case Studies

This would be an annual exercise to help woreda and kebele staff maintain a focus on sustainable outcomes and to help regional and federal managers highlight accomplishments and learn lessons in an efficient method. Each DA would be asked to compose a concise story or case study about household that has made exceptional progress towards food security, attributable to programme interventions. Included would be a description of the household, the nature of its participation in the FSP, outcomes and impact seen or expressed, along with a brief analysis of the factors that led to success for that household.

Woreda officials would select one case study per year for publication in a regional and/or federal bulletin.

Steering Committee Meetings

As part of the agenda for their regular meetings the food security steering committees (federal and regional levels) should discuss: the degree to which original programme intervention strategies were and remain valid; changes in the operating environment and implications for programme strategies; and constraints encountered in making adequate progress towards higher objectives. (This is not the forum for reporting on activities and outputs). The outcome of these reviews of the steering committees could be a reworked logical framework and revised programme strategies.

Programme Impact/Process Evaluation¹⁴

Every second year, starting in January 2006, a more intensive process will be undertaken to measure the FSP progress towards achieving stated impacts, based on comparisons with baseline values.

Special Studies

Special studies may be commissioned by the Steering Committee. These studies would arise from findings of the annual surveys or the biennial impact assessment surveys that point to need for more in-depth study. The Steering Committee would be responsible for developing the terms of reference for these special studies, to be implemented either by government staff or by outside contractors.

¹⁴ These surveys will be programme-wide, including resettlement sites, since indicators of impact and graduation criteria are similar at that level. Some modification of survey instruments may be necessary to accommodate interventions/objectives unique to resettlement sites.

Human Resource Needs and Training Plan

This M&E system encompasses a wide range of programme interventions and covers a vast geographic scope. As such, extensive human capacity building will be required for the relevant food security line institutions starting from kebele up to the federal FSCB. Training needs include: basic awareness of the system, indicators and methods; skills required for proper collection and management of quantitative and qualitative data, skills required for analysis and interpretation of quantitative and qualitative data, and skills required for information management and report writing.

Staff Training

A fairly short training period will be adequate for creating awareness and sharing information about the elements of the system. However, certain skills will eventually be required that are not resident in the field staff and for which a more in-depth training regimen is needed. For instance, end-user evaluations will include qualitative data collection through the facilitation of participatory activities and discussions. Those expected to conduct such sessions will need an intensive training course in participatory methods and qualitative data collection and analysis. In sum, staff training will start with a fairly brief introductory session, but will also include subsequent training exercises, as new skills are required.

Cascaded training sessions will be organized at different levels in the hierarchy i.e. federal, regional, woreda, and kebele. Similarly, awareness creation work will take place at the community level, primarily related to interventions but also including progress and process indicators. Training-of trainers (TOT) will initially be organized and conducted by the federal FSCB, with the assistance of an external training consultant. This session will involve staff from the relevant federal institutions and regional food security offices. Following the TOT, trained participants from the regional FSCOs will lead follow-up training of woreda-level staff. These staff, in turn, will train DAs and kebele administrators. The federal FSCB will provide necessary support, including production of training materials.

Two factors will have great influence on future training needs. First, decentralization and increased staffing needs at the woreda and kebele levels mean that a fairly substantial number of new personnel dedicated at least in part to M&E tasks, have yet to be hired. When they are ultimately hired, their capacity should be assessed and training sessions planned as needed. Second, transfers and attrition inherent in the civil service will mean that certain training themes will need to be repeated periodically.

Leadership Requirements

The M&E system described here is not static, and will require periodic modification and good guidance. Therefore, there is a need for an M&E officer of advanced skills placed, either permanently or recurrently, at the FSCB. The appropriate individual would have experience designing and leading both quantitative and qualitative surveys, and be experienced in data collection, management and analysis. This individual will provide frequent liaison with Regional M&E officers and will identify training needs, provide technical support and coordinate and/or lead most evaluation assessments. The person should also be an excellent writer and will be the final author/editor of M&E reports created at the Federal level.

With the proposed evaluation plan (i.e. a regional staff person in a leadership role in designing and conducting surveys), a well-qualified M&E specialist needs to be recruited for each RFSO. This individual should have experience with both qualitative and quantitative methods, be able to lead those involved in data analysis and interpretation, and be an accomplished writer.

The M&E team may also need follow-up support on an ad hoc basis. In most cases, external recruitment of consultants for specific tasks will be dependent on future budget support made available to the FSCB. If such funds are forthcoming, the following types of technical assistance would be useful: master trainer for skills training, consultant facilitators for reflection workshops or major evaluation surveys, and specialists in MIS or statistical analysis.

Business Plan for FSP M&E Plan Development -- At the conclusion of the first phase of M&E system design, there will be a draft document produced including a narrative description of the system objectives, methods and timetables, along with preliminary monitoring data collection forms and computer database templates. In addition, a preliminary workshop (approximately September will be held in which field-based stakeholders (regional and/or woreda staff) will assist in refining data collection tools and provide feedback on indicators and methods. It is recognized that this is only the first step towards a functioning M&E system. The following describes addition tasks required.

Activity	Description	Approximate Dates	Person(s) responsible
Stakeholder review and feedback/plan revision	The draft plan is circulated within FSCB and to donors and regional food security officers for review and feedback. Written feedback incorporated as appropriate.	Oct/04	Tesfaye T. manages circulation / receipt of feedback. Consultants (JM and ML) incorporate feedback into plan.
Testing of monitoring instruments/methods	Monitoring data collection tools, data entry templates, and reporting mechanisms will be tried in each woreda. A review workshop will take place approximate two months after testing to discuss constraints and adjust system elements.	Nov/04	Consultant M&E specialist/facilitator supported by M&E Task Force (for review workshop and plan revision)
Formal M&E training and field practicum of M&E implementers	Awareness and skills training and practice (quantitative and qualitative data collection and analysis) for approximately 46 senior staff from federal and regional levels. Echo training for woreda and then kebele staff.	Dec/04	Consultant trainer supported by M&E Task Force (for TOT)
Start-up monitoring system	Ensuring that staffs are in place, have received all necessary materials (computers, reporting forms, etc.). Staff prepare work plans for carrying out monitoring activities, and finalize plans for transmitting information across administrative levels.	Jan/05	FSCB at federal level, FSOs at regional and woreda levels
Automation of monitoring system at woreda / kebele-levels	As appropriate, information management and computer training and support for field-based staff, including systems for internet data uploads where appropriate.	Jul/05	Consultant MIS/computer specialist
M&E senior stakeholder retreat	One-day workshop to examine the products and timing of FSP monitoring in comparison to stakeholder information needs and expectations. Adjustments made to plan as appropriate.	Jun/05	Managed and facilitated by FSCB. (Professional local facilitation recommended)
Benchmark-setting study	Using PSNP & OFSP baseline survey and secondary information, establish criteria for identifying food-secure and food-insecure households (graduation criteria)	June/05	Consultant M&E specialist with support of M&E team (for review workshop and plan revision).
M&E senior stakeholder retreat	One-day workshop to examine the products and timing of FSP evaluation in comparison to stakeholder information needs and expectations. Adjustments made to plan as appropriate.	June/05??	Managed and facilitated by FSCB. (Professional local facilitation recommended)

Physical and Financial Resource Needs

In addition to human resource requirements, successful implementation of the M&E plan will require an annual budget for equipment, travel, and other support costs. For instance, while data is currently compiled by hand at the woreda-level, computers and appropriate software will be installed in each woreda to facilitate data compilation and processing activities. Similar hardware and software upgrades and furnishings will be needed in at least some of the relevant offices at the regional and federal levels. Other costs may not be covered in standard budgets including printing/binding for increased numbers of M&E report publications and prompt translation of significant documents in English (and Amharic in some cases). A communications budget may eventually help up-grade internet access to facilitate the uploading/downloading of data and reports between woreda, regional and federal offices. Finally, financial resources may be needed on an ad hoc basis to cover the costs of periodic, but infrequent evaluation events.

A schedule and budget for initial staff training is found below. Following this is a description of more general budget needs.

Table 5 – Training schedule for M&E system start-up

No.	Description	Participants	Duration (Days)	Date	Responsible Body
1	Training of trainers	46	3	December	FSCB
2	Woreda staff training	526	3	January	RFCO
3	DA training	11835	3	February	WRDO

Table 6 -- Indicative Budget for M&E system start-up:

6.1. Training of Trainers (TOT) (Estimated cost in birr)

No	Cost items	# of persons	Unit cost	Days	Total /birr/	Assumptions/Explanations
1	Participant perdiem	22	70	5	7700	. 3 participants from large regions (18) . 2 participants from Hararie and Dire dawa (4) . 24 participants from FSCB . 3 days perdiem for attending the workshop and 2 days perdiem for days spent on travel
2	Others	46	15	-	690	One writing pad, pen and handout for each participant
3	Travel - Air - Vehicle	18 3	800 50		14400 150	Somali round trip ticket 1059 birr Amhara round trip ticket 565 birr Diredawa round trip ticket 717 birr Tigrai round trip ticket 917 birr Harari round trip ticket 717 birr South 650 km = 400 birr Afar 1250 km = 900 birr
4	Refreshments	46	5	3	690	
	Sub total				23,630	

6.2 Woreda staff training

No	Cost items	No of person	Unit cost	Days	Total/Birr	Assumption
1	Participant perdiem	526	70	5	184,100	<ul style="list-style-type: none"> - 2 person from each woreda - 3 days perdiem for attending the workshop and 2 days perdiem for days spent on travel
2	Training materials	558	15	-	8370	<ul style="list-style-type: none"> - 4 people from each region will participate in the training programme - One writing pad, pen and handout for each participants
3	Travel	526	70		73,640	<ul style="list-style-type: none"> - 70 birr/person for double trip
4	Coffee and tea	558	5	3	8,370	<ul style="list-style-type: none"> - 5 birr/person/day
	Sub total				237,660	

6.3 Development Agent training

No	Cost items	No of person	Unit cost	Days	Total /birr/	Assumption
1	Participants	11835	58	2	1,372,869	<ul style="list-style-type: none"> - # of kebeles per woreda =15 - DAs Per kebele=3 - Training days=2
2	Training materials	12361	10	-	123,610	<ul style="list-style-type: none"> - 2 woreda staff per woreda will participate the training program
3	Coffee and tea	12,361	3	2	74166	<ul style="list-style-type: none"> - 3 birr/day/person
	Sub total				1,570,645	

6.4 Skill training

No	Cost item	No	Unit cost	Days	Total (birr)	Assumption
1	Software application MS-Word up to MS-Access	273	400		109,200	- One person Per woreda - One person per region - Two staff from FFSCB
2	Data analysis	10	2600		26,000	- One person per region - Two staff from FFSCB
3	M & E refreshment training	263	70 birr/day	2	73,640	- One person per woreda
	Sub Total				208,840	

Total training cost (A.1+B.1+C1.+D.1) = 2,040,775 birr

Table 7: M & E plan field testing

No	Cost Items	Number of regions	Number of woredas	Days/region	Total days	Unit cost	Total cost
1	Perdiem for three technical staffs	2	2	10	20	70	4200
2	Perdiem for Driver Oil and lubricant	1	1	10	20	58	1160
3	(2200 km distance covered)	-	-	-	-	-	1167
	Total cost	-	-	-	-	-	6527

* For federal staff only

Table 8: Monitoring expenses

8.1 Perdiem (monitoring expenses)

No	Activities	Number of woredas or Regions	No of Staff	Field program days/year	Daily perdiem rate in Birr	Total perdiem /year In Birr	Total perdiem for 5years in Birr	Assumptions
1	Out put and process monitoring							
	Woreda level Staff Driver	263 woreda	2 1	24 24	70 47	883,680 296,664	4418400 1483320	- 263 woredas - 5 days/month - 2 staff/woreda - one driver/woreda - Lunch expense only for the field days
	Regional level Staff Driver	8 regions	4 2	48 48	70 47	107520 36096	537600 180480	- In all woredas in the region - 4 times/year - 12 days in each field program - 4 staff & one driver
	Federal level Staff Driver		4 2	56 56	70 47	15680 5264	78400 26320	- In the regions - 4 times/year - 12 days in each field program - 4 staff & one driver
	Sub total					1,344,904	6,724,520	

8.2 Fuel & lubricants

No	Activities	Fuel in litres	Fuel cost per litres	Total fuel cost for one year	Total fuel cost for five year	Assumption
1	Out put and process monitoring					
2	Woreda level	105200	3.7	389240	1946200	<ul style="list-style-type: none"> - 200 KM /month/woreda - 6 km/liter - Fuel cost/liter: -Birr 3.70
3	Regional level	16000	3.7	59200	296000	<ul style="list-style-type: none"> - 1500 KM /field programme /region/one group - 6 km/liter - Fuel cost/liter: -Birr 3.70
4	Federal level	3330	3.7	12320	61600	<ul style="list-style-type: none"> - 2500 KM /field program/one group - 6 km/liter - Fuel cost/liter: -Birr 3.70
	Sub total			460760	2303800	

8.3 Beneficiary assessment workshop

Cost item	No	Unit cost	Days	Total birr
Consultant fee	1	500,000		500,00
Sub total				500,000

Total Birr (A2+B2+C2) =9,528,320.00

Table 9: Evaluation Costs

9.1 Benchmark-setting Study cost

No	Cost Items	Unit	Unit cost /birr	Total cost /birr
1	Consultant fee	Lump sum	250,000.00	250,000.00
	Sub total	-	-	250,000.00

9.2 Graduation annual assessment

No	Cost items	Unit	Unit cost (birr)	Total cost
1	Consultant fee	Lump sum		500,000.00
	Sub total			500,000.00

9.3 Final evaluation

No	Cost item	Unit	Unit cost	Total cost
1	Consultant fee	Lump sum	250,000.00	250,000.00
	Sub total			250,000.00

9.4 Periodic evaluation

No	Cost item	Unit	Unit cost	Total cost
1	Consultant fee	Lump sum	250,000.00	250,000.00
	Sub total			250,000.00

9.5 Annual evaluation

No	Cost items	Federal level	Region level	Total	Assumption
	<u>Annual Review work shop</u>				
1	Perdiem for regional stafs	2,240	92,050	94,290	At federal level Number of participants <ul style="list-style-type: none"> • From region = 8 • Donors = 20 • Federal government =24 • Total number of Participants =52 • Number of days = 2 • 90 birr /persons/day for lunch, coffee & tea, cookies and hall rent At regional level <ol style="list-style-type: none"> 1. Number of woreda participants = 263 2. Number of regions = 8 3. Number of days = 2 days Region participants = 10 4. 70 birr transport cost /person 50 birr day/ person for hall rent, lunch, coffee, cookies
2	Perdiem for regional officials drivers	1,856	-	1,856	
3	Entertainment including Hall rent coffee & cookies	9,360	-	9,360	
4	coffee & cookies	-	3,270	3,270	
5	Others (workshop materials)	520	3,270	3,790	
6	Oil and lubricant	4,000	13,150	17,150	
8	Transport for woreda		18,400	18,400	
	Total annual cost	17976	130140	148116	
	Total cost 5 years	89880	650700	740580	

Sub total(D1+D2+D3+D4+D5) = 1,997,107

Table 10: Estimate of Equipment Needs for M&E system

Item/needs	Specifications	Qty	Estimated unit cost (birr)	Total cost (birr)	Remarks
Institutional support	Computer with accessories	273	17400	4,750,200	1/woreda 1/region 2 FFSCB
	Laser jet printer	273	13050	3,562,650	One printer/computer
	Photo copier	9	43,500	391,500	One /region One for FFSCB
	Motor cycles	263	12,000	3,156,000	One/woreda
Sub total				11,860,350	

Table 11: Summation of M&E System Costs

Category Sub-totals	Cost (in birr)
Training	2,040,775
Field Testing	6527
Monitoring	9,528,320
Evaluation	1,997,107
Equipment needs	11,860,350
Grand total	25,426,552

